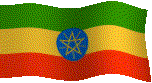
**MINISTRY OF URBAN DEVELOPMENT & HOUSING**

**URBAN REVENUE ENHANCEMENT, FUND MOBILIZATION AND FINANCE BUREAU**

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**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

**PROGRAM OPERATIONS MANUAL**

**(POM)**

**Volume 2: Additional Annexes**

**FINAL**

**Urban Revenue Enhancement, Fund Mobilization & Finance Bureau**

**Ministry of Urban Development & Housing**

**Final, April 25, 2018**

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# Introduction

The UIIDP Project Operations Manual (POM) is in two Volumes. Volume 1 is the main text of the POM with important Annexes.

Volume 2, which is this one, contains Additional Annexes which are also important but due their bulky nature are better accommodated in a separate Volume of the POM.

There are also Standalone Annexes to the POM, which are listed in Volume 1, which are mainly Guidelines and Manuals that provide detailed procedures of some of the thematic areas covered in the main text of the POM Volume 1.

# Additional Annexes

# TOR for UIIDP 1st and 2nd APA of 61 cities and two regions in Oromia and SNNPRS

**FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA**

**MINISTRY OF URBAN DEVELOPMENT & HOUSING**

**URBAN INSTITUTIONAL AND INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

**Terms of Reference**

**For**

**Consultancy Services for the First (1st) and Second (2nd) Annual Performance Assessment of 61 Cities and 2 regions in Oromia (38 cities) and SNNPRS (23 cities) participating in the UIIDP for Allocations for EFY 2012 (2019/20) & EFY 2013 (2020/21)**

**(Revised Final Draft after WB NOL, April 23, 2018)**

**BACKGROUND**

The Ministry of Urban Development and Housing (MUDHo) has introduced the **Ethiopian Cities Sustainable Prosperity Goals (ECSPG**) that will lead to the establishment of Green Growth, Resilient and Well Governed Cities that support Ethiopia’s transformation from a predominantly agricultural nation to a nation with a rapidly growing industrial sector that contributes to the economic growth necessary to achieve middle income country status by 2025. The ECSPG is the Ministry’s contribution to the Government of Ethiopia’s **Growth and Transformation Plan** (GTP1) 2010/11-2014/15 and (GTP 2) 2015/16-20/2020.

The ECSPG comprises nine pillars – or dimensions - that will contribute to the achievement of middle income country status and bring the desired political-economic transformation. Growth is a key objective of the Ministry’s initiatives and programs for urban development and construction; the main economic objective. The main elements of the political component of the nine pillars that make up the ECSPG are good governance, democratization at local level and the satisfaction of citizens and residents with the delivery of public services and performance of government – at local, regional and federal levels. Together, the economic and political interventions of the ECSPG will produce the prosperity that accompanies achievement of middle income country status.

The ECSPG’s nine strategic pillars will contribute to Ethiopia’s achievement of middle income country status by producing a transformation in the economic productivity and in the good governance of cities. Economic transformation will be achieved by increased good urban governance in general and in the focus of the ECSPG on Job Creation - Micro & Small Enterprise Development in particular. This focus will be supported by improvements in land use planning, serviced land delivery, housing development, infrastructure, services and green growth development. Investments in all these areas and mobilization of resources to meet increasing operating and investment costs are a main focus of the MUDHo.

The attention given to economic development and governance does not neglect social and environmental development, nor will the key GTP cross cutting issues be neglected. These include gender and children’s affairs, youth and sports development, HIV/AIDS prevention and control, social welfare, labor affairs, population and development, culture and tourism, science and technology, environment and climate change.

The **developmental framework for the ECSPG aims to bring prosperity to Ethiopia’s cities**. The ECSPG programs, sub-programs and projects will be implemented through to 2025 with GTP, SDG and benchmarked middle income country indicators measured against achievement of targets in three indexed areas: good governance, economic and social development (growth) and citizens’ satisfaction.

In terms of achievement of the targets, goals and vision we will continuously ask questions, learn lessons and fine tune the Ministry’s interventions to answer the following:

1. **Governance Index** (*supply side*): What is required to achieve good governance in federal, regional and local government operations and in delivery of urban public services in terms of: efficient & effective service delivery, sustainability, equity and participation, transparency and accountability, rule of law and security, and subsidiarity - administrative and fiscal decentralization.

ECONOMIC & SOCIAL DEVELOPMENT

CITIZENS’ SATISFACTION

DEVELOPMENTAL GOOD GOVERNANCE

ECSPGs Developmental Framework for Performance Measurement

1. **Development Index** (*supply side*) What is required in the development of Ethiopia’s urban centers to create jobs, encourage entrepreneurs, increase investment, develop land, industry, housing and public utilities and strengthen the framework for job creation (e.g.: trade, industry, telecommunications, leadership, increase trade and exports); and lastly:
2. **Citizens’ Satisfaction (Public Perceptions) Index** (*demand side*): What are public perceptions of the development of urban centers and cities? How can we, continuously, identify public perceptions and attitudes, incorporate them into policies, strategies and programs and thus effectively mobilize public opinion and public resources for the achievement of the 2025 Vision,

The Economic and Social Development, Developmental Good Governance and Citizens’ Satisfaction indices will be measured to determine: the current baseline; the GTP2 and III performance targets; and the benchmarked performance targets to 2025, linked to comparable middle income country achievements.

This baseline data, GTP2 and 2025 benchmark targets will, in the three areas described, comprise overall our “Prosperity Index”. The aim is to establish the Cities’ Prosperity Index, containing the three elements described – growth, governance and citizens’ satisfaction for: a) urban centers and cities with a population of 20,000+ in the Central Statistical Agency census, and add cities that achieve this population level; and b) rural development centers that contain basic clustered education, health and administrative facilities as well as commercial services.

The ECSPG contains ten pillars, 12 programs / sub-programs and 43 projects for urban development:-

**Pillar 1. Urban Transformational Leadership**

**Pillar 2. Micro & Small Enterprise and Urban Productivity (Economy)**

**Pillar 3. Urban Developmental Good Governance &Services**

**Pillar 4. Urban Planning, Land Development and Management**

**Pillar 5. Housing Development, Shelter Provision and Administration**

**Pillar 6. Integrated Urban Infrastructure**

**Pillar 7. Environment, Green Services and Recreation**

**Pillar 8. Resilient, Inclusive and Safer Cities**

**Pillar 9. Urban Finance**

**Pillar 10. Urban Social Development**

**Urban Local Government Development Programs**

**First Urban Local Government Development Program 2008/09-2013/14**

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In 2008, a credit in the amount of USD150 million equivalent was made available to the government of Ethiopia for the ULGDP1, under which 19[[1]](#footnote-1)cities who benefitted from the CBDSD support were able to receive grant funding for infrastructure and services based on their performance in key areas related to city management.

In 2011 the World Bank approved an additional USD 150 million due to the fact that the program had performed well, and the funds had been disbursed faster than anticipated. The planned six-year budget was disbursed in about three years. The additional bank assistance brought the revised cost of the program to be USD 416 including 20% Regional and 20% ULG contributions to the performance grant.

The additional credit continued financing the costs associated with scaling up the ULGDP1’s activities to enhance the impact of this well-performing program. Specifically, the additional funds financed investments to improve the administration of the 19 participating cities and to help address a large infrastructure backlog. This enabled the administrations of the 19 cities benefiting from the ULGDP1 to further improve their performance in participatory planning, financial management, procurement, execution of infrastructure programs, and sustainable delivery of services. It also assisted 18 additional cities[[2]](#footnote-2) to build capacities in good governance to prepare them to participate in the ULGDP II that commenced in 2014/15 (EFY 2007).

**Second Urban Local Government Development Program 2014/15-2018/19**

The ULGDP II is a follow-up to the successful ULGDP1. In preparation for ULGDP II, 18 additional ULGs were selected in 2012 to receive capacity building support to enable them to participate in the ULGDP II’s performance grant. The ULGDP II has scaled up the ULGDP1 support from 19 to 44 cities – excluding Addis Ababa and adding 26 new cities – by providing highly needed investment funds to promote the cities as growth engines in the GoE’s urban development strategy; build institutional capacity of all tiers of governance (federal, regional and local) in urban development, and enhance the incentives of everyone involved. The 44 ULGs participating in the ULGDP II are:

* The 18 cities that participated in the CBDSD and (excluding Addis Ababa) in the ULGDP1 – as listed on the previous page;
* The 18 cities that participated in the ULGDP1 for CB purposes only[[3]](#footnote-3); i.e., did not receive Performance Grants – as listed on the previous page; and
* The 8 cities that are receiving investment funds through the KfW funded Urban Development Fund and capacity building support from GIZ through the Urban Governance and Decentralization Programme. These cities are: Adwa (Tigray), Debre Markos (Amhara), Hosaina (SNNPR), Nekemte (Oromia), Gambella (Gambella), Semara (Afar), Asosa (Benishangul Gumuz), and Jijiga (Somali). The latter four are located in the Developing Regional States (DRS) of Ethiopia.

The ULGDP II involves disbursement of funds by the World Bank and allocation of funds to ULGs, Regional States and MUDHo through a result orientated/performance-based capital investment fiscal transfer system using the World Bank’s Program for Results (P for R) methodology, clearly linked to well-defined disbursement-linked indicators (DLIs). The P for R operation fully utilizes and enhances the key elements of the existing GoE system.

The ULGDP II Development Objective (PDO) is to enhance the institutional and organizational performance of participating urban local governments in developing and sustaining urban infrastructure and services. The key results of the performance improvements will be:

* enhanced participation of citizens in ULG planning and budgeting;
* efficient fiduciary management;
* increased amount of own source revenues at the ULG level;
* improved infrastructure, service delivery and O&M systems; and
* Strengthened accountability and oversight systems.

The ULGDP II is expected to run for a period of five years – from EFY 2007 (2014/15) to EFY 2011 (2018/19) with the first disbursement year EFY 2007 (2014/15). ULGDP II will fund performance- based grants for 44 cities - of the total number of larger cities (85), excluding Addis Ababa, with a total population of 3,312,107 people (2007 figures) and 4,348,853 (2013 estimates). The ULGDP II will cover all nine regions and Dire Dawa City Administration. The population of the 44 ULGs is about 28% of the total urban population[[4]](#footnote-4).

The total Program budget envelope is US$556.55 million and the main expenditure items are:

* Performance based grants to 44 ULGs for urban infrastructure and services investments and capacity building (US$499.55 million);
* Regional governments capacity building and oversight/support to constituent ULGs (US$30.00 million);
* MUDHo to administer and coordinate the program, and strengthen its capacity to support and guide the regions and ULGs (US$27.00 million);

Activities financed under the performance grant are core infrastructure investments in roads, water supply, sanitation, solid waste, greenery, street lighting, etc. in a well-defined investment menu, which targets infrastructure investments towards areas under ULG responsibility, and to maximize gains and minimize the risks. The ULGs prepare their Capital Investment Plans in a participatory manner and use the planning tools developed under ULGDP1: the assets inventory and management plan system, capital investment plans, annual plans and budgets. Participatory approach and proper planning and budgeting are promoted through the APA. Cities and regions contribute to the investments through a substantial level of matching funding. New cities will be required, at a minimum, to match 10% of the grants while cities currently part of ULGDP1 and all regions have a minimum contribution requirement of 20% each (as per current level).

**Urban Institutional and Infrastructure Development Program (UIIDP)**

Program Development Objective

The Program Development Objective (PDO) **is to enhance the institutional performance of participating urban local governments to develop and sustain urban infrastructure, services, and local economic development**.

Key Results and Expected Outcomes

It is expected that the institutional performance improvements and the infrastructure delivered by cities will result in: -

* + - 1. enhanced citizen participation and engagement in ULG planning and budgeting;
      2. increased own source revenue at the ULG level;
      3. improved infrastructure, service delivery, O&M systems;
      4. improved efficiency and effectiveness in fiduciary management;
      5. Improved environmental and social management and safeguards; and
      6. strengthened accountability and oversight systems; and
      7. Strengthened ULG resilience, improved local economic development (LED) and enhanced gender equity in the ULG operations.

The key results indicators are:

1. People provided with improved urban living conditions under the UIIDP [corporate indicator].
2. Cities with improved liability, sustainability, and management [corporate indicator].
3. Composite institutional performance of participating ULGs, averaged across all cities.[[5]](#footnote-5)
4. Composite performance forachievement urban infrastructure and service targets, maintenance performance and value for money in investments by ULGs, averaged across all cities.
5. Composite performance for achievement of LED targets, averaged across all cities

Program Duration

The program with support from the World Bank and AFD, will be implemented over a period of 5 years and 4 months from March 2018 to July 2023, with 4 rounds of performance grants in EFY 2012 (2019/20), EFY 2013 (2020/21), EFY 2014 (2021/22) and EFY 2015 (2022/23). The program covers the remaining year of the GTP2 (2015/16-2019/2020) and part of GTP3 (2020/2021-2024/2025) both of which are aligned to the country’s goal of achievement of middle income status by the year 2025. The program will also contribute in the first year FY 2018/19 to cover the fiscal gap due to over-the target-performance of ULGs in the ULGDP II.

Program Scope and Coverage of Urban Centres

The UIIDP consists of the provision of performance-based grants to ULGs for eligible Investments and support to achieve Program results at the regional level on capacity building, financial audit, procurement audit and environmental and social safeguards audits. The program will have an additional 73 cities to the existing 44 cities making a total of 117 cities that will participate in the program. This substantial scale-up to 117 cities will bring about greater impact in terms of population coverage and size of the Program (increasing beneficiaries from 4.36 million under UGLDP II to an estimated 6.62 million in UIIDP) and result in exponentially larger positive impact for the country. Ethiopia has a significant number of secondary cities that are spatially distributed across the country. The government’s current policies of industrial development and promoting urban-rural linkages present good opportunities for promoting more balanced regional growth through the creation of a linked system of cities. The scale-up also allows strengthening of the overall programmatic and performance-based approach to support sustainable urban development and leverages on economies of scale for program management and implementation. In addition, the scale-up is built on the solid foundations and tried-and-tested overall successful experiences of ULGDP I and II. Timely support to improve institutional performance in the planning, delivery, and sustained provision of urban services and infrastructure by local governments is critical especially for these rapidly growing cities.

Key Features and Financing Modalities

The total IDA funding envelope for the UIIDP is US$600 million (of which USS273 million is from IDA Grant, US$127 million is from IDA Credit and US$200 million is from the IDA Scale-Up Funding (SUF)). In addition, AFD will contribute co-financing of euro 9.8 million (US$10.8 million equivalent). The GoE (from regions and cities) will contribute around US$248.7 million.[[6]](#footnote-6) This brings the total Operation Budget envelope to around US$859.5 million.

Table 4. Program Financing (US$ million)

|  |  |  |
| --- | --- | --- |
| **Source** | **Amount** | **Percent of Total** |
| Government[[7]](#footnote-7) | US$248.7 | 29 |
| International Development Association (IDA) | US$400.0 | 47 |
| IDA Scale Up Facility (IDA-SUF) | US$200.0 | 23 |
| *Agence Française de Développement* (AFD) | US$10.8 | 1 |
| **Total Program Financing** | **US$859.5** | **100** |

The main expenditure items are:

**Window 1 for PforR**:

* + - * ***US$691.11 million (ULG level).*** Performance-based grants to 117 ULGs for infrastructure investments as listed under the Program investment menu *(US$248.66 million from regions and ULGs; around US$433.65 million from IDA; and around US$8.8 million from AFD)*.
      * ***US$70.04 million (regional level).*** Support for regional government to strengthen its capacity to support and guide the ULGs in core areas such as financial audit, environmental audit, procurement audit, revenue enhancement, and others *(IDA funding*)
      * ***US$63.74 million (prior results).*** Allocation against prior results on institutional performance, service delivery, maintenance, and job creation for 44 ULGs as determined in the APA conducted in FY2017/18 for FY 2018/19 allocations *(IDA funding.* This is to fill a financing gap under the ULGDP II that has arisen due to overachievement of performance results during FY2018/19 *(IDA funding).*

**Window 2 for IPF**:

* + - * ***US$34.57 million (federal level)*.** Enable MUDHo to support and guide the regions and ULGs and also to administer and coordinate the Operation (*US$32.57 from IDA; and about US$2.0 million from AFD).*

**UIIDP funding to ULGs will be allocated using a simple formula, based on population size and the performance of the ULGs.** An approximate US$16–18 per capita per year (with phasing in of the new ULGs in the first FY) has been assessed to be the optimal level of funding.[[8]](#footnote-8) As a core principle, the per capita amount would at least maintain the similar level as at the start of the ULGDP II to ensure minimum level of incentives and meaningful infrastructure and services investments. The size of this performance grant has been determined considering various factors such as international good practice (from an expanding number of countries with performance-based grant allocations), the costs of investments, expenditure needs and current level of investments, as well as generation of sufficiently strong incentive to drive the performance. This has been informed by a comprehensive review of ULG fiscal and revenue positions.

**ULGs will use the Program funds to finance urban infrastructure works as well as capacity building activities, in compliance with the Program’s investment menu and capacity building manual**. Eligible infrastructure investments fall under eight groups including: (a) urban roads, (b) integrated infrastructure and land services, (c) sanitation (liquid waste), (d) solid waste management, (e) urban drainage, (f) urban disaster risk management and urban resilience, (g) built facilities, and (h) urban green infrastructure. Ineligible investments include any World Bank environment and social impact assessment Category A projects. Compliance with the investment menu is a minimum condition for receiving funds. In addition, ULGs will be required to prepare the project in a participatory manner, and consider: (a) social inclusion requirements, including gender and disability considerations; (b) climate change and disaster adaptation; and (c) contribution to LED and long-term job creation.[[9]](#footnote-9) ULGs could also spend up to 5 percent of investment grants and regional/city contributions on capacity building support.For regional government entities, the grants will mainly be used for capacity building, operations and management expenses, subject to the eligible capacity building areas, similar to the ULGs.

Disbursement Linked Indicators, Minimum Conditions, Performance Measures and Verification Protocols

**Almost 96 percent (or around US$576 million) of the Operation’s funds will be disbursed against disbursement linked indicators (DLIs).** The DLIs are structured to provide incentives to participating ULGs and regional governments for improved management and development of urban areas. (More details on the DLIs, MCs, PMs, performance assessments, verification protocols and disbursement arrangements are provided in the **UIIDP Annual Performance Assessment Guideline (APAG)** which is a part of this POM and is a standalone Annex of the POM)

**DLIs 1 to 4 focus on ULGs to strengthen ULG institutional roles in the delivery of infrastructure and services and enhance local economic development**. Each of these DLIs is a composite index of defined MCs and PMs. Adjustments to these performance indicators and scoring may be done throughout Program implementation and particularly following the midterm review to ensure that the system remains relevant, manageable and robust. These four DLIs build on ULGDP II performance assessment system and will ensure that:

* + Basic fiduciary, project planning and execution, and environmental and social management conditions are in place such that local governments can absorb the Program funding;
  + ULGs continue to strengthen their institutions of urban management in a social inclusive manner;
  + ULGs use program funds effectively in creating sustainable and resilient infrastructure and delivering services, achieve the targets in infrastructure delivery, maintenance and development and to promote the GoE’s strategy on urban development at the city level.
  + ULGs improve on systematic and foundational aspects to promote long term job creation, urban resilience and gender empowerment.

The funding proportion against DLIs 1 to 4 have been adjusted to align incentives with emerging priorities. As compared to ULGDPII, less rewards are given for achieving the MCs (DLI1) and instead emphasis is placed on achieving the PMs (DLIs 2 to 4) which have higher performance criteria. In addition, DLI4 focuses on the new thematic areas of local governments’ performance in LED, resilience and gender and is given a substantial sum to incentivize improvements in these areas.

**The disbursement system for DLI 1, 2, 3, and 4 is scalable based on actual performance of ULGs**. It is particularly important to note that if the ULGs perform better (or poorer) than expected (as set out in the disbursement related targets in the DLI matrix), disbursements will be adjusted accordingly. This means that if ULGs perform higher than expected they will receive higher than expected disbursements. If this continues throughout the Program, additional financing may be needed.

**DLIs 5 to 9 focus on regional government entities** **to enhance their abilities in fulfilling their mandates to support ULGs.**These DLIs will disburse based on results achieved by regional government entities in providing support to ULGs (DLI 5) as well as focusing on their performance in conducting essential audits for ULGs such as on fiduciary and environmental and social management.

**DLI 10 is a legacy DLI, disbursing against prior results on institutional performance, service delivery, maintenance, and job creation for 44 ULGs.** Based on the APA conducted in FY 2017/18 and review of results against 92 average points, DLI 10 will disburse to 44 ULGs in FY 2018/19 to an extent to which the ULGs have (i) strengthened their institutional performance and (ii) have implemented their local infrastructure, maintenance, and job creation activities (as measured against their Capital Investment Plans and their Annual Action Plans).

**Collectively the DLIs address the PDO and key result areas**. The DLIs are designed to address the challenges of ULGs’ and regional governments’ institutional performance and, in turn, ULGs’ ability to deliver, operate, and manage infrastructure and services, and expand LED. They provide incentives to address the core issues such as on timely audit, social and environmental management, own-source revenue generation, and strengthen the system and procedures for capacity building. In addition, there is enhanced focus to strengthen urban resilience, promote LED and job creation, and enhance gender equality. The PMs have a direct link to the key result areas and the GoE’s program intended outcomes.

**The expenditure areas are designed to correspond with the structure of the DLIs.** These reflect (a) the performance-based grants to ULGs for urban infrastructure and services investments and capacity building, and (b) the regional governments’ capacity building and oversight/support to participating cities. The support to the MUDHo to administer and coordinate the program and strengthen its capacity to support and guide the regions and ULGs is covered by the IPF.

An independent Annual Performance Assessment (APA) will be carried out every year to review the performance of cities and regions against the set of agreed indicators and performance measures. The independent verification of results to trigger disbursement is key to the Program. This is the main mechanism to measure the performance and progress of ULGs and regions in UIIDP. (See the Annual Performance Assessment Guideline (APAG) for the detailed DLIs, the detailed DLI matrix and verification protocol. The APA results are used to verify the DLIs and form the basis for disbursements:

*For ULGs*. Allocations will be determined by: (a) a set of minimum conditions (MCs), and (b) a further list of performance measures (PMs). Minimum conditions determine if the ULG is eligible to participate in that year’s program to receive grant support, and the performance measures track progress of each city in specific areas and determine each city’s score. Key result areas include: (a) participation of citizens in planning and Budgeting and gender focus, (b) fiduciary management, (c) generation of own source municipal revenues, (d) delivery as well as operation and maintenance of new infrastructure and services, and direct job creation, (e) accountability and oversight systems and (f) environmental and social safeguards, and new areas such as resilience, LED and gender (see APAG Sections 6-9 for an overview of the minimum conditions and performance measures).

*For regional governments*. Key result areas include: (a) capacity building (for various regional bureaus of urban development (BUDs) and the quality of this, (b) carrying out timely annual audits of ULGs (for Offices of the Regional Auditor Generals (ORAGs) according to standards, (c) performing social and environmental audits (for Regional Environmental Protection Agencies (REPAs)), (d) supporting ULGs’ with respect to urban revenue generation (for Regional Revenue Authorities (RRAs)) and (e) carrying out the annual procurement audits (for Regional Public Procurement Agencies (RPPAs) according to defined standards. (See APAG Sections 10 for an overview of the DLIs and performance measures for regions)

The APA system design built in measures such as independent assessments, quality assurance, complaint handling system and approval procedures to ensure its robustness. The MUDHo will recruit an independent firm to conduct the APA in a timely manner. The draft assessment results will be shared simultaneously with the World Bank and the government (first draft by October and second draft by January each year). Both the MUDHo (under a technical sub-committee established) and the Bank will separately undertake rounds of quality assurance review (QAR). Finally, the UIIDP TC will verify the APA results, and these will be further endorsed by the UIIDP SC. Based on the final APA results, GoE will send a Results Achievement Notification (by February each year) summarizing how the Program DLIs have been met. The Bank will retain the right to make the final decision on whether a DLI has been achieved or not.

**OBJECTIVES OF ASSIGNMENT**

The Ministry seeks the services of a competent consulting firm or a consortium of firms to undertake the assignment to assess and score the performance of **61 of the 117 cities in Oromia (38 cities) and SNNPRS (23 cities)** that are participating in the Urban Institutional and Infrastructure Development Program (UIIDP). The assessment will be done according to the UIIDP Disbursement Linked Indicators (DLIs) and the associated Performance Measures (PM) and performance indicators except Quality of Infrastructure which will be done by Office of Federal Auditor General and results handed over to the APA Consultant. The assessment will be done as per procedures described in the latest updated Annual Performance Assessment Guideline (APAG) for UIIDP, so as to identify the achievement of the cities, individually and in aggregate. This will determine: a) whether UIIDP funds linked to the DLIs described can be disbursed (by the World Bank); and b) the allocation, or non-allocation of funds, (by GOE) that may be made to each of the 61 participating cities for EFY 2012 (2019/2020) & EFY 2013 (2020/2021). The new cities which did not participate in ULGDP II will only be assessed in regard to the Minimum Conditions in the first year. In addition to this, the APA will assess the DLIs related with the performance at the regional level (DLIs 5, 6, 7, 8 and 9.)

**SCOPE OF SERVICE**

**Annual Performance Assessment (APA) - Disbursement Linked Indicators, Performance Measures and Indicators**: The Consultant will carry out the detailed APA to assess the performance of the 61 participating ULGs and Regional State entities against the set of DLIs and associated PMs and indicators, except Quality of Infrastructure. The assessment will involve intensive field work (visiting all 61 ULGs) for collection of data and field verifications, and report writing and compilation. The assessment will be conducted in accordance to the procedures and criteria detailed in the APAG. The APAG will be provided to the selected Consultant and it will be the main guiding document for the assessment.

The Consultant will have to determine whether the PM and indicators are fulfilled on the basis of the existence of evidences. The assessment should involve minimal subjective “judgment” on the part of the consultant or city – although some professional judgement is required in some cases. It should, as far as possible, be “evidence-based” – i.e. performance is assessed on the basis of identifiable (documentary) evidence provided by the cities. The Consultant will need to provide evidence that conclusively and indisputably supports the assessment.

**Coverage** - The assessment shall cover 61 Program ULGs and 5 regional implementing agencies in Oromia & SNNPRS (The Regional Bureaus of Urban Development, Housing and Construction (or NRS equivalent), – DLI5, Office of the Regional Auditor General – DLI6, Regional Environmental Protection Agency –DLI7, Regional Revenue Authority – DLI8 and Regional Public Procurement Agency – DLI 9. The 61 ULGs are:

|  |  |  |
| --- | --- | --- |
| **OROMIA REGION** | | **Population CSA 2013 Estimates** |
| **Previous ULGDP II Cities (11)** | |  |
| 1 | Adama | 282,974 |
| 2 | Bishoftu | 128,408 |
| 3 | Jimma | 155,434 |
| 4 | Shashemane | 129,084 |
| 5 | Nekemte | 96,657 |
| 6 | Assela | 86,441 |
| 7 | Sebeta | 63,391 |
| 8 | Burayu | 62,806 |
| 9 | Ambo | 61,900 |
| 10 | Robe | 57,031 |
| 11 | Ziway/ Batu | 56,104 |
| **New Cities (27)** | |  |
| 1 | Adola | 29,475 |
| 2 | Agaro | 32,714 |
| 3 | Arsi Negele | 60,770 |
| 4 | Babile | 22,760 |
| 5 | Bedele | 25,080 |
| 6 | Bedesa | 23,371 |
| 7 | Bokoji | 22,797 |
| 8 | Chiro | 43,266 |
| 9 | Dembi Dolo | 37,841 |
| 10 | Dodola | 26,766 |
| 11 | Fiche | 35,329 |
| 12 | Gimbi | 39,811 |
| 13 | Ginir | 21,976 |
| 14 | Goba | 41,152 |
| 15 | Hagere Mariyam (Bule Hora) | 35,749 |
| 16 | Haromaya | 39,486 |
| 17 | Holeta | 29,936 |
| 18 | Laga Tafo | 20,284 |
| 19 | Metu | 36,985 |
| 20 | Mojo | 37,968 |
| 21 | Negele | 45,314 |
| 22 | Nejo | 24,412 |
| 23 | Shakiso | 29,466 |
| 24 | Shambu | 35,136 |
| 25 | Suluita | 37,492 |
| 26 | Weliso | 48,674 |
| 27 | Yabelo | 22,483 |
| **Total Oromia (38 cities)** | | **2,086,723** |
| **SNNPRS** | | **Population CSA 2013 Estimates** |
| **Previous ULGDP II Cities (9)** | |  |
| 1 | Hawassa | 225,686 |
| 2 | Arbaminch | 107,542 |
| 3 | Dilla | 84,952 |
| 4 | Sodo | 109,225 |
| 5 | Areka | 45,109 |
| 6 | Butajira | 47,978 |
| 7 | Hosaena | 100,528 |
| 8 | Mizanaman | 48,946 |
| 9 | Yirga Alem | 43,586 |
| **New Cities (14)** | |  |
| 1 | Welkite | 41,458 |
| 2 | Durame | 35,147 |
| 3 | Aleta Wondo | 31,730 |
| 4 | Bodite | 34,661 |
| 5 | Jinka | 29,108 |
| 6 | Tapi | 35,660 |
| 7 | Bonga | 29,956 |
| 8 | Sawula | 32,608 |
| 9 | Halaba (Alaba Kulito) | 38,587 |
| 10 | Shone | 22,428 |
| 11 | ShinShicho | 20,517 |
| 12 | Hadero | 25,609 |
| 13 | Yirga Chefe | 21,713 |
| 14 | Worabe | 65,199 |
| **Total SNNPRS (23 cities)** | | **1,277,933** |

**At the ULG level, the consultants will assess**: performance against Minimum Access Conditions (MACs) and also institutional performance improvements and infrastructure investment performance. The key results areas include: (a) participation of citizens in planning and budgeting, (b) fiduciary management, (c) assets management, (d) generation of own source municipal revenues, (e) land management and urban planning, (f) delivery of new infrastructure and services, and operation and maintenance of existing infrastructure and services, (g) accountability and oversight systems, (h) job creation, (i) environmental and social safeguards and (j) local economic development, urban resilience and gender mainstreaming

**At the regional level the consultants will assess: (**1) the extent to which the regional ORAGs have conducted timely audits of the ULGs final accounts (by January 7 of each financial year), and verify the quality of audit reports; (2) the regional environmental protection agencies have carried out the safeguards reviews/audits of ULGs in their jurisdictions before the start of the APA in each year, including the quality of the review; (3) The Regional Revenue Authorities have supported ULGs’ efforts to generate revenues; (4) the APA will finally check the extent to which the regions have developed and executed capacity building plan; and 5) the extent to which Regional Public Procurement Agencies have conducted timely procurement audits of participating ULGs in their jurisdiction including quality of the procurement audits.

**Related to the execution of the Capacity Building plan**, the APA will verify that (i) regional government teams are in place and are operating, and (ii) regional governments have adopted service delivery standards (as issued by MUDHo) and issued those for the cities, and provided guidance in implementation (reports).

**Scoring Matrix**: The Consultant will develop a simple computerized model into which the Consultant will enter the (draft and final) scoring data resulting from the APA. The model will calculate the allocations to be made to each of the 61 cities and the aggregated scores for each DLI to identify whether and how much funds may be released. The computerized model should **facilitate linkage of results to the word documents and also easier consolidation and analysis of results.**

**ULGs Signing-off on APAs**: Before completing the assessment, the Consultant will be required to present the draft assessment to executive representatives/officials of each city and region and obtain their signed certificate of agreement to the assessment, documenting any justifications for non-agreement.

**Strict adherence to the work plan agreed** with the Client in the Final Inception Report is important because the APA is an input to the process of deciding on allocation of funds and it will have an impact on the ULG planning and budgeting process.

**EXPECTED TIMING AND DURATION OF THE ASSIGNMENT**

**1st APA**

It is expected that the contract will be signed not later than August 31, 2018 and the Consultant will commence services not later than 1st October 2018. The estimated implementation period for the assignment is approximately 7 months over the period from 1st October 2018 to April 2019. Most of the field work is done during the period from October 1, 2018 to November 30, 2018 (8 weeks) with submission of preliminary draft reports by December 31, 2018 (excluding audit results/scores) and Final Reports by April 29, 2019 (including audit results/scores).

**2nd APA**

It is expected that the contract will be signed not later than mid-July 2019 and the Consultant will commence services not later than 1st August 2019. The estimated implementation period for the assignment is approximately 7 months over the period from 1st August 2019 to February 29, 2020. Most of the field work is done during the period from August 1, 2019 to September 30, 2019 (8 weeks) with submission of preliminary draft reports by October 15, 2019 (excluding audit results/scores) and Final Draft Reports by January 21, 2020 (including audit results/scores).

**MAIN TASKS**

**Task 1, Inception Period – 2 weeks**

1. **Data Collection & Review**: Thoroughly review the documents that MUDHo and cities will provide as part of the performance criteria. These documents include:
2. UIIDP Program Operational Manual Volume 1: Main Text , April 2018
3. UIIDP Program Operational Manual Volume 1I: Annexes, April 2018
4. UIIDP APA Guideline (APAG) (latest version), March 13, 2018
5. UIIDP Monitoring, Evaluation and Reporting System and Guidelines (Volume 1-Federal; Volume 2 – Regional; Volume 3- Cities) (not yet issued)
6. UIIIDP Environmental and Social Management System Guideline (April 2018)
7. UIIDP Resettlement System Guideline (April 2018)
8. Capital Investment Plan Manual & Template (April 2018)
9. Asset Management Manual, Model AMP & Implementation Strategy (June 2016)
10. Revenue Enhancement Plan Manual & Template (May 2018)
11. ULGDP II First Annual Performance Assessment for EFY 2007 Allocation to 44 cities. Final Report (September 2014)
12. ULGDP II Second Annual Performance Assessment for EFY 2008 Allocation to 44 cities. Final Report (June 2015)
13. ULGDP II Third Annual Performance Assessment for EFY 2009 Allocation to 44 cities. Final Report (June 2016)
14. ULGDP II Fourth Annual Performance Assessment for EFY 2010 Allocation to 44 cities. Final Report (June 2017)
15. ULGDP II Fifth Annual Performance Assessment for EFY 2010 Allocation to 44 cities. Final Report (May 2018)
16. Cities’ annual and quarterly progress reports for EFY 2010 and EFY 2011. As part of the preparations for the annual assessments, each city will complete and submit to BWUD by July 31 of each year (and BWUD to MUDHo by August 7), an annual progress report for the previous fiscal year).
17. Cities prior year and current year capital investment plans/budgets, annual action plans and annual procurement plans.
18. Cities revenue enhancement plans for prior year and current year.
19. Cities asset inventories and asset management plans of prior year and current year
20. Cities external audit reports from previous EFYs (minimum 5 years back). If not yet issued, cities’ most recent external audit reports, including recommendations for improved performance.
21. Cities Annual Procurement Plans and contracts register for the assessment periods.
22. Other reference and operational documents as specified in the APAG.
23. **Inception Report**: The Consultant will prepare an Inception Report which presents the details of the methodology for carrying out the assignment, a detailed work plan and organization of the Consultant’s Team, amongst others (not more than **15 pages)**.

The **work plan** should include the planned schedule of all tasks to be performed and describe in detail, the planned visit by the Consultant’s teams to each city and regions including dates of visit, dates for introductory briefing and presentation of the performance assessment to city executives, date for delivery of the various drafts of the UIIDP Annual Performance Assessment etc.

On the **organization of Consultant’s team**, the Consultant is expected to form Performance Assessment Teams (PATs) for conducting the assessment and field visits to the 61 ULGs, clustering approximately into 4 zones, or other suitable arrangements. This should consider logistical reasons, putting ULGs from one region into one team as well as to allow for carrying out of the assessments of the ULGs simultaneously so as to meet the assignment’s timeline. The Consultant should detail the team composition and how the teams and team members would be organized. This should be discussed, agreed and finalized with the Client’s representative (Bureau Head, UREFMFB, MUDHo).

***The Draft Inception Report should be submitted within ten (10) days after the commencement of the assignment.***

1. Approval of Inception Report: The Client will provide comments or feedback and advise the Consultant whether the Inception Report is approved (within 3 days of submission of the Inception Report).
2. **ULG notification**: Immediately following the approval of the Inception Report, the Consultant will contact executive officials in each city government and regional RUDBs officials to inform them of the dates for the APA to be undertaken in each city.
3. **Certificate of Agreement Format**: The Consultant will draft and submit, in consultation with the Client, a form of Certificate of Agreement to the UIIDP Annual Performance Assessment that will be signed by each City’s (and BUDHos) nominated representative at conclusion of the APA for each City.
4. **Mobilization**: The Consultant will fully mobilize and train their team and make all logistical preparations for carrying out the APA in the 61 cities and regions, as according to the work plan.

**Task 2: Annual Performance Assessment of 61 Cities and Regional Implementation Agencies ( 8 weeks)**

1. **Introductory Presentation & Briefing with ULGs**: Before commencing the APA in each ULG, the Consultant will meet with the Regional Bureau of Urban Development and Housing (BUDHo) representative, Mayor, City Manager, ULGDP Coordinator (and any other city official nominated by the Mayor or City Manager) and:
2. Present the full Consultant’s team;
3. Brief the meeting as to the methodology to be followed;
4. Agree who will be the key informants at the city for each of the Consultant’s team/ performance criteria, what documentary evidence of performance is required and when they will meet to agree on the assessment of performance.
5. The date, time, place and who will be present for the wrap-up meeting (exit conference) at which the Consultant will present the final agreed (with the relevant City officials) preliminary APA (not more than 4 pages) and at which, following any discussion and amendment of the preliminary APA, the Mayor, City Manager, ULGDP Coordinator and Regional BUDHo representative will certify (attach signatures) that they have received, discussed and agreed the preliminary APA and any areas of disagreement.
6. The Consultant will take minutes of this meeting, including names of all persons present, and will subsequently obtain the UIIDP Coordinator and BUDHo representatives confirmation as to the accuracy and completeness of these minutes
7. **Annual Performance Assessment**:

***Field Visits*** - The respective PATs will visit all 61 participating ULGs in their group of ULGs and undertake the assessment process as per the APAG dated March 13, 2018. The teams are expected to visit and spend minimally 4 days (inclusive of travelling time) in each ULG and approximately 2 days (as required) in each of the 2 participating regional implementing agencies to carry out the assessment. This will be carried out by the PATs in the manner as agreed in the Inception Report.

***Assessment*** - The Consultant’s teams will then carry out the APA exercise according to the detailed procedures in the APAG. Teams will meet the assigned city/regional officials, securing documents as evidence of performance achieved, carrying out inspections and investigation through sub-project site visits to verify the authenticity of the performance as necessary; requesting and documenting reasons or justification for specific under/over performance; meeting together to check/integrate results and coordinate activities and preparing the preliminary APA for the city and region.

1. **Wrap-Up Meeting**: The APA for each city will be completed with a Wrap-Up working session. The Consultant will take minutes of this meeting and will subsequently obtain the UIIDP Coordinator and BUDHo representative’s confirmation as to the accuracy and completeness of these minutes. The Consultant’s team will present the ***First Draft Performance Assessment*** for the City, consisting of:
2. A brief written description of the Performance Assessment for each of the DLIs and performance criteria described in the APAG – not more than 1 page; describing: a) any difficulties encountered in determining the assessment; and b) any reasons, explanations or justifications provided by the City for any over or under performance;
3. A summary table of the performance assessment;
4. The list of documents that verify the performance assessed; and
5. The Certificate of Agreement to the UIIDP APA.
6. **Provision of Documents**: The Consultant will provide four copies of First Draft Performance Assessment and Certificate of Agreement, to the City representatives; 1 copy to the Regional BUDHo representatives and 2 further copies with original signatures in their full draft APA for submission to the Client with a copy to the World Bank.
7. **Client intervention**: The Consultant will inform the Client, by email, when the First Draft Preliminary APA is agreed and the signed Certificate of Agreement is secured. Should the Consultant be unable to secure a signed Certificate of Agreement, they will inform the Client’s representative within 24 hours and agree what follow-up action will be taken and by whom.
8. The Consultant will submit to MUDHo, within 7 days of completion of the field work visits for all the 61 cities, a Consolidated Field Work Report showing 61 cities and regions visited and dates thereof, any challenges and problems encountered and recommendations for future field work/visits.

Task 3: Submission of APA Reports

***First Draft Preliminary Reports (excluding audit results/scores)***

The Consultant will produce the First Draft Preliminary APA synthesis report and individual city reports as per the format in the APAG, and submit all reports simultaneously to MUDHo and World Bank ***by not later December 31, 2018 for 1st APA and not later than October 15, 2019 for 2nd APA.***

***Second Draft Preliminary Reports (excluding audit results/scores)***

A Quality Assurance Review organized by the World Bank will be conducted based on the first draft preliminary APA report from January 15 – February 28, 2018 (1st APA) and October 16-November 30, 2019 (2nd APA) or once the report has been received. The QAR will communicate its findings to MUDHo. MUDHo will communicate to the Consultant the QAR findings. The consultants will address and incorporate comments and necessary amendments as well as incorporate audit results/scores that will be available for all 61 cities by January 07, 2018. The consultant will prepare and submit simultaneously to MUDHo and World Bank the revised and good quality Second Draft preliminary individual city reports for the 61 cities and the Second Draft Preliminary Synthesis Report ***by March 15, 2019 (1st APA) and December 10, 2019 (2nd APA)***.

**Third Draft Preliminary Reports,**

The Second Draft Preliminary Reports are then verified jointly by the World Bank and MUDHo to check whether all comments have been incorporated. Comments on the Second Draft Reports will be provided to the Consultant by **March 22, 2019** **(1st APA**) and **December** 17**, 2019 (2nd APA).**

The Consultant will incorporate the comments from the second round into the Third Draft Preliminary Reports for each ULG and the Third Draft Preliminary Synthesis Report. These Third Draft Preliminary APA Reports will be submitted simultaneously to MUDHo and World Bank **by not later than March 31, 2019 (1st APA) and not later than December 24, 2019 (2nd APA**). MUDHo will share the third draft with ULGs and Regions which will have 14 days to submit complaints, if any***.*** TheAPA Complaints Resolution Committee (APACRC) will consider all complaints received and make recommendations on changes to be made by the APA Consultants.

**Final Draft 1st and 2nd APA Reports (including audit results/scores)**

The APA Consultants will submit simultaneously to MUDHo and World Bank **by not later than April 29, 2019 (1st APA) and January 21, 2020 (2nd APA)**, the Final Draft Reports incorporating changes which they consider justified and provide a report on changes made and not made (with justification). The UIIDP Federal Technical Subcommittee (FTSC) will verify the APA results and complaints resolution and submit its recommendations to the UIIDP Federal Steering Committee (FSC) by **not later than May 2, 2019 (1st APA) and not later than February 5, 2020**. The APA results will be formally reviewed and approved by the FSC, reviewed and endorsed by the World Bank **not later than May 15, 2019 (1st APA) and February 15, 2020 (2nd APA)**.

**Final 1st and 2nd APA Reports (including audit results/scores)**

The APA Consultant will incorporate the final changes and endorsement of the World Bank of the APA results and allocations and submit the **Final** ULG and Synthesis APA Reports by **not later than May 22, 2019 (1st APA) and February 22, 2020 (2nd APA)**.

MUDHo will distribute the Final ULG and Synthesis APA Reports to all regions and will also officially notify them of the final allocations approved by the World Bank.

**Task 4: Workshop**

Following distribution to regions of the Final ULG and Synthesis APA Reports and notification of Allocations/Disbursements by MUDHo, the UREFMFB (MUDHo) will arrange a 1-day workshop ***in May 2019 (1st APA) and in February 2020 (2nd APA)***, at a venue to be determined, for the presentation of the findings from the final APA.

The Consultant will make the main presentation of their results which should take no more than 3 hours. The format for the workshop will be advised to the Consultant in due course. The Consultant will not include the workshop costs in their financial proposal. The workshop participants are not yet identified but are likely to be approximately 300, with representatives from each UIIDP participating ULG, Regional States, MUDHo, MOFEC and other federal agencies, as well as the World Bank, other development partners, the press, etc.

The **workshop objectives** are to discuss the findings and results of the APA with all stakeholders and to mobilize all stakeholders, UIIDP implementing agencies and interested parties in support of and in identifying further actions required to successfully implement the UIIDP and improve performance of the ULGs;

The Consultant will within 5 calendar days of the end of the workshop, prepare a **brief workshop report**, containing: any presentations made at the workshop, a list of workshop participants (name, position, telephone, email), identification of any issues arising at the workshop that require follow-up or that either affect decision as to UIIDP disbursements, or the conduct of future APAs.

***Format for APA report, and summary sheet for each City***: For each round of APA draft reports, the Consultant will produce an *overall synthesis report* and *individual city reports* capturing the findings of all cities, and with an executive summary. The reports should capture strengths and weaknesses on each performance measures for each city and regional implementation agency. The reports need to be of sufficient high quality, as deemed satisfactory by the client. The Consultant will use the reporting format provided in the APAG. Any suggested changes for improving the reporting format will need to be cleared by the Client. All reports will be produced in English.

***In summary, the assignment should proceed according to the following timetable:***

Schedule for 1st APA of UIIDP: Allocations for DLIs 1-4 & DLIs 5-9 for EFY 2012 (2019/20)

| **Date (Gregorian Calendar)** | **Activity** |
| --- | --- |
| By End of August 2018 | Independent APA consultants engaged and onboard |
| October 1, 2018 | APA commences – data collection in the field. |
| By November 30, 2018 | APA consultant completes all field assessments, including minimum conditions and performance measures (DLIs 1–4), (including value for money audit).  For 73 new cities, only Minimum Conditions will be assessed and VfM Audit is waived for this first round. The APA also assesses the result for regions against **DLI 5**–**9.** |
| By December 31, 2018 | APA consultant completes and submits **first draft Preliminary** APA reports and draft Preliminary Synthesis Report (excluding the audit results for the ULGs) to MUDHo as well as to the World Bank. |
| January 15 – February 28, 2019 | Conduct **Quality Assurance Review (World Bank**); Quality Assurance Review comments and findings to inform APA ready by no later than February 15, 2019 and TC review findings for consistency by February 28, 2019. |
| By February 28, 2019 | MUDHo provides indicative allocations for EFY 2012 (2019/20) to all regions for all 117 cities to start the capital investment planning process. |
| By March 15, 2019 | APA team incorporates QAR comments and submits **second draft Preliminary** APA reports and draft preliminary synthesis report (including audit results for ULGs) simultaneously to MUDHo and World Bank. |
| By March 31, 2019 | Review by MUDHo and Bank, and APA team reconcile comments received, into the **third draft Preliminary** report produced by the APA team and submitted simultaneously to World Bank and MUDHo. |
| By April 1, 2019 | MUDHo shares the third draft report with ULGs /Regions which have 14 days for submitting complaints, if any |
| By April 15, 2019 | ULGs/Regions submit their complaints. |
| By April 22, 2019 | Review by the APA Complaints Resolution Committee (APACRC) of ULG/Regions’ complaints  Reconciliation between complaints and APA findings (APACRC)  Recommendations from the APACRC on changes to be made by the APA team. |
| By April 29, 2019 | **Final draft APA report** for each ULG/region and the Final Draft Synthesis Report as well as report on changes made and not made (with justification) by APA team, submitted to World Bank and MUDHo |
| By May 2, 2019 | Final Verification of the APA results by **the UIIDP** **Federal** **Technical Committee (FTC)** |
| By May 15, 2019 | Formal review and approval of results by the FSC; review and endorsement by World Bank (for the coming FY’s allocations to ULGs) |
| By May 22, 2019 | **Final APA report** for each ULG/region and the Final Draft Synthesis Report incorporating changes and endorsement by the World Bank. |
| By May 31, 2019 | Final Results and Allocations announced and workshop with regions and ULGs held. |
| In June 2019 | ULG budgeting process for 2019/20 continues based on actual allocations. |
| By June 30, 2019 | Submission of CIPs, REPs and AMPs by ULGs to regions for approval |
| By July 15, 2019 | Approval of CIPs, REPs and AMPs by regions |
| July 15, 2019 | Start of implementation of CIPs by ULGs |
| By June 30, 2019 | World Bank disburse to MOFEC the full amount. |
| In July 2019 | 50 percent of the allocations disbursed to Regions and ULGs. |
| In January 2020 | 50 percent of annual allocation disbursed to Regions and ULGs. |

Schedule for 2nd APA of UIIDP: Allocations for DLIs 1-4 and DLIs 5-9 for EFY 2012 (2019/20)

|  |  |
| --- | --- |
| **Date  (Gregorian Calendar)** | **Activity** |
| By mid-July | Independent APA consultants engaged and onboard |
| Early August | APA commences – data collection in the field. |
| By September 30 | Complete all field assessments, including minimum conditions and performance measures (DLIs 1–4), (including value for money audit). The APA also assesses the result against **DLI 5**–**9.** |
| By October 15 | APA consultant completes and submits **first draft Preliminary** APA reports and draft Preliminary Synthesis Report (excluding the audit results for the ULGs) to MUDHo as well as to the World Bank. |
| October 16- November 30 | Conduct Quality Assurance Review (World Bank); Quality Assurance Review comments and findings to inform APA ready by no later than November 25 and TC review findings for consistency by November 30. |
| By December 10 | APA team completes and submits **second draft Preliminary** APA reports and draft preliminary synthesis report (excluding the audit results) and share with MUDHo and World Bank. |
| By December 24 | Review by MUDHo and Bank, and APA team reconcile comments received, into the **third draft report produced by the APA team**. |
| By December 25 | MUDHo shares the third draft report with ULGs /Regions which have 14 days for submitting complaints, if any |
| By January 8 | ULGs/Regions submit their complaints |
| By January 15 | APA consultant: Incorporate audit results in the APA.  Review by the APA Complaints Resolution Committee of ULG/Regions’ complaints  Reconciliation between complaints and APA findings (Complaints Committee)  Recommendations from the Complaints Committee on changes to be made. |
| By January 21 | **Final draft APA report** for each ULG/region and the Final Draft Synthesis Report as well as report from the Complaints Committee on changes made by APA team, submitted to World Bank and MUDHo |
| By February 5 | Final Verification of the APA results by **the UIIDP** **Federal** **Technical Committee (FTC)** |
| By February 15 | Formal review and approval of results by the FSC; review and endorsement by World Bank (for the coming FY’s allocations to ULGs) |
| By February 28 | Allocations announced and workshop with regions and ULGs held. |
| In March | ULG budgeting process for 2019/20 starts, based on actual allocations |
| By June 30 | Submission of CIPs, REPs and AMPs by ULGs to regions for approval |
| By July 15 | Approval of CIPs, REPs and AMPs by regions |
| July 15 | Start of implementation of CIPs by ULGs |
| By June 30 | World Bank disburse to MoFEC the full amount |
| In July | 50 percent of the allocations disbursed to Regions and ULGs |
| In January | 50 percent of annual allocation disbursed to Regions and ULGs |

**REPORTS AND DELIVERABLES**

1. **Draft Inception Report**: Not more than 15 pages and **within ten (10) days of commencement of services.** Containing: methodology for carrying out the assignment (where this is different from or additional to the Consultant’s Technical Proposal); detailed work plan for the visit by the Consultant’s teams to each city; date for delivery of various drafts of Annual Performance Assessment and reports; consultants’ team organization;
2. **Final Inception Report** after incorporation of MUDHo comments by not later than 3 calendar days after receipt of the comments.
3. **Introductory Presentation & Briefing with ULGs** and minutes of meetings;
4. **Wrap-Up Meeting with ULGs,** Certificate of Agreements and minutes of meetings;
5. **First Draft Performance Assessment** for each city, presented to the city at the conclusion of the assessment for that city.
6. **Consolidated Field Work Report to MUDHo** showing cities and regions visited and dates thereof, any challenges and problems encountered and recommendations for future field work/visits, within 7 days of completion of the field works visits for all the 61 cities. The consultant shall submit (3) hard copies of the report as well as two (2) soft copies on CD.
7. **First Draft Preliminary Annual Performance Assessment Synthesis Report and Individual City Reports** submitted simultaneously to MUDHo and World Bank ***by not later December 31, 2018 for 1st APA and not later than October 15, 2019 for 2nd APA.;*** The Consultant shall submit only soft copy by email and on CD (two copies to MUDHo and one copy to World Bank).
8. **Second Draft Preliminary Annual Performance Assessment Synthesis Report and Individual City Reports** submitted simultaneously to MUDHo and World Bank by ***March 15, 2019 (1st APA) and December 10, 2019 (2nd APA)***. after receipt and incorporation of QAR comments; The Consultant shall submit only soft copy email and on CD (two copies to MUDHo and one copy to World Bank).
9. **Third Draft Preliminary Annual Performance Assessment Synthesis Report and Individual City Reports, Incorporating Second Round Comments from MUDHo and World Bank)** submitted simultaneously to MUDHo and World Bank **by not later than March 31, 2019 (1st APA)** and ***not later than December 24, 2019 (2nd APA).*** The Consultant shall submit only soft copy by email and on CD (two copies to MUDHo and one copy to World Bank).
10. **Final Draft Annual Performance Assessment Synthesis Report and Individual City Reports as well as report on changes made and not made (with justification)** submitted simultaneously to MUDHo and World Bank **not later than April 29, 2019 (1st APA)** and ***not later than January 21, 2020 (2nd APA).*** The Consultant shall submit only soft copy by email and on CD (two copies to MUDHo and one copy to World Bank).
11. **Final Annual Performance Assessment Synthesis Report and Individual City Reports incorporating the final changes and endorsement of the World Bank.** submitted simultaneously to MUDHo and World Bank **not later than May 22, 2019 (1st APA)** and **not later than February 22, 2020 (2nd APA)*.*** The consultant shall submit three (3) hard copies of each report as well as two (2) soft copies on CD.
12. **Brief Workshop Report** within 5 calendar days of the end of the workshop. The Consultant shall submit three (3) hard copies of the report as well as two (2) soft copies on CD.

**TEAM COMPOSITION AND QUALIFICATIONS**

The description of the Consultant’s team is provided below

It is expected that the Consultant will provide:

* **An overall team leader/manager and deputy team leader/manager for the entire assignment,** who will be responsible for overall management of the entire assignments and its four APA teams, logistical arrangements; communication with the Client and key stakeholders; quality control of team members work; coordination and integration of Consultant’s inputs and outputs; data analysis using the latest data analysis software packages and production of the reports and deliverables that are consistent, reliable, concise, readable and clear in their findings and presentation of APA results.
* **Four Performance Assessment Teams (PATs)**. It is estimated that four PATs will be formed based on the calculation that the APA for each city will require approximately two day’s work for each team, depending on the size of the ULG and other factors affecting work rates. On this basis and assuming a 5-day working week, with travel on Saturday and Sundays, it is expected that, during the 60 calendar days’ assessment period, each team can carry out the assessment of approximately 15 ULGs. There should be at least two teams for Oromia Region and two teams for SNNPRS. Each PAT should have a team leader, responsible for coordination and communication with the overall team leader/manager for the assignment.
* **Logistics, Transport, Subsistence Allowances etc.** The consultant will be responsible for all logistical, subsistence allowances for the consultant staff and all transport costs for both the consultant staff participating in the assessment process.

The arrangements proposed in detail will be included in the Consultant’s Technical Proposal. Clearly the size and complexity of different ULGs; whether they participated in the ULGDP1 and/or ULGDP II; regional language usages and familiarity with different regions; as well as the logistical arrangements are among the factors the Consultant will need to take into account in selecting and directing their APA teams.

Each Performance Assessment Team (PAT) is likely to consist of at least 9 team members as follows:- **Performance Assessment Team Leader** (a proven leader chosen from the 9 team members below and specialist in any of the main disciplines i.e. (i) Financial Management; (ii) Municipal Finance Specialist; (iii) Procurement Management Specialist; (iv) Environmental Management Specialist; (v) Social Development Specialist (vi) Municipal Infrastructure/Engineer/Asset Management Specialist; (vii) Urban Planning/Land Management Specialist; (viii) Gender Specialist; and (ix) Local Economic Development Specialist.

| **Position** | **Educational Requirements** | **Experience required** |
| --- | --- | --- |
| **Overall Team Leader/Manager** | A minimum of MBA, MA or M.Sc. Degree in Urban Management, Urban Development, Urban Planning, Physical Planning, Urban Design, Architecture, Engineering (Civil, Municipal, Sanitary, Structural, Water, Transportation), Construction Management, Construction Technology, Geotechnical Engineering, Economics, Development Economics, Business Administration, Public Administration or Public Finance or related disciplines | A minimum of 10 years work experience out of which 6 years were in a management position. Previous leadership of multi-disciplinary consultancy teams as a Team Leader or Project Manager/Director is essential. Strong interpersonal, analytic, writing and communication skills. Experience in compiling and editing reports in English is required. |
| **Overall Deputy Team Leader** | A minimum of MBA, MA or M.Sc. Degree in Urban Planning, Physical Planning, Urban Design, or related disciplines | A minimum of 10 years work experience out of which 6 years in a management position. Substantial experience and substantial expertise in data collection, **data analysis using the latest data analysis software packages** and presentation is required. Strong interpersonal, analytic, writing and communication skills. Experience in compiling and editing reports in English is required. |
| **Financial Management Specialist** | A minimum of MBA, MA or M.Sc. Degree in Accounting, Finance, Municipal Finance, Business Administration, Urban Management, Municipal Financial Management, Public Financial Management or related disciplines | A minimum of 10 years work experience out of which 5 years in public financial management |
| **Municipal Finance Specialist** | A minimum of MBA, MA or M.Sc. Degree in Economics, accounting, finance, municipal finance, business administration, urban management, | A minimum of 10 years work experience out of which 5 years in municipal finance. |
| **Procurement Management Specialist** | A minimum of MBA, MA or M.Sc. Degree in Procurement, Procurement & Supply Chain Management, Public Procurement &Asset Management, Commerce, Marketing Management, Business Administration, Economics, Engineering, Law, Accounting, Financial Management or related disciplines with a professional qualification in procurement. | A minimum of 10 years’ work experience out of which five years in procurement management. The consultant should be familiar with Ethiopian Government procurement laws, directives, guidelines & procedures. |
| **Environmental Management Specialist** | A minimum of MA or M.Sc. Degree in Environmental Science, Environmental Engineering, Natural Resources Management, Environment and Development, Environmental engineering, or related disciplines. | A minimum of 10 years work experience out of which five years in environment management  The consultant should be familiar with World Bank environmental management guidelines/procedures and Ethiopian Government environment management laws, guidelines & procedures. Knowledge of the Ethiopian legal instruments for environmental impact assessment is an advantage |
| **Social Development Specialist** | A minimum of MA or M.Sc. Degree in Sociology, Psychology, Social Work, Social Development, Social Anthropology, Community Development or related disciplines. | A minimum of 10 years work experience out of which five years in social management.  The consultant should be familiar with World Bank social management guidelines/procedures and Ethiopian Government social management laws, guidelines & procedures. Knowledge of the Ethiopian legal instruments for resettlement and compensation is an advantage. |
| **Municipal Infrastructure Engineer/ Asset Management Specialist** | A minimum of M.Sc. Degree in Civil Engineering, Municipal/Urban Engineering, , Sanitary Engineering, Structural Engineering, Infrastructure Engineering, Geotechnical Engineering, Building Technology, Construction Technology and Management, , Geodesy, Surveying or GIS or urban planning or related disciplines | A minimum of 10 years work experience out of which five years in infrastructure asset management areas. |
| **Urban Planning/Land Management Specialist** | A minimum of M.Sc. Degree in Urban Planning, Architecture, town planning, regional planning, urban local) and regional planning (studies) land management or related disciplines. | A minimum of 10 years work experience out of which five years in urban planning and land management. |
| **Gender Specialist** | A minimum of MA or M.Sc. Degree in Women & Gender Studies, Sociology, Psychology, Social Work, Social Development, Social Psychology or related disciplines | A minimum of 10 years work experience out of which three years on gender equality and other social issues that affect women.  The consultant should be familiar with World Bank and Ethiopian Government gender guidelines and procedures. |
| **Local Economic Development (LED) Specialist** | A minimum of MBA, MA or M.Sc. Degree in Economics or Development Economics, Urban Management or related disciplines, | A minimum of 10 years work experience out of which 5 years on local and regional economic development, private sector development, socio, economic and labour market analysis |

All team members provided should have a solid professional background in the areas to be addressed, which apart from the specific expertise described in the previous paragraph, would include performance assessment and evaluation, and program management. It is advisable that the team should have members or counterpart team members who are conversant with the local official language, Amharic, since most of the work involves interacting with regional and city officials.

There should not be former MUDHo, UREFMFB, BUDHo or ULG staff involved in the APA as part of the Consultant’s team (within the last three years). Personnel involved should be at “arm’s length” from any previous involvement with related ULGDP II/UIIDP or city activities.

**PROPOSAL EVALUATION CRITERIA**

|  |  |  |
| --- | --- | --- |
| **Technical Proposal Scoring Criteria** | | **Points** |
| 1 | **Consultant’s Specific Experience to Performance the Assessment** | **10** |
| 2 | **Approach and Methodology Used to Conduct Annual Performance Assessment** | **30** |
| 2.1 | Approach and Methodology | 18 |
| 2.2 | Work Plan | 6 |
| 2.3 | Organization and Staffing | 6 |
| 3 | **Consultant’s Team (CVs)** | **60** |
| 3.1 | **Team Leader** | **12** |
| 3.2 | **Deputy Team Leader** | **6** |
| 3.3 | Financial Management Specialist #4 | **5** |
| 3.4 | Municipal Finance Specialist#4 | **5** |
| 3.5 | Procurement Management Specialist #4 | **5** |
| 3.6 | Environmental Management Specialist#4 | **5** |
| 3.7 | Social Development Specialist#4 | **4** |
| 3.8 | Infrastructure Engineer/ Asset Management Specialist#4 | **5** |
| 3.9 | Urban Planning/Land Management Specialist#4 | **5** |
| 3.10 | Gender Specialist#4 | **4** |
| 3.11 | Local Economic Development Specialist#4 | **4** |
| **Total** | | **100** |

The weights given to the Technical and Financial Proposals are: Technical = 0.80 and Financial = 0.20

The technical evaluation pass score to proceed to the next stage of the evaluation in **75 points**.

**PAYMENT SCHEDULE**

The payment schedule shall be:

* *First Payment -* **Advance Payment of 20% (twenty percent)** of the contract price shall be paid following contract signature against the submission of an invoice accompanied by **an acceptable unconditional bank guarantee for the amount of the advance payment**. Bank guarantee will only be released after the end of the assignment. The advance will be deducted from each of the following payments proportionally i.e. at the same percentage as the payment.
* *Second Payment - 20 percent of the lump sum amount shall be paid upon approval of the Final Inception Report that incorporates comments from the client and includes revised methodology, work program and schedule of field visits.*
* *Third Payment - 20 percent of the lump sum amount shall be paid upon completion of desk study, field visit and completion of data collection with submission of consolidated Field Work Report to MUDHo showing 61 Cities and Regions visited and dates thereof, any challenges and problems encountered and recommendations for future field work/visits.*
* *Fourth Payment - 25 percent of the lump sum amount shall be paid upon submission of Final Draft Reports.*
* *Fifth and Final Payment – 35 percent of the lump sum amount shall be paid upon submission and approval of all Final Reports and deliverables including workshop reports containing all presentations made, and a summary of recommendations and agreements reached.*

**MANAGEMENT OF ASSIGNMENT AND DOCUMENTS TO BE PROVIDED BY MUDHo**

The MUDHo is the client for this work. In terms of performance and deliverables, the Consultant will carry out the assignment under the direction of and report to the Bureau Head, Urban Revenue Enhancement, Fund Mobilization, and Finance Bureau (UREFMFB), MUDHo. As the agency responsible for the overall coordination of UIIDP, the Bureau Head, UREFMFB will sign the contract with the consultants on behalf of MUDHo and UREFMFB will be responsible for all payments to the Consultant. In addition, as mentioned earlier, a quality assurance system will be put in place, in addition to the system applied by the contracted company, to ensure full objectivity of the annual performance assessments.

The Client will provide to the Consultant at the commencement of the assignment with any key documents deemed relevant to the Consultant’s scope of service. Other relevant documents will be made available as necessary.

# TOR for UIIDP 1st and 2nd APA of 56 cities and eight regions in Other Regions

**FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA**

**MINISTRY OF URBAN DEVELOPMENT & HOUSING**

**URBAN INSTITUTIONAL AND INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

**Terms of Reference**

**For**

**Consultancy Services for the First (1st) and Second (2nd) Annual Performance Assessment of 56 Cities and 8 regions in Amhara (32 cities), Tigray (12 cities), Ethiopian Somali (4 cities), Afar (4 cities), Benishangul Gumuz (1 city), Gambella (1 city), Harari (1 city) & Dire Dawa City Administration (1 city) participating in the UIIDP for Allocations for EFY 2012 (2019/20) & EFY 2013 (2020/21)**

**(Revised Final Draft, April 23, 2018)**

**BACKGROUND**

The Ministry of Urban Development and Housing (MUDHo) has introduced the **Ethiopian Cities Sustainable Prosperity Goals (ECSPG**) that will lead to the establishment of Green Growth, Resilient and Well Governed Cities that support Ethiopia’s transformation from a predominantly agricultural nation to a nation with a rapidly growing industrial sector that contributes to the economic growth necessary to achieve middle income country status by 2025. The ECSPG is the Ministry’s contribution to the Government of Ethiopia’s **Growth and Transformation Plan** (GTP1) 2010/11-2014/15 and (GTP 2) 2015/16-20/2020.

The ECSPG comprises nine pillars – or dimensions - that will contribute to the achievement of middle income country status and bring the desired political-economic transformation. Growth is a key objective of the Ministry’s initiatives and programs for urban development and construction; the main economic objective. The main elements of the political component of the nine pillars that make up the ECSPG are good governance, democratization at local level and the satisfaction of citizens and residents with the delivery of public services and performance of government – at local, regional and federal levels. Together, the economic and political interventions of the ECSPG will produce the prosperity that accompanies achievement of middle income country status.

The ECSPG’s nine strategic pillars will contribute to Ethiopia’s achievement of middle income country status by producing a transformation in the economic productivity and in the good governance of cities. Economic transformation will be achieved by increased good urban governance in general and in the focus of the ECSPG on Job Creation - Micro & Small Enterprise Development in particular. This focus will be supported by improvements in land use planning, serviced land delivery, housing development, infrastructure, services and green growth development. Investments in all these areas and mobilization of resources to meet increasing operating and investment costs are a main focus of the MUDHo.

The attention given to economic development and governance does not neglect social and environmental development, nor will the key GTP cross cutting issues be neglected. These include gender and children’s affairs, youth and sports development, HIV/AIDS prevention and control, social welfare, labor affairs, population and development, culture and tourism, science and technology, environment and climate change.

The **developmental framework for the ECSPG aims to bring prosperity to Ethiopia’s cities**. The ECSPG programs, sub-programs and projects will be implemented through to 2025 with GTP, SDG and benchmarked middle income country indicators measured against achievement of targets in three indexed areas: good governance, economic and social development (growth) and citizens’ satisfaction.

In terms of achievement of the targets, goals and vision we will continuously ask questions, learn lessons and fine tune the Ministry’s interventions to answer the following:

1. **Governance Index** (*supply side*): What is required to achieve good governance in federal, regional and local government operations and in delivery of urban public services in terms of: efficient & effective service delivery, sustainability, equity and participation, transparency and accountability, rule of law and security, and subsidiarity - administrative and fiscal decentralization.

ECONOMIC & SOCIAL DEVELOPMENT

CITIZENS’ SATISFACTION

DEVELOPMENTAL GOOD GOVERNANCE

ECSPGs Developmental Framework for Performance Measurement

1. **Development Index** (*supply side*) What is required in the development of Ethiopia’s urban centers to create jobs, encourage entrepreneurs, increase investment, develop land, industry, housing and public utilities and strengthen the framework for job creation (e.g.: trade, industry, telecommunications, leadership, increase trade and exports); and lastly:
2. **Citizens’ Satisfaction (Public Perceptions) Index** (*demand side*): What are public perceptions of the development of urban centers and cities? How can we, continuously, identify public perceptions and attitudes, incorporate them into policies, strategies and programs and thus effectively mobilize public opinion and public resources for the achievement of the 2025 Vision,

The Economic and Social Development, Developmental Good Governance and Citizens’ Satisfaction indices will be measured to determine: the current baseline; the GTP2 and III performance targets; and the benchmarked performance targets to 2025, linked to comparable middle income country achievements.

This baseline data, GTP2 and 2025 benchmark targets will, in the three areas described, comprise overall our “Prosperity Index”. The aim is to establish the Cities’ Prosperity Index, containing the three elements described – growth, governance and citizens’ satisfaction for: a) urban centers and cities with a population of 20,000+ in the Central Statistical Agency census, and add cities that achieve this population level; and b) rural development centers that contain basic clustered education, health and administrative facilities as well as commercial services.

The ECSPG contains ten pillars, 12 programs / sub-programs and 43 projects for urban development:-

**Pillar 1. Urban Transformational Leadership**

**Pillar 2. Micro & Small Enterprise and Urban Productivity (Economy)**

**Pillar 3. Urban Developmental Good Governance &Services**

**Pillar 4. Urban Planning, Land Development and Management**

**Pillar 5. Housing Development, Shelter Provision and Administration**

**Pillar 6. Integrated Urban Infrastructure**

**Pillar 7. Environment, Green Services and Recreation**

**Pillar 8. Resilient, Inclusive and Safer Cities**

**Pillar 9. Urban Finance**

**Pillar 10. Urban Social Development**

**Urban Local Government Development Programs**

**First Urban Local Government Development Program 2008/09-2013/14**

In 2008, a credit in the amount of USD150 million equivalent was made available to the government of Ethiopia for the ULGDP1, under which 19[[10]](#footnote-10)cities who benefitted from the CBDSD support were able to receive grant funding for infrastructure and services based on their performance in key areas related to city management.

In 2011 the World Bank approved an additional USD 150 million due to the fact that the program had performed well, and the funds had been disbursed faster than anticipated. The planned six-year budget was disbursed in about three years. The additional bank assistance brought the revised cost of the program to be USD 416 including 20% Regional and 20% ULG contributions to the performance grant.

The additional credit continued financing the costs associated with scaling up the ULGDP1’s activities to enhance the impact of this well-performing program. Specifically, the additional funds financed investments to improve the administration of the 19 participating cities and to help address a large infrastructure backlog. This enabled the administrations of the 19 cities benefiting from the ULGDP1 to further improve their performance in participatory planning, financial management, procurement, execution of infrastructure programs, and sustainable delivery of services. It also assisted 18 additional cities[[11]](#footnote-11) to build capacities in good governance to prepare them to participate in the ULGDP II that commenced in 2014/15 (EFY 2007).

**Second Urban Local Government Development Program 2014/15-2018/19**

The ULGDP II is a follow-up to the successful ULGDP1. In preparation for ULGDP II, 18 additional ULGs were selected in 2012 to receive capacity building support to enable them to participate in the ULGDP II’s performance grant. The ULGDP II has scaled up the ULGDP1 support from 19 to 44 cities – excluding Addis Ababa and adding 26 new cities – by providing highly needed investment funds to promote the cities as growth engines in the GoE’s urban development strategy; build institutional capacity of all tiers of governance (federal, regional and local) in urban development, and enhance the incentives of everyone involved. The 44 ULGs participating in the ULGDP II are:

* The 18 cities that participated in the CBDSD and (excluding Addis Ababa) in the ULGDP1 – as listed on the previous page;
* The 18 cities that participated in the ULGDP1 for CB purposes only[[12]](#footnote-12); i.e., did not receive Performance Grants – as listed on the previous page; and
* The 8 cities that are receiving investment funds through the KfW funded Urban Development Fund and capacity building support from GIZ through the Urban Governance and Decentralization Programme. These cities are: Adwa (Tigray), Debre Markos (Amhara), Hosaina (SNNPR), Nekemte (Oromia), Gambella (Gambella), Semara (Afar), Asosa (Benishangul Gumuz), and Jijiga (Somali). The latter four are located in the Developing Regional States (DRS) of Ethiopia.

The ULGDP II involves disbursement of funds by the World Bank and allocation of funds to ULGs, Regional States and MUDHo through a result orientated/performance-based capital investment fiscal transfer system using the World Bank’s Program for Results (P for R) methodology, clearly linked to well-defined disbursement-linked indicators (DLIs). The P for R operation fully utilizes and enhances the key elements of the existing GoE system.

The ULGDP II Development Objective (PDO) is to enhance the institutional and organizational performance of participating urban local governments in developing and sustaining urban infrastructure and services. The key results of the performance improvements will be:

* enhanced participation of citizens in ULG planning and budgeting;
* efficient fiduciary management;
* increased amount of own source revenues at the ULG level;
* improved infrastructure, service delivery and O&M systems; and
* Strengthened accountability and oversight systems.

The ULGDP II is expected to run for a period of five years – from EFY 2007 (2014/15) to EFY 2011 (2018/19) with the first disbursement year EFY 2007 (2014/15). ULGDP II will fund performance- based grants for 44 cities - of the total number of larger cities (85), excluding Addis Ababa, with a total population of 3,312,107 people (2007 figures) and 4,348,853 (2013 estimates). The ULGDP II will cover all nine regions and Dire Dawa City Administration. The population of the 44 ULGs is about 28% of the total urban population[[13]](#footnote-13).

The total Program budget envelope is US$556.55 million and the main expenditure items are:

* Performance based grants to 44 ULGs for urban infrastructure and services investments and capacity building (US$499.55 million);
* Regional governments capacity building and oversight/support to constituent ULGs (US$30.00 million);
* MUDHo to administer and coordinate the program, and strengthen its capacity to support and guide the regions and ULGs (US$27.00 million);

Activities financed under the performance grant are core infrastructure investments in roads, water supply, sanitation, solid waste, greenery, street lighting, etc. in a well-defined investment menu, which targets infrastructure investments towards areas under ULG responsibility, and to maximize gains and minimize the risks. The ULGs prepare their Capital Investment Plans in a participatory manner and use the planning tools developed under ULGDP1: the assets inventory and management plan system, capital investment plans, annual plans and budgets. Participatory approach and proper planning and budgeting are promoted through the APA. Cities and regions contribute to the investments through a substantial level of matching funding. New cities will be required, at a minimum, to match 10% of the grants while cities currently part of ULGDP1 and all regions have a minimum contribution requirement of 20% each (as per current level).

**Urban Institutional and Infrastructure Development Program (UIIDP)**

Program Development Objective

The Program Development Objective (PDO) **is to enhance the institutional performance of participating urban local governments to develop and sustain urban infrastructure, services, and local economic development**.

Key Results and Expected Outcomes

It is expected that the institutional performance improvements and the infrastructure delivered by cities will result in: -

* + - 1. enhanced citizen participation and engagement in ULG planning and budgeting;
      2. increased own source revenue at the ULG level;
      3. improved infrastructure, service delivery, O&M systems;
      4. improved efficiency and effectiveness in fiduciary management;
      5. Improved environmental and social management and safeguards; and
      6. strengthened accountability and oversight systems; and
      7. strengthened ULG resilience, improved local economic development (LED) and enhanced gender equity in the ULG operations.

The key results indicators are:

1. People provided with improved urban living conditions under the UIIDP [corporate indicator].
2. Cities with improved livability, sustainability, and management [corporate indicator].
3. Composite institutional performance of participating ULGs, averaged across all cities.[[14]](#footnote-14)
4. Composite performance forachievement urban infrastructure and service targets, maintenance performance and value for money in investments by ULGs, averaged across all cities.
5. Composite performance for achievement of LED targets, averaged across all cities

Program Duration

The program with support from the World Bank and AFD, will be implemented over a period of 5 years and 4 months from March 2018 to July 2023, with 4 rounds of performance grants in EFY 2012 (2019/20), EFY 2013 (2020/21), EFY 2014 (2021/22) and EFY 2015 (2022/23). The program covers the remaining year of the GTP2 (2015/16-2019/2020) and part of GTP3 (2020/2021-2024/2025) both of which are aligned to the country’s goal of achievement of middle income status by the year 2025. The program will also contribute in the first year FY 2018/19 to cover the fiscal gap due to over-the target-performance of ULGs in the ULGDP II.

Program Scope and Coverage of Urban Centres

The UIIDP consists of the provision of performance-based grants to ULGs for eligible Investments and support to achieve Program results at the regional level on capacity building, financial audit, procurement audit and environmental and social safeguards audits. The program will have an additional 73 cities to the existing 44 cities making a total of 117 cities that will participate in the program. This substantial scale-up to 117 cities will bring about greater impact in terms of population coverage and size of the Program (increasing beneficiaries from 4.36 million under UGLDP II to an estimated 6.62 million in UIIDP) and result in exponentially larger positive impact for the country. Ethiopia has a significant number of secondary cities that are spatially distributed across the country. The government’s current policies of industrial development and promoting urban-rural linkages present good opportunities for promoting more balanced regional growth through the creation of a linked system of cities. The scale-up also allows strengthening of the overall programmatic and performance-based approach to support sustainable urban development and leverages on economies of scale for program management and implementation. In addition, the scale-up is built on the solid foundations and tried-and-tested overall successful experiences of ULGDP I and II. Timely support to improve institutional performance in the planning, delivery, and sustained provision of urban services and infrastructure by local governments is critical especially for these rapidly growing cities.

Key Features and Financing Modalities

The total IDA funding envelope for the UIIDP is US$600 million (of which USS273 million is from IDA Grant, US$127 million is from IDA Credit and US$200 million is from the IDA Scale-Up Funding (SUF)). In addition, AFD will contribute co-financing of euro 9.8 million (US$10.8 million equivalent). The GoE (from regions and cities) will contribute around US$248.7 million.[[15]](#footnote-15) This brings the total Operation Budget envelope to around US$859.5 million.

Table 4. Program Financing (US$ million)

|  |  |  |
| --- | --- | --- |
| **Source** | **Amount** | **Percent of Total** |
| Government[[16]](#footnote-16) | US$248.7 | 29 |
| International Development Association (IDA) | US$400.0 | 47 |
| IDA Scale Up Facility (IDA-SUF) | US$200.0 | 23 |
| *Agence Française de Développement* (AFD) | US$10.8 | 1 |
| **Total Program Financing** | **US$859.5** | **100** |

The main expenditure items are:

**Window 1 for PforR**:

* + - * ***US$691.11 million (ULG level).*** Performance-based grants to 117 ULGs for infrastructure investments as listed under the Program investment menu *(US$248.66 million from regions and ULGs; around US$433.65 million from IDA; and around US$8.8 million from AFD)*.
      * ***US$70.04 million (regional level).*** Support for regional government to strengthen its capacity to support and guide the ULGs in core areas such as financial audit, environmental audit, procurement audit, revenue enhancement, and others *(IDA funding*)
      * ***US$63.74 million (prior results).*** Allocation against prior results on institutional performance, service delivery, maintenance, and job creation for 44 ULGs as determined in the APA conducted in FY2017/18 for FY 2018/19 allocations *(IDA funding.* This is to fill a financing gap under the ULGDP II that has arisen due to overachievement of performance results during FY2018/19 *(IDA funding).*

**Window 2 for IPF**:

* + - * ***US$34.57 million (federal level)*.** Enable MUDHo to support and guide the regions and ULGs and also to administer and coordinate the Operation (*US$32.57 from IDA; and about US$2.0 million from AFD).*

**UIIDP funding to ULGs will be allocated using a simple formula, based on population size and the performance of the ULGs.** An approximate US$16–18 per capita per year (with phasing in of the new ULGs in the first FY) has been assessed to be the optimal level of funding.[[17]](#footnote-17) As a core principle, the per capita amount would at least maintain the similar level as at the start of the ULGDP II to ensure minimum level of incentives and meaningful infrastructure and services investments. The size of this performance grant has been determined considering various factors such as international good practice (from an expanding number of countries with performance-based grant allocations), the costs of investments, expenditure needs and current level of investments, as well as generation of sufficiently strong incentive to drive the performance. This has been informed by a comprehensive review of ULG fiscal and revenue positions.

**ULGs will use the Program funds to finance urban infrastructure works as well as capacity building activities, in compliance with the Program’s investment menu and capacity building manual**. Eligible infrastructure investments fall under eight groups including: (a) urban roads, (b) integrated infrastructure and land services, (c) sanitation (liquid waste), (d) solid waste management, (e) urban drainage, (f) urban disaster risk management and urban resilience, (g) built facilities, and (h) urban green infrastructure. Ineligible investments include any World Bank environment and social impact assessment Category A projects. Compliance with the investment menu is a minimum condition for receiving funds. In addition, ULGs will be required to prepare the project in a participatory manner, and consider: (a) social inclusion requirements, including gender and disability considerations; (b) climate change and disaster adaptation; and (c) contribution to LED and long-term job creation.[[18]](#footnote-18) ULGs could also spend up to 5 percent of investment grants and regional/city contributions on capacity building support.For regional government entities, the grants will mainly be used for capacity building, operations and management expenses, subject to the eligible capacity building areas, similar to the ULGs.

Disbursement Linked Indicators, Minimum Conditions, Performance Measures and Verification Protocols

**Almost 96 percent (or around US$576 million) of the Operation’s funds will be disbursed against disbursement linked indicators (DLIs).** The DLIs are structured to provide incentives to participating ULGs and regional governments for improved management and development of urban areas. (More details on the DLIs, MCs, PMs, performance assessments, verification protocols and disbursement arrangements are provided in the **UIIDP Annual Performance Assessment Guideline (APAG)** which is a part of this POM and is a standalone Annex of the POM)

**DLIs 1 to 4 focus on ULGs to strengthen ULG institutional roles in the delivery of infrastructure and services and enhance local economic development**. Each of these DLIs is a composite index of defined MCs and PMs. Adjustments to these performance indicators and scoring may be done throughout Program implementation and particularly following the midterm review to ensure that the system remains relevant, manageable and robust. These four DLIs build on ULGDP II performance assessment system and will ensure that:

* + Basic fiduciary, project planning and execution, and environmental and social management conditions are in place such that local governments can absorb the Program funding;
  + ULGs continue to strengthen their institutions of urban management in a social inclusive manner;
  + ULGs use program funds effectively in creating sustainable and resilient infrastructure and delivering services, achieve the targets in infrastructure delivery, maintenance and development and to promote the GoE’s strategy on urban development at the city level.
  + ULGs improve on systematic and foundational aspects to promote long term job creation, urban resilience and gender empowerment.

The funding proportion against DLIs 1 to 4 have been adjusted to align incentives with emerging priorities. As compared to ULGDPII, less rewards are given for achieving the MCs (DLI1) and instead emphasis is placed on achieving the PMs (DLIs 2 to 4) which have higher performance criteria. In addition, DLI4 focuses on the new thematic areas of local governments’ performance in LED, resilience and gender and is given a substantial sum to incentivize improvements in these areas.

**The disbursement system for DLI 1, 2, 3, and 4 is scalable based on actual performance of ULGs**. It is particularly important to note that if the ULGs perform better (or poorer) than expected (as set out in the disbursement related targets in the DLI matrix), disbursements will be adjusted accordingly. This means that if ULGs perform higher than expected they will receive higher than expected disbursements. If this continues throughout the Program, additional financing may be needed.

**DLIs 5 to 9 focus on regional government entities** **to enhance their abilities in fulfilling their mandates to support ULGs.**These DLIs will disburse based on results achieved by regional government entities in providing support to ULGs (DLI 5) as well as focusing on their performance in conducting essential audits for ULGs such as on fiduciary and environmental and social management.

**DLI 10 is a legacy DLI, disbursing against prior results on institutional performance, service delivery, maintenance, and job creation for 44 ULGs.** Based on the APA conducted in FY 2017/18 and review of results against 92 average points, DLI 10 will disburse to 44 ULGs in FY 2018/19 to an extent to which the ULGs have (i) strengthened their institutional performance and (ii) have implemented their local infrastructure, maintenance, and job creation activities (as measured against their Capital Investment Plans and their Annual Action Plans).

**Collectively the DLIs address the PDO and key result areas**. The DLIs are designed to address the challenges of ULGs’ and regional governments’ institutional performance and, in turn, ULGs’ ability to deliver, operate, and manage infrastructure and services, and expand LED. They provide incentives to address the core issues such as on timely audit, social and environmental management, own-source revenue generation, and strengthen the system and procedures for capacity building. In addition, there is enhanced focus to strengthen urban resilience, promote LED and job creation, and enhance gender equality. The PMs have a direct link to the key result areas and the GoE’s program intended outcomes.

**The expenditure areas are designed to correspond with the structure of the DLIs.** These reflect (a) the performance-based grants to ULGs for urban infrastructure and services investments and capacity building, and (b) the regional governments’ capacity building and oversight/support to participating cities. The support to the MUDHo to administer and coordinate the program and strengthen its capacity to support and guide the regions and ULGs is covered by the IPF.

An independent Annual Performance Assessment (APA) will be carried out every year to review the performance of cities and regions against the set of agreed indicators and performance measures. The independent verification of results to trigger disbursement is key to the Program. This is the main mechanism to measure the performance and progress of ULGs and regions in UIIDP. (See the Annual Performance Assessment Guideline (APAG) for the detailed DLIs, the detailed DLI matrix and verification protocol. The APA results are used to verify the DLIs and form the basis for disbursements:

*For ULGs*. Allocations will be determined by: (a) a set of minimum conditions (MCs), and (b) a further list of performance measures (PMs). Minimum conditions determine if the ULG is eligible to participate in that year’s program to receive grant support, and the performance measures track progress of each city in specific areas and determine each city’s score. Key result areas include: (a) participation of citizens in planning and Budgeting and gender focus, (b) fiduciary management, (c) generation of own source municipal revenues, (d) delivery as well as operation and maintenance of new infrastructure and services, and direct job creation, (e) accountability and oversight systems and (f) environmental and social safeguards, and new areas such as resilience, LED and gender (see APAG Sections 6-9 for an overview of the minimum conditions and performance measures).

*For regional governments*. Key result areas include: (a) capacity building (for various regional bureaus of urban development (BUDs) and the quality of this, (b) carrying out timely annual audits of ULGs (for Offices of the Regional Auditor Generals (ORAGs) according to standards, (c) performing social and environmental audits (for Regional Environmental Protection Agencies (REPAs)), (d) supporting ULGs’ with respect to urban revenue generation (for Regional Revenue Authorities (RRAs)) and (e) carrying out the annual procurement audits (for Regional Public Procurement Agencies (RPPAs) according to defined standards. (See APAG Sections 10 for an overview of the DLIs and performance measures for regions)

The APA system design built in measures such as independent assessments, quality assurance, complaint handling system and approval procedures to ensure its robustness. The MUDHo will recruit an independent firm to conduct the APA in a timely manner. The draft assessment results will be shared simultaneously with the World Bank and the government (first draft by October and second draft by January each year). Both the MUDHo (under a technical sub-committee established) and the Bank will separately undertake rounds of quality assurance review (QAR). Finally, the UIIDP TC will verify the APA results, and these will be further endorsed by the UIIDP SC. Based on the final APA results, GoE will send a Results Achievement Notification (by February each year) summarizing how the Program DLIs have been met. The Bank will retain the right to make the final decision on whether a DLI has been achieved or not.

**OBJECTIVES OF ASSIGNMENT**

The Ministry seeks the services of a competent consulting firm or a consortium of firms to undertake the assignment to assess and score the performance of **56 of the 117 cities in** **Amhara (32 cities), Tigray (12 cities), Ethiopian Somali (4 cities), Afar (4 cities), Benishangul Gumuz (1 city), Gambella (1 city), Harari (1 city) & Dire Dawa City Administration (1 city)** that are participating in the Urban Institutional and Infrastructure Development Program (UIIDP). The assessment will be done according to the UIIDP Disbursement Linked Indicators (DLIs) and the associated Performance Measures (PM) and performance indicators except Quality of Infrastructure which will be done by Office of Federal Auditor General and results handed over to the APA Consultant. The assessment will be done as per procedures described in the latest updated Annual Performance Assessment Guideline (APAG) for UIIDP, so as to identify the achievement of the cities, individually and in aggregate. This will determine: a) whether UIIDP funds linked to the DLIs described can be disbursed (by the World Bank); and b) the allocation, or non-allocation of funds, (by GOE) that may be made to each of the 56 participating cities for EFY 2012 (2019/2020) & EFY 2013 (2020/2021). The new cities which did not participate in ULGDP II will only be assessed in regard to the Minimum Conditions in the first year. In addition to this, the APA will assess the DLIs related with the performance at the regional level (DLIs 5, 6, 7, 8 and 9.)

**SCOPE OF SERVICE**

**Annual Performance Assessment (APA) - Disbursement Linked Indicators, Performance Measures and Indicators**: The Consultant will carry out the detailed APA to assess the performance of the 56 participating ULGs and Regional State entities against the set of DLIs and associated PMs and indicators, except Quality of Infrastructure. The assessment will involve intensive field work (visiting all 56 ULGs) for collection of data and field verifications, and report writing and compilation. The assessment will be conducted in accordance to the procedures and criteria detailed in the APAG. The APAG will be provided to the selected Consultant and it will be the main guiding document for the assessment.

The Consultant will have to determine whether the PM and indicators are fulfilled on the basis of the existence of evidences. The assessment should involve minimal subjective “judgment” on the part of the consultant or city – although some professional judgement is required in some cases. It should, as far as possible, be “evidence-based” – i.e. performance is assessed on the basis of identifiable (documentary) evidence provided by the cities. The Consultant will need to provide evidence that conclusively and indisputably supports the assessment.

**Coverage** - The assessment shall cover 56 Program ULGs and 5 regional implementing agencies (The Regional Bureaus of Urban Development, Housing and Construction (or NRS equivalent), – DLI5, Office of the Regional Auditor General – DLI6, Regional Environmental Protection Agency –DLI7, Regional Revenue Authority – DLI8 and Regional Public Procurement Agency – DLI 9 in Amhara, Tigray, Ethiopian Somali and Afar. The 56 ULGs are:

|  |  |  |
| --- | --- | --- |
| **S/N** | **Name of ULG** | **Population CSA 2013 Estimates** |
|  |  |  |
| **AMHARA REGION** | |  |
| **Previous ULGDP II Cities (10)** | |  |
| 1 | Bahir Dar | 198,909 |
| 2 | Dessie | 153,691 |
| 3 | Gondar | 264,964 |
| 4 | Kombolcha | 75,078 |
| 5 | Debre Brehan | 83,479 |
| 6 | Debre Markos | 79,980 |
| 7 | Debre Tabor | 71,149 |
| 8 | Finote Selam | 33,162 |
| 9 | Mota | 33,500 |
| 10 | Woldiya | 59,046 |
| **New Cities (22)** | |  |
| 1 | Adet | 24,532 |
| 2 | Adis Zemen | 20,620 |
| 3 | Ayikel | 21,105 |
| 4 | Bati | 21,385 |
| 5 | Bichena | 20,739 |
| 6 | Buri | 26,120 |
| 7 | Chagni | 29,731 |
| 8 | Dangila | 31,773 |
| 9 | Debark | 29,068 |
| 10 | Dejen | 27,682 |
| 11 | Gendawuha | 36,403 |
| 12 | Hayik | 49,389 |
| 13 | Injebara | 26,958 |
| 14 | Kemise | 24,852 |
| 15 | Kobo | 31,824 |
| 16 | Lalibela | 22,225 |
| 17 | Merawi | 23,909 |
| 18 | Mersa | 20,632 |
| 19 | Nefas Mewicha | 25,108 |
| 20 | Sekota | 28,597 |
| 21 | Shewa Robit | 22,491 |
| 22 | Wereta | 27,159 |
| **Total Amhara (32 cities)** | | **1,645,260** |
| **TIGRAY REGION** | |  |
| **Previous ULGDP II Cities (8)** | |  |
| 1 | Mekelle | 286,624 |
| 2 | Adigrat | 76,447 |
| 3 | Axum | 59,269 |
| 4 | Shire Endaselassie | 62,769 |
| 5 | Adwa | 53,763 |
| 6 | Alamata | 44,092 |
| 7 | Humera | 28,744 |
| 8 | Wukro | 40,103 |
| **New Cities (4)** | |  |
| 1 | Ablyl Adl | 21,393 |
| 2 | Korem | 22,377 |
| 3 | Maychew | 31,088 |
| 4 | Shiraro | 23,013 |
| **Total Tigray (12 cities)** | | **749,682** |
| **SOMALI REGION** | |  |
| **Previous ULGDP II Cities (1)** | |  |
| 1 | Jijiga (Somali) | 152,674 |
| **New Cities (3)** | |  |
| 1 | Degehabur | 36,419 |
| 2 | Kebridehar | 35,466 |
| 3 | Gode | 52,438 |
| **Total Somali (4 cities)** | | **276,997** |
| **AFAR REGION** | |  |
| **Previous ULGDP II Cities (1)** | |  |
| 1 | Samera/ Logiya (Afar) | 25,209 |
| **New Cities (3)** | |  |
| 1 | Dubti | 22,263 |
| 2 | Asayta | 24,286 |
| 3 | Awash Sebat Kilo | 22,513 |
| **Total Afar (4 cities)** | | **94,271** |
| **OTHER REGIONS** | |  |
| 1 | Assosa (B. Gumuz) | 40,686 |
| 2 | Gambella (Gambella) | 64,499 |
| 3 | Harar (Harari) | 112,781 |
| 4 | Dire Dawa | 269,134 |

**At the ULG level, the consultants will assess**: performance against Minimum Access Conditions (MACs) and also institutional performance improvements and infrastructure investment performance. The key results areas include: (a) participation of citizens in planning and budgeting, (b) fiduciary management, (c) assets management, (d) generation of own source municipal revenues, (e) land management and urban planning, (f) delivery of new infrastructure and services, and operation and maintenance of existing infrastructure and services, (g) accountability and oversight systems, (h) job creation, (i) environmental and social safeguards and (j) local economic development, urban resilience and gender mainstreaming.

**At the regional level the consultants will assess: (**1) the extent to which the regional ORAGs have conducted timely audits of the ULGs final accounts (by January 7 of each financial year), and verify the quality of audit reports; (2) the regional environmental protection agencies have carried out the safeguards reviews/audits of ULGs in their jurisdictions before the start of the APA in each year, including the quality of the review; (3) The Regional Revenue Authorities have supported ULGs’ efforts to generate revenues; (4) the APA will finally check the extent to which the regions have developed and executed capacity building plan; and 5) the extent to which Regional Public Procurement Agencies have conducted timely procurement audits of participating ULGs in their jurisdiction including quality of the procurement audits.

**Related to the execution of the Capacity Building plan**, the APA will verify that (i) regional government teams are in place and are operating, and (ii) regional governments have adopted service delivery standards (as issued by MUDHo) and issued those for the cities, and provided guidance in implementation (reports).

**Scoring Matrix**: The Consultant will develop a simple computerized model into which the Consultant will enter the (draft and final) scoring data resulting from the APA. The model will calculate the allocations to be made to each of the 56 cities and the aggregated scores for each DLI to identify whether and how much funds may be released. The computerized model should **facilitate linkage of results to the word documents and also easier consolidation and analysis of results.**

**ULGs Signing-off on APAs**: Before completing the assessment, the Consultant will be required to present the draft assessment to executive representatives/officials of each city and region and obtain their signed certificate of agreement to the assessment, documenting any justifications for non-agreement.

**Strict adherence to the work plan agreed** with the Client in the Final Inception Report is important because the APA is an input to the process of deciding on allocation of funds and it will have an impact on the ULG planning and budgeting process.

**EXPECTED TIMING AND DURATION OF THE ASSIGNMENT**

**1st APA**

It is expected that the contract will be signed not later than August 31, 2018 and the Consultant will commence services not later than 1st October 2018. The estimated implementation period for the assignment is approximately 7 months over the period from 1st October 2018 to April 2019. Most of the field work is done during the period from October 1, 2018 to November 30, 2018 (8 weeks) with submission of preliminary draft reports by December 31, 2018 (excluding audit results/scores) and Final Reports by April 29, 2019 (including audit results/scores).

**2nd APA**

It is expected that the contract will be signed not later than mid-July 2019 and the Consultant will commence services not later than 1st August 2019. The estimated implementation period for the assignment is approximately 7 months over the period from 1st August 2019 to February 29, 2020. Most of the field work is done during the period from August 1, 2019 to September 30, 2019 (8 weeks) with submission of preliminary draft reports by October 15, 2019 (excluding audit results/scores) and Final Draft Reports by January 21, 2020 (including audit results/scores).

**MAIN TASKS**

**Task 1, Inception Period – 2 weeks**

1. **Data Collection & Review**: Thoroughly review the documents that MUDHo and cities will provide as part of the performance criteria. These documents include:
2. UIIDP Program Operational Manual Volume 1: Main Text, April 2018
3. UIIDP Program Operational Manual Volume 1I: Annexes, April 2018
4. UIIDP APA Guideline (APAG) (latest version), March 13, 2018
5. UIIDP Monitoring, Evaluation and Reporting System and Guidelines (Volume 1-Federal; Volume 2 – Regional; Volume 3- Cities) (not yet issued)
6. UIIIDP Environmental and Social Management System Guideline (April 2018)
7. UIIDP Resettlement System Guideline (April 2018)
8. Capital Investment Plan Manual & Template (April 2018)
9. Asset Management Manual, AMP Model & Template (June 2016)
10. Revenue Enhancement Plan Manual & Template (May 2018)
11. ULGDP II First Annual Performance Assessment for EFY 2007 Allocation to 44 cities. Final Report (September 2014)
12. ULGDP II Second Annual Performance Assessment for EFY 2008 Allocation to 44 cities. Final Report (June 2015)
13. ULGDP II Third Annual Performance Assessment for EFY 2009 Allocation to 44 cities. Final Report (June 2016)
14. ULGDP II Fourth Annual Performance Assessment for EFY 2010 Allocation to 44 cities. Final Report (June 2017)
15. ULGDP II Fifth Annual Performance Assessment for EFY 2010 Allocation to 44 cities. Final Report (May 2018)
16. Cities’ annual and quarterly progress reports for EFY 2010 and EFY 2011. As part of the preparations for the annual assessments, each city will complete and submit to BWUD by July 31 of each year (and BWUD to MUDHo by August 7), an annual progress report for the previous fiscal year).
17. Cities prior year and current year capital investment plans/budgets, annual action plans and annual procurement plans.
18. Cities revenue enhancement plans for prior year and current year.
19. Cities asset inventories and asset management plans of prior year and current year
20. Cities external audit reports from previous EFYs (minimum 5 years back). If not yet issued, cities’ most recent external audit reports, including recommendations for improved performance.
21. Cities Annual Procurement Plans and contracts register for the assessment periods.
22. Other reference and operational documents as specified in the APAG.
23. **Inception Report**: The Consultant will prepare an Inception Report which presents the details of the methodology for carrying out the assignment, a detailed work plan and organization of the Consultant’s Team, amongst others (not more than **15 pages)**.

The **work plan** should include the planned schedule of all tasks to be performed and describe in detail, the planned visit by the Consultant’s teams to each city and regions including dates of visit, dates for introductory briefing and presentation of the performance assessment to city executives, date for delivery of the various drafts of the UIIDP Annual Performance Assessment etc.

On the **organization of Consultant’s team**, the Consultant is expected to form Performance Assessment Teams (PATs) for conducting the assessment and field visits to the 56 ULGs, clustering approximately into 4 zones/teams, or other suitable arrangements. This should consider logistical reasons, putting ULGs from one region into one team as well as to allow for carrying out of the assessments of the ULGs simultaneously so as to meet the assignment’s timeline. The Consultant should detail the team composition and how the teams and team members would be organized. This should be discussed, agreed and finalized with the Client’s representative (Bureau Head, UREFMFB, MUDHo).

***The Draft Inception Report should be submitted within ten (10) days after the commencement of the assignment.***

1. Approval of Inception Report: The Client will provide comments or feedback and advise the Consultant whether the Inception Report is approved (within 3 days of submission of the Inception Report).
2. **ULG notification**: Immediately following the approval of the Inception Report, the Consultant will contact executive officials in each city government and regional BUDHo officials to inform them of the dates for the APA to be undertaken in each city.
3. **Certificate of Agreement Format**: The Consultant will draft and submit, in consultation with the Client, a form of Certificate of Agreement to the UIIDP Annual Performance Assessment that will be signed by each City’s (and BUDHos) nominated representative at conclusion of the APA for each City.
4. **Mobilization**: The Consultant will fully mobilize and train their team and make all logistical preparations for carrying out the APA in the 56 cities and regions, as according to the work plan.

**Task 2: Annual Performance Assessment of 56 Cities and Regional Implementation Agencies ( 8 weeks)**

1. **Introductory Presentation & Briefing with ULGs**: Before commencing the APA in each ULG, the Consultant will meet with the Regional Bureau of Urban Development and Housing (BUDHo) representative, Mayor, City Manager, ULGDP Coordinator (and any other city official nominated by the Mayor or City Manager) and:
2. Present the full Consultant’s team;
3. Brief the meeting as to the methodology to be followed;
4. Agree who will be the key informants at the city for each of the Consultant’s team/ performance criteria, what documentary evidence of performance is required and when they will meet to agree on the assessment of performance.
5. The date, time, place and who will be present for the wrap-up meeting (exit conference) at which the Consultant will present the final agreed (with the relevant City officials) preliminary APA (not more than 4 pages) and at which, following any discussion and amendment of the preliminary APA, the Mayor, City Manager, ULGDP Coordinator and Regional BUDHo representative will certify (attach signatures) that they have received, discussed and agreed the preliminary APA and any areas of disagreement.
6. The Consultant will take minutes of this meeting, including names of all persons present, and will subsequently obtain the UIIDP Coordinator and BUDHo representatives confirmation as to the accuracy and completeness of these minutes
7. **Annual Performance Assessment**:

***Field Visits*** - The respective PATs will visit all 56 participating ULGs in their group of ULGs and undertake the assessment process as per the APAG dated March 13, 2018. The teams are expected to visit and spend minimally 4 days (inclusive of travelling time) in each ULG and approximately 2 days (as required) in each of the 8 participating regional implementing agencies to carry out the assessment. This will be carried out by the PATs in the manner as agreed in the Inception Report.

***Assessment*** - The Consultant’s teams will then carry out the APA exercise according to the detailed procedures in the APAG. Teams will meet the assigned city/regional officials, securing documents as evidence of performance achieved, carrying out inspections and investigation through sub-project site visits to verify the authenticity of the performance as necessary; requesting and documenting reasons or justification for specific under/over performance; meeting together to check/integrate results and coordinate activities and preparing the preliminary APA for the city and region.

1. **Wrap-Up Meeting**: The APA for each city will be completed with a Wrap-Up working session. The Consultant will take minutes of this meeting and will subsequently obtain the UIIDP Coordinator and BUDHo representative’s confirmation as to the accuracy and completeness of these minutes. The Consultant’s team will present the ***First Draft Performance Assessment*** for the City, consisting of:
2. A brief written description of the Performance Assessment for each of the DLIs and performance criteria described in the APAG – not more than 1 page; describing: a) any difficulties encountered in determining the assessment; and b) any reasons, explanations or justifications provided by the City for any over or under performance;
3. A summary table of the performance assessment;
4. The list of documents that verify the performance assessed; and
5. The Certificate of Agreement to the UIIDP APA.
6. **Provision of Documents**: The Consultant will provide four copies of First Draft Performance Assessment and Certificate of Agreement, to the City representatives; 1 copy to the Regional BUDHo representatives and 2 further copies with original signatures in their full draft APA for submission to the Client with a copy to the World Bank.
7. **Client intervention**: The Consultant will inform the Client, by email, when the First Draft Preliminary APA is agreed and the signed Certificate of Agreement is secured. Should the Consultant be unable to secure a signed Certificate of Agreement, they will inform the Client’s representative within 24 hours and agree what follow-up action will be taken and by whom.
8. The Consultant will submit to MUDHo, within 7 days of completion of the field work visits for all the 56 cities, a Consolidated Field Work Report showing 56 cities and regions visited and dates thereof, any challenges and problems encountered and recommendations for future field work/visits.

Task 3: Submission of APA Reports

***First Draft Preliminary Reports (excluding audit results/scores)***

The Consultant will produce the First Draft Preliminary APA synthesis report and individual city reports as per the format in the APAG, and submit all reports simultaneously to MUDHo and World Bank ***by not later December 31, 2018 for 1st APA and not later than October 15, 2019 for 2nd APA.***

***Second Draft Preliminary Reports (excluding audit results/scores)***

A Quality Assurance Review organized by the World Bank will be conducted based on the first draft preliminary APA report from January 15 – February 28, 2018 (1st APA) and October 16-November 30, 2019 (2nd APA) or once the report has been received. The QAR will communicate its findings to MUDHo. MUDHo will communicate to the Consultant the QAR findings. The consultants will address and incorporate comments and necessary amendments as well as incorporate audit results/scores that will be available for all 56 cities by January 07, 2018. The consultant will prepare and submit simultaneously to MUDHo and World Bank the revised and good quality Second Draft preliminary individual city reports for the 56 cities and the Second Draft Preliminary Synthesis Report ***by March 15, 2019 (1st APA) and December 10, 2019 (2nd APA)***.

**Third Draft Preliminary Reports,**

The Second Draft Preliminary Reports are then verified jointly by the World Bank and MUDHo to check whether all comments have been incorporated. Comments on the Second Draft Reports will be provided to the Consultant by **March 22, 2019** **(1st APA**) and **December** 17**, 2019 (2nd APA).**

The Consultant will incorporate the comments from the second round into the Third Draft Preliminary Reports for each ULG and the Third Draft Preliminary Synthesis Report. These Third Draft Preliminary APA Reports will be submitted simultaneously to MUDHo and World Bank **by not later than March 31, 2019 (1st APA) and not later than December 24, 2019 (2nd APA**). MUDHo will share the third draft with ULGs and Regions which will have 14 days to submit complaints, if any***.*** TheAPA Complaints Resolution Committee (APACRC) will consider all complaints received and make recommendations on changes to be made by the APA Consultants.

**Final Draft 1st and 2nd APA Reports (including audit results/scores)**

The APA Consultants will submit simultaneously to MUDHo and World Bank **by not later than April 29, 2019 (1st APA) and January 21, 2020 (2nd APA)**, the Final Draft Reports incorporating changes which they consider justified and provide a report on changes made and not made (with justification). The UIIDP Federal Technical Subcommittee (FTSC) will verify the APA results and complaints resolution and submit its recommendations to the UIIDP Federal Steering Committee (FSC) by **not later than May 2, 2019 (1st APA) and not later than February 5, 2020**. The APA results will be formally reviewed and approved by the FSC, reviewed and endorsed by the World Bank **not later than May 15, 2019 (1st APA) and February 15, 2020 (2nd APA)**.

**Final 1st and 2nd APA Reports (including audit results/scores)**

The APA Consultant will incorporate the final changes and endorsement of the World Bank of the APA results and allocations and submit the **Final** ULG and Synthesis APA Reports by **not later than May 22, 2019 (1st APA) and February 22, 2020 (2nd APA)**.

MUDHo will distribute the Final ULG and Synthesis APA Reports to all regions and will also officially notify them of the final allocations approved by the World Bank.

**Task 4: Workshop**

Following distribution to regions of the Final ULG and Synthesis APA Reports and notification of Allocations/Disbursements by MUDHo, the UREFMFB (MUDHo) will arrange a 1-day workshop ***in May 2019 (1st APA) and in February 2020 (2nd APA)***, at a venue to be determined, for the presentation of the findings from the final APA.

The Consultant will make the main presentation of their results which should take no more than 3 hours. The format for the workshop will be advised to the Consultant in due course. The Consultant will not include the workshop costs in their financial proposal. The workshop participants are not yet identified but are likely to be approximately 300, with representatives from each UIIDP participating ULG, Regional States, MUDHo, MOFEC and other federal agencies, as well as the World Bank, other development partners, the press, etc.

The **workshop objectives** are to discuss the findings and results of the APA with all stakeholders and to mobilize all stakeholders, UIIDP implementing agencies and interested parties in support of and in identifying further actions required to successfully implement the UIIDP and improve performance of the ULGs;

The Consultant will within 5 calendar days of the end of the workshop, prepare a **brief workshop report**, containing: any presentations made at the workshop, a list of workshop participants (name, position, telephone, email), identification of any issues arising at the workshop that require follow-up or that either affect decision as to UIIDP disbursements, or the conduct of future APAs.

***Format for APA report, and summary sheet for each City***: For each round of APA draft reports, the Consultant will produce an *overall synthesis report* and *individual city reports* capturing the findings of all cities, and with an executive summary. The reports should capture strengths and weaknesses on each performance measures for each city and regional implementation agency. The reports need to be of sufficient high quality, as deemed satisfactory by the client. The Consultant will use the reporting format provided in the APAG. Any suggested changes for improving the reporting format will need to be cleared by the Client. All reports will be produced in English.

***In summary, the assignment should proceed according to the following timetable:***

Schedule for 1st APA of UIIDP: Allocations for DLIs 1-4 & DLIs 5-9 for EFY 2012 (2019/20)

| **Date (Gregorian Calendar)** | **Activity** |
| --- | --- |
| By End of August 2018 | Independent APA consultants engaged and onboard |
| October 1, 2018 | APA commences – data collection in the field. |
| By November 30, 2018 | APA consultant completes all field assessments, including minimum conditions and performance measures (DLIs 1–4), (including value for money audit).  For 73 new cities, only Minimum Conditions will be assessed and VfM Audit is waived for this first round. The APA also assesses the result for regions against **DLI 5**–**9.** |
| By December 31, 2018 | APA consultant completes and submits **first draft Preliminary** APA reports and draft Preliminary Synthesis Report (excluding the audit results for the ULGs) to MUDHo as well as to the World Bank. |
| January 15 – February 28, 2019 | Conduct **Quality Assurance Review (World Bank**); Quality Assurance Review comments and findings to inform APA ready by no later than February 15, 2019 and TC review findings for consistency by February 28, 2019. |
| By February 28, 2019 | MUDHo provides indicative allocations for EFY 2012 (2019/20) to all regions for all 117 cities to start the capital investment planning process. |
| By March 15, 2019 | APA team incorporates QAR comments and submits **second draft Preliminary** APA reports and draft preliminary synthesis report (including audit results for ULGs) simultaneously to MUDHo and World Bank. |
| By March 31, 2019 | Review by MUDHo and Bank, and APA team reconcile comments received, into the **third draft Preliminary** report produced by the APA team and submitted simultaneously to World Bank and MUDHo. |
| By April 1, 2019 | MUDHo shares the third draft report with ULGs /Regions which have 14 days for submitting complaints, if any |
| By April 15, 2019 | ULGs/Regions submit their complaints. |
| By April 22, 2019 | Review by the APA Complaints Resolution Committee (APACRC) of ULG/Regions’ complaints  Reconciliation between complaints and APA findings (APACRC)  Recommendations from the APACRC on changes to be made by the APA team. |
| By April 29, 2019 | **Final draft APA report** for each ULG/region and the Final Draft Synthesis Report as well as report on changes made and not made (with justification) by APA team, submitted to World Bank and MUDHo |
| By May 2, 2019 | Final Verification of the APA results by **the UIIDP** **Federal** **Technical Committee (FTC)** |
| By May 15, 2019 | Formal review and approval of results by the FSC; review and endorsement by World Bank (for the coming FY’s allocations to ULGs) |
| By May 22, 2019 | **Final APA report** for each ULG/region and the Final Draft Synthesis Report incorporating changes and endorsement by the World Bank. |
| By May 31, 2019 | Final Results and Allocations announced and workshop with regions and ULGs held. |
| In June 2019 | ULG budgeting process for 2019/20 continues based on actual allocations. |
| By June 30, 2019 | Submission of CIPs, REPs and AMPs by ULGs to regions for approval |
| By July 15, 2019 | Approval of CIPs, REPs and AMPs by regions |
| July 15, 2019 | Start of implementation of CIPs by ULGs |
| By June 30, 2019 | World Bank disburse to MOFEC the full amount. |
| In July 2019 | 50 percent of the allocations disbursed to Regions and ULGs. |
| In January 2020 | 50 percent of annual allocation disbursed to Regions and ULGs. |

Schedule for 2nd APA of UIIDP: Allocations for DLIs 1-4 and DLIs 5-9 for EFY 2012 (2019/20)

|  |  |
| --- | --- |
| **Date  (Gregorian Calendar)** | **Activity** |
| By mid-July | Independent APA consultants engaged and onboard |
| Early August | APA commences – data collection in the field. |
| By September 30 | Complete all field assessments, including minimum conditions and performance measures (DLIs 1–4), (including value for money audit). The APA also assesses the result against **DLI 5**–**9.** |
| By October 15 | APA consultant completes and submits **first draft Preliminary** APA reports and draft Preliminary Synthesis Report (excluding the audit results for the ULGs) to MUDHo as well as to the World Bank. |
| October 16- November 30 | Conduct Quality Assurance Review (World Bank); Quality Assurance Review comments and findings to inform APA ready by no later than November 25 and TC review findings for consistency by November 30. |
| By December 10 | APA team completes and submits **second draft Preliminary** APA reports and draft preliminary synthesis report (excluding the audit results) and share with MUDHo and World Bank. |
| By December 24 | Review by MUDHo and Bank, and APA team reconcile comments received, into the **third draft report produced by the APA team**. |
| By December 25 | MUDHo shares the third draft report with ULGs /Regions which have 14 days for submitting complaints, if any |
| By January 8 | ULGs/Regions submit their complaints |
| By January 15 | APA consultant: Incorporate audit results in the APA.  Review by the APA Complaints Resolution Committee of ULG/Regions’ complaints  Reconciliation between complaints and APA findings (Complaints Committee)  Recommendations from the Complaints Committee on changes to be made. |
| By January 21 | **Final draft APA report** for each ULG/region and the Final Draft Synthesis Report as well as report from the Complaints Committee on changes made by APA team, submitted to World Bank and MUDHo |
| By February 5 | Final Verification of the APA results by **the UIIDP** **Federal** **Technical Committee (FTC)** |
| By February 15 | Formal review and approval of results by the FSC; review and endorsement by World Bank (for the coming FY’s allocations to ULGs) |
| By February 28 | Allocations announced and workshop with regions and ULGs held. |
| In March | ULG budgeting process for 2019/20 starts, based on actual allocations |
| By June 30 | Submission of CIPs, REPs and AMPs by ULGs to regions for approval |
| By July 15 | Approval of CIPs, REPs and AMPs by regions |
| July 15 | Start of implementation of CIPs by ULGs |
| By June 30 | World Bank disburse to MoFEC the full amount |
| In July | 50 percent of the allocations disbursed to Regions and ULGs |
| In January | 50 percent of annual allocation disbursed to Regions and ULGs |

**REPORTS AND DELIVERABLES**

1. **Draft Inception Report**: Not more than 15 pages and **within ten (10) days of commencement of services.** Containing: methodology for carrying out the assignment (where this is different from or additional to the Consultant’s Technical Proposal); detailed work plan for the visit by the Consultant’s teams to each city; date for delivery of various drafts of Annual Performance Assessment and reports; consultants’ team organization;
2. **Final Inception Report** after incorporation of MUDHo comments by not later than 3 calendar days after receipt of the comments.
3. **Introductory Presentation & Briefing with ULGs** and minutes of meetings;
4. **Wrap-Up Meeting with ULGs,** Certificate of Agreements and minutes of meetings;
5. **First Draft Performance Assessment** for each city, presented to the city at the conclusion of the assessment for that city.
6. **Consolidated Field Work Report to MUDHo** showing cities and regions visited and dates thereof, any challenges and problems encountered and recommendations for future field work/visits, within 7 days of completion of the field works visits for all the 56 cities. The consultant shall submit (3) hard copies of the report as well as two (2) soft copies on CD.
7. **First Draft Preliminary Annual Performance Assessment Synthesis Report and Individual City Reports** submitted simultaneously to MUDHo and World Bank ***by not later December 31, 2018 for 1st APA and not later than October 15, 2019 for 2nd APA.;*** The Consultant shall submit only soft copy by email and on CD (two copies to MUDHo and one copy to World Bank).
8. **Second Draft Preliminary Annual Performance Assessment Synthesis Report and Individual City Reports** submitted simultaneously to MUDHo and World Bank by ***March 15, 2019 (1st APA) and December 10, 2019 (2nd APA)***. after receipt and incorporation of QAR comments; The Consultant shall submit only soft copy email and on CD (two copies to MUDHo and one copy to World Bank).
9. **Third Draft Preliminary Annual Performance Assessment Synthesis Report and Individual City Reports, Incorporating Second Round Comments from MUDHo and World Bank)** submitted simultaneously to MUDHo and World Bank **by not later than March 31, 2019 (1st APA)** and ***not later than December 24, 2019 (2nd APA).*** The Consultant shall submit only soft copy by email and on CD (two copies to MUDHo and one copy to World Bank).
10. **Final Draft Annual Performance Assessment Synthesis Report and Individual City Reports as well as report on changes made and not made (with justification)** submitted simultaneously to MUDHo and World Bank **not later than April 29, 2019 (1st APA)** and ***not later than January 21, 2020 (2nd APA).*** The Consultant shall submit only soft copy by email and on CD (two copies to MUDHo and one copy to World Bank).
11. **Final Annual Performance Assessment Synthesis Report and Individual City Reports incorporating the final changes and endorsement of the World Bank.** submitted simultaneously to MUDHo and World Bank **not later than May 22, 2019 (1st APA)** and **not later than February 22, 2020 (2nd APA)*.*** The consultant shall submit three (3) hard copies of each report as well as two (2) soft copies on CD.
12. **Brief Workshop Report** within 5 calendar days of the end of the workshop. The Consultant shall submit three (3) hard copies of the report as well as two (2) soft copies on CD.

**TEAM COMPOSITION AND QUALIFICATIONS**

The description of the Consultant’s team is provided below

It is expected that the Consultant will provide:

* **An overall team leader/manager and deputy team leader/manager for the entire assignment,** who will be responsible for overall management of the entire assignments and its four APA teams, logistical arrangements; communication with the Client and key stakeholders; quality control of team members work; coordination and integration of Consultant’s inputs and outputs; data analysis using the latest data analysis software packages and production of the reports and deliverables that are consistent, reliable, concise, readable and clear in their findings and presentation of APA results.
* **Four Performance Assessment Teams (PATs)**. It is estimated that four PATs will be formed based on the calculation that the APA for each city will require approximately two day’s work for each team, depending on the size of the ULG and other factors affecting work rates. On this basis and assuming a 5-day working week, with travel on Saturday and Sundays, it is expected that, during the 60 calendar days’ assessment period, each team can carry out the assessment of approximately 15 ULGs. There should be two teams for Amhara ULGs (32), one team for Tigray (12 ULGs). The fourth team will cover Ethiopian Somali (4 ULGs), Afar (4 ULGs), Assosa, Gambella, Dire Dawa & Harar. Each PAT should have a team leader, responsible for coordination and communication with the overall team leader/manager for the assignment.
* **Logistics, Transport, Subsistence Allowances etc.** The consultant will be responsible for all logistical, subsistence allowances for the consultant staff and all transport costs for both the consultant staff participating in the assessment process.

The arrangements proposed in detail will be included in the Consultant’s Technical Proposal. Clearly the size and complexity of different ULGs; whether they participated in the ULGDP1 and/or ULGDP II; regional language usages and familiarity with different regions; as well as the logistical arrangements are among the factors the Consultant will need to take into account in selecting and directing their APA teams.

Each Performance Assessment Team (PAT) is likely to consist of at least 9 team members as follows:- **Performance Assessment Team Leader** (a proven leader chosen from the 9 team members below and specialist in any of the main disciplines i.e. (i) Financial Management; (ii) Municipal Finance Specialist; (iii) Procurement Management Specialist; (iv) Environmental Management Specialist; (v) Social Development Specialist (vi) Municipal Infrastructure/Engineer/Asset Management Specialist; (vii) Urban Planning/Land Management Specialist; (viii) Gender Specialist; and (ix) Local Economic Development Specialist.

| **Position** | **Educational Requirements** | **Experience required** |
| --- | --- | --- |
| **Overall Team Leader/Manager** | A minimum of MBA, MA or M.Sc. Degree in Urban Management, Urban Development, Urban Planning, Physical Planning, Urban Design, Architecture, Engineering (Civil, Municipal, Sanitary, Structural, Water, Transportation), Construction Management, Construction Technology, Geotechnical Engineering, Economics, Development Economics, Business Administration, Public Administration or Public Finance or related disciplines | A minimum of 10 years work experience out of which 6 years were in a management position. Previous leadership of multi-disciplinary consultancy teams as a Team Leader or Project Manager/Director is essential. Strong interpersonal, analytic, writing and communication skills. Experience in compiling and editing reports in English is required. |
| **Overall Deputy Team Leader** | A minimum of MBA, MA or M.Sc. Degree in Urban Planning, Physical Planning, Urban Design, or related disciplines | A minimum of 10 years work experience out of which 6 years in a management position. Substantial experience and substantial expertise in data collection, **data analysis using the latest data analysis software packages** and presentation is required. Strong interpersonal, analytic, writing and communication skills. Experience in compiling and editing reports in English is required. |
| **Financial Management Specialist** | A minimum of MBA, MA or M.Sc. Degree in Accounting, Finance, Municipal Finance, Business Administration, Urban Management, Municipal Financial Management, Public Financial Management or related disciplines | A minimum of 10 years work experience out of which 5 years in public financial management |
| **Municipal Finance Specialist** | A minimum of MBA, MA or M.Sc. Degree in Economics, accounting, finance, municipal finance, business administration, urban management, | A minimum of 10 years work experience out of which 5 years in municipal finance. |
| **Procurement Management Specialist** | A minimum of MBA, MA or M.Sc. Degree in Procurement, Procurement & Supply Chain Management, Public Procurement &Asset Management, Commerce, Marketing Management, Business Administration, Economics, Engineering, Law, Accounting, Financial Management or related disciplines with a professional qualification in procurement. | A minimum of 10 years’ work experience out of which five years in procurement management. The consultant should be familiar with Ethiopian Government procurement laws, directives, guidelines & procedures. |
| **Environmental Management Specialist** | A minimum of MA or M.Sc. Degree in Environmental Science, Environmental Engineering, Natural Resources Management, Environment and Development, Environmental engineering, or related disciplines. | A minimum of 10 years work experience out of which five years in environment management  The consultant should be familiar with World Bank environmental management guidelines/procedures and Ethiopian Government environment management laws, guidelines & procedures. Knowledge of the Ethiopian legal instruments for environmental impact assessment is an advantage |
| **Social Development Specialist** | A minimum of MA or M.Sc. Degree in Sociology, Psychology, Social Work, Social Development, Social Anthropology, Community Development or related disciplines. | A minimum of 10 years work experience out of which five years in social management.  The consultant should be familiar with World Bank social management guidelines/procedures and Ethiopian Government social management laws, guidelines & procedures. Knowledge of the Ethiopian legal instruments for resettlement and compensation is an advantage. |
| **Municipal Infrastructure Engineer/ Asset Management Specialist** | A minimum of M.Sc. Degree in Civil Engineering, Municipal/Urban Engineering, , Sanitary Engineering, Structural Engineering, Infrastructure Engineering, Geotechnical Engineering, Building Technology, Construction Technology and Management, , Geodesy, Surveying or GIS or urban planning or related disciplines | A minimum of 10 years work experience out of which five years in infrastructure asset management areas. |
| **Urban Planning/Land Management Specialist** | A minimum of M.Sc. Degree in Urban Planning, Architecture, town planning, regional planning, urban local) and regional planning (studies) land management or related disciplines. | A minimum of 10 years work experience out of which five years in urban planning and land management. |
| **Gender Specialist** | A minimum of MA or M.Sc. Degree in Women & Gender Studies, Sociology, Psychology, Social Work, Social Development, Social Psychology or related disciplines | A minimum of 10 years work experience out of which three years on gender equality and other social issues that affect women.  The consultant should be familiar with World Bank and Ethiopian Government gender guidelines and procedures. |
| **Local Economic Development (LED) Specialist** | A minimum of MBA, MA or M.Sc. Degree in Economics or Development Economics, Urban Management or related disciplines, | A minimum of 10 years work experience out of which 5 years on local and regional economic development, private sector development, socio, economic and labour market analysis |

All team members provided should have a solid professional background in the areas to be addressed, which apart from the specific expertise described in the previous paragraph, would include performance assessment and evaluation, and program management. It is advisable that the team should have members or counterpart team members who are conversant with the local official language, Amharic, since most of the work involves interacting with regional and city officials.

There should not be former MUDHo, UREFMFB, BUDHo or ULG staff involved in the APA as part of the Consultant’s team (within the last three years). Personnel involved should be at “arm’s length” from any previous involvement with related ULGDP II/UIIDP or city activities.

**PROPOSAL EVALUATION CRITERIA**

|  |  |  |
| --- | --- | --- |
| **Technical Proposal Scoring Criteria** | | **Points** |
| 1 | **Consultant’s Specific Experience to Performance the Assessment** | **10** |
| 2 | **Approach and Methodology Used to Conduct Annual Performance Assessment** | **30** |
| 2.1 | Approach and Methodology | 18 |
| 2.2 | Work Plan | 6 |
| 2.3 | Organization and Staffing | 6 |
| 3 | **Consultant’s Team (CVs)** | **60** |
| 3.1 | **Team Leader** | **12** |
| 3.2 | **Deputy Team Leader** | **6** |
| 3.3 | Financial Management Specialist #4 | **5** |
| 3.4 | Municipal Finance Specialist#4 | **5** |
| 3.5 | Procurement Management Specialist #4 | **5** |
| 3.6 | Environmental Management Specialist#4 | **5** |
| 3.7 | Social Development Specialist#4 | **4** |
| 3.8 | Infrastructure Engineer/ Asset Management Specialist#4 | **5** |
| 3.9 | Urban Planning/Land Management Specialist#4 | **5** |
| 3.10 | Gender Specialist#4 | **4** |
| 3.11 | Local Economic Development Specialist#4 | **4** |
| **Total** | | **100** |

The weights given to the Technical and Financial Proposals are: Technical = 0.80 and Financial = 0.20

The technical evaluation pass score to proceed to the next stage of the evaluation in **75 points**.

**PAYMENT SCHEDULE**

The payment schedule shall be:

* *First Payment -* **Advance Payment of 20% (twenty percent)** of the contract price shall be paid following contract signature against the submission of an invoice accompanied by **an acceptable unconditional bank guarantee for the amount of the advance payment**. Bank guarantee will only be released after the end of the assignment. The advance will be deducted from each of the following payments proportionally i.e. at the same percentage as the payment.
* *Second Payment - 20 percent of the lump sum amount shall be paid upon approval of the Final Inception Report that incorporates comments from the client and includes revised methodology, work program and schedule of field visits.*
* *Third Payment - 20 percent of the lump sum amount shall be paid upon completion of desk study, field visit and completion of data collection with submission of consolidated Field Work Report to MUDHo showing 56 Cities and Regions visited and dates thereof, any challenges and problems encountered and recommendations for future field work/visits.*
* *Fourth Payment - 25 percent of the lump sum amount shall be paid upon submission of Final Draft Reports.*
* *Fifth and Final Payment – 35 percent of the lump sum amount shall be paid upon submission and approval of all Final Reports and deliverables including workshop reports containing all presentations made, and a summary of recommendations and agreements reached.*

**MANAGEMENT OF ASSIGNMENT AND DOCUMENTS TO BE PROVIDED BY MUDHo**

The MUDHo is the client for this work. In terms of performance and deliverables, the Consultant will carry out the assignment under the direction of and report to the Bureau Head, Urban Revenue Enhancement, Fund Mobilization, and Finance Bureau (UREFMFB), MUDHo. As the agency responsible for the overall coordination of UIIDP, the Bureau Head, UREFMFB will sign the contract with the consultants on behalf of MUDHo and UREFMFB will be responsible for all payments to the Consultant. In addition, as mentioned earlier, a quality assurance system will be put in place, in addition to the system applied by the contracted company, to ensure full objectivity of the annual performance assessments.

The Client will provide to the Consultant at the commencement of the assignment with any key documents deemed relevant to the Consultant’s scope of service. Other relevant documents will be made available as necessary.

# TOR for UIIDP Annual Performance Assessment Complaint Resolution Committee (APACRC)



**MINISTRY OF URBAN DEVELOPMENT & HOUSING**

**URBAN INSTITUTIONAL AND INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

**TERMS OF REFERENCE**

**FOR**

**ANNUAL PERFORMANCE ASSESSMENT COMPLAINTS RESOLUTION COMMITTEE**

**(APACRC)**

**Urban Revenue Enhancement, Fund Mobilization & Finance Bureau**

**Ministry of Urban Development & Housing**

**Final Draft, March 10, 2018**

1. **Introduction and Background**

The Program Development Objective (PDO) **is to enhance the institutional performance of participating urban local governments to develop and sustain urban infrastructure, services, and local economic development**.

Key Results and Expected Outcomes

It is expected that the institutional performance improvements and the infrastructure delivered by cities will result in: -

* + - 1. enhanced citizen participation and engagement in ULG planning and budgeting;
      2. increased own source revenue at the ULG level;
      3. improved infrastructure, service delivery, O&M systems;
      4. improved efficiency and effectiveness in fiduciary management;
      5. Improved environmental and social management and safeguards; and
      6. strengthened accountability and oversight systems; and
      7. strengthened ULG resilience, improved local economic development (LED) and enhanced gender equity in the ULG operations.

The key results indicators are:

1. People provided with improved urban living conditions under the UIIDP [corporate indicator].
2. Cities with improved livability, sustainability, and management [corporate indicator].
3. Composite institutional performance of participating ULGs, averaged across all cities.[[19]](#footnote-19)
4. Composite performance forachievement urban infrastructure and service targets, maintenance performance and value for money in investments by ULGs, averaged across all cities.
5. Composite performance for achievement of LED targets, averaged across all cities

Program Duration

The program with support from the World Bank and AFD, will be implemented over a period of 5 years and 4 months from March 2018 to July 2023, with 4 rounds of performance grants in EFY 2012 (2019/20), EFY 2013 (2020/21), EFY 2014 (2021/22) and EFY 2015 (2022/23). The program covers the remaining year of the GTP2 (2015/16-2019/2020) and part of GTP3 (2020/2021-2024/2025) both of which are aligned to the country’s goal of achievement of middle income status by the year 2025. The program will also contribute in the first year FY 2018/19 to cover the fiscal gap due to over-the target-performance of ULGs in the ULGDP II.

Program Scope and Coverage of Urban Centres

The UIIDP consists of the provision of performance-based grants to ULGs for eligible Investments and support to achieve Program results at the regional level on capacity building, financial audit, procurement audit and environmental and social safeguards audits. The program will have an additional 73 cities to the existing 44 cities making a total of 117 cities that will participate in the program. This substantial scale-up to 117 cities will bring about greater impact in terms of population coverage and size of the Program (increasing beneficiaries from 4.36 million under UGLDP II to an estimated 6.62 million in UIIDP) and result in exponentially larger positive impact for the country. Ethiopia has a significant number of secondary cities that are spatially distributed across the country. The government’s current policies of industrial development and promoting urban-rural linkages present good opportunities for promoting more balanced regional growth through the creation of a linked system of cities. The scale-up also allows strengthening of the overall programmatic and performance-based approach to support sustainable urban development and leverages on economies of scale for program management and implementation. In addition, the scale-up is built on the solid foundations and tried-and-tested overall successful experiences of ULGDP I and II. Timely support to improve institutional performance in the planning, delivery, and sustained provision of urban services and infrastructure by local governments is critical especially for these rapidly growing cities.

Key Features and Financing Modalities

The total IDA funding envelope for the UIIDP is US$600 million (of which USS273 million is from IDA Grant, US$127 million is from IDA Credit and US$200 million is from the IDA Scale-Up Funding (SUF)). In addition, AFD will contribute co-financing of euro 9.8 million (US$10.8 million equivalent). The GoE (from regions and cities) will contribute around US$248.7 million.[[20]](#footnote-20) This brings the total Operation Budget envelope to around US$859.5 million.

Table 4. Program Financing (US$ million)

|  |  |  |
| --- | --- | --- |
| **Source** | **Amount** | **Percent of Total** |
| Government[[21]](#footnote-21) | US$248.7 | 29 |
| International Development Association (IDA) | US$400.0 | 47 |
| IDA Scale Up Facility (IDA-SUF) | US$200.0 | 23 |
| *Agence Française de Développement* (AFD) | US$10.8 | 1 |
| **Total Program Financing** | **US$859.5** | **100** |

The main expenditure items are:

**Window 1 for PforR**:

* + - * ***US$691.11 million (ULG level).*** Performance-based grants to 117 ULGs for infrastructure investments as listed under the Program investment menu *(US$248.66 million from regions and ULGs; around US$433.65 million from IDA; and around US$8.8 million from AFD)*.
      * ***US$70.04 million (regional level).*** Support for regional government to strengthen its capacity to support and guide the ULGs in core areas such as financial audit, environmental audit, procurement audit, revenue enhancement, and others *(IDA funding*)
      * ***US$63.74 million (prior results).*** Allocation against prior results on institutional performance, service delivery, maintenance, and job creation for 44 ULGs as determined in the APA conducted in FY2017/18 for FY 2018/19 allocations *(IDA funding.* This is to fill a financing gap under the ULGDP II that has arisen due to overachievement of performance results during FY2018/19 *(IDA funding).*

**Window 2 for IPF**:

* + - * ***US$34.57 million (federal level)*.** Enable MUDHo to support and guide the regions and ULGs and also to administer and coordinate the Operation (*US$32.57 from IDA; and about US$2.0 million from AFD).*

**UIIDP funding to ULGs will be allocated using a simple formula, based on population size and the performance of the ULGs.** An approximate US$16–18 per capita per year (with phasing in of the new ULGs in the first FY) has been assessed to be the optimal level of funding.[[22]](#footnote-22) As a core principle, the per capita amount would at least maintain the similar level as at the start of the ULGDP II to ensure minimum level of incentives and meaningful infrastructure and services investments. The size of this performance grant has been determined considering various factors such as international good practice (from an expanding number of countries with performance-based grant allocations), the costs of investments, expenditure needs and current level of investments, as well as generation of sufficiently strong incentive to drive the performance. This has been informed by a comprehensive review of ULG fiscal and revenue positions.

**ULGs will use the Program funds to finance urban infrastructure works as well as capacity building activities, in compliance with the Program’s investment menu and capacity building manual**. Eligible infrastructure investments fall under eight groups including: (a) urban roads, (b) integrated infrastructure and land services, (c) sanitation (liquid waste), (d) solid waste management, (e) urban drainage, (f) urban disaster risk management and urban resilience, (g) built facilities, and (h) urban green infrastructure. Ineligible investments include any World Bank environment and social impact assessment Category A projects. Compliance with the investment menu is a minimum condition for receiving funds. In addition, ULGs will be required to prepare the project in a participatory manner, and consider: (a) social inclusion requirements, including gender and disability considerations; (b) climate change and disaster adaptation; and (c) contribution to LED and long-term job creation.[[23]](#footnote-23) ULGs could also spend up to 5 percent of investment grants and regional/city contributions on capacity building support.For regional government entities, the grants will mainly be used for capacity building, operations and management expenses, subject to the eligible capacity building areas, similar to the ULGs.

Disbursement Linked Indicators, Minimum Conditions, Performance Measures and Verification Protocols

**Almost 96 percent (or around US$576 million) of the Operation’s funds will be disbursed against disbursement linked indicators (DLIs).** The DLIs are structured to provide incentives to participating ULGs and regional governments for improved management and development of urban areas. (More details on the DLIs, MCs, PMs, performance assessments, verification protocols and disbursement arrangements are provided in the **UIIDP Annual Performance Assessment Guideline (APAG)** which is a part of this POM and is a standalone Annex of the POM)

**DLIs 1 to 4 focus on ULGs to strengthen ULG institutional roles in the delivery of infrastructure and services and enhance local economic development**. Each of these DLIs is a composite index of defined MCs and PMs. Adjustments to these performance indicators and scoring may be done throughout Program implementation and particularly following the midterm review to ensure that the system remains relevant, manageable and robust. These four DLIs build on ULGDP II performance assessment system and will ensure that:

* + Basic fiduciary, project planning and execution, and environmental and social management conditions are in place such that local governments can absorb the Program funding;
  + ULGs continue to strengthen their institutions of urban management in a social inclusive manner;
  + ULGs use program funds effectively in creating sustainable and resilient infrastructure and delivering services, achieve the targets in infrastructure delivery, maintenance and development and to promote the GoE’s strategy on urban development at the city level.
  + ULGs improve on systematic and foundational aspects to promote long term job creation, urban resilience and gender empowerment.

The funding proportion against DLIs 1 to 4 have been adjusted to align incentives with emerging priorities. As compared to ULGDPII, less rewards are given for achieving the MCs (DLI1) and instead emphasis is placed on achieving the PMs (DLIs 2 to 4) which have higher performance criteria. In addition, DLI4 focuses on the new thematic areas of local governments’ performance in LED, resilience and gender and is given a substantial sum to incentivize improvements in these areas.

**The disbursement system for DLI 1, 2, 3, and 4 is scalable based on actual performance of ULGs**. It is particularly important to note that if the ULGs perform better (or poorer) than expected (as set out in the disbursement related targets in the DLI matrix), disbursements will be adjusted accordingly. This means that if ULGs perform higher than expected they will receive higher than expected disbursements. If this continues throughout the Program, additional financing may be needed.

**DLIs 5 to 9 focus on regional government entities** **to enhance their abilities in fulfilling their mandates to support ULGs.**These DLIs will disburse based on results achieved by regional government entities in providing support to ULGs (DLI 5) as well as focusing on their performance in conducting essential audits for ULGs such as on fiduciary and environmental and social management.

**DLI 10 is a legacy DLI, disbursing against prior results on institutional performance, service delivery, maintenance, and job creation for 44 ULGs.** Based on the APA conducted in FY 2017/18 and review of results against 92 average points, DLI 10 will disburse to 44 ULGs in FY 2018/19 to an extent to which the ULGs have (i) strengthened their institutional performance and (ii) have implemented their local infrastructure, maintenance, and job creation activities (as measured against their Capital Investment Plans and their Annual Action Plans).

**Collectively the DLIs address the PDO and key result areas**. The DLIs are designed to address the challenges of ULGs’ and regional governments’ institutional performance and, in turn, ULGs’ ability to deliver, operate, and manage infrastructure and services, and expand LED. They provide incentives to address the core issues such as on timely audit, social and environmental management, own-source revenue generation, and strengthen the system and procedures for capacity building. In addition, there is enhanced focus to strengthen urban resilience, promote LED and job creation, and enhance gender equality. The PMs have a direct link to the key result areas and the GoE’s program intended outcomes.

**The expenditure areas are designed to correspond with the structure of the DLIs.** These reflect (a) the performance-based grants to ULGs for urban infrastructure and services investments and capacity building, and (b) the regional governments’ capacity building and oversight/support to participating cities. The support to the MUDHo to administer and coordinate the program and strengthen its capacity to support and guide the regions and ULGs is covered by the IPF.

An independent Annual Performance Assessment (APA) will be carried out every year to review the performance of cities and regions against the set of agreed indicators and performance measures. The independent verification of results to trigger disbursement is key to the Program. This is the main mechanism to measure the performance and progress of ULGs and regions in UIIDP. (See the Annual Performance Assessment Guideline (APAG) for the detailed DLIs, the detailed DLI matrix and verification protocol. The APA results are used to verify the DLIs and form the basis for disbursements:

*For ULGs*. Allocations will be determined by: (a) a set of minimum conditions (MCs), and (b) a further list of performance measures (PMs). Minimum conditions determine if the ULG is eligible to participate in that year’s program to receive grant support, and the performance measures track progress of each city in specific areas and determine each city’s score. Key result areas include: (a) participation of citizens in planning and Budgeting and gender focus, (b) fiduciary management, (c) generation of own source municipal revenues, (d) delivery as well as operation and maintenance of new infrastructure and services, and direct job creation, (e) accountability and oversight systems and (f) environmental and social safeguards, and new areas such as resilience, LED and gender (see APAG Sections 6-9 for an overview of the minimum conditions and performance measures).

*For regional governments*. Key result areas include: (a) capacity building (for various regional bureaus of urban development (BUDs) and the quality of this, (b) carrying out timely annual audits of ULGs (for Offices of the Regional Auditor Generals (ORAGs) according to standards, (c) performing social and environmental audits (for Regional Environmental Protection Agencies (REPAs)), (d) supporting ULGs’ with respect to urban revenue generation (for Regional Revenue Authorities (RRAs)) and (e) carrying out the annual procurement audits (for Regional Public Procurement Agencies (RPPAs) according to defined standards. (See APAG Sections 10 for an overview of the DLIs and performance measures for regions)

The APA system design built in measures such as independent assessments, quality assurance, complaint handling system and approval procedures to ensure its robustness. The MUDHo will recruit an independent firm to conduct the APA in a timely manner. The draft assessment results will be shared simultaneously with the World Bank and the government (first draft by October and second draft by January each year). Both the MUDHo (under a technical sub-committee established) and the Bank will separately undertake rounds of quality assurance review (QAR). Finally, the UIIDP TC will verify the APA results, and these will be further endorsed by the UIIDP SC. Based on the final APA results, GoE will send a Results Achievement Notification (by February each year) summarizing how the Program DLIs have been met. The Bank will retain the right to make the final decision on whether a DLI has been achieved or not.

In terms of the Annual Performance Assessment Guideline (APAG), where a ULG or Region is not satisfied with the outcome of the assessment, a complaint should be submitted to the UREFMFB, MUDHo not later than two weeks following receipt of notification of official scores. When submitting the complaint, the ULG/Region must enclose any relevant documentation in support of the issues in question. A UIIDP APA Complaints Resolution Committee will review and examine the complaint and recommend action to be taken on the complaints.

Based upon the report from the Complaints Resolution Committee, the APA Consultants will either incorporate changes which they are convinced are justified and provide reasons on those changes not accepted . The APA Consultants will submit simultaneously to MUDHo and World Bank, the Final Draft Reports incorporating changes which they consider justified and provide a report on changes made and not made (with justification). The UIIDP Federal Technical Subcommittee (FTSC) will verify the APA results and complaints resolution and submit its recommendations to the UIIDP Federal Steering Committee (FSC). The APA results will be formally reviewed and approved by the FSC, reviewed and endorsed by the World Bank. The APA Consultant will incorporate the final changes and endorsement of the World Bank of the APA results and allocations and produce the **Final** ULG and Synthesis APA Reports. MUDHo will distribute the Final ULG and Synthesis APA Reports to all regions and will also officially notify them of the final allocations approved by the World Bank.

The examination of the complaint will lead to one of the following results:

1. Correction of errors
2. Re-assessment in case of laxity by the assessment team
3. Rejection of the complaint

**Objective of the APA Complaints Resolution Committee**

To receive and review complaints submitted by regions and ULGs regarding the annual performance assessments conducted under the UIIDP and to make recommendations on the resolution of the complaints to the Federal Technical Committee.

**Composition of the APA Complaints Resolution Committee**

1. **Chairman**: Bureau Head, Policy and Program Bureau, Ato Mohammedzeyen Kedir
2. Member: Representative, Ethiopian Cities Association, Ato Sissay Dejene
3. Member: UIIDP Coordinator, Ministry of Finance & Economic Cooperation, Ato Ababu Tadesse
4. Member: Independent Expert in area of concern (as and when required)
5. **Secretary**: Program Coordinator, UIIDP

The Secretary will assist the Chairman in convening meetings, circulate Agendas, prepare Attendance Register and take minutes of meeting. The Technical Advisor, UIIDP will provide technical support to the Committee.

**Functions of the APA Complaints Resolution Committee**

1. Literature review all relevant documents and manuals including:-
   1. UIIDP Program Appraisal Document (PAD)
   2. UIIDP Program Operational Manual (POM)
   3. UIIDP Annual Performance Assessment Guideline (APAG)
   4. UIIDP Asset Management Plan (AMP)Manual
   5. UIIDP Capital Investment Planning (CIP) Manual
   6. UIIDP Revenue Enhancement Plan (REP) Manual
   7. UIIDP Environmental and Social Management System Guideline (ESMSG)
   8. UIIDP Resettlement System Guideline (RSG)
2. Receive from the Chairman of the UIIDP Technical Committee the complaints submitted by ULGs and regions, review and examine the complaint.
3. The Committee has power to request any additional documents from the ULG, region, MUDHo, APA Consultants or any other relevant entity that will assist it in its examination and determination of a complaint and recommend action to be taken on the complaints.
4. The Committee has power to instruct any official from the ULG, region, MUDHo, APA Consultants or any other relevant entity to appear before the Committee (if so required) to give evidence.
5. Provide an opportunity to the APA Consultants to reconsider any evidence that may not have been considered properly or may been missed**.** The APA Consultants will either incorporate in revised reports changes which they are convinced are justified and provide reasons on those changes not accepted.
6. Based on the evidences submitted by the regions/cities and the responses from the APA Consultant, make a determination on each complaint and provide the grounds upon which the determination is made.
7. Submit a report on the determination, and ground upon which this is based, of all the complaint cases to the Chairman of the UIIDP Federal Technical Committee (Bureau Head of Urban Revenue Enhancement, Fund Mobilization and Finance Bureau) not later than 14 days from the date on which the complaints were submitted to the Committee by the Chairman of the UIIDP Federal Technical Committee.

**Deliverables of the Committee**

* 1. Minutes of Meeting and Attendance Registers.
  2. Report of the Committee on determination of complaint cases.

**Meetings of the Committee**

1. The Committee shall meet, as often as necessary, within 7 calendar days after receipt of complaint cases from the Chairman of the UIIDP Technical Committee.
2. The Committee is required to make a determination of all complaint cases within 7 calendar days from receipt of the cases.
3. Three members of the Committee present at any scheduled meeting or at one called by the Chairman will constitute a quorum.
4. The Deputy Chairman of the Committee shall be the Representative of the Ethiopian Cities Association who will act for the Chairman in his absence.
5. The Chairman may also call any person (s) to attend meetings of the Committee as and when required.
6. Decisions of the Committee shall be agreed, to the extent possible, by consensus of all Voting Members. In the event of consensus not being reached, the matter shall be put to the vote and shall be decided by simple majority. In the event of a hung vote on any matter, the Chair’s vote shall carry. In the event that a member is not present at a meeting at which a decision is to be made, he/she may send in advance of the meeting, his/her views on any matter on the agenda, and his/her vote should it come to a vote, to the meeting by written notice to the Chairman which shall be received by and read out aloud to the meeting by the Chairman.

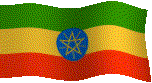
**Note:** The Committee Members (except UIIDP Coordinator) will be paid sitting allowance at the same rate and conditions as the UIIDP Federal Technical Committee.

# Organization, Staffing & TORs for Federal Mobile Team

**MINISTRY OF URBAN DEVELOPMENT & HOUSING**

**URBAN REVENUE ENHANCEMENT, FUND MOBILIZATION AND FINANCE BUREAU**

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**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

**ORGANIZATION AND TERMS OF REFERENCE FOR FEDERAL MOBILE TEAM (FMT)**

**Urban Revenue Enhancement, Fund Mobilization & Finance Bureau**

**Ministry of Urban Development & Housing**

**Final Draft after WB review/comments, March 26, 2018**

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# ORGANIZATION, STAFFING & TORs FOR UIIDP UNIT/FEDERAL MOBILE TEAM

**UIIDP UNIT/FEDERAL MOBILE TEAM**

The UIIDP Unit/Federal Mobile Team (FMT)will have 32 staff comprising a Program Coordinator, Deputy Program Coordinator and 30 professional staff in various disciplines supported by a Technical Advisor (long term international consultant). There will also be three short term advisors on revenue enhancement, asset management and land management. The Unit will have adequate support staff and facilities in order to fulfil and efficiently discharge its functions so as to achieve the UIIDP program development objective, key results, DLIs and performance indicators. The Table below provides the staffing of the FMT.

# STAFFING OF THE FEDERAL MOBILE TEAM

|  |  |  |
| --- | --- | --- |
| **Specialization** | **Number of positions** | |
| **Existing** | **UIIDP** |
| Program Coordinator | 1 | 1 |
| Deputy Program Coordinator | - | 1 |
| Procurement Management Specialist | 2 | 2 |
| Environment Management Specialist | 2 | 2 |
| Social Development Specialist | 2 | 2 |
| Project Engineers | 7 | 8 |
| Monitoring and Evaluation Specialist | 1 | 2 |
| Urban Planning Specialist | 1 | 1 |
| Infrastructure Asset Management Specialist | 1 | 2 |
| Land Management Specialist | 1 | 1 |
| Municipal Finance / Revenue Specialist | 2 | 2 |
| Budgeting, Planning and Participation Specialist | 1 | 1 |
| Local Economic Development (LED)& Job Creation Specialist | - | 1 |
| Urban Resilience/Disaster Risk Management Specialist | - | 1 |
| Capacity Building Specialist | - | 1 |
| Gender Specialist | - | 1 |
| Information Technology (IT) - Specialist | - | 1 |
| Financial Management Specialist | 1 | 1 |
| Program Accountant - MoFED | 1 | 1 |
| **Total** | **23** | **32** |

The main tasks of the UIIDP Unit/FMT are:

* + - Overall responsibility for day-to-day coordination and management of the Operation.
    - Capacity building, including direct support to regional and urban local governments, and issuance of guidelines and standard regulations for matters such as municipal revenue generation, assets management, service delivery standards, gender, local economic development and the like.
    - Program management and implementation of activities under the IPF window, including the procurement and management of the APAs and the value for money audits and to ensure the timeliness.
    - Overall Operation monitoring and evaluation.
    - Operation reporting, including the semi-annual progress reports.
    - Ensuring that Operation resources are budgeted for and disbursed within the expenditure framework.
    - Accounting for the UIIDP funds to MoFEC.
    - Evaluating the performance of team members as per the agreement made between UREFMFB and the FMT team members.

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**(UIIDP)**

# TERMS OF REFERENCE FOR PROGRAM COORDINATOR

**Objective of the TOR**

The objective of the assignment is to manage the UIIDP Unit and to support the UREFMFB/ MUDHo to effectively and efficiently manage the UIIDP as described in the Program Operations Manual and associated documents so as to ensure: a) that the UIIDP achieves its development objectives, expected outcomes and key results and; b) that the 117 ULGs and 9 Regional States achieve satisfactory performance or better in the annual performance assessment of disbursement linked indicators and performance measures that are required to support UIIDP investments in infrastructure and services and in capacity building.

**Scope of the Assignment**

The Program Coordinator will have the following duties and responsibilities: -

1. Management of the UIIDP Unit: managing the 31 staff in the Unit; briefing the Bureau Head, UREFMFB on critical UIIDP activities and issues; resolution of issues that require higher level decision; and putting in place an effective modern management and administrative system for the Unit that will enable it to achieve its expected results.
2. Overall program management (liaison, coordination, briefing, forward planning) with: 10 federal Ministries and Agencies: Ministry of Finance and Economic Cooperation (MOFEC), Ministry of Federal Affairs (MFA), Ministry of Environment, Forest and Climate Change MEFCC), Ministry of Labour and Social Affairs (MoLSA), Ministry of Industry (MoI), Office of the Federal Auditor General (OFAG), Federal Ethics and Anti-Corruption Commission (FEACC), Federal Public Procurement and Property Administration Agency (FPPPAA), Ethiopian Revenue and Customs Authority (ERCA), Federal Urban Job Creation and Food Security Agency (FUJCFSA); 10 regional urban development and housing bureaus; 117 participating cities in 10 regions; internally with the various interested/involved Bureaus of the Ministry, directly and through the Bureau Head of the UREFMFB for regular Ministry management meetings.
3. Supervise and manage the UIIDP staff to ensure that they provide the necessary support and guidance to regions and ULGs to enable all 117 participating cities to fulfil the UIIDP Minimum Conditions every year of the program and to achieve satisfactory performance in the UIIDP Performance Measures and Performance Indicators.
4. Development, publication, dissemination, training, updating of the UIIDP Program Operations Manual (POM) and oversee the development and updating of other UIIDP Manuals by the relevant UIIDP Staff and/or consultants;
5. Monitoring and reporting on implementing agencies’ compliance with the POM and other Manuals.
6. Guide the development of systems and procedures and provide guidance to cities & regions on all the thematic areas covered by the UIIDP as per the DLIs and performance indicators including monitoring, evaluation and reporting systems.
7. Draft and secure Memorandum of Understanding with all federal agencies who have responsibilities for UIIDP implementation activities and ensure that regions and cities sign the Performance and Participation Agreements for every year of the UIIDP implementation.
8. Consolidate, integrate, streamline and overall manage the various training programs that are provided by the UIIDP Unit to federal, regional and ULG staff on various thematic areas covered by UIIDP.
9. Establishment of administrative, logistical & secretarial services to effectively support the operations of the UIIDP Federal Steering Committee and Federal Technical Committee. Ensure that there is proper communication and coordination between the federal and regional steering and technical committees.
10. Provide secretarial duties for the UIIDP APA Complaints Resolution Committee.
11. Securing and disseminating the World Bank Listing of Ineligible Firms & Individuals to all implementing agencies undertaking procurement with UIIDP funds every six months (in June and December).
12. Support for, and participation in, World Bank six monthly implementation support missions and other missions as well as quality assurance reviews.
13. Undertake regular visits to regions and selected cities, especially in the Developing Regional States, to get a better understanding of the issues and problems that affect the implementation of UIIDP.
14. Ensure proper communication and coordination with UREFMFB, other Ministry Bureaus, federal agencies, regional coordinators, BUDHos, World Bank, AFD and other UIIDP stakeholders
15. Arrange and conduct quarterly review meetings between the Federal Mobile Team, Regional Mobile Team and regional coordinators of DRS, Harar & Dire Dawa to enhance communication, coordination and integration between the federal and regions levels.
16. Secure and keep all correspondences and documentation for the Unit and the UIIDP.
17. Review and submit to UREFMFB, the UIIDP quarterly, semi-annual and annual reports that are prepared by the Monitoring and Evaluation Specialist.
18. Prepare and submit quarterly, semi-annual and annual summarised reports on UIIDP performance to UREFMFB, the Ministers and Federal Technical Committee.
19. Carry out annual performance evaluation of all UIIDP Unit staff as per the UIIDP Staff Performance Evaluation and Incentive Scheme established by UREFMFB.
20. Perform any other duties assigned by the Bureau Head of Urban Revenue Enhancement, Fund Mobilization and Finance Bureau.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by all the 117 UIIDP participating cities in all the 9 regions:-

**1.DLI 1 - Minimum Conditions**

All eight (8) minimum conditions should be achieved by all 117 cities in the 9 regions, inclusive of Dire Dawa City Administration.

**2. Performance Measures, DLI 2, DLI 3, DLI 4**

50% responsibility for achievement of the annual expected (average) scoreof all UIIDP performance measures DLI2, DLI3, and DLI 4 as follows:-

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **DLI No.** | **Name of DLI** | **Year 1** | **Year 2** | **Year 3** | **Year 4** |
|  | Assessed Performance Years (EFY) | 2010 (Prior) & 2011 (Current) | 2011 & 2012 | 2012 & 2013 | 2013 & 2014 |
|  | Allocation /Implementation Year (EFY) | 2012 | 2013 | 2014 | 2015 |
| 2 | ULGs have strengthened institutional performance. | 70 | 75 | 80 | 85 |
| 3 | ULGs have implemented quality infrastructure and maintenance activities and ensured value for money | 70 | 75 | 80 | 85 |
| 4 | ULGs have strengthened performance on LED, urban resilience and gender mainstreaming |  | 60 | 65 | 70 |

**Qualifications and Skills Required**

The position requires a dynamic, energetic and innovative person who is highly qualified with Masters degree or higher in Management, Business Administration, Public Administration, Business Management, Urban Management, Civil Engineering, Municipal/Urban Engineering, Highway Engineering, Water/Hydraulic Engineering, Sanitary Engineering, Structural Engineering or Building Technology, Construction Technology and Management, Infrastructure Engineering, Geotechnical Engineering, Finance, Economics, Sociology. Environmental Science, Natural Resource Management, Land Management, Urban Planning. Additional qualification such as at least BA or BSc in either Engineering or Asset Management or Project Management with relevant experience will be an advantage. He/she should have a track record of achievements in leadership, strategic planning and change management, human resource management, program or project management, project planning, implementation and management of institutional and infrastructure development projects.

He/She shall have a minimum of 15 years general experience of which 10 years specific experience in leadership, strategic planning and change management, human resource management, program or project management, project planning, implementation and management of institutional and infrastructure development projects. . He/She will have excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals, resolving conflict successfully). He/she shall also have excellent writing and communication skills in both Amharic and English with good knowledge of the urban sector in Ethiopia, World Bank and GoE procurement and safeguard policies and procedures.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access and telephone facilities. Moreover, UREFMFB will arrange a vehicle for the consultant as a means of local transportation.

**Management Procedures**

Contractually, the Consultant will be accountable to the Bureau Head, UREFMFB to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables:**

* Modern management and administrative system for the Unit.
* Program Operations Manual;
* Memorandum of Understanding with all federal agencies and Performance and Participation Agreements between regions and cities
* Consolidated training program and proposal for training provided by the UIIDP Unit to federal, regional and ULG staff for various thematic areas.
* Agenda, Attendance Sheets& Minutes of Federal Technical Committee and UIIDP APA Complaints Resolution Committee
* Agenda, Attendance Sheets and Minutes of and quarterly review meetings between the Federal Mobile Team, Regional Mobile Team and regional coordinators of DRS, Harar & Dire Dawa
* Annual performance evaluation reports of all UIIDP Unit staff as per the UIIDP Staff Performance Evaluation and Incentive Scheme established by UREFMFB
* Quarterly, semi-annual and annual summarised reports on UIIDP performance
* Properly secured and stored documentation and correspondence for the Unit and for all aspects of program implementation.

**General Deliverables:**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).**This criterion further divided into two:
  + General Educational Status (10**%**).–PhD – 10%; Masters – 8%
  + Relevant Qualification as stated in TOR **(25%)**. - PhD – 25%; Masters – 22%
  + In addition to PhD or Masters degree, BA or BSc in either of the Engineering disciplines stated above or Asset Management or Project Management – **5%**
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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**(UIIDP)**

# TERMS OF REFERENCE FOR DEPUTY PROGRAM COORDINATOR

**Objective of the TOR**

The objective of the assignment is to obtain the services of a qualified and experienced Deputy Program Coordinator who will be responsible for assisting in the management of the UIIDP Unit and in coordinating the following specific aspects of the UIIDP: complaint handling mechanism; accountability and transparency; coordinating the Value for Money (VfM) Audits and Annual Performance Assessments (APAs); preparation of Annual Work Plan (AWP) of the UIIDP Unit and preparation of the UIIDP Annual Work Budget & Plan (AWBP).

**Scope of the Assignment**

The Deputy Program Coordinator will have the following duties and responsibilities: -

1. Assist the Program Coordinator in the management of the UIIDP Unit and act in his absence as and when delegated to do so.
2. Development, publication, dissemination, training, updating of the Annual Performance Assessment Guideline (APAG).
3. Review and revise/update the UIIDP Complaint Handling Manual.
4. Provide support to regions and ULGs in administering the UIIDP Complaint Handling Manual and other related manuals and guidelines at federal, regional and ULG levels that they use to handle the various forms of complaints (general, environment and social, procurement), ethics, fraud and corruption cases. Follow up on submission by FEACC to World Bank and MUDHo of the bi-annual consolidated report on fraud and corruption cases. Ensure that the quarterly reporting system at ULG (Ethics Officers) and regional levels (REACCs) which feeds into the federal reporting system is in place and functional.
5. Work with the Department of Municipal Service Standardization, UGCBB, MUDHo to ensure that all the approved and issued service standards have been properly disseminated and adopted by regions and cities participating in UIIDP as per the UIIDP POM, including provision of training. Ensure that all UIIDP participating ULGs have put in place a system for record keeping and reporting (quarterly, semi-annual and annual) on the achievements against the service delivery standards performance indicators to enable them to provide acceptable reports to the APA.
6. Preparation of the Annual Work Plan (AWP) for the UIIDP Unit covering the activities to be carried out by the Unit during each year. The AWP should further be broken down into detailed quarterly and monthly Action Plans to be used for achievement of the AWP. Monitor and report to the Program Coordinator and UREFMB on implementation and achievements of the Annual Work Plan (AWP) for the UIIDP Unit.
7. Assist the Ministry in the preparation of the UIIDP Annual Work Budget & Plan (AWBP) at federal level. Monitor and report to the Program Coordinator and UREFMFB on implementation and achievements of the UIIDP Annual Work Budget & Plan (AWBP).
8. Timely recruitment of the Annual Performance Assessment (APA) Consultant, processing of results and allocation of funds.
9. Initiate and manage the Annual Value for Money Audits of the 117 participating cities for all the 4 years of the program.
10. Coordinate the preparation and submission by regions and ULGs of their Strategy and Action Plan to address weaknesses and gaps identified in the APAs. Prepare Consolidated Strategy and Action Plan for submission to the UIIDP Federal Technical Committee.
11. Provide inputs into the development and management of the various training programs that are provided by the UIIDP Unit to federal, regional and ULG staff on various thematic areas covered by UIIDP.
12. Prepare TORs for activities that are planned under the Investment Project Financing (IPF) component of UIIDP which are not covered by thematic area specialists in the Unit.
13. Support for and participation in World Bank six monthly implementation support missions and other missions as well as quality assurance reviews.
14. Undertake regular visits to regions and selected cities, especially in the Developing Regional States, to get a better understanding of the issues and problems that affect the implementation of UIIDP.
15. Perform any other duties assigned by the Program Coordinator and the Bureau Head.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by all the 117 UIIDP participating cities in all the 9 regions:-

**1.DLI 1 - Minimum Conditions**

1.8. Complaints handling system related to corrupt practice, environment and social aspect as well as related to procurement in place. The system at least consists of legal base, existence of permanent structure with sufficient manpower, recording and consolidated reporting mechanism through the ethics unit and addressing the complaints.

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.6. Accountability and transparency**

**2.6.1.** **Accountability and transparency in city operations and service delivery**

2.6.1.1. Municipal service delivery as per service standards for solid waste management, land management, building permits issued by the Ministry. (a) Solid Waste Management as per the standard; (b) Land Management as per the standard; (c) Building Permits as per the standard.

**Qualifications and Skills Required**

The position requires a dynamic, energetic and innovative person who is highly qualified with Masters degree or higher in Management, Business Administration, Public Administration, Business Management, Urban Management, Civil Engineering, Municipal/Urban Engineering, Highway Engineering, Water/Hydraulic Engineering, Sanitary Engineering, Structural Engineering or Building Technology, Construction Technology and Management, Infrastructure Engineering, Geotechnical Engineering, Finance, Economics, Sociology. Environmental Science, Natural Resource Management, Land Management, Urban Planning. Additional qualification such as at least BA or BSc in either Engineering or Asset Management or Project Management with relevant experience will be an advantage. He/she should have a track record of achievements in leadership, strategic planning and change management, human resource management, program/project management, project planning, implementation and management of institutional and infrastructure development projects.

He/She shall have a minimum of 15 years general experience of which 10 years specific experience in leadership, strategic planning and change management, human resource management, program or project management, project planning, implementation and management of institutional and infrastructure development projects. . He/She will have excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals, resolving conflict successfully). He/she shall also have excellent writing and communication skills with good knowledge of the urban sector in Ethiopia, World Bank and GoE procurement and safeguard policies and procedures.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access and telephone facilities.

**Management Procedures**

Contractually, the Consultant will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables:**

* Updated Annual Performance Assessment Guideline (APAG)
* Revised/updated UIIDP Complaint Handling Manual.
* Report on support to regions and ULGs in administering the UIIDP Complaint Handling Manual and other related manuals and guidelines
* Report on submission by FEACC to World Bank and MUDHo of the bi-annual consolidated report on fraud and corruption cases.
* Report on whether the quarterly reporting system at ULG (Ethics Officers) and regional levels (REACCs) is in place and functional.
* Report on dissemination and adoption of approved and issued service standards as per the UIIDP POM.
* Report on system put in place a system by ULGs for record keeping and reporting (quarterly, semi-annual and annual) on the achievements against the service delivery standards performance indicators.
* Annual Work Plan (AWP) for the UIIDP Unit and detailed quarterly and monthly Action Plans to be used for achievement of the AWPB.
* Monitoring report on implementation and achievements of the Annual Work Plan (AWP) for the UIIDP Unit
* UIIDP Annual Work Budget & Plan (AWBP) at federal level.
* Monitoring report on implementation and achievements of the UIIDP Annual Work Budget & Plan (AWBP)
* Reports on recruitment of the Annual Performance Assessment Consultant, processing of results and allocation of funds.
* Report on engagement of Consultants for, and progress on, the Annual Value for Money Audits of the 117 participating cities
* Consolidated Strategy and Action Plan for addressing weaknesses/gaps identified in the APA.
* TORs for activities that are planned under the Investment Project Financing (IPF) component of UIIDP which are not covered by thematic area specialists in the Unit.

**General Deliverables:**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (10**%**). – PhD – 10%; Masters – 8%
  + Relevant Qualification as stated in TOR **(25%)**. - PhD – 25%; Masters – 22%
  + In addition to PhD or Masters degree, BA or BSc in either of the Engineering disciplines stated above or Asset Management or Project Management – **5%**
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR PROJECT ENGINEER

**Objective of the TOR**

The objective of the TOR is to obtain the services of qualified and experienced Project Engineer with specific contract management experience, experience on design of civil engineering works and knowledge of environmental and sociological matters related to infrastructure and who will assist UREFMFB in providing support and assistance to regions and ULGs in the implementation of infrastructure projects and achievement of UIIDP disbursement linked indicators and performance measures.

**Scope of the Assignment**

The Project Engineer will be responsible for assisting the assigned region and UIIDP participating cities in areas involving investment construction project preparation (including design and supervision consultancy), contract management, and development of capital investment plans, operations and maintenance, and participation of citizens in city development. Specific duties and responsibilities are:

1. Assist in the preparation of draft bidding documents and review the draft bidding documents prepared by design consultants or cities as per the Government of Ethiopia Standard Bidding Document (ICB) and National Competitive Bidding (NCB) to be given to regions/ULGs.
2. Monitor, inspect and coordinate the design works being done by engineering consultants during the design and supervision during the implementation of the projects. Review the reports and other documentation produced by the Consultants.
3. Check the designs, bills of quantities and other documents that are submitted by design and construction supervision consultants and the regions/ULGs in respect of the infrastructure rehabilitation projects and for conformity GoE requirements.
4. Follow-up that proper hand over of sites and mobilization formalities are fulfilled and assist in the layout of construction sites.
5. Coordinate closely with the concerned bodies and assist them in fulfilling their responsibilities in terms of contract management for smooth and successful completion of projects.
6. Assist cities in the construction supervision of contractors and making periodic monthly progress reports of sites.
7. Support cities in the application of ESMS and RSG and consideration of the environment and social issues in the contract documents in cooperation with EMS Management consultants.
8. To keep proper records of all the infrastructure projects being implemented by the region/ULGs under the UIIDP and review action plans/schedules and resources required as well as assist towns in maintaining the project management, monitoring and reporting systems for UIIDP and others.
9. Assist cities in the preparations and consolidating the Capital Investment Plans for the UIIDP and participate in any other works or meetings related to UIIDP and assist them in reviewing and appraising project proposals.
10. Assist cities, design and construction supervision consultants and contractors to obtain the necessary documents and information required for the timely completion of the projects.
11. Assist in project management and implementation of UIIDP and other programs related to project management and capacity building. This includes working with the cities technical team as and when required.
12. Support Resident Engineer in checking works, materials and workmanship to ensure compliance with the approved designs, drawings and specifications and provide feedback on the technical performance of the contractor and his consultant to the contracting authority and UREFMFB.
13. Examine alternative design proposals/variations submitted by the design and construction supervision consultants and contractor/client for execution and recommend appropriate solution to UREFMFB and cities to respond to technical and financial queries.
14. Assist in settling any minor disputes (not litigation and arbitration) between contractor and municipality, inform relevant authorities at the earliest opportunity of any problem(s) or potential problem(s) which may arise from construction of the project and recommend possible solutions.
15. Examine with design and construction supervision consultants and recommend on settlement of the contractor's claims for extensions of time, payment for extra work etc.
16. Organize meetings and/or consultative forums as required with the cities and other partners for the successful completion of the projects.
17. Prepare simplified workbook, guidelines, checklist for supervision works for a project engineer
18. Prepare physical progress report and submit to UIIDP Program Coordinator
19. Participate in, and support the preparation of training manuals, guidelines, seminars and workshops on infrastructure and related subjects.
20. Support regional cities to plan for the future in developing and planning for operations, maintenance and an environmental mitigation of infrastructure financed under the UIIDP such as roads, drainage and management of markets, slaughterhouses, solid and liquid waste disposals for sustainability of the infrastructure projects.
21. Render technical assistance for technical consultant of the cities to enhance capacity in the preparation of project proposals, construction and supervision procedures and current standards as well as in other key project management systems and areas of expertise as and when required.
22. Review and provide comments on the Annual Performance Assessment (APA) Reports of assigned ULGs
23. Perform any other duties assigned by the Deputy Program Coordinator and the Program Coordinator.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his/her assigned region (s):-

##### 1.DLI 1 - Minimum Conditions

**1.1 ULG has produced and the council approved a:**

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19).*

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.1. Planning and Budgeting**

**2.1.1. Capital Investment Plan with linkages among the annual budget, annual action plan, annual procurement plan, asset management plan and revenue enhancement plan**

2.1.1.1. Quality, consistency and alignment in rolling three 3-year CIP, to ensure effective rolling in the planning process

2.1.1.2. Capturing infrastructure, operations and maintenance including using the appropriate IBEX code in the annual budget

**2.1.3. Budget appropriation**

2.1.3.1. Budget approved by Council(Yes/No Indicator)

**2.1.4. Budget Reliability**

2.1.4.1. Variance between overall city budget and actual expenditure (each capital and recurrent) for previous EFY less than 10%. Yes/No

##### 3. DLI 3 - Service Delivery Performance (ULG Performance Measures)

**3.1. Urban Infrastructure Targets**

3.1.1. Physical targets as included in the Capital Investment Plan and annual work plan implemented. Note: Assessment is done only for all civil works projects planned in the CIP for that EFY and the final contract prices should be used in the calculation. The assessment table should consist of ALL CIP civil works projects and not just the sampled ones. (If there is no monthly engineering standard report no points will be given)

**3.2. Maintenance performance**

**3.2.1. Maintenance Budgeting and Implementation**

3.2.1.1. (a) Maintenance plan derived from the Assets Management Plan

* + - 1. (b) Maintenance Budget either 2% of the asset replacement cost or 10% of CIP budget (whichever is less)

3.2.1.2. Maintenance Budget either 2% of the asset replacement cost or 10% of CIP budget (whichever is less)

3.2.2.1. ULGs have developed a clear maintenance budget and actual implementation rate (review overall budget and utilization rate in final accounts of all maintenance projects to review actual maintenance) is minimum 80% (financial) of the planned. indicator:

**Qualifications and Skills Required**

The assignment will require a high level of technical competence in engineering especially in municipal/civil engineering works. The Consultant should therefore possess the following qualifications:

* B.Sc. degree or higher in Civil Engineering, Municipal/Urban Engineering, Highway Engineering, Water/Hydraulic Engineering, Sanitary Engineering, Structural Engineering or Building Technology, Construction Technology and Management, Infrastructure Engineering, Geotechnical Engineering or related field of studies with a track record of achievements in implementation of infrastructure projects.
* A minimum of 10 years’ engineering experience of which 5 years is in implementation and support of projects, design and supervision, contract management as well as appraisal of projects.
* Strong commitment to sharing expertise and experience in order to develop others.
* Excellent writing and communication skills in both Amharic and English (all reports, documents and correspondences shall be in English and/or Amharic).
* Knowledge of the urban sector in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Consultant will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Review reports and comments on the projects' progress reports, the project proposals and designs.
* Weekly progress reports.
* Draft TORs for design and supervision and draft bidding documents where applicable
* Implementation support mission reports
* Documentation of all correspondences during implementation of infrastructure projects.
* Monthly, Quarterly, Semi-annual and annual physical progress reports of the cities the engineer is entrusted with and simplified workbooks, workable checklist and training and project supervision manuals
* Summary of progress against UIIDP’s performance indicators semi-annually.
* Comments on the Annual Performance Assessment (APA) Reports of assigned ULGs

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR MUNICIPAL FINANCE SPECIALIST

**Objective of the TOR**

The objective of the assignment is to lead the UIIDP’s own revenue generation activities, including supporting the regional and city financial officers that are responsible for revenue generation of the City and its accountability and achievement of the UIIDP Disbursement Linked Indicators and Performance Measures related to municipal finance and own source revenue enhancement.

**Scope of the Assignment**

The Municipal Finance Specialist will be responsible for supporting the assigned regions and ULGs in UIIDP’s own source revenue generation activities. Specific duties and responsibilities are:

1. Preparing guidelines and plans for ULG revenue mobilization and revenue collection;
2. Providing technical support to the regions and ULGs in identifying alternative sources of funds for infrastructure;
3. Participating and contributing to the development of the Ministry’s Urban Finance Strategy
4. Assisting ULGs in updating their annual Revenue Enhancement Plans (REPs) for the most recent year;
5. Assisting regions and ULGs in developing generic and specific revenue enhancement strategies that will result in increase in municipal revenues of ULGs;
6. Ensuring ULGs and regions provide counterpart funding for UIIDP as described in the POM and the PPAs;
7. Monitoring, evaluating and reporting on region/ULG revenue mobilization strategies, actions and ULG revenue collection;
8. Prepare training plan, training materials and provide training to federal, regional and ULG staff on municipal finance, revenue enhancement strategies and plans
9. Monitoring compliance by regions and ULGs on municipal finance issues;
10. Review and provide comments on the Annual Performance Assessment (APA) Reports of assigned ULGs regarding municipal finance and own source revenue enhancement
11. Perform any other duties assigned by the Deputy Program Coordinator and Program Coordinator.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his/her assigned region (s):-

##### 1.DLI 1 - Minimum Conditions

**1.4. Co-funding requirements (defined with various rates of co-funding depending on the type of ULG).**

The co-funding requirements are the following:

10 percent for the new ULGs in the DRS

20 percent for the new ULGs in the non-DRS regions.

40 percent for the “old” 16 ULGs. (ULGDP One)

50 percent for Dire Dawa and Harar.

A higher level of co-funding is promoted in the performance measures.

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.5. Own Source Revenue Enhancement**

**2.5.1. Revenue Enhancement Plan updated for prior year as per the Revenue Enhancement Plan Manual**

2.5.1.1. ULG has carried out detailed analysis of each main revenue source and potential as per the Revenue Enhancement Plan Manual. (manual and template to be provided)

2.5.1.2. ULG has developed strategies for revenue enhancement as per the Revenue Enhancement Plan Manual.

**2.5.2. ULG’s municipal revenues (excluding land lease income) increase**

**2.5.3. Revenue Planning: Percentage of municipal revenue (excluding land lease income) on business taxes, municipal rent and charges and fees collected against planned target for the previous EFY**

2.5.4. Co-funding from ULGs is above minimum threshold level – as percentage of performance grant amount

**Qualifications and Skills Required**

The assignment will require a high level of competence, knowledge and understanding of municipal finance issues. The Consultant should therefore possess the following qualifications:

* A minimum of BA or B.Sc. Degree in Economics, Accounting, Finance, Municipal Finance, Business Administration, Business Management, Urban Management, Public Administration, Public Financial Management or related.
* A minimum of 10 years’ general experience of which 5 years specific experience in local government finance and revenues (taxes, charges, levies, fees) and municipal revenue enhancement planning, revenue mobilization and collection.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions.
* Excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals), resolving conflict successfully.
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Consultant will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Guidelines and plans for ULG revenue mobilization and revenue collection.
* Periodical municipal finance statements and reports.
* Documents and reports on in identification of alternative sources of funds for infrastructure by regions and ULGs;
* Contributions to the Ministry’s Urban Finance Strategy
* Reports on generic and specific revenue enhancement strategies
* Status Report and recommendations on ULGs and regions counterpart funding for UIIDP
* Monitoring and evaluation reports on region/ULG revenue mobilization strategies, actions and ULG revenue collection;
* Training plan, training materials and provide training to federal, regional and ULG staff on municipal finance, revenue enhancement strategies and plans
* Comments on the Annual Performance Assessment (APA) Reports of assigned ULGs
* Summary of progress against UIIDP’s performance indicators semi-annually.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR FINANCIAL MANAGEMENT SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of qualified and experienced Financial Management Specialist who will provide support to the Ministry, regions and ULGs on all financial management issues and aspects in general and those specific to the UIIDP. The Consultant will also support regions and ULGs in the achievement of UIIDP disbursement linked indicators and performance measures related to financial management.

**Scope of the Assignment**

The Financial Management Specialist will be responsible for assisting the Ministry, assigned region and UIIDP participating cities in all financial accounting, financial management, financial reporting in general and specific to the UIDDP. Specific duties and responsibilities are:

1. Review the UIIDP Financial Management Manual and provide suggestions/recommendations for improvements
2. Prepare training materials and provide training to the UIIDP accountants at the Federal, Regional and ULG levels.
3. Ensure that the program budget and disbursement schedules are regularly updated and maintained.
4. Ensure that proper financial records are maintained at MUDHo and other UIIDP implementing Agencies;
5. Assist MUDHo in financial management and reporting of the IPF.
6. Support assigned region and ULGs to produce the ULG Annual Budget with required timeliness and quality
7. Assist assigned ULGs to submit financial statements for the prior FY on timewith required quality and should not be adverse or have a disclaimer opinion;
8. Prepare strategies and action plans for ULGs to move from qualified audits to unqualified (clean) audits and support regions/ULGs in the implementation of these actions.
9. Support the Office of the Regional Auditor General (ORAG) in undertaking the annual financial audits of ULGs. Provide capacity building and training to the ORAGs in conjunction with the Office of Federal Auditor General (OFAG).
10. Monitor the preparations for and the carrying out of the annual financial audits by ORAGs and provide them guidance and also provide periodic status reports to the Program Coordinator and UREFMFB.
11. Review the financial audit reports and provide comments on improving the quality of the audits to the region and also submit the audits for review by the World Bank. Follow up with regions and ULGs on implementation of recommendations of the audits and submit status report to UREFMFB and World Bank on actions taken by the regions and ULGs.
12. Assist regions and ULGs in following up and addressing audit queries.
13. Support the OFAG and its delegate in carrying out the annual Value for Money (VfM) Audits, ensuring that they have the necessary capacity to carry out the audits.
14. Review the VfM Audit Reports and provide comments to OFAG and its delegate on improving the quality of the VfM audits.
15. Provide support to the MUDHo Project Financial Management Directorate on financial accounting, financial management and reporting of the Investment Project Financing (IPF) component of the UIIDP.
16. Monitor compliance by all implementing agencies with UIIDP POM and Financial Management Manual in regard to financial management issues;
17. Perform any other duties assigned by the Deputy Program Coordinator and Program Coordinator.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

##### 1.DLI 1 - Minimum Conditions

1.2. Submission of financial statements prepared from IBEX for the last FY (closure of the EFY accounts on time) by **October 10** each year.

1.3. Audit report from previous fiscal year should be issued by the deadline of January 7 of the following year and should not be adverse or with a disclaimer opinion.

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.3. Public Financial Management**

**2.3.1. Accounting and timely reporting**

2.3.1.1. Use of IBEX for all operations except Road Fund and other specialist projects done by ULGs that are not part of Budget coding system for IBEX

2.3.1.2. Timely financial reporting

2.3.1.3. Monthly cash & bank reconciliation reports submitted to BoFED timely as per regional regulations and manuals

**2.3.2. Audit Opinion**

2.3.2.1. The external financial audit report of the previous audit has a clean opinion

**2.3.3. Audit Compliance**

2.3.3.1. Evidence that audit queries raised in the external audit report have been acted on – 80% minimum

**2.3.4. Internal Audit – adherence to procedures with good practices, reflected by:**

2.3.4.1. Production of quarterly reports

2.3.4.2. Reports submitted to BoFED/ZOFED and copied to the Mayor

2.3.4.3. Evidence of follow-up of audit findings

**2.3.5. ULG level Fixed asset and inventory (stock) management weaknesses are addressed**

2.3.5.1. Record keeping- maintain fixed asset register, stock card and bin card

2.3.5.2. Count and Reconciliation

2.3.5.3. Segregation of duties

**Qualifications and Skills Required**

The Financial Management Specialist should possess the following qualifications:

* A minimum of BA, B.Sc. Degree or higher in Accounting, Finance, Municipal Finance, Municipal Financial Management, Business Administration, Business Management, Public Financial Management or related
* A minimum of 10 years’ general experience of which 5 years’ experience in aspects of local government finance, accounting, internal audit , external audit (financial audit and performance audit)
* Excellent report writing skills in both Amharic and English.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions and preferably knowledge of IBEX system.
* Excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals), resolving conflict successfully.
* Knowledge of the urban sector issues in Ethiopia is an advantage**.**

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Consultant will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Suggestions and recommendations for improvements to the UIIDP Financial Management Manual
* Training materials and training reports on financial management
* Strategies and action plans for ULGs to move from qualified audits to unqualified (clean) audits
* Summary of progress against UIIDP’s performance indicators semi-annually.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR ENVIRONMENTAL MANAGEMENT SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Environmental Management Specialist who will assist in providing capacity building and mentoring services to regions and urban local governments (city administrations) in implementation of the UIIDP Environmental Management System and achievement of disbursement linked indicators and performance measures related to environmental management.

**Scope of the Assignment**

The Environmental Management Consultant will have the following duties and responsibilities:

1. Provide overall coordination and assistance in the implementation of the ESMS for the UIIDP.
2. Establish the system of screening forms and EIA set out in this ESMS, and oversee their smooth operation including advice to ULGs on the procurement of consultants for any required EIA studies;
3. Review and assess project screening reports prepared by the respective cities which the categorized as schedule 1, 2 and 3and follow the approval of the reports by regional environmental protection institutions.
4. Review the Environmental and Social Impact Assessment (ESIA) of the sub projects and monitor the implementations of the Environmental Management Plans of the sub-projects
5. Liaise with the MoEFCC on a regular basis;
6. Site visits during ULG investment project execution and operation to assess how environmental screening and mitigation measures are succeeding or have succeeded in minimizing impacts.
7. Provide specific technical advice on mitigation measures for labor intensive projects;
8. Provide technical advice to ULGs on all technical issues related to natural resources and environmental management. These issues will relate to impacts on surface water, groundwater, agricultural resources and vegetation, sourcing of materials used in construction, human health, ecology and protected areas, land and soil degradation;
9. Raise awareness and proactively create demand for this technical advice among ULG officers;
10. Liaise with the BUDHo, REFAs and ULGs to ensure the project’s compliance with the ESMS with all aspects of the project;
11. Be responsible for collating information related to the ESMS, occupational health and safety;
12. Undertake review of EMPs to ensure compliance with the ESMS;
13. Assist in establishing a monitoring and evaluation system for the implementation of the ESMSG;
14. Lead the delivery of capacity building programs for ULG officers on the ESMS and produce a training plan.
15. Check and support all cities’ projects that, their CIPs are all screened and approved by the Regions’ Environmental Protection Authorities.
16. Assist that eligible investments for potential environmental safeguard impacts are screened against the set of environment criteria in the planning stage and Environmental and Social Impact Assessments (ESIAs), Environmental Management Plans (EMPs) are prepared and approved by the Regional Environmental Protection Agency as required;
17. Ensure that EMPs are implemented in a timely manner - prior to commencement of civil works;
18. Ensure that the ULG has established a functional system for environmental management;
19. Ensure that the REFAs carry out an environmental performance audit of all CIP projects on an annual basis as stated in the UIIDP POM; Review the reports for quality, timeliness and issues that need to be followed up by the cities.
20. Monitor and report on the implementation of landfills and abattoirs as per the MUDHo manuals ensuring that the necessary safeguard actions are put in place and implemented as per the ESMSG.
21. Prepared training plan, training materials and provide training to federal, regional and ULG staff on environmental management, occupational health and safety
22. Perform other duties assigned by the Deputy Program Coordinator and Program Coordinator.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

##### 1. DLI 1 - Minimum Conditions

Safeguards: ULGs have demonstrated that they have established a functional system for environmental and social management including full time dedicated one environmental and one social safeguards person and updated ESMSG and RSG endorsed by City Councils

**2. DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.7. Environmental & Social Safeguards**

**2.7.1. Environmental and Social Screening**

2.7.1.1. All capital project screened and approved by REFA as per Environmental and Social Management System Guideline and RSG at planning stage (before construction starts) (Yes/No indicator)

2.7.1.2. ESIAs, ESMPs, RAPs, etc., prepared and approved by regional or regional designated authority as required (Yes/No indicator)

2.7.2. RAPs are implemented prior to commencement of construction. Environmental and Social Management Plans are implemented prior to construction and during construction and operation[[24]](#footnote-24) (Yes/No indicator). based on a sample of 3 projects that have ESMPs and/or RAPs and all three must comply

**Qualifications and Skills Required**

The assignment will require a good understanding and knowledge of environmental safeguards that are associated with projects such as the UIIDP and a high level of technical competence in the implementation of ESMS.

The Consultant should therefore possess the following qualifications:

* BA or B.Sc. degree or higher in Environmental Science, Environmental Engineering, Natural Resources Management or other related degree;
* A minimum of 10 years general experience of which 5 years specific experience in all aspects of urban infrastructure development and environmental safeguard impacts , health, and safety issues , screening against environment criteria in the planning stage and environmental and social impact assessments (ESIAs), environmental management plans (EMPs)
* Experience in working with local governments and/or knowledge of the urban sector in Ethiopia will be an added advantage.
* Excellent writing and communication skills in both Amharic and English.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Consultant will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* System of screening forms and EIA set out in this ESMSG.
* Review comments on Environmental and Social Impact Assessment (ESIA) of the sub projects
* Review comments of EMPs to ensure compliance with the ESMS
* Report on quality, timeliness and issues that need to be followed up by the cities on environmental audits.
* Training plan, training materials and training reports on environmental management, occupational health and safety training.
* Monitor reports on the implementation of landfills and abattoirs

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR SOCIAL DEVELOPMENT SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of qualified and experienced Social Development Specialist with knowledge and experience of social and resettlement issues related to infrastructure development and service delivery to support regions and ULGs in applying the RSG of the UIIDP as well as the achievement of UIIDP disbursement linked indicators and performance measure related to social development and resettlement.

**Scope of the Assignment**

The Social Development Specialist will be responsible for assisting the assigned region and UIIDP participating cities in areas involving social development and resettlement of any person affected by the implementation of the capital investment projects by cities including those financed by the UIIDP. Specific duties and responsibilities are:

1. Provide overall coordination and assistance in the implementation of the ESMS and RSG for the UIIDP.
2. Establish the system of social impact screening forms, and preparation of social safeguards instrument - RAP as set out in the RSG, and oversee their smooth operation including advice to ULGs on the procurement of consultants for any required CRMP or RAP studies;
3. Site visits during ULG investment project execution and operation to assess how social aspects are succeeding or have succeeded in minimizing impacts and provide written feedback to the visited ULG and the respective regional mobile team on strength, gaps and recommended actions
4. Provide specific technical advice on mitigation measures for labor intensive projects;
5. Follow up and ensure inclusiveness community consultations
6. Follow up and ensure the health and safety of the community including populations at risk and vulnerable groups
7. Raise awareness and proactively create demand for this technical advice among ULG officers;
8. Liaise with the BUDHo and ULGs to ensure the project’s compliance with the RSG and all resettlement aspects of the project;
9. Be responsible for collating information related to the RSG and resettlement;
10. Undertake review of RAPs to ensure compliance with the RSG;
11. Establish a monitoring and evaluation system for the implementation of the RSG;
12. Lead the delivery of capacity building programs for ULG officers on the RSG and produce a training plan.
13. Review the procedure being followed to produce Resettlement Action Plan (RAP) to ensure compliance with the RSG
14. Monitor the implementation of Resettlement action plans and ensure that RAPs are implemented in a timely manner - prior to commencement of civil works;
15. Review, compile and prepare quarterly reports on social safeguards at national level
16. Review the social aspect of annual environment and social performance audit reports in line quality, timeliness and social related issues that need to be followed up and addressed by the cities
17. Ensure that the ULG has established a functional system for social management;
18. Ensure that eligible investments for potential social safeguard impacts are screened against the set of social criteria in the planning stage and Resettlement Action Plans (RAPs) are prepared and approved by the Regional Environmental Protection Agency as required;
19. Perform other duties assigned by the Deputy Program Coordinator and Program Coordinator**.**

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his/her assigned region (s):-

##### 1.DLI 1 - Minimum Conditions

Safeguards: ULGs have demonstrated that they have established a functional system for environmental and social management including full time dedicated one environmental and one social safeguards persons and updated ESMSG and RSG endorsed by City Councils

**2. DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.7. Environmental & Social Safeguards**

**2.7.1. Environmental and Social Screening**

2.7.1.1. All capital project screened and approved by REFA as per Environmental and Social Management System Guideline and RSG at planning stage (before construction starts) (Yes/No indicator)

2.7.1.2. ESIAs, ESMPs, RAPs, etc., prepared and approved by regional or regional designated authority as required (Yes/No indicator)

2.7.2. RAPs are implemented prior to commencement of construction. Environmental and Social Management Plans are implemented prior to construction and during construction and operation[[25]](#footnote-25) (Yes/No indicator). based on a sample of 3 projects that have ESMPs and/or RAPs and all three must comply

**Qualifications and Skills Required**

The assignment will require a good understanding and knowledge of social safeguards that are associated with projects such as the UIIDP and a high level of technical competence in the implementation of RSGs.

The Consultant should therefore possess the following qualifications:

* BA, MA or higher degree in Sociology, Social Work, Social Anthropology, Community Development or other related fields;
* A minimum of 10 years general experience of which 5 years specific experience in aspects of social safeguards, community development and urban development in general and sound experience in social safeguards impact screening , resettlement action plans (RAPs) preparation, implementation ,monitoring and reporting.
* Experience in working with local governments and/or knowledge of the urban sector in Ethiopia will be an added advantage.
* Have strong dedication and good understanding of the complexities of resettlement and willing to work under stress and demanding situation;

The specialist must be well versed with the World Bank guidelines/ Ethiopian environmental policy and guideline on Environment and Social Safeguards systems and with experience in drafting documents of similar nature

* Excellent writing and communication skills in both Amharic and English.
* Proficiency in the usage of computers including use of office word, excel and PowerPoints

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access, and telephone facilities.

**Management Procedures**

Contractually, the Consultant will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* System of screening forms, RAP set out in the RSG
* Reports on Site visits during ULG investment project execution and operation to assess how social aspects are succeeding or have succeeded in minimizing impacts
* Information related to the RSG and resettlement
* Review comments on RAPs to ensure compliance with the RSG
* Monitoring and evaluation system for the implementation of the RSG;
* Training plan, training materials and training reports on social development and resettlement
* Report on technical assistance provided to the regional bureaus and ULGs during site visits
* National level social safeguards performance reports
* Functional system for social management in all assigned ULGs

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and

Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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**(UIIDP)**

# TERMS OF REFERENCE FOR INFRASTRUCTURE ASSET MANAGEMENT SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of qualified and experienced Infrastructure Asset Management Specialist who will support assigned regions and ULGs in infrastructure asset management and planning as per the GIS-based Infrastructure Asset Management Plan Manual and Model that has been issued to all regions/ULGs. The Consultant will also support regions and cities in the achievement of UIIDP disbursement linked indicators and performance measures related to infrastructure asset management and planning.

**Scope of the Assignment**

The Infrastructure Asset Management Specialist will be responsible for assisting the assigned region and UIIDP participating cities in all areas involving the management of existing infrastructure assets and the planning for new infrastructure assets. Specific duties and responsibilities are:

1. Review and revise the GIS-based Infrastructure Asset Management Manual and Model.
2. Prepare training plan, training materials and provide training to federal, regional and ULG staff on GIS, GIS -based Infrastructure Asset Management Manual and Model.
3. Review the annual updated GIS-based Asset Inventories and AMPs of all the assigned ULGs as and when they are submitted by the cities/regions and provide review reports.
4. Provide on the job training and direct assistance to DRS cities and new cities in major regions on updating of asset inventories, preparation of Asset Management Plans. Provide implementation plan and status report for this assistance.
5. Review and follow up with MUDHo, regions and cities on the implementation of the Implementation Strategy and Program of Action for Asset Management. Assist all three levels (federal, regional, ULG) to take the necessary actions stated in the strategy and program of actions and produce implementation and status reports.
6. Contribute to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on asset management.
7. Review the Annual Performance Assessment Reports of ULGs regarding asset management and provide comments
8. Perform any other duties assigned by the Deputy Program Coordinator and Program Coordinator.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.2. Asset Management**

**2.2.1. Asset Management Plan prepared and updated**

2.2.1.1. Asset inventory updated as per Asset Management Manual featuring a tabular and spatial database of all infrastructure, with specification and characteristics, for all categories of assets of the cities as listed in the AMM 2.1.1.2.

2.2.1.2. Asset conditions correctly reflected in inventories as per procedures in Asset Management Manual

2.2.1.3. Asset inventory shows an asset value and deficit, which calculates the remaining asset value, maintenance and rehabilitation deficit based on annual depreciation rates as per procedures in Asset Management Manual.

**3.2. Maintenance performance**

**3.2.1. Maintenance Budgeting and Implementation**

3.2.1.1. (a) Maintenance plan derived from the Assets Management Plan

* + - 1. (b) Maintenance Budget either 2% of the asset replacement cost or 10% of CIP budget (whichever is less)

3.2.1.2. Maintenance Budget either 2% of the asset replacement cost or 10% of CIP budget (whichever is less)

3.2.2.1. ULGs have developed a clear maintenance budget and actual implementation rate (review overall budget and utilization rate in final accounts of all maintenance projects to review actual maintenance) is minimum 80% (financial) of the planned. indicator:

**Qualifications and Skills Required**

The assignment will require a high level of technical competence GIS and infrastructure asset management. The Consultant should therefore possess the following qualifications:

* BA or B.Sc. degree in Civil Engineering, Municipal/Urban Engineering, Highway Engineering, Water/Hydraulic Engineering, Sanitary Engineering, Structural Engineering, Infrastructure Engineering, Geotechnical Engineering, Building Technology, Construction Technology and Management, , Geodesy, Surveying or GIS or urban planning or related field.
* A minimum of 10 years’ general experience of which 5 years’ experience in infrastructure asset management and disciplines stated above including at least 3 years’ experience using GIS.
* Excellent writing and communication skills in both Amharic and English (all reports, documents and correspondences shall be in English and/or Amharic).
* Knowledge of the urban sector in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Consultant will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Revised GIS-based Infrastructure Asset Management Manual and Model.
* Training plan, training materials and training reports on GIS, GIS -based Infrastructure Asset Management Manual and Model.
* Review comments on the annual updated GIS-based Asset Inventories and AMPs of all the assigned ULGs
* Implementation Plan and Status Report on “On the Job Training” and direct assistance to DRS cities and new cities in major regions on updating of asset inventories and preparation of Asset Management Plans
* Implementation and status reports on the Implementation Strategy and Program of Action for Asset Management at all three levels
* Contributions to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on asset management.
* Review comments on the Annual Performance Assessment Reports of ULGs regarding asset management.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR LAND MANAGEMENT SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of qualified and experienced Land Management Specialist who will provide technical support and assistance to MUDHo, regions and ULGs on all urban land management issues and the achievement of UIIDP disbursement linked indicators and performance measures on land management.

**Scope of the Assignment**

The Land Management Specialist will be responsible for assisting MUDHo, regions and ULGs on land management issues, especially in regard to land development, land release, land registration and land inventory. Specific duties and responsibilities are:

1. Assist MUDHO in the revisions and updating of all land management manuals, guidelines, standards, policies and laws. Provide proposals and recommendations.
2. Advising MUDHo, regions and ULGs on the appropriate instructional and organizational structure for urban land management
3. Assist MUDHo in the development and implementation of urban land management and information systems
4. Assist in developing and maintaining a ULGs land registration register;
5. Providing technical guidance to the ULGs regarding matters of land development, land release, land registration, land inventory and land information systems;
6. Advice in planning towns and trading centers in the ULGs, especially regarding optimum use of available land and guiding ULGs authorities on balanced development;
7. Inspecting structures in the ULGs to ensure compliance with the land use plan;
8. Monitor and report on ULG adherence to proper and effective land management practices and policies;
9. Prepare training plan, training materials and provide training to federal, regional and ULG staff on urban land management.
10. Monitoring compliance with UIIDP POM in regard to urban land management;
11. Contribute to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on urban land management.
12. Review the Annual Performance Assessment Reports of ULGs regarding urban land management and provide comments
13. Perform any other duties assigned by the Deputy Program Coordinator and Program Coordinator.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.1. Land Management and Urban Planning**

**2.8.2. Effective land management**

2.8.2.1. Land released for different uses are as per the laws of land management and have access to basic infrastructure facilities i.e. road, water, electricity at a radius of 250 meters

2.8.2.2. Proportion of land plots released through competitive auction/ bidding process (and not through direct allocation)

2.8.2.3. Updated land inventory featuring a tabular and/or spatial database e.g. a map (Yes/No indicator)

**Qualifications and Skills Required**

The Land Administration Specialist should have experience in Urban Land Administration. He or she should have adequate knowledge and understanding and experience with land management. The Urban Land Administration Consultant should possess the following qualifications/competencies:

* B.Sc. or BA degree in Land Administration, Urban Planning, Regional Planning; or similar discipline.
* A minimum of 10 years ‘general experience of which 5 years specific experience in urban land management, development and administration.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals), resolving conflict successfully.
* Knowledge of the urban sector issues in Ethiopia and experience in GIS is an advantage.
* Knowledge of the provisions of the Land Act;

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Consultant will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Proposals and recommendations on revisions and updating of all land management manuals, guidelines, standards, policies and laws.
* Proposals on the appropriate instructional and organizational structure for urban land management at federal, regional and ULGs
* Status and Implementation Progress Reports on development and implementation of urban land management and information systems
* Up to date ULGs land registration register
* Report on guidance given to ULGs regarding matters of land development, land release, land registration, land inventory and land information systems;
* Report on compliance by assigned ULGs with the land use plan
* Monitoring report on ULG adherence to proper and effective land management practices and policies
* Training plan, training materials and provide training to federal, regional and ULG staff on urban land management
* Contributions to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on urban land management.
* Review comments on the Annual Performance Assessment Reports of ULGs regarding urban land management.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

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**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR URBAN PLANNING SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified urban planner who will assist in providing support to regions and ULGs (Cities) in the preparation and implementation of urban plans; employment of urban planning laws, strategies, manuals & guidelines. Identify the gap to the successful implantation of the urban planning regulatory framework provide advice and alternative plans for land use development and achievement of disbursement linked indicators and performance measures related to urban planning.

**Scope of the Assignment**

The Urban Planning Specialist will be responsible for assisting the assigned region (s) and UIIDP participating cities in areas involving urban planning. Specific duties and responsibilities are:

1. Assist MUDHO in the revisions and updating of all urban planning manuals, guidelines, standards, policies and laws. Provide proposals and recommendations.
2. Advising MUDHo, regions and ULGs on the appropriate institutional and organizational structure for urban planning.
3. Assess the feasibility of proposals and identify necessary changes, recommend approval, denial or conditional approval of proposals.
4. Determine the effects of regulatory limitations on projects.
5. Assist ULGs create, prepare, or requisition graphic and narrative reports on land use data, including land area maps overlaid with geographic variables such as population density.
6. Advise planning officials on project feasibility, cost-effectiveness, regulatory conformance, and possible alternatives.
7. Assist ULGs conduct field investigations, surveys and impact studies in order to compile and analyze data on economic, social, regulatory and physical factors affecting land use.
8. Discuss with planning officials the purpose of land use projects such as transportation, conservation, residential, commercial, industrial, and community use.
9. Keep informed about economic and legal issues involved in zoning codes, building codes, and environmental regulations.
10. Mediate community disputes and assist in developing alternative plans and recommendations for programs or projects.
11. Coordinate work with socio-economy consultants and architects during the formulation of plans and the design of large pieces of infrastructure.
12. Review and evaluate environmental impact reports pertaining to private and public planning projects and programs.
13. Monitoring compliance with UIIDP POM in regard to urban planning;
14. Prepare training, plan training materials and provide training to federal, regional and ULG staff on urban planning.
15. Contribute to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on urban planning.
16. Review the Annual Performance Assessment Reports of ULGs regarding urban planning and provide comments
17. Perform any other duties assigned by the Deputy Program Coordinator and Program Coordinator.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.8. Land Management and Urban Planning**

**2.8.1.** Statutory structure plan and or expansion plan approved/in place

2.8.1.1. Existence of up-to-date approved statutory city-wide (structure) plan as at the point of assessment (Yes/No indicator) excluding extension of an existing plan

2.8.1.2. CIP is in accordance with city-wide (structure) plan at the time of preparation (Yes/No indicator)

**Qualifications and Skills Required**

The Urban Planning Specialist should possess the following qualifications/competencies:

* B.Sc. or BA degree or higher in Urban Planning, Architecture town planning or urban local) and regional planning (studies) or related field of studies with extensive experience in designing and implementing regulations and systems in urban development involving development at a national level of policies and strategies for urban development and management with particular focus on the development of urban local governments.
* A minimum of 10 years’ general experience in of which 5 years specific experience in local government/urban planning.
* A working knowledge of GIS and CAD systems and an ability to transmit that knowledge to others will be an advantage.
* Excellent writing and communication skills in English, excellent report writing skills.
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

1. It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

1. UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access, telephone and fax facilities.
2. **Management Procedures**
3. Contractually, the Consultant will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Proposals and recommendations on revisions and updating of all urban planning manuals, guidelines, standards, policies and laws.
* Proposals on the appropriate instructional and organizational structure for urban planning at federal, regional and ULGs
* Report on administering government plans and policies affecting land use, zoning, public utilities, community facilities, housing, and transportation.
* Assessment reports on feasibility of proposals and recommendations on necessary changes/approval/denial or conditional approval of proposals.
* Analysis of data on economic, social, regulatory and physical factors affecting land use.
* Alternative plans and recommendations for programs or projects.
* Review and evaluation comments on environmental impact reports pertaining to private and public planning projects and programs.
* Training plan, training materials and provide training to federal, regional and ULG staff on urban planning.
* Contributions to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on urban planning.
* Review comments on the Annual Performance Assessment Reports of ULGs regarding urban planning

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR PLANNING, BUDGETING & PARTICIPATION SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Planning, Budgeting and Participation Specialist who will support all regions and UIIDP participating cities in planning and budgeting for infrastructure investments in a participatory manner.

**Scope of the Assignment**

The Planning, Budgeting and Participation Specialist will be responsible for the following specific duties and responsibilities are:

1. Reviewing, and making contributions to the revision of, the planning, budgeting and participation manuals being used by ULGs.
2. Supporting regions and cities in formulating and developing ULGs development strategies, plans and budgets;
3. Support regions and UIIDP participating cities in the preparation of ULG capital investment plans, capacity building plans, action plans and budgets in participatory manner.
4. Preparing and disseminating performance standards and indicators for the ULGs to use on planning, budgeting and participation;
5. Monitoring and evaluating performance of ULGs Development Plans programs and projects;
6. Collecting, analyzing and storing data into useful information for end users and maintaining a data bank for planning, budgeting and decision-making purposes;
7. Providing technical advice to MUDHo, regions and ULGs on matters related to planning, budgeting and participation;
8. Preparation of short, medium and long-range projections based on the GTP and other Ministry plans and providing these to regions and ULGs to use for planning and budgeting purposes.
9. Ensures that applicable records, economic, statistical bulletins and miscellaneous data are maintained in the UIIDP Unit and updated from time to time.
10. Evaluates the effectiveness of public participation, project planning, budgeting and implementation through monitoring, evaluation and review of projects, post implementation review and dissemination of project results;
11. Monitoring compliance with UIIDP POM and other manuals in regard to budgeting, planning and participation;
12. Prepare training plan, training materials and provide training to federal, regional and ULG staff on planning, budgeting and participation.
13. Contribute to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on budgeting, planning and participation.
14. Review the Annual Performance Assessment Reports of ULGs regarding budgeting, planning and participation and provide comments
15. Perform any other duties assigned by the Deputy Program Coordinator and Program Coordinator.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

##### 1.DLI 1 - Minimum Conditions

ULG has produced and the council approved a:

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19).*

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.1. Planning and Budgeting**

**2.1.1. Capital Investment Plan with linkages among the annual budget, annual action plan, annual procurement plan, asset management plan and revenue enhancement plan**

2.1.1.1. Quality, consistency and alignment in rolling three 3-year CIP, to ensure effective rolling in the planning process

2.1.1.2. Capturing infrastructure, operations and maintenance including using the appropriate IBEX code in the annual budget

**2.1.2. Participation of citizens in the planning process to meet service delivery priorities identified by citizens**

2.1.2.1. No. of public consultations (lower level and city level)

2.1.2.2. Increase in no. of people involved. Evidence of agenda and issues discussed.

**2.1.3. Budget appropriation**

2.1.3.1. Budget approved by Council (Yes/No Indicator)

**2.1.4. Budget Reliability**

2.1.4.1. Variance between overall city budget and actual expenditure (each capital and recurrent) for previous EFY less than 10%. Yes/No

**Qualifications and Skills Required**

The Planning, Budgeting & Participation Specialist should possess the following qualifications/competencies:

* A minimum of BA or B.Sc. Degree in Urban Management, Municipal Finance, Accounting, Financial Planning, Investment Financing, Economics, Public Financial Management, Public Administration, Business Administration or related.
* A minimum of 10 years of experience in public finance including budgeting and experience in similar projects and geographic areas, with 5 years of experience in local government budgeting planning and participation.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions.
* Excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals), resolving conflict successfully.
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Consultant will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Contributions to the revision of, the planning, budgeting and participation manuals being used by ULGs.
* Reports on technical support provided to regions/cities in formulating and developing ULGs development strategies, plans and budgets;
* Reports on support given to regions and UIIDP participating cities in the preparation of ULG capital investment plans, capacity building plans, action plans and budgets.
* Monitoring and evaluation reports on performance of ULGs Development Plans, programs and projects;
* Data bank for planning, budgeting and decision-making purposes;
* Short, medium and long-range projections based on the GTP and other Ministry plans
* Evaluation reports on the effectiveness of public participation, project planning, budgeting and implementation.
* Training plan, training materials and training reports on planning, budgeting and participation
* Contributions to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on budgeting, planning and participation.
* Review comments on Annual Performance Assessment Reports of ULGs regarding budgeting, planning and participation.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR MONITORING & EVALUATION SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Monitoring & Evaluation Specialist who will be responsible for developing and maintaining the UIIDP Monitoring, Evaluation and Reporting Systems, supporting the regional and city M&E officers that are responsible for M&E of the UIIDP and achievement of disbursement linked indicators and performance measures related to M & E.

**Scope of the Assignment**

The **Monitoring and Evaluation Specialist** at Federal level based at MUDHo will plan, coordinate and facilitate all M&E related activities of the UIIDP. He/she will be responsible for developing, implementing and maintaining the UIIDP M&E and reporting systems at federal, regional and ULG levels. Specific duties and responsibilities are:

1. Prepare, revise and update as required the UIIDP Monitoring, Evaluation and Reporting System Guidelines for the federal, regional and ULG levels as per the UIIDP Results Framework and POM.
2. Maintain the UIIDP M & E system at federal level and assist the UIIDP M&E Officers at Regional and ULG levels in maintaining a similar system at their levels.
3. Assist cities and regions in the preparation of their UIIDP M&E reports and follow up to ensure that they are submitted as per the deadlines set in the M & E Guidelines;
4. Prepare and submit to Program Coordinator the Consolidated Quarterly Progress Reports, Semi-Annual Report, Annual Report for UIIDP as per the M&E Guidelines and other reports as required by UREFMFB.
5. Regularly follow-up on project implementation progress as per the key performance indicators.
6. Identify training needs for monitoring and evaluation, prepare training plan, training materials and conduct training programs for relevant staff at federal, regional and city levels.
7. Work with UIIDP team members and other project implementing partners to familiarize them with key performance indicators of the UIIDP.
8. Contributions to revisions to the Annual Performance Assessment Guideline (APAG).
9. Review comments on Annual Performance Assessment Reports of ULGs.
10. Perform other duties assigned by the Deputy Program Coordinator and Program Coordinator.

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The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

**DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.6. Accountability and Transparency**

**2.6.1. Accountability and transparency in city operations and service delivery**

2.6.1.2. Public dissemination (in city offices and other public places or web-pages, newspapers) of information about: (a) Annual budgets; (b) Approved projects; (c) Expenditures; (d) Audited accounts; (e) Procurement decisions; (f) APA results announced to public

2.6.1.3. Timely submission of quarterly progress reports for UIIDP as per the UIIDP M & E Guidelines (Yes/No indicator)

**Qualifications and Skills Required**

The **Monitoring and Evaluation Specialist** should possess the following qualifications/ competencies:

* BA or B.Sc. degree in statistics, Demography, Sociology, Social Work, Economics, Urban Management or a related field;
* A minimum of 10 years’ general of which 5 years specific experience in monitoring and evaluation systems of programs/projects and capacity building for M&E in a public sector or urban sector setting.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions and statistical software.
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access and telephone facilities.

**Management Procedures**

Contractually, the Consultant will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* UIIDP Monitoring, Evaluation and Reporting System Guidelines for the federal, regional and ULG levels
* UIIDP M & E system at federal level
* Report on assistance given to the UIIDP M&E Officers at Regional and ULG levels in maintaining UIIDP M & E System at their levels
* Consolidated Quarterly Progress Reports, Semi-Annual Report, Annual Report for UIIDP
* Training plan, training materials and training reports
* Contributions to revisions to the Annual Performance Assessment Guideline (APAG)
* Review comments on Annual Performance Assessment Reports of ULGs.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR UIIDP PROGRAM ACCOUNTANT (MoFEC)

**Objective of the TOR**

The objective of the TOR is to obtain the services of a UIIDP Program Accountant, based at MoFEC, who will be responsible for fund flow, financial reporting, and arranging overall project auditing

**Scope of the Assignment**

The Program Accountant will have the following specific duties and responsibilities:

1. Prepare and update the UIIDP Financial Management Manual
2. Prepare training plan, training materials and provide training to the UIIDP accountants at the Regional Bureaus of Finance and Economic Development and ULGs.
3. Facilitate and ensure timely release and flow of resources from IDA to MoFEC and to MUDHo and regions.
4. Maintain the UIIDP financial accounting and reporting system in IBEX.
5. Ensure timely submission of expenditure documents from MUDHo and regions (BoFEDs) to MoFEC and consolidated expenditure report to IDA for replenishment of UIIDP funds;
6. Prepare request for replenishment of funds by IDA with relevant and necessary documentation and reports /Interim Financial Reports (IFR)
7. Prepare periodic Financial Reports and additional statement as per the UIIDP POM and UIIDP Financial Management Manual.
8. Ensure that proper financial records are maintained at all UIIDP implementing Agencies and ensure the quality and consistency of all financial data;
9. Reconcile monthly UIIDP bank accounts at MoFEC with the bank statements.
10. Prepare Semi-Annual Financial Reports for UIIDP and submit to IDA within the deadline stipulated in the POM and the financing agreement.
11. Prepare annual consolidated financial statements for UIIDP within three months after the end of the financial year and ensure that these are submitted for audit to the external auditors;
12. Facilitate the external auditor with all the necessary financial documents in order to conduct the audit in time and ensure the audit report is submitted to the bank within six months after the end of the financial year of the program;
13. Copy all financial reports to MUDHo for proper coordination and follow-up of the implementation and fund utilization;
14. Perform other duties assigned by the UIIDP Coordinator at MoFEC.

**Qualifications and Skills Required**

The assignment will require a high level of technical competence in financial accounting, financial management and financial reporting. The UIIDP Program Accountant should therefore possess the following qualifications:

* A minimum of BA, B.Sc. Degree in Accounting, Finance, Municipal Finance, Business Administration, Business Management, Public Financial Management or related
* A minimum of 10 years’ general experience of which 5 years specific experience in aspects of local government finance, public sector financial management, financial audit, accounting, internal and external audit.
* Excellent report writing skills in both Amharic and English.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions and preferably knowledge of IBEX system.
* Knowledge of the urban sector issues in Ethiopia is an advantage**.**

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MoFEC offices in Addis Ababa. Contract: one-year contract, with possible extension upon satisfactory performance. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

MoFEC will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The UIIDP Program Accountant will be provided, for official business, with internet access and telephone facilities.

**Management Procedures**

Contractually, the UIIDP Program Accountant will be accountable to the MoFEC UIIDP Coordinator to whom all reports and deliverables as per the TOR should be submitted. MoFEC will sign the contract with the UIIDP Program Accountant and will also be responsible for all payments to the UIIDP Program Accountant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* UIIDP Financial Management Manual
* Training plan, training materials and training reports on financial management
* UIIDP financial accounting and reporting system in IBEX
* Consolidated expenditure report and Replenishment Request to IDA for replenishment of UIIDP funds
* Periodic Financial Reports and additional statement as per the UIIDP POM and UIIDP Financial Management Manual.
* Monthly Bank Reconciliation Statements for UIIDP
* Semi-Annual Financial Reports for UIIDP
* Annual consolidated financial statements

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the UIIDP Program Accountant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the UIIDP Program Accountant’s work three weeks before the end of the assignment; and
* Final Report of the UIIDP Program Accountant’s work, one week after receiving comments from MoFEC.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR PROCUREMENT MANAGEMENT SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Procurement Management Specialist who will provide support to assigned regions and UIIDP participating cities on procurement planning, implementation and monitoring as well as contract management including achievement of disbursement linked indicators and performance measures related to procurement.

**Scope of the Assignment**

The Procurement Management Specialist will be responsible for the following specific duties and responsibilities:

1. Hold inventory and database of all federal and regional governments procurement laws including proclamations, regulations, directives, manuals, circulars, standard bidding documents and templates which govern the procurement process;
2. Keep track of any changes in the procurement laws, procedures and circulars issued by the Federal and Regional Governments from time to time; analyze their impacts on value for money and fairness compared to the baseline procurement laws, procedures and circular and notify MUDHo and the Bank immediately;
3. Review and contribute to the revision/updating of the procurement manuals, guidelines and procurement formats in line with the Financing Agreement and POM.
4. Supporting assigned regions and cities in the formulation of procurement policies and strategies in line with the Financing Agreement and POM;
5. Supporting assigned regions and cities in the preparation of the Annual Procurement Plans for ULGs, reviewing the plans and providing comments or suggestions for improvement of the quality of the plans;
6. Monitoring the implementation of the Annual Procurement Plans, providing summarized status report to the Program Coordinator and UREFMFB on quarterly basis. Provide guidance to the regions and ULGs on speeding up implementation of the procurement plans/activities.
7. Supporting the assigned Regional Public Procurement and Property Administration Agencies in undertaking the annual procurement audits of ULGs. Provide capacity building training to the RPPPAAs in conjunction with the FPPPAA.
8. Monitor the preparations for and the carrying out of the annual procurement audits by RPPPAAs and provide them guidance and provide periodic status reports to the Program Coordinator and UREFMFB.
9. Review the procurement audits and provide comments to the RPPPAAs and submit the audits for review by the World Bank. Follow up with regions and ULGs on implementation of recommendations of the audits and submit quarterly status report to UREFMFB and World Bank on actions taken by the regions and ULGs.
10. Provide support to the MUDHo Project Procurement Management Directorate on preparation of the procurement plan for the Investment Project Financing (IPF) component of the UIIDP and actively participate in the procurement activities for the IPF (review of TORs, bidding documents, evaluation reports, contract management etc);
11. Carry out a review to identify constraints and opportunities to the effective and efficient procurement and administration of works, goods, and consultancy and non-consultancy services in the ULGs and an implementation capacity assessment to identify gaps;
12. Prepare training plan, training materials and provide training to federal, regional and ULG staff on procurement management;
13. Monitoring compliance with UIIDP POM and other manuals regarding procurement management;
14. Contribute to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on procurement management;
15. Review the Annual Performance Assessment Reports of ULGs regarding procurement management and provide comments;
16. Follow up with MUDHo, Regions and ULGs on implementation of recommendations of Quality Assurance Reviews (QARs), Implementation Support Missions(ISMs), Post-Reviews(PRs) (in the case of the IPF window), and submit quarterly status report to UREFMFB and World Bank on actions taken by MUDHo, Regions and ULGs;
17. Prepare a spreadsheet for data collection on procurement performance measurement and monitoring. The spreadsheet shall be sufficient to capture base data and track annual changes for annual performance assessment.
18. Perform any other duties assigned by the Deputy Program Coordinator and Program Coordinator.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s): -

##### 1.DLI 1 - Minimum Conditions

**1.1. ULG has produced and the council approved a:**

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* The planned use of the performance-based grants from UIIDP follows investment menu **(***only from assessment in 2019 of the performance in FY 2018/19).*
  1. **Functional institutional set-up for procurement system in place according to public procurement proclamation including:**

1. Procurement function and minimum core staff in place – at least two procurement specialists within procurement unit in ULG; with first degree and experience in procurement at least for two years
2. Functional tender committee/tender award committee (TAC) at ULG level in place;
3. Participating cities have the copies of their respective region’s procurement law, directives, manuals and standard procurement documents and staffs are familiar with these legal documents
4. Establishment of procurement performance monitoring and measurement using the Procurement Key Performance Indicators included in the POM and APAG.
5. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.4. Procurement**

**2.4.1. Annual Procurement Planning, Oversight and Controls**

*Parameters to be assessed****.***

(i) Annual procurement plans are prepared and updated;

(ii) Internal procurement audits are conducted and they are acceptable;

(iii) Follow up and update was done on the action plan for implementation of internal and external audit findings.

**2.4.2. Individual Procurement Transactions**

**2.4.2.1. Procurement Planning and Bidding**

*Parameters to be assessed.*

(i)The procurement item is included in the approved annual procurement plan;

(ii) Advertisements were made as required by the law;

(iii) Correct standard bidding documents are used;

(iv) Bid floating periods are as provided in the law;

(v) Bid openings are conducted immediately after bid submission and minutes are acceptable

**2.4.2.2. Bid Evaluation and Contract Award**

*Parameters to be assessed.*

(i) Bid evaluations are consistent with bidding documents;

(ii) Contract was awarded to the legitimate bidder within bid validity period;

(iii) Bid evaluation results are announced to bidders and public;

(iv) Contract document contents are complete

**2.4.2.3. Contract implementation and procurement recording**

*Parameters to be assessed.*

(i) Contracts implemented within planned time

(ii) Contracts implemented as per contract price

(iii) Availability of adequate auditable procurement records in a secured space.

**2.4.3. Procurement Outcomes**

**2.4.3.1. Procurement efficiency and effectiveness**

*Parameters to be assessed.*

(i) Percentage (by no. and value) of procurement items not included in the original annual procurement plan should not exceed 5%;

(ii) Average deviation between original Planned and Actual Procurement cycle time (procurement initiation-contract completion) should not exceed 5%;

(iii) deviation between original price in the procurement plan and award price should not exceed 20%;

(iv) deviation between contract price and completion price (turnout cost) should not exceed 25%.

**2.4.3.1. Competitiveness, Fairness and Transparency and Controls**

*Parameters to be assessed.*

(i) Percentage (by no. and value) of procurements conducted through open bidding procedure is 85%;

(ii) Complaints resolved within the standard time frame is 100%;

(iii) the percentage of action taken from the previous procurement audit qualifications/ recommendations equals or exceeds 90%.

**Qualifications and Skills Required**

The Procurement Management Specialist should have a high level of technical competence and experience in procurement of services, goods and works on using World Bank guidelines and GOE procurement laws and guidelines. The Procurement Management Specialist should therefore have the following qualifications.

* Minimum of BA or B.Sc. Degree in Procurement, Procurement & Supply Chain Management, Public Procurement &Asset Management, Commerce, Marketing Management, Business Administration, Economics, Engineering, Law or any other related discipline.   Possession of professional qualification in procurement will be an added advantage.
* At least 10 years’ general experience of which 5 years specific experience in procurement in a large private/ public sector organization or projects and in GOE/IDA funded projects using federal/regional/IDA procurement procedures.
* Computer literacy in the use of word processor, spreadsheets and any other
* Excellent writing and communication skills in both Amharic and English (all reports, documents and correspondences shall be in English).
* Knowledge of the urban sector in Ethiopia is an advantage

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access and telephone facilities.

**Management Procedures**

Contractually, the Consultant will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Contributions to the revisions/updates of the procurement manuals, guidelines and procurement formats.
* Reports on technical support provided to assigned regions/cities in formulating procurement policies and strategies;
* Reports on support given to assigned regions and UIIDP participating cities in the preparation of ULG annual procurement plans
* Review comments or suggestions for improvement of the quality of assigned ULG annual procurement plans
* Summarized Quarterly Monitoring & Status Report on implementation of the assigned ULG Annual Procurement Plans, implementation of audit/review findings and recommendations, and trainings and guidance provided to the assigned regions and ULGs on speeding up implementation of the procurement plans/activities.
* Report on support provided to the assigned Regional Public Procurement and Property Administration Agencies in undertaking the annual procurement audits of ULGs.
* Training Reports on capacity building training to the RPPPAAs
* Monitoring and status report on the preparations for and the carrying out of the annual procurement audits by RPPPAAs.
* Review comments on quality of procurement audits
* Status report on implementation by regions and ULGs of recommendations of the procurement audits.
* Report on support provided to the MUDHo Project Procurement Management Directorate on preparation of the procurement plan for the Investment Project Financing (IPF) component of the UIIDP and on IPF procurement activities.
* Report on constraints and opportunities to the effective and efficient procurement and administration of works, goods and consultancies in the ULGs.
* Procurement implementation capacity assessment report.
* Training plan, training materials and training reports on procurement management
* Contributions to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on procurement management.
* Review comments on Annual Performance Assessment Reports of ULGs regarding procurement management.

Spreadsheet for data collection on procurement performance measurement and monitoring;

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR CAPACITY BUILDING SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Capacity Building Specialist who will be responsible for coordinating all the capacity building activities under UIIDP and for providing capacity building support to all regions and UIIDP participating cities.

**Scope of the Assignment**

The Capacity Building Specialist will be responsible for the following specific duties and responsibilities:

1. Reviewing, and making contributions to the revision of the UIIDP Capacity Building Manual and ensuring that the manual is disseminated to all regions and ULGs.
2. Provide support to regions and ULGs in carrying out the capacity self-assessment and gap analysis using the tools provided in the UIIDP Capacity Building Manual.
3. Supporting regions and cities in formulating and developing their capacity building strategies, plans and budgets, ensuring that the UIIDP Eligible Capacity Building Areas are adhered to and that all the four capacity building modalities are used;
4. Using the Checklists in the UIIDP Capacity Building Manual, review and provide comments on the annual capacity building plans of federal Ministries/Agencies, all regions and participating ULGs.
5. Monitor and evaluate the performance of regions and ULGs capacity building plans;
6. Preparation of the UIIDP Federal Capacity Building Plan and following up with all participating federal Ministries and Agencies o the preparation of their capacity building plans.
7. Evaluate and report on the effectiveness of capacity building activities and training programs provided under UIIDP by the federal, regional and ULG levels
8. Monitoring compliance by federal, regional and ULG levels with UIIDP II POM and other manuals in regard to budgeting, planning and participation;
9. Prepare training plan, training materials and provide training to federal, regional and ULG staff on capacity building.
10. Coordinate and provide assistance to other UIIDP staff in the preparation of training program and delivery of training by all thematic areas under UIIDP.
11. Coordinate and arrange the provision of supply side capacity building courses/training by ECSU, Federal/Regional training institutions and private institutions as envisaged in the POM and UIIDP Capacity Building Manual. Prepare and arrange for of MOUs with these training institutions for course design and administration.
12. Contribute to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on capacity building.
13. Review the Annual Performance Assessment Reports of ULGs regarding capacity building and provide comments
14. Perform any other duties assigned by the Deputy Program Coordinator and Program Coordinator.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

##### 1.DLI 1 - Minimum Conditions

**1.1. ULG has produced and the council approved a:**

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19).*

**1.2. Key staff in place/coordination team with the following staff under the coordination of the city manager:** full-time focal persons from relevant departments for revenue, procurement, environmental, social management, M&E, PFM, and civil engineering, AMP expert, Urban planning and land management, plus an internal auditor.

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.1. Planning and Budgeting**

**2.1.5. Capital building performance**

2.1.5.1. Capacity building planning: (a) The capacity building plan has been produced through a systematic assessment and gap analysis in the main thematic focus areas.; (b) The capacity building plan includes activities covering at least two capacity building modalities. (c) The capacity building activities are clearly traceable to the identified capacity building gaps

2.1.5.2. Implementation of capacity building activities: (a) More than 80% of capacity building activities included in the capacity building plan successfully completed; (b) More than 80% of the funds budgeted in the capacity building plan are utilized

**Qualifications and Skills Required**

The Capacity Building Specialist should possess the following qualifications/competencies:

* BA or B.Sc. Degree or higher in Management, Human Resource Development, Urban Management, Business Administration, Public Administration or related.
* A minimum of 10 years of general experience of which 5 years specific experience in institutional and human resource development, capacity building and training.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent command of computer programs and applications
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access and telephone facilities.

**Management Procedures**

Contractually, the Consultant will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Contributions to the revision of the UIIDP Capacity Building Manual
* Report on support to regions and ULGs in carrying out the capacity self-assessment and gap analysis.
* Report on supporting regions and cities in formulating and developing their capacity building strategies, plans and budgets
* Checklists and review comments on the annual capacity building plans of federal Ministries/Agencies, all regions and participating ULGs.
* Monitoring and evaluation reports on performance of regions and ULGs capacity building plans
* UIIDP Federal Capacity Building Plan
* Evaluation report on the effectiveness of capacity building activities and training programs provided under UIIDP by the federal, regional and ULG levels
* Training plan, training materials and training reports on capacity building
* MOUs with federal and regional training institutions for course design and administration.
* Report on provision of supply side capacity building courses/training by ECSU, Federal/Regional training institutions and private institutions.
* Contributions to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on capacity building.
* Review comments on Annual Performance Assessment Reports of ULGs regarding capacity building.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR LOCAL ECONOMIC DEVELOPMENT (LED) & JOB CREATION SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Local Economic Development & Job Creation Specialist who will support all regions and UIIDP participating cities in designing and implementing local economic development strategies that result in sustainable job creation.

**Scope of the Assignment**

The Local Economic Development & Job Creation Specialist will be responsible for the following specific duties and responsibilities:

1. Reviewing and making contributions to the revision/updating of the UIIDP Local Economic Development Manual and the UIIDP Job Creation & Measurement Guideline.
2. Supporting regions and cities in formulating and developing ULGs local economic development strategies and plans that will result in sustainable job creation.
3. Support regions and UIIDP participating cities in the preparation of ULG Local Economic Development Plan and Job Creation Plan as per the manual and guideline.
4. Review ULG CIPs to ensure that the necessary public private dialogue has taken place as part of their preparation to address the constraints faced by potential investors and existing businesses.
5. Support regions and ULGs in ensuring that they arrange at least 2 public private dialogue/open meetings with city mayor and a wide range of private sector representatives in a properly structured meeting where there will be among other things, presentation of constraints and economic potentials to inform the CIP. The meetings should come up with agreed actions.
6. Support regions and ULGs to ensure that all the ULGs implement the agreed actions as soon as possible.
7. Monitoring, evaluating and reporting performance of ULGs Local Economic Development Plans and Job Creation Plans.;
8. Preparing and disseminating performance standards and indicators for the ULGs to use on local economic development;
9. Collecting, analyzing and storing data into useful information for end users and maintaining a data bank for local economic development and job creation;
10. Evaluate the effectiveness of local economic development strategies and job creation strategies;
11. As part of a broader effort that may involve technical assistance and working with regions, develop comprehensive and harmonized policies, strategies and procedures on incentive mechanisms and for the registration, monitoring, follow up and graduation of MSEs.
12. Work with regions and ULGs to identify and resolve the challenges that face MSEs and prevent them from surviving or graduating to the next level. Some of the challenges identified so far are lack of access to finance, weak backward linkages to access raw materials and weak forward linkages to buyers and markets, location issues in that MSE business premises are located far away from potential customers.
13. Work with the regions and ULGs and put in place a mechanism and procedure for the selection of some MSEs based on open business plan competition.
14. In conjunction with FUJSCA, prepare a capacity building program for MSE offices and/or MSE one stop centres to equip them with the necessary facilities, equipment, materials and technical competence to support MSEs.
15. In conjunction with Ministry of Industry, prepare a capacity building program for Medium Manufacturing Enterprises Development Units in ULGs to equip them with the necessary facilities, equipment, materials and technical competence to support graduated MSEs.
16. Prepare training plan, training materials and provide training to federal, regional and ULG staff on local economic development and job creation.
17. Contribute to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on local economic development and job creation.
18. Review the Annual Performance Assessment Reports of ULGs regarding local economic development and job creation and provide comments
19. Perform any other duties assigned by the Deputy Program Coordinator and Program Coordinator.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

##### 1.DLI 1 - Minimum Conditions

ULG has produced and the council approved a:

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19).*

**Note: For the LED & Job Creation Specialist, this will be regarding whether public private dialogue has informed the CIPs and whether job creation figures are correctly captured in the CIPs**

##### DLI 4 -Performance on Local Economic Development, Urban Resilience and Gender Mainstreaming (ULG Performance Measures)

**4.1. Local Economic Development**

**4.1.1. Job Creation**

4.1.1.1. No. of people employed through infrastructure works under UIIDP against annual target

4.1.1.2. No. of people employed in firms provided with serviced land[[26]](#footnote-26) and/or MSE sheds[[27]](#footnote-27) under CIP against annual target

**4.1.2. Public private dialogue**

4.1.2.1. ULG held at least 2 public private dialogue/open meetings with city mayor and a wide range of private sector representatives -structured meeting, mayor participation, presentation of constraints and economic potentials to inform the CIP.

4.1.2.2. Implementation of min. 2 agreed actions from each meeting

**4.1.3. Micro Small Enterprise**

4.1.3.1. No. of MSEs supported through open business plan competitions, against annual target

4.1.3.2. No. of MSE One Stop Center (OSC) supported to be fully functional against annual target

4.1.3.3. No. of graduated MSEs provided with support from the Medium Manufacturing Enterprises Development Unit in the city administration, against annual target

**Qualifications and Skills Required**

The Local Economic Development & Job Creation Specialist should possess the following qualifications/competencies:

* A minimum of BA or B.Sc. Degree in Economics or Development Economics, Urban Management or related
* A minimum of 10 years of general experience of which 5 years specific experience in national, regional or local economic development and in working with regional and urban local governments in formulating a framework or strategy for urban local economic development, including the promotion of micro and small-scale enterprises.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions.
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access and telephone facilities.

**Management Procedures**

Contractually, the Consultant will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Contributions to the revision/updating of the UIIDP Local Economic Development Manual and the UIIDP Job Creation & Measurement Guideline.
* Report on supporting regions and cities in formulating and developing ULGs local economic development strategies.
* Report on support to regions and UIIDP participating cities in the preparation of ULG Local Economic Development Plan and Job Creation Plan as per the manual and guideline.
* Report on review of ULG CIPs to ensure that the necessary public private dialogue has taken place as part of their preparation.
* Report on support given to regions and ULGs in ensuring that they arrange at least 2 public private dialogue/open meetings with city mayor and a wide range of private sector representatives
* Monitoring and evaluation report on performance of ULGs Local Economic Development Plans and Job Creation Plans.
* Performance standards and indicators for the ULGs to use on local economic development;
* Data bank for local economic development and job creation.
* Evaluation reports on effectiveness of local economic development strategies and job creation strategies.
* Comprehensive and harmonized policies, strategies and procedures on incentive mechanisms and for the registration, monitoring, follow up and graduation of MSEs.
* Mechanism and procedure for the selection of some MSEs based on open business plan competition
* Report on challenges that face MSEs and prevent them from surviving or graduating to the next level and remedial measures
* Capacity building program for MSE offices and/or MSE one stop centres to equip them with the necessary facilities, equipment, materials and technical competence to support MSEs.
* Capacity building program for Medium Manufacturing Enterprises Development Units in ULGs to equip them with the necessary facilities, equipment, materials and technical competence to support graduated MSEs.
* Contributions to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on local economic development and job creation.
* Review comments on Annual Performance Assessment Reports of ULGs regarding local economic development and job creation.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR URBAN RESILIENCE &DISASTER RISK MANAGEMENT SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Urban Resilience and Disaster Risk Management Specialist who will support all regions and UIIDP participating cities in strengthening urban resilience through (a) a better understanding of risks of shocks and stresses and incorporating resilience into land use planning/ development; and (b) undertaking measures to mitigate the risks through disaster and climate risk management, and improving regulatory decisions and emergency preparedness.

**Scope of the Assignment**

The Urban Resilience and Disaster Risk Management Specialist will be responsible for the following specific duties and responsibilities:

1. Reviewing, and making contributions to the revision/updating of the Urban Resilience and Disaster Risk Management Manual
2. Together with National Disaster Risk Management Commission (NDRMC), identify needs and develop local DRM and emergency plan (building on woreda risk profile) by end of year 2 of UIIDP implementation.
3. Together with NDRMC, carry out detailed risk assessment to develop national urban DRM plan, establish information and warning system and develop training program and guidance notes by end of year 2 of UIIDP implementation. At the national level, this information system can be housed in the MUDHo, linked to the NDRMC and other relevant ministries such as Ministry of Construction. The same information system will need to be extended at regional and local government levels.
4. Support regions and cities in the establishment of the urban Disaster Risk Management (DRM) institutional framework at city level (DRM Unit with dedicated staff and budget) by extending existing national and regional DRM structure to the cities.
5. Support the regions in ensuring that each UIIDP participating city’s DRM unit develops an Emergency Response Plan and DRM strategy including: (a) securing early warning on flooding, drought and high winds, and alerts for earthquakes and landslides; (b) ensuring community disaster preparedness; (c) developing contingency planning and budgeting; and (d) exploring risk financing and insurance options.
6. Provide support to regions and cities in undertaking an assessment of the fire support services to identify the specific training and equipment needed to improve response capacity for densely populated buildings and neighborhoods.
7. Based on the abovementioned assessment of fire support services, support regions and cities to develop a local plan to provide mobile firefighting units and search and rescue equipment appropriate for city responses to fire incidents.
8. Prepare and disseminate performance standards and indicators for the ULGs to use on urban resilience and disaster risk management;
9. Monitor and evaluate performance of ULGs Disaster Risk Management Strategies/Plans and Emergency Response Plans;
10. Monitoring compliance with UIIDP POM and other manuals in regard to urban resilience and disaster risk management;
11. Prepare training plan, training materials and provide training to federal, regional and ULG staff on urban resilience and disaster risk management.
12. Contribute to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on urban resilience and disaster risk management.
13. Review the Annual Performance Assessment Reports of ULGs regarding urban resilience and disaster risk management and provide comments
14. Perform any other duties assigned by the Deputy Program Coordinator and Program Coordinator.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

##### 1.DLI 1 - Minimum Conditions

ULG has produced and the council approved a:

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19).*

**Note: The Urban Resilience and Disaster Risk Management Specialist will review all CIPs to check what projects cities have incorporated in the CIPs that address urban resilience and disaster risk management and provide guidance as necessary.**

##### DLI 4 -Performance on Local Economic Development, Urban Resilience and Gender Mainstreaming (ULG Performance Measures)

**4.2. Urban Resilience**

**4.2.1. Disaster risk management and emergency response**

**4.2.1.1. Disaster and Climate Risk Management**

*Evidences to be produced by cities*

Risk map(s) developed showing flood/landslide/earthquake risk areas, prepared in accordance to guidelines developed by MUDHo and Disaster Risk Management Commission.

**4.2.1.2. Emergency Response institutional structure**

*Evidences to be produced by cities*

Emergency response unit established with minimum staffing including disaster risk management officer, rapid assessment officer, and emergency response officer.

**4.2.1.3. Emergency Response Plan**

*Evidences to be produced by cities*

Emergency Response Plan developed and approved by the city council/mayor.

**Qualifications and Skills Required**

The Urban Resilience and Disaster Risk Management Specialist should possess the following qualifications/competencies:

* A minimum of BA or B.Sc. Degree in Environmental Sciences, Natural Resources Management, Sociology, Social Work, Public Health, Disaster Risk Management, Climate change or related.
* A minimum of 10 years general experience of which 5 years specific experience in environmental management, climate change, urban resilience and disaster risk management.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions.
* Knowledge of the urban sector and climate change issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access and telephone facilities.

**Management Procedures**

Contractually, the Consultant will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Contributions to the revision/updating of the Urban Resilience and Disaster Risk Management Manual
* Assessment report on needs and requirements regarding urban resilience and disaster risk management
* Local DRM and emergency plan (building on woreda risk profile) by end of year 2 of UIIDP implementation.
* Detailed risk assessment and national urban DRM plan,
* Information and warning system with training program and guidance notes by end of year 2 of UIIDP implementation.
* Establishment of the urban Disaster Risk Management (DRM) institutional framework at city level (DRM Unit with dedicated staff and budget).
* Report on preparation by each of the 117 cities of their ULG Emergency Response Plan and DRM strategy including: (a) securing early warning on flooding, drought and high winds, and alerts for earthquakes and landslides; (b) ensuring community disaster preparedness; (c) developing contingency planning and budgeting; and (d) exploring risk financing and insurance options.
* Report on status of, and support provided to regions and cities in undertaking an, assessment of the fire support services and specific training and equipment needed to improve response capacity for densely populated buildings and neighborhoods.
* Report on support provided to regions and cities to develop a local plan to provide mobile firefighting units and search and rescue equipment appropriate for city responses to fire incidents.
* Performance standards and indicators for the ULGs to use on urban resilience and disaster risk management;
* Monitoring and evaluation report on performance of ULGs Disaster Risk Management Strategies/Plans and Emergency Response Plans;
* Training plan, training materials and training reports on urban resilience and disaster risk management.
* Contributions to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on urban resilience and disaster risk management.
* Review comments on the Annual Performance Assessment Reports of ULGs regarding urban resilience and disaster risk management.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR GENDER SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Gender Specialist who will support MUDHo, all regions and UIIDP participating cities on gender mainstreaming and ensuring gender responsiveness in urban policies, strategies, plans, programs and projects, including UIIDP.

**Scope of the Assignment**

The Gender Specialist will be responsible for the following specific duties and responsibilities:

* Reviewing, and making contributions to the revision of, the Gender Development Manual.
* Assist the MUDHo Gender and Youth Mainstreaming Directorate in updating the Gender Mainstreaming Guideline of Urban Development.
* Together with the regions, ensure that there is a gender specialist in place in all UIIDP participating cities in the WCO and UIIDP focal persons team.
* Support regions and cities in preparing the Annual Gender Development Plan and Budget as per the template and guidelines in the Gender Development Manual.
* Prepare and disseminate performance standards and indicators for the ULGs to use on gender mainstreaming and responsiveness;
* Monitoring and evaluating performance of ULGs Annual Gender Development Plan
* Conduct supportive supervision site visits to regions and ULGs to oversee activities and provide technical support
* Develop a reporting format to capture progress and data on Gender related activities
* Evaluates the effectiveness of gender mainstreaming and responsiveness on the UIIDP;
* Prepare TOR for Gender Audit and supervise the conduct of the audit.
* Prepare training plan, training materials and provide training (including TOTs) to federal, regional and ULG staff on women’s rights in work place and to make staff more sensitive to gender equality and women empowerment and to be more competent in preparing the annual gender development plan.
* Contribute to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on gender mainstreaming and responsiveness.
* Review the Annual Performance Assessment Reports of ULGs regarding gender mainstreaming and responsiveness and provide comments;
* Perform any other duties assigned by the Deputy Program Coordinator and Program Coordinator.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

##### 1.DLI 1 - Minimum Conditions

ULG has produced and the council approved a:

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19)*

**Note: The Gender Specialist will review the gender responsiveness of the CIP, especially regarding the level of women participation in identification and prioritization of projects and the number of women employed through infrastructure works under UIIDP. He/she will then provide guidance to regions/ULGs as necessary.**

##### DLI 4 -Performance on Local Economic Development, Urban Resilience and Gender Mainstreaming (ULG Performance Measures)

**4.3. Gender Mainstreaming**

**4.3.1. Women’s voice and rights**

**4.3.1.1.** **Women’s participation in decision making process**: (a)total women involved in all consultation meetings >**50**%

(b) women involved in the meeting for the final choice of investments >**50**%

The percentage of women involved will be for the current year.

\*Linked to PM 2.1.2 citizen participation

Invitation letters or call for the meeting notice posted in the public places or through mass media for the public to attend public consultations meeting indicating date of meeting and purpose of the meeting. Public consultations should be held at least two times: (a) initial consultation, organized separated for women and men, and (b) meeting for the final choice of investments, invited both women and men. **Evidence**: Signed attendance sheets of the meetings participants indicating sex of participants, community or Citizens/ Social groups they represent both for: initial consultation and for the final choice of investments

**4.3.1.2. Women’s voice heard**

\*Linked to PM 2.1.2 citizen participation

**Evidence:** Minutes of participatory consultations indicating a compiled list of issues raised by women during consultations,

**4.3.1.3. No. of awareness raising workshop/training on women’s right in workplace against annual target**

Workshop/training on women’s right in workplace (gender-based violence, sexual harassment, and equal payment) targeting both men and women.

Annual target must be consistent with capacity building plan and gender development plan.

**Evidence**: Program/workshop attendance sheet (aggregated by gender), capacity building plan and gender development plan.

**4.3.2. Gender Mainstreaming System**

**4.3.2.1. Gender-balanced employment:**(a). Proportion of women public professionals in city municipal service administration; (b) Proportion of women as a head of office and above in city municipal service administration. **Evidence**: ULG HR plan.

**4.3.2.2. (a) Gender focal person dedicated for UIIDP; (b) Annual gender and development planning and budgeting**

**Evidence**:

1. Gender focal person dedicated for UIDP in place in WCO or/and UIIDP coordination team”

2. Annual gender development plan and budget (template/manual in POM): i) approved by the city council, ii) consistent with ULG annual plan and budget, capacity building plan, and gender mainstreaming guideline\*

NB. \*Gender mainstreaming guideline is only valid when Gender and Youth Mainstreaming Directorate in MUDHo developed and disseminated it.

**4.3.2.3. (a) Quarterly meeting with gender focal persons from each sector Office; (b) More than 80% of gender activities in the gender plan successfully completed and more than 80% of the funds budgeted in the gender plan are utilized.**

**Evidence**:

1.Signed attendance sheet of focal persons (indicating gender, occupation) from each sector Office and meeting notes (quarterly)

2. Compare annual gender plan to annual gender progress report

**4.3.3. Economic Empowerment**

**4.3.3.1. % of women employed through infrastructure works under UIIDP**

\*linked to 4.1.1.1 LED indicator

**Evidence**:

1. No. of people employed in infrastructure works; disaggregated by gender and age
2. Data collected from contractor’s log books, job registration in the M&E system of projects, etc.

**4.3.3.2. % of women employed in firms provided with serviced land[[28]](#footnote-28) and/or MSE sheds[[29]](#footnote-29) under CIP**

\*linked to 4.1.1.2 LED indicator

**Evidence**:

1. No. of people employed in firms provided with serviced land and/or MSE sheds in the last year against targets in CIP

2. Data collected from ULG’s records, APA consultants to visit minimum 3 plots of land or MSE sheds to verify firms are operational, etc

**4.3.3.3. % of women-headed MSEs supported to access working premises/sheds and/or serviced land under UIIDP**

**Evidence**:

1. Records of MSE office
2. Data collected from ULG’s records

**4.3.3.4. % of women-headed MSEs awarded with civil contracts under UIIDP**

**Evidence**:

1. Records of MSE office
2. Data collected from ULG’s records

**Qualifications and Skills Required**

The Gender Specialist should possess the following qualifications/competencies:

* A minimum of BA degree in Women & Gender Studies, Sociology, Psychology, Social Work, Social Development, Social Psychology or other gender related fields
* A minimum of 10 years of general experience of which 3 years specific experience in women affairs and gender issues.
* Excellent writing and communication skills in English,
* Excellent report writing skills.
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access and telephone facilities.

**Management Procedures**

Contractually, the Consultant will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Contributions to the revision of the Gender Development Manual.
* Updated Gender Mainstreaming Guideline of Urban Development.
* Report on staffing situation in all 117 UIIDP participating cities and regions on gender specialists in place.
* Report on support provided to regions and cities in preparing the Annual Gender Development Plan and Budget.
* Performance standards and indicators for the ULGs on gender mainstreaming and responsiveness.
* Monitoring and evaluation report of performance of ULGs Annual Gender Development Plan.
* Evaluation Report on the effectiveness of gender mainstreaming and responsiveness on the UIIDP;
* TOR for Gender Audit.
* Training (including TOT) plan, training materials and training/workshop reports on gender mainstreaming and responsiveness and women’s rights in work place.
* Contribution to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on gender mainstreaming and responsiveness.
* Review comments on the Annual Performance Assessment Reports of ULGs regarding gender mainstreaming and responsiveness.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

**MINISTRY OF URBAN DEVELOPMENT & HOUSING**

**URBAN REVENUE ENHANCEMENT, FUND MOBILIZATION AND FINANCE BUREAU**

**(UREFMFB)**

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

# TERMS OF REFERENCE FOR INFORMATION TECHNOLOGY (IT) SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Information Technology (IT) Specialist who will support the UIIDP Unit in UREFMFB and all regions and cities participating in the UIIDP in the implementation and use of the UIIDP Management Information System and website.

**Scope of the Assignment**

The Information Technology (IT) Specialist will be responsible for the following specific duties and responsibilities are:

* Assess the information technology requirements of the UIIDP Unit, regions and cities and make recommendations to UREFMFB and the IT Bureau of MUDHo.
* Follow up with IT Bureau, regions and ULGs on the implementation of approved recommendations and information technology requirements.
* Together with IT Bureau, manage, monitor and supervise the IT Consultants being procured by MUDHo that will be responsible for the design, development, commissioning, operation and maintenance of the UIIDP Management Information System at federal, regional and ULG levels.
* Provide or arrange for support for UIIDP cities, especially the new ones, that may be having problems or delays in the use of IBEX for all ULG operations except Road Fund and other specialist projects that are not part of the budget coding system for IBEX.
* Provide support to all UIIDP Unit staff on information technology issues and computer problems that they may experience. Liaise with IT Bureau on those issues that may require their support.
* Provide support on all thematic areas of UIIDP which may have an information technology requirement regarding systems and information storage (computerized database)
* Evaluate the information technology performance and requirements of the UIIDP on annual basis and provide report with recommendations to Program Coordinator, UREFMFB and IT Bureau.
* Assist the Procurement Department and IT Bureau regarding specifications for all computer hardware and software purchased through the UIIDP.
* Assess the IT knowledge and experience levels of UIIDP staff, prepare training plan, training materials and provide training to federal, regional and ULG staff on the UIIDP MIS and other general information technology aspects. Recommend, manage and supervise training provided by private suppliers where this cannot be done internally.
* Contribute to revisions to the Annual Performance Assessment Guideline (APAG) regarding the information technology issues.
* Review the Annual Performance Assessment Reports of ULGs regarding information technology issues and provide comments;
* Perform any other duties assigned by the Deputy Program Coordinator and Program Coordinator.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

##### 1.DLI 1 - Minimum Conditions

**DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.3. Public Financial Management**

**2.3.1. Accounting and timely reporting**

2.3.1.1. Use of IBEX for all operations except Road Fund and other specialist projects done by ULGs that are not part of Budget coding system for IBEX

**Qualifications and Skills Required**

The Information Technology Specialist should possess the following qualifications/competencies:

* A minimum of BA or B.Sc. Degree in Computer Science, Information Systems or related degree
* A minimum of 10 years general experience of which 5 years specific experience in computing and information systems, planning, design, procurement, implementation, management and trouble-shooting of IT and LAN systems and activities as well as systems management, project management and database software management.
* Ability to coordinate multiple hardware and software tasks concurrently and to supervise and quality assure the work of IT vendors and contractors are desirable.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals), resolving conflict successfully.
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at MUDHo offices in Addis Ababa with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

UREFMFB will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Consultant will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the UREFMFB will sign the contract with the Consultant on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to the Consultant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Assessment report and recommendations on the information technology requirements of the UIIDP Unit, regions and cities.
* Report on implementation of approved recommendations and information technology requirements.
* Monitoring and supervision report on IT Consultants responsible for the UIIDP Management Information System at federal, regional and ULG levels.
* Report on support on IBEX, information technology issues and computer problems for UIIDP staff, on all thematic areas of UIIDP
* Annual evaluation report on information technology performance and requirements of the UIIDP
* Training plan, training materials and training reports on the UIIDP MIS and other general information technology aspects.
* Contributions to revisions to the Annual Performance Assessment Guideline (APAG) regarding the information technology issues.
* Review comments on the Annual Performance Assessment Reports of ULGs regarding information technology issues.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from UREFMFB.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

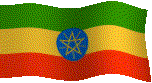
* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

# Organization, Staffing & TORs for Regional Mobile Team



**MINISTRY OF URBAN DEVELOPMENT & HOUSING**

**URBAN REVENUE ENHANCEMENT, FUND MOBILIZATION AND FINANCE BUREAU**

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**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

**ORGANIZATION AND TERMS OF REFERENCE**

**FOR**

**REGIONAL MOBILE TEAM (RMT)**

**Urban Revenue Enhancement, Fund Mobilization & Finance Bureau**

**Ministry of Urban Development & Housing**

**Final Draft, March 11, 2018**

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# ORGANIZATION, STAFFING & TORs FOR REGIONAL MOBILE TEAM

**REGIONAL MOBILE TEAM**

**Regional governments will have a greater role under the UIIDP as compared to ULGDP II, in providing oversight and in building ULGs’ capacity.** Six of the nine regional governments, each with a large number of participating ULGs, will establish RMTs that will directly backstop ULGs as well as strengthen the regional BUDHos’ own capacity to guide and support the ULGs. Those regions with more than one RMT such as Oromia (3 RMTs), Amhara (2 RMTs) and SNNPRS (2 RMTs) will have an Overall Program Coordinator (with administrative support staff) at regional level to whom the RMT Coordinators will report to. The FMT will directly support the other three regional governments, which have fewer participating ULGs and relatively modest capacity.

# DEPLOYMENT OF REGIONAL MOBILE TEAMS (RMTs) UNDER UIIDP

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name of Region / City Administration** | **Number of Participating Cities** | | | **Number of regional teams to be deployed** |
| **Existing** | **New** | **Total** |
| Amhara National Regional State | 10 | 22 | 32 | 2 |
| Oromia National Regional State | 11 | 27 | 38 | 3 |
| Tigray National Regional State | 8 | 4 | 12 | 1 |
| SNNPRS National Regional State | 9 | 14 | 23 | 2 |
| Somali National Regional State | 1 | 3 | 4 | 1 |
| Afar National Regional State | 1 | 3 | 4 | 1 |
| Benishagul-Gumuz National Regional State | 1 | - | - | - |
| Gambella National Regional State | 1 | - | - | - |
| Harari National Regional State | 1 | - | - | - |
| Dire Dawa City Administration | 1 | - | - | - |

The Regional Mobile Teams will have 16 staff headed by a Program Coordinator with 15 professional in various disciplines.

# STAFFING OF THE REGIONAL MOBILE TEAMS (RMTs) UNDER UIIDP

|  |  |  |
| --- | --- | --- |
| **Specialization** | **Number of positions** | |
| **Existing ULGDP II** | **UIIDP** |
| Program Coordinator | 1 | 1 |
| Social Development Specialist | 1 | 1 |
| Budgeting, Planning and Participation Specialist | 1 | 1 |
| Procurement Management Specialist | 1 | 1 |
| Infrastructure Asset Management Specialist | 1 | 1 |
| Environmental Management Specialist | 1 | 1 |
| Project Engineer | 1 | 1 |
| M&E Specialist | 1 | 1 |
| Municipal Finance Revenue Specialist |  | 1 |
| Urban Planning and Land Management Specialist |  | 1 |
| LED & Job Creation Specialist |  | 1 |
| Urban Resilience/Disaster Risk Management Specialist |  | 1 |
| Capacity Building Specialist |  | 1 |
| Gender Specialist |  | 1 |
| Financial Management Specialist |  | 1 |
| Program Accountants. BoFEC | 1 | 1 |
| **Total** | **9** | **16** |

The respective regional BUDHos are responsible for daily coordination of the Operation at the regional level**.** Specifically, the BUDs are responsible for:

* + - Capacity building support of the ULGs in their jurisdiction.
    - Preparation of consolidated (ULG and regional government) progress reports covering all ULGs in their jurisdiction.
    - Oversight and backstopping support related to aspects of the Operation.

The main tasks of the RMT are:

* + - Responsibility for day-to-day management and coordination of the Operation.
    - Capacity building, including direct support to urban local governments, and training on guidelines and standard regulations for matters such as municipal revenue generation, assets management, service delivery standards, and the like.
    - Overall Operation monitoring and evaluation at regional level.
    - Operation reporting, including the quarterly and semi-annual progress reports which are submitted to the federal level.
    - Ensuring that Operation resources are budgeted for and disbursed within the expenditure framework.
    - Accounting for the UIIDP funds to MoFEC.
    - Evaluating the performance of team members as per the agreement made between BUDHO and the FMT team members.

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# TERMS OF REFERENCE FOR OVERALL REGIONAL PROGRAM COORDINATOR

**Objective of the TOR**

The objective of the assignment is coordinate at regional level the various Regional Mobile Teams (RMTs) in the region that are responsible for managing the UIIDP as described in the Program Operations Manual and associated documents so as to ensure: a) that the UIIDP achieves its development objectives, expected outcomes and key results and; b) that the ULGs in the region and the regional implementing Agencies/Bureaus achieve satisfactory performance or better in the annual performance assessment of disbursement linked indicators and performance measures that are required to support UIIDP investments in infrastructure and services and in capacity building.

**Scope of the Assignment**

The Overall Regional Program Coordinator will have the following duties and responsibilities: -

1. Coordination and supervision of the various RMTs in the region that are responsible for the day to day management and coordination of the UIIDP for the ULGs that are assigned to that RMT.
2. Management of the Administrative support staff at regional level; briefing the Bureau Head and Deputy Bureau Head, BUDHo on critical UIIDP activities and issues; resolution of issues that require higher level decision; and putting in place an effective modern management and administrative system for the Unit that will enable it to achieve its expected results.
3. Overall program management (liaison, coordination, briefing, forward planning) with: 9 regional Bureaus and Agencies: Bureau of Urban Development and Housing (BUDHo), Bureau of Finance and Economic Development (BoFED), Bureau of Environment, Forest and Climate Change (BEFCC), Bureau of Labour and Social Affairs (BoLSA), Office of the Regional Auditor General (ORAG), Regional Ethics and Anti-Corruption Commission (REACC), Regional Public Procurement and Property Administration Agency (RPPPAA), Regional Revenue Bureau (RRB), Regional Urban Job Creation and Food Security Agency (RUJCFSA);
4. Supervise and manage the various RMTs to ensure that they provide the necessary support and guidance to assigned ULGs to enable them to fulfil the UIIDP Minimum Conditions every year of the program and to achieve satisfactory performance in the UIIDP Performance Measures and Performance Indicators.
5. Dissemination of the UIIDP Program Operations Manual (POM) to all RMTs and regional Bureaus/Agencies and provide the necessary orientation and training on the POM to RMT and regional staff;
6. Monitoring and reporting on regional Bureau/Agencies’ compliance with the POM and other Manuals.
7. Draft and secure Memorandum of Understanding, for every year of the UIIDP implementation, between BUDHo and regional Bureaus/Agencies that have responsibilities for UIIDP implementation activities
8. Draft and secure Performance and Participation Agreements, for every year of the UIIDP implementation, between BUDHo and all UIIDP participating ULGs in the region.
9. Consolidate, integrate, streamline and overall manage the various training programs that are provided by BUDHo, RMTs to regional and ULG staff on various thematic areas covered by UIIDP.
10. Establishment of administrative, logistical & secretarial services to effectively support the operations of the UIIDP Regional Steering Committee and Regional Technical Committee. Ensure that there is proper communication and coordination between the regional technical committee and ULG focal persons group.
11. Receive from RMTs their Strategy and Action Plan to address weaknesses and gaps identified in the APAs. Prepare Consolidated Strategy and Action Plan for submission to the UIIDP Regional Technical Committee.
12. Receive from MUDHo and disseminate the World Bank Listing of Ineligible Firms & Individuals to all RMTs and regional implementing agencies undertaking procurement with UIIDP funds every six months (in June and December).
13. Support for, and participation in, World Bank and MUDHo six monthly implementation support missions and other missions as well as quality assurance reviews.
14. Undertake regular visits to UIIDP participating cities to get a better understanding of the issues and problems that affect the implementation of UIIDP.
15. Arrange and conduct quarterly review meetings between the Regional Mobile Team and the ULGs focal persons group to enhance communication, coordination and integration between the regional and ULG levels.
16. Consolidate and submit to the Deputy Bureau Head and Regional Technical Committee, the UIIDP quarterly, semi-annual and annual reports that are prepared by the RMT Monitoring and Evaluation Specialists.
17. Prepare and submit quarterly, semi-annual and annual summarised reports on UIIDP performance to Bureau Head and Regional Steering Committee.
18. Carry out annual performance evaluation of all RMT Program Coordinators as per the UIIDP Staff Performance Evaluation and Incentive Scheme established by BUDHo.
19. Perform any other duties assigned by the Deputy Bureau Head and Bureau Head of the Bureau of Urban Development and Housing.

The Overall Regional Program Coordinator will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by all the UIIDP participating cities the region:-

**1. DLI 1 - Minimum Conditions**

All eight (8) minimum conditions should be achieved by all cities in the region.

**2. Performance Measures, DLI 2, DLI 3, DLI 4**

50% responsibility for achievement of the annual expected (average) score for all cities in the region on all UIIDP performance measures DLI2, DLI3, and DLI 4 as follows:-

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **DLI No.** | **Name of DLI** | **Year 1** | **Year 2** | **Year 3** | **Year 4** |
|  | Assessed Performance Years (EFY) | 2010  (Prior) & 2011  (Current) | 2011  (Prior) & 2012 (Current) | 2012  (Prior) & 2013  (Current) | 2013  (Prior) & 2014  (Current) |
|  | Allocation /Implementation Year (EFY) | 2012 | 2013 | 2014 | 2015 |
| 2 | ULGs have strengthened institutional performance. | 70 | 75 | 80 | 85 |
| 3 | ULGs have implemented quality infrastructure and maintenance activities and ensured value for money | 70 | 75 | 80 | 85 |
| 4 | ULGs have strengthened performance on LED, urban resilience and gender mainstreaming |  | 60 | 65 | 70 |

**Qualifications and Skills Required**

The Overall Regional Program Coordinator should possess the following qualifications:-

The position requires a dynamic, energetic and innovative person who is highly qualified with Masters degree or higher in Management, Business Administration, Public Administration, Business Management, Urban Management, Civil Engineering, Municipal/Urban Engineering, Highway Engineering, Water/Hydraulic Engineering, Sanitary Engineering, Structural Engineering or Building Technology, Construction Technology and Management, Infrastructure Engineering, Geotechnical Engineering, Finance, Economics, Sociology. Environmental Science, Natural Resource Management, Land Management, Urban Planning. Additional qualification such as at least BA or BSc in either Engineering or Asset Management or Project Management with relevant experience will be an advantage. He/she should have a track record of achievements in leadership, strategic planning and change management, human resource management, program or project management, project planning, implementation and management of institutional and infrastructure development projects.

He/She shall have a minimum of 10 years general experience of which 5 years specific experience in leadership, strategic planning and change management, human resource management, program or project management, project planning, implementation and management of institutional and infrastructure development projects. He/She will have excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals, resolving conflict successfully). He/she shall also have excellent writing and communication skills in both Amharic and English with good knowledge of the urban sector in Ethiopia, World Bank and GoE procurement and safeguard policies and procedures.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The Overall Regional Program Coordinator will be based at BUDHo offices in the regional capital with regular travel to cities. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BUDHo will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment at its premises for successful discharging of his/her assignment. The Overall Regional Program Coordinator will also be provided, for official business, with internet access, telephone and fax facilities.

The BUDHo will also provide the Overall Regional Program Coordinator with administrative support staff – Secretary/Personal Assistant.

**Management Procedures**

Contractually, the Overall Regional Program Coordinator will be accountable to the Bureau Head, BUDHo to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHo will sign the contract with him/her on behalf of the region. The BUDHo will also be responsible for all payments to the Overall Regional Program Coordinator once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables:**

1. Memorandum of Understanding, for every year of the UIIDP implementation, between BUDHo and regional Bureaus/Agencies
2. Performance and Participation Agreements, for every year of the UIIDP implementation, between BUDHo and all UIIDP participating ULGs in the region.
3. Consolidated training programs that are provided by BUDHo, RMTs to regional and ULG staff on various thematic areas covered by UIIDP.
4. Agenda, Attendance Registers and Minutes of meetings of the UIIDP Regional Steering Committee and Regional Technical Committee.
5. Agenda, Attendance Registers and Minutes of quarterly review meetings between the Regional Mobile Team and the ULGs focal persons group.
6. Consolidated Strategy and Action Plan to address weaknesses and gaps identified in the APA
7. Consolidated UIIDP quarterly, semi-annual and annual reports.
8. Quarterly, semi-annual and annual summarised reports on UIIDP performance.
9. Annual performance evaluation reports for all RMT Program Coordinators as per the UIIDP Staff Performance Evaluation and Incentive Scheme.

**General Deliverables:**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from BUDHO.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).**This criterion further divided into two:
  + General Educational Status (10**%**).–PhD – 10%; Masters – 8%
  + Relevant Qualification as stated in TOR **(25%)**. - PhD – 25%; Masters – 22%
  + In addition to PhD or Masters degree, BA or BSc in either of the Engineering disciplines stated above or Asset Management or Project Management – **5%**
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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**(UIIDP)**

# TERMS OF REFERENCE FOR REGIONAL PROGRAM COORDINATOR

(for regions with only one RMT i.e. Afar, Ethiopian Somali and Tigray)

**Objective of the TOR**

The objective of the assignment is to manage the RMT and to support the BUDHo to effectively and efficiently manage the UIIDP as described in the Program Operations Manual and associated documents so as to ensure: a) that the UIIDP achieves its development objectives, expected outcomes and key results and; b) that the ULGs in the region and the regional implementing Agencies/Bureaus achieve satisfactory performance or better in the annual performance assessment of disbursement linked indicators and performance measures that are required to support UIIDP investments in infrastructure and services and in capacity building.

**Scope of the Assignment**

The Regional Program Coordinator will have the following duties and responsibilities: -

1. Management of the RMT; briefing the Bureau Head, BUDHo on critical UIIDP activities and issues; resolution of issues that require higher level decision; and putting in place an effective modern management and administrative system for the Unit that will enable it to achieve its expected results.
2. Overall program management (liaison, coordination, briefing, forward planning) with: 9 regional Bureaus and Agencies: Bureau of Urban Development and Housing (BUDHo), Bureau of Finance and Economic Development (BoFED), Bureau of Environment, Forest and Climate Change (BEFCC), Bureau of Labour and Social Affairs (BoLSA), Office of the Regional Auditor General (ORAG), Regional Ethics and Anti-Corruption Commission (REACC), Regional Public Procurement and Property Administration Agency (RPPPAA), Regional Revenue Bureau (RRB), Regional Urban Job Creation and Food Security Agency (RUJCFSA);
3. Supervise and manage the RMT staff to ensure that they provide the necessary support and guidance to ULGs to enable them to fulfil the UIIDP Minimum Conditions every year of the program and to achieve satisfactory performance in the UIIDP Performance Measures and Performance Indicators.
4. Dissemination of the UIIDP Program Operations Manual (POM) to all ULGs in the region and Bureaus/Agencies and provide the necessary orientation and training on the POM to regional and ULG staff;
5. Monitoring and reporting on ULGs and regional Bureau/Agencies’ compliance with the POM and other Manuals.
6. Draft and secure Memorandum of Understanding, for every year of the UIIDP implementation, between BUDHo and regional Bureaus/Agencies that have responsibilities for UIIDP implementation activities
7. Draft and secure Performance and Participation Agreements, for every year of the UIIDP implementation, between BUDHo and all UIIDP participating ULGs in the region.
8. Consolidate, integrate, streamline and overall manage the various training programs that are provided by BUDHo, RMT to regional and ULG staff on various thematic areas covered by UIIDP.
9. Establishment of administrative, logistical & secretarial services to effectively support the operations of the UIIDP Regional Steering Committee and Regional Technical Committee. Ensure that there is proper communication and coordination between the regional technical committee and ULG focal persons group.
10. Dissemination to, and training of, ULGs on the Annual Performance Assessment Guideline (APAG) and UIIDP Complaint Handling Manual.
11. Provide support to ULGs in administering the UIIDP Complaint Handling Manual and other related manuals and guidelines at regional and ULG levels that they use to handle the various forms of complaints (general, environment and social, procurement), ethics, fraud and corruption cases. Ensure that the quarterly reporting system at ULG (Ethics Officers) and regional levels (REACCs) which feeds into the federal reporting system is in place and functional.
12. Ensure that all UIIDP participating ULGs have put in place a system for record keeping and reporting (quarterly, semi-annual and annual) on the achievements against the service delivery standards performance indicators to enable them to provide acceptable reports to the APA.
13. Preparation of the Annual Work Plan (AWP) for the RMT covering the activities to be carried out by the RMT during each year. The AWP should further be broken down into detailed quarterly and monthly Action Plans to be used for achievement of the AWP. Monitor and report to the BUDHo on implementation and achievements of the Annual Work Plan (AWP) for the RMT.
14. Coordinate the preparation and submission by regional implementing agencies and assigned ULGs of their Strategy and Action Plan to address weaknesses and gaps identified in the APAs. Prepare Consolidated Strategy and Action Plan for submission to the BUDHo and Regional Steering Committee.
15. Receive from MUDHo and disseminate the World Bank Listing of Ineligible Firms & Individuals to all RMTs and regional implementing agencies undertaking procurement with UIIDP funds every six months (in June and December).
16. Support for, and participation in, World Bank and MUDHo six monthly implementation support missions and other missions as well as quality assurance reviews.
17. Undertake regular visits to UIIDP participating cities to get a better understanding of the issues and problems that affect the implementation of UIIDP.
18. Arrange and conduct quarterly review meetings between the Regional Mobile Team and the ULGs focal persons group to enhance communication, coordination and integration between the regional and ULG levels.
19. Consolidate and submit to the Deputy Bureau Head and Regional Technical Committee, the UIIDP quarterly, semi-annual and annual reports that are prepared by the RMT Monitoring and Evaluation Specialists.
20. Prepare and submit quarterly, semi-annual and annual summarised reports on UIIDP performance to Bureau Head and Regional Steering Committee.
21. Carry out annual performance evaluation of all RMT staff as per the UIIDP Staff Performance Evaluation and Incentive Scheme established by BUDHo.
22. Perform any other duties assigned by the Deputy Bureau Head and Bureau Head of the Bureau of Urban Development and Housing.

The Regional Program Coordinator will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by all the UIIDP participating cities in the region:-

**1. DLI 1 - Minimum Conditions**

All eight (8) minimum conditions should be achieved by all cities in the region.

**2. Performance Measures, DLI 2, DLI 3, DLI 4**

50% responsibility for achievement of the annual expected (average) score for all cities in the region on all UIIDP performance measures DLI2, DLI3, and DLI 4 as follows:-

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **DLI No.** | **Name of DLI** | **Year 1** | **Year 2** | **Year 3** | **Year 4** |
|  | Assessed Performance Years (EFY) | 2010 & 2011 | 2011 & 2012 | 2012 & 2013 | 2013 & 2014 |
|  | Allocation /Implementation Year (EFY) | 2012 | 2013 | 2014 | 2015 |
| 2 | ULGs have strengthened institutional performance. | 70 | 75 | 80 | 85 |
| 3 | ULGs have implemented quality infrastructure and maintenance activities and ensured value for money | 70 | 75 | 80 | 85 |
| 4 | ULGs have strengthened performance on LED, urban resilience and gender mainstreaming |  | 60 | 65 | 70 |

**Qualifications and Skills Required**

The Regional Program Coordinator should possess the following qualifications:-

The position requires a dynamic, energetic and innovative person who is highly qualified with Masters degree or higher in Management, Business Administration, Public Administration, Business Management, Urban Management, Civil Engineering, Municipal/Urban Engineering, Highway Engineering, Water/Hydraulic Engineering, Sanitary Engineering, Structural Engineering or Building Technology, Construction Technology and Management, Infrastructure Engineering, Geotechnical Engineering, Finance, Economics, Sociology. Environmental Science, Natural Resource Management, Land Management, Urban Planning. Additional qualification such as at least BA or BSc in either Engineering or Asset Management or Project Management with relevant experience will be an advantage. He/she should have a track record of achievements in leadership, strategic planning and change management, human resource management, program or project management, project planning, implementation and management of institutional and infrastructure development projects.

He/She shall have a minimum of 10 years general experience of which 5 years specific experience in leadership, strategic planning and change management, human resource management, program or project management, project planning, implementation and management of institutional and infrastructure development projects. . He/She will have excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals, resolving conflict successfully). He/she shall also have excellent writing and communication skills in both Amharic and English with good knowledge of the urban sector in Ethiopia, World Bank and GoE procurement and safeguard policies and procedures.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The Regional Program Coordinator will be based at BUDHo offices in the regional capital with regular travel to cities. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BUDHo will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment at its premises for successful discharging of his/her assignment. The Regional Program Coordinator will also be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Regional Program Coordinator will be accountable to the Bureau Head, BUDHo to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHo will sign the contract with him/her on behalf of the region. The BUDHo will also be responsible for all payments to the Regional Program Coordinator once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables:**

1. Memorandum of Understanding, for every year of the UIIDP implementation, between BUDHo and regional Bureaus/Agencies
2. Performance and Participation Agreements, for every year of the UIIDP implementation, between BUDHo and all UIIDP participating ULGs in the region.
3. Annual Work Plan (AWP) for the RMT
4. Consolidated training programs that are provided by BUDHo, RMTs to regional and ULG staff on various thematic areas covered by UIIDP.
5. Agenda, Attendance Registers and Minutes of meetings of the UIIDP Regional Steering Committee and Regional Technical Committee.
6. Agenda, Attendance Registers and Minutes of quarterly review meetings between the Regional Mobile Team and the ULGs focal persons group.
7. Consolidated UIIDP quarterly, semi-annual and annual reports.
8. Quarterly, semi-annual and annual summarised reports on UIIDP performance.
9. Annual performance evaluation reports for all RMT staff as per the UIIDP Staff Performance Evaluation and Incentive Scheme.

**General Deliverables:**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from BUDHO.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).**This criterion further divided into two:
  + General Educational Status (10**%**).–PhD – 10%; Masters – 8%
  + Relevant Qualification as stated in TOR **(25%)**. - PhD – 25%; Masters – 22%
  + In addition to PhD or Masters degree, BA or BSc in either of the Engineering disciplines stated above or Asset Management or Project Management – **5%**
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR REGIONAL PROGRAM COORDINATOR

(for regions with two or more RMT i.e. Amhara, Oromia & SNNPRS)

**Objective of the TOR**

The objective of the assignment is to manage the RMT and to support the Overall Regional Program Coordinator and BUDHo to effectively and efficiently manage the UIIDP as described in the Program Operations Manual and associated documents so as to ensure: a) that the UIIDP achieves its development objectives, expected outcomes and key results and; b) that the ULGs in the region and the regional implementing Agencies/Bureaus achieve satisfactory performance or better in the annual performance assessment of disbursement linked indicators and performance measures that are required to support UIIDP investments in infrastructure and services and in capacity building.

**Scope of the Assignment**

The Regional Program Coordinator will have the following duties and responsibilities: -

1. Management of the RMT; briefing the Overall Regional Program Coordinator, BUDHo on critical UIIDP activities and issues; resolution of issues that require higher level decision; and putting in place an effective modern management and administrative system for the Unit that will enable it to achieve its expected results.
2. Supervise and manage the RMT staff to ensure that they provide the necessary support and guidance to ULGs to enable them to fulfil the UIIDP Minimum Conditions every year of the program and to achieve satisfactory performance in the UIIDP Performance Measures and Performance Indicators.
3. Dissemination of the UIIDP Program Operations Manual (POM) to all the assigned ULGs in the region and provide the necessary orientation and training on the POM to regional and ULG staff;
4. Monitoring and reporting on ULGs’ compliance with the POM and other Manuals.
5. Draft and secure Performance and Participation Agreements, for every year of the UIIDP implementation, between BUDHo and all assigned UIIDP participating ULGs in the region.
6. Dissemination to, and training of, ULGs on the Annual Performance Assessment Guideline (APAG) and UIIDP Complaint Handling Manual.
7. Provide support to ULGs in administering the UIIDP Complaint Handling Manual and other related manuals and guidelines at regional and ULG levels that they use to handle the various forms of complaints (general, environment and social, procurement), ethics, fraud and corruption cases. Ensure that the quarterly reporting system at ULG (Ethics Officers) and regional levels (REACCs) which feeds into the federal reporting system is in place and functional.
8. Ensure that all UIIDP participating ULGs have put in place a system for record keeping and reporting (quarterly, semi-annual and annual) on the achievements against the service delivery standards performance indicators to enable them to provide acceptable reports to the APA.
9. Preparation of the Annual Work Plan (AWP) for the RMT covering the activities to be carried out by the RMT during each year. The AWP should further be broken down into detailed quarterly and monthly Action Plans to be used for achievement of the AWP. Monitor and report to the BUDHo on implementation and achievements of the Annual Work Plan (AWP) for the RMT.
10. Coordinate the preparation and submission by assigned ULGs of their Strategy and Action Plan to address weaknesses and gaps identified in the APAs. Prepare Consolidated Strategy and Action Plan for submission to the Overall Regional Program Coordinator.
11. Receive from Overall Regional Program Coordinator and disseminate the World Bank Listing of Ineligible Firms & Individuals to all assigned ULGs undertaking procurement with UIIDP funds every six months (in June and December).
12. Support for, and participation in, World Bank and MUDHo six monthly implementation support missions and other missions as well as quality assurance reviews.
13. Undertake regular visits to assigned UIIDP participating cities to get a better understanding of the issues and problems that affect the implementation of UIIDP.
14. Arrange and conduct quarterly review meetings between the Regional Mobile Team and the ULGs focal persons group to enhance communication, coordination and integration between the regional and ULG levels.
15. Submit to the Overall Regional Program Coordinator, the UIIDP quarterly, semi-annual and annual reports that are prepared by the RMT Monitoring and Evaluation Specialist.
16. Carry out annual performance evaluation of all RMT staff as per the UIIDP Staff Performance Evaluation and Incentive Scheme established by BUDHo.
17. Perform any other duties assigned by the Overall Program Coordinator, Deputy Bureau Head and Bureau Head of the Bureau of Urban Development and Housing.

The Regional Program Coordinator will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by the assigned UIIDP participating cities in the region:-

**1. DLI 1 - Minimum Conditions**

All eight (8) minimum conditions should be achieved by all the assigned cities in the region.

**2. Performance Measures, DLI 2, DLI 3, DLI 4**

50% responsibility for achievement of the annual expected (average) score for all assigned cities in the region on all UIIDP performance measures DLI2, DLI3, and DLI 4 as follows:-

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **DLI No.** | **Name of DLI** | **Year 1** | **Year 2** | **Year 3** | **Year 4** |
|  | Assessed Performance Years (EFY) | 2010 & 2011 | 2011 & 2012 | 2012 & 2013 | 2013 & 2014 |
|  | Allocation /Implementation Year (EFY) | 2012 | 2013 | 2014 | 2015 |
| 2 | ULGs have strengthened institutional performance. | 70 | 75 | 80 | 85 |
| 3 | ULGs have implemented quality infrastructure and maintenance activities and ensured value for money | 70 | 75 | 80 | 85 |
| 4 | ULGs have strengthened performance on LED, urban resilience and gender mainstreaming |  | 60 | 65 | 70 |

**Qualifications and Skills Required**

The Regional Program Coordinator should possess the following qualifications:-

The position requires a dynamic, energetic and innovative person who is highly qualified with Masters degree or higher in Management, Business Administration, Public Administration, Business Management, Urban Management, Civil Engineering, Municipal/Urban Engineering, Highway Engineering, Water/Hydraulic Engineering, Sanitary Engineering, Structural Engineering or Building Technology, Construction Technology and Management, Infrastructure Engineering, Geotechnical Engineering, Finance, Economics, Sociology. Environmental Science, Natural Resource Management, Land Management, Urban Planning. Additional qualification such as at least BA or BSc in either Engineering or Asset Management or Project Management with relevant experience will be an advantage. He/she should have a track record of achievements in leadership, strategic planning and change management, human resource management, program or project management, project planning, implementation and management of institutional and infrastructure development projects.

He/She shall have a minimum of 10 years general experience of which 5 years specific experience in leadership, strategic planning and change management, human resource management, program or project management, project planning, implementation and management of institutional and infrastructure development projects. . He/She will have excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals, resolving conflict successfully). He/she shall also have excellent writing and communication skills in both Amharic and English with good knowledge of the urban sector in Ethiopia, World Bank and GoE procurement and safeguard policies and procedures.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The Regional Program Coordinator will be based at BUDHo offices in the regional capital with regular travel to cities. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BUDHo will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment at its premises for successful discharging of his/her assignment. The Regional Program Coordinator will also be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Operationally, the Regional Program Coordinator will be accountable to the Overall Regional Program Coordinator. Contractually, the Regional Program Coordinator will be accountable to the Bureau Head, BUDHo to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHo will sign the contract with him/her on behalf of the region. The BUDHo will also be responsible for all payments to the Regional Program Coordinator once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables:**

* Performance and Participation Agreements, for every year of the UIIDP implementation, between BUDHo and assigned UIIDP participating ULGs in the region.
* Agenda, Attendance Registers and Minutes of quarterly review meetings between the Regional Mobile Team and the assigned ULGs focal persons group.
* Annual Work Plan (AWP) for the RMT
* Consolidated Strategy and Action Plan to address weaknesses and gaps identified in the APAs
* Consolidated UIIDP quarterly, semi-annual and annual reports.
* Annual performance evaluation reports for all RMT staff as per the UIIDP Staff Performance Evaluation and Incentive Scheme.

**General Deliverables:**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the consultant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the consultant’s work three weeks before the end of the assignment; and
* Final Report of the Consultant’s work, one week after receiving comments from BUDHO.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the individual consultant:

* Qualification **(40%).**This criterion further divided into two:
  + General Educational Status (10**%**).–PhD – 10%; Masters – 8%
  + Relevant Qualification as stated in TOR **(25%)**. - PhD – 25%; Masters – 22%
  + In addition to PhD or Masters degree, BA or BSc in either of the Engineering disciplines stated above or Asset Management or Project Management – **5%**
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR PROJECT ENGINEER

**Objective of the TOR**

The objective of the TOR is to obtain the services of qualified and experienced Project Engineer with specific contract management experience, experience on design of civil engineering works and knowledge of environmental and sociological matters related to infrastructure and who will assist assigned ULGs in the implementation of infrastructure projects and achievement of UIIDP disbursement linked indicators and performance measures.

**Scope of the Assignment**

The Project Engineer will be responsible for assisting the assigned UIIDP participating cities in areas involving investment construction project preparation (including design and supervision consultancy), contract management, and development of capital investment plans, operations and maintenance, and participation of citizens in city development. Specific duties and responsibilities are:

1. Assist in the preparation of draft bidding documents and review the draft bidding documents prepared by design consultants or cities as per the Government of Ethiopia Standard Bidding Document (ICB) and National Competitive Bidding (NCB) to be given to regions/ULGs.
2. Monitor, inspect and coordinate the design works being done by engineering consultants during the design and supervision during the implementation of the projects. Review the reports and other documentation produced by the Consultants.
3. Check the designs, bills of quantities and other documents that are submitted by design and construction supervision consultants and the ULGs in respect of the infrastructure rehabilitation projects and for conformity GoE requirements.
4. Follow-up that proper hand over of sites and mobilization formalities are fulfilled and assist in the layout of construction sites.
5. Coordinate closely with the concerned bodies and assist them in fulfilling their responsibilities in terms of contract management for smooth and successful completion of projects.
6. Assist cities in the construction supervision of contractors and making periodic monthly progress reports of sites.
7. Support cities in the application of ESMS and RSG and consideration of the environment and social issues in the contract documents in cooperation with EMS Management consultants.
8. To keep proper records of all the infrastructure projects being implemented by the ULGs under the UIIDP and review action plans/schedules and resources required as well as assist towns in maintaining the project management, monitoring and reporting systems for UIIDP and others.
9. Assist cities in the preparations and consolidating the Capital Investment Plans for the UIIDP and participate in any other works or meetings related to UIIDP and assist them in reviewing and appraising project proposals.
10. Assist cities, design and construction supervision consultants and contractors to obtain the necessary documents and information required for the timely completion of the projects.
11. Assist in project management and implementation of UIIDP and other programs related to project management and capacity building. This includes working with the cities technical team as and when required.
12. Support Resident Engineer in checking works, materials and workmanship to ensure compliance with the approved designs, drawings and specifications and provide feedback on the technical performance of the contractor and his consultant to the contracting authority and BUDHo.
13. Examine alternative design proposals/variations submitted by the design and construction supervision consultants and contractor/client for execution and recommend appropriate solution to BUDHo and cities to respond to technical and financial queries.
14. Assist in settling any minor disputes (not litigation and arbitration) between contractor and municipality, inform relevant authorities at the earliest opportunity of any problem(s) or potential problem(s) which may arise from construction of the project and recommend possible solutions.
15. Examine with design and construction supervision consultants and recommend on settlement of the contractor's claims for extensions of time, payment for extra work etc.
16. Organize meetings and/or consultative forums as required with the cities and other partners for the successful completion of the projects.
17. Prepare simplified workbook, guidelines, checklist for supervision works for a project engineer
18. Prepare physical progress report and submit to UIIDP Regional Program Coordinator
19. Participate in, and support the preparation of training manuals, guidelines, seminars and workshops on infrastructure and related subjects.
20. Support cities to plan for the future in developing and planning for operations, maintenance and an environmental mitigation of infrastructure financed under the UIIDP such as roads, drainage and management of markets, slaughterhouses, solid and liquid waste disposals for sustainability of the infrastructure projects.
21. Render technical assistance for technical consultant of the cities to enhance capacity in the preparation of project proposals, construction and supervision procedures and current standards as well as in other key project management systems and areas of expertise as and when required.
22. Review and provide comments on the Annual Performance Assessment (APA) Reports of assigned ULGs
23. Perform any other duties assigned by the Regional Program Coordinator.

The Project Engineer will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his/her assigned region (s):-

##### 1. DLI 1 - Minimum Conditions

**1.1 ULG has produced and the council approved a:**

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19).*

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.1. Planning and Budgeting**

**2.1.1. Capital Investment Plan with linkages among the annual budget, annual action plan, annual procurement plan, asset management plan and revenue enhancement plan**

2.1.1.1. Quality, consistency and alignment in rolling three 3-year CIP, to ensure effective rolling in the planning process

2.1.1.2. Capturing infrastructure, operations and maintenance including using the appropriate IBEX code in the annual budget

**2.1.3. Budget appropriation**

2.1.3.1. Budget approved by Council (Yes/No Indicator)

**2.1.4. Budget Reliability**

2.1.4.1. Variance between overall city budget and actual expenditure (each capital and recurrent) for previous EFY less than 10%. Yes/No

##### 3. DLI 3 - Service Delivery Performance (ULG Performance Measures)

**3.1. Urban Infrastructure Targets**

3.1.1. Physical targets as included in the Capital Investment Plan and annual work plan implemented. Note: Assessment is done only for all civil works projects planned in the CIP for that EFY and the final contract prices should be used in the calculation. The assessment table should consist of ALL CIP civil works projects and not just the sampled ones. (If there is no monthly engineering standard report no points will be given)

**3.2. Maintenance performance**

**3.2.1. Maintenance Budgeting and Implementation**

3.2.1.1. (a) Maintenance plan derived from the Assets Management Plan

* + - 1. (b) Maintenance Budget either 2% of the asset replacement cost or 10% of CIP budget (whichever is less)

3.2.1.2. Maintenance Budget either 2% of the asset replacement cost or 10% of CIP budget (whichever is less)

3.2.2.1. ULGs have developed a clear maintenance budget and actual implementation rate (review overall budget and utilization rate in final accounts of all maintenance projects to review actual maintenance) is minimum 80% (financial) of the planned. indicator:

**Qualifications and Skills Required**

The assignment will require a high level of technical competence in engineering especially in municipal/civil engineering works. The Project Engineer should therefore possess the following qualifications:

* B.Sc. degree or higher in Civil Engineering, Municipal/Urban Engineering, Highway Engineering, Water/Hydraulic Engineering, Sanitary Engineering, Structural Engineering or Building Technology, Construction Technology and Management, Infrastructure Engineering, Geotechnical Engineering or related field of studies with a track record of achievements in implementation of infrastructure projects.
* A minimum of 7 years’ engineering experience of which 3 years is in implementation and support of projects, design and supervision, contract management as well as appraisal of projects.
* Strong commitment to sharing expertise and experience in order to develop others.
* Excellent writing and communication skills in both Amharic and English (all reports, documents and correspondences shall be in English and/or Amharic).
* Knowledge of the urban sector in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at BUDHo offices in the regional capital with regular travel to cities and regions. Contract: one-year contract, with possible extension upon satisfactory performance of the Project Engineer as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BUDHo will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment at its premises for successful discharging of his/her assignment. The Project Engineer will also be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Project Engineer will be accountable to the Regional Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHo will sign the contract with the Project Engineer on behalf of the region. The BUDHo will also be responsible for all payments to the Project Engineer once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Review reports and comments on the projects' progress reports, the project proposals and designs.
* Weekly progress reports.
* Draft TORs for design and supervision and draft bidding documents where applicable
* Implementation support mission reports
* Documentation of all correspondences during implementation of infrastructure projects.
* Monthly, Quarterly, Semi-annual and annual physical progress reports of the cities the engineer is entrusted with and simplified workbooks, workable checklist and training and project supervision manuals
* Summary of progress against UIIDP’s performance indicators semi-annually.
* Comments on the Annual Performance Assessment (APA) Reports of assigned ULGs

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Project Engineer activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Project Engineer’s work three weeks before the end of the assignment; and
* Final Report of the Project Engineer’s work, one week after receiving comments from BUDHo.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the Project Engineer:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR MUNICIPAL FINANCE SPECIALIST

**Objective of the TOR**

The objective of the assignment is to obtain the services of a Municipal Finance Specialist who will support city financial officers that are responsible for revenue generation of the City and its accountability and achievement of the UIIDP Disbursement Linked Indicators and Performance Measures related to municipal finance and own source revenue enhancement.

**Scope of the Assignment**

The Municipal Finance Specialist will be responsible for supporting the assigned ULGs in UIIDP’s own source revenue generation activities. Specific duties and responsibilities are:

1. Disseminating, and providing training on, guidelines for ULG revenue mobilization and revenue collection;
2. Providing technical support to the ULGs in identifying alternative sources of funds for infrastructure;
3. Assisting ULGs in updating their annual Revenue Enhancement Plans (REPs) for the most recent year;
4. Assisting ULGs in developing generic and specific revenue enhancement strategies that will result in increase in municipal revenues of ULGs;
5. Ensuring ULGs and the region provide counterpart funding for UIIDP as described in the POM and the PPAs;
6. Monitoring, evaluating and reporting on ULG revenue mobilization strategies, actions and ULG revenue collection;
7. Prepare training plan, training materials and provide training to ULG staff on municipal finance, revenue enhancement strategies and plans
8. Monitoring compliance by ULGs on municipal finance issues;
9. Review and provide comments on the Annual Performance Assessment (APA) Reports of assigned ULGs regarding municipal finance and own source revenue enhancement
10. Perform any other duties assigned by the Regional Program Coordinator.

The Municipal Finance Specialist will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his/her assigned region (s):-

##### 1. DLI 1 - Minimum Conditions

**1.4. Co-funding requirements (defined with various rates of co-funding depending on the type of ULG).**

The co-funding requirements are the following:

10 percent for the new ULGs in the DRS

20 percent for the new ULGs in the non-DRS regions.

40 percent for the “old” 16 ULGs. (ULGDP One)

50 percent for Dire Dawa and Harar.

A higher level of co-funding is promoted in the performance measures.

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.5. Own Source Revenue Enhancement**

**2.5.1. Revenue Enhancement Plan updated for prior year as per the Revenue Enhancement Plan Manual**

2.5.1.1. ULG has carried out detailed analysis of each main revenue source and potential as per the Revenue Enhancement Plan Manual. (manual and template to be provided)

2.5.1.2. ULG has developed strategies for revenue enhancement as per the Revenue Enhancement Plan Manual.

**2.5.2. ULG’s municipal revenues (excluding land lease income) increase**

**2.5.3. Revenue Planning: Percentage of municipal revenue (excluding land lease income) on business taxes, municipal rent and charges and fees collected against planned target for the previous EFY**

2.5.4. Co-funding from ULGs is above minimum threshold level – as percentage of performance grant amount

**Qualifications and Skills Required**

The assignment will require a high level of competence, knowledge and understanding of municipal finance issues. The Consultant should therefore possess the following qualifications:

* A minimum of BA or B.Sc. Degree in Economics, Accounting, Finance, Municipal Finance, Business Administration, Business Management, Urban Management, Public Administration, Public Financial Management or related.
* A minimum of 7 years’ general experience of which 3 years specific experience in local government finance and revenues (taxes, charges, levies, fees) and municipal revenue enhancement planning, revenue mobilization and collection.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions.
* Excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals), resolving conflict successfully.
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The Municipal Finance Specialist will be based at BUDHo offices in the regional capital with regular travel to cities. Contract: one-year contract, with possible extension upon satisfactory performance of the Municipal Finance Specialist as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BUDHo will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The Municipal Finance Specialist will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Municipal Finance Specialist will be accountable to the Regional Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHo will sign the contract with the Municipal Finance Specialist on behalf of the region. The BUDHo will also be responsible for all payments to the Municipal Finance Specialist once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Training report on guidelines for ULG revenue mobilization and revenue collection.
* Documents and reports on in identification of alternative sources of funds for infrastructure by regions and ULGs;
* Reports on generic and specific revenue enhancement strategies
* Status Report and recommendations on ULGs and region counterpart funding for UIIDP
* Monitoring and evaluation reports on ULG revenue mobilization strategies, actions and ULG revenue collection;
* Training plan, training materials and provide training to federal, regional and ULG staff on municipal finance, revenue enhancement strategies and plans
* Comments on the Annual Performance Assessment (APA) Reports of assigned ULGs

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Municipal Finance Specialist activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Municipal Finance Specialist’s work three weeks before the end of the assignment; and
* Final Report of the Municipal Finance Specialist’s work, one week after receiving comments from BUDHo.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the Municipal Finance Specialist:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR FINANCIAL MANAGEMENT SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of qualified and experienced Financial Management Specialist who will provide support to the ULGs on all financial management issues and aspects in general and those specific to the UIIDP. He/she will also support ULGs in the achievement of UIIDP disbursement linked indicators and performance measures related to financial management.

**Scope of the Assignment**

The Financial Management Specialist will be responsible for assisting the UIIDP participating cities in all financial accounting, financial management, financial reporting in general and specific to the UIDDP. Specific duties and responsibilities are:

1. Disseminate the UIIDP Financial Management Manual to all cities and provide training.
2. Prepare training materials and provide training to the UIIDP accountants at the ULGs.
3. Support assigned ULGs to produce the ULG Annual Budget with required timeliness and quality
4. Assist assigned ULGs to submit financial statements for the prior FY on time with required quality and should not be adverse or have a disclaimer opinion;
5. Prepare strategies and action plans for ULGs to move from qualified audits to unqualified (clean) audits and support ULGs in the implementation of these actions.
6. Support the Office of the Regional Auditor General (ORAG) in undertaking the annual financial audits of ULGs.
7. Monitor the preparations for and the carrying out of the annual financial audits by ORAGs and provide them guidance and also provide periodic status reports to the Regional Program Coordinator.
8. Review the financial audit reports and provide comments on improving the quality of the audits to the Regional Program Coordinator. Follow up with ULGs on implementation of recommendations of the audits and submit status report to Regional Program Coordinator on actions taken by the regions and ULGs.
9. Assist ULGs in following up and addressing audit queries.
10. Review the VfM Audit Reports and follow up on recommendations and actions to be taken by ULGs.
11. Monitor compliance by all assigned ULGs with UIIDP POM and Financial Management Manual in regard to financial management issues;
12. Perform any other duties assigned by the Regional Program Coordinator.

The Financial Management Specialist will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

##### 1. DLI 1 - Minimum Conditions

1.2. Submission of financial statements prepared from IBEX for the last FY (closure of the EFY accounts on time) by **October 10** each year.

1.3. Audit report from previous fiscal year should be issued by the deadline of January 7 of the following year and should not be adverse or with a disclaimer opinion.

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.3. Public Financial Management**

**2.3.1. Accounting and timely reporting**

2.3.1.1. Use of IBEX for all operations except Road Fund and other specialist projects done by ULGs that are not part of Budget coding system for IBEX

2.3.1.2. Timely financial reporting

2.3.1.3. Monthly cash & bank reconciliation reports submitted to BoFED timely as per regional regulations and manuals

**2.3.2. Audit Opinion**

2.3.2.1. The external financial audit report of the previous audit has a clean opinion

**2.3.3. Audit Compliance**

2.3.3.1. Evidence that audit queries raised in the external audit report have been acted on – 80% minimum

**2.3.4. Internal Audit – adherence to procedures with good practices, reflected by:**

2.3.4.1. Production of quarterly reports

2.3.4.2. Reports submitted to BoFED/ZOFED and copied to the Mayor

2.3.4.3. Evidence of follow-up of audit findings

**2.3.5. ULG level Fixed asset and inventory (stock) management weaknesses are addressed**

2.3.5.1. Record keeping- maintain fixed asset register, stock card and bin card

2.3.5.2. Count and Reconciliation

2.3.5.3. Segregation of duties

**Qualifications and Skills Required**

The Financial Management Specialist should possess the following qualifications:

* A minimum of BA, B.Sc. Degree or higher in Accounting, Finance, Municipal Finance, Municipal Financial Management, Business Administration, Business Management, Public Financial Management or related
* A minimum of 7 years’ general experience of which 3 years’ experience in aspects of local government finance, accounting, internal audit , external audit (financial audit and performance audit)
* Excellent report writing skills in both Amharic and English.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions and preferably knowledge of IBEX system.
* Excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals), resolving conflict successfully.
* Knowledge of the urban sector issues in Ethiopia is an advantage**.**

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The Financial Management Specialist will be based at BUDHo offices in the regional capital with regular travel to cities. Contract: one-year contract, with possible extension upon satisfactory performance of the Financial Management Specialist as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BUDHo will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The Financial Management Specialist will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Financial Management Specialist will be accountable to the Regional Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHo will sign the contract with the Financial Management Specialist on behalf of the region. The BUDHo will also be responsible for all payments to the Financial Management Specialist once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Suggestions and recommendations for improvements to the UIIDP Financial Management Manual
* Training materials and training reports on financial management
* Strategies and action plans for ULGs to move from qualified audits to unqualified (clean) audits
* Summary of progress against UIIDP’s performance indicators semi-annually.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Financial Management Specialist activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Financial Management Specialist’s work three weeks before the end of the assignment; and
* Final Report of the Financial Management Specialist’s work, one week after receiving comments from BUDHo.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the Financial Management Specialist:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR ENVIRONMENTAL MANAGEMENT SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Environmental Management Specialist who will assist in providing capacity building and mentoring services to urban local governments (city administrations) in implementation of the UIIDP Environmental Management System and achievement of disbursement linked indicators and performance measures related to environmental management.

**Scope of the Assignment**

The Environmental Management Specialist will have the following duties and responsibilities:

1. Provide overall coordination and assistance in the implementation of the ESMS for the UIIDP.
2. Establish the system of screening forms and EIA set out in this ESMS, and oversee their smooth operation including advice to ULGs on the procurement of Environmental Management Specialists for any required EIA studies;
3. Review and assess project screening reports prepared by the respective cities which the categorized as schedule 1, 2 and 3and follow the approval of the reports by regional environmental protection institutions.
4. Review the Environmental and Social Impact Assessment (ESIA) of the sub projects and monitor the implementations of the Environmental Management Plans of the sub-projects
5. Site visits during ULG investment project execution and operation to assess how environmental screening and mitigation measures are succeeding or have succeeded in minimizing impacts.
6. Ensure that the REFA carries out an environmental performance audit of all CIP projects on an annual basis as stated in the UIIDP POM; Review the reports for quality, timeliness and issues that need to be followed up by the cities.
7. Provide specific technical advice on mitigation measures for labor intensive projects;
8. Provide technical advice to ULGs on all technical issues related to natural resources and environmental management. These issues will relate to impacts on surface water, groundwater, agricultural resources and vegetation, sourcing of materials used in construction, human health, ecology and protected areas, land and soil degradation;
9. Raise awareness and proactively create demand for this technical advice among ULG officers;
10. Be responsible for collating information related to the ESMS, occupational health and safety;
11. Undertake review of EMPs to ensure compliance with the ESMS;
12. Assist ULGs in establishing a monitoring and evaluation system for the implementation of the ESMSG;
13. Lead the delivery of capacity building programs for ULG officers on the ESMS and produce a training plan.
14. Check and support all cities’ projects that, their CIPs are all screened and approved by the Regions’ Environmental Protection Authorities.
15. Assist that eligible investments for potential environmental safeguard impacts are screened against the set of environment criteria in the planning stage and Environmental and Social Impact Assessments (ESIAs), Environmental Management Plans (EMPs) are prepared and approved by the Regional Environmental Protection Agency as required;
16. Ensure that EMPs are implemented in a timely manner - prior to commencement of civil works;
17. Ensure that the ULG has established a functional system for environmental management;
18. Monitor and report on the implementation of landfills and abattoirs as per the MUDHo manuals ensuring that the necessary safeguard actions are put in place and implemented as per the ESMSG.
19. Prepare training plan, training materials and provide training to federal, regional and ULG staff on environmental management, occupational health and safety
20. Perform other duties assigned by the Regional Program Coordinator.

The Environmental Management Specialist will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

##### 1. DLI 1 - Minimum Conditions

Safeguards: ULGs have demonstrated that they have established a functional system for environmental and social management including full time dedicated one environmental and one social safeguards person and updated ESMSG and RSG endorsed by City Councils

**2. DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.7. Environmental & Social Safeguards**

**2.7.1. Environmental and Social Screening**

2.7.1.1. All capital project screened and approved by REFA as per Environmental and Social Management System Guideline and RSG at planning stage (before construction starts) (Yes/No indicator)

2.7.1.2. ESIAs, ESMPs, RAPs, etc., prepared and approved by regional or regional designated authority as required (Yes/No indicator)

2.7.2. RAPs are implemented prior to commencement of construction. Environmental and Social Management Plans are implemented prior to construction and during construction and operation[[30]](#footnote-30) (Yes/No indicator). based on a sample of 3 projects that have ESMPs and/or RAPs and all three must comply

**Qualifications and Skills Required**

The assignment will require a good understanding and knowledge of environmental safeguards that are associated with projects such as the UIIDP and a high level of technical competence in the implementation of ESMS.

The Environmental Management Specialist should therefore possess the following qualifications:

The Consultant should therefore possess the following qualifications:

* BA or B.Sc. degree or higher in Environmental Science, Environmental Engineering, Natural Resources Management or other related degree;
* A minimum of 7 years general experience of which 3 years specific experience in all aspects of urban infrastructure development and environmental safeguard impacts , health, and safety issues , screening against environment criteria in the planning stage and environmental and social impact assessments (ESIAs), environmental management plans (EMPs)
* Experience in working with local governments and/or knowledge of the urban sector in Ethiopia will be an added advantage.
* Excellent writing and communication skills in both Amharic and English.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The Environmental Management Specialist will be based at BUDHo offices in the regional capital with regular travel to cities. Contract: one-year contract, with possible extension upon satisfactory performance of the Environmental Management Specialist as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BUDHo will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The Environmental Management Specialist will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Environmental Management Specialist will be accountable to the Regional Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHo will sign the contract with the Environmental Management Specialist on behalf of the region. The BUDHo will also be responsible for all payments to the Environmental Management Specialist once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* System of screening forms and EIA set out in this ESMSG.
* Review comments on Environmental and Social Impact Assessment (ESIA) of the sub projects
* Review comments of EMPs to ensure compliance with the ESMS
* Report on quality, timeliness and issues that need to be followed up by the cities on environmental audits..
* Training plan, training materials and training reports on environmental management, occupational health and safety training.
* Monitoring reports on the implementation of landfills and abattoirs

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Environmental Management Specialist activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Environmental Management Specialist’s work three weeks before the end of the assignment; and
* Final Report of the Environmental Management Specialist’s work, one week after receiving comments from BUDHo.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the Environmental Management Specialist:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR SOCIAL DEVELOPMENT SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Social Development Specialist with knowledge and experience of social and resettlement issues related to infrastructure development and service delivery to support ULGs in applying the RSG of the UIIDP as well as the achievement of UIIDP disbursement linked indicators and performance measure related to social development and resettlement.

**Scope of the Assignment**

The Social Development Specialist will be responsible for assisting the assigned UIIDP participating cities in areas involving social development and resettlement of any persons affected by the implementation of the capital investment projects by cities including those financed by the UIIDP. Specific duties and responsibilities are:

1. Provide overall coordination and assistance to ULGs in the implementation of the ESMS and RSG for the UIIDP.
2. Establish the system of screening forms, RAP set out in the RSG, and oversee their smooth operation including advice to ULGs on the procurement of consultants for any required CRMP or RAP studies;
3. Site visits during ULG investment project execution and operation to assess how social aspects are succeeding or have succeeded in minimizing impacts.
4. Provide specific technical advice on mitigation measures for labor intensive projects;
5. Raise awareness and proactively create demand for this technical advice among ULG officers;
6. Liaise with the ULGs to ensure the project’s compliance with the RSG and all resettlement aspects of the project;
7. Be responsible for collating information related to the RSG and resettlement;
8. Undertake review of RAPs to ensure compliance with the RSG;
9. Establish a monitoring and evaluation system for the implementation of the RSG; and
10. Lead the delivery of capacity building programs for ULG officers on the RSG and produce a training plan.
11. Review the procedure being followed to produce Resettlement Action Plan (RAP) to ensure compliance with the RSG
12. Monitor the implementation of Resettlement action plans and ensure that RAPs are implemented in a timely manner - prior to commencement of civil works;
13. Ensure that the ULG has established a functional system for social management;
14. Ensure that eligible investments for potential social safeguard impacts are screened against the set of social criteria in the planning stage and Resettlement Action Plans (RAPs) are prepared and approved by the Regional Environmental Protection Agency as required;
15. Perform other duties assigned by the Regional Program Coordinator**.**

The Social Development Specialist will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

##### 1. DLI 1 - Minimum Conditions

Safeguards: ULGs have demonstrated that they have established a functional system for environmental and social management including full time dedicated one environmental and one social safeguards person and updated ESMSG and RSG endorsed by City Councils

**2. DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.7. Environmental & Social Safeguards**

**2.7.1. Environmental and Social Screening**

2.7.1.1. All capital project screened and approved by REFA as per Environmental and Social Management System Guideline and RSG at planning stage (before construction starts) (Yes/No indicator)

2.7.1.2. ESIAs, ESMPs, RAPs, etc., prepared and approved by regional or regional designated authority as required (Yes/No indicator)

2.7.2. RAPs are implemented prior to commencement of construction. Environmental and Social Management Plans are implemented prior to construction and during construction and operation[[31]](#footnote-31) (Yes/No indicator). based on a sample of 3 projects that have ESMPs and/or RAPs and all three must comply

**Qualifications and Skills Required**

The assignment will require a good understanding and knowledge of social safeguards that are associated with projects such as the UIIDP and a high level of technical competence in the implementation of RSGs.

The Social Development Specialist should therefore possess the following qualifications:

* B.Sc. or BA degree or higher in Sociology, Social Work, Social Anthropology, Community Development or other related degree;
* A minimum of 7 years general experience of which 3 years specific experience in aspects of social welfare involving community development and urban development in general and social safeguard screening against resettlement and compensation criteria in the planning stage and resettlement action plans (RAPs) in the implementation stage of projects.
* Experience in working with local governments and/or knowledge of the urban sector in Ethiopia will be an added advantage.
* Excellent writing and communication skills in both Amharic and English.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The Social Development Specialist will be based at BUDHo offices in the regional capital with regular travel to cities. Contract: one-year contract, with possible extension upon satisfactory performance of the Social Development Specialist as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BUDHO will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The Social Development Specialist will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Social Development Specialist will be accountable to the Regional Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHo will sign the contract with the Social Development Specialist on behalf of the region. The BUDHo will also be responsible for all payments to the Social Development Specialist once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* System of screening forms, RAP set out in the RSG
* Reports on Site visits during ULG investment project execution and operation to assess how social aspects are succeeding or have succeeded in minimizing impacts
* Information related to the RSG and resettlement
* Review comments on RAPs to ensure compliance with the RSG
* Monitoring and evaluation system for the implementation of the RSG;
* Training plan, training materials and training reports social development and resettlement
* Functional system for social management in all assigned ULGs

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Social Development Specialist activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Social Development Specialist’s work three weeks before the end of the assignment; and
* Final Report of the Social Development Specialist’s work, one week after receiving comments from BUDHO.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the Social Development Specialist:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR INFRASTRUCTURE ASSET MANAGEMENT SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of qualified and experienced Infrastructure Asset Management Specialist who will support assigned ULGs in infrastructure asset management and planning as per the GIS-based Infrastructure Asset Management Plan Manual and Model that has been issued to all regions/ULGs. He/She will also support cities in the achievement of UIIDP disbursement linked indicators and performance measures related to infrastructure asset management and planning.

**Scope of the Assignment**

The Infrastructure Asset Management Specialist will be responsible for assisting the assigned UIIDP participating cities in all areas involving the management of existing infrastructure assets and the planning for new infrastructure assets. Specific duties and responsibilities are:

1. Disseminate to all ULGs the GIS-based Infrastructure Asset Management Manual and Model.
2. Prepare training plan, training materials and provide training to regional and ULG staff on GIS, GIS -based Infrastructure Asset Management Manual and Model.
3. Review the annual updated GIS-based Asset Inventories and AMPs of all the assigned ULGs as and when they are submitted by the cities and provide review reports.
4. Review and follow up with BUDHo and cities on the implementation of the Implementation Strategy and Program of Action for Asset Management. Assist the region and the ULGs to take the necessary actions stated in the strategy and program of actions and produce implementation and status reports.
5. Contribute to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on asset management.
6. Review the Annual Performance Assessment Reports of ULGs regarding asset management and provide comments
7. Perform any other duties assigned by the Regional Program Coordinator.

The Infrastructure Asset Management Specialist will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.2. Asset Management**

**2.2.1. Asset Management Plan prepared and updated**

2.2.1.1. Asset inventory updated as per Asset Management Manual featuring a tabular and spatial database of all infrastructure, with specification and characteristics, for all categories of assets of the cities as listed in the AMM 2.1.1.2.

2.2.1.2. Asset conditions correctly reflected in inventories as per procedures in Asset Management Manual

2.2.1.3. Asset inventory shows an asset value and deficit, which calculates the remaining asset value, maintenance and rehabilitation deficit based on annual depreciation rates as per procedures in Asset Management Manual.

**3.2. Maintenance performance**

**3.2.1. Maintenance Budgeting and Implementation**

3.2.1.1. (a) Maintenance plan derived from the Assets Management Plan

* + - 1. (b) Maintenance Budget either 2% of the asset replacement cost or 10% of CIP budget (whichever is less)

3.2.1.2. Maintenance Budget either 2% of the asset replacement cost or 10% of CIP budget (whichever is less)

3.2.2.1. ULGs have developed a clear maintenance budget and actual implementation rate (review overall budget and utilization rate in final accounts of all maintenance projects to review actual maintenance) is minimum 80% (financial) of the planned. indicator:

**Qualifications and Skills Required**

The assignment will require a high level of technical competence GIS and infrastructure asset management. The Infrastructure Asset Management Specialist should therefore possess the following qualifications:

* BA or B.Sc. degree in Civil Engineering, Municipal/Urban Engineering, Highway Engineering, Water/Hydraulic Engineering, Sanitary Engineering, Structural Engineering, Infrastructure Engineering, Geotechnical Engineering, Building Technology, Construction Technology and Management, , Geodesy, Surveying or GIS or urban planning or related field.
* A minimum of 7 years’ general experience of which 3 years’ experience in infrastructure asset management and disciplines stated above including at least 3 years’ experience using GIS.
* Excellent writing and communication skills in both Amharic and English (all reports, documents and correspondences shall be in English and/or Amharic).
* Knowledge of the urban sector in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The Infrastructure Asset Management Specialist will be based at BUDHo offices in the regional capital with regular travel to cities. Contract: one-year contract, with possible extension upon satisfactory performance of the Infrastructure Asset Management Specialist as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BUDHO will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The Infrastructure Asset Management Specialist will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Infrastructure Asset Management Specialist will be accountable to the Regional Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHo will sign the contract with the Infrastructure Asset Management Specialist on behalf of the region. The BUDHo will also be responsible for all payments to the Infrastructure Asset Management Specialist once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Training plan, training materials and training reports on GIS, GIS -based Infrastructure Asset Management Manual and Model.
* Review comments on the annual updated GIS-based Asset Inventories and AMPs of all the assigned ULGs
* Implementation Plan and Status Report on “On the Job Training” and direct assistance to DRS cities and new cities in major regions on updating of asset inventories and preparation of Asset Management Plans
* Implementation and status reports on the Implementation Strategy and Program of Action for Asset Management at regional and ULG levels
* Contributions to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on asset management.
* Review comments on the Annual Performance Assessment Reports of ULGs regarding asset management.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Infrastructure Asset Management Specialist activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Infrastructure Asset Management Specialist ’s work three weeks before the end of the assignment; and
* Final Report of the Infrastructure Asset Management Specialist ’s work, one week after receiving comments from BUDHO.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the Infrastructure Asset Management Specialist :

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR URBAN PLANNING & LAND MANAGEMENT SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of qualified and experienced Urban Planning and Land Management Specialist who will provide technical support and assistance to MUDHo, regions and ULGs on all urban land management issues and on the use of computerized geographic information systems (GIS) to map land areas, to overlay maps with geographic variables such as population density, and to combine or manipulate geographic information to produce alternative plans for land use or development and the achievement of UIIDP disbursement linked indicators and performance measures on urban planning and land management.

**Scope of the Assignment**

The Urban Planning and Land Management Specialist will be responsible for assisting MUDHo, regions and ULGs on urban planning issues and land management issues, especially in regard to land development, land release, land registration and land inventory. Specific duties and responsibilities are:

1. Design, promote and administer government plans and policies affecting land use, zoning, public utilities, community facilities, housing, and transportation.
2. Assess the feasibility of proposals and identify necessary changes, recommend approval, denial or conditional approval of proposals.
3. Determine the effects of regulatory limitations on projects.
4. Create, prepare, or requisition graphic and narrative reports on land use data, including land area maps overlaid with geographic variables such as population density.
5. Advise planning officials on project feasibility, cost-effectiveness, regulatory conformance, and possible alternatives.
6. Conduct field investigations, surveys and impact studies in order to compile and analyze data on economic, social, regulatory and physical factors affecting land use.
7. Discuss with planning officials the purpose of land use projects such as transportation, conservation, residential, commercial, industrial, and community use.
8. Keep informed about economic and legal issues involved in zoning codes, building codes, and environmental regulations.
9. Mediate community disputes and assist in developing alternative plans and recommendations for programs or projects.
10. Coordinate work with economic consultants and architects during the formulation of plans and the design of large pieces of infrastructure.
11. Review and evaluate environmental impact reports pertaining to private and public planning projects and programs.
12. Assist the ULGs in the development and implementation of urban land management and information systems
13. Assist in developing and maintaining a ULGs land registration register;
14. Providing technical guidance to the ULGs regarding matters of land development, land release, land registration, land inventory and land information systems;
15. Advice in planning towns and trading centers in the ULGs, especially regarding optimum use of available land and guiding ULGs authorities on balanced development;
16. Inspecting structures in the ULGs to ensure compliance with the land use plan;
17. Monitor and report on ULG adherence to proper and effective land management practices and policies;
18. Prepare training plan, training materials and provide training to ULG staff on urban land management.
19. Review the Annual Performance Assessment Reports of ULGs regarding urban planning and urban land management and provide comments
20. Perform any other duties assigned by the Regional Program Coordinator.

The Urban Planning and Land Management Specialist will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.8. Land Management and Urban Planning**

**2.8.1.** Statutory structure plan and or expansion plan approved/in place

2.8.1.1. Existence of up-to-date approved statutory city-wide (structure) plan and/or expansion plan as at the point of assessment (Yes/No indicator) Excluding extension of an existing plan

2.8.1.2. CIP is in accordance with city-wide (structure) plan and/or expansion plan at the time of preparation (Yes/No indicator)

**2.8.2. Effective land management**

2.8.2.1. Land released for different uses are as per the laws of land management and have access to basic infrastructure facilities i.e. road, water, electricity at a radius of 250 meters

2.8.2.2. Proportion of land plots released through competitive auction/ bidding process (and not through direct allocation)

2.8.2.3. Updated land inventory featuring a tabular and/or spatial database e.g. a map (Yes/No indicator)

**Qualifications and Skills Required**

The Urban Planning and Land Management Specialist should possess the following qualifications/competencies:

* B.Sc. or BA degree in Land Administration, Urban Planning, Regional Planning; or similar discipline.
* A minimum of 7 years ‘general experience of which 3 years specific experience in urban land management, development and administration.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals), resolving conflict successfully.
* Knowledge of the urban sector issues in Ethiopia and experience in GIS is an advantage.
* Knowledge of the provisions of the Land Act;

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The Urban Planning and Land Management Specialist will be based at BUDHo offices in the regional capital with regular travel to cities. Contract: one-year contract, with possible extension upon satisfactory performance of the Urban Planning and Land Management Specialist as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BUDHO will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The Urban Planning and Land Management Specialist will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Urban Planning and Land Management Specialist will be accountable to the Regional Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHo will sign the contract with the Urban Planning and Land Management Specialist on behalf of the region. The BUDHo will also be responsible for all payments to the Urban Planning and Land Management Specialist once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Assessment reports on feasibility of proposals and recommendations on necessary changes/ approval/denial or conditional approval of proposals.
* Analysis of data on economic, social, regulatory and physical factors affecting land use.
* Alternative plans and recommendations for programs or projects.
* Review and evaluation comments on environmental impact reports pertaining to private and public planning projects and programs.
* Status and Implementation Progress Reports on development and implementation of urban land management and information systems in the ULGs
* Up to date ULGs land registration register
* Report on guidance given to ULGs regarding matters of land development, land release, land registration, land inventory and land information systems;
* Report on compliance by assigned ULGs with the land use plan
* Monitoring report on ULG adherence to proper and effective land management practices and policies
* Training plan, training materials and training reports on training provided to ULG staff on urban planning and urban land management
* Review comments on the Annual Performance Assessment Reports of ULGs regarding urban planning and land management.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Urban Planning and Land Management Specialist activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Urban Planning and Land Management Specialist’s work three weeks before the end of the assignment; and
* Final Report of the Urban Planning and Land Management Specialist’s work, one week after receiving comments from BUDHO.

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**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the Urban Planning and Land Management Specialist:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR PLANNING, BUDGETING & PARTICIPATION SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Planning, Budgeting and Participation Specialist who will support all assigned UIIDP participating cities in planning and budgeting for infrastructure investments in a participatory manner.

**Scope of the Assignment**

The Planning, Budgeting and Participation Specialist will be responsible for the following specific duties and responsibilities:

1. Supporting cities in formulating and developing ULGs development strategies, plans and budgets;
2. Support UIIDP participating cities in the preparation of ULG capital investment plans, capacity building plans, action plans and budgets in participatory manner.
3. Disseminating performance standards and indicators for the ULGs to use on planning, budgeting and participation;
4. Monitoring and evaluating performance of ULGs Development Plans, programs and projects;
5. Collecting, analyzing and storing data into useful information for end users and maintaining a data bank for planning, budgeting and decision-making purposes;
6. Providing technical advice to ULGs on matters related to planning, budgeting and participation;
7. Prepare training plan, training materials and provide training to ULG staff on planning, budgeting and participation.
8. Review the Annual Performance Assessment Reports of ULGs regarding budgeting, planning and participation and provide comments
9. Perform any other duties assigned by the Regional Program Coordinator.

The Planning, Budgeting and Participation Specialist will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

##### 1. DLI 1 - Minimum Conditions

ULG has produced and the council approved a:

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19).*

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.1. Planning and Budgeting**

**2.1.1. Capital Investment Plan with linkages among the annual budget, annual action plan, annual procurement plan, asset management plan and revenue enhancement plan**

2.1.1.1. Quality, consistency and alignment in rolling three 3-year CIP, to ensure effective rolling in the planning process

2.1.1.2. Capturing infrastructure, operations and maintenance including using the appropriate IBEX code in the annual budget

**2.1.2. Participation of citizens in the planning process to meet service delivery priorities identified by citizens**

2.1.2.1. No. of public consultations (lower level and city level)

2.1.2.2. Increase in no. of people involved. Evidence of agenda and issues discussed.

**2.1.3. Budget appropriation**

2.1.3.1. Budget approved by Council (Yes/No Indicator)

**2.1.4. Budget Reliability**

2.1.4.1. Variance between overall city budget and actual expenditure (each capital and recurrent) for previous EFY less than 10%. Yes/No

**Qualifications and Skills Required**

The Planning, Budgeting & Participation Specialist should possess the following qualifications/competencies:

* A minimum of BA or B.Sc. Degree in Urban Management, Municipal Finance, Accounting, Financial Planning, Investment Financing, Economics, Public Financial Management, Public Administration, Business Administration or related.
* A minimum of 7 years of experience in public finance including budgeting and experience in similar projects and geographic areas, with 3 years of experience in local government budgeting planning and participation.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions.
* Excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals), resolving conflict successfully.
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The Planning, Budgeting and Participation Specialist will be based at BUDHo offices in the regional capital with regular travel to cities. Contract: one-year contract, with possible extension upon satisfactory performance of the Planning, Budgeting and Participation Specialist as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BUDHO will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The Planning, Budgeting and Participation Specialist will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Planning, Budgeting and Participation Specialist will be accountable to the Regional Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHo will sign the contract with the Planning, Budgeting and Participation Specialist on behalf of the region. The BUDHo will also be responsible for all payments to the Project Engineer once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Reports on technical support provided to cities in formulating and developing ULGs development strategies, plans and budgets;
* Reports on support given to UIIDP participating cities in the preparation of ULG capital investment plans, capacity building plans, action plans and budgets.
* Monitoring and evaluation reports on performance of ULGs Development Plans, programs and projects;
* Data bank for planning, budgeting and decision-making purposes;
* Training plan, training materials and training reports on planning, budgeting and participation
* Review comments on Annual Performance Assessment Reports of ULGs regarding budgeting, planning and participation.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Planning, Budgeting and Participation Specialist activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Planning, Budgeting and Participation Specialist’s work three weeks before the end of the assignment; and
* Final Report of the Planning, Budgeting and Participation Specialist’s work, one week after receiving comments from BUDHO.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the Planning, Budgeting and Participation Specialist:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR MONITORING & EVALUATION SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Monitoring & Evaluation Specialist who will be responsible for developing and maintaining the UIIDP Monitoring, Evaluation and Reporting Systems, supporting the city M&E officers that are responsible for M&E of the UIIDP and achievement of disbursement linked indicators and performance measures related to M & E.

**Scope of the Assignment**

The **Monitoring and Evaluation** **Specialist** at Regional level based at BUDHo will plan, coordinate and facilitate all M&E related activities of the UIIDP. He/she will be responsible for developing, implementing and maintaining the UIIDP M&E and reporting systems at regional and ULG levels. Specific duties and responsibilities are:

1. Maintain the UIIDP M & E system at regional level and assist the UIIDP M&E Officers at ULGs in maintaining a similar system.
2. Assist cities in the preparation of their UIIDP M&E reports and follow up to ensure that they are submitted as per the deadlines set in the M & E Guidelines;
3. Prepare and submit to the Regional Program Coordinator and to the Federal M & E Specialist the Consolidated Regional Quarterly Progress Reports, Semi-Annual Report, Annual Report for UIIDP as per the M&E Guidelines and other reports as required by BUDHO.
4. Regularly follow-up on project implementation progress as per the key performance indicators.
5. Identify training needs for monitoring and evaluation, prepare training plan, training materials and conduct training programs for relevant staff at city levels.
6. Work with UIIDP team members at regional level and other regional project implementing bureaus/agencies to familiarize them with key performance indicators of the UIIDP.
7. Review comments on Annual Performance Assessment Reports of ULGs.
8. Perform other duties assigned by the Regional Program Coordinator.

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The Monitoring & Evaluation Specialist will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

**DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.6. Accountability and Transparency**

**2.6.1. Accountability and transparency in city operations and service delivery**

2.6.1.2. Public dissemination (in city offices and other public places or web-pages, newspapers) of information about: (a) Annual budgets; (b) Approved projects; (c) Expenditures; (d) Audited accounts; (e) Procurement decisions; (f) APA results announced to public

2.6.1.3. Timely submission of quarterly progress reports for UIIDP as per the UIIDP M & E Guidelines (Yes/No indicator)

**Qualifications and Skills Required**

The **Monitoring and Evaluation Specialist** should possess the following qualifications/ competencies:

* BA or B.Sc. degree in statistics, Demography, Sociology, Social Work, Economics, Urban Management or a related field;
* A minimum of 7 years’ general of which 3 years specific experience in monitoring and evaluation systems of programs/projects and capacity building for M&E in a public sector or urban sector setting.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions and statistical software.
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at BUDHo offices in the regional capital with regular travel to cities. Contract: one-year contract, with possible extension upon satisfactory performance of the Monitoring & Evaluation Specialist as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BUDHO will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The Monitoring & Evaluation Specialist will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Monitoring & Evaluation Specialist will be accountable to the Regional Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHo will sign the contract with the Monitoring & Evaluation Specialist on behalf of the region. The BUDHo will also be responsible for all payments to the Monitoring & Evaluation Specialist once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* UIIDP M & E system at regional level
* Report on assistance given to the UIIDP M&E Officers at ULGs in maintaining UIIDP M & E System
* Consolidated Regional Quarterly Progress Reports, Semi-Annual Report, Annual Report for UIIDP
* Training plan, training materials and training reports
* Review comments on Annual Performance Assessment Reports of ULGs.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Monitoring & Evaluation Specialist activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Monitoring & Evaluation Specialist’s work three weeks before the end of the assignment; and
* Final Report of the Monitoring & Evaluation Specialist’s work, one week after receiving comments from BUDHO.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the Monitoring & Evaluation Specialist:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR UIIDP PROGRAM ACCOUNTANT (BoFED)

**Objective of the TOR**

The objective of the TOR is to obtain the services of a UIIDP Program Accountant, based at BoFED, who will be responsible for fund flow, financial management and financial reporting.

**Scope of the Assignment**

The Program Accountant will have the following specific duties and responsibilities:

1. Prepare training plan, training materials and provide training to the UIIDP accountants at the ULGs.
2. Facilitate and ensure timely release and flow of resources from MoFEC to BoFED and from BoFED to ULGs.
3. Maintain the UIIDP financial accounting and reporting system in IBEX.
4. Ensure timely submission of expenditure documents from ULGs to BoFED and from BoFED to MoFEC and consolidated regional expenditure report to MoFEC;
5. Ensure that proper financial records are maintained at all ULGs and ensure the quality and consistency of all financial data;
6. Check the monthly UIIDP bank account reconciliations done by all ULGs in the region.
7. Prepare Semi-Annual Financial Reports for UIIDP and submit to MoFEC within the 30 days of the end of the half year.
8. Prepare annual consolidated regional financial statements for UIIDP within 60 days after the end of the financial year and ensure that these are submitted to MoFEC for consolidation and audit by the external auditors;
9. Copy all financial reports to BUDHo for proper coordination and follow-up of the implementation and fund utilization;
10. Perform other duties assigned by the Regional Program Coordinator.

**Qualifications and Skills Required**

The assignment will require a high level of technical competence in financial accounting, financial management and financial reporting. The UIIDP Program Accountant should therefore possess the following qualifications:

* A minimum of BA, B.Sc. Degree in Accounting, Finance, Municipal Finance, Business Administration, Business Management, Public Financial Management or related
* A minimum of 7 years’ general experience of which 3 years specific experience in aspects of local government finance, public sector financial management, financial audit, accounting, internal and external audit.
* Excellent report writing skills in both Amharic and English.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions and preferably knowledge of IBEX system.
* Knowledge of the urban sector issues in Ethiopia is an advantage**.**

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The UIIDP Program Accountant will be based at BoFED offices in the regional capital. Contract: one-year contract, with possible extension upon satisfactory performance. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BoFED will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The UIIDP Program Accountant will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the UIIDP Program Accountant will be accountable to the Regional Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHo will sign the contract with the UIIDP Program Accountant on behalf of the region. The BUDHo will also be responsible for all payments to the UIIDP Program Accountant once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Training plan, training materials and training reports on financial management
* UIIDP financial accounting and reporting system in IBEX
* Consolidated regional expenditure report
* Comments and Report on Review of Monthly ULG Bank Reconciliation Statements for UIIDP
* Regional Semi-Annual Financial Reports for UIIDP
* Regional Annual consolidated financial statements

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the UIIDP Program Accountant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the UIIDP Program Accountant’s work three weeks before the end of the assignment; and
* Final Report of the UIIDP Program Accountant’s work, one week after receiving comments from BUDHo.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the UIIDP Program Accountant:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR PROCUREMENT MANAGEMENT SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Procurement Management Specialist who will provide support to assigned UIIDP participating cities on procurement planning, implementation and monitoring as well as contract management including achievement of disbursement linked indicators and performance measures related to procurement.

**Scope of the Assignment**

The Procurement Management Specialist will be responsible for the following specific duties and responsibilities:

1. Supporting assigned ULGs in the formulation of procurement strategies;
2. Supporting assigned ULGs in the preparation of the Annual Procurement Plans, reviewing the plans and providing comments or suggestions for improvement of the quality of the plans
3. Monitoring the implementation of the Annual Procurement Plans, providing summarized status report to the Regional Program Coordinator and BUDHO on quarterly basis. Provide guidance to the ULGs on speeding up implementation of the procurement plans/activities.
4. Supporting the Regional Public Procurement and Property Administration Agency in undertaking the annual procurement audits of ULGs.
5. Monitor the preparations for and the carrying out of the annual procurement audit by RPPPAA and provide them guidance and provide periodic status reports to the Regional Program Coordinator and BUDHO.
6. Review the procurement audits and provide comments to the RPPPAA and submit the audits for review by the MUDHo. Follow up with ULGs on implementation of recommendations of the audits and submit status report to Regional Program Coordinator and BUDHO on actions taken by the ULGs.
7. Carry out a review to identify constraints and opportunities to the effective and efficient procurement and administration of works, goods and consultancies in the ULGs and an implementation capacity assessment to identify gaps.
8. Prepare training plan, training materials and provide training to ULG staff on procurement management.
9. Review the Annual Performance Assessment Reports of ULGs regarding procurement management and provide comments
10. Perform any other duties assigned by the Regional Program Coordinator.

The Procurement Management Specialist will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

##### 1. DLI 1 - Minimum Conditions

**1.1. ULG has produced and the council approved a:**

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* The planned use of the performance-based grants from UIIDP follows investment menu **(***only from assessment in 2019 of the performance in FY 2018/19).*
  1. **Functional institutional set-up for procurement system in place according to public procurement proclamation including:**

1. Procurement function and minimum core staff in place – at least two procurement specialists within procurement unit in ULG; with first degree and experience in procurement at least for two years
2. Functional tender committee/tender award committee (TAC) at ULG level in place;
3. Participating cities have the copies of their respective region’s procurement law, directives, manuals and standard procurement documents and staffs are familiar with these legal documents
4. Establishment of procurement performance monitoring and measurement using Public Procurement Key Performance Indicators Guideline or equivalent.
5. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.4. Procurement**

**2.4.1. Annual Procurement Planning, Oversight and Controls**

*Parameters to be assessed****.***

(i) Annual procurement plans are prepared and updated;

(ii) Internal procurement audits are conducted and they are acceptable;

(iii) Follow up and update was done on the action plan for implementation of internal and external audit findings.

**2.4.2. Individual Procurement Transactions**

**2.4.2.1. Procurement Planning and Bidding**

*Parameters to be assessed.*

(i)The procurement item is included in the approved annual procurement plan;

(ii) Advertisements were made as required by the law;

(iii) Correct standard bidding documents are used;

(iv) Bid floating periods are as provided in the law;

(v) Bid openings are conducted immediately after bid submission and minutes are acceptable

**2.4.2.2. Bid Evaluation and Contract Award**

*Parameters to be assessed.*

(i) Bid evaluations are consistent with bidding documents;

(ii) Contract was awarded to the legitimate bidder within bid validity period;

(iii) Bid evaluation results are announced to bidders and public;

(iv) Contract document contents are complete

**2.4.2.3. Contract implementation and procurement recording**

*Parameters to be assessed.*

(i) Contracts implemented within planned time

(ii) Contracts implemented as per contract price

(iii) Availability of adequate auditable procurement records in a secured space.

**2.4.3. Procurement Outcomes**

**2.4.3.1. Procurement efficiency and effectiveness**

*Parameters to be assessed.*

(i) Percentage (by no. and value) of procurement items not included in the original annual procurement plan should not exceed 5%;

(ii) Average deviation between original Planned and Actual Procurement cycle time (procurement initiation-contract completion) should not exceed 5%;

(iii) deviation between original price in the procurement plan and award price should not exceed 20%;

(iv) deviation between contract price and completion price (turnout cost) should not exceed 25%.

**2.4.3.1. Competitiveness, Fairness and Transparency and Controls**

*Parameters to be assessed.*

(i) Percentage (by no. and value) of procurements conducted through open bidding procedure is 85%;

(ii) Complaints resolved within the standard time frame is 100%;

(iii) the percentage of action taken from the previous procurement audit qualifications/ recommendations equals or exceeds 90%.

**Qualifications and Skills Required**

The Procurement Management Specialist should a high level of technical competence and experience in procurement of services, goods and works on using GOE procurement laws and guidelines. The Procurement Management Specialist should therefore have the following qualifications.

* Minimum of BA or B.Sc. Degree in Procurement, Procurement & Supply Chain Management, Public Procurement &Asset Management, Commerce, Marketing Management, Business Administration, Economics, Engineering, Law or any other related discipline.   Possession of professional qualification in procurement will be an added advantage.
* At least 7 years’ general experience of which 3 years specific experience in procurement in a large private/ public sector organization or projects. and in GOE/IDA funded projects using federal/regional/IDA procurement procedures.
* Computer literacy in the use of word processor, spreadsheets and any other
* Excellent writing and communication skills in both Amharic and English (all reports, documents and correspondences shall be in English).
* Knowledge of the urban sector in Ethiopia is an advantage

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The Procurement Management Specialist will be based at BUDHo offices in the regional capital with regular travel to cities. Contract: one-year contract, with possible extension upon satisfactory performance of the Procurement Management Specialist as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BUDHO will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of the assignment. The consultant will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Procurement Management Specialist will be accountable to the Regional Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHo will sign the contract with the Procurement Management Specialist on behalf of the region. The BUDHo will also be responsible for all payments to the Procurement Management Specialist once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Reports on technical support provided to assigned cities in formulating procurement strategies;
* Reports on support given to assigned UIIDP participating cities in the preparation of ULG annual procurement plans
* Review comments or suggestions for improvement of the quality of assigned ULG annual procurement plans
* Summarized Quarterly Monitoring & Status Report on implementation of the assigned ULG Annual Procurement Plans and on guidance provided to the assigned ULGs on speeding up implementation of the procurement plans/activities.
* Report on supporting provided to the Regional Public Procurement and Property Administration Agency in undertaking the annual procurement audits of ULGs.
* Monitoring and status report on the preparations for and the carrying out of the annual procurement audits by RPPPAA.
* Review comments on quality of procurement audits
* Status report on implementation by regions and ULGs of recommendations of the procurement audits.
* Report on constraints and opportunities to the effective and efficient procurement and administration of works, goods and consultancies in the ULGs.
* Procurement implementation capacity assessment report.
* Training plan, training materials and training reports on procurement management
* Review comments on Annual Performance Assessment Reports of ULGs regarding procurement management.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Procurement Management Specialist activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Procurement Management Specialist’s work three weeks before the end of the assignment; and
* Final Report of the Procurement Management Specialist’s work, one week after receiving comments from BUDHO.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the Procurement Management Specialist:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR CAPACITY BUILDING SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Capacity Building Specialist who will be responsible for coordinating all the capacity building activities under UIIDP and for providing capacity building support to all UIIDP participating cities in the region.

**Scope of the Assignment**

The Capacity Building Specialist will be responsible for the following specific duties and responsibilities:

1. Dissemination of the UIIDP Capacity Building Manual to all regional implementation bureaus/agencies and ULGs.
2. Provide support to regional implementing Bureaus/Agencies and ULGs in carrying out the capacity self-assessment and gap analysis using the tools provided in the UIIDP Capacity Building Manual.
3. Supporting cities in formulating and developing their capacity building strategies, plans and budgets, ensuring that the UIIDP Eligible Capacity Building Areas are adhered to and that all the four capacity building modalities are used;
4. Using the Checklists in the UIIDP Capacity Building Manual, review and provide comments on the annual capacity building plans of all participating ULGs.
5. Monitor and evaluate the performance of ULGs capacity building plans;
6. Preparation of the UIIDP Regional Capacity Building Plan and following up with all participating regional Bureaus/ Agencies on the submission of their inputs for the plan.
7. Evaluate and report on the effectiveness of capacity building activities and training programs provided under UIIDP by the regional and ULG levels
8. Prepare training plan, training materials and provide training to regional and ULG staff on capacity building.
9. Coordinate and provide assistance to other RMT staff in the preparation of training program and delivery of training by all thematic areas under UIIDP.
10. Review the Annual Performance Assessment Reports of ULGs regarding capacity building and provide comments
11. Perform any other duties assigned by the Regional Program Coordinator.

The Capacity Building Specialist will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

##### 1. DLI 1 - Minimum Conditions

**1.1. ULG has produced and the council approved a:**

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19).*

**1.2. Key staff in place/coordination team with the following staff under the coordination of the city manager:** full-time focal persons from relevant departments for revenue, procurement, environmental, social management, M&E, PFM, and civil engineering, AMP expert, Urban planning and land management, plus an internal auditor.

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.1. Planning and Budgeting**

**2.1.5. Capital building performance**

2.1.5.1. Capacity building planning: (a) The capacity building plan has been produced through a systematic assessment and gap analysis in the main thematic focus areas.; (b) The capacity building plan includes activities covering at least two capacity building modalities. (c) The capacity building activities are clearly traceable to the identified capacity building gaps

2.1.5.2. Implementation of capacity building activities: (a) More than 80% of capacity building activities included in the capacity building plan successfully completed; (b) More than 80% of the funds budgeted in the capacity building plan are utilized

**Qualifications and Skills Required**

The Capacity Building Specialist should possess the following qualifications/competencies:

* BA or B.Sc. Degree or higher in Management, Human Resource Development, Urban Management, Business Administration, Public Administration or related.
* A minimum of 7 years of general experience of which 3 years specific experience in institutional and human resource development, capacity building and training.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent command of computer programs and applications
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at BUDHo offices in the regional capital with regular travel to cities. Contract: one-year contract, with possible extension upon satisfactory performance of the consultant as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BUDHO will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The Capacity Building Specialist will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Capacity Building Specialist will be accountable to the Regional Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHo will sign the contract with the Capacity Building Specialist on behalf of the region. The BUDHo will also be responsible for all payments to the Capacity Building Specialist once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Report on support to regional implementing Bureaus/Agencies and ULGs in carrying out the capacity self-assessment and gap analysis.
* Report on supporting cities in formulating and developing their capacity building strategies, plans and budgets
* Checklists and review comments on the annual capacity building plans of participating ULGs.
* Monitoring and evaluation reports on performance of region and ULGs capacity building plans
* UIIDP Regional Capacity Building Plan
* Evaluation report on the effectiveness of capacity building activities and training programs provided under UIIDP by the regional and ULG levels
* Training plan, training materials and training reports on capacity building
* Review comments on Annual Performance Assessment Reports of ULGs regarding capacity building.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Capacity Building Specialist activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Capacity Building Specialist’s work three weeks before the end of the assignment; and
* Final Report of the Capacity Building Specialist’s work, one week after receiving comments from BUDHO.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the Capacity Building Specialist:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR LOCAL ECONOMIC DEVELOPMENT (LED) & JOB CREATION SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Local Economic Development & Job Creation Specialist who will support all UIIDP participating cities the region in designing and implementing local economic development strategies that result in sustainable job creation.

**Scope of the Assignment**

The Local Economic Development & Job Creation Specialist will be responsible for the following specific duties and responsibilities:

1. Disseminating he UIIDP Local Economic Development Manual and the UIIDP Job Creation & Measurement Guideline to all participating UIIDP cities in the region
2. Supporting cities in formulating and developing their local economic development strategies and plans that will result in sustainable job creation.
3. Support UIIDP participating cities in the preparation of the ULG Local Economic Development Plan and Job Creation Plan as per the manual and guideline.
4. Review ULG CIPs to ensure that the necessary public private dialogue has taken place as part of their preparation to address the constraints faced by potential investors and existing businesses.
5. Support ULGs in ensuring that they arrange at least 2 public private dialogue/open meetings with city mayor and a wide range of private sector representatives in a properly structured meeting where there will be among other things, presentation of constraints and economic potentials to inform the CIP. The meetings should come up with agreed actions.
6. Ensure that all the ULGs implement the agreed actions as soon as possible.
7. Monitoring, evaluating and reporting performance of ULGs Local Economic Development Plans and Job Creation Plans.;
8. Preparing and disseminating performance standards and indicators for the ULGs to use on local economic development;
9. Collecting, analyzing and storing data into useful information for end users and maintaining a data bank for local economic development and job creation;
10. Providing technical advice to ULGs on matters related to local economic development and job creation;
11. Evaluate the effectiveness of local economic development strategies and job creation strategies;
12. Work with ULGs to identify and resolve the challenges that face MSEs and prevent them from surviving or graduating to the next level. Some of the challenges identified so far are lack of access to finance, weak backward linkages to access raw materials and weak forward linkages to buyers and markets, location issues in that MSE business premises are located far away from potential customers.
13. Work with the ULGs and put in place a mechanism and procedure for the selection of some MSEs based on open business plan competition.
14. Engage with the responsible authority at regional level to follow up with the Medium Manufacturing Enterprises Development Units in the ULGs that graduated MSEs continue to receive support from these Units.
15. Prepare training plan, training materials and provide training to ULG staff on local economic development and job creation.
16. Review the Annual Performance Assessment Reports of ULGs regarding local economic development and job creation and provide comments
17. Perform any other duties assigned by the Regional Program Coordinator.

The Local Economic Development & Job Creation Specialist will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

##### 1. DLI 1 - Minimum Conditions

ULG has produced and the council approved a:

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19).*

**Note: For the LED & Job Creation Specialist, this will be regarding whether public private dialogue has informed the CIPs and whether job creation figures are correctly captured in the CIPs**

##### DLI 4 - Performance on Local Economic Development, Urban Resilience and Gender Mainstreaming (ULG Performance Measures)

**4.1. Local Economic Development**

**4.1.1. Job Creation**

4.1.1.1. No. of people employed through infrastructure works under UIIDP against annual target

4.1.1.2. No. of people employed in firms provided with serviced land[[32]](#footnote-32) and/or MSE sheds[[33]](#footnote-33) under CIP against annual target

**4.1.2. Public private dialogue**

4.1.2.1. ULG held at least 2 public private dialogue/open meetings with city mayor and a wide range of private sector representatives -structured meeting, mayor participation, presentation of constraints and economic potentials to inform the CIP.

4.1.2.2. Implementation of min. 2 agreed actions from each meeting

**4.1.3. Micro Small Enterprise**

4.1.3.1. No. of MSEs supported through open business plan competitions, against annual target

4.1.3.2. No. of MSE One Stop Center (OSC) supported to be fully functional against annual target

4.1.3.3. No. of graduated MSEs provided with support from the Medium Manufacturing Enterprises Development Unit in the city administration, against annual target

**Qualifications and Skills Required**

The Local Economic Development & Job Creation Specialist should possess the following qualifications/competencies:

* A minimum of BA or B.Sc. Degree in Economics or Development Economics, Urban Management or related
* A minimum of 7 years of general experience of which 3 years specific experience in national, regional or local economic development and in working with regional and urban local governments in formulating a framework or strategy for urban local economic development, including the promotion of micro and small-scale enterprises.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions.
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at BUDHo offices in the regional capital with regular travel to cities. Contract: one-year contract, with possible extension upon satisfactory performance of the Local Economic Development & Job Creation Specialist as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BUDHO will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The consultant will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Local Economic Development & Job Creation Specialist will be accountable to the Regional Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHo will sign the contract with the Local Economic Development & Job Creation Specialist on behalf of the region. The BUDHo will also be responsible for all payments to the Local Economic Development & Job Creation Specialist once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Report on supporting cities in formulating and developing ULGs local economic development strategies.
* Report on support to UIIDP participating cities in the preparation of ULG Local Economic Development Plan and Job Creation Plan.
* Report on review of ULG CIPs to ensure that the necessary public private dialogue has taken place as part of their preparation.
* Report on support given to ULGs in ensuring that they arrange at least 2 public private dialogue/open meetings with city mayor and a wide range of private sector representatives
* Monitoring and evaluation report on performance of ULGs Local Economic Development Plans and Job Creation Plans.
* Performance standards and indicators for the ULGs to use on local economic development;
* Data bank for local economic development and job creation.
* Evaluation reports on effectiveness of local economic development strategies and job creation strategies.
* Mechanism and procedure for the selection of some MSEs based on open business plan competition
* Report on challenges that face MSEs and prevent them from surviving or graduating to the next level and remedial measures
* Review comments on Annual Performance Assessment Reports of ULGs regarding local economic development and job creation.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Local Economic Development & Job Creation Specialist activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Local Economic Development & Job Creation Specialist’s work three weeks before the end of the assignment; and
* Final Report of the Local Economic Development & Job Creation Specialist’s work, one week after receiving comments from BUDHO.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the Local Economic Development & Job Creation Specialist:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR URBAN RESILIENCE & DISASTER RISK MANAGEMENT SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Urban Resilience and Disaster Risk Management Specialist who will support all UIIDP participating cities in the region in strengthening urban resilience through (a) a better understanding of risks of shocks and stresses and incorporating resilience into land use planning/ development; and (b) undertaking measures to mitigate the risks through disaster and climate risk management, and improving regulatory decisions and emergency preparedness.

**Scope of the Assignment**

The Urban Resilience and Disaster Risk Management Specialist will have the following specific duties and responsibilities:

1. Dissemination of the Urban Resilience and Disaster Risk Management Manual
2. Support cities in the establishment of the urban Disaster Risk Management (DRM) institutional framework at city level (DRM Unit with dedicated staff and budget) by extending existing national and regional DRM structure to the cities.
3. Support the cities in ensuring that each UIIDP participating city’s DRM unit develops an Emergency Response Plan and DRM strategy including: (a) securing early warning on flooding, drought and high winds, and alerts for earthquakes and landslides; (b) ensuring community disaster preparedness; (c) developing contingency planning and budgeting; and (d) exploring risk financing and insurance options.
4. Provide support to cities in undertaking an assessment of the fire support services to identify the specific training and equipment needed to improve response capacity for densely populated buildings and neighborhoods.
5. Based on the abovementioned assessment of fire support services, support cities to develop a local plan to provide mobile firefighting units and search and rescue equipment appropriate for city responses to fire incidents.
6. Prepare and disseminate performance standards and indicators for the ULGs to use on urban resilience and disaster risk management;
7. Monitor and evaluate performance of ULGs Disaster Risk Management Strategies/Plans and Emergency Response Plans;
8. Monitoring compliance with UIIDP POM and other manuals in regard to urban resilience and disaster risk management;
9. Prepare training plan, training materials and provide training to regional and ULG staff on urban resilience and disaster risk management.
10. Review the Annual Performance Assessment Reports of ULGs regarding urban resilience and disaster risk management and provide comments
11. Perform any other duties assigned by the Regional Program Coordinator.

The Urban Resilience and Disaster Risk Management Specialist will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

##### 1. DLI 1 - Minimum Conditions

ULG has produced and the council approved a:

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19).*

**Note: The Urban Resilience and Disaster Risk Management Specialist will review all CIPs to check what projects cities have incorporated in the CIPs that address urban resilience and disaster risk management and provide guidance as necessary.**

##### DLI 4 - Performance on Local Economic Development, Urban Resilience and Gender Mainstreaming (ULG Performance Measures)

**4.2. Urban Resilience**

**4.2.1. Disaster risk management and emergency response**

**4.2.1.1. Disaster and Climate Risk Management**

*Evidences to be produced by cities*

Risk map(s) developed showing flood/landslide/earthquake risk areas, prepared in accordance to guidelines developed by MUDHo and Disaster Risk Management Commission.

**4.2.1.2. Emergency Response institutional structure**

*Evidences to be produced by cities*

Emergency response unit established with minimum staffing including disaster risk management officer, rapid assessment officer, and emergency response officer.

**4.2.1.3. Emergency Response Plan**

*Evidences to be produced by cities*

Emergency Response Plan developed and approved by the city council/mayor.

**Qualifications and Skills Required**

The Urban Resilience and Disaster Risk Management Specialist should possess the following qualifications/competencies:

* A minimum of BA or B.Sc. Degree in Environmental Sciences, Natural Resources Management, Sociology, Social Work, Public Health, Disaster Risk Management, Climate change or related.
* A minimum of 7 years general experience of which 3 years specific experience in environmental management, climate change, urban resilience and disaster risk management.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions.
* Knowledge of the urban sector and climate change issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at BUDHo offices in the regional capital with regular travel to cities. Contract: one-year contract, with possible extension upon satisfactory performance of the Urban Resilience and Disaster Risk Management Specialist as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BUDHO will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of this assignment. The Urban Resilience and Disaster Risk Management Specialist will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Urban Resilience and Disaster Risk Management Specialist will be accountable to the Regional Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHo will sign the contract with the Urban Resilience and Disaster Risk Management Specialist on behalf of the region. The BUDHo will also be responsible for all payments to the Urban Resilience and Disaster Risk Management Specialist once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Assessment report on needs and requirements regarding urban resilience and disaster risk management
* Establishment of the urban Disaster Risk Management (DRM) institutional framework at city level (DRM Unit with dedicated staff and budget).
* Report on preparation by each of the participating UIIDP cities in the region of their ULG Emergency Response Plan and DRM strategy including: (a) securing early warning on flooding, drought and high winds, and alerts for earthquakes and landslides; (b) ensuring community disaster preparedness; (c) developing contingency planning and budgeting; and (d) exploring risk financing and insurance options.
* Report on status of, and support provided to cities in undertaking an, assessment of the fire support services and specific training and equipment needed to improve response capacity for densely populated buildings and neighborhoods.
* Report on support provided to cities to develop a local plan to provide mobile firefighting units and search and rescue equipment appropriate for city responses to fire incidents.
* Performance standards and indicators for the ULGs to use on urban resilience and disaster risk management;
* Monitoring and evaluation report on performance of ULGs Disaster Risk Management Strategies/Plans and Emergency Response Plans;
* Training plan, training materials and training reports on urban resilience and disaster risk management.
* Review comments on the Annual Performance Assessment Reports of ULGs regarding urban resilience and disaster risk management.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Urban Resilience and Disaster Risk Management Specialist activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Urban Resilience and Disaster Risk Management Specialist’s work three weeks before the end of the assignment; and
* Final Report of the Urban Resilience and Disaster Risk Management Specialist’s work, one week after receiving comments from BUDHO.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the Urban Resilience and Disaster Risk Management Specialist:

* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

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# TERMS OF REFERENCE FOR GENDER SPECIALIST

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Gender Specialist who will support the region and UIIDP participating cities in the region on gender mainstreaming and ensuring gender responsiveness in urban policies, strategies, plans, programs and projects, including UIIDP.

**Scope of the Assignment**

The Gender Specialist will be responsible for the following specific duties and responsibilities:

* Dissemination of the Gender Development Manual.
* Ensure that there is a gender specialist in place in all UIIDP participating cities in the WCO and UIIDP focal persons team.
* Support cities in preparing the Annual Gender Development Plan and Budget as per the template and guidelines in the Gender Development Manual.
* Prepare and disseminate performance standards and indicators for the ULGs to use on gender mainstreaming and responsiveness;
* Monitoring and evaluating performance of ULGs Annual Gender Development Plan
* Evaluates the effectiveness of gender mainstreaming and responsiveness on the UIIDP;
* Prepare training plan, training materials and provide training (including TOTs) to regional and ULG staff on women’s rights in work place and to make staff more sensitive to gender equality and women empowerment and to be more competent in preparing the annual gender development plan.
* Review the Annual Performance Assessment Reports of ULGs regarding gender mainstreaming and responsiveness and provide comments;
* Perform any other duties assigned by the Regional Program Coordinator.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (50%) responsibility, and be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by UIIDP participating cities in his assigned region (s):-

##### 1. DLI 1 - Minimum Conditions

ULG has produced and the council approved a:

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19)*

**Note: The Gender Specialist will review the gender responsiveness of the CIP, especially regarding the level of women participation in identification and prioritization of projects and the number ofwomen employed through infrastructure works under UIIDP. He/she will then provide guidance to regions/ULGs as necessary.**

##### DLI 4 - Performance on Local Economic Development, Urban Resilience and Gender Mainstreaming (ULG Performance Measures)

**4.3. Gender Mainstreaming**

**4.3.1. Women’s voice and rights**

**4.3.1.1. Women’s participation in decision making process**: (a) total women involved in all consultation meetings > **50**%

(b) women involved in the meeting for the final choice of investments > **50**%

The percentage of women involved will be for the current year.

\*Linked to PM 2.1.2 citizen participation

Invitation letters or call for the meeting notice posted in the public places or through mass media for the public to attend public consultations meeting indicating date of meeting and purpose of the meeting. Public consultations should be heldat least two times: (a) initial consultation, organized separated for women and men, and (b) meeting for the final choice of investments, invited both women and men. **Evidence**: Signed attendance sheets of the meetings participants indicating sex of participants, community or Citizens/ Social groups they represent both for: initial consultation and for the final choice of investments

**4.3.1.2. Women’s voice heard**

\*Linked to PM 2.1.2 citizen participation

**Evidence:** Minutes of participatory consultations indicating a compiled list of issues raised by women during consultations,

**4.3.1.3. No. of awareness raising workshop/training on women’s right in workplace against annual target**

Workshop/training on women’s right in workplace (gender-based violence, sexual harassment, and equal payment) targeting both men and women.

Annual target must be consistent with capacity building plan and gender development plan.

**Evidence**: Program/workshop attendance sheet (aggregated by gender), capacity building plan and gender development plan.

**4.3.2. Gender Mainstreaming System**

**4.3.2.1. Gender-balanced employment:** (a). Proportion of women public professionals in city municipal service administration; (b) Proportion of women as a head of office and above in city municipal service administration. **Evidence**: ULG HR plan.

**4.3.2.2. (a) Gender focal person dedicated for UIIDP; (b) Annual gender and development planning and budgeting**

**Evidence**:

1. Gender focal person dedicated for UIDP in place in WCO or/and UIIDP coordination team”

2. Annual gender development plan and budget (template/manual in POM): i) approved by the city council, ii) consistent with ULG annual plan and budget, capacity building plan, and gender mainstreaming guideline\*

NB. \*Gender mainstreaming guideline is only valid when Gender and Youth Mainstreaming Directorate in MUDHo developed and disseminated it.

**4.3.2.3. (a) Quarterly meeting with gender focal persons from each sector Office; (b) More than 80% of gender activities in the gender plan successfully completed and more than 80% of the funds budgeted in the gender plan are utilized.**

**Evidence**:

1.Signed attendance sheet of focal persons (indicating gender, occupation) from each sector Office and meeting notes (quarterly)

2. Compare annual gender plan to annual gender progress report

**4.3.3. Economic Empowerment**

**4.3.3.1. % of women employed through infrastructure works under UIIDP**

\*linked to 4.1.1.1 LED indicator

**Evidence**:

1. No. of people employed in infrastructure works; disaggregated by gender and age
2. Data collected from contractor’s log books, job registration in the M&E system of projects, etc.

**4.3.3.2. % of women employed in firms provided with serviced land[[34]](#footnote-34) and/or MSE sheds[[35]](#footnote-35) under CIP**

\*linked to 4.1.1.2 LED indicator

**Evidence**:

1. No. of people employed in firms provided with serviced land and/or MSE sheds in the last year against targets in CIP

2. Data collected from ULG’s records, APA consultants to visit minimum 3 plots of land or MSE sheds to verify firms are operational, etc

**4.3.3.3. % of women-headed MSEs supported to access working premises/sheds and/or serviced land under UIIDP**

**Evidence**:

1. Records of MSE office
2. Data collected from ULG’s records

**4.3.3.4. % of women-headed MSEs awarded with civil contracts under UIIDP**

**Evidence**:

1. Records of MSE office
2. Data collected from ULG’s records

**Qualifications and Skills Required**

The Gender Specialist should possess the following qualifications/competencies:

* A minimum of BA or B.Sc. degree in Women & Gender Studies, Sociology, Psychology, Social Work, Social Development, Social Psychology or gender related
* A minimum of 7 years of general experience of which 2 years specific experience in women affairs and gender issues.
* Excellent writing and communication skills in English, excellent report writing skills.
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018. The consultant will be based at BUDHo offices in the regional capital with regular travel to cities. Contract: one-year contract, with possible extension upon satisfactory performance of the Gender Specialist as per the UIIDP Staff Performance Evaluation and Incentive Scheme. Remuneration: Negotiable / dependent on qualifications and experience.

**Inputs provided by the Client**

BUDHO will provide reasonable and standard office space and office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of this assignment. The Gender Specialist will be provided, for official business, with internet access, telephone and fax facilities.

**Management Procedures**

Contractually, the Gender Specialist will be accountable to the Program Coordinator to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation of UIIDP, the BUDHO will sign the contract with the Gender Specialist on behalf of the region. The BUDHO will also be responsible for all payments to the Gender Specialist once the work has been accepted and cleared for payment.

**Expected Deliverables**

**Specific Deliverables**

* Report on staffing situation of Gender focal persons in all UIIDP participating cities in the region.
* Report on support provided to cities in preparing the Annual Gender Development Plan and Budget.
* Performance standards and indicators for the ULGs on gender mainstreaming and responsiveness.
* Monitoring and evaluation report of performance of ULGs Annual Gender Development Plan.
* Evaluation Report on the effectiveness of gender mainstreaming and responsiveness on the UIIDP;
* Training plan, training materials and training/workshop reports on gender mainstreaming and responsiveness and women’s rights in work place.
* Review comments on the Annual Performance Assessment Reports of ULGs regarding gender mainstreaming and responsiveness.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Gender Specialist activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Gender Specialist’s work three weeks before the end of the assignment; and
* Final Report of the Gender Specialist’s work, one week after receiving comments from BUDHO.

**Evaluation Criteria**

The following two technical evaluation criteria will be followed to select the Gender Specialist:

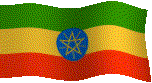
* Qualification **(40%).** This criterion further divided into two:
  + General Educational Status (1**0%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  + Relevant Qualification **(30%)**.
  + Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
  + Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
* Total years of Experience (60%). This criterion further divided into two:
  + General Experience (20%).
  + Relevant Experience (40%).

# Organization, Staffing & TORs for ULG Focal Persons



**MINISTRY OF URBAN DEVELOPMENT & HOUSING**

**URBAN REVENUE ENHANCEMENT, FUND MOBILIZATION AND FINANCE BUREAU**

****

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

**ORGANIZATION AND TERMS OF REFERENCE**

**FOR**

**ULG FOCAL PERSONS**

**Urban Revenue Enhancement, Fund Mobilization & Finance Bureau**

**Ministry of Urban Development & Housing**

**Final Draft, March 11, 2018**

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# ORGANIZATION, STAFFING & TORs FOR ULG FOCAL PERSONS

**ULG FOCAL PERSONS TEAM**

**The mayor and his/her office in each ULG is responsible for overall performance of the ULG.** It ensures compliance with all financial management, procurement, and Operation environmental and social safeguards and regulations. It also facilitates access to the information required as part of the APA.

**Each city is required to establish a UIIDP Coordination Team, reporting to the City Manager. This team will be responsible for day-to-day coordination of the Operation, working closely with relevant offices of the city.** The team should consist full-time focal persons from the relevant departments for each Operation focus area (as defined in the minimum conditions). Their key responsibilities would include liaising with respective city offices to ensure implementation are in accordance with the Operation’s environmental and social safeguards and fiduciary guidelines; monitoring, reporting and disseminating information about the Operation (including contract awards, physical and financial progress of works contracts etc.), contribute to capacity building activities, and act as resource persons for the Operation.

**The various offices of the city manager will be responsible for implementation of infrastructure and activities supported through Program Funds**. Implementation of infrastructure, services and activities supported through Program funds are mainstreamed in each ULG and carried out by the relevant offices in the city administration.

**The Offices of Finance and Economic Development** **(OFEDs)** **hold overall fiduciary responsibilities**. They will ensure that all Operation funds are included in Integrated Budget and Expenditure (IBEX) and that financial reports are submitted to ORAG as soon as possible after the end of the Ethiopian fiscal year.

**The ethics liaison unit of the ULG is responsible for dealing with fraud and corruption, handling related complaints and consolidating reporting of** complaints on environment and social aspect as well as procurement.[[36]](#footnote-36)

**City councils are responsible for reviewing and approving** cities’ capital investment plans, revenue enhancement plans, asset management plans and capacity building plans.

**Each ULG will also establish a capacity building unit.** This will coordinate the planning and implementation of capacity building activities, and reporting of these activities.

**Federal Urban Job Creation and Food Security Agency** is responsible for leading initiatives relating to supporting micro, small and medium size enterprises.

**The Women and Children Affairs Office (WCO)** is responsible for leading and coordinating initiatives identified in the gender action plan and champion gender mainstreaming in planning, M&E, reporting and management.

**A disaster risk management (DRM) unit is proposed to be established in each ULG.** This will lead efforts in risk assessment, develop emergency response plans and related capacity building activities.

# STAFFING OF THE ULG FOCAL PERSONS UNDER UIIDP

|  |  |  |
| --- | --- | --- |
| **Specialization** | **Number of positions** | |
| **Existing ULGDP II** | **UIIDP** |
| Program Coordinator | 1 | 1 |
| Social Development Focal Person | 1 | 1 |
| Budgeting, Planning and Participation Focal Person | 1 | 1 |
| Procurement Management Focal Person | 1 | 1 |
| Infrastructure Asset Management Focal Person | 1 | 1 |
| Environmental Management Focal Person | 1 | 1 |
| Project Engineer | 1 | 1 |
| M&E Focal Person | 1 | 1 |
| Municipal Finance/ Revenue Focal Person |  | 1 |
| Urban Planning and Land Management Focal Person |  | 1 |
| LED & Job Creation Focal Person |  | 1 |
| Urban Resilience Focal Person |  | 1 |
| Capacity Building Focal Person |  | 1 |
| Gender Focal Person |  | 1 |
| Financial Management Focal Person |  | 1 |
| Accountant – based at OFED | 1 | 1 |
| **Total** | **9** | **16** |

**…………………………………….. CITY ADMINISTRATION**

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

# TERMS OF REFERENCE FOR ULG PROGRAM COORDINATOR

**Objective of the TOR**

The objective of the assignment is to manage the ULG Focal Persons team and to effectively and efficiently manage the UIIDP as described in the Program Operations Manual and associated documents so as to ensure that a) the ULG achieves the UIIDP development objectives, expected outcomes and key results and b) the ULG achieves satisfactory performance or better in the annual performance assessment of disbursement linked indicators and performance measures that are required to support UIIDP investments in infrastructure and services and in capacity building.

**Scope of the Assignment**

The ULG Program Coordinator will have the following duties and responsibilities: -

1. Management of the ULG Focal Persons team; briefing the City Manager and City Mayor on critical UIIDP activities and issues; resolution of issues that require higher level decision; and putting in place an effective modern management and administrative system for the team that will enable it to achieve its expected results.
2. Supervise and manage the ULG Focal Persons team to ensure that they perform their duties to enable the city to fulfil the UIIDP Minimum Conditions every year of the program and to achieve satisfactory performance in the UIIDP Performance Measures and Performance Indicators.
3. Dissemination of the UIIDP Program Operations Manual (POM) to all relevant city officials and ULG Focal Persons team and provide the necessary orientation and training on the POM to the staff;
4. Monitoring and reporting on ULG’s compliance with the POM and other Manuals.
5. Draft and secure Performance and Participation Agreements, for every year of the UIIDP implementation, to be signed by the City Mayor and BUDHo.
6. Ensure that there is continuous and proper communication and coordination between the ULG focal persons group and the regional technical committee.
7. Dissemination to, and training of city officials on the Annual Performance Assessment Guideline (APAG) and other relevant manuals.
8. Put in place a system for record keeping and reporting (quarterly, semi-annual and annual) on the achievements against the service delivery standards performance indicators to enable them to provide acceptable reports to the APA.
9. Preparation of the Annual Work Plan (AWP) for the ULG Focal Persons team covering the activities to be carried out by the Focal Persons team during each year. The AWP should further be broken down into detailed quarterly and monthly Action Plans to be used for achievement of the AWP. Monitor and report to the City Manager and City Mayor on implementation and achievements of the Annual Work Plan (AWP).
10. Coordinate the preparation and submission by the ULG Focal Persons team of their Strategy and Action Plan to address weaknesses and gaps identified in the APAs. Prepare Consolidated Strategy and Action Plan for the city and submit to the City Manager, City Mayor and the Regional Coordinator.
11. Arrange and conduct at least fortnightly meetings of the ULG Focal Persons team to check on progress on all thematic areas covered by the UIIDP and the AWP, to address issues and problems encountered by the team members and to replan the team’s activities. Prepare Agenda, Attendance Register and Minutes of each meeting.
12. Receive from the Regional Program Coordinator and disseminate the World Bank Listing of Ineligible Firms & Individuals to the city procurement department every six months (in June and December).
13. Support for, and participation in, World Bank and MUDHo six monthly implementation support missions and other missions as well as quality assurance reviews as and when the city is selected for such missions/reviews.
14. Submit to the City Manager, City Mayor and Regional Coordinator, the UIIDP quarterly, semi-annual and annual reports that are prepared by the Monitoring and Evaluation Focal Person.
15. Carry out annual performance evaluation of all ULG Focal Persons as per the UIIDP Staff Performance Evaluation and Incentive Scheme established by BUDHo.
16. Perform any other duties assigned by the City Manager and City Mayor.

The ULG Program Coordinator will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have 100% responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by all the UIIDP participating cities in the region:-

**1. DLI 1 - Minimum Conditions**

All eight (8) minimum conditions should be achieved by the city.

**2. Performance Measures, DLI 2, DLI 3, DLI 4**

100% responsibility for achievement of the annual expected (average) score for the city on all UIIDP performance measures DLI2, DLI3, and DLI 4 as follows:-

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **DLI No.** | **Name of DLI** | **Year 1** | **Year 2** | **Year 3** | **Year 4** |
|  | Assessed Performance Years (EFY) | 2010  (Prior) & 2011  (Current) | 2011  (Prior) & 2012 (Current) | 2012  (Prior) & 2013  (Current) | 2013  (Prior) & 2014  (Current) |
|  | Allocation /Implementation Year (EFY) | 2012 | 2013 | 2014 | 2015 |
| 2 | ULGs have strengthened institutional performance. | 70 | 75 | 80 | 85 |
| 3 | ULGs have implemented quality infrastructure and maintenance activities and ensured value for money | 70 | 75 | 80 | 85 |
| 4 | ULGs have strengthened performance on LED, urban resilience and gender mainstreaming |  | 60 | 65 | 70 |

**Qualifications and Skills Required**

The ULG Program Coordinator should possess the following qualifications: -

The position requires a dynamic, energetic and innovative person who is highly qualified with Masters degree or higher in Management, Business Administration, Public Administration, Business Management, Urban Management, Civil Engineering, Municipal/Urban Engineering, Highway Engineering, Water/Hydraulic Engineering, Sanitary Engineering, Structural Engineering or Building Technology, Construction Technology and Management, Infrastructure Engineering, Geotechnical Engineering, Finance, Economics, Sociology. Environmental Science, Natural Resource Management, Land Management, Urban Planning. Additional qualification such as at least BA or BSc in either Engineering or Asset Management or Project Management with relevant experience will be an advantage. He/she should have a track record of achievements in leadership, strategic planning and change management, human resource management, program or project management, project planning, implementation and management of institutional and infrastructure development projects.

He/She shall have a minimum of 7 years general experience of which 3 years specific experience in leadership, strategic planning and change management, human resource management, program or project management, project planning, implementation and management of institutional and infrastructure development projects. He/She will have excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals, resolving conflict successfully). He/she shall also have excellent writing and communication skills in both Amharic and English with good knowledge of the urban sector in Ethiopia, World Bank and GoE procurement and safeguard policies and procedures.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018 and expected to end in July 2023.

**Management Procedures**

Operationally, the ULG Program Coordinator will report to the City Manager to whom all reports and deliverables as per the TOR should be submitted.

**Expected Deliverables**

**Specific Deliverables:**

1. Performance and Participation Agreements, for every year of the UIIDP implementation, between City Mayor and BUDHo.
2. Annual Work Plan (AWP) for the ULG Focal Persons team.
3. Monitoring report on implementation and achievements of the Annual Work Plan (AWP).
4. System for record keeping and reporting (quarterly, semi-annual and annual) on the achievements against the service delivery standards performance indicators
5. Agenda, Attendance Registers and Minutes of the fortnightly meetings of the ULGs focal persons team.
6. UIIDP quarterly, semi-annual and annual reports submitted to City Manager, City Mayor and Regional Program Coordinator.
7. Annual performance evaluation reports for all RMT staff as per the UIIDP Staff Performance Evaluation and Incentive Scheme.

**General Deliverables:**

* Inception Report and detailed work plan within three weeks of the commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the ULG Program Coordinator activities/ achievements during the month and plans for the next month.
* Draft Final Report of the ULG Program Coordinator’s work three weeks before the end of the assignment; and
* Final Report of the ULG Program Coordinator’s work, one week after receiving comments from City Manager.

**…………………………………….. CITY ADMINISTRATION**

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

# TERMS OF REFERENCE FOR PROJECT ENGINEER

**Objective of the TOR**

The objective of the TOR is to obtain the services of qualified and experienced Project Engineer with specific contract management experience, experience on design of civil engineering works and knowledge of environmental and sociological matters related to infrastructure and who will assist in the implementation of infrastructure projects and achievement of UIIDP disbursement linked indicators and performance measures.

**Scope of the Assignment**

The Project Engineer will be responsible for investment construction project preparation (including design and supervision consultancy), contract management, and development of capital investment plans, operations and maintenance, and participation of citizens in city development. Specific duties and responsibilities are:

1. Review and understand the requirements of the Capital Investment Planning (CIP) Manual and Template and attend training on the manual and template which will be provided by federal and regional levels
2. Preparation of draft bidding documents and review the draft bidding documents prepared by design consultants as per the regional public procurement proclamation, directives and Standard Bidding Documents.
3. Monitor, inspect and coordinate the design works being done by engineering consultants during the design and supervision during the implementation of the projects. Review the reports and other documentation produced by the Consultants.
4. Check the designs, bills of quantities and other documents that are submitted by design and construction supervision consultants in respect of the infrastructure rehabilitation projects and for conformity GoE requirements.
5. Follow-up that proper hand over of sites and mobilization formalities are fulfilled and assist in the layout of construction sites.
6. Coordinate closely with the concerned bodies and assist them in fulfilling their responsibilities in terms of contract management for smooth and successful completion of projects.
7. Supervise contractors and making periodic monthly progress reports of sites. Prepare physical progress report and submit to ULG Program Coordinator and City Manager.
8. Ensure the application of ESMS and RSG and consideration of the environment and social issues in the contract documents in cooperation with EMS Management consultants.
9. Keep proper records of all the infrastructure projects being implemented by the city under the CIP and review action plans/schedules and resources required as well as maintaining the project management, monitoring and reporting systems for UIIDP and others.
10. Prepare the Capital Investment Plans for the city
11. Support Resident Engineer in checking works, materials and workmanship to ensure compliance with the approved designs, drawings and specifications and provide feedback on the technical performance of the contractor and his consultant to the ULG Program Coordinator and City manager.
12. Examine alternative design proposals/variations submitted by the design and construction supervision consultants and contractor/client for execution and recommend appropriate solution.
13. Assist in settling any minor disputes (not litigation and arbitration) between contractor and municipality, inform relevant authorities at the earliest opportunity of any problem(s) or potential problem(s) which may arise from construction of the project and recommend possible solutions.
14. Examine with design and construction supervision consultants and recommend on settlement of the contractor's claims for extensions of time, payment for extra work etc.
15. Participate in, and support the preparation of training manuals, guidelines, seminars and workshops on infrastructure and related subjects.
16. Plan for the future in developing and planning for operations, maintenance and an environmental mitigation of infrastructure financed under the CIP such as roads, drainage and management of markets, slaughterhouses, landfills, solid and liquid waste disposals for sustainability of the infrastructure projects.
17. Provide the M & E focal person with all required information as per the M &E guideline on infrastructure implementation progress, maintenance and contract status on monthly, quarterly, semi-annual and annual basis;
18. Review and provide comments to the ULG Program Coordinator on the Annual Performance Assessment (APA) Reports of the city
19. Perform any other duties assigned by the ULG Program Coordinator.

The Project Engineer will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (100%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by the city:-

##### 1. DLI 1 - Minimum Conditions

**1.1 ULG has produced and the council approved a:**

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19).*

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.1. Planning and Budgeting**

**2.1.1. Capital Investment Plan with linkages among the annual budget, annual action plan, annual procurement plan, asset management plan and revenue enhancement plan**

2.1.1.1. Quality, consistency and alignment in rolling three 3-year CIP, to ensure effective rolling in the planning process

2.1.1.2. Capturing infrastructure, operations and maintenance including using the appropriate IBEX code in the annual budget

**2.1.3. Budget appropriation**

2.1.3.1. Budget approved by Council (Yes/No Indicator)

**2.1.4. Budget Reliability**

2.1.4.1. Variance between overall city budget and actual expenditure (each capital and recurrent) for previous EFY less than 10%. Yes/No

##### 3. DLI 3 - Service Delivery Performance (ULG Performance Measures)

**3.1. Urban Infrastructure Targets**

3.1.1. Physical targets as included in the Capital Investment Plan and annual work plan implemented. Note: Assessment is done only for all civil works projects planned in the CIP for that EFY and the final contract prices should be used in the calculation. The assessment table should consist of ALL CIP civil works projects and not just the sampled ones. (If there is no monthly engineering standard report no points will be given)

**3.2. Maintenance performance**

**3.2.1. Maintenance Budgeting and Implementation**

3.2.1.1. (a) Maintenance plan derived from the Assets Management Plan

* + - 1. (b) Maintenance Budget either 2% of the asset replacement cost or 10% of CIP budget (whichever is less)

3.2.1.2. Maintenance Budget either 2% of the asset replacement cost or 10% of CIP budget (whichever is less)

3.2.2.1. ULGs have developed a clear maintenance budget and actual implementation rate (review overall budget and utilization rate in final accounts of all maintenance projects to review actual maintenance) is minimum 80% (financial) of the planned. indicator:

**Qualifications and Skills Required**

The assignment will require a high level of technical competence in engineering especially in municipal/civil engineering works. The Project Engineer should therefore possess the following qualifications:

* B.Sc. degree or higher in Civil Engineering, Municipal/Urban Engineering, Highway Engineering, Water/Hydraulic Engineering, Sanitary Engineering, Structural Engineering or Building Technology, Construction Technology and Management, Infrastructure Engineering, Geotechnical Engineering or related field of studies with a track record of achievements in implementation of infrastructure projects.
* A minimum of 5 years’ engineering experience of which 2 years is in implementation and support of projects, design and supervision, contract management as well as appraisal of projects.
* Excellent writing and communication skills in both Amharic and English (all reports, documents and correspondences shall be in English and/or Amharic).
* Knowledge of the urban sector in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018 and finish in July 2023.

**Management Procedures**

Operationally, the Project Engineer will be accountable to the ULG Program Coordinator to whom all reports and deliverables as per the TOR should be submitted.

**Expected Deliverables**

**Specific Deliverables**

* Capital Investment Plans for the city
* Draft bidding documents.
* Review comments on designs, bill of quantities and draft bidding documents prepared by design consultants
* Feedback on the technical performance of contractors
* Monthly progress reports of construction sites/contracts
* Records of all the infrastructure projects being implemented by the city under the CIP
* Report to M & E focal person with all required information as per the M &E guideline on infrastructure implementation progress, maintenance and contract status on monthly, quarterly, semi-annual and annual basis
* Comments on the Annual Performance Assessment (APA) Reports of the city.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Project Engineer activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Project Engineer’s work three weeks before the end of the assignment; and
* Final Report of the Project Engineer’s work, one week after receiving comments from ULG Program Coordinator.

**…………………………………….. CITY ADMINISTRATION**

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

# TERMS OF REFERENCE FOR MUNICIPAL FINANCE FOCAL PERSON

**Objective of the TOR**

The objective of the assignment is to obtain the services of a Municipal Finance Focal Person who will be responsible for revenue enhancement of the City and achievement of the UIIDP Disbursement Linked Indicators and Performance Measures related to municipal finance and own source revenue enhancement.

**Scope of the Assignment**

The Municipal Finance Focal Person will be responsible for the city’s own source revenue enhancement and generation activities. Specific duties and responsibilities are:

1. Review and understand the requirements of the Revenue Enhancement Plan (REP) Manual and Template and attend training on the manual and template which will be provided by federal and regional levels
2. Identifying alternative sources of funds for infrastructure;
3. Updating the city’s annual Revenue Enhancement Plans (REPs) for the most recent year;
4. Developing generic and specific revenue enhancement strategies that will result in increase in municipal revenues of ULGs;
5. Ensuring the city provides counterpart funding for UIIDP as described in the POM and the PPAs;
6. Monitoring, evaluating and reporting on the city’s revenue mobilization strategies, actions and revenue collection;
7. Ensuring compliance with all laws policies and manuals by the city on municipal finance issues;
8. Review and provide comments on the Annual Performance Assessment (APA) Reports of the city regarding municipal finance and own source revenue enhancement
9. Provide the M & E focal person with all required information as per the M &E guideline on municipal finance and revenue enhancement/collection on monthly, quarterly, semi-annual and annual basis;
10. Perform any other duties assigned by the ULG Program Coordinator.

The Municipal Finance Focal Person will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (100%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by the city:-

##### 1. DLI 1 - Minimum Conditions

**1.4. Co-funding requirements (defined with various rates of co-funding depending on the type of ULG).**

The co-funding requirements are the following:

10 percent for the new ULGs in the DRS

20 percent for the new ULGs in the non-DRS regions.

40 percent for the “old” 16 ULGs. (ULGDP One)

50 percent for Dire Dawa and Harar.

A higher level of co-funding is promoted in the performance measures.

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.5. Own Source Revenue Enhancement**

**2.5.1. Revenue Enhancement Plan updated for prior year as per the Revenue Enhancement Plan Manual**

2.5.1.1. ULG has carried out detailed analysis of each main revenue source and potential as per the Revenue Enhancement Plan Manual. (manual and template to be provided)

2.5.1.2. ULG has developed strategies for revenue enhancement as per the Revenue Enhancement Plan Manual.

**2.5.2. ULG’s municipal revenues (excluding land lease income) increase**

**2.5.3. Revenue Planning: Percentage of municipal revenue (excluding land lease income) on business taxes, municipal rent and charges and fees collected against planned target for the previous EFY**

2.5.4. Co-funding from ULGs is above minimum threshold level – as percentage of performance grant amount

**Qualifications and Skills Required**

The assignment will require a high level of competence, knowledge and understanding of municipal finance issues. The Municipal Finance Focal Person should therefore possess the following qualifications:

* A minimum of BA or B.Sc. Degree in Economics, Accounting, Finance, Municipal Finance, Business Administration, Business Management, Urban Management, Public Administration, Public Financial Management or related.
* A minimum of 5 years’ general experience of which 2 years specific experience in local government finance and revenues (taxes, charges, levies, fees) and municipal revenue enhancement planning, revenue mobilization and collection.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions.
* Excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals), resolving conflict successfully.
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018 and finish in July 2023.

**Management Procedures**

Operationally, the Municipal Finance Focal Person will be accountable to the ULG Program Coordinator to whom all reports and deliverables as per the TOR should be submitted.

**Expected Deliverables**

**Specific Deliverables**

* Report on alternative sources of funds for infrastructure;
* Updated city’s annual Revenue Enhancement Plans (REPs) for the most recent year;
* Generic and specific revenue enhancement strategies that will result in increase in municipal revenues of ULGs;
* Report on provision of counterpart funding for UIIDP as described in the POM and the PPAs;
* Monitoring and evaluation report on the city’s revenue mobilization strategies, actions and revenue collection;
* Report to M & E focal person on required information as per the M &E guideline on municipal finance and revenue enhancement/collection on monthly, quarterly, semi-annual and annual basis
* Review comments on the Annual Performance Assessment (APA) Reports of the city regarding municipal finance and own source revenue enhancement

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Municipal Finance Focal Person activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Municipal Finance Focal Person’s work three weeks before the end of the assignment; and
* Final Report of the Municipal Finance Focal Person’s work, one week after receiving comments from ULG Program Coordinator.

**…………………………………….. CITY ADMINISTRATION**

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

# TERMS OF REFERENCE FOR FINANCIAL MANAGEMENT FOCAL PERSON

**Objective of the TOR**

The objective of the TOR is to obtain the services of qualified and experienced Financial Management Focal Person who will be responsible for all financial management issues and aspects of the UIIDP and the achievement of UIIDP disbursement linked indicators and performance measures related to financial management.

**Scope of the Assignment**

The Financial Management Focal Person will be responsible for all financial accounting, financial management, financial reporting regarding the UIDDP. Specific duties and responsibilities are:

1. Review and understand the requirements of the UIIDP POM and Financial Management Manual and attend training on the manual which will be provided by federal and regional levels
2. Participate and contribute in the production of the ULG Annual Budget, Capital Investment Plan, Revenue Enhancement Plan, Asset management Plan and Capacity Building Plan.
3. Ensure that all financial transactions are captured on IBEX and the required reports are produced from the system.
4. Carry out Monthly cash & bank reconciliation of the UIIDP account and submit report to BoFED timely as per regional regulations and manuals
5. Maintain and keep up to date the city’s fixed asset and inventory (stock) i.e. the fixed asset register stock register and bin card. Carry out count and reconciliation of the stocks.
6. Ensure that financial accounts/are closed on time and financial statements handed over to the Office of the Regional Auditor General (ORAG) for audit before the deadline of October 10 each years in undertaking the annual financial audits of ULGs.
7. Review the financial audit reports and implement recommendations of the audits and submit status report to ULG Program Coordinator on actions taken..
8. Prepare strategy and action plan for the ULG to move from qualified audits to unqualified (clean) audits and to maintain this status thereafter. Provide progress report to the ULG Program Coordinator on the actions taken.
9. Follow up on findings and recommendations from the internal audit reports. Provide progress report to the ULG Program Coordinator on the actions taken.
10. Review the annual VfM Audit Reports and follow up on recommendations and actions to be taken by the city. Provide progress report to the ULG Program Coordinator on the actions taken.
11. Provide the M & E focal person with all required information as per the M &E guideline on financial management issues on monthly, quarterly, semi-annual and annual basis.
12. Perform any other duties assigned by the ULG Program Coordinator.

The Financial Management Focal Person will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (100%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by the city.

##### 1. DLI 1 - Minimum Conditions

1.2. Submission of financial statements prepared from IBEX for the last FY (closure of the EFY accounts on time) by **October 10** each year.

1.3. Audit report from previous fiscal year should be issued by the deadline of January 7 of the following year and should not be adverse or with a disclaimer opinion.

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.3. Public Financial Management**

**2.3.1. Accounting and timely reporting**

2.3.1.1. Use of IBEX for all operations except Road Fund and other Focal Person projects done by ULGs that are not part of Budget coding system for IBEX

2.3.1.2. Timely financial reporting

2.3.1.3. Monthly cash & bank reconciliation reports submitted to BoFED timely as per regional regulations and manuals

**2.3.2. Audit Opinion**

2.3.2.1. The external financial audit report of the previous audit has a clean opinion

**2.3.3. Audit Compliance**

2.3.3.1. Evidence that audit queries raised in the external audit report have been acted on – 80% minimum

**2.3.4. Internal Audit – adherence to procedures with good practices, reflected by:**

2.3.4.1. Production of quarterly reports

2.3.4.2. Reports submitted to BoFED/ZOFED and copied to the Mayor

2.3.4.3. Evidence of follow-up of audit findings

**2.3.5. ULG level Fixed asset and inventory (stock) management weaknesses are addressed**

2.3.5.1. Record keeping- maintain fixed asset register, stock card and bin card

2.3.5.2. Count and Reconciliation

2.3.5.3. Segregation of duties

**Qualifications and Skills Required**

The Financial Management Focal Person should possess the following qualifications:

* A minimum of BA, B.Sc. Degree or higher in Accounting, Finance, Municipal Finance, Municipal Financial Management, Business Administration, Business Management, Public Financial Management or related
* A minimum of 5 years’ general experience of which 2 years’ experience in aspects of local government finance, accounting, internal audit , external audit (financial audit and performance audit)
* Excellent report writing skills in both Amharic and English.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions and preferably knowledge of IBEX system.
* Excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals), resolving conflict successfully.
* Knowledge of the urban sector issues in Ethiopia is an advantage**.**

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018 and finish in July 2023.

**Management Procedures**

Operationally, the Financial Management Focal Person will be accountable to the ULG Program Coordinator to whom all reports and deliverables as per the TOR should be submitted.

**Expected Deliverables**

**Specific Deliverables**

* Contributions to the production of the ULG Annual Budget, Capital Investment Plan, Revenue Enhancement Plan, Asset Management Plan and Capacity Building Plan.
* Monthly cash & bank reconciliation of the UIIDP account. Reports submitted to BoFED timely as per regional regulations and manuals
* Up to date city’s fixed asset and inventory (stock) i.e. the fixed asset register stock register and bin card. Report on count and reconciliation of the stocks.
* Financial accounts closed on time by not later than October 10
* Financial statements handed over to the Office of the Regional Auditor General (ORAG) for audit before the deadline of October 10 each year.
* Report on implementation of recommendations of the audits and status report on actions taken by the city.
* Strategy and action plan for the ULG to move from qualified audits to unqualified (clean) audits and to maintain this status thereafter. Progress report to the ULG Program Coordinator on the actions taken.
* Progress report to the ULG Program Coordinator on the follow up made and actions taken on findings and recommendations from the internal audit reports.
* Progress report to the ULG Program Coordinator on the follow up made and actions taken on findings and recommendations from the annual VfM Audit Reports
* Report to M & E focal person with all required information as per the M &E guideline on financial management issues on monthly, quarterly, semi-annual and annual basis.

**General Deliverables**

* Inception report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Financial Management Focal Person activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Financial Management Focal Person’s work three weeks before the end of the assignment; and
* Final Report of the Financial Management Focal Person’s work, one week after receiving comments from ULG Program Coordinator.

**…………………………………….. CITY ADMINISTRATION**

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

# TERMS OF REFERENCE FOR ENVIRONMENTAL MANAGEMENT FOCAL PERSON

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Environmental Management Focal Person who be responsible for screening all CIP projects for environmental impacts and ensuring that the required mitigation measures are planned and implemented as per the UIIDP Environmental and Social Management System Guideline (ESMSG). He/She will also be directly responsible for achievement of disbursement linked indicators and performance measures related to environmental management.

**Scope of the Assignment**

The Environmental Management Focal Person will have the following duties and responsibilities:

1. Review and understand the requirements of the UIIDP Environmental and Social Management System Guideline (ESMSG) and attend training on the guideline which will be provided by federal and regional levels
2. Provide overall coordination in the implementation of the ESMSG and apply the ESMSG to all CIP projects implemented by the city.
3. Establish the system of screening forms and EIA set out in the ESMSG, and oversee their smooth operation including the procurement (if required) of Environmental Management Consultants for any required EIA studies for catioegory 1 projects;
4. Screen all CIP projects as per the screening forms in the ESMSG and submit to the regional environmental protection authority for review and approval.
5. Prepare Environmental Management Plans of the Category 2 sub-projects and submit the regional environmental protection authority for review and approval.
6. Ensure that the environmental requirements are inserted in all infrastructure contracts and monitor their implementation prior to and during construction.
7. Ensure that EMPs are implemented in a timely manner - prior to commencement and during construction of civil works;
8. Conduct site visits during ULG investment project execution and operation to assess how environmental screening and mitigation measures are succeeding or have succeeded in minimizing impacts.
9. Monitor and report on the implementation of landfills and abattoirs (if any) as per the MUDHo manuals ensuring that the necessary safeguard actions are put in place and implemented as per the ESMSG.
10. Ensure that the REFA carries out an environmental performance audit of all the city’s CIP projects on an annual basis as stated in the UIIDP POM;
11. Review the annual Environmental Performance Audit Reports and follow up on recommendations and actions to be taken by the city. Provide progress report to the ULG Program Coordinator on the actions taken
12. Provide the M & E focal person with all required information as per the M &E guideline on environmental management issues on monthly, quarterly, semi-annual and annual basis.
13. Perform other duties assigned by the ULG Program Coordinator.

The Environmental Management Focal Person will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (100%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by the city.

##### 1. DLI 1 - Minimum Conditions

Safeguards: ULGs have demonstrated that they have established a functional system for environmental and social management including full time dedicated one environmental and one social safeguards person and updated ESMSG and RSG endorsed by City Councils

**2. DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.7. Environmental & Social Safeguards**

**2.7.1. Environmental and Social Screening**

2.7.1.1. All capital project screened and approved by REFA as per Environmental and Social Management System Guideline and RSG at planning stage (before construction starts) (Yes/No indicator)

2.7.1.2. ESIAs, ESMPs, RAPs, etc., prepared and approved by regional or regional designated authority as required (Yes/No indicator)

2.7.2. RAPs are implemented prior to commencement of construction. Environmental and Social Management Plans are implemented prior to construction and during construction and operation[[37]](#footnote-37) (Yes/No indicator). based on a sample of 3 projects that have ESMPs and/or RAPs and all three must comply

**Qualifications and Skills Required**

The assignment will require a good understanding and knowledge of environmental safeguards that are associated with projects such as the UIIDP and a high level of technical competence in the implementation of environmental and social safeguards.

The Environmental Management Focal Person should therefore possess the following qualifications:

* BA or B.Sc. degree or higher in Environmental Science, Environmental Engineering, Natural Resources Management or other related degree;
* A minimum of 5 years general experience of which 2 years specific experience in all aspects of urban infrastructure development and environmental safeguard impacts , health, and safety issues , screening against environment criteria in the planning stage and environmental and social impact assessments (ESIAs), environmental management plans (EMPs)
* Experience in working with local governments and/or knowledge of the urban sector in Ethiopia will be an added advantage.
* Excellent writing and communication skills in both Amharic and English.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018 and finish in July 2023.

**Management Procedures**

Operationally, the Environmental Management Focal Person will be accountable to the ULG Program Coordinator to whom all reports and deliverables as per the TOR should be submitted.

**Expected Deliverables**

**Specific Deliverables**

1. System of screening forms and EIA set out in the ESMSG.
2. Screening Reports of all CIP projects as per the ESMSG and approval of regional environmental protection authority.
3. Environmental Management Plans of the Category 2 sub-projects and approval of regional environmental protection authority.
4. Environmental requirements inserted in all infrastructure contracts. Monitoring report on their implementation prior to and during construction.
5. Site Visit Reports on investment project execution and operation and assessment on how environmental screening and mitigation measures are succeeding or have succeeded in minimizing impacts.
6. Monitoring report on the implementation of landfills and abattoirs (if any) as per the MUDHo manuals
7. Progress report to the ULG Program Coordinator on the follow up made and actions taken on environmental performance audit findings and recommendations.
8. Report to M & E focal person with all required information as per the M &E guideline on environmental management issues on monthly, quarterly, semi-annual and annual basis.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Environmental Management Focal Person activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Environmental Management Focal Person’s work three weeks before the end of the assignment; and
* Final Report of the Environmental Management Focal Person’s work, one week after receiving comments from ULG Program Coordinator.

**…………………………………….. CITY ADMINISTRATION**

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

# TERMS OF REFERENCE FOR SOCIAL DEVELOPMENT FOCAL PERSON

**Objective of the TOR**

The objective of the TOR is to obtain the services of qualified and experienced Social Development Focal Person who will be responsible for the social and resettlement issues related to infrastructure development and service delivery and for the achievement of UIIDP disbursement linked indicators and performance measure related to social development and resettlement.

**Scope of the Assignment**

The Social Development Focal Person will be responsible for all the social development and resettlement of any persons affected by the implementation of the capital investment projects by the city including those financed by the UIIDP. Specific duties and responsibilities are:

1. Review and understand the requirements of the UIIDP Resettlement System Guideline (RSG) and attend training on the guideline which will be provided by federal and regional levels.
2. Provide overall coordination in the implementation of the RSG and apply the RSG to all CIP projects implemented by the city.
3. Establish the system of screening forms, RAP set out in the RSG, and oversee their smooth operation including the procurement of consultants for any required CRMP or RAP studies;
4. Ensure that the city complies with all requirements of the RSG and RAPs;
5. Site visits during ULG investment project execution and operation to assess how social aspects are succeeding or have succeeded in minimizing impacts. Provide site visit reports to the ULG Program Coordinator.
6. Monitor the implementation of Resettlement action plans and ensure that RAPs are implemented in a timely manner - prior to commencement of civil works;
7. Provide the M & E focal person with all required information as per the M &E guideline on social development and resettlement issues on monthly, quarterly, semi-annual and annual basis.
8. Perform other duties assigned by the ULG Program Coordinator**.**

The Social Development Focal Person will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (100%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by the city.

**1. DLI 1 - Minimum Conditions**

Safeguards: ULGs have demonstrated that they have established a functional system for environmental and social management including full time dedicated one environmental and one social safeguards person and updated ESMSG and RSG endorsed by City Councils

**2. DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.7. Environmental & Social Safeguards**

**2.7.1. Environmental and Social Screening**

2.7.1.1. All capital project screened and approved by REFA as per Environmental and Social Management System Guideline and RSG at planning stage (before construction starts) (Yes/No indicator)

2.7.1.2. ESIAs, ESMPs, RAPs, etc., prepared and approved by regional or regional designated authority as required (Yes/No indicator)

2.7.2. RAPs are implemented prior to commencement of construction. Environmental and Social Management Plans are implemented prior to construction and during construction and operation[[38]](#footnote-38) (Yes/No indicator). based on a sample of 3 projects that have ESMPs and/or RAPs and all three must comply

**Qualifications and Skills Required**

The assignment will require a good understanding and knowledge of social safeguards that are associated with projects such as the UIIDP and a high level of technical competence in the implementation of RSGs.

The Social Development Focal Person should therefore possess the following qualifications:

* B.Sc. or BA degree or higher in Sociology, Social Work, Social Anthropology, Community Development or other related degree;
* A minimum of 5 years general experience of which 2 years specific experience in aspects of social welfare involving community development and urban development in general and social safeguard screening against resettlement and compensation criteria in the planning stage and resettlement action plans (RAPs) in the implementation stage of projects.
* Experience in working with local governments and/or knowledge of the urban sector in Ethiopia will be an added advantage.

Excellent writing and communication skills in both Amharic and English.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018 and finish in July 2023.

**Management Procedures**

Operationally, the Social Development Focal Person will be accountable to the ULG Program Coordinator to whom all reports and deliverables as per the TOR should be submitted.

**Expected Deliverables**

**Specific Deliverables**

* System of screening forms, RAP set out in the RSG,
* Site visit reports to the ULG Program Coordinator and assessment on how social aspects are succeeding or have succeeded in minimizing impacts..
* Monitoring report on the implementation of Resettlement action plans on ensuring that RAPs are implemented in a timely manner - prior to commencement of civil works;
* Reports to the M & E focal person with all required information as per the M &E guideline on social development and resettlement issues on monthly, quarterly, semi-annual and annual basis.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Social Development Focal Person activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Social Development Focal Person’s work three weeks before the end of the assignment; and
* Final Report of the Social Development Focal Person’s work, one week after receiving comments from ULG Program coordinator.

**………………………………….CITY ADMINISTRATION**

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

# TERMS OF REFERENCE FOR INFRASTRUCTURE ASSET MANAGEMENT FOCAL PERSON

**Objective of the TOR**

The objective of the TOR is to obtain the services of qualified and experienced Infrastructure Asset Management Focal Person who will be responsible for management of existing infrastructure assets and the planning for new infrastructure assets using the GIS-based Infrastructure Asset Management Plan Manual and Model and in the achievement of UIIDP disbursement linked indicators and performance measures related to infrastructure asset management and planning.

**Scope of the Assignment**

The Infrastructure Asset Management Focal Person will be responsible for the management of existing infrastructure assets and the planning for new infrastructure assets. Specific duties and responsibilities are:

1. Review and understand the requirements of the GIS-based Infrastructure Asset Management Plan Manual and AMP Model and attend training on the manual and model guideline which will be provided by federal and regional levels.
2. Maintain and update regularly the city’s GIS-based Asset Inventory.
3. Manage the conduct of the assessment of conditions of infrastructure assets of the city.
4. Prepare the city’s Annual Asset Management Plan (AMP) as per the Model AMP and Manual.
5. Be a member of the CIP Team responsible for preparation of the city’s Capital Investment Plan (CIP).
6. Review the Annual Performance Assessment Reports of the city regarding asset management and provide comments
7. Follow up on the implementation of the Implementation Strategy and Program of Action for Asset Management. Report on the actions taken.
8. As per the AMP Manual Steps, the following are the main responsibilities of the AMP Focal Person

* **Step 1:** Build the GIS project and manage the GIS system.
* **Step 2:** Take responsibility for the city’s AMP and build linkages with the line departments having responsibility for the different categories of assets included in the AMP.
* **Step 3:** Build the spatial database and the database of physical properties for all assets. Summarize the data and provide an analysis of key information.
* **Step 4:** Responsibility for building a condition indicator for all assets, through the completion of the condition and maintenance database. Provide summaries of the condition of all assets.
* **Step 5:** Working with the line departments to obtain a list of all maintenance activities, for: routine and periodic maintenance; major maintenance associated with levels 3 and 4 condition; and rehabilitation costs for level 5 condition assets. Responsibility for maintaining an up-to-date list of maintenance activities for all databases. Adding unit costs and total costs of all maintenance activities to the condition and maintenance database. Provide summaries of the cost of all maintenance activities.
* **Step 6:** Working with the line departments and other relevant organizations, obtain and maintain an up-to-date list of all asset replacement costs, based upon the asset feature classes. Build the new works database that provides a list of the replacement cost and residual value of all assets. Provide summary information on these.
* **Step 7:** Working with the CIP team, build the database for new works projects. Provide summary outputs of these projects.
* **Step 8:** Using the output from step 5, build the maintenance plan database for all maintenance activities going forward to implementation.
* **Step 9:** Working with the CIP team, convert the budget for new works projects and maintenance activities to a 3-year rolling program.
* **Step 10:** Track the progress of all approved new works projects and maintenance activities, using the databases for these created in steps 7 and 8 respectively. Upon completion, convert project and activities data across to the relevant databases for existing assets. Once sufficient historical data is available, track the performance of new works project starts against plan, and the completion of maintenance activities and costs against plan.

1. Perform any other duties assigned by the ULG Program Coordinator.

The Infrastructure Asset Management Focal Person will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (100%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by the city.

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.2. Asset Management**

**2.2.1. Asset Management Plan prepared and updated**

2.2.1.1. Asset inventory updated as per Asset Management Manual featuring a tabular and spatial database of all infrastructure, with specification and characteristics, for all categories of assets of the cities as listed in the AMM 2.1.1.2.

2.2.1.2. Asset conditions correctly reflected in inventories as per procedures in Asset Management Manual

2.2.1.3. Asset inventory shows an asset value and deficit, which calculates the remaining asset value, maintenance and rehabilitation deficit based on annual depreciation rates as per procedures in Asset Management Manual.

**3.2. Maintenance performance**

**3.2.1. Maintenance Budgeting and Implementation**

3.2.1.1. (a) Maintenance plan derived from the Assets Management Plan

* + - 1. (b) Maintenance Budget either 2% of the asset replacement cost or 10% of CIP budget (whichever is less)

3.2.1.2. Maintenance Budget either 2% of the asset replacement cost or 10% of CIP budget (whichever is less)

3.2.2.1. ULGs have developed a clear maintenance budget and actual implementation rate (review overall budget and utilization rate in final accounts of all maintenance projects to review actual maintenance) is minimum 80% (financial) of the planned. indicator:

**Qualifications and Skills Required**

The assignment will require a high level of technical competence GIS and infrastructure asset management. The Infrastructure Asset Management Focal Person should therefore possess the following qualifications:

* BA or B.Sc. degree in Civil Engineering, Municipal/Urban Engineering, Highway Engineering, Water/Hydraulic Engineering, Sanitary Engineering, Structural Engineering, Infrastructure Engineering, Geotechnical Engineering, Building Technology, Construction Technology and Management, , Geodesy, Surveying or GIS or urban planning or related field.
* A minimum of 5 years’ general experience of which 2 years’ experience in infrastructure asset management and disciplines stated above including at least 1 year experience using GIS.
* Excellent writing and communication skills in both Amharic and English (all reports, documents and correspondences shall be in English and/or Amharic).
* Knowledge of the urban sector in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018 and finish in July 2013

**Management Procedures**

Operationally, the Infrastructure Asset Management Focal Person will be accountable to the ULG Program Coordinator to whom all reports and deliverables as per the TOR should be submitted.

**Expected Deliverables**

**Specific Deliverables**

1. Updated city’s GIS-based Asset Inventory.
2. Assessment of conditions of infrastructure assets of the city.
3. City’s Annual Asset Management Plan (AMP) as per the Model AMP and Manual.
4. Contributions to the preparation of the city’s Capital Investment Plan (CIP).
5. Review comments on the Annual Performance Assessment Reports of the city regarding asset management.
6. Report on the city’s implementation of the Implementation Strategy and Program of Action for Asset Management.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Infrastructure Asset Management Focal Person activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Infrastructure Asset Management Focal Person ’s work three weeks before the end of the assignment; and
* Final Report of the Infrastructure Asset Management Focal Person ’s work, one week after receiving comments from ULG Program Coordinator.

**…………………………………….. CITY ADMINISTRATION**

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

# TERMS OF REFERENCE FOR URBAN PLANNING & LAND MANAGEMENT FOCAL PERSON

**Objective of the TOR**

The objective of the TOR is to obtain the services of qualified and experienced Urban Planning and Land Management Focal Person who will be responsible for all urban land management issues and for mapping land areas using GIs, overlaying maps with geographic variables such as population density, and combining or manipulating geographic information to produce alternative plans for land use or development and the achievement of UIIDP disbursement linked indicators and performance measures on urban planning and land management.

**Scope of the Assignment**

The Urban Planning and Land Management Focal Person will be responsible for all urban planning issues and land management issues, especially in regard to land development, land release, land registration and land inventory. Specific duties and responsibilities are:

1. Assess the feasibility of proposals and identify necessary changes, recommend approval, denial or conditional approval of proposals.
2. Conduct field investigations, surveys and impact studies in order to compile and analyze data on economic, social, regulatory and physical factors affecting land use.
3. Keep informed about economic and legal issues involved in zoning codes, building codes, and environmental regulations.
4. Mediate community disputes and assist in developing alternative plans and recommendations for programs or projects.
5. Coordinate work with economic consultants and architects during the formulation of plans and the design of large pieces of infrastructure.
6. Review and evaluate environmental impact reports pertaining to private and public planning projects and programs.
7. Participate in or manage the preparation of the city’s Structure Plan.
8. Inspect structures in the city to ensure compliance with the land use plan;
9. Develop and implement the city’s urban land management and information systems
10. Develop and maintain the city’s land registration register;
11. Ensure that land released by the city has been serviced with all required infrastructure such as water, electricity and roads;
12. Review the Annual Performance Assessment Reports of the city regarding urban planning and urban land management and provide comments
13. Perform any other duties assigned by the ULG Program Coordinator.

The Urban Planning and Land Management Focal Person will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (100%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by the city.

**DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.8. Land Management and Urban Planning**

**2.8.1.** Statutory structure plan and or expansion plan approved/in place

2.8.1.1. Existence of up-to-date approved statutory city-wide (structure) plan and/or expansion plan as at the point of assessment (Yes/No indicator) Excluding extension of an existing plan

2.8.1.2. CIP is in accordance with city-wide (structure) plan and/or expansion plan at the time of preparation (Yes/No indicator)

**2.8.2. Effective land management**

2.8.2.1. Land released for different uses are as per the laws of land management and have access to basic infrastructure facilities i.e. road, water, electricity at a radius of 250 meters

2.8.2.2. Proportion of land plots released through competitive auction/ bidding process (and not through direct allocation)

2.8.2.3. Updated land inventory featuring a tabular and/or spatial database e.g. a map (Yes/No indicator)

**Qualifications and Skills Required**

The Urban Planning and Land Management Focal Person should possess the following qualifications/competencies:

* B.Sc. or BA degree in Land Administration, Urban Planning, Regional Planning; or similar discipline.
* A minimum of 5 years’ general experience in of which 2 years specific experience in urban land management, development and administration, urban planning.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent change management skills and strong commitment to sharing expertise and experience in order to develop others (helping others to achieve goals), resolving conflict successfully.
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018 and finish in July 2023.

**Management Procedures**

Operationally, the Urban Planning and Land Management Focal Person will be accountable to the ULG Program Coordinator to whom all reports and deliverables as per the TOR should be submitted..

**Expected Deliverables**

**Specific Deliverables**

* Report on feasibility of proposals and recommendations for approval, denial or conditional approval of proposals.
* Report on field investigations, surveys and impact studies on economic, social, regulatory and physical factors affecting land use.
* Review r comments on evaluation of environmental impact reports pertaining to private and public planning projects and programs.
* City’s Structure Plan.
* Inspection report on structures in the city to ensure compliance with the land use plan;
* City’s urban land management and information systems
* City’s land registration register;
* Report on land released by the city and whether it has been serviced with all required infrastructure such as water, electricity and roads;
* Review comments on the Annual Performance Assessment Reports of the city regarding urban planning and urban land management and provide comments

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Urban Planning and Land Management Focal Person activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Urban Planning and Land Management Focal Person’s work three weeks before the end of the assignment; and
* Final Report of the Urban Planning and Land Management Focal Person’s work, one week after receiving comments from ULG Program Coordinator.

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**…………………………………….. CITY ADMINISTRATION**

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

# TERMS OF REFERENCE FOR PLANNING, BUDGETING & PARTICIPATION FOCAL PERSON

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Planning, Budgeting and Participation Focal Person who will be responsible for planning and budgeting for the city’s infrastructure investments in a participatory manner.

**Scope of the Assignment**

The Planning, Budgeting and Participation Focal Person will be responsible for the following specific duties and responsibilities:

1. Review and understand the requirements of the CIP Manual and Template and the Participation Manual and attend training on the manuals which will be provided by federal and regional levels.
2. Formulating and developing the city’s development strategies, plans and budgets;
3. Preparation of the city’s capital investment plans, capacity building plans, action plans and budgets in a participatory manner.
4. Monitoring and evaluating performance of the city’s Development Plans, programs and projects;
5. Collecting, analyzing and storing data into useful information for end users and maintaining a data bank for planning, budgeting and decision-making purposes;
6. Review the Annual Performance Assessment Reports of the city regarding budgeting, planning and participation and provide comments
7. Perform any other duties assigned by the ULG Program Coordinator.

The Planning, Budgeting and Participation Focal Person will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (100%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by the city.

##### 1. DLI 1 - Minimum Conditions

ULG has produced and the council approved a:

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19).*

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.1. Planning and Budgeting**

**2.1.1. Capital Investment Plan with linkages among the annual budget, annual action plan, annual procurement plan, asset management plan and revenue enhancement plan**

2.1.1.1. Quality, consistency and alignment in rolling three 3-year CIP, to ensure effective rolling in the planning process

2.1.1.2. Capturing infrastructure, operations and maintenance including using the appropriate IBEX code in the annual budget

**2.1.2. Participation of citizens in the planning process to meet service delivery priorities identified by citizens**

2.1.2.1. No. of public consultations (lower level and city level)

2.1.2.2. Increase in no. of people involved. Evidence of agenda and issues discussed.

**2.1.3. Budget appropriation**

2.1.3.1. Budget approved by Council (Yes/No Indicator)

**2.1.4. Budget Reliability**

2.1.4.1. Variance between overall city budget and actual expenditure (each capital and recurrent) for previous EFY less than 10%. Yes/No

**Qualifications and Skills Required**

The Planning, Budgeting & Participation Focal Person should possess the following qualifications/competencies:

* A minimum of BA or B.Sc. Degree in Urban Management, Municipal Finance, Accounting, Financial Planning, Investment Financing, Economics, Public Financial Management, Public Administration, Business Administration or related.
* A minimum of 5 years general experience of which 2 years specific experience in public finance including local government budgeting planning and participation.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions.
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018 and finish in July 2023

**Management Procedures**

Operationally, the Planning, Budgeting and Participation Focal Person will be accountable to the ULG Program Coordinator to whom all reports and deliverables as per the TOR should be submitted.

**Expected Deliverables**

**Specific Deliverables**

* City’s development strategies, plans and budgets;
* City’s capital investment plans, capacity building plans, action plans and budgets.
* Monitoring and evaluation reports on performance of the city’s Development Plans, programs and projects;
* Data bank for planning, budgeting and decision-making purposes;
* Review comments on the Annual Performance Assessment Reports of the city regarding budgeting, planning and participation.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Planning, Budgeting and Participation Focal Person activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Planning, Budgeting and Participation Focal Person’s work three weeks before the end of the assignment; and
* Final Report of the Planning, Budgeting and Participation Focal Person’s work, one week after receiving comments from ULG Program Coordinator.

**…………………………………….. CITY ADMINISTRATION**

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

# TERMS OF REFERENCE FOR MONITORING & EVALUATION FOCAL PERSON

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Monitoring & Evaluation Focal Person who will be responsible for developing and maintaining the UIIDP Monitoring, Evaluation and Reporting Systems and achievement of disbursement linked indicators and performance measures related to M & E.

**Scope of the Assignment**

The **Monitoring and Evaluation** **Focal Person** at ULG level will plan, coordinate and facilitate all M&E related activities of the UIIDP. He/she will be responsible for developing, implementing and maintaining the UIIDP M&E and reporting systems at ULG level. Specific duties and responsibilities are:

1. Review and understand the requirements of the UIIDP M & E Guidelines and attend training on the guidelines which will be provided by federal and regional levels.
2. Maintain the UIIDP M & E system at city level.
3. Preparation of the city’s UIIDP M&E reports and ensuring that they are submitted as per the deadlines set in the M & E Guidelines;
4. Prepare and submit to the ULG Program Coordinator and to the Regional M & E Focal Person the ULG Quarterly Progress Reports, Semi-Annual Report, Annual Report for UIIDP as per the M&E Guidelines and other reports as required by City Manager.
5. Regularly follow-up on project implementation progress as per the key performance indicators.
6. Work with UIIDP focal persons and other offices at ULG level to familiarize them with key performance indicators of the UIIDP.
7. Provide review comments on Annual Performance Assessment Reports of the city.
8. Perform other duties assigned by the ULG Program Coordinator.

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The Monitoring & Evaluation Focal Person will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (100%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by the city.

**DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.6. Accountability and Transparency**

**2.6.1. Accountability and transparency in city operations and service delivery**

2.6.1.2. Public dissemination (in city offices and other public places or web-pages, newspapers) of information about: (a) Annual budgets; (b) Approved projects; (c) Expenditures; (d) Audited accounts; (e) Procurement decisions; (f) APA results announced to public

2.6.1.3. Timely submission of quarterly progress reports for UIIDP as per the UIIDP M & E Guidelines (Yes/No indicator)

**Qualifications and Skills Required**

The **Monitoring and Evaluation Focal Person** should possess the following qualifications/ competencies:

* BA or B.Sc. degree in statistics, Demography, Sociology, Social Work, Economics, Urban Management or a related field;
* A minimum of 5 years’ general experience of which 2 years specific experience in monitoring and evaluation systems of programs/projects.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions and statistical software.
* Knowledge of the urban sector issues in Ethiopia is an advantage

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018 and finish in July 2023.

**Management Procedures**

Operationally, the Monitoring & Evaluation Focal Person will be accountable to the ULG Program Coordinator to whom all reports and deliverables as per the TOR should be submitted.

**Expected Deliverables**

**Specific Deliverables**

* UIIDP M & E system at city level.
* Quarterly Progress Reports, Semi-Annual Report, Annual Report for UIIDP as per the M&E Guidelines and other reports as required by City Manager.
* Review comments on Annual Performance Assessment Reports of the city.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Monitoring & Evaluation Focal Person activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Monitoring & Evaluation Focal Person’s work three weeks before the end of the assignment; and
* Final Report of the Monitoring & Evaluation Focal Person’s work, one week after receiving comments from ULG Program Coordinator..

**…………………………………….. CITY ADMINISTRATION**

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

# TERMS OF REFERENCE FOR UIIDP PROGRAM ACCOUNTANT (OFED)

**Objective of the TOR**

The objective of the TOR is to obtain the services of a UIIDP Program Accountant, based at OoFED, who will be responsible for fund flow, financial management and financial reporting.

**Scope of the Assignment**

The Program Accountant will have the following specific duties and responsibilities:

1. Review and understand the requirements of the UIIDP Financial Management Manual and attend training on the manual which will be provided by federal and regional levels.
2. Maintain the UIIDP financial accounting and reporting system in IBEX.
3. Ensure timely submission of expenditure documents and financial reports from the city to BoFED;
4. Maintain proper financial records and ensure the quality and consistency of all financial data;
5. Prepare the monthly UIIDP bank account reconciliations and submit to the region as per the deadline set by the region.
6. Prepare Semi-Annual Financial Reports for UIIDP and submit to BoFED as per the deadline set in the UIIDP Financial Management Manual.
7. Prepare annual financial statements for UIIDP within the deadline set in the UIIDP Financial Management Manual and submit to BoFED for consolidation.
8. Perform other duties assigned by the ULG Program Coordinator.

**Qualifications and Skills Required**

The assignment will require a high level of technical competence in financial accounting, financial management and financial reporting. The UIIDP Program Accountant should therefore possess the following qualifications:

* A minimum of BA, B.Sc. Degree in Accounting, Finance, Municipal Finance, Business Administration, Business Management, Public Financial Management or related
* A minimum of 5 years’ general experience of which 2 years specific experience in aspects of local government finance, public sector financial management, financial audit, accounting, internal and external audit.
* Excellent report writing skills in both Amharic and English.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions and preferably knowledge of IBEX system.
* Knowledge of the urban sector issues in Ethiopia is an advantage**.**

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018 and finish in July 2023.

**Management Procedures**

Operationally, the UIIDP Program Accountant will be accountable to the ULG Program Coordinator to whom all reports and deliverables as per the TOR should be submitted.

**Expected Deliverables**

**Specific Deliverables**

* UIIDP financial accounting and reporting system in IBEX.
* Expenditure documents and financial reports submitted to BoFED;
* Proper financial records;
* Monthly UIIDP bank account reconciliations.
* Semi-Annual Financial Reports for UIIDP.
* Annual financial statements for UIIDP.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the UIIDP Program Accountant activities/ achievements during the month and plans for the next month.
* Draft Final Report of the UIIDP Program Accountant’s work three weeks before the end of the assignment; and
* Final Report of the UIIDP Program Accountant’s work, one week after receiving comments from ULG Program Coordinator.

**…………………………………….. CITY ADMINISTRATION**

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

# TERMS OF REFERENCE FOR PROCUREMENT MANAGEMENT FOCAL PERSON

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Procurement Management Focal Person who will provide be responsible for the ULG’s procurement planning, implementation and monitoring as well as contract management including achievement of disbursement linked indicators and performance measures related to procurement.

**Scope of the Assignment**

The Procurement Management Focal Person will be responsible for the following specific duties and responsibilities:

1. Formulation of procurement strategies;
2. Preparation of the Annual Procurement Plans
3. Monitoring the implementation of the Annual Procurement Plans, providing summarized status report to the ULG Program Coordinator and region on quarterly basis.
4. Providing all required procurement documents for the annual procurement audit by the Regional Public Procurement and Property Administration Agency.
5. Follow up and take the necessary action to implement the recommendations of internal and external audits.
6. Ensure that procurement complaints are handled timely and properly as per the procurement complaint regulations and manual
7. Review the Annual Performance Assessment Reports of the city regarding procurement management and provide comments
8. Perform any other duties assigned by the Regional Program Coordinator.

The Procurement Management Focal Person will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (100%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by the city.

##### 1. DLI 1 - Minimum Conditions

**1.1. ULG has produced and the council approved a:**

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* The planned use of the performance-based grants from UIIDP follows investment menu **(***only from assessment in 2019 of the performance in FY 2018/19).*
  1. **Functional institutional set-up for procurement system in place according to public procurement proclamation including:**

1. Procurement function and minimum core staff in place – at least two procurement Focal Persons within procurement unit in ULG; with first degree and experience in procurement at least for two years
2. Functional tender committee/tender award committee (TAC) at ULG level in place;
3. Participating cities have the copies of their respective region’s procurement law, directives, manuals and standard procurement documents and staffs are familiar with these legal documents
4. Establishment of procurement performance monitoring and measurement using Public Procurement Key Performance Indicators Guideline or equivalent.
5. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.4. Procurement**

**2.4.1. Annual Procurement Planning, Oversight and Controls**

*Parameters to be assessed****.***

(i) Annual procurement plans are prepared and updated;

(ii) Internal procurement audits are conducted and they are acceptable;

(iii) Follow up and update was done on the action plan for implementation of internal and external audit findings.

**2.4.2. Individual Procurement Transactions**

**2.4.2.1. Procurement Planning and Bidding**

*Parameters to be assessed.*

(i)The procurement item is included in the approved annual procurement plan;

(ii) Advertisements were made as required by the law;

(iii) Correct standard bidding documents are used;

(iv) Bid floating periods are as provided in the law;

(v) Bid openings are conducted immediately after bid submission and minutes are acceptable

**2.4.2.2. Bid Evaluation and Contract Award**

*Parameters to be assessed.*

(i) Bid evaluations are consistent with bidding documents;

(ii) Contract was awarded to the legitimate bidder within bid validity period;

(iii) Bid evaluation results are announced to bidders and public;

(iv) Contract document contents are complete

**2.4.2.3. Contract implementation and procurement recording**

*Parameters to be assessed.*

(i) Contracts implemented within planned time

(ii) Contracts implemented as per contract price

(iii) Availability of adequate auditable procurement records in a secured space.

**2.4.3. Procurement Outcomes**

**2.4.3.1. Procurement efficiency and effectiveness**

*Parameters to be assessed.*

(i) Percentage (by no. and value) of procurement items not included in the original annual procurement plan should not exceed 5%;

(ii) Average deviation between original Planned and Actual Procurement cycle time (procurement initiation-contract completion) should not exceed 5%;

(iii) deviation between original price in the procurement plan and award price should not exceed 20%;

(iv) deviation between contract price and completion price (turnout cost) should not exceed 25%.

**2.4.3.1. Competitiveness, Fairness and Transparency and Controls**

*Parameters to be assessed.*

(i) Percentage (by no. and value) of procurements conducted through open bidding procedure is 85%;

(ii) Complaints resolved within the standard time frame is 100%;

(iii) the percentage of action taken from the previous procurement audit qualifications/ recommendations equals or exceeds 90%.

**Qualifications and Skills Required**

The Procurement Management Focal Person should a high level of technical competence and experience in procurement of services, goods and works on using GOE procurement laws and guidelines. The Procurement Management Focal Person should therefore have the following qualifications.

* Minimum of BA or B.Sc. Degree in Procurement, Procurement & Supply Chain Management, Public Procurement &Asset Management, Commerce, Marketing Management, Business Administration, Economics, Engineering, Law or any other related discipline.   Possession of professional qualification in procurement will be an added advantage.
* At least 5 years’ general experience of which 2years specific experience in procurement in a large private/ public sector organization or projects. and in GOE/IDA funded projects using federal/regional/IDA procurement procedures.
* Computer literacy in the use of word processor, spreadsheets and any other
* Excellent writing and communication skills in both Amharic and English (all reports, documents and correspondences shall be in English).
* Knowledge of the urban sector in Ethiopia is an advantage

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018 and finish in July 2023.

**Management Procedures**

Operationally, the Procurement Management Focal Person will be accountable to the ULG Program Coordinator to whom all reports and deliverables as per the TOR should be submitted.

**Expected Deliverables**

**Specific Deliverables**

* Procurement strategies;
* Annual Procurement Plans
* Quarterly Monitoring Report on implementation of the Annual Procurement Plans.
* Report on follow up and actions taken to implement the recommendations of internal and external audits.
* Review comments on the Annual Performance Assessment Reports of the city regarding procurement management.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Procurement Management Focal Person activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Procurement Management Focal Person’s work three weeks before the end of the assignment; and
* Final Report of the Procurement Management Focal Person’s work, one week after receiving comments from ULG Program Coordinator.

**…………………………………….. CITY ADMINISTRATION**

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

# TERMS OF REFERENCE FOR CAPACITY BUILDING FOCAL PERSON

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Capacity Building Focal Person who will be responsible for coordinating the city’s capacity building activities under UIIDP.

**Scope of the Assignment**

The Capacity Building Focal Person will be responsible for the following specific duties and responsibilities:

1. Review and understand the requirements of the UIIDP Capacity Building Manual and attend training on the manual which will be provided by federal and regional levels.
2. Dissemination of the UIIDP Capacity Building Manual to all offices and members of the focal persons team.
3. Carry out the capacity self-assessment and gap analysis using the tools provided in the UIIDP Capacity Building Manual.
4. Formulate and develop capacity building strategies, plans and budgets, ensuring that the UIIDP Eligible Capacity Building Areas are adhered to and that all the four capacity building modalities are used;
5. Monitor and evaluate the performance of city’s capacity building plan;
6. Evaluate and report on the effectiveness of capacity building activities and training programs provided under UIIDP by the city
7. Review the Annual Performance Assessment Report of the city regarding capacity building and provide comments
8. Perform any other duties assigned by the ULG Program Coordinator.

The Capacity Building Focal Person will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (100%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by the city.

**1. DLI 1 - Minimum Conditions**

**1.1. ULG has produced and the council approved a:**

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19).*

**1.2. Key staff in place/coordination team with the following staff under the coordination of the city manager:** full-time focal persons from relevant departments for revenue, procurement, environmental, social management, M&E, PFM, and civil engineering, AMP expert, Urban planning and land management, plus an internal auditor.

1. **DLI 2 - Institutional Performance (ULG Performance Measures)**

**2.1. Planning and Budgeting**

**2.1.5. Capital building performance**

2.1.5.1. Capacity building planning: (a) The capacity building plan has been produced through a systematic assessment and gap analysis in the main thematic focus areas.; (b) The capacity building plan includes activities covering at least two capacity building modalities. (c) The capacity building activities are clearly traceable to the identified capacity building gaps

2.1.5.2. Implementation of capacity building activities: (a) More than 80% of capacity building activities included in the capacity building plan successfully completed; (b) More than 80% of the funds budgeted in the capacity building plan are utilized

**Qualifications and Skills Required**

The Capacity Building Focal Person should possess the following qualifications/competencies:

* BA or B.Sc. Degree or higher in Management, Human Resource Development, Urban Management, Business Administration, Public Administration or related.
* A minimum of 5 years of general experience of which 2 years specific experience in institutional and human resource development, capacity building and training.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent command of computer programs and applications
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018 and finish in July 2023.

**Management Procedures**

Operationally, the Capacity Building Focal Person will be accountable to the ULG Program Coordinator to whom all reports and deliverables as per the TOR should be submitted.

**Expected Deliverables**

**Specific Deliverables**

* Self-assessment and gap analysis report.
* Capacity building strategies, plans and budgets;
* Monitoring and evaluation report on the performance of city’s capacity building plan;
* Report on the effectiveness of capacity building activities and training programs provided under UIIDP by the city
* Review comments on the Annual Performance Assessment Reports of the city regarding capacity building.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Capacity Building Focal Person activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Capacity Building Focal Person’s work three weeks before the end of the assignment; and
* Final Report of the Capacity Building Focal Person’s work, one week after receiving comments from ULG Program Coordinator.

**…………………………………….. CITY ADMINISTRATION**

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

# TERMS OF REFERENCE FOR LOCAL ECONOMIC DEVELOPMENT (LED) & JOB CREATION FOCAL PERSON

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Local Economic Development & Job Creation Focal Person who will be responsible for preparing and implementing the city’s local economic development strategies and plans that result in sustainable job creation.

**Scope of the Assignment**

The Local Economic Development & Job Creation Focal Person will be responsible for the following specific duties and responsibilities:

1. Review and understand the requirements of the Local Economic Development Manual and the UIIDP Job Creation & Measurement Guideline and attend training on the manual and guideline which will be provided by federal and regional levels.
2. Formulate and develop the city’s local economic development strategies and plans that will result in sustainable job creation.
3. Prepare the ULG Local Economic Development Plan and Job Creation Plan as per the manual and guideline.
4. Ensure that the necessary public private dialogue has taken place as part of the preparation of CIPs to address the constraints faced by potential investors and existing businesses.
5. Arrange at least 2 public private dialogue/open meetings with city mayor and a wide range of private sector representatives in a properly structured meeting where there will be among other things, presentation of constraints and economic potentials to inform the CIP. The meeting should come up with agreed actions.
6. Ensure that all the agreed actions are implemented as soon as possible.
7. Monitor, evaluate and report performance of the city’s Local Economic Development Plans and Job Creation Plans.;
8. Maintain performance standards and indicators for the city to use on local economic development;
9. Collecting, analyzing and storing data into useful information for end users and maintaining a data bank for local economic development and job creation;
10. Evaluate the effectiveness of the city’s local economic development strategies and job creation strategies;
11. Identify and resolve the challenges that face MSEs and prevent them from surviving or graduating to the next level. Some of the challenges identified so far are lack of access to finance, weak backward linkages to access raw materials and weak forward linkages to buyers and markets, location issues in that MSE business premises are located far away from potential customers.
12. Put in place a mechanism/procedure, and arrange, for the selection of some MSEs based on open business plan competition.
13. Liaise and follow up with the Medium Manufacturing Enterprises Development Unit in the city administration to ensure that graduated MSEs continue to receive support from this Unit.
14. Review the Annual Performance Assessment Reports of the city regarding local economic development and job creation and provide comments
15. Perform any other duties assigned by the ULG Program Coordinator.

The Local Economic Development & Job Creation Focal Person will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (100%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by the city.

##### 1. DLI 1 - Minimum Conditions

ULG has produced and the council approved a:

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19).*

**Note: For the LED & Job Creation Focal Person, this will be regarding whether public private dialogue has informed the CIPs and whether job creation figures are correctly captured in the CIPs**

##### DLI 4 - Performance on Local Economic Development, Urban Resilience and Gender Mainstreaming (ULG Performance Measures)

**4.1. Local Economic Development**

**4.1.1. Job Creation**

4.1.1.1. No. of people employed through infrastructure works under UIIDP against annual target

4.1.1.2. No. of people employed in firms provided with serviced land[[39]](#footnote-39) and/or MSE sheds[[40]](#footnote-40) under CIP against annual target

**4.1.2. Public private dialogue**

4.1.2.1. ULG held at least 2 public private dialogue/open meetings with city mayor and a wide range of private sector representatives -structured meeting, mayor participation, presentation of constraints and economic potentials to inform the CIP.

4.1.2.2. Implementation of min. 2 agreed actions from each meeting

**4.1.3. Micro Small Enterprise**

4.1.3.1. No. of MSEs supported through open business plan competitions, against annual target

4.1.3.2. No. of MSE One Stop Center (OSC) supported to be fully functional against annual target

4.1.3.3. No. of graduated MSEs provided with support from the Medium Manufacturing Enterprises Development Unit in the city administration, against annual target

**Qualifications and Skills Required**

The Local Economic Development & Job Creation Focal Person should possess the following qualifications/competencies:

* A minimum of BA or B.Sc. Degree in Economics or Development Economics, Urban Management or related
* A minimum of 5 years of general experience of which 2 years specific experience in regional or local economic development and in working with urban local governments in formulating a framework or strategy for urban local economic development, including the promotion of micro and small-scale enterprises.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions.
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018 and finish in July 2023.

**Management Procedures**

Operationally, the Local Economic Development & Job Creation Focal Person will be accountable to the ULG Program Coordinator to whom all reports and deliverables as per the TOR should be submitted.

**Expected Deliverables**

**Specific Deliverables**

* City’s local economic development strategies and plans.
* ULG Local Economic Development Plan and Job Creation Plan.
* Agenda, Attendance Register and Minutes of meetings on public private dialogue has taken place as part of the preparation of CIPs.
* Report on implementation of agreed actions form the public private dialogue..
* Monitoring and evaluation report on performance of ULG’s Local Economic Development Plans and Job Creation Plans.;
* Data bank for local economic development and job creation;
* Evaluate report on the effectiveness of local economic development strategies and job creation strategies;
* Report on challenges that face MSEs and prevent them from surviving or graduating to the next level.
* Mechanism/procedure, and report, on the selection of some MSEs based on open business plan competition.
* Report on the follow up with the Medium Manufacturing Enterprises Development Unit in the city administration to ensure that graduated MSEs continue to receive support from this Unit.
* Review comments on the Annual Performance Assessment Reports of the city regarding local economic development and job creation.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Local Economic Development & Job Creation Focal Person activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Local Economic Development & Job Creation Focal Person’s work three weeks before the end of the assignment; and
* Final Report of the Local Economic Development & Job Creation Focal Person’s work, one week after receiving comments from ULG Program Coordinator.

**…………………………………….. CITY ADMINISTRATION**

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

# TERMS OF REFERENCE FOR URBAN RESILIENCE & DISASTER RISK MANAGEMENT FOCAL PERSON

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Urban Resilience and Disaster Risk Management Focal Person who will be responsible for strengthening the city’s resilience through (a) a better understanding of risks of shocks and stresses and incorporating resilience into land use planning/ development; and (b) undertaking measures to mitigate the risks through disaster and climate risk management, and improving regulatory decisions and emergency preparedness.

**Scope of the Assignment**

The Urban Resilience and Disaster Risk Management Focal Person will have the following specific duties and responsibilities:

1. Review and understand the requirements of the Urban Resilience and Disaster Risk Management Manual and attend training on the manual which will be provided by federal and regional levels.
2. Work with the City Mayor and City Manager to establish the urban Disaster Risk Management (DRM) institutional framework at city level (i.e. DRM Unit with dedicated staff and budget).
3. Ensure that the DRM unit develops an Emergency Response Plan and DRM strategy including: (a) securing early warning on flooding, drought and high winds, and alerts for earthquakes and landslides; (b) ensuring community disaster preparedness; (c) developing contingency planning and budgeting; and (d) exploring risk financing and insurance options.
4. Undertake an assessment of the fire support services provided by the city to identify the specific training and equipment needed to improve response capacity for densely populated buildings and neighborhoods.
5. Based on the abovementioned assessment of fire support services, develop a local plan to provide mobile firefighting units and search and rescue equipment appropriate for city responses to fire incidents.
6. Monitor and evaluate performance of ULG’s Disaster Risk Management Strategies/Plans and Emergency Response Plans;
7. Monitor compliance with UIIDP POM and other manuals in regard to urban resilience and disaster risk management;
8. Review the Annual Performance Assessment Reports of the city regarding urban resilience and disaster risk management and provide comments
9. Perform any other duties assigned by the ULG Program Coordinator.

The Urban Resilience and Disaster Risk Management Focal Person will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (100%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by the city.

##### 1. DLI 1 - Minimum Conditions

ULG has produced and the council approved a:

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19).*

**Note: The Urban Resilience and Disaster Risk Management Focal Person will review all CIPs to check what projects cities have incorporated in the CIPs that address urban resilience and disaster risk management and provide guidance as necessary.**

##### DLI 4 - Performance on Local Economic Development, Urban Resilience and Gender Mainstreaming (ULG Performance Measures)

**4.2. Urban Resilience**

**4.2.1. Disaster risk management and emergency response**

**4.2.1.1. Disaster and Climate Risk Management**

*Evidences to be produced by cities*

Risk map(s) developed showing flood/landslide/earthquake risk areas, prepared in accordance to guidelines developed by MUDHo and Disaster Risk Management Commission.

**4.2.1.2. Emergency Response institutional structure**

*Evidences to be produced by cities*

Emergency response unit established with minimum staffing including disaster risk management officer, rapid assessment officer, and emergency response officer.

**4.2.1.3. Emergency Response Plan**

*Evidences to be produced by cities*

Emergency Response Plan developed and approved by the city council/mayor.

**Qualifications and Skills Required**

The Urban Resilience and Disaster Risk Management Focal Person should possess the following qualifications/competencies:

* A minimum of BA or B.Sc. Degree in Environmental Sciences, Natural Resources Management, Sociology, Social Work, Public Health, Disaster Risk Management, Climate change or related.
* A minimum of 5 years general experience of which 2 years specific experience in environmental management, climate change, urban resilience and disaster risk management.
* Excellent writing and communication skills in English, excellent report writing skills.
* Excellent command of computer programs and applications with significant capabilities in computerized database, spreadsheet constructions.
* Knowledge of the urban sector and climate change issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018 and finish in July 2023.

**Management Procedures**

Operationally, the Urban Resilience and Disaster Risk Management Focal Person will be accountable to the ULG Program Coordinator to whom all reports and deliverables as per the TOR should be submitted.

**Expected Deliverables**

**Specific Deliverables**

* DRM Unit established with dedicated staff and budget.
* Emergency Response Plan and DRM strategy including: (a) securing early warning on flooding, drought and high winds, and alerts for earthquakes and landslides; (b) ensuring community disaster preparedness; (c) developing contingency planning and budgeting; and (d) exploring risk financing and insurance options.
* Assessment report on the fire support services provided by the city.
* Local plan to provide mobile firefighting units and search and rescue equipment appropriate for city responses to fire incidents.
* Monitoring and evaluation report on performance of the city’s Disaster Risk Management Strategies/Plans and Emergency Response Plans;
* Review comments on the Annual Performance Assessment Reports of the city regarding urban resilience and disaster risk management.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Urban Resilience and Disaster Risk Management Focal Person activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Urban Resilience and Disaster Risk Management Focal Person’s work three weeks before the end of the assignment; and
* Final Report of the Urban Resilience and Disaster Risk Management Focal Person’s work, one week after receiving comments from the ULG Program Coordinator.

**…………………………………….. CITY ADMINISTRATION**

**URBAN INSTITUTIONAL & INFRASTRUCTURE DEVELOPMENT PROGRAM**

**(UIIDP)**

# TERMS OF REFERENCE FOR GENDER FOCAL PERSON

**Objective of the TOR**

The objective of the TOR is to obtain the services of a qualified and experienced Gender Focal Person who will be responsible for the city’s gender mainstreaming and ensuring gender responsiveness in its policies, strategies, plans, programs and projects, including UIIDP.

**Scope of the Assignment**

The Gender Focal Person will be responsible for the following specific duties and responsibilities:

* Review and understand the requirements of the Gender Development Manual and attend training on the manual which will be provided by federal and regional levels.
* Prepare the Annual Gender Development Plan and Budget as per the template and guidelines in the Gender Development Manual.
* Arrange quarterly meeting with gender focal persons from each sector Office;
* Prepare and disseminate performance standards and indicators for the city to use on gender mainstreaming and responsiveness;
* Monitor and evaluate performance of the city’s Annual Gender Development Plan
* Evaluate the effectiveness of the city’s gender mainstreaming and responsiveness on the UIIDP;
* Prepare training plan, training materials and provide training other ULG staff on women’s rights in work place and to make staff more sensitive to gender equality and women empowerment.
* Review the Annual Performance Assessment Reports of the city regarding gender mainstreaming and responsiveness and provide comments;
* Perform any other duties assigned by the ULG Program Coordinator.

The Consultant will, as per the UIIDP Staff Performance Evaluation & Incentive Scheme, also have weighted (100%) responsibility, and will be evaluated accordingly, for the achievement of the following UIIDP DLIs and performance indicators by the city.

##### 1. DLI 1 - Minimum Conditions

ULG has produced and the council approved a:

* Rolling three-year capital investment plan (CIP) with
* Annual action plan;
* Annual budget;
* Annual procurement plan
* **The planned use of the performance-based grants from UIIDP follows investment menu (***only from assessment in 2019 of the performance in FY 2018/19)*

**Note: The Gender Focal Person will review the gender responsiveness of the CIP, especially regarding the level of women participation in identification and prioritization of projects and the number ofwomen employed through infrastructure works under UIIDP. He/she will then provide guidance to regions/ULGs as necessary.**

##### DLI 4 - Performance on Local Economic Development, Urban Resilience and Gender Mainstreaming (ULG Performance Measures)

**4.3. Gender Mainstreaming**

**4.3.1. Women’s voice and rights**

**4.3.1.1. Women’s participation in decision making process**: (a) total women involved in all consultation meetings > **50**%

(b) women involved in the meeting for the final choice of investments > **50**%

The percentage of women involved will be for the current year.

\*Linked to PM 2.1.2 citizen participation

Invitation letters or call for the meeting notice posted in the public places or through mass media for the public to attend public consultations meeting indicating date of meeting and purpose of the meeting. Public consultations should be heldat least two times: (a) initial consultation, organized separated for women and men, and (b) meeting for the final choice of investments, invited both women and men. **Evidence**: Signed attendance sheets of the meetings participants indicating sex of participants, community or Citizens/ Social groups they represent both for: initial consultation and for the final choice of investments

**4.3.1.2. Women’s voice heard**

\*Linked to PM 2.1.2 citizen participation

**Evidence:** Minutes of participatory consultations indicating a compiled list of issues raised by women during consultations,

**4.3.1.3. No. of awareness raising workshop/training on women’s right in workplace against annual target**

Workshop/training on women’s right in workplace (gender-based violence, sexual harassment, and equal payment) targeting both men and women.

Annual target must be consistent with capacity building plan and gender development plan.

**Evidence**: Program/workshop attendance sheet (aggregated by gender), capacity building plan and gender development plan.

**4.3.2. Gender Mainstreaming System**

**4.3.2.1. Gender-balanced employment:** (a). Proportion of women public professionals in city municipal service administration; (b) Proportion of women as a head of office and above in city municipal service administration. **Evidence**: ULG HR plan.

**4.3.2.2. (a) Gender focal person dedicated for UIIDP; (b) Annual gender and development planning and budgeting**

**Evidence**:

1. Gender focal person dedicated for UIDP in place in WCO or/and UIIDP coordination team”

2. Annual gender development plan and budget (template/manual in POM): i) approved by the city council, ii) consistent with ULG annual plan and budget, capacity building plan, and gender mainstreaming guideline\*

NB. \*Gender mainstreaming guideline is only valid when Gender and Youth Mainstreaming Directorate in MUDHo developed and disseminated it.

**4.3.2.3. (a) Quarterly meeting with gender focal persons from each sector Office; (b) More than 80% of gender activities in the gender plan successfully completed and more than 80% of the funds budgeted in the gender plan are utilized.**

**Evidence**:

1.Signed attendance sheet of focal persons (indicating gender, occupation) from each sector Office and meeting notes (quarterly)

2. Compare annual gender plan to annual gender progress report

**4.3.3. Economic Empowerment**

**4.3.3.1. % of women employed through infrastructure works under UIIDP**

\*linked to 4.1.1.1 LED indicator

**Evidence**:

1. No. of people employed in infrastructure works; disaggregated by gender and age
2. Data collected from contractor’s log books, job registration in the M&E system of projects, etc.

**4.3.3.2. % of women employed in firms provided with serviced land[[41]](#footnote-41) and/or MSE sheds[[42]](#footnote-42) under CIP**

\*linked to 4.1.1.2 LED indicator

**Evidence**:

1. No. of people employed in firms provided with serviced land and/or MSE sheds in the last year against targets in CIP

2. Data collected from ULG’s records, APA consultants to visit minimum 3 plots of land or MSE sheds to verify firms are operational, etc

**4.3.3.3. % of women-headed MSEs supported to access working premises/sheds and/or serviced land under UIIDP**

**Evidence**:

1. Records of MSE office
2. Data collected from ULG’s records

**4.3.3.4. % of women-headed MSEs awarded with civil contracts under UIIDP**

**Evidence**:

1. Records of MSE office
2. Data collected from ULG’s records

**Qualifications and Skills Required**

The Gender Focal Person should possess the following qualifications/competencies:

* A minimum of BA or B.Sc. degree in Women & Gender Studies, Sociology, Psychology, Social Work, Social Development, Social Psychology or gender related
* A minimum of 5 years of general experience of which 1 year specific experience in women affairs and gender issues.
* Excellent writing and communication skills in English, excellent report writing skills.
* Knowledge of the urban sector issues in Ethiopia is an advantage.

**Level of Effort and Timing**

It is expected that the assignment will start in May 2018 and finish in July 2023.

**Management Procedures**

Operationally, the Gender Focal Person will be accountable to the ULG Program Coordinator to whom all reports and deliverables as per the TOR should be submitted.

**Expected Deliverables**

**Specific Deliverables**

* Annual Gender Development Plan and Budget.
* Agenda, Attendance Register and Minutes of quarterly meeting with gender focal persons from each sector Office;
* Performance standards and indicators for the city to use on gender mainstreaming and responsiveness;
* Monitoring and evaluation report on performance of the city’s Annual Gender Development Plan
* Evaluation report on the effectiveness of the city’s gender mainstreaming and responsiveness on the UIIDP;
* Training plan, training materials and training reports.
* Review comments on the Annual Performance Assessment Reports of the city regarding gender mainstreaming and responsiveness.

**General Deliverables**

* Inception Report and detailed work plan within three weeks of commencement of the assignment.
* Monthly Progress Reports within 7 (seven) days of the end of the month on the Gender Focal Person activities/ achievements during the month and plans for the next month.
* Draft Final Report of the Gender Focal Person’s work three weeks before the end of the assignment; and
* Final Report of the Gender Focal Person’s work, one week after receiving comments from ULG Program Coordinator

# TOR for Value for Money Audit for EFY 2010 for 1st APA of UIIDP

**FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA**

**Ministry of Urban Development & Housing**

**URBAN INSTITUTIONAL AND INFRASTRUCTURE DEVELOPMENT PROGRAM (UIIDP II)**

**TERMS OF REFERENCE**

**FOR**

**VALUE FOR MONEY AUDITS AND ASSESSMENT OF QUALITY OF INVESTMENTS IN 44 ULGs FOR EFY 2010 (2017/18)**

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**1.** **INTRODUCTION**

* 1. **Ethiopian Cities Sustainable Prosperity Goals (ECSPG)**

The Ministry of Urban Development and Housing (MUDHo) has introduced the **Ethiopian Cities Sustainable Prosperity Goals (ECSPG**) that will lead to the establishment of Green Growth, Resilient and Well Governed Cities that support Ethiopia’s transformation from a predominantly agricultural nation to a nation with a rapidly growing industrial sector that contributes to the economic growth necessary to achieve middle income country status by 2025. The ECSPG is the Ministry’s contribution to the Government of Ethiopia’s **Growth and Transformation Plan** (GTP 1) 2010/11-2014/15; (GTP 2) 2015/16-2019/2020; & (GTP 3) 2020/21-2024/25.

The continuous and substantial movement of people from rural villages and homesteads to urban villages, small, medium, and large towns, and to the capital city, and the resulting rapid urbanization, is necessary to support the development of industrial, manufacturing, and service sectors. The societal change that will accompany the agricultural to industrial transformation can only be accomplished successfully with careful and meticulous advance planning that addresses all aspects of the transformation simultaneously. It is for this reason that the Ministry has developed the Ethiopian Cities Sustainable Prosperity Goals. Its aim is to build the frameworks and provide the foundations – in our towns and cities and in the construction industry – to achieve the country’s vision and for the continued advancement of that vision.

The ECSPG comprises nine pillars – or dimensions - that will contribute to the achievement of middle income country status and bring the desired political-economic transformation. Growth is a key objective of the Ministry’s initiatives and programs for urban development and housing; the main economic objective. The main elements of the political component of the nine pillars that make up the ECSPG are good governance, democratization at local level and the satisfaction of citizens and residents with the delivery of public services and performance of government – at local, regional and federal levels. Together, the economic and political interventions of the ECSPG will produce the prosperity that accompanies achievement of middle income country status.

The ECSPG’s nine strategic pillars will contribute to Ethiopia’s achievement of middle income country status by producing a transformation in the economic productivity and in the good governance of cities. Economic transformation will be achieved by increased good urban governance in general and in the focus of the ECSPG on Job Creation - Micro & Small Enterprise Development in particular. This focus will be supported by improvements in land use planning, serviced land delivery, housing development, infrastructure, services and green growth development. Investments in all these areas and mobilization of resources to meet increasing operating and investment costs are a main focus of the MUDHo.

The attention given to economic development and governance does not neglect social and environmental development, nor will the key GTP cross cutting issues be neglected. These include gender and children’s affairs, youth and sports development, HIV/AIDS prevention and control, social welfare, labor affairs, population and development, culture and tourism, science and technology, environment and climate change.

The **developmental framework for the ECSPG aims to bring prosperity to Ethiopia’s cities**. The ECSPG programs, sub-programs and projects will be implemented through to 2025 with GTP, SDG and benchmarked middle income country indicators measured against achievement of targets in three indexed areas: good governance, economic and social development (growth) and citizens’ satisfaction.

In terms of achievement of the targets, goals and vision we will continuously ask questions, learn lessons and fine tune the Ministry’s interventions to answer the following:

1. **Governance Index** (*supply side*): What is required to achieve good governance in federal, regional and local government operations and in delivery of urban public services in terms of: efficient & effective service delivery, sustainability, equity and participation, transparency and accountability, rule of law and security, and subsidiarity - administrative and fiscal decentralization.

ECONOMIC & SOCIAL DEVELOPMENT - GROWTH

CITIZENS’ SATISFACTION

DEVELOPMENTAL GOOD GOVERNANCE

1. ECSPGs Developmental Framework for Performance Measurement
2. **Growth Index** (*supply side*) What is required in the development of Ethiopia’s urban centers to create jobs, encourage entrepreneurs, increase investment, develop land, industry, housing and public utilities and strengthen the framework for job creation (e.g.: trade, industry, telecommunications, leadership, increase trade and exports); and lastly:
3. **Citizens’ Satisfaction (Public Perceptions) Index** (*demand side*): What are public perceptions of the development of urban centers and cities? How can we, continuously, identify public perceptions and attitudes, incorporate them into policies, strategies and programs and thus effectively mobilize public opinion and public resources for the achievement of the 2025 Vision.

The Economic and Social Development, Developmental Good Governance and Citizens’ Satisfaction indices will be measured to determine: the current baseline; the GTP 2 and GTP 3 performance targets; and the benchmarked performance targets to 2025, linked to comparable middle income country achievements.

This baseline data, GTP 2, GTP 3 and 2025 benchmark targets will, in the three areas described, comprise overall our “Prosperity Index”. The aim is to establish the Cities’ Prosperity Index, containing the three elements described – growth, governance and citizens’ satisfaction for: a) urban centers and cities with a population of 20,000+ in the Central Statistical Agency census, and add cities that achieve this population level; and b) rural development centers that contain basic clustered education, health and administrative facilities as well as commercial services.

The ECSPG contains ten pillars, 12 programs / sub-programs and 43 projects for urban development:-

**Pillar 1. Urban Transformational Leadership**

**Pillar 2. Micro & Small Enterprise and Urban Productivity (Economy)**

**Pillar 3. Urban Developmental Good Governance & Services**

**Pillar 4. Urban Planning, Land Development and Management**

**Pillar 5. Housing Development, Shelter Provision and Administration**

**Pillar 6. Integrated Urban Infrastructure**

**Pillar 7. Environment, Green Services and Recreation**

**Pillar 8. Resilient, Inclusive and Safer Cities**

**Pillar 9. Urban Finance**

**Pillar 10. Urban Social Development**

Full details of these pillars are contained in a separate document.

* 1. **Urban Institutional and Infrastructure Development Program**

The Ministry of Urban Development & Housing, Regional Democratic Republic of Ethiopia, with support from the World Bank and the Agence Francaise de Developpement (AFD is implementing the Urban Institutional and Infrastructure Development Program (UIIDP) during the period from March 2018 to December 2023.

The UIIDP will provide Performance Grants (PGs) for investments in infrastructure and services and in capacity building for 117 urban local governments (ULGs) and capacity building in all nine Regional Governments (RGs), MUDHo and several Regional Ministries/Agencies.

The UIIDP is being financed through World Bank & AFD Program-for-Results (PforR) financing instrument at the regional and ULG levels and an Investment Project Financing (IPF) instrument at the Regional level. The regional governments and urban local governments are expected to provide matching funds (counterpart contributions) as per the percentages agreed between MUDHo and the World Bank which are stated in the IIDP Program Operations Manual.

Funding available under the UIIDP will depend on the performance of each city and Regional Government assessed annually against verifiable results described in the Program Operations Manual (POM) and in the Annual Performance Assessment Guideline (APAG) which is a standalone Annex of the POM.

Program Development Objective

The Program Development Objective (PDO) of the UIIDP **is to enhance the institutional performance of participating urban local governments to develop and sustain urban**

Key Result Areas

It is expected that the institutional performance improvements and the infrastructure delivered by cities will result in: -

* + - 1. enhanced citizen participation and engagement in ULG planning and budgeting;
      2. increased own source revenue at the ULG level;
      3. improved infrastructure, service delivery, O&M systems;
      4. improved efficiency and effectiveness in fiduciary management;
      5. Improved environmental and social management and safeguards; and
      6. strengthened accountability and oversight systems; and
      7. strengthened ULG resilience, improved local economic development (LED) and enhanced gender equity in the ULG operations.

Key Result Indicators

The key results indicators are:

1. People provided with improved urban living conditions under the UIIDP [corporate indicator].
2. Cities with improved livability, sustainability, and management [corporate indicator].
3. Composite institutional performance of participating ULGs, averaged across all cities.[[43]](#footnote-43)
4. Composite performance forachievement of urban infrastructure and service targets, maintenance performance and value for money in investments by ULGs, averaged across all cities.
5. Composite performance for achievement of LED targets, averaged across all cities

The complete table on the results framework and monitoring is provided in the POM Annex 1.

Program Scope and Coverage of Urban Centres

The UIIDP will have an additional 73 cities to the existing 44 cities making a total of 117 cities that will participate in the program. This substantial scale-up to 117 cities will bring about greater impact in terms of population coverage and size of the Program (increasing beneficiaries from 4.36 million under UGLDP II to an estimated 6.62 million in UIIDP) and result in exponentially larger positive impact for the country. The scale-up allows strengthening of the overall programmatic and performance-based approach to support sustainable urban development and leverages on economies of scale for program management and implementation. In addition, the scale-up is built on the solid foundations and tried-and-tested overall successful experiences of ULGDP I and II. Timely support to improve institutional performance in the planning, delivery, and sustained provision of urban services and infrastructure by local governments is critical especially for these rapidly growing cities.

**Figure 1. Cities Participating in UIIDP**

Key Features and Financing Modalities

The program will provide 4 rounds of performance grants in EFY 2012 (2019/20), EFY 2013 (2020/21), EFY 2014 (2021/22), and EFY 2015 (2022/23). Total UIIDP expenditures over this period are estimated at Ethiopian Birr (ETB) 20.1 billion (US$ 859.86 million), of which ETB 14 billion (US$ 600 million of which US$200 million is from IDA Scale Up Funding - **70%** will be provided by the World Bank and ETB 262 million (US$11.2 million) -**1%**- will be provided by AFD and ETB 5.8 billion (US$248.66 million[[44]](#footnote-44)) – **29%** - will be provided by regions and ULGs as matching fund contributions.

ULGs will use the Program funds to finance urban infrastructure works as well as capacity building activities, in compliance with the Program’s investment menu and capacity building manual. Eligible infrastructure investments fall under eight groups including: (a) urban roads, (b) integrated infrastructure and land services, (c) sanitation (liquid waste), (d) solid waste management, (e) urban drainage, (f) urban disaster risk management and urban resilience, (g) built facilities, and (h) urban green infrastructure. Ineligible investments include any World Bank environment and social impact assessment Category A projects. Compliance with the investment menu is a minimum condition for receiving funds. In addition, ULGs will be required to prepare the project in a participatory manner, and consider: (a) social inclusion requirements, including gender and disability considerations; (b) climate change and disaster adaptation; and (c) contribution to LED and long-term job creation.[[45]](#footnote-45) ULGs could also spend up to 5 percent of investment grants and regional/city contributions on capacity building support. For regional government entities, the grants will mainly be used for capacity building, operations and management expenses, subject to the eligible capacity building areas, similar to the ULGs.

Disbursement Linked Indicators, Minimum Conditions, Performance Measures and Verification Protocols

Almost 96 percent (or around US$576 million) of the Operation’s funds will be disbursed against disbursement linked indicators (DLIs). The DLIs are structured to provide incentives to participating ULGs and regional governments for improved management and development of urban areas. (More details on the DLIs, MCs, PMs, performance assessments, verification protocols and disbursement arrangements are provided in the UIIDP Annual Performance Assessment Guideline (APAG) which is a part of this POM and is a standalone Annex of the POM

**DLIs 1 to 4 focus on ULGs to strengthen ULG institutional roles in the delivery of infrastructure and services, and enhance local economic development**. Each of these DLIs is a composite index of defined MCs and PMs.

**The disbursement system for DLI 1, 2, 3, and 4 is scalable based on actual performance of ULGs**. It is particularly important to note that if the ULGs perform better (or poorer) than expected (as set out in the disbursement related targets in the DLI matrix), disbursements will be adjusted accordingly. This means that if ULGs perform higher than expected they will receive higher than expected disbursements. If this continues throughout the Program, additional financing may be needed.

**DLIs 5 to 9 focus on regional government entities** **to enhance their abilities in fulfilling their mandates to support ULGs.**These DLIs will disburse based on results achieved by regional government entities in providing support to ULGs (DLI 5) as well as focusing on their performance in conducting essential audits for ULGs such as on fiduciary and environmental and social management.

**DLI 10 is a legacy DLI disbursing against prior results achieved under the ULGDP II** that has arisen due to overachievement of performance results. This DLI will be disbursed upon verification in FY 2018/19, when the fifth APA of the ULGDP II has been completed in February 2018.

**Collectively the DLIs address the PDO and key result areas**. The DLIs are designed to address the challenges of ULGs’ and regional governments’ institutional performance and, in turn, ULGs’ ability to deliver, operate, and manage infrastructure and services, and expand LED. They provide incentives to address the core issues such as on timely audit, social and environmental management, own-source revenue generation, and strengthen the system and procedures for capacity building. In addition, there is enhanced focus to strengthen urban resilience, promote LED and job creation, and enhance gender equality. The PMs have a direct link to the key result areas and the GoE’s program intended outcomes.

1. **BACKGROUND TO THE ASSIGNMNET**

**2.1. Investment Menu and Capital Investment Plans of ULGs for EFY 2010 (2017/18)**

The menu of investments eligible for funding under the Program are in the Table below. ULGs are encouraged to focus on projects that will contribute directly to creating jobs and increasing incomes, including those using labor-intensive techniques.

**Table 1. UIIDP performance grant investment menu**

| **Infrastructure/Service** | **Type** |
| --- | --- |
| **Roads** | Expenditure group 1*:* Cobblestone, gravel, red ash and earthen roads. (asphalt roads are not eligible) |
|  | Expenditure group 2*:* Rehabilitation of roads (except asphalt), bridges, fords and culverts, pedestrian walkways or footpath, cycle path, paved area, roundabout, street lighting, road signs and traffic lights, bus terminals, bus stop/station. |
|  | Note: *Note: Road works outside of existing rights-of-way or require significant resettlement of people (more than 200 people, project-specific) will not be eligible for funding under the UIIDP.* |
| **Integrated multiple infrastructure and land services (residential, micro and small enterprises, industrial zones, tourism sites)** | Expenditure group 3*:* Servicing of land with utilities (water supply, electricity, telecommunications, roads and drains (within planned right of way, as per the structural plan/local development plan)), solid and liquid waste collection and disposal. |
| **Sanitation (liquid waste)** | Expenditure group 4*:* Sewer reticulation systems (no large canals[[46]](#footnote-46)), wastewater treatment ponds/treatment plants, sludge ponds, community soak away pit and septic tanks, public and communal toilets, ventilated improved pit, Ecosan, biogas and vacuum trucks, vacuum handcart. (in planning and implementation cities must follow manual and standard from Urban Water Supply and Sanitation Project.) |
| **Solid waste management** | Expenditure group 5*:* Collection trucks and other collection tools, collection bins, transfer stations, recycling center/sorting facilities, collection points; skips and skip loaders, hand push carts, landfills[[47]](#footnote-47) (*of the size of maximum 10 hectares and minimum design criteria as per the solid waste management manual*), biogas and composting plants; and landfill site equipment including compaction vehicles, garbage truck, grader, dozer, loader, dump truck and excavator |
| **Urban drainage** | Expenditure group 6*:* Drainage systems (follow the guideline developed by the MoUDH), flood control systems. |
| **Urban disaster risk management and initiatives to enhance resilience[[48]](#footnote-48)** | Expenditure group 7: Fire brigade equipment, trucks, facilities, fire stations, non-grid renewable energy supply (e.g. solar, wind), landslide protection structures |
| **Built facilities** | Expenditure group 8*:* Markets for small businesses *not exceeding* *ground floor* with associated services (water supply, drainage, access roads, sanitation facilities), upgrading the existing markets, one-stop shops, slaughter houses (abattoirs)[[49]](#footnote-49)(*not exceeding size of 2 ha and the category of level B, C, and D)* with by-products and processing facilities, abattoir trucks, production and premises, sales and display centers for MSEs, community center, youth center, cultural centers |
| **Urban green infrastructure** | Expenditure group 9*:* Urban parks, public spaces and greenery development projects. |
| **Consultancy services for design, studies and contract management** | Expenditure group 10*:* For studies relating to preliminary and detailed design, contract documentation and supervision relating to the above infrastructure and services. |
| **Capacity Building Support** | Expenditure group 11*:* Up to 5 percent of investment grants and regional/city contributions can be utilized on capacity building support, see menu for capacity building support below. |

***Notes for investments:***

1. Current **maintenance and operational costs, including salaries,** should not be funded by the UIIDP grant. Other ULG sources, including OSR should be used for these expenditures. The performance system will promote planning and actual provision for this to ensure longer-term sustainability.
2. **The investment menu above explicitly excludes possible high-risk activities and Category “A” types of activities.** Investments, which according to the WB Operational Manual for Environmental Assessment (OP 4.01) are classified in Category A are explicitly excluded from the Program. These “…*are projects which are likely to have significant adverse environmental impacts that are sensitive, diverse, or unprecedented. These impacts may affect and area broader than the sites or facilities subject to physical works”.* Category A projects are not supported by PforR operations and ULGs cannot use the UIIDP grants for these types investments.
3. **While the scope and scale of works under the Program are not expected to cause significant adverse environment and social impacts, the current EIA procedures in Ethiopia require that all investments are screened** for negative impacts that are sensitive, diverse, or unprecedented on the environment and/or affected people.
4. **Siting, design, construction and implementation of all physical infrastructure must consider risk map/disaster risk management plan and integrate measures to make them resilient to climate change and disaster impacts.** 
   * + Siting and construction: Steps should be taken screen location of physical infrastructure to minimize exposure to disasters (flood, earthquake, drought, fire, landslides)
     + Design and implementation: Design and operation of infrastructure and services need to consider climate and disaster impacts. Additionally, sanitation and solid waste management facility tot consider waste segregation, treatment and reduce contamination of water sources in the event of flooding or other disasters.
5. **In addition to screening for significant negative impacts, the following works will be ineligible for financing under the UIIDP:**
   * + Road works outside of existing rights-of-way;
     + Infrastructure works that require significant resettlement of people (more than 200 people, project-specific)
     + Activities that would significantly convert natural habitats or significantly alter potentially important biodiversity and/or cultural resource areas.

**the following works have conditions under the UIIDP:**

* + - Canals (Sewer reticulation systems canals (primary canals)) should not exceed in diameter 1,000 millimeters or 10 kilometers
    - All landfills should comply with minimum design criteria as per the solid waste management manual, not exceeding 10ha. ULGs, in the design of sanitary landfills, will be required to demonstrate a system of waste segregation, collection, transportation, treatment, and disposal of leachates, before they start landfill constructions.

Slaughter houses (abattoirs) should not exceed size of 2 ha, within the category of level B, C, and D.

* To provide an indication of the size of investments the cities have planned to make in EFY 2010, the approved Capital Investment Plans for all the 44 cities are as follows:-

**Table 2. CIP Budgets for EFY 2010 (2017/18) for the 44 cities**

| **No** | **City** | **CIP Budget for EFY 2010**  **in Birr** |
| --- | --- | --- |
|  | **Amhara** |  |
| 1 | Bahir Dar |  |
| 2 | Dessie |  |
| 3 | Gondar |  |
| 4 | Kombolcha |  |
| 5 | Debre Brehan |  |
| 6 | Debre Markos |  |
| 7 | Debre Tabor |  |
| 8 | Finote Selam |  |
| 9 | Mota |  |
| 10 | Woldiya |  |
|  | **Total Amhara** |  |
|  | **Oromia** |  |
| 11 | Adama |  |
| 12 | Bishoftu |  |
| 13 | Jimma |  |
| 14 | Shashamane |  |
| 15 | Ambo |  |
| 16 | Assala |  |
| 17 | Batu (Ziway) |  |
| 18 | Burayu |  |
| 19 | Nekemte |  |
| 20 | Robe |  |
| 21 | Sebeta |  |
|  | **Total Oromia** |  |
|  | **SNNPRS** |  |
| 22 | Hawassa |  |
| 23 | Arbaminch |  |
| 24 | Dilla |  |
| 25 | Sodo |  |
| 26 | Areka |  |
| 27 | Butajira |  |
| 28 | Hosaena |  |
| 29 | Mizan |  |
| 30 | Yirga Alem |  |
|  | **Total SNNPRS** |  |
|  | **Tigray** |  |
| 31 | Mekelle |  |
| 32 | Adigrat |  |
| 33 | Axum |  |
| 34 | Shire |  |
| 35 | Adwa |  |
| 36 | Alamata |  |
| 37 | Humera |  |
| 38 | Wukro |  |
|  | **Total Tigray** |  |
|  | **DRS** |  |
| 39 | Asosa |  |
| 40 | Gambela |  |
| 41 | Jijiga |  |
| 42 | Samera |  |
|  | **Total DRS** |  |
| 43 | Harar |  |
| 44 | Dire Dawa |  |

|  |  |  |
| --- | --- | --- |
| **H** | **Grand Total for all 44 cities** |  |

**2.2. Project Requirements in regard to VfM Audit**

* The UIIDP **Financing Agreement** signed between Government of Ethiopia and the World Bank provides that
* The UIIDP PAD states that “
* The UIIDP Project Operations Manual (POM) states that “
* The MUDHo therefore intends to secure the services of OFAG or its delegate to carry out the Value for Money Audit and answer the questions raised above as well as provide inputs into the 1st  UIIDP Annual Performance Assessment (APA) in regard to DLI 3.4. Quality of Infrastructure.

**3.** **OBJECTIVE OF THE ASSIGNMENT**

The objective of the assignment is to obtain the services of Office of Federal Auditor General (OFAG) (or its delegate) to carry out a Value for Money (VfM) Audit of UIIDP investments for EFY 2010 (2017/18) in all the participating 44 ULGs in Ethiopia. The services will also include carrying out a full technical and financial review of the various activities/contracts and an assessment of the quality of infrastructure to provide inputs into, and evidences for, the 1st APA.

**3.1. TASKS**

OFAG (or its delegate) will:-

1. review all program documents and interview relevant program staff at federal, regional and city levels and other stakeholders to get an understanding of the program objectives, requirements and current status;
2. visit each of the 44 participating cities to carry out the VfM audit for a sample of the investments based on but not limited to the criteria of economy, efficiency and effectiveness of the investments and funds utilization;
3. conduct a technical assessment of the conception, planning, appraisal, approval, technical design, procurement, implementation, utilization, commissioning, functionality and subsequent operation and maintenance for each of the sampled investments in the 44 participating cities; This includes physically inspecting a sample of the projects (minimum of 5 projects of different categories) in each town as part of the audit and assessment;
4. identify the likely Operations and Maintenance costs of the sampled investments and how these have been taken into account in the planning, project appraisal and budgeting processes;
5. assess the appropriateness of the infrastructure delivery approach; quality of procurement process including: Design documents, Bidding documents, specifications and bill of quantities for all items procured;
6. assess whether the contract award prices are within budget and market rates and that they demonstrate that proper value is achieved in the process;
7. assess the quality of contracts delivery in terms of their timelines, cost and quality performance in achieving good value for money;
8. assess the delivered contracts/projects (outputs) are fit for the purpose and serving the intended objectives well;
9. Inspect and record all the evidences (references and dates) to be produced by the cities which are as follows as per the APAG:-
   1. Urban infrastructure physical implementation/ progress report (disaggregated by categories and locations) under the CIP for the previous FYs since the beginning of the program;
   2. Urban infrastructure budget expenditure report from IBEX (disaggregated by categories and locations) under the CIP for the previous FYs since the beginning of the program;
   3. Design documents, bidding documents, specifications and bill of quantities for all items procured;
   4. Contract agreement and contract amendments for all items procured;
   5. Change orders and payment certificates for all items procured; and
   6. Provisional and final handover (acceptance) for all items procured.
10. carry out the assessment of quality of infrastructure using the VfM Assessment Tool in Annex 1 and as per the requirements of the APAG which provides that “Percentage of projects implemented with a satisfactory level of value for the money, calibrated in the value for the money assessment tool. The percentage of projects with a satisfactory level of value for the money will be reflected in the score multiplied by 0.20 (20 percent which is the weight of this indicator), that is 80 percent satisfactory projects=16 points, 60 percent = 12 points. The score on this indicator will be rated between 0–20 points. The value for the money of each project (level of satisfactory value for the money) will be assessed and there will be a weighting of these to get a total score. The weight of each project will depend on the size (contract value) of the projects. The input from this will be provided by the value for the money audits to the APA Consultant to be included in the calibration and in the final calculation of the size of the allocations.”

**Table 4. Calculation example for VfM satisfactory level for each ULG**

| **Projects** | **Contract amounts in Birr** | **VfM Satisfactory level** | **Weighted contract amounts** |
| --- | --- | --- | --- |
| Project 1 | 100,000 | 70% | 70,000 |
| Project 2 | 500,000 | 80% | 400,000 |
| Project 3 | 1,000,000 | 90% | 900,000 |
| Total Project Costs | 1,600,000 |  | 1,370,000 |
| **Weighted VfM Satisfactory Level for this ULG** (**=**1,370,000/1,600,000) | | | **86%** |

This ULG would then get from the APA Consultant 17.2 points i.e. (20\*86%) in the APA for this indicator.

The OFAG is only expected to produce the above table for each of the 44 cities and provide it to the APA Consultant who will then make the calculation on the points to be awarded to each city for this indicator.

MUDHo will provide OFAG with an Excel format for entering the scores for all sampled projects for each of the 44 cities and for the consolidated scores.

1. based on all the above findings, audit and assessment, prepare a draft VfM Audit Report and Assessment Report for each of the 44 cities.
2. prepare a draft Synthesis Report summarizing the findings, conclusions and recommendations for all the cities which will be presented at a workshop to be arranged by MUDHo. Produce workshop report.
3. incorporate comments received from all stakeholders at the workshop and other written comments from MUDHo and the World Bank and produce the Final VfM Audit Reports (signed and sealed) and Assessment Reports for each city and the Final Synthesis Report.
4. In carrying out the Technical Assessment, the following will be important among others:

* **Construction Quality** – audit the soundness of the technical work, including quality of works supervision;
* **Cost Effectiveness**, In this assessment, the audit should verify whether the UIIDP infrastructure investments are constructed at reasonable cost and within budget bearing in mind the project location / distance, and the climatic and physical conditions in the area. The audit should also verify that the project was completed within a pre-agreed cost framework and in the most economical manner consistent with public procurement directives.  OFAG (or its delegate) should also come up with such process indicators as: cost overrun over planned / original agreed contract price, and Cost overrun over standard costs, if any; and
* Time Efficiency, In many instances, cost effectiveness depends on completion of a project within the shortest possible time. In this regard, the audit should assess the completion time of the UIIDP projects vis-à-vis the planned schedule. The audit should also identify and analyze factors that led to delayed implementation whenever these have occurred. Some of the process indicators expected to emerge from this assessment would be: Time overrun over planned schedule; Time overrun over standard schedule.

1. **SCHEDULING /TIME TABLE**

OFAG (or its delegate) is expected to commence services on July 15, 2018 with field work commencing on August 1, 2018 and **complete field work by not later than October 15, 2017**. The assignment shall be completed by not later than **November 15, 2017** with submission of Final VfM Audit Reports for all 44 ULGs and Synthesis Report simultaneously to MUDHo and World Bank.

1. **EXPECTED OUT PUTS /DELIVERABLES**

The minimum set of deliverables and approximate time schedules are provided in the Table below. OFAG (or its delegate) may propose additional deliverables and milestones in its Technical Proposal.

**Table 5. Deliverables and Schedule**

|  |  |  |
| --- | --- | --- |
| **No** | **Deliverable** | **Timetable for deliverable** |
|  | Inception Report and Work Plan submitted for approval of MUDHo. | Within two weeks of commencement of services |
|  | Final VfM Audit Reports and Assessment Reports for each of the 44 cities (signed and sealed) and the Final Synthesis Report (signed and sealed) submitted simultaneously to MUDHo and World Bank | Not later than November 15, 2017 |
|  | Workshop Report | Within 5 calendar days of the end of the workshop |

1. **QUALIFICATIONS AND EXPERIENCE OF KEY PERSONNEL**

It is anticipated that OFAG (or its delegate) will have four teams with 4 professionals each with each team covering a maximum of 11 cities. There should be a team for Oromia ULGs (11), Amhara ULGs and Assosa (11), SNNPRS ULGs, Gambella & Samera (11), Tigray, Dire Dawa, Harar & Jigjiga ULGs (11). The total key experts input is estimated to be about 45 staff months. OFAG is free to propose its own team composition, with the condition that teams should not mix regions as complaints in this regard have been received from regions that there is lack of consistency between cities in the same region where different teams are used. The Ministry has accepted these complaints and agreed that as far as possible each team should cover one full major region plus some DRS cities to bring the total to 11 cities per each team. It is expected that the OFAG team will therefore comprise the following roles:

**Team Leader:**

A professionally qualified and experienced individual in one of the main disciplinary areas covered under the assignment. The task team leader or assistant task team leader should be infrastructure contracts or value engineering specialist as the assignment is VfM assessment.

A minimum of 10 years working experience with at least 5 years of dealing with public sector entities and/or local authorities in Ethiopia and/or Sub –Saharan Africa. Previous leadership of multi-disciplinary teams as a Team Leader or Project Manager/Director is essential.

**Local Government Specialists (#4)**

Professionally qualified and experienced individual with at least a first degree in a relevant field. A minimum of 10 years working experience with at least 5 years dealing with public sector entities and/or local governments in Ethiopia and/or Sub –Saharan Africa.

**Economist/Development specialists (#4):**

Professionally qualified and experienced individual with at least a first degree in economics or field of development studies. A higher qualification in development economics will be an added advantage. A minimum of 10 years working experience with at least 5 years dealing with planning and evaluation of projects/investments as well as economic activities/revenues and expenditures related with public sector entities and/or local government governments in Ethiopia and/or Sub –Saharan Africa .

**Financial Management/Audit Experts (4#):**

Expert in financial management and audits with professional qualifications in Finance related fields (first degree) or Masters/equivalent degree in Economics, Public Finance or Accountancy. A minimum of 10 years working experience with at least 5 years in fields such as audit, accounting/administration; local revenues; intergovernmental fiscal relations involving public sector entities and or local government governments within Ethiopia and/or Sub –Saharan Africa.

**Civil/Infrastructure Engineers/ sustainable infrastructure specialists (#4):**

Graduate civil engineer with a minimum of 10 years working experience, at least 5 years of which have involved specific expertise in the area of local infrastructure projects and development. Practical experience of national and local government procurement systems and procedures for works and goods and consultancy services in Ethiopia and/or Sub –Saharan Africa will be an added advantage.

1. **INPUTS TO BE PROVIDED BY THE CLIENT**

The client will provide to OFAG (or its delegate) at the commencement of the assignment, the relevant documents required for the assignment and other documents as and when requested.

The following documents will be provided by MUDHo and the cities:

* UIIDP Financing Agreement dated ………………...
* UIIDP Program Appraisal Document ( PAD) dated………………
* UIIDP Program Operations Manual (POM) Volume 1 and 2 dated ………..
* UIIDP Environmental and Social Management System and Guidelines (ESMSG) dated ……………….. and UIIDP Resettlement System Guidelines (RSG) dated ………………………...
* UIIDP Annual Performance Assessment Guideline (APAG) dated ……………… or latest version.
* Capital Investment plans including Annual Procurement Plans for all the 44 cities for EFY 2010 (2017/18)
* Asset Management Plans for the 44 cities for EFY 2010-12
* Revenue Enhancement Plans for the 44 cities for EFY 2010-12
* Semi-Annual and Annual Reports of the ULGDP II.

1. **ACCOUNTABILITY AND REPORTING RELATIONSHIPS**

Contractually, OFAG (or its delegate) will be accountable to the Bureau Head, Urban Revenue Enhancement, Fund Mobilization and Finance Bureau (UREFMFB) to whom all reports and deliverables as per the TOR should be submitted. As agency responsible for the overall coordination and implementation ULGDP, the Urban Revenue Enhancement, Fund Mobilization and Finance Bureau (UREFMFB) will sign the contract (or MOU) with OFAG (or its delegate) on behalf of Ministry of Urban Development and Housing. The UREFMFB will also be responsible for all payments to OFAG (or its delegate) once the work has been accepted and cleared for payment. OFAG (or its delegate) is expected to draft a detailed work schedule that elaborates the tasks to be performed and the specific dates of deliverables for UREFMFB 's approval.

**1st Draft**

**January 13, 2018**

**UREFMFB, MUDHo**

Annex 1: VfM Assessment Tool

# TOR for Annual Independent Procurement Audit for EFY 2010

**FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA**

**Ministry of Urban Development & Housing**

**URBAN INSTITUTIONAL AND INFRASTRLOCAL GOVERNMENT DEVELOPMENT PROGRAM (ULGDP II)**

**TERMS OF REFERENCE**

**FOR**

**INDEPENDENT PROCUREMENT AUDIT (IPA)**

**BY**

**REGIONAL PUBLIC PROCUREMENT AND PROPERTY ADMINISTRATION AGENCIES (RPPPPAs)**

**OF 44 ULGs PARTCIPATING IN ULGDP II**

**1st Draft January 2018**

**MUDHo**

**January 13, 2018**

**1.** **INTRODUCTION**

* 1. **Ethiopian Cities Sustainable Prosperity Goals (ECSPG)**

The Ministry of Urban Development and Housing (MUDHo) has introduced the **Ethiopian Cities Sustainable Prosperity Goals (ECSPG**), EFY 2006 (GC 2013/14) to EFY 2017 (GC 2024/25), which will lead to the establishment of Green Growth, Resilient and Well Governed Cities that support Ethiopia’s transformation from a predominantly agricultural nation to a nation with a rapidly growing industrial sector that contributes to the economic growth necessary to achieve middle income country status by 2025. The ECSPG is the Ministry’s contribution to the Government of Ethiopia’s **Growth and Transformation Plan** (GTP1) 2010/11-2014/15 and (GTP 2) 2015/16-20/2020.

The continuous and substantial movement of people from rural villages and homesteads to urban villages, small, medium, and large towns, and to the capital city, and the resulting rapid urbanization, is necessary to support the development of industrial, manufacturing, and service sectors. The societal change that will accompany the agricultural to industrial transformation can only be accomplished successfully with careful and meticulous advance planning that addresses all aspects of the transformation simultaneously. It is for this reason that the Ministry has developed the ECSPG. Its aim is to build the frameworks and provide the foundations – in our towns and cities and in the construction industry – to achieve the country’s vision and for the continued advancement of that vision.

The ECSPG comprises nine pillars – or dimensions - that will contribute to the achievement of middle income country status and bring the desired political-economic transformation. Growth is a key objective of the country’s initiatives and programs for urban development and construction; the main economic objective. The main elements of the political component of the nine pillars that make up the ECSPG are good governance, democratization at local level and the satisfaction of citizens and residents with the delivery of public services and performance of government – at local, regional and federal levels. Together the economic and political interventions of the ECSPG will produce the prosperity that accompanies achievement of middle income country status.

The ECSPG’s nine strategic pillars will contribute to Ethiopia’s achievement of middle income country status by producing a transformation in the economic productivity and in the good governance of cities. Economic transformation will be achieved by increased good urban governance in general and in the focus of the ECSPG on job creation - micro & small enterprise development in particular. This focus will be supported by improvements in leadership development, land use planning, serviced land delivery, housing development, construction industry development, infrastructure, services and green growth development. Investments in all these areas and mobilization of resources to meet increasing operating and investment costs are a main focus of the MUDHo.

The attention given to economic development and governance does not neglect social and environmental development, nor will the key GTP cross cutting issues be neglected. These include gender and children’s affairs, youth and sports development, HIV/AIDS prevention and control, social welfare, labor affairs, population and development, culture and tourism, science and technology, environment and climate change.

The ESCPG is being implemented through many programs including through the Second Urban Local Government Development Program (ULGDP II) under which many of the investments envisaged under the ECSPG and GTP 2 are being made.

* 1. **Urban Institutional and Infrastructure Development Program**

The Ministry of Urban Development & Housing, Regional Democratic Republic of Ethiopia, with support from the World Bank and the Agence Francaise de Developpement (AFD is implementing the Urban Institutional and Infrastructure Development Program (UIIDP) during the period from March 2018 to December 2023.

The UIIDP will provide Performance Grants (PGs) for investments in infrastructure and services and in capacity building for 117 urban local governments (ULGs) and capacity building in all nine Regional Governments (RGs), MUDHo and several Regional Ministries/Agencies.

The UIIDP is being financed through World Bank & AFD Program-for-Results (PforR) financing instrument at the regional and ULG levels and an Investment Project Financing (IPF) instrument at the Regional level. The regional governments and urban local governments are expected to provide matching funds (counterpart contributions) as per the percentages agreed between MUDHo and the World Bank which are stated in the IIDP Program Operations Manual.

Funding available under the UIIDP will depend on the performance of each city and Regional Government assessed annually against verifiable results described in the Program Operations Manual (POM) and in the Annual Performance Assessment Guideline (APAG) which is a standalone Annex of the POM.

Program Development Objective

The Program Development Objective (PDO) of the UIIDP **is to enhance the institutional performance of participating urban local governments to develop and sustain urban**

Key Result Areas

It is expected that the institutional performance improvements and the infrastructure delivered by cities will result in: -

* + - 1. enhanced citizen participation and engagement in ULG planning and budgeting;
      2. increased own source revenue at the ULG level;
      3. improved infrastructure, service delivery, O&M systems;
      4. improved efficiency and effectiveness in fiduciary management;
      5. Improved environmental and social management and safeguards; and
      6. strengthened accountability and oversight systems; and
      7. strengthened ULG resilience, improved local economic development (LED) and enhanced gender equity in the ULG operations.

Key Result Indicators

The key results indicators are:

1. People provided with improved urban living conditions under the UIIDP [corporate indicator].
2. Cities with improved livability, sustainability, and management [corporate indicator].
3. Composite institutional performance of participating ULGs, averaged across all cities.[[50]](#footnote-50)
4. Composite performance forachievement of urban infrastructure and service targets, maintenance performance and value for money in investments by ULGs, averaged across all cities.
5. Composite performance for achievement of LED targets, averaged across all cities

The complete table on the results framework and monitoring is provided in the POM Annex 1.

Program Scope and Coverage of Urban Centres

The UIIDP will have an additional 73 cities to the existing 44 cities making a total of 117 cities that will participate in the program. This substantial scale-up to 117 cities will bring about greater impact in terms of population coverage and size of the Program (increasing beneficiaries from 4.36 million under UGLDP II to an estimated 6.62 million in UIIDP) and result in exponentially larger positive impact for the country. The scale-up allows strengthening of the overall programmatic and performance-based approach to support sustainable urban development and leverages on economies of scale for program management and implementation. In addition, the scale-up is built on the solid foundations and tried-and-tested overall successful experiences of ULGDP I and II. Timely support to improve institutional performance in the planning, delivery, and sustained provision of urban services and infrastructure by local governments is critical especially for these rapidly growing cities.

**Figure 1. Cities Participating in UIIDP**

Key Features and Financing Modalities

The program will provide 4 rounds of performance grants in EFY 2012 (2019/20), EFY 2013 (2020/21), EFY 2014 (2021/22), and EFY 2015 (2022/23). Total UIIDP expenditures over this period are estimated at Ethiopian Birr (ETB) 20.1 billion (US$ 859.86 million), of which ETB 14 billion (US$ 600 million of which US$200 million is from IDA Scale Up Funding - **70%** will be provided by the World Bank and ETB 262 million (US$11.2 million) -**1%**- will be provided by AFD and ETB 5.8 billion (US$248.66 million[[51]](#footnote-51)) – **29%** - will be provided by regions and ULGs as matching fund contributions.

ULGs will use the Program funds to finance urban infrastructure works as well as capacity building activities, in compliance with the Program’s investment menu and capacity building manual. Eligible infrastructure investments fall under eight groups including: (a) urban roads, (b) integrated infrastructure and land services, (c) sanitation (liquid waste), (d) solid waste management, (e) urban drainage, (f) urban disaster risk management and urban resilience, (g) built facilities, and (h) urban green infrastructure. Ineligible investments include any World Bank environment and social impact assessment Category A projects. Compliance with the investment menu is a minimum condition for receiving funds. In addition, ULGs will be required to prepare the project in a participatory manner, and consider: (a) social inclusion requirements, including gender and disability considerations; (b) climate change and disaster adaptation; and (c) contribution to LED and long-term job creation.[[52]](#footnote-52) ULGs could also spend up to 5 percent of investment grants and regional/city contributions on capacity building support. For regional government entities, the grants will mainly be used for capacity building, operations and management expenses, subject to the eligible capacity building areas, similar to the ULGs.

Disbursement Linked Indicators, Minimum Conditions, Performance Measures and Verification Protocols

Almost 96 percent (or around US$576 million) of the Operation’s funds will be disbursed against disbursement linked indicators (DLIs). The DLIs are structured to provide incentives to participating ULGs and regional governments for improved management and development of urban areas. (More details on the DLIs, MCs, PMs, performance assessments, verification protocols and disbursement arrangements are provided in the UIIDP Annual Performance Assessment Guideline (APAG) which is a part of this POM and is a standalone Annex of the POM

**DLIs 1 to 4 focus on ULGs to strengthen ULG institutional roles in the delivery of infrastructure and services, and enhance local economic development**. Each of these DLIs is a composite index of defined MCs and PMs.

**The disbursement system for DLI 1, 2, 3, and 4 is scalable based on actual performance of ULGs**. It is particularly important to note that if the ULGs perform better (or poorer) than expected (as set out in the disbursement related targets in the DLI matrix), disbursements will be adjusted accordingly. This means that if ULGs perform higher than expected they will receive higher than expected disbursements. If this continues throughout the Program, additional financing may be needed.

**DLIs 5 to 9 focus on regional government entities** **to enhance their abilities in fulfilling their mandates to support ULGs.**These DLIs will disburse based on results achieved by regional government entities in providing support to ULGs (DLI 5) as well as focusing on their performance in conducting essential audits for ULGs such as on fiduciary and environmental and social management.

**DLI 10 is a legacy DLI disbursing against prior results achieved under the ULGDP II** that has arisen due to overachievement of performance results. This DLI will be disbursed upon verification in FY 2018/19, when the fifth APA of the ULGDP II has been completed in February 2018.

**Collectively the DLIs address the PDO and key result areas**. The DLIs are designed to address the challenges of ULGs’ and regional governments’ institutional performance and, in turn, ULGs’ ability to deliver, operate, and manage infrastructure and services, and expand LED. They provide incentives to address the core issues such as on timely audit, social and environmental management, own-source revenue generation, and strengthen the system and procedures for capacity building. In addition, there is enhanced focus to strengthen urban resilience, promote LED and job creation, and enhance gender equality. The PMs have a direct link to the key result areas and the GoE’s program intended outcomes.

The UIIDP APAG provides that the assessment for DLI 9 will carried out as per Table 1 below.

**Table 1. DLI 9. Regional Procurement Audit by the RPPPAAs**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **9** | **Regional Procurement Audit by the RPPPAAs** | |  |  |  |
|  | 1. | RPPPAAs carry out timely and quality procurement audits of participating ULGs under their jurisdiction (final procurement audit report is issued no later than **January 7** after the EFY to which the audit applies). | prior | **Audit report produced timely.**  *First Year,* RPPPAA must prepare a procurement audit plan with TOR for the audit to get access to funds.  *From Second* APA:  **As a minimum condition to access fund** related to audit of a ULG, RPPPAA must deliver timely audit (**by 7 January** of the year following the performance year). If the condition is satisfied, scoring calibrated as as shown in (2) and (3) below: -: | Procurement Audit with its transmittal letter dated before **7 January** of the year following the performance year. |
| prior | **Quality of Audit (25% reduction max)**  Audit Planning Sampling, Audit Execution, and Audit Reporting as per the TOR included in the POM   * The Audit Planning includes audit schedules, audit entry meeting; timely notification of the auditee on the audit to be conducted; * The Audit staff/consultant shall have a minimum of 5 years relevant experience and BA/BSC Degree in procurement and supply chain management, Economics, Law, Engineering, Management, Accounting or other related fields of study * The selected samples are representative considering the nature, complexity, value, and method of procurement; * The Audit was conducted as schedule without unnecessary disruptions; * The Audit Report is completed enough documenting the auditing procedures followed, audits carried out on all the stages of the procurement and contract management process, audit findings/recommendations, audit report written in a clear language and concise and manner; * Consistency of Audit Recommendations with Audit findings;   If 4 out of 6 satisfied, no reduction for each ULG  **Scoring:**  If below, reduction for respective ULGs that are not complied with 25 % | Audit report duly signed by the RPPPAA.  Attendance sheets for Audit entry and exit meetings.  Letters from RPPPAA notifying the auditee on the audit schedule;  Letters from RPPPAA submitting the Audit reports. |
|  | 3. | Follow up of implementation of Audit Findings and Recommendations **(25% reduction max)** | prior | A checklist of audit findings/recommendations showing all audit findings/recommendations of the previous year (including those spilled over from previous years, if not addressed); status of implementation of each finding/recommendation, action taken on offenders  **Scoring:**  If not complied with 25% reduction for each ULG there this is not complied with. | RPPPAAs’ audit findings/recommendations follow up checklist. |

1. **BACKGROUND TO THE INDEPENDENT PROCUREMENT AUDIT OF ULGs PARTICIPATING IN UIIDP**

In terms of the program design and project manuals/guidelines, the procurement audit, which is required by Ethiopian law, is conducted as part of the APA by an independent APA Consultant for the first three assessments years i.e. EFY 2007 (2014/15); EFY 2008 (2015/16) and EFY 2009 (2016/17). It was envisaged that during this period the capacity of the Regional Public Procurement and Property Administration Agencies would be built up by FPPA and MoFEC so they could do the procurement audits as from the audit of the EFY 2008 (4th APA for allocations for EFY 2010).

Therefore, in order to enable the Regional Public Procurement Agencies (RPPPAAs) to carry out the procurement audit, provision of initial capacity building interventions were planned and carried out as follows:-

* Procurement Audit Training (PAT) consultant was recruited by the World Bank and FPPPAA and prepared Procurement Audit Manual, PAT manual and provided 1st round ToT for 68 participants, June 8-19, 2015
* Procurement Audit Training provided by FPPPAA and MUDHo in June 2016 at Bishoftu

The RPPPAAs then conducted the Procurement Audit for EFY 2008 with a few doing it well and others requiring further improvement regarding the quality of the audits. It was a good start. The RPPPAAs also conducted the Procurement Audit for EFY 2009 and this is yet to be reviewed on whether the quality of audits has improved. The MUDHo and FPPPAA will in conjunction with the World Bank holding a workshop in May/June 2018 to review the quality of reports, and to give additional guidance and training to the RPPPAAs to prepare them for the EFY 2010 Audit which will start in August 2018

1. **OBJECTIVES OF THE INDEPENDENT PROCUREMENT AUDIT**

The objectives of this Procurement Audit are as follows:

* 1. To review at the ULG level, the availability, sustainability and operationally effectiveness of the program procurement systems (legislative, institutional and operational systems including availability of qualified staff, tender award committees and complaints handling systems) and overall performance of the system in terms of procurement planning and implementation;
  2. To review the procurement planning, processing, contracting, and implementation processes for all the participating cities, to confirm their consistency with the Program Appraisal Document (PAD), agreed program procurement systems, Project Operational Manual and the Financing Agreement;
  3. To seek a professional opinion on compliance by the procurement processes with the general principle of economy and efficiency, equal opportunities, transparency and verify technical compliance, physical completion and price competitiveness of each contract in the selected representative sample of contracts;
  4. To review the capacity of implementing agencies (ULGs) in handling procurement efficiently, comment on the quality of procurement and contracting, and identify reasons for delays, if any and overall, how procurement management facilitates Program implementation;
  5. To identify any indicators of questionable standards of ethics in the procurement management and oversight environment that make the processes vulnerable to fraud and corruption or collusive and obstructive practices, and report any suspicious cases;
  6. To review the effectiveness of procurement complaints handling, contracts implementation effectiveness in terms of quality delivery (timeliness, cost and fitness to the purpose).
  7. To recommend actions needed to improve project procurement and contracts delivery performance in light of deficiencies.
  8. Produce an annual independent procurement audit report to be provided to the audited ULG, Regional Bureau of Finance and Economic Development, Regional Bureau of Urban Development (RGs), Regional Offices of Auditor Generals, FPPPAA, MUDHo and World Bank.

1. **SCOPE OF THE PROCUREMENT AUDIT**

The annual Independent Procurement Audit (IPA) will cover all the cities in the region that are participating in the UIIDP and review the proper implementation of the program procurement system, institutional setups, availability of skilled staff and clear procurement decisions and delegations. Apart from the institutional and legal systems, the IPA will look in to the procurement planning and effectiveness of the plan implementation. The Regional Public Procurement and Property Administration Agency (RPPPAA) will sample contracts procured from each participating city and conduct detailed review of the entire transaction process from compliance and performance aspects. The Procurement Audit will cover a minimum of 25% of all completed contracts by each implementing ULG each audit year.

1. **METHODOLOGY OF THE PROCUREMENT AUDIT**

The Procurement Audit exercise may be conducted in the following stages:

***Stage 1 - Inception Planning***. This stage will involve reviewing the most recent Procurement audit reports, if any, and obtaining an original and updated, if any, approved procurement Plan, list of contracts (contracts register) procured during the audit period/FY, and agreeing the dates for the cities visits. Inception planning will involve finalizing the list of contracts to be audited per city; scheduling the visits to the cities; and obtaining the Client’s consensus of the inception plan. During this period, the auditor is required to review all the program documents to better understand the implementation arrangement, program procedures and manuals.

***Stage 2 – Procurement Audit/review***. The audit of procurement will involve reviewing of the implementation of action plans to address previous audit findings, implementation of the program system (legal framework, procurement planning(including verification that all eligible procurements in reference to the financial expenditure summary were included in the Procurement Plan), use of SBDs, bidding documents, bid evaluations, functionality of the procurement units, r6gtender committees, effectiveness of decision matrix, internal controls including procurement audits by internal audit, and complaints handling and contracts management); progress of implementation of Program Action Plan on procurement ; updating the organization of the procurement function at the implementing agency (ULGs); a detailed audit of the sample of contracts; physical inspection of assets and deliverables under the contracts; and preparation and submission of the draft Independent Procurement Audit Report. The Procurement audit coverage may be broadly divided in to four areas: (i) Review of application of procurement legal framework/system; (ii) institutional performance; (iii) procurement process management and (iv) contracts management and results.

***Stage 3 – Final Procurement Audit Report***. Preparing the Draft Procurement Audit Report will involve discussion of the draft report with the ULG and Client in the form of audit exit meeting; incorporating all new information and comments provided by the ULG & Client into the draft report including satisfactory Management response as to how the audit issues will be resolved; and submitting the final audit report to the audited ULG, Regional Bureau of Finance and Economic Development, Regional Bureau of Urban Development (RGs), Regional Offices of Auditor Generals, FPPPAA, MUDHo and World Bank.

* 1. **Detailed Steps and Procedures**

**Coordination and Conflict of Interest**. The procurement audit exercise is conducted in five stages. RPPPAA official assigned for the purposes of a procurement audit, shall avoid any circumstances of conflict of interest and must not audit any of the cities and contracts where (s) he has provided advice or performed the procurement function.

**Stage 1. Inception Planning.**

***Objective.*** The objective of this stage is to finalize the work plan, scope and program of the Procurement Audit.

***Documents***. The RPPPAA should obtain the following documents of the Project to facilitate the planning of the Procurement audit.

1. Original and updated, if any, Procurement Plan approved by the cities/regions/federal levels (usually part of approved CIP document).
2. Most recent Procurement Audit Report, Report on the implementation of status of the action plan to address previous audit findings, Value for Money Audit Report and Annual Performance Assessment Report, if any.
3. For the period under audit: Program (Financial) Monitoring Report and List of all contracts executed by the city.
4. Financing Agreement and any amendments
5. Program Appraisal Document.
6. Program procurement system legal documents;

***Contracts Review/Audit Data Sheet***. It may be useful to develop a standard “contract audit data sheet” to perform the initial documentary audit. For each of the selected contracts, key information should be gathered based on documents obtained from the Client. The aim of this initial review is not necessarily to find all the information, which will be needed for the purpose of the audit, but rather to collect and compile key procurement data to the greatest extent possible, based on documents made available to the Auditor. In some instances, specific contract information may not be found at the initial audit stage. This may be retrieved during later stages of the audit or identified as a deficiency in the information trail of the project.

***Sampling of Projects/Contracts for Audit***. The RPPPAA will select 25% of the completed contracts awarded by each city administration. If the auditor should find it necessary, during the conduct of the audit, to introduce variations to the number, nature and other aspects of contracts to be audited, such changes should be agreed in advance with the Client.

***Output***. The RPPPAA will then finalize the work plan, Site Visit arrangements, and Implementation Schedule for the audit as agreed with the Implementing Agencies. All the arrangements, list of selected contracts and dates of visits will be compiled into an Inception Plan report and submitted for the Client’s approval.

**Stage 2. Conduct of the Procurement Audit**

***Objective.*** The objective of this stage is to carry out the procurement audit at each city administration level.

***Methodology***. The procurement audit is carried out in the presence of and in close collaboration with the procurement staff of the implementing agency/cities. The implementing agency will be informed of the audit well in advance and given opportunity to prepare any required documents in advance of the site/cities visit. Rating of performance of the various procurement activities will as far as possible be concluded after discussion with the relevant staff and justification recorded against the final rating.

***Compliance with FAs.*** The RPPPAA will verify whether procurement and contracting procedures and processes followed by the Implementing Agencies are in compliance with procedures agreed as program system and other agreed procedures in conformity with approved city Procurement Plan, the regional proclamations, directives and manuals as well as Program Financing Agreement, PAD and Program Operational Manual.

***Physical Inspection****.* The RPPPAA will verify, to the extent possible, whether goods, works, and consulting and non-consulting services contracted were supplied/completed according to the required specifications and technical standards and comment on the reasonableness of prices and physical completion of the contract. In this context, the Auditor will randomly select 10% of the number of contracts under audit under each category of goods and works and visit the project sites to carry out the physical inspections. Depending on the type of goods/works, the following types of inspections should be performed as appropriate: (a) standard physical inspections of goods/installations: quality control (conformity with technical specifications stipulated in the contract) and confirmation that quantities were delivered; (b) site visits to works: field visits should be undertaken to verify the status of works or to confirm their completion, documentary checks (certificates of acceptance/completion, defects list, tests, etc.) should also be made. Where appropriate, and to the extent practical, prices should also be compared with similar contracts financed by other agencies in the country and the region and verified against local and international market prices for the items in question.

***Fraud and Corruption****.* Identify and report on any red flags and possible cases of fraud and corruption and/or suspected cases of collusive, coercive, or obstructive practices as defined in the Bank’s fraud and corruption guideline.

***Output.*** The output from this stage of the assignment is the preparation of a brief summary of findings on each sampled contract which should be completed immediately after the audit and discussed with the ULG at the exit conference before the RPPPAA departs from the city. The brief summary of findings and minutes of the exit conference will be prepared by the RPPPAA and signed by both parties. One copy of the summary and minutes will be given immediately in the field to the ULG and copies will be annexed later to the Procurement Audit Report for the city.

**Stage 3. Preparation of the Final Annual Independent Procurement Audit Report**.

***Objective***. The objective of the third stage is to prepare the Final Annual Independent Procurement Audit Report.

***Methodology.*** The RPPPAA will prepare the Final Annual Independent Procurement Audit Report for each city which will be submitted to the audited ULG, Regional Bureau of Finance and Economic Development, Regional Bureau of Urban Development (RGs), Regional Offices of Auditor Generals, FPPPAA, MUDHo and World Bank.

The report will be as per the format in Annex 4.

***Output.***  The Final Annual Independent Procurement Audit Report.

for each city will be issued.

1. **DELIVERABLES**

As mentioned above, the conduct of the Procurement Audit will be in three stages with distinct outputs as follows:

1. **Stage 1**: The RPPPAA output at this stage will be an **Inception Plan** detailing: (i) the work plan, (ii) the list of contracts to be reviewed in each City and (iii) the implementation schedule of the audit (including site visits and dates) for the Client’s prior clearance. This stage and output, **should not exceed ten (10) days** **from the commencement of services**,
2. **Stage 2**: The output from this stage will be the RPPPAA’s brief summary of findings on each sampled contract and minutes of the exit conference. These will be given to the ULG in the field and copies will be annexed later to the Final Annual Procurement Audit Report.
3. **Stage 3**: The output from this stage will be the **Final Procurement Audit Report** on the audited City.
4. All reports and deliverables are to be delivered in English Language in both hard and electronic copies (7 copies each). One copy each will be submitted to the ULG, Regional Bureau of Finance and Economic Development and Regional Office of the Auditor General, and the remaining four copies will be submitted to the Regional Bureau of Urban Development who will retain one copy and submit three copies to MUDHo who will retain one copy and submit one copy each to FPPPAA and the World Bank.
5. **DURATION OF THE PROCUREMENT AUDIT AND ASSIGNMENT OF STAFF FOR THE AUDIT**

This depends on the number of cities in each regional state.

The RPPPAA will have the responsibility for estimating the number of staff required and costing the man day requirement for the assignment. The RPPPAA will assign properly qualified, trained and experienced staff for the procurement audit. The **assignment should commence soon after the end of the financial year on July 7, 2018** **but should commence not later than August 31, 2018**. It should be completed by not later than October 31 each year.

1. **TEAM COMPOSITION AND QUALIFICATIONS**

The Procurement audit team should have one team leader and, depending on the number of auditee entities (number of cities in each Regional State) and possible number of contracts to be reviewed, minimum of two procurement and public contract management experts. Each of them should have minimum of first degree qualifications in procurement, supply chain management, Law, commerce, engineering and related field of studies with minimum of eight years of direct experience in public contracts procurement and management. For RPPPAA staffs, attendance of Procurement audit training is mandatory. Knowledge of public financial sector management, institutional performance development and auditing will be an advantage. Special training on Program for Result implementation monitoring and procurement audit would be an advantage. **Annex 1 to TOR**

**Note on the Selection of the Sample contracts**

1. To assist the RPPPAA in selecting the audit sample, the Client (or ULG) will provide to the RPPPAA, at the time of contract signature, comprehensive lists of contracts, if available, for each city and copies of the relevant FAs and, Program Appraisal Document (PAD), and previous procurement audit reports including a report on the status of implementation of the action plan to address previous audit findings and recommendations , value for money audit reports and Annual Performance Assessment Report. On the basis of the information provided by the Client and other sources, the Auditor will prepare the list of contracts to be audited in each City.

2. The following criteria and considerations should be used in selecting the sample contracts to be audited:

* The Auditor shall verify that all eligible procurements in reference to the financial expenditure summary were included in the Procurement Plan before sampling. If there are procurements carried out outside the procurement plan, the sampled contracts for auditing shall include those.
* Nature, size and complexity of contracts will be taken in to considerations while sampling the **25%** of contracts for detail review. In addition, to the extent possible, the audit sample should cover most of the following categories/scenarios:
  + ***Nature***: civil works, goods, non-consulting service contracts, supply and installation, consulting services;
  + ***Complexity***: simple, less complex and complex;
  + ***Value***: high, medium and low;
  + ***Critical items***: Contracts that are necessary for the success of the project;
  + ***Method of Procurement***: Pre-qualification, Single/Two Stage bidding, ICB, NCB, LIB, Shopping Direct Contracting, etc. for goods/works/non-consulting services; QCBS, QBS, Least-Cost, Individual etc. for selection of consultants; and
  + ***Contract awards***: contracts awarded to the lowest evaluated bidder which met the qualification criteria; awarded to higher bids as the lowest bidders failed to meet the qualification criteria or for other reasons, etc, awards to national or international firms, awards to single and multiple lots, awards affected by domestic preference.
  + ***Contract Management***: Contract amendments, price revisions, protests/claims during contract execution and bidding stages.

3. The RPPPAA shall audit project files with special focus on the following aspects, documentation and procedures:

* Executing Agency's Capacity, Adequacy of Staff (availability and skills); Role of Procurement Agents/Consultants; Implementation Arrangements; defined procurement decision roles, maintenance of Minimum Access Conditions;
* Procurement Plans and Monitoring;
* Advertising;
* Pre/Post Qualification;
* Short listing (for Consultancy)
* Bidding Documents;
* RFP (for consultancy)
* Bid Opening
* Evaluation and Awards;
* Technical Proposals Evaluation Report
* Combined evaluation report
* Bid Validity Extensions;
* Protests or complaints from Bidders/Contractors;
* Signed Contracts;
* Contract Amendments and Change/Variation Orders;
* Delays in payments; actual contract payments vs. contract award amount;
* Securities (for Bid, Performance, Advances, Insurance, Liability, etc.);
* Contractors’ Claims/ Contractual Disputes and their Resolution;
* Damages and Penalties for Delays, non‑compliance with Functional Guarantees, etc.;
* Reasons for Slow Progress of Completion;
* Imports, Customs, etc. if any;
* List of deliverables and completion (date, description, quantity, location of goods or works, inspection and acceptance reports);
* Other Relevant Matters.

Using the documents and information itemized above and other information collected during the audit, the RPPPAA shall compile a comprehensive history of the procurement process for each contract audited.

4. Distortions in the procurement process are frequently manifested in one or more of the following situations:

* low participation of bidders and reduced competition;
* one or more bidders winning a disproportionate amount of contracts in a project over time;
* bid prices consistently over cost estimates and/or current market prices;
* Significant differences in the technical scoring of the first and second ranked bidders;
* significant number of changes from bid to contract award and to final completion; and
* significant and recurring increases in the final contract price over the original bid price and/or the original contract price.
* Significant Variation Orders (change orders);
* Inordinate delays in procurement decision making;
* Unjustified cancelation of procurement process;
* Repetitive request for extension of bid validities;
* Rejection of majority of bids and ending up with single qualifier

5. If patterns are identified in a series of contracts, which reflect any of the above distortions, one or more of the contracts in the series should be selected for more detailed audit in the audit sample.

**Annex 2 to TOR**

**Checklist of Data and Documents to be Made Available by the Client to the Procurement Auditor for each City**

Program Appraisal Document (PAD).

Credit Agreement, Guarantee Agreement, Program/Project Agreement (the legal documents).

All amendments to the legal documents.

Agreed Program Action plans.

Program/Project Operational Manual.

Annual Performance Assessment Guideline (APAG).

Annual/semi-annual reports from the Executing Agencies, as available.

Financial audits, previous procurèrent audits including a report on the status of implémentation of the action plan to address previous audit findings , value for money audits.

Relevant Program/ Project Status Reports (PSRs); relevant correspondance files, etc.

In addition, the RPPPAA will be given web references and, as needed, copies of the Government Guidelines, Standard Bidding Documents and other relevant procurement notes and policy statements including Regional Guidelines on Standard Bidding Documents, Evaluation Reports, etc. A list of the Federal and Regional PPAs publications, notes, etc., dealing with procurement and consultant services will be given to the Auditor so that they can request any additional publications, notes, etc., which they may consider relevant.

**Annex 3 to TOR**

**Checklist of Documentation to be provided by the Executing Agencies**

For All Contracts in the Audit Sample:

1. Original and **Updated, if any, approved Procurement Plan, including list of all contracts.**

2. **Publications in National Press and other Trade Journals.**

3. **National Competitive Bidding** **(NCB) procedures**:

4. **Consultant Contracts**:

1. Request for Expressions of Interest (consultants), if applicable:
   * date and publication.

1. Request for Proposals and Short List (consultants):
2. Clarifications and Addenda issued:

1. Records and minutes of proposal opening:
2. Evaluation of proposals (consultants):
3. Minutes of Negotiations and Signed Contract (consultants):
4. Signed Contracts and Contract Amendments:
5. Payment invoices and evidences of payments:
6. Deliverables and Reports.

5. **Goods, works, technical services and non-**

**consulting services contracts**:

1. Invitation for pre-qualification, if any:
   * date and publication.
2. Prequalification Documents, if any:

* Clarification requested and issued; and
* Addenda issued.

1. Prequalification Evaluation, if any:

* Clarification requested and received; and

1. Invitation for Bids:

* date and publication.

1. Bidding documents:

* Clarifications requested and issued;
* Addenda issued;
* Minutes of pre‑bid and site meetings.

1. Bid Evaluation Report:

* Minutes of bid opening;
* Clarifications requested and received;
* Complaints received and responses;

1. Notification of Award/Letter of Acceptance
2. Signed Contract:
3. Contract Amendments, if any:
4. Payment invoices and evidences of payments:
5. Inspection and Acceptance Reports.

6. Any other relevant information/documentation required by the Auditor relating to contracts reviewed.

**N.B.**

Additional formats for the collection of data for World Bank Post Procurement Audit are attached in Annex 10 for Shopping, NCB, QCBS contracts procurement methods)

**Annex 4 to TOR**

**Reporting Format for Final Annual Independent Procurement Audit Report**

Title Page with information on: Country Name; Region name; City name; Project Name; Name of the Client/Agency; Name of RPPPAA that conducted the Procurement Audit; Date of Report.

Table of Contents

List of Tables

List of Figures

Acronyms and Abbreviations

Acknowledgements

Executive Summary including the findings on the Audit of the Cities procurement environment including: status of implementation of previous audit findings and recommendations, if any, institutional setups, procurement decision matrix and staff availability; Procurement Planning and monitoring; ongoing procurement processes and implementation issues; signed contracts, assessment of risk to procurement, complaints handling and resolution issues; internal controls including procurement audits by internal audit, contract administration issues, results achieved and recommendations for improvements and proposed actions.

**Section 1**: **Introduction**

(Background; Objectives of Assignment; Approach & Methodology, Reference documents, Audit Scope and Approach, Audit/Assessment Process, Organization of the Assignment Teams. Logistics, dates of visits, Challenges faced, Team Responses to such challenges.

**Section 2**: **Main Findings**

**Section 3**: **Conclusion, Observations and Recommendations**

* Narrative (conclusions, observations and recommendations); and
* Table as per format below

|  |  |  |
| --- | --- | --- |
| **No** | **Observation** | **Recommendation** |
| 1 |  |  |
| 2 |  |  |

Annexes containing detailed audit data, supporting documents as evidences, if necessary.

Procurement register and list of selected/sampled contracts for detailed inspection with detailed information.

**Annex 1: Contract procurement review Data collection samples from World Bank Experience (optional for use):**

**Annex 1.1: Worksheet for Post Review of Procurement Processes and Contract Administration of Contracts Awarded under Shopping Procedure not subject to Prior Review**

| **Date of Review:** | | **Name of Reviewer:** | |
| --- | --- | --- | --- |
| **Contract Name/No/** | **Contract Date:** | | **Contract Amount USD:** |
| **Contractor’s Name and Address:** | | | |

|  |  |
| --- | --- |
| **Aspects** | **Findings and Comments** |
| Procurement Documentation (Filing) | What was missing in the file ?  Does the unit keep all procurement files in one location ?  Who handle the filing?  Are evidence of payment (e.g. payment vouchers, receipts) filed separately in the finance unit? |
| Is this Contract in the Agreed Procurement Plan?[[53]](#footnote-53) |  |
| Solicitation Letter issued to minimum of three firms and the names of the firm to whom sent | Date of Solicitation Letter:  Closing Date:  Sent to: |
| Time allowed for submission of written quotations | # …… days |
| Verification (not evaluation) of existence of the quotations.  Names of suppliers who gave quotations | Names of the suppliers who responded to the solicitation letter are:  1) Name, bid amount  2)  3) |
| Quotation evaluation report and date; were quotations opened at the same time?  Comments if any | Evaluation report date:  Quotations opened at the same time? |
| Signed Contract / Purchase Order document | Date of signed contract or Purchase Order Document:  Date of beginning and end of the contract: |
| Bill of lading/Way Bill, if any |  |
| “Delivery Receipt” or “Store Receipt | Date & Delivery Receipt No. |
| Complaints or related matters | If yes, date of complaint:  Name of complainant:  Date resolved:  Fairness and Treatment of bidder’s complaint: |
| Actual completion date |  |
| Timeliness of Payments | # of days between Date of Invoice and Payments? |
| Indication of possible Governance Issues |  |
| Physical inspection for this contract? |  |
| Other matters |  |
| Compliance with key agreed provisions  Yes or No (explain) |  |

**Annex 1.2: Worksheet for Post Review of Procurement Processes and Contract Administration of Goods/Works Contracts not subject to Prior Review**

*[To be prepared by the Borrower in advance]*

| **Date of Review:** | **Name of Reviewer:** |
| --- | --- |
| **Contract Name/No/Date:** | **Contract Amount USD:** |
| **Contractor’s Name and Address:** | |

**PROC. METHOD:** ICB NCB LIB Direct ContractOthers, specify: \_\_\_\_\_\_\_\_\_\_

**CATEGORY:** Goods Works Non-Consulting Services

|  |  |
| --- | --- |
| **Aspects** | **Findings and Comments** |
| Procurement Documentation (Filing) | What was missing in the file ?  Does the unit keep all procurement files in one location ?  Who handle the filing?  Are evidence of payment (e.g. payment vouchers, receipts) filed separately in the finance unit? |
| Is this Contract in the Agreed Procurement Plan?[[54]](#footnote-54) |  |
| Advertising | Date of Advertisement:  Where was it advertised? |
| Pre/Post qualification |  |
| Quality of Bid Documents |  |
| Time allowed for submission of bids | Closing date for Advertisement:  Number of days to submit bids:  Is the number of days sufficient?  If no, how many days should have been given to the bidder: |
| Bid opening & minutes of bid opening date(s) | Bid Opening Date:  Minutes of Bid Opening on file:  Who attended the Bid Opening?  Was price read out loud?  Record of the read out prices: |
| Bid security records: Is it as stated in the bidding document? |  |
| BER, verify existence of bids and give Names of bidders, checking also their eligibility |  |
| Methods used in the evaluation of bids and awards of contracts objectives & made known in the bidding documents and not applied arbitrarily? |  |
| Bid validity Extensions? How many days? Is the bid validity valids? |  |
| Publication of contract award | Date of Publication:  Where was it published? |
| Contract document (same as for selected bid ?) |  |
| Reference to Bank and “no objection,” if any (not required under Agreement) | Date of NOB  OR N/A |
| Advance payment and guarantee: details and records: |  |
| Performance Security details and records | Name of Bank:  Amount: |
| Complaints and related matters | If yes, date of complaint:  Name of complainant:  Date resolved:  Fairness and Treatment of bidder’s complaint: |
| Contractual completion date ( extended? amendments, variation orders acceptable?) | Plan date for end of contract as scheduled:  Actual:  Date of Amendment, if any:  Revised date for contract to end:  Actual:  Variation orders:: |
| Actual completion date |  |
| Contract payments same as contract? | Contract payments scheduled in the contract:  Was it paid as scheduled? Any deviation? Why? |
| Bill of lading/Way Bill, if any |  |
| Delivery receipt or like instrument |  |
| Liquidated damages, details and enforcement for delays. |  |
| Timeliness of payments | Invoice date: Payment date:  Number of days to process payment:  Is this in accordance with the contract? : |
| Indication of possible Governance Issues? |  |
| Other matters |  |
| Justification for direct contract (if applicable) |  |
| Compliance with key agreed provisions – Yes or No (explain) |  |
| Physical inspection for this contract |  |

**Annex 1.3: Worksheet for Post Review of Procurement Processes and Contract Administration of Consultants Contracts not subject to Prior Review**

*[To be prepared by the Borrower in advance]*

|  |  |
| --- | --- |
| **Date of Review:** | **Name of Reviewer:** |
| **Contract Name/No/Date:** | **Contract Amount USD**  **$** |
| **Consultant’s Name and Address:** | |

**PROC. METHOD:** QCBS QBS Fixed Budget Least Cost

CQS Single Source Others, Specify: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**CATEGORY:** Firm Individual

|  |  |
| --- | --- |
| **Aspects** | **Findings and Comments** |
| Procurement Documentation (Filing) | What was missing in the file ?  Does the unit keep all procurement files in one location ?  Who handle the filing?  Are evidence of payment (e.g. payment vouchers, receipts) filed separately in the finance unit? |
| Is this Contract in the Agreed Procurement Plan?[[55]](#footnote-55) | Date of Procurement Plan: |
| Advertising | Date of Expression of Interest:  Closing Date:  Where was the EOI advertised |
| Request for Proposal |  |
| Shortlist | Date of Short-List:  How many on the short-list?  Short-List is composed of the following consultant (or firm), Country: |
| Time allowed for submission of proposals |  |
| Evaluation Criteria |  |
| Technical Evaluation |  |
| Evaluation report, and comments, if any (verify existence of proposals) |  |
| Financial Bid Opening | Bid Opening Date: |
| Combined quality and cost evaluation |  |
| Publication of contract award | Date and name of publication: |
| Signed Contract / Purchase Order document | Contract No. (or Purchase Order No).……………….. Date of contract signature: |
| Advance payment guarantee etc. |  |
| Complaints and related matters | If yes, date of complaint:  Name of complainant:  Date resolved:  Fairness and Treatment of bidder’s complaint: |
| Contractual completion date |  |
| Actual completion date | Date of final Report:  If report was not final or no certification of service delivery, explain why? |
| Output/reports |  |
| Timeliness of Payments | Date of invoice:  Date of payment:  Number of days to pay invoice:  Is # of days acceptable? If no, what would you recommend? |
| Indication of possible Governance Issues |  |
| Other matters |  |
| Single source justification (if applicable) |  |
| Compliance with key agreed provisions – Yes or No (explain) |  |

# TOR for Annual Environmental and Social Audit for EFY 2010

**FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA**

**MINISTRY OF URBAN DEVELOPMENT AND HOUSING**

**URBAN INSTITUTIONAL AND INFRASTRUCTURE DEVELOPMENT PROGRAM**

**Terms of Reference for Consultancy Service to Provide the UIIDP Annual Environmental and Social Management System Performance Audit  
 for EFY [to be inserted]**

**1….INTRODUCTION**

**Ethiopian Cities Sustainable Prosperity Goals (ECSPG)**

The Ministry of Urban Development and Housing (MUDHo) has introduced the **Ethiopian Cities Sustainable Prosperity Goals (ECSPG**), EFY 2006 (GC 2013/14) to EFY 2017 (GC 2024/25), which will lead to the establishment of Green Growth, Resilient and Well Governed Cities that support Ethiopia’s transformation from a predominantly agricultural nation to a nation with a rapidly growing industrial sector that contributes to the economic growth necessary to achieve middle income country status by 2025. The ECSPG is the Ministry’s contribution to the Government of Ethiopia’s **Growth and Transformation Plan** (GTP1) 2010/11-2014/15 and (GTP 2) 2015/16-20/2020.

The continuous and substantial movement of people from rural villages and homesteads to urban villages, small, medium, and large towns, and to the capital city, and the resulting rapid urbanization, is necessary to support the development of industrial, manufacturing, and service sectors. The societal change that will accompany the agricultural to industrial transformation can only be accomplished successfully with careful and meticulous advance planning that addresses all aspects of the transformation simultaneously. It is for this reason that the Ministry has developed the ECSPG. Its aim is to build the frameworks and provide the foundations – in our towns and cities and in the construction industry – to achieve the country’s vision and for the continued advancement of that vision.

The ECSPG comprises nine pillars – or dimensions - that will contribute to the achievement of middle income country status and bring the desired political-economic transformation. Growth is a key objective of the country’s initiatives and programs for urban development and construction; the main economic objective. The main elements of the political component of the nine pillars that make up the ECSPG are good governance, democratization at local level and the satisfaction of citizens and residents with the delivery of public services and performance of government – at local, regional and federal levels. Together the economic and political interventions of the ECSPG will produce the prosperity that accompanies achievement of middle income country status.

The ECSPG’s nine strategic pillars will contribute to Ethiopia’s achievement of middle income country status by producing a transformation in the economic productivity and in the good governance of cities. Economic transformation will be achieved by increased good urban governance in general and in the focus of the ECSPG on job creation - micro & small enterprise development in particular. This focus will be supported by improvements in leadership development, land use planning, serviced land delivery, housing development, construction industry development, infrastructure, services and green growth development. Investments in all these areas and mobilization of resources to meet increasing operating and investment costs are a main focus of the MUDHo.

The attention given to economic development and governance does not neglect social and environmental development, nor will the key GTP cross cutting issues be neglected. These include gender and children’s affairs, youth and sports development, HIV/AIDS prevention and control, social welfare, labor affairs, population and development, culture and tourism, science and technology, environment and climate change.

The ESCPG is being implemented through many programs including through the Second Urban Local Government Development Program (ULGDP II) under which many of the investments envisaged under the ECSPG and GTP 2 are being made.

**Urban Institutional and Infrastructure Development Program**

The Ministry of Urban Development & Housing, Regional Democratic Republic of Ethiopia, with support from the World Bank and the Agence Francaise de Developpement (AFD is implementing the Urban Institutional and Infrastructure Development Program (UIIDP) during the period from March 2018 to December 2023.

The UIIDP will provide Performance Grants (PGs) for investments in infrastructure and services and in capacity building for 117 urban local governments (ULGs) and capacity building in all nine Regional Governments (RGs), MUDHo and several Regional Ministries/Agencies.

The UIIDP is being financed through World Bank & AFD Program-for-Results (PforR) financing instrument at the regional and ULG levels and an Investment Project Financing (IPF) instrument at the Regional level. The regional governments and urban local governments are expected to provide matching funds (counterpart contributions) as per the percentages agreed between MUDHo and the World Bank which are stated in the IIDP Program Operations Manual.

Funding available under the UIIDP will depend on the performance of each city and Regional Government assessed annually against verifiable results described in the Program Operations Manual (POM) and in the Annual Performance Assessment Guideline (APAG) which is a standalone Annex of the POM.

Program Development Objective

The Program Development Objective (PDO) of the UIIDP **is to enhance the institutional performance of participating urban local governments to develop and sustain urban**

Key Result Areas

It is expected that the institutional performance improvements and the infrastructure delivered by cities will result in: -

* + - 1. enhanced citizen participation and engagement in ULG planning and budgeting;
      2. increased own source revenue at the ULG level;
      3. improved infrastructure, service delivery, O&M systems;
      4. improved efficiency and effectiveness in fiduciary management;
      5. Improved environmental and social management and safeguards; and
      6. strengthened accountability and oversight systems; and
      7. strengthened ULG resilience, improved local economic development (LED) and enhanced gender equity in the ULG operations.

Key Result Indicators

The key results indicators are:

1. People provided with improved urban living conditions under the UIIDP [corporate indicator].
2. Cities with improved livability, sustainability, and management [corporate indicator].
3. Composite institutional performance of participating ULGs, averaged across all cities.[[56]](#footnote-56)
4. Composite performance for achievement of urban infrastructure and service targets, maintenance performance and value for money in investments by ULGs, averaged across all cities.
5. Composite performance for achievement of LED targets, averaged across all cities

The complete table on the results framework and monitoring is provided in the POM Annex 1.

Program Scope and Coverage of Urban Centres

The UIIDP will have an additional 73 cities to the existing 44 cities making a total of 117 cities that will participate in the program. This substantial scale-up to 117 cities will bring about greater impact in terms of population coverage and size of the Program (increasing beneficiaries from 4.36 million under UGLDP II to an estimated 6.62 million in UIIDP) and result in exponentially larger positive impact for the country. The scale-up allows strengthening of the overall programmatic and performance-based approach to support sustainable urban development and leverages on economies of scale for program management and implementation. In addition, the scale-up is built on the solid foundations and tried-and-tested overall successful experiences of ULGDP I and II. Timely support to improve institutional performance in the planning, delivery, and sustained provision of urban services and infrastructure by local governments is critical especially for these rapidly growing cities.

**Figure 1. Cities Participating in UIIDP**

Key Features and Financing Modalities

The program will provide 4 rounds of performance grants in EFY 2012 (2019/20), EFY 2013 (2020/21), EFY 2014 (2021/22), and EFY 2015 (2022/23). Total UIIDP expenditures over this period are estimated at Ethiopian Birr (ETB) 20.1 billion (US$ 859.86 million), of which ETB 14 billion (US$ 600 million of which US$200 million is from IDA Scale Up Funding - **70%** will be provided by the World Bank and ETB 262 million (US$11.2 million) -**1%**- will be provided by AFD and ETB 5.8 billion (US$248.66 million[[57]](#footnote-57)) – **29%** - will be provided by regions and ULGs as matching fund contributions.

ULGs will use the Program funds to finance urban infrastructure works as well as capacity building activities, in compliance with the Program’s investment menu and capacity building manual. Eligible infrastructure investments fall under eight groups including: (a) urban roads, (b) integrated infrastructure and land services, (c) sanitation (liquid waste), (d) solid waste management, (e) urban drainage, (f) urban disaster risk management and urban resilience, (g) built facilities, and (h) urban green infrastructure. Ineligible investments include any World Bank environment and social impact assessment Category A projects. Compliance with the investment menu is a minimum condition for receiving funds. In addition, ULGs will be required to prepare the project in a participatory manner, and consider: (a) social inclusion requirements, including gender and disability considerations; (b) climate change and disaster adaptation; and (c) contribution to LED and long-term job creation.[[58]](#footnote-58) ULGs could also spend up to 5 percent of investment grants and regional/city contributions on capacity building support. For regional government entities, the grants will mainly be used for capacity building, operations and management expenses, subject to the eligible capacity building areas, similar to the ULGs.

Disbursement Linked Indicators, Minimum Conditions, Performance Measures and Verification Protocols

Almost 96 percent (or around US$576 million) of the Operation’s funds will be disbursed against disbursement linked indicators (DLIs). The DLIs are structured to provide incentives to participating ULGs and regional governments for improved management and development of urban areas. (More details on the DLIs, MCs, PMs, performance assessments, verification protocols and disbursement arrangements are provided in the UIIDP Annual Performance Assessment Guideline (APAG) which is a part of this POM and is a standalone Annex of the POM

**DLIs 1 to 4 focus on ULGs to strengthen ULG institutional roles in the delivery of infrastructure and services, and enhance local economic development**. Each of these DLIs is a composite index of defined MCs and PMs.

**The disbursement system for DLI 1, 2, 3, and 4 is scalable based on actual performance of ULGs**. It is particularly important to note that if the ULGs perform better (or poorer) than expected (as set out in the disbursement related targets in the DLI matrix), disbursements will be adjusted accordingly. This means that if ULGs perform higher than expected they will receive higher than expected disbursements. If this continues throughout the Program, additional financing may be needed.

**DLIs 5 to 9 focus on regional government entities** **to enhance their abilities in fulfilling their mandates to support ULGs.**These DLIs will disburse based on results achieved by regional government entities in providing support to ULGs (DLI 5) as well as focusing on their performance in conducting essential audits for ULGs such as on fiduciary and environmental and social management.

**DLI 10 is a legacy DLI disbursing against prior results achieved under the ULGDP II** that has arisen due to overachievement of performance results. This DLI will be disbursed upon verification in FY 2018/19, when the fifth APA of the ULGDP II has been completed in February 2018.

**Collectively the DLIs address the PDO and key result areas**. The DLIs are designed to address the challenges of ULGs’ and regional governments’ institutional performance and, in turn, ULGs’ ability to deliver, operate, and manage infrastructure and services, and expand LED. They provide incentives to address the core issues such as on timely audit, social and environmental management, own-source revenue generation, and strengthen the system and procedures for capacity building. In addition, there is enhanced focus to strengthen urban resilience, promote LED and job creation, and enhance gender equality. The PMs have a direct link to the key result areas and the GoE’s program intended outcomes.

The UIIDP APAG provides that the assessment for DLI 7 will carried out as per Table 1 below.

**Table 1. DLI 7. Annual Environmental and Social Audits by the REFCCs**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **7** | **Regional Environmental Protection Agency** | |  |  |  |  |
|  | 1 | Regional environment, forest and climate change authorities (REFCCs) carry out timely review of ULG safeguards compliance. This indicator will be fulfilled when the REFCCs have carried out the safeguards reviews/audits of ULGs in their jurisdictions **by end October** | prior | Scoring calibrated per ULG for which the REFCC has performed timely review/audit as per standard (report template) and approval of safeguard documents and review of implementation capacity for environmental and social mitigation and monitoring measures for CIP and annual environmental and social audits  As a minimum condition to access funds for audit of a ULG: timely environmental audit (**by end of October**), and the calibration as follows:  (i) Quality of audit must indicate:   * Key staffing involved: environmental specialist, social specialist * Evidence of site visits * Evidence of follow-up of previous audit recommendations   (ii) REFCC has to ensure timely review and approval of safeguards instruments.  Reduction by 25% per ULG if (i) is not complied with.  Reduction by 25% per ULG if (ii) is not complied with. | Safeguards Audit/Review Reports. | 1st to 4th APAs |

The Environmental and Social Management System Manual (including the Resettlement System Guidelines) for Urban Local Governments (ULGs) is produced by the MINISTRY OF URBAN DEVELOPMENT AND HOUSING for the use of all designated cities and towns. The Environmental and Social Management System (ESMS) Manual is based on the Environmental and Social Management Framework and the Resettlement Policy Framework that were introduced in EFY 2001 (GC 2008/09)

This ESMS document is to be used by all ULGs in order to ensure that all environmental and social safeguards are adequately addressed and that the relevant capacity and training needs are established in order for the recommended measures to be implemented effectively. The main purpose of the ESMS is to:

* Establish clear procedures and methodologies for the environmental and social assessment, review, approval and implementation of construction works to be financed by ULGs;
* Specify appropriate roles and responsibilities, and outline the necessary reporting procedures, for managing and monitoring environmental and social concerns related to ULG construction works;
* Provide practical information resources for implementing the ESMS.

Resettlement system guidelines (RSG) have also been developed and are presented in this manual. Short simpler descriptions of the ESMS and RSG and checklists for use by ULGs in identifying and implementing construction works will be prepared separately.

**2….OBJECTIVES OF THE TOR**

The objective of assignment described in this is to carry out an Annual Environmental and Social Management System Performance Audit for EFY [to be inserted] for the cities in the region that are participating in the UIIDP.

**3….SCOPE OF WORK**

**3.1….Overall Scope of Work**

The Consultant will carrying out an Environmental & Social Management System Performance Audit to assess the extent to which the CIPinvestment projects (construction works projects) of the UIIDP participating cities are being implemented in full accordance with the MUDHo’s Environmental and Social Management System Manual (including the Resettlement System Guidelines) for Urban Local Governments (ULGs); including Annex 1 of the ESMS and RSG which applies specifically to ULGs using UIIDP funds for investment projects/construction works. The Consultant will use generally acceptable and recognized assessment techniques and evaluation methods, standards and practices. In addition to the overall scope of work the Consultant will specifically assess performance of ULGs in those areas pertaining to the ESMS that are also measured in the UIIDP Annual Performance Assessment.

**3.2…Specific Tasks**

The specific tasks carried out by the Consultant, include, but are not limited to:

1. Preparation of an Inception Report.
2. Review of the cities consultation processes to determine their effectiveness.
3. Review and assessment of cities CIP projects’ ESMS screening reports as prepared by the respective cities and their subsequent approval by Regional Environmental Protection Agencies (REPAs). The assessment will include evaluation of the time taken to complete the screening and approval process and the consistency achieved in applying ESMS procedures.
4. Assess the status of CIP projects that are categorized as Schedule 1 and 2 projects by REPAs in all cities and compare the categorizations of the REPAs with the GoE procedures for categorization and checking compatibilities.
5. Review Environmental and Social Impact Assessment documents of CIP projects in terms of ESMS compliance requirements with the minimum legal requirements for Schedule 1 and 2 REPA categorized projects in all cities and also checks to ensure that due legal process has been followed.
6. Assess the Environmental Management Plan of CIP projects categorized as Schedule 1 and 2 by REPAs in all cities to check and evaluate the effectiveness of Environmental Management Systems on site or in operation as regards application of procedures, work instructions, guidelines, specification, training program and monitoring systems being implemented by the employees of the firm or organization operating on the site.
7. Review environmental compliance of CIP projects categorized as Schedule 1 and 2 by REPAs in all cities specifically to test the environmental policies, objectives, laws, by-laws, ordinances, regulations and standards; testing and specific checks on, compliance with requirements in water quality.
8. Assess wastes released by CIP projects categorized as schedule 1 and 2 by REPAs in all cities; specifically focusing at the waste management component of an operation or site and identify the consequences of waste on environment. The methods, procedures and systems of waste management would be reviewed, checked and verified.
9. Review contract clauses of CIP projects categorized as schedule 1, 2 and 3 by REPAs in all cities to test the environmental compliance of a contractor or supplier.
10. Assess the application of the RSGs of CIP projects that displaced people due to acquisition of land and other assets, or caused loss of access to services and businesses and other sources of livelihood.
11. Identify the number of cases where a Resettlement Action Plan (RAP) prepared and implemented; assess the effectiveness and thoroughness of RAP implementation.
12. Review the procedure being followed to produce RAPs and compare the procedure with the RSG procedures.
13. Assess the livelihood condition of displaced persons (PAPs) after resettlement is taking place (physical, social and economic) as compared to before resettlement.
14. Assess the implementation and effectiveness institutional arrangements (roles and responsibilities) outlined in ESMS Guidelines.
15. Assess adequacy of the technical support being given to cities by REPA and Regional BUDHo (or their Regional equivalent).
16. Assess the capacity of ULGs ESMS Focal persons and the REPAs to implement and monitor the ESMS.
17. Develop an ESMS reporting mechanism that will enable UREFMFB to follow the performance of the ULGs adherence to the project’s ESMS and RGS.
18. Review and assess the application of the environmental and social screening process outlined in the ESMS and identify areas requiring improvements or changes.
19. Review and assess the effectiveness of the environmental monitoring systems for CIP projects and indicate how these systems have been useful/not useful for speedy CIP projects’ implementation.
20. Review and assess the environmental and social management capacity at the ULGs participating in the project and make appropriate recommendations for future implementation.
21. Review and assess CIP projects proposed, ongoing and completed with specific reference to the additional guidelines applicable to the CIP projects that are described in Annex 1 of the ESMS Guidelines.
22. Assess the implementation of recommendations made in the last ESMS Performance Audit (this task is excluded for the 1st UIIDP Annual ESMS Performance Audit).
23. Prepare a draft report.
24. On receipt of comments indicating amendments, additions or omissions required by the MUDHo, prepare final report incorporating comments and suggestions to be made on the draft report.

**4….DURATION AND TIMETABLE**

It is expected that the consultancy assignment will start in the first week of the month of August each year and will take approximately 10 weeks .

**5….OUTPUTS AND DELIVERABLES**

All reports and deliverables are to be provided, in English, ten (10) hardbound copies and four (4) soft copies on compact disk (Word and Excel).

**5.1…Inception Report**

1. A half-day session will be held between the **region** and the Consultants at the start of the assignment to discuss and agree the Consultant’s plan to accomplish the task will be held prior to submitting an Inception Report
2. An Inception Report shall be submitted within 1 week of the commencement of the assignment, reflecting the agreed methodology (including schedule of visits to cities), auditing techniques, and an outline of the proposed contents of the UIIDP ESMS Performance Audit (Draft) Report.

**5.2….Draft Final Environmental Performance Audit Report**

1. Draft Final UIIDP ESMS Performance Audit Report, with an Executive Summary, a consolidated section for all ULGs and separate distinct sections for each **ULG** which incorporates recommendations and the way forward to effective environmental and social management of the UIIDP. The report will be submitted within eight weeks of the commencement of the assignment.

**5.3….Final Environmental Performance Audit Report**

1. Final UIIDP ESMS Performance Audit Report, with an Executive Summary, a consolidated section for all ULGs and separate distinct sections for each ULG which, with relevant recommendations and the way forward to effective environmental and social management of the UIIDP by incorporating comments and suggestions to be made on the Draft Final UIIDP ESMS Performance Audit Report.

**6….TEAM COMPOSITION, STRUCTURE, AND STAFF MONTHS**

It is envisaged that: the Consultant’s team will include: 1 x Team Leader, ….. Environmental specialists, ….Urban Infrastructure specialists and … Sociologists/Community Development specialists.

The Consultant’s team members undertaking this assignment shall have a minimum of Master’s Degree or equivalent in Environmental Studies, Environmental/Municipal/Civil Engineering and/or Social Sciences and solid professional background in the areas of environmental resources management and/or community resettlement and familiarity Government of Ethiopia safeguards policies, laws, regulations and procedures. The team leader shall have adequate experiences at least 10 years of relevance that include practical experience on methodologies and techniques of environmental or social auditing and basic skills on project coordination and management. The Consultant’s team members shall have at least 10 years of relevance that include practical experience on methodologies and techniques of environmental or social auditing and basic skills on project coordination and management very strong interpersonal, analytic, writing and communication skills and able to work independently. On an indicative basis it is estimated that the following level of input is necessary:-

|  |  |  |  |
| --- | --- | --- | --- |
| **No** | **Position** | **Number** | **Estimated person months** |
| 1 | Team Leader/ESM Specialist |  |  |
| 2 | Environmental Specialists |  |  |
| 3 | Urban Infrastructure Specialists |  |  |
| 4 | Sociologist |  |  |
|  | **Total** |  |  |

The above information is indicative only. The firm invited to submit proposals should propose their own team structure, composition and staffing levels, based on their own evaluation of the TOR’s requirements and the resources available to the Consultant.

**7….MANAGEMENT AND ACCOUNTABILITY RELATIONSHIPS**

The BUDHo has overall responsibility for implementation of the UIIDP and for the compliance of implementing agencies with the Environmental and Social Management System Guidelines and Resettlement System Guidelines. The BUDHo is the client for the Consultant’s assignment:

* In terms of performance and deliverables, the Consultant will carry out the assignment under the direction of and report to the [insert name, position, phone number & email of individual responsible],
* As the agency responsible for the overall coordination of UIIDP, the [insert name, position, phone number & email of individual responsible], BUDHo will sign the contract with the consultants and will be responsible for all payments to the Consultant.

**Inputs provided By the Client**: The BUDHo will provide to the Consultant at the commencement of the assignment with any key documents deemed relevant to the Consultant’s scope of work. Other relevant documents will be made available as required by the implementing entities. Documents that are required for the Consultant’s information and guidance include:

1. UIIDP POM Volume I: Main T**ext**
2. UIIDP Guidelines and Associated documents
   1. Environmental and Social Management System Guidelines
   2. Resettlement System Guideline

**Inputs provided by the Consultant**: The consultant will provide for their own transport, as well as offices sufficiently equipped and furnished for purposes of producing the required outputs.

The Consultant firm will protect the confidentiality of those participating in the auditing processes. All data is confidential and is the property of the BUDHo. No data or other information from this auditing will be released to third parties without written approval of the BUDHo. The Consultant firm will deliver all data and relevant information to the BUDHo.

The Consultant firm shall provide detailed estimates of the budget including staff charges, travel, equipment, hardware, software, technical meetings, report preparation and other related activities.

# TOR for Financial Audit of UIIDP for EFY 2010

***TERMS OF REFERENCE FOR FINANCIAL AUDIT***

***OF UIIDP PforR***

1. **BACKGROUND**

<*Provide the following information on the project*:

* + *Development objectives;*
  + *Size and implementation arrangements;*
  + *Recipient(s) of the Bank financing;*
  + *Co-financiers; the entity engaging the auditor, if acting on behalf of the recipient; implementing agency; and*
  + *The accounting period to be covered by the audit*.>

1. **OBJECTIVE OF THE PROJECT AUDIT**

The objective of the audit of the Project Financial Statements (PFSs) is to enable the auditor to express a professional opinion(s) on the financial position of the project at the end of each fiscal year, and on funds received and expenditures incurred for the relevant accounting period.

The project books of accounts provide the basis for preparation of the PFSs by the project implementing agency and are established to reflect the financial transactions in respect of the project. The implementing agency maintains adequate internal controls and supporting documentation for transactions.

1. **PREPARATION OF ANNUAL FINANCIAL STATEMENTS**

The responsibility for the preparation of financial statements including adequate disclosure is that of the implementing agency. The agency is also responsible for the selection and application of accounting policies. The agency would prepare the PFSs in accordance with the standards and procedures mentioned in Government of Ethiopia’s Accounting Manual or International Financial Reporting Standards (IFRS) or International Public Sector Accounting Standards (IPSAS).

The auditor is responsible for forming and expressing opinions on the financial statements. The auditor would carry out the audit of the project in accordance with the International Standards on Auditing (ISA), as promulgated by the International Federation of Accountants (IFAC). As part of the audit process, the auditor may request from the implementing agency written confirmation concerning representations made in connection with the audit

**4. SCOPE OF THE AUDIT**

As stated above, the audit of the project will be carried out in accordance with International Standards on Auditing (ISA) promulgated by the International Federation of Accountants (IFAC), and will include such tests and auditing procedures as the auditor will consider necessary under the circumstances. Special attention should be paid by the auditor as to whether the:

1. World Bank financing (and all external financing where the World Bank is not the only financier) has been used in accordance with the conditions of the relevant financing agreement, with due attention to economy and efficiency, and only for the purposes for which the financing was provided – please see <*state here clearly the* r*elevant financing agreements>;.*
2. Counterpart funds have been provided and used in accordance with the relevant financing agreements, with due attention to economy and efficiency, and only for the purposes for which they were provided;
3. Goods, works and services financed have been procured in accordance with the relevant financing agreements including specific provisions of the [World Bank Procurement Policies and Procedures](http://www.ifac.org/Members/DownLoads/2007_A005_Scope.pdf)[[59]](#footnote-59) as appropriate;
4. All necessary supporting documents, records, and accounts have been maintained in respect of all project activities, including expenditures reported using Statements of Expenditure (SOE) or Interim Unaudited Financial Statements (IFS) methods of reporting. The auditor is expected to verify that respective reports issued during the period were in agreement with the underlying books of account;
5. Designated Accounts (if used) have been maintained in accordance with the provisions of the relevant financing agreements and funds disbursed out of the Accounts were used only for the purpose intended in the financing agreement;
6. National laws and regulations have been complied with, and that the financial and accounting procedures approved for the project (e.g. operational manual, financial procedures manual, etc.) were followed and used;
7. Financial performance of the project is satisfactory.
8. Assets procured from project funds exist and there is verifiable ownership by the implementing agency or beneficiaries in line with the financing agreement.
9. Ineligible expenditures included in withdrawal applications are identified and reimbursed. These should be separately noted in the audit report.

In complying with International Standards on Auditing, the auditor is expected to pay particular attention to the following matters:

1. ***Fraud and Corruption***: Consider the risks of material misstatements in the financial statements due to fraud as required by ISA 240: [The Auditor’s Responsibility to Consider Fraud in an Audit of Financial Statements](http://www.ifac.org/Members/Source_Files/Auditing_Related_Services/2007_Handbook/2007_A080_ISA_240.pdf). The auditor is required to identify and assess these risks (of material misstatement of the financial statements) due to fraud, obtain sufficient appropriate audit evidence about the assessed risks; and respond appropriately to identified or suspected fraud;
2. ***Laws and Regulations***: In designing and performing audit procedures, evaluating and reporting the results, consider that noncompliance by the implementing agency with laws and regulations may materially affect the financial statements as required by [ISA 250: Consideration of Laws and Regulations in an Audit of Financial Statements](http://www.ifac.org/Members/Source_Files/Auditing_Related_Services/2007_Handbook/2007_A085_ISA_250.pdf);
3. ***Governance***: Communicate audit matters of governance interest arising from the audit of financial statements with those charged with governance of an entity as required by International Standards on Auditing 260: Communication of Audit Matters with those Charged with Governance.
4. ***Risks***: In order to reduce audit risk to an acceptable low level, determine the overall responses to assessed risks at the financial statement level, and design and perform further audit procedures to respond to assessed risks at the assertion level as required by Internal Standard on Auditing 330: the Auditor’s Procedures in Response to Assessed Risks.

**5.** **PROJECT FINANCIAL STATEMENTS (PFSs)**

The auditor should verify that the project PFSs have been prepared in accordance with the agreed accounting standards (see paragraph 3 above) and give a true and fair view of the financial position of the project at the relevant date and of resources and expenditures for the financial year ended on that date

The Project Financial Statements (PFSs) should include:

1. A statement of funds received, showing funds from the World Bank, project funds from other donors and counterpart funds separately, and of expenditures incurred;
2. A summary of the activity in the Designated Account (if any or only if a Designated account is opened);
3. A Balance Sheet (if deemed necessary);
4. A Summary of the principal accounting policies that have been adopted, and other explanatory notes;

**6.** **UNAUDITED INTERIM FINANCIAL REPORTS (IFRs)**

In addition to the audit of the PFSs, the auditor is required to verify IFRs and will apply such tests and auditing procedures as considered necessary under the circumstances.

**7.** **DESIGNATED ACCOUNT (only if a designated account is opened)**

In conjunction with the audit of the Project PFSs, the auditor is also required to review the activities of the Designated Account associated with the project. The Designated Account usually comprises:

- Advance deposits received from World Bank;

- Replenishments substantiated by withdrawal applications;

- Interest that may have been earned on the accounts, and which belong to

the recipient; and

- Withdrawals related to project expenditures

The auditor should pay particular attention as to the compliance with the Bank's procedures and the balances of the Designated Accounts at the end of the fiscal year (or period). The auditor should examine the eligibility of financial transactions during the period under examination and fund balances at the end of such a period, the operation and use of the DAs in accordance with the relevant general conditions, relevant financing agreements and disbursement letter, and the adequacy of internal controls for this type of disbursement mechanism.

For this Project, the Designated Accounts are referred to in the general conditions, the Financing Agreement (subsection 5.3) and Disbursement Letter (para. I).

The auditor should also examine eligibility and correctness of:

* Financial transactions during the period under review;
* Account balances at the end of such a period;
* The operation and use of the Designated Account in accordance with the financing agreement; and
* The adequacy of internal controls for the type of disbursement mechanism.

**8.** **AUDIT REPORT**

The auditor will issue an opinion on the project financial statements (PFSs). The annual audit report of the project accounts should include a separate paragraph highlighting key internal control weaknesses and non-compliance with the financing agreement terms.

**9.** **MANAGEMENT LETTER**

In addition to the audit report, the auditor will prepare a management letter, in which the auditor will:

(a) Give comments and observations on the accounting records, systems and controls that were examined during the course of the audit;

(b) Identify specific deficiencies or areas of weakness in systems and controls, and make recommendations for their improvement;

(c) Report on the degree of compliance of each of the financial covenants in the financing agreement and give comments, if any, on internal and external matters affecting such compliance;

1. Communicate matters that have come to his/her attention during the audit which might have a significant impact on the implementation of the project;
2. Give comments on the extent to which outstanding issues/qualifications issues have been addressed;
3. Give comments on previous audits’ recommendations that have not been satisfactorily implemented; and
4. Bring to the recipient’s attention any other matters that the auditor considers pertinent, including ineligible expenditures.

Ideally, the management letter should also include responses from the implementing agency to the issues highlighted by the auditor.

**10. AVAILABLE INFORMATION**

The auditor should have access to all legal documents, correspondences, and any other information associated with the project and deemed necessary by the auditor. The auditor will also obtain confirmation of amounts disbursed and outstanding at the Bank. Available information should include copies of the relevant: project appraisal document; financing agreement; financial management assessment reports; supervision mission reports and implementation status reports.

**11. GENERAL**

The financial statements, including the audit report, management letter and management response should be received by the Bank no later than six months after the end of the accounting year to which the audit relates.

Disclosure- In accordance with the Bank’s disclosure policy, the project audit report (excluding management letter) should be disclosed by implementing entities. The World Bank also make the report available for public disclosure through the Bank website.

The auditor should submit the report to the recipient’s designated agent rather than to any staff member of the project entity. The agent should then promptly forward two copies of the audit report and accompanying statements to the Bank together with the management letter and management response.

It is highly desirable that the auditor becomes familiar with the Bank’s Guidelines on Annual Financial Reporting for World Bank-Financed Activities. The auditor should be familiar with World Bank Procurement Guidelines, which can be obtained from the project implementing agency. The auditor should also be familiar with the Bank’s Disbursement Handbook for World Bank Clients, Disbursement Guidelines for Projects. These documents are available on the Bank’s website.

1. ***TERMS OF REFERENCE FOR FINANCIAL AUDIT***

***for the IPF***

1. **BACKGROUND**

<*Provide the following information on the project*:

* + *Development objectives;*
  + *Size and implementation arrangements;*
  + *Recipient(s) of the Bank financing;*
  + *Co-financiers; the entity engaging the auditor, if acting on behalf of the recipient; implementing agency; and*
  + *The accounting period to be covered by the audit*.>

1. **OBJECTIVE OF THE PROJECT AUDIT**

The objective of the audit of the Project Financial Statements (PFSs) is to enable the auditor to express a professional opinion(s) on the financial position of the project at the end of each fiscal year, and on funds received and expenditures incurred for the relevant accounting period.

The project books of accounts provide the basis for preparation of the PFSs by the project implementing agency and are established to reflect the financial transactions in respect of the project. The implementing agency maintains adequate internal controls and supporting documentation for transactions.

1. **PREPARATION OF ANNUAL FINANCIAL STATEMENTS**

The responsibility for the preparation of financial statements including adequate disclosure is that of the implementing agency. The agency is also responsible for the selection and application of accounting policies. The agency would prepare the PFSs in accordance with the standards and procedures mentioned in Government of Ethiopia’s Accounting Manual or International Financial Reporting Standards (IFRS) or International Public Sector Accounting Standards (IPSAS).

The auditor is responsible for forming and expressing opinions on the financial statements. The auditor would carry out the audit of the project in accordance with the International Standards on Auditing (ISA), as promulgated by the International Federation of Accountants (IFAC). As part of the audit process, the auditor may request from the implementing agency written confirmation concerning representations made in connection with the audit.

1. **SCOPE OF THE AUDIT**

As stated above, the audit of the project will be carried out in accordance with International Standards on Auditing (ISA) promulgated by the International Federation of Accountants (IFAC), and will include such tests and auditing procedures as the auditor will consider necessary under the circumstances. Special attention should be paid by the auditor as to whether the:

1. World Bank financing (and all external financing where the World Bank is not the only financier) has been used in accordance with the conditions of the relevant financing agreement, with due attention to economy and efficiency, and only for the purposes for which the financing was provided – please see <*state here clearly the* r*elevant financing agreements>;.*
2. Counterpart funds have been provided and used in accordance with the relevant financing agreements, with due attention to economy and efficiency, and only for the purposes for which they were provided;
3. Goods, works and services financed have been procured in accordance with the relevant financing agreements including specific provisions of the [World Bank Procurement Policies and Procedures](http://www.ifac.org/Members/DownLoads/2007_A005_Scope.pdf)[[60]](#footnote-60) as appropriate;
4. All necessary supporting documents, records, and accounts have been maintained in respect of all project activities, including expenditures reported using Statements of Expenditure (SOE) or Interim Unaudited Financial Statements (IFS) methods of reporting. The auditor is expected to verify that respective reports issued during the period were in agreement with the underlying books of account;
5. Designated Accounts (if used) have been maintained in accordance with the provisions of the relevant financing agreements and funds disbursed out of the Accounts were used only for the purpose intended in the financing agreement;
6. National laws and regulations have been complied with, and that the financial and accounting procedures approved for the project (e.g. operational manual, financial procedures manual, etc.) were followed and used;
7. Financial performance of the project is satisfactory.
8. Assets procured from project funds exist and there is verifiable ownership by the implementing agency or beneficiaries in line with the financing agreement.
9. Ineligible expenditures included in withdrawal applications are identified and reimbursed. These should be separately noted in the audit report.

In complying with International Standards on Auditing, the auditor is expected to pay particular attention to the following matters:

1. ***Fraud and Corruption***: Consider the risks of material misstatements in the financial statements due to fraud as required by ISA 240: [The Auditor’s Responsibility to Consider Fraud in an Audit of Financial Statements](http://www.ifac.org/Members/Source_Files/Auditing_Related_Services/2007_Handbook/2007_A080_ISA_240.pdf). The auditor is required to identify and assess these risks (of material misstatement of the financial statements) due to fraud, obtain sufficient appropriate audit evidence about the assessed risks; and respond appropriately to identified or suspected fraud;
2. ***Laws and Regulations***: In designing and performing audit procedures, evaluating and reporting the results, consider that noncompliance by the implementing agency with laws and regulations may materially affect the financial statements as required by [ISA 250: Consideration of Laws and Regulations in an Audit of Financial Statements](http://www.ifac.org/Members/Source_Files/Auditing_Related_Services/2007_Handbook/2007_A085_ISA_250.pdf);
3. ***Governance***: Communicate audit matters of governance interest arising from the audit of financial statements with those charged with governance of an entity as required by International Standards on Auditing 260: Communication of Audit Matters with those Charged with Governance.
4. ***Risks***: In order to reduce audit risk to an acceptable low level, determine the overall responses to assessed risks at the financial statement level, and design and perform further audit procedures to respond to assessed risks at the assertion level as required by Internal Standard on Auditing 330: the Auditor’s Procedures in Response to Assessed Risks.

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1. A statement of funds received, showing funds from the World Bank, project funds from other donors and counterpart funds separately, and of expenditures incurred;
2. A summary of the activity in the Designated Account (if any or only if a Designated account is opened);
3. A Balance Sheet (if deemed necessary);
4. A Summary of the principal accounting policies that have been adopted, and other explanatory notes;
5. A list of material assets acquired or procured to date with project funds

As an Annex to the PFSs, the auditor should prepare a reconciliation of the amounts as “received by the Project from the World Bank”, with those shown as being disbursed by the Bank. In addition, the auditor should include as annex the project receipts and uses of funds; uses of funds by project component; and other relevant notes to address the reporting requirements of the project.

**6.** **UNAUDITED INTERIM FINANCIAL REPORTS (IFRs)**

In addition to the audit of the PFSs, the auditor is required to verify all IFRs used as a basis for the submission of loan withdrawal applications to the World Bank. The auditor will apply such tests and auditing procedures as considered necessary under the circumstances. Annexed to the PFSs should be a schedule listing individual IFR withdrawal applications by specific reference number and amount.

The total withdrawals under the IFR procedure should be part of the overall reconciliation of Bank disbursements described in paragraph 5 above

**7.** **DESIGNATED ACCOUNT**

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(b) Identify specific deficiencies or areas of weakness in systems and controls, and make recommendations for their improvement;

(c) Report on the degree of compliance of each of the financial covenants in the financing agreement and give comments, if any, on internal and external matters affecting such compliance;

1. Communicate matters that have come to his/her attention during the audit which might have a significant impact on the implementation of the project;
2. Give comments on the extent to which outstanding issues/qualifications issues have been addressed;
3. Give comments on previous audits’ recommendations that have not been satisfactorily implemented; and
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1. Bahir Dar, Kombolcha, Gondar and Dessie in Amhara Region; Mekelle, Adigrat, Axum and Shire Endeselassie in Tigray Region; Adama, Bishoftu, Jimma and Shashemene in Oromia Region; and Hawassa, Arbaminch, WolaytaSodo and Dilla in SNNPR, Dire Dawa, Harar and Addis Ababa [↑](#footnote-ref-1)
2. Assela, Burayu, Sebeta, Ambo, Robi, and Batu in Oromia Region, DebreBirhan, DebreTabor, Woldya, Finoteselam, and Mota in Amhara Region; Almata, Humera and Wukro in Tigray Region; and Mizan, Hosaena, Areka and Butajira in SNNPR [↑](#footnote-ref-2)
3. TA to New and Existing ULGDP Cities in Amhara, Tigray, Oromia& SNNP Regional States [↑](#footnote-ref-3)
4. Based on data from WBI 2013 indicators and CSA 2013 estimates extra polated from the 2007 census. [↑](#footnote-ref-4)
5. In the core thematic areas of: Planning and budgeting, assets management, public financial management, procurement, own source revenues, accountability and transparency, environment and social safeguards, land management, and strategic urban planning. [↑](#footnote-ref-5)
6. Regions and cities contribute to the performance based transfers in the following manner: Amhara, Oromiya, SNNPR, and Tigray: 30 percent funding in addition to IDA funded grants; DRS regions: 20 percent; original 16 ULGDP I ULGs: 40 percent; new cities under ULGDP II in the DRS regions 10 percent; and other new (ULGDPII) cities: 20 percent; Harar and Dire Dawa contribute 50 percent in addition to the IDA funded grants. The new 73 ULGs under UIIDP will follow the same principles as the ULGDPII newcomers. [↑](#footnote-ref-6)
7. The regional government and ULGs will be making funding contributions at various levels, as detailed in the Technical Assessment. The contribution from the ULGs constitutes one of the minimum conditions to be met for each ULG to qualify to receive funding from the Program. [↑](#footnote-ref-7)
8. In the first year, the simple average per capita for the new 73 ULGs and the ULGDP II 44 ULGs will be US$14.79 and US$17.68 per capita respectively. From the second year, the per capita allocation uses an average figure similar for the two groups, which is US$17.68. [↑](#footnote-ref-8)
9. Details of and procedures for the use of investment project prioritization and selection criteria will be included in the POM. [↑](#footnote-ref-9)
10. Bahir Dar, Kombolcha, Gondar and Dessie in Amhara Region; Mekelle, Adigrat, Axum and Shire Endeselassie in Tigray Region; Adama, Bishoftu, Jimma and Shashemene in Oromia Region; and Hawassa, Arbaminch, WolaytaSodo and Dilla in SNNPR, Dire Dawa, Harar and Addis Ababa [↑](#footnote-ref-10)
11. Assela, Burayu, Sebeta, Ambo, Robi, and Batu in Oromia Region, DebreBirhan, DebreTabor, Woldya, Finoteselam, and Mota in Amhara Region; Almata, Humera and Wukro in Tigray Region; and Mizan, Hosaena, Areka and Butajira in SNNPR [↑](#footnote-ref-11)
12. TA to New and Existing ULGDP Cities in Amhara, Tigray, Oromia& SNNP Regional States [↑](#footnote-ref-12)
13. Based on data from WBI 2013 indicators and CSA 2013 estimates extra polated from the 2007 census. [↑](#footnote-ref-13)
14. In the core thematic areas of: Planning and budgeting, assets management, public financial management, procurement, own source revenues, accountability and transparency, environment and social safeguards, land management, and strategic urban planning. [↑](#footnote-ref-14)
15. Regions and cities contribute to the performance based transfers in the following manner: Amhara, Oromiya, SNNPR, and Tigray: 30 percent funding in addition to IDA funded grants; DRS regions: 20 percent; original 16 ULGDP I ULGs: 40 percent; new cities under ULGDP II in the DRS regions 10 percent; and other new (ULGDPII) cities: 20 percent; Harar and Dire Dawa contribute 50 percent in addition to the IDA funded grants. The new 73 ULGs under UIIDP will follow the same principles as the ULGDPII newcomers. [↑](#footnote-ref-15)
16. The regional government and ULGs will be making funding contributions at various levels, as detailed in the Technical Assessment. The contribution from the ULGs constitutes one of the minimum conditions to be met for each ULG to qualify to receive funding from the Program. [↑](#footnote-ref-16)
17. In the first year, the simple average per capita for the new 73 ULGs and the ULGDP II 44 ULGs will be US$14.79 and US$17.68 per capita respectively. From the second year, the per capita allocation uses an average figure similar for the two groups, which is US$17.68. [↑](#footnote-ref-17)
18. Details of and procedures for the use of investment project prioritization and selection criteria will be included in the POM. [↑](#footnote-ref-18)
19. In the core thematic areas of: Planning and budgeting, assets management, public financial management, procurement, own source revenues, accountability and transparency, environment and social safeguards, land management, and strategic urban planning. [↑](#footnote-ref-19)
20. Regions and cities contribute to the performance based transfers in the following manner: Amhara, Oromiya, SNNPR, and Tigray: 30 percent funding in addition to IDA funded grants; DRS regions: 20 percent; original 16 ULGDP I ULGs: 40 percent; new cities under ULGDP II in the DRS regions 10 percent; and other new (ULGDPII) cities: 20 percent; Harar and Dire Dawa contribute 50 percent in addition to the IDA funded grants. The new 73 ULGs under UIIDP will follow the same principles as the ULGDPII newcomers. [↑](#footnote-ref-20)
21. The regional government and ULGs will be making funding contributions at various levels, as detailed in the Technical Assessment. The contribution from the ULGs constitutes one of the minimum conditions to be met for each ULG to qualify to receive funding from the Program. [↑](#footnote-ref-21)
22. In the first year, the simple average per capita for the new 73 ULGs and the ULGDP II 44 ULGs will be US$14.79 and US$17.68 per capita respectively. From the second year, the per capita allocation uses an average figure similar for the two groups, which is US$17.68. [↑](#footnote-ref-22)
23. Details of and procedures for the use of investment project prioritization and selection criteria will be included in the POM. [↑](#footnote-ref-23)
24. Depending on the project phase [↑](#footnote-ref-24)
25. Depending on the project phase [↑](#footnote-ref-25)
26. This refers to all serviced land allotted to firms engaged in economic activities including agriculture, services and manufacturing. [↑](#footnote-ref-26)
27. This refers to working premises / sheds allotted to microenterprises, which should be serviced and provided with water, electricity and a connective road [↑](#footnote-ref-27)
28. This refers to all serviced land allotted to firms engaged in economic activities including agriculture, services and manufacturing. [↑](#footnote-ref-28)
29. This refers to working premises / sheds allotted to microenterprises, which should be serviced and provided with water, electricity and a connective road [↑](#footnote-ref-29)
30. Depending on the project phase [↑](#footnote-ref-30)
31. Depending on the project phase [↑](#footnote-ref-31)
32. This refers to all serviced land allotted to firms engaged in economic activities including agriculture, services and manufacturing. [↑](#footnote-ref-32)
33. This refers to working premises / sheds allotted to microenterprises, which should be serviced and provided with water, electricity and a connective road [↑](#footnote-ref-33)
34. This refers to all serviced land allotted to firms engaged in economic activities including agriculture, services and manufacturing. [↑](#footnote-ref-34)
35. This refers to working premises / sheds allotted to microenterprises, which should be serviced and provided with water, electricity and a connective road [↑](#footnote-ref-35)
36. Note that units with the same mandates have different names in different places. [↑](#footnote-ref-36)
37. Depending on the project phase [↑](#footnote-ref-37)
38. Depending on the project phase [↑](#footnote-ref-38)
39. This refers to all serviced land allotted to firms engaged in economic activities including agriculture, services and manufacturing. [↑](#footnote-ref-39)
40. This refers to working premises / sheds allotted to microenterprises, which should be serviced and provided with water, electricity and a connective road [↑](#footnote-ref-40)
41. This refers to all serviced land allotted to firms engaged in economic activities including agriculture, services and manufacturing. [↑](#footnote-ref-41)
42. This refers to working premises / sheds allotted to microenterprises, which should be serviced and provided with water, electricity and a connective road [↑](#footnote-ref-42)
43. In the core thematic areas of: Planning and budgeting, assets management, public financial management, procurement, own source revenues, accountability and transparency, environment and social safeguards, land management, and strategic urban planning. [↑](#footnote-ref-43)
44. Regions and cities contribute to the performance based transfers in the following manner: Amhara, Oromia, SNNPR, and Tigray: 30 percent funding in addition to IDA funded grants; DRS regions: 20 percent; original 16 ULGDP I ULGs: 40 percent; new cities under ULGDP II in the DRS regions 10 percent; and other new (ULGDPII) cities: 20 percent; Harar and Dire Dawa contribute 50 percent in addition to the IDA funded grants. The new 73 ULGs under UIIDP will follow the same principles as the ULGDPII newcomers. [↑](#footnote-ref-44)
45. Details of and procedures for the use of investment project prioritization and selection criteria will be included in the POM. [↑](#footnote-ref-45)
46. Sewer reticulation systems canals (primary canals) shall not exceed in diameter 1,000 millimeters or 10 kilometers. [↑](#footnote-ref-46)
47. Landfills: To ensure that all landfills activities to be environment friendly and socially acceptable with no or minimum impacts to the nearby environment, landfills construction and operation activities should not exceed 10 hectares and with provisions as stated in MoUDH standard. These include, among others: all landfills should have 1. bottom lining system with compact clay soil and covered by geo-membrane (synthetic linings) to separate the trash and subsequent leachate from groundwater; 2. Leachate collection system to collect rain or other water percolated through landfill which possibly contains contaminating substances (leachate); 3. Oxidation or other treatment ponds for further treatment of leachate; 4. Methane collection system/gas management to collect methane gas that is formed during the breakdown of trash; 5. Runoff water drainage system to prevent rain water flash from the nearby area; and 6. Composting yard and other facilities within the landfill site and upstream collection and transportation area. Cities should comply with the national standard and classification set by MoUDH. Also, cities must conduct landfill feasibility study, ESIA and RAP for review and clearance. All landfills are subject to regional environmental and social performance review and annual audits. [↑](#footnote-ref-47)
48. Only cities who have emergency response unit and emergency plan are eligible [↑](#footnote-ref-48)
49. Slaughterhouse/abattoir: Slaughterhouse construction should follow the MoUDH standards and classification for environmentally safe implementation of the investment. Slaughterhouse under the program should not exceed 2ha (level B, C, and D) of the MoUDH classification. The following provisions should be included in the design for construction and operation phase. These are: 1. liquid waste treatment plant, which is sited at minimum distance of 50 meter from slaughter house; 2. separate closed drainage line for collection of liquid wastes from slaughterhouse to the septic tank; 3. septic tank bed level shall be below nearby ground water level; 4. slaughter house at metropolitan cities shall have rendering plant with smell nuisance control; 5. Runoff water drainage system to prevent rain water flash from the nearby area; and 6. Other facilities like guardhouse and water points. Cities should comply with the national standard and classification set by MoUDH. Cities must conduct Slaughterhouse feasibility study, ESIA and RAP for review and clearance. All slaughterhouses are subject to regional environmental and social performance review and annual audits [↑](#footnote-ref-49)
50. In the core thematic areas of: Planning and budgeting, assets management, public financial management, procurement, own source revenues, accountability and transparency, environment and social safeguards, land management, and strategic urban planning. [↑](#footnote-ref-50)
51. Regions and cities contribute to the performance based transfers in the following manner: Amhara, Oromia, SNNPR, and Tigray: 30 percent funding in addition to IDA funded grants; DRS regions: 20 percent; original 16 ULGDP I ULGs: 40 percent; new cities under ULGDP II in the DRS regions 10 percent; and other new (ULGDPII) cities: 20 percent; Harar and Dire Dawa contribute 50 percent in addition to the IDA funded grants. The new 73 ULGs under UIIDP will follow the same principles as the ULGDPII newcomers. [↑](#footnote-ref-51)
52. Details of and procedures for the use of investment project prioritization and selection criteria will be included in the POM. [↑](#footnote-ref-52)
53. [↑](#footnote-ref-53)
54. . [↑](#footnote-ref-54)
55. [↑](#footnote-ref-55)
56. In the core thematic areas of: Planning and budgeting, assets management, public financial management, procurement, own source revenues, accountability and transparency, environment and social safeguards, land management, and strategic urban planning. [↑](#footnote-ref-56)
57. Regions and cities contribute to the performance based transfers in the following manner: Amhara, Oromia, SNNPR, and Tigray: 30 percent funding in addition to IDA funded grants; DRS regions: 20 percent; original 16 ULGDP I ULGs: 40 percent; new cities under ULGDP II in the DRS regions 10 percent; and other new (ULGDPII) cities: 20 percent; Harar and Dire Dawa contribute 50 percent in addition to the IDA funded grants. The new 73 ULGs under UIIDP will follow the same principles as the ULGDPII newcomers. [↑](#footnote-ref-57)
58. Details of and procedures for the use of investment project prioritization and selection criteria will be included in the POM. [↑](#footnote-ref-58)
59. Depending on the complexity of procurement activities, the auditor may consider involving technical experts during the audit engagement. In cases where such experts are involved, the auditor is expected to comply with provisions of [International Standard on Auditing 620: Using the Work of an Expert](http://www.ifac.org/Members/Source_Files/Auditing_Related_Services/2007_Handbook/2007_A190_ISA_620.pdf). Consideration to use of the work of experts should be brought to the early attention of the borrower and the World Bank for mutual agreement and appropriate guidance. [↑](#footnote-ref-59)
60. Depending on the complexity of procurement activities, the auditor may consider involving technical experts during the audit engagement. In cases where such experts are involved, the auditor is expected to comply with provisions of [International Standard on Auditing 620: Using the Work of an Expert](http://www.ifac.org/Members/Source_Files/Auditing_Related_Services/2007_Handbook/2007_A190_ISA_620.pdf). Consideration to use of the work of experts should be brought to the early attention of the borrower and the World Bank for mutual agreement and appropriate guidance. [↑](#footnote-ref-60)