Pro-poor Urban Regeneration Pilot Project Lalitpur Sub-metropolitan City

Terms of Reference (TOR) Project Support Consultants

Draft 3

I. Background

The Lalitpur Sub-metropolitan City (LSMC) has received funding from the Japan Social Development Fund (JSDF) administered by the World Bank for the implementation of the Pro-poor Urban Regeneration Pilot Project (USD 2,750,000).

The Project Development Objective (PDO) is to a) contribute to improving the living conditions of poor and vulnerable households in selected wards of the historic core of LSMC ("the project area")by piloting urban regeneration activities that aim to improve infrastructure and services, conserve local cultural heritage, and increase access to incomegenerating opportunities in cultural industries; an b) demonstrate the feasibility of an integrated urban regeneration approach to decision-makers in the Kathmandu Valley.

The project area consists of 4 wards (wards 16, 18, 21 and 22) that are located in the buffer zone of the World Heritage Site, with a population of 24,900 according to the 2011 population census data.

The project aims to achieve its objectives through the following four components:

Component 1: Participatory Action Plan for Pro-poor Urban Regeneration. The objective of this component is the preparation of a 3-year participatory action plan for pro-poor urban regeneration of the project area. The action plan will address issues surrounding local infrastructure and services, heritage conservation, cultural industries, local environmental protection, social development and disaster risk management. The plan will also inform preparation of the grant facility. This part has been already completed.

Component 2: Grant Facility for Pro-poor Urban Regeneration. This component funds a demand-driven, competitive matching grant facility for pro-poor urban regeneration activities in the project area with three windows, as described below.

- a) *Pro-poor Municipal Investments and Initiatives Grant Window*. The objective of the grant window is to support small works (up to USD 825,000) implemented by the LSMC such as improvements in small infrastructure and basic services and heritage conservation, to enhance the living conditions and strengthen the poorest and most vulnerable communities in the project area. Municipality contributions are to be at least 10 percent of total investment costs.
- b) *Pro-poor Community-based Initiatives Grant Window*. The objective of the grant window is to: support community-based initiatives by eligible local community-based organizations, NGOs and cooperatives aimed at involving the poor and vulnerable in cultural heritage conservation; and to support the enhancement of cultural identity, social cohesion and acceptance of cultural diversity. As is standard procedure

throughout Nepal, beneficiaries will contribute at least 10 percent of project costs in cash or in kind.

c) *Pro-poor Business Development Grant Window*. The objective of the grant window is to support initiatives by eligible small businesses, NGOs, cooperatives and community-based organizations aimed at involving the poor and vulnerable in the development of income generating activities, especially traditional handicrafts and cultural tourism products and services. The beneficiaries will be required to provide matching contributions at a minimum of 10 percent.

Component 3: Community Awareness and Local Capacity Building for Pro-poor Urban Regeneration. This component funds community awareness-raising initiatives and local capacity building to support the effective implementation of the urban regeneration activities and the sustainability of the outcomes. There are two sub-components.

- a) Community awareness and strengthening and technical support. This sub-component funds communication programs, workshops, and training on: the value of cultural heritage and related livelihood options and the importance of disaster risk management. This sub-component also provides specialized technical support to sub-grant applicants and recipients to prepare and implement sub-grants under the grant facility for pro-poor urban regeneration.
- b) *Municipal Capacity Building*. This sub-component includes training, seminars, workshops, knowledge exchanges and technical assistance to enhance the capacity of municipal staff to: conserve, manage and promote cultural heritage as an asset for propoor economic development; effectively work with community groups, especially those representing the poor and vulnerable; directly foster access of the poor and vulnerable to the socio-economic benefits of cultural industries; and engage in disaster resilient development and construction techniques to protect lives and future income streams

Component 4: Participatory Monitoring and Evaluation, Knowledge Dissemination and Project Management and Administration. This component supports technical assistance and training for participatory monitoring and evaluation (M&E), knowledge dissemination, and project management and administration.

- a) Participatory M&E and Knowledge Dissemination. This sub-component supports baseline and completion surveys, the development of a Management Information System (MIS) for the grant facility, and a participatory community-based M&E system to enable the tracking of socioeconomic benefits and assess the performance of the grant facility in meeting its objectives and adhering to its targeting and funding criteria. It also supports knowledge dissemination activities to promote the scaling up of the pilot through similar city-level initiatives (through workshops, media/social media events).
- b) *Project Management and Administration*. This sub-component covers the incremental operating costs and the costs of strengthening the project management capacity of LSMC staff and local communities.

The LSMC has established the Project Management Team (PMT) for the implementation of the project. The project implementation period is 4 years and project has become

effective on February 10, 2014 following the signing of the Grant Agreement and Loan closing date is September 30, 2017. The detailed project implementation arrangements are described in the Project Operations Manual.

II. Objective of the Assignment

The objective of the assignment is to support and enhance capacity of the PMT to carry out project activities in line with the Project Development Objective.

III. Scope of Services

The PSC will be integral part of the PMT established under the LSMC to implement the project. The PSC will be required to perform, inter alia, the following tasks in line with the signed Grant Agreement and approved Project Operations Manual:

Task I: Pro-Poor Participatory Action Plan

The PSC will be responsible for supporting LSMC carrying out the following tasks:

- Update the call for proposals for the grant facility (in line with the priorities emerging from the participatory plan) for the first year of project implementation including (a) the identification of target beneficiary characteristics, (b) Update sub-grant application requirements and forms, including cost effectiveness criteria; (b) and sub-grant evaluation criteria, building on the initial templates and the priorities identified in the participatory plan.
- Carry out detailed annual costing and implementation arrangements of the municipal investments identified as part of the participatory plan and ensure inclusion of the investments in the annual municipal planning and budgeting process
- Conduct stakeholder consultative process/training for the annual update of the participatory plan and site management framework(funded under a separate consulting assignment), update the participatory plan and site management framework in line with the priorities identified through the consultative process, and ensure its timely approval in line with the guidelines included in the Project Operations Manual
- Prepare/update calls for proposals for subsequent years of project implementation in line with the update of the participatory plan and site management framework

Task II: Grant Facility for Pro-poor Urban Regeneration

The PSC will be responsible for supporting LSMC carrying out the following tasks:

Pro-poor Municipal Investments and Initiatives Grant Window

- Recruit and supervise consultants for the preparation of feasibility studies for the identified pro-poor small works, and socio-economic analysis and O&M plans for the investments.
- Mobilize Users Committees for small works implemented through this modality
- Carry out safeguard screening for the identified investments and prepare safeguard documents (Environmental Management Plan, Resettlement Plan) in line with guidelines in the Environmental and Social Management Framework (ESMF) and Project Operations Manual

- Identify resources for municipal contributions equal to at least 10% of the total works
- Prepare bidding documents as required and carry out procurement of Works
- Regularly supervise works by contactors and Users Committees
- Regularly supervise compliance with safeguard requirements during implementation and take actions to address non-compliance issues as required
- Ensure all civil works financed under this window will be constructed with seismic resilience, and take actions as required to address non-compliance issues

Pro-poor Community-based Initiatives Grant Window and Pro-poor Business Development Grant Window

- Develop outreach information that describes the grant facility processes and procedures (e.g., focus of call for proposals, application process, evaluation criteria etc.);
- Carry out outreach activities to mobilize potential sub-grant applicants in the target wards to participate in the grant facility before the issuing of the call for proposal in order to maximize participation and relevance of the sub-grant proposals to achieve the PDO;
- Issue the call for proposals in line with guidelines provided in the Project Operations Manual and provide general advice on proposal development;
- Receive, screen and process sub-grant proposals based on approved sub-grant evaluation criteria;
- Carry out safeguard screening for the identified investments and prepare safeguard documents (Environmental Management Plan, Resettlement Plan) in line with guidelines in the ESMF and Project Operations Manual
- Carry out technical evaluation of the sub-grant proposals for review by the Approval Committee and submit sub-grant proposals and technical evaluations;
- Convene the Approval Committee, observe the proceedings and offer advice when requested;
- Prepare letters informing sub-grant applicants of the Approval Committee results and publicly announce outcomes;
- Prepare and issue Sub-grant Agreements;
- Supervise sub-grant implementation (e.g., progress in achieving objectives and compliance with financial management, procurement and disbursement procedures) according to conditions in the Sub-grant Agreements;
- Receive and confirm progress reports, financial reports, and completion reports and publish a semi-annual summary of them;
- Authorize disbursement of sub-grant funds, based on progress reports;
- Regularly supervise compliance with safeguard requirements during sub-grant implementation and take actions to address non-compliance issues as required
- Assist sub-grant recipients in participatory monitoring and evaluation of sub-grant indicators to measure outcomes and prepare final reports;
- Respond to complaints and enforce sanctions (e.g., withhold or cancel any or all disbursement of sub-grant funds) for misuse of funds.

Task III: Community Awareness and Local Capacity Building for Pro-poor Urban Regeneration

The PSC will be responsible for carrying out the following community awareness and capacity building activities for the following groups:

Awareness Rising

- Identify awareness raising needs of stakeholders in the project area, based on interviews and Focus Group Discussions (FGDs), paying particular attention to the poorest and most vulnerable groups, as identified by the baseline household survey and FGDs;
- Identify suitable awareness raising modalities, with a focus on reaching out to the poorest and most vulnerable groups;
- Prepare awareness-raising plan (including methodologies with timetables, topics, and goals) and develop communication material for awareness raising activities,
- Deliver the awareness raising activities as per table below, paying particular attention to coordinate the timing of the awareness raising activities with the outreach campaign in conjunction with the issuing of calls for proposals to ensure quality and relevance of the sub-grant proposals;
- Keep record of the activities as part of the project management information system (MIS), including: the number and types of trainings categorized by topic (tourism development, heritage conservation, etc.) delivered; and the number of recipients of each activity (target area residents, including number of female and poor and vulnerable).

Municipal capacity building

- Carry out the needs assessment and map ongoing municipal capacity building activities and identify gaps which would be filled by the project;
- Prepare municipal capacity building plan and training material
- Deliver the capacity building activities as per the table below
- Keep record of the training and technical assistance as part of the project MIS, including: the number and types of trainings and technical inputs categorized by topic (tourism development, heritage conservation, etc.) delivered; and the number of municipal staff trained.

Capacity building for preparation and implementation of the sub-grants

- Identify capacity building needs to ensure technical soundness and relevance of the sub-grants during both preparation and implementation; identify areas where capacity building is required (including but not limited to the core areas of Disaster Risk Management, cultural heritage protection, business development)
- Prepare capacity building plan including specification of modalities for sub-grant proponents and recipients to access the pool of experts
- Assemble pool of experts (to be funded by the PSC)to be mobilized based on demand for training and technical assistance to sub-grant applicants and recipients as well as reviews of sub-grant technical proposals based on identified needs and as per the table below
- Keep record of the activities as part of the project MIS including: the number and types of trainings and technical inputs delivered to sub-grant proponents and recipients categorized by topic; and the number of recipients.

Trainee Groups	Training
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All residents of target area, as relevant (with focus on poor and vulnerable)	Awareness Raising based on plan prepared as part of the participatory planning, and including, inter alia, the following areas: • the urban regeneration approach • economic development opportunities in cultural industries • the value of conserving cultural heritage • the importance of disaster risk management • the benefits of participatory planning & community mobilization • the process of developing a participatory action plan • Approximately 50 trainings, workshops on value heritage and its relevance, pro-poor revenue generation activities, disaster risk management, tourism promotion, product development and marketing
LSMC	 Municipal Capacity Building including, inter alia, the following areas: Improving conservation, management and promotion of tangible & intangible heritage Fostering access of the poor & vulnerable to socioeconomic benefits of cultural industries Engaging in disaster resilient development & construction techniques Working across municipal departments & institutionalizing integrated urban development approaches for scaling up. Approximately 15 capacity building ,training, seminars and workshops
Sub-Grant Applicants Recipients &	Capacity building for preparation and implementation of the sub-grants • Specialized support as required, for development of proposals and implementation of sub-grant initiatives, such disaster risk reduction, heritage conservation, cultural tourism development and promotion, and income generation/livelihood enhancement,

Task IV: Project Management Support

The PSC will be responsible for carrying out the following tasks:

Monitoring & Evaluation

• Prepare TOR, assist PMT in hiring and supervising consultants for conducting baseline household survey and FDGs, paying particular attention to identify the poorest and most vulnerable groups, as the target beneficiaries for the project, and gather baseline data for the results framework of the project and the MIS

- Develop a MIS for managing information flows and recording, monitoring and evaluating project progress, including maintaining and updating information on the grant facility activities;
- Develop approach and modalities of a participatory monitoring and evaluation system for the project, identify responsibilities and stakeholders (e.g. CBOs, NGOs and ward leaders) who can support sub-grant recipients in mobilizing beneficiaries for participatory monitoring, and monitor reporting requirements;
- Regularly update the results framework for the project (at least on a trimester basis and before implementation support reviews);
- Prepare TOR, assist in hiring and supervisinge consultants for conducting completion household survey to assess impact of the project and achievement of results indicators as an input to the Implementation Completion and Results Report (ICR);

Project Management, Financial Management and Procurement

- Train the PMT to strengthen project management;
- Prepare and regularly update the annual work plan for the project;
- Participate in World Bank implementation support reviews and provide supporting documentations to inform the review process as required
- Prepare and regularly update the procurement plan for the project in line with requirements in the Grant Agreement;
- Prepare the Implementation Progress Reports (IPRs)on a trimester basis and preparation of documents for regular withdrawal applications;
- Prepare ToR for hiring a project evaluation specialist for the preparation of the Implementation Completion and Results Report (ICR) and make information available to enable the ICR review.

Knowledge dissemination

- Organize knowledge exchange to identify lessons learned on community development and sub-grant activities;
- Disseminate knowledge and lessons learned from implementation of the project to all relevant stakeholders in the Kathmandu Valley (in conjunction with the Steering Committee).

PSC activities

- Prepare the PSC work plan at inception of the activities for the entire duration of the assignment and detailed annual work plan; and regularly update the work plan on a trimester basis
- Submission of regular trimester report of outputs

IV. Team Composition

The consulting firm is required to provide the services of a multidisciplinary team of experts. The table below shows the minimum requirements in terms of team composition and qualifications, as well as the indicative time inputs for the experts.

Team Composition	Minimum Qualifications and Experience	Indicative responsibilities	Indicative Person- Months
Team Leader - Senior Urban Planner	 Bachelor degree (post-graduate degree preferred) in urban planning or equivalent discipline; At least 15 years of relevant experience in urban planning; previous experience in the area of urban regeneration &cultural heritage protection highly preferred; At least 10 years of proven experience in successfully managing complex assignments and large multi-disciplinary teams; Experience in government projects supported by Development Partners will be an added advantage. 	Responsible for mobilizing the PSC team members, overall project planning and programming, overall coordination with LSMC, PMT and other stakeholder; responsible to ensure output in time, quality control, periodic reporting and monitoring; ; responsible for leading PSC consultation process with stakeholders; including the annual update of the participatory plan and site management framework; responsible for review of DPR under the pro poor municipal investment initiative; responsible for overseeing overall governance of sub-grant selection and alignment of project documents with (calls for proposal, sub-grant application forms and sub-grant evaluation criteria) with project objectives and guidelines in the Project Operations Manual and ESMF, manage knowledge exchange/dissemination of lessons learnt activities; responsible to carry out other tasks as directed by the Project Coordinator.	26
Cultural Heritage Specialist	Bachelor degree (post- graduate degree preferred) in urban planning/architecture or equivalent discipline;	Key contact point for the grant facility administration including day-to-day management under the supervision of the Team Leader. Responsible for managing	20

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	 At least 10 years of relevant experience in cultural heritage protection; previous experience in the area of urban regeneration and exposure to issues of intangible heritage preferred; At least 8 years of proven experience in independently managing project tasks as part of large multi-disciplinary teams Experience with government projects supported by Development Partners will be an added advantage. 	capacity building and training program. Responsible for preparation of DPRs under the Municipal investment related with architecture. Responsible for managing overall technical support, screening and review of sub-grant proposals for submission to the Approval Committee; preparation of municipal capacity building needs assessment, and training material related to cultural heritage protection; responsible	
Poverty Alleviation Specialist	 Bachelor degree (post-graduate degree preferred) in social science/poverty alleviation or equivalent discipline; At least 10 years of relevant experience in poverty alleviation and social development projects in urban context; previous experience in the area of social dimension of cultural heritage protection (in particular intangible heritage) preferred; Experience with government projects supported by Development Partners will be an added advantage. 	Responsible for designing and implementing the outreach campaigns and awareness raising activities, with a focus on mobilizing the poorest and most vulnerable groups in the project area; provide support for subgrant preparation to maximize poverty reducing impact; carry out screening and social review of sub-grant proposals to ensure the selected proposals benefits the poorest and most vulnerable groups in the project area; supervise sub-grant implementation and support sub-grant recipients with the social aspects of sub-grant implementation to maximize social impact; work with M&E specialist for the design of participatory M&E	12

Private Sector	 Bachelor degree (post-graduate degree preferred) in economics, business administration or other relevant discipline; At least 10 years of relevant experience in cultural tourism and 	system; carry out municipal training to support municipality in maximizing poverty reducing impact of the project. Responsible for targeted outreach campaigns and awareness raising activities to private businesses in the project area; provide support for sub-grant preparation to maximize economic impact (increase in income and job creation); carry out screening and economic review of sub-grant proposals; support sub-grant recipients with the economic aspects of sub-grant implementation	
Private Sector Development Specialist	cultural tourism and handicraft business development in urban context (experience in the Kathmandu Valley preferred); • Experience with government projects supported by Development Partners will be an added advantage.	to maximize economic impact; carry out economic appraisal of municipal works; work with M&E specialist to ensure economic impact of the project is properly measured and accounted for; carryout training for awareness raising, workshop on value heritage and its relevance and carry out municipal training to support municipality in partnering with private sector for urban regeneration.	12
Environmental Safeguards Specialist	 Bachelor degree (post-graduate degree preferred) in environmental science or equivalent discipline; At least 8 years of relevant experience in carrying out 	Responsible for managing environmental safeguards for the project, including environmental safeguard screening, preparation of environmental management plan for municipal investments and sub-grant activities as	5

	environmental safeguard due diligence of GoN- funded investments Experience with government projects supported by Development Partners will be an added advantage. Bachelor degree (post-	required, and regular supervision during implementation to ensure compliance with environmental safeguard requirements. Carry out training about ESMF for communities.	
Social Safeguards Specialist	graduate degree preferred) in social science or equivalent discipline; • At least 8 years of relevant experience in carrying out social /resettlement safeguard due diligence of GoN-funded investments; • Experience with government projects supported by Development Partners will be an added advantage.	social safeguards for the project, including social safeguard screening, preparation of resettlement and indigenous people plan for municipal investments and sub-grant activities as required, and regular supervision during implementation to ensure compliance with social safeguard requirements. Carry out training for communities about ESMF.	5
Municipal Engineer	 Bachelor degree (post-graduate degree preferred) in engineering or equivalent discipline; At least 8 years of relevant experience in municipal engineering, (previous experience in cultural heritage protection and DRM strongly preferred); Experience with government projects supported by Development Partners will be an added advantage. 	Responsible for preparation of DPRs for municipal investments; carrying out technical appraisal of municipal sub-projects; oversee/supervise implementation of works by contractors and Users Committees; provide engineering support for preparation of sub-grant proposals; carry out engineering screening/review of sub-grant proposals, paying particular attention to ensure seismic resilience of the works.	12
Procurement Specialist	Bachelor degree in Engineering, business	Responsible for preparation of	12

	 administration or equivalent discipline; At least 8 years of relevant experience as procurement specialist, and familiarity with procurement rules; Experience with procurement of projects supported by Development Partners will be an added advantage. 	procurement plan; preparation/ review of bidding documents and management of bid evaluation process; contract management; responsible for carrying out due diligence/review of the sub-grant proposals to ensure cost effectiveness.	
Management Financial Specialist	 Bachelor degree in business administration/finance or equivalent discipline; At least 8 years of relevant experience as financial management specialist for government-funded projects, and proven familiarity with GoN's financial management framework and rules; Experience with government projects supported by Development Partners will be an added advantage. 	Responsible for timely preparation of IPRs as per agreed format; responsible for drafting and reviewing sub-grant agreements and managing sub-grant payments in line with guidelines provided in the Project Operations Manual responsible for management of project disbursement; preparation of documents for regular withdrawal applications. Support Financial Administration Division of LSMC in Annual Budgeting, reporting and auditing related to the Project.	20
M&E Specialist	 Bachelor degree (post-graduate degree preferred) in economics/statistics or equivalent discipline; At least 8years of relevant experience as M&E specialist for government-funded projects; previous experience with participatory M&E highly preferred; 	Responsible for managing M&E tasks for the project, management and update of MIS system, timely update of results framework; design and support implementation of participatory M&E for the grant facility; supervise preparation of household survey at inception and completion of the activities.	6

Short-term experts (i)	skills and proven ability to carry out household surveys/analysis of large datasets; Experience with government projects supported by Development Partners will be an added advantage. Pool of short-term experts/advisors to be mobilized on demand. The pool will include renowned experts with relevant experience in the following discipline: (a) Disaster Risk Management Specialist; (b) architecture; (c) intangible heritage; (d) tourism development; (e) crafts development, as well as allowance for mobilization of experts based on demand.	Responsible for providing ad-hoc support based on demand to sub-grant proponents and recipients during preparation and implementation of the sub-grant; and providing support to PMT/PSC as required for the screening and evaluation of the sub-grant proposals.	14
Total person- months			144

V. Consultant's Qualification and Experience

Consultant (Firm) must have general experience of five years and preferable 10 years of general experience in the consulting services with minimum of three and preferable 10 projects executed in the last ten years. The Firm must have experience in cultural heritage conservation projects and/ or poverty alleviation projects and / or tourism/ private sector development projects and/ or cultural heritage renovation/ rehabilitation, preferably 6 projects in each of the categories. Firm may enhance its capability by associating with other firms or NGOs.

VI. VI. Logistics and Reporting Requirements

The PSC is required to become familiar with the PURP related documents, mainly, Project Paper, Project Operations Manual and Environmental and Social Management Framework (ESMF). The PSC will be integral part of the PMT, and the team will report daily to the LSMC. The PSC will also work closely with the Approval Committee responsible for approval of the sub-grant proposals, and will ensure coordination with the Steering Committee. The remuneration package for the PSC will include provision for

Administrative support, documentation, office supplies to accomplish task. The LSMC will provide office space with amenities and furniture's, Computers, Photo copy machine, Scanner. Digital camera, Projector.

VII. Reporting Requirements

The consultant shall keep full records relating to all aspects of the works covered by his service Contract.

- Inception Report
- Monthly progress Reports of the project as a whole
- Trimester progress reports on progress of the project as a whole
- Ward performance assessment reports inclusive of yearly report
- Other report required in the delivery of this assignment.
- Implementation Completion and Result Report (ICR) of the project
- LMSC/ Project reports as reviewed and improved.
- Five copies of each report will be submitted to the PCT, including electronic copies. All reports should be in English
- The Consultant will prepare a comprehensive final completion report 10 copies, including electronic copies.
- A review committee comprising the officers of the PCT will be reviewing all the reports submitted by the Consultant

VIII. Time Frame and Staffing:

It is estimated that the consultant service will be required for Twenty six months (26) from July 2015 to September 2017 and that approximately the following person- months of different Key professional personnel advised in the team composition will be required for carrying out the Consultant's services. In addition to the key staffs, provision of all required administrative and support for running the Consultant's Office for efficient implementation of the consultancy service will be responsibility of the Consultant.

IX. Duration of consultant's responsibility

The consultant's responsibilities shall continue until the completion of the works. The tentative duration of the services is 26 months.

X. Aggrement

The Consultant will be required to enter into Time based Contract for Consultant's Services with the PMT/LSMC.

XI. Taxation

The consultant is fully responsible for all taxes imposed by the relevant laws of Government of Nepal. VAT should be shown separately and billed as separate items by the consultant and the client will make the payment accordingly.

Note: Consultant Selection Method

A Consultant will be selected in accordance with the Consultant's Quality Cost Based Selection (QCBS) method set out in the Consultant Guidelines, dated January 2011.