

Terms of Reference (ToR)

For

Technical Audit of Infrastructure Sub-projects implemented In PAF Assisted Districts(PAFII-AF/S/QCBS-37/audinf)

1. Background

1.1 Poverty Alleviation Fund (PAF) is implementing a demand led community based poverty alleviation program funded mainly by International Development Association (IDA) in 40 districts. In the near future, the program will be extended to additional 10 districts, totaling 50 districts out of 75 districts of Nepal. Remaining 20 districts will be covered by PAF under poverty pocket approach. Regular PAF programs will be implemented in following 55 districts: Siraha, Kapilvastu, Ramechhap, Pyuthan, Mugu, Drachula, Mahottari, Sarlahi, Rautahat, Sindhuli, Rasuwa, Rolpa, Rukum, Dolpa, Jajarkot, Dailekh, Kalikot, Jumla, Humla Bajura, Achham, Doti, Bajhang, Dadeldhura, Baitadi, Terahathum, Dhanusha, Bardiya, Parsa, Taplejung, Dhading, Panchthar, Sindhupalchok, Solukhumbu, Udayapur, Saptari, Salyan, Khotang, Bara, Okhaldhunga, Dolakha, Myagdi, Gulmi, Bhojpur, Surkhet, Nawalparasi, Morang, Lamjung, Arghakhanchi, Nuwakot.

1.2 PAF aims to enable the poor, women and the vulnerable groups to gain access to resources for their productive self employment, to encourage them to undertake income generating activities for poverty alleviation and improved quality of life by organizing them in Community Organizations (COs). PAF forges partnership with the COs and support them to implement their sub-project providing fund supports synchronized with required skill, technology, technical assistance and facilitation. PAF encourages developing sustainable different type of community infrastructures through community participation and ownership in planning, implementation, operation and maintenance. Emphasis is also given on community mobilization to create awareness and enhance the role of women, indigenous people, Dalit and disadvantaged group in decision-making process. Currently over 11,000 Community Organizations (COs) are working at different selected settlements for their livelihood improvement. PAF is also mobilizing a number of implementing (facilitating) Partner Organizations (POs) in the district for social mobilization, facilitation, capacity building, provide technical assistance and monitoring these COs.

1.3 The activities to be financed by PAF are (i) income generation sub-projects. (ii) Infrastructure sub-projects, and (iii) Innovation and special program sub-projects that would be demand-driven and proposed by the COs. Based on experience so far, it can be expected that the CO sub-projects that would emerge in PAF would be in the areas of livestock development, agriculture development, forest products, micro enterprises and infrastructure development such as drinking water supply, small irrigation, rural road, micro-hydro, bridge, culverts, schools and community buildings etc.

1.4 PAF intends to hire the services of eligible Service Agencies (SAs), who are registered firms, to carry out the **Technical Audit of different completed infrastructure sub-projects** in different PAF districts under this ToR.

2. The Assignment.

2.1 Background of the Assignment

Technical Audit has been designed to evaluate the overall strengths and weaknesses of the program after implementation of each infrastructure sub-project. This includes the evaluation and analysis of the approaches and processes during the implementation of sub-projects by POs/COs and provide recommendations for future improvements. Moreover, the study will assess the effectiveness of the program implementation from institutional, social, technical, and operational dimensions.

The broad areas under this study includes: community management and institutional capabilities; sub-project selection, technical design, appraisal, appropriateness and sustainability construction management; construction quality and workmanship, physical status and functionality of the sub-projects; environmental consideration taken; capacity building activities; O&M management ; monitoring mechanism and working relationship among partner groups to develop management capabilities etc.

2.2 Objective of the Assignment

The objective of the assignment is to review and assess the processes and the manner, in which the sub-projects were implemented, verify design standards, norms, specifications construction quality and workmanship, physical status and functionality of the sub-projects.

2.3 Scope of the Assignment

2.3.1 To meet the objective of the assignment, the scope of the assignment includes, inter alia, the following:

- To assess the existing situation of infrastructure sub-projects implemented by COs/POs.
- To analyze the effectiveness of the process from sub-project demand, selection and prioritization criteria up to implementation phase
- To assess whether or not the procurement process applied for the sub-projects by COs ensures economy, efficiency, transparency and active participation of the community, also to identify the areas requiring improvement.
- To gather information on the process of sub-project implementation from the demand, survey, design to implementation phase of each individual sub-project.
- To assess the appropriateness of technical options and design proposed and discussed with the community. Were the sub-projects cost effective?
- To check whether different structures are constructed as per design, drawings, and specification and assess the construction quality of different structures.
- To analyze the effectiveness of procedures and processes of the sub-project implementation from the initial phase including the selection of PO, Co, community involvement, information dissemination, training, monitoring and evaluation, O&M arrangements and linkage with other agencies.
- Identify the problems faced by each stakeholder in fulfilling their roles in the implementation of the sub-project.
- To assess the effectiveness of various participatory methods, tools and systems used to achieve the intended objectives and principles.

- .
- To assess whether record keeping of different construction materials labours used and expenditure incurred etc. are maintained.
- To find out the extent of linkages with Local government (DDC/VDC) and other institutions/stakeholders during and after sub-project implementation.
- To determine the community contribution process and cross subsidy made in cash or kind by community or other agencies.
- To check whether drawings are prepared as per built sub-project with different structures.
- Based on the findings of the study and observations made in the field, recommend ways on how to improve the performance in the above areas of each of the partners involved in the implementation of the programs.

2.3.2 Before the commencement of the study, the SA Team should familiarize with PAF objective and principles, the role and responsibilities of different actors, contractual compliance matters in which sub-projects are selected and implemented.

For this, the following are the major documents to be reviewed by the SA Team.

- Project Appraisal Document (PAD)
- Project Implementation Manual
- Completion report format for completed sub-project, PO appraisal and selection process
- Process of Pre-feasibility, Detail Feasibility study, Appraisal and Approval of sub-projects for implementation
- M&E, Progress and Complementation reports of the sub-project

2.3.3 The study will be based on both primary and secondary information. Based on the review findings, the SA should prepare observation checklists, questionnaires and other data enumeration formats to solicit the required information. Moreover, to facilitate the evaluation implementation, the SA is required to propose an appropriate study methodology that will make it easy to ascertain recommendations for future improvements.

2.3.4 During the field assessment the teams will have to interview the CO members and beneficiaries while verifying the information so gathered. Before preparing the final report the SA team should interview the concerned PO personnel to obtain their views and feedbacks on the findings.

3. Methodology of the Study

3.1 Orientation to SA Team

The SA is required to provide an orientation to its field team before commencing the field work. The SA should propose the orientation schedule/plan in the technical proposal with major topics to be covered to familiarize the field team with the study objective, working approach and modality of PAF, and the survey tools (questionnaire and checklist) and techniques to be used for the study. The Team Leader and Community Development Expert should visit at least one district to start and monitor the work carried out by their field team.

3.2 Sample Size and Sample Selection Procedure

The study will cover 50 selected sub-projects completed recently, which are currently under community operation and management (O&M). Focus will be given to select varieties in types of sub-project, the SA could not substitute the sample sub-project without adequate justification and prior approval of PAF.

3.3 Methodology for Field Survey

The study team should apply various participatory tools and techniques e.g. Participatory Rural Appraisal (PRA), Rapid Rural Appraisal (RRA) etc. in order to obtain reliable information. The study method consists of focus group discussions, key informant survey (e.g. VMW, Mechanical Operator, CO members, Beneficiaries, school teachers-student group as well as other required persons and/or organizations), participant observation, case study etc. During the field visit, the team members will assess the quality and functionality (where appropriate) of the technical design, physical structures built, institutional capacity, operation and maintenance system, community empowerment, social inclusion, and financial and environmental aspects.

3.4 Methods for Data Analysis and Reporting

The data should be clearly tabulated, analyzed as well as presented using simple statistical methods like averages, percentages etc. Wherever possible the data should be presented in pictorial form; e.g. histograms, and bar/pie charts. Per capita value should be calculated wherever relevant. All units and statistical methods used for calculating must be described succinctly and clearly.

4. Execution of the Assignment

4.1 Study Team composition

The assignment shall be executed by a SA Team comprising of 12 staffs with a total input of 672 person days in a period of four months. The SA Team comprises of the expertise in the following areas:

S.No.	Position	Number	Effective person days
1	Team leader/Senior Civil Engineer	one	58 days
2	Community Development Expert	one	58 days
3	Environmental Specialist	one	58 days
4	Field Survey Staff: Total 4 Teams: (4 Sociologists, 4 Civil Engineers & 4 environmental Monitoring Specialists)	12 nos @ 63.25 person days	759 days
5	Support Staff: Secretary/Computer operator	2 nos. @ 25 person days	50 days
		Total	968 days

4.2 The required qualifications of the staff are as follows:

(i) Team Leader/Senior Civil Engineer: At least Master's Degree in civil engineering having at least 10 years working experience in design/construction or research work including minimum 3

years experience in evaluation studies of demand driven rural community infrastructure sub-projects with demand led participatory approach and having certificate to conduct Technical Audit.

(ii) Community Development Expert: At least Master's Degree in Social Science or Rural Development with a minimum of 7 years experience in the implementation of community development program or action research/studies in rural development program.

(iii) Environmental Specialist: At least Master's Degree in Environmental Science/Engineering with a minimum of 7 years of relevant experience in environmental assessment, monitoring and evaluation.

(iii) Field Survey Staff:

(a) Sociologists: At least Bachelor's Degree in Social Science or Management with a minimum 3 years general work experience in research/studies or monitoring and evaluation of community development works with minimum 2 years experience in social survey, monitoring and evaluation, supervision and appraisal of rural community infrastructure subprojects with demand led participatory approach.

(b) Civil Engineers: At least Bachelor's Degree in Civil engineering with a minimum 3 years general experience and minimum 2 years experience in survey, design estimate/monitoring and evaluation supervision and appraisal of rural community infrastructure sub-projects with demand led participatory approach.

(c) Environmental Monitoring Specialist: At least Bachelors Degree in environmental science/engineering and 5 years of experience or Master's degree in environmental science/engineering and 3 years of relevant experience in environmental assessment, monitoring and evaluation.

4.3 The Team leader assumes the overall responsibility for managing the study team, organizing orientation, reporting and dealing with PAF. Besides this the Team Leader will also work as Senior Civil Engineer in preparing the questionnaires on community development activities, analyzing the data and preparing the report

Similarly, Community Development Expert will coordinate the field activities in close coordination with the Team Leader and is responsible for developing survey tools(questionnaires/checklists) and formats to obtain the require information for the study in the respective areas. He is also responsible to guide and assist Field Survey Staff to collect qualitative information using participatory methods.

The Team leader and Community Development Expert are required to make field visits to provide support and technical backstopping to the field team as and when required. Overall secretarial supports, including data entry, are provided to the study team by support staff.

Since the study methodology demands certain amount understanding and interpretation of the questionnaire so as to assess qualitative aspects also, the SA is required to propose Field Survey Staff with past experience in such type of research/evaluation work.

4.4 The detailed CVs of the Team Leader, Community Development Expert and Field Survey Staff (Sociologists and Civil Engineers) must be submitted in the Technical Proposal.

5. Expected Output of the Services.

- Improvements in the procurement and implementation process, design, norms and specifications, construction quality and sustainability of infrastructure sub-projects.
- Improvements in monitoring, supervisions and O&M of infrastructure sub-projects.
- Effectiveness in the sub-projects demand, selection and prioritization.
- Problems and issues faced by different stakeholders are identified and solutions are recommended.
- Linkages with local governments (DDC/VDC) and other institutions/stakeholders are improved.
- Effectiveness in environmental and social assessment and appropriate mitigation measures for adverse environmental and social impacts.

6. Client's Input to SA.

Orientation to key professionals regarding working approach of PAF, relevant information and official reports will be provided by PAF. PAF will not provide other expenses such as office space and services expenses (office rent, Telephone, Fax copying etc.)

7. SA Short listing Criteria.

Short listing of SA will be based on followings:

- (i) General Experience of the Firm-20 percentage weight
- (ii) Relevant Experience of the Firm-55 percentage weight
- (iii) Staffs and Facilities in the Firm-25 percentage weight

8. Selection Method

The SA will be selected on the basis of World Bank Guidelines selection of Consultants by using Quality and Cost Based Selection QCBS giving quality 80 percentages and Cost 20 percentages weight

9. Reporting and Deliverables

9.1 The SA is required to submit their reports in the following four stages:

(i) Inception Report: The SA is required to submit three copies of reports, two weeks after signing the contract. The report should include (i) preliminary findings based on the desk study/review ;(ii) a strategy to carryout the assessment /evaluation clearly specifying inputs of the key staff and how the field teams are planned to be trained and mobilized including the suggested field survey formats, questionnaires; analytical methods and reporting formats;(iii) a work program with the list of selected sub-projects and field visit schedule.

(ii) Field Report: The SA is required to submit three copies of reports, two weeks after completion of the field work. The report should include the findings and key issues/lessons identified from the field survey. After the field work is completed the SA should present its findings with PAF staffs in PAF.

(iii) Draft Report: The SA is required to submit three copies of reports, three weeks after presenting the Field Report. The report should include ,amongst others, others description of the

finding in areas of (i) performances of the sub-projects (ii) effectiveness of the capacity building approaches, processes/procedures and guidelines; (iii) key issues, lessons learnt and recommendations to PAF to refine policies, procedures etc. for improvements in the future, and (iv) specific measures to be taken to improve overall operational efficiency/effectiveness. The SA should present its findings and recommendations to key stakeholders in the workshop which will be organized by PAF.

(iv) Final Report: The SA is required to submit five copies of reports, one week after receiving the comments/suggestions from PAF on the draft report.

9.2 The concerned SA is recommended to follow a standard outline of the report, which should include four main sections (i) Introduction (ii) Analysis of Findings (iii) Issues/Learnings, and (iv) Conclusion and Recommendations. In addition, appropriate appendices/annexes should be provided to support the findings. The report should also have a concise but clear Executive Summary highlighting the key findings, issues/learnings, and recommendation of the study.

9.3 The report should be comprehensive, clear and concise and should be written in simple language. Colour photographs should be included to aid explanations, wherever possible, especially when explaining the structures of the system.

9.4 Once the draft report is finalized, the gist of the report, highlighting the key findings should be translated into Nepali in no more than 15 pages. Further the SA has to submit an electronic version of Draft and Final reports. The completed questionnaires, checklists should be submitted to PAF. It will be the responsibility of the SA to clarify any matter related to the questionnaires, information.

10. Timeframe of the Services

Up to October 2014. Time extension on mutually agreed terms and unavoidable circumstances.