



UNITATEA DE MANAGEMENT AL PROIECTULUI
"CONTROLUL INTEGRAT AL POLUĂRII CU NUTRIENȚI"

TERMS OF REFERENCE

**Competitive Investment Financing Expert (4 positions - individual consultants,
every expert will be assigned with 2 developing regions)**

1. Background

Romania has received a loan from the International Bank for Reconstruction and Development (IBRD) and a Grant from the Global Environment Facility (GEF) to support the implementation of the Integrated Nutrient Pollution Control Project (the Project) in selected localities vulnerable or potentially vulnerable to the pollution with nutrients. The overall development objective of the project is to support the Government of Romania to meet the EU Nitrates Directive requirements by (a) reducing nutrients discharges to water bodies, (b) promoting behavioral changes at the communal level, and (c) strengthening institutional and regulatory capacity. The ultimate goal is to reduce over the long-term the discharge of nutrients and other agricultural pollutants into the Danube River and Black Sea through integrated land and water management.

The current Project closing date is May 31, 2017.

The Ministry of Environment, Water and Forests (MoEWF) received an Additional Financing for the Project to finance the costs associated with the scale-up nationwide of the current Project activities, to be implemented over a six years period. The Additional Financing for scaling-up will broadly maintain the objective and structure of the Integrated Nutrient Pollution Control Project (INPCP) with slight modifications, to reflect the realities of the current situation and lessons learned under INPCP so far. The Additional Financing will finance works, goods, services and will comprise four components, which are largely the same as in the INPCP, with slight modifications: (i) Component 1: Investments in Local Communities to Reduce Nutrient Pollution; (ii) Component 2: Institutional Strengthening and Capacity Building; (iii) Component 3: Public Awareness and Information Support; (iv) Component 4: Project Management.

The overall development objective of the Project became through the Additional Financing to support the Government of Romania towards meeting the EU Nitrate Directive requirements at national scale. The proposed interventions will build on the successes and lessons learned from the on-going Project as well as from similar projects in Europe and Central Asia and other regions

MINISTERUL MEDIULUI,
APELOR ȘI PĂDURILOR

The Additional Financing for the Project starts as soon as it is ratified by law by Romania and its' expected closing date is March 31, 2022.

Under Component 1 - "Investments in Local Communities to Reduce Nutrient Pollution", the financial support provided within the Additional Financing will be demand-driven, supported on competitive grounds, based on the beneficiary communities' requests and eligibility. The beneficiaries will propose sub-projects, selected from a menu of investments based on agreed eligibility criteria and having the main objective to reduce water pollution with nutrients. The selection and approval of sub-projects will be done on a competitive basis, for eligible activities and applicants. Detailed (i) *Competitive Financing Program „Investments in Local Communities to Reduce Nutrient Pollution” - Procedures & Guidelines For Applicants* and (ii) *Guidelines for Monitoring and Controlling of the selected sub-projects* are already developed to provide guiding principles and rules for implementation of the sub-projects at the local, regional and national levels, describing in detail the eligibility criteria, selection and award procedure. The selection will be done in two stages. In the first stage, the applicants will submit a Concept Note that will be evaluated and scored based on specific evaluation criteria. Only those applicants receiving a score over a certain threshold will be further invited to prepare and submit a Full Proposal that will be evaluated in a second stage.

2. Objectives of the assignment

Overall objective of the assignment is to support capacity building at the level of local communities to ensure that properly developed Concept Notes and Full Proposals are prepared and submitted by potential Beneficiaries within the First Call for Proposals under the INPCP - Component 1, and also that the selection process is competitive.

Specific objectives of the consultancy services are as follows:

- (i) To Provide technical assistance and training to prospective applicants from local communities in Romania for preparing Concept Notes and Full Proposals for sub-projects to be financed under the Competitive Investment Program of the 1st Component of the INPC Project;
- (ii) To Provide support to PMU in order to oversee the sub-projects' implementation and to provide management support services to the PMU in the competitive investment financing area;
- (iii) To act as PMU Help Desk during the First Call for Proposals for his/her designated area, providing permanent feed-back to the PMU regarding the perception, needs, willingness of the potential beneficiaries of the project and

MINISTERUL MEDIULUI, APELOR ȘI PĂDURILOR

progress of the Concept Notes and Full Proposals preparation in order to better design the implementation plan and budget for the first year of implementation.

3. Scope of the Services:

Each of the 4 Competitive Investment Financing Experts will be assigned for 2 developing regions, as it follows:

1. South and Bucharest-Ilfov;
2. South-East and North-East;
3. Center and North-West;
4. South-West and West.

The Competitive Investment Financing Expert will have the following tasks and responsibilities during the First Call for Proposals, within his/her designated area:

- a) Prepare a work plan for identifying potential beneficiaries within Component 1 of the Project and supporting approximately 25 willing local authorities (exact number and location of the local authorities to be agreed with the PMU) to develop Concept Notes and Full Proposals for the Competitive Investment Program;
- b) Train the local authorities' team members to develop the competitive investment proposals, including detailed costs and timelines for the activities to be financed within the Competitive Investment Program. The beneficiary team members could be the mayor, local council representatives, partnership of local councils representatives;
- c) Provide on-site direct support to about 25 local communities (or association of communities) in order to develop competitive investment financing proposals (both Concept Notes and Full Proposals) for sub-projects selected from a predefined approved menu of investments based on agreed eligibility criteria and having the main objective to reduce water pollution with nutrients;
- d) Provide to the potential beneficiaries permanent online/phone backstopping information support during all the preparation, evaluation and selection phases.

In order to fulfill the above tasks, during the First Call for Proposals, the Experts will organize their work as it follows:

MINISTERUL MEDIULUI,
APELOR ȘI PĂDURILOR

A. For one week: The Consultant is expected to carry out the following **prior activities** in order to achieve the scope and objectives of the assignment:

- a) Get extensive knowledge with Project and be familiar with the implementation arrangements and timing;
- b) Get extensive knowledge of the (i) Competitive Financing Program „Investments in Local Communities to Reduce Nutrient Pollution” - Procedures & Guidelines For Applicants and of the (ii) Guidelines for Monitoring and Controlling of the selected sub-projects, in order to provide training in guiding principles and rules for its implementation at the local levels;
- c) Examine the Additional Financing project documents (Project Paper, Loan Agreement, Project Operational Manual, Project Procurement Plan, Project Action Plan among others);
- d) Participate in an orientation training organized by PMU on the design and implementation of Concept Notes and competitive investment financing Full Proposals;
- e) Have prior meetings with the PMU team, especially the PMU Director, Financial Manager, Procurement Manager, M&E Manager to plan his/her activities and schedule for their implementation.

B. For One Month: Identifying potential beneficiaries and select a pool of 25 local communities (or association of communities) to prepare competitive investment proposals. During this phase, the Consultant will have to:

- i. Visit at least 30 local communities in his/her designated area with the aim to present the menu of investments and eligibility criteria to the potential beneficiaries for all the domain of intervention envisaged by the Project;
- ii. Evaluate the local authority's needs;
- iii. Elaborate a list of 25 local communities (or association of communities) to prepare competitive investment proposals on their demand;

Based on the database with the target group contact information available of the PMU level, the Consultant will contact the relevant stakeholders at the counties level in order to obtain the information necessary to elaborate the approach and the site visits plan for this phase of the assignment.

C. Six Weeks: Concept Notes preparation period:

During the Concept Note preparation process, the Consultant will have the following responsibilities:

MINISTERUL MEDIULUI,
APELOR ȘI PĂDURILOR

- i. Explain to the beneficiaries' team the basic concepts for competitive investment financing program related to the Concept Note preparation process (objectives, domain of intervention, eligibility criteria for beneficiaries, criteria for selecting the sites, budgets, eligible and non-eligible expenses, percentages and types of co-financing, documents to be submitted, rules for submission, information regarding the selection procedure etc);
- ii. Train the team that will develop the competitive investment financing proposal on strategic planning and competitive investment financing proposal preparation;
- iii. Permanently guide the beneficiaries' team to elaborate adequate Concept Notes acting as PMU Help Desk during this task.
- iv. Conduct strategic planning exercises with each assigned local authority team within a period of approximately two months. As a conclusion of the strategic planning exercise, each assisted local authority should prepare a Concept Note according to the criteria designed in the Guidelines for the Competitive Investment Program.

The Consultant will visit each assigned local authority at least 1 time during the Concept Notes preparation process and will provide permanent support until the deadline for Concept Note submission. The consultant will not fill in the applicant's forms and will not be responsible for the accuracy and reality of the data provided by the applicants. The Consultant will not draft the Concept Notes himself/herself, but will support the beneficiaries' teams to address all necessary sections of a well-designed and justified Concept Note.

D. Six Months: Full Proposals preparation period:

During the Full Proposals preparation process, the Consultant will have the following responsibilities:

- i. Explain to the beneficiaries' team the basic concepts for competitive investment financing program related to the Full Proposal preparation process (awarding criteria, documents to be submitted, rules for submission and information regarding the selection procedure etc);
- ii. Permanently Guide the beneficiaries' team to elaborate adequate Full Proposals, including qualitative Feasibility Studies and also guiding them for obtaining the necessary permits and authorizations;
- iii. Guide the beneficiaries' team to elaborate site-specific Environmental Management Plan in order to be submitted to the World Bank for approval;

MINISTERUL MEDIULUI,
APELOR ȘI PĂDURILOR

- iv. Conduct strategic planning exercises with each assigned local authority team within a period of approximately six months. As a conclusion of the strategic planning exercise, each assisted local authority should prepare a competitive investment financing Full Proposal according to the criteria designed in the Guidelines for the Competitive Investment Program;
- v. Act as PMU Help Desk during this task.

The Consultant will visit each assigned local authority at least 1 time during the Full Proposals preparation process and will provide permanent support until the deadline for Full Proposals submission. The consultant will not fill in the applicant's forms and will not be responsible for the accuracy and reality of the data provided by the applicants. The Consultant will not draft proposals himself/herself, but will support the beneficiaries' teams to address all necessary sections of a well-designed and justified proposal.

4. Consultant's Profile:

In order to be able to charge the Client for the activities performed under these terms of reference, the expert must be either a person authorized under the Law 300/2004 regarding the authorization of individual persons and family associations to carry out independent activities or to act under a limited liability company or another form of organization that enables him/her to issue invoices for the services provided. In any of the cases, the Consultant should be aware that the services will be provided only by the selected Individual Consultant and no substitution of any individual who was initially proposed and evaluated will be permitted.

Minimum qualifications required:

- Academic education in the following areas: engineering, environment, civil construction, economics or another relevant ancillary area;
- Relevant academic education and/or training in project management;
- At least 10 years of relevant working experience (general experience such as working in projects/programs, working with local communities, working in management and/or implementation of projects and/or grants and/or different competitive investments schemes);
- Experience in program/project planning, design, evaluation, implementation and management;

MINISTERUL MEDIULUI, APELOR ȘI PĂDURILOR

- Experience in implementation and management of small competitive investment financing proposals/project proposals;
- Previous experience in developing projects for different EU or other external financing programs is considered an advantage;
- Proven experience in working with public funds, and with Government's, international organizations' and donors' procedures;
- Sound knowledge and working experience with World Bank's procedures is desirable;
- Experience in permitting procedures for public investments;
- Advanced PC skills and sound knowledge of the MS Office package: Word, Excel, Outlook, Power Point and MS Project;
- Good command of spoken and written English is a must;
- Strong analytical skills, oral and written communication and team building skills;
- Strong communication and reporting skills and ability to work with local and national authorities, with multidisciplinary teams.

5. Duration of the work

The total staff days input of the Consultant is estimated at 180 days to be performed within a period of engagement starting with the contract signing and until May 31, 2017 as follows:

- A. Prior activities: 5 days (in the first week of the contract);
- B. Identifying potential beneficiaries: 20 days (during one month dedicated to this activity);
- C. Concept Notes preparation period: 30 days (during six weeks dedicated to this activity);
- D. Full Proposals preparation period: 125 days (during six months dedicated to this activity).

This plan is indicative. Some flexibility will be required as the project evolves in order to ensure the most successful results on the ground, in close communication with the Client.

The consultant is expected to start performance of the services immediately after contract signing.

Subject to consultants' satisfactory performance of the assignment and if needed, the contract may be extended during the additional financing of the

MINISTERUL MEDIULUI,
APELOR ȘI PĂDURILOR

Project in order to perform all the activities covered by these terms of reference and in accordance with the actual calendar of activities for the First Call for Proposals under the INPCP - Component 1.

6. Reporting

Progress Reports: the Consultant will deliver a progress report for each phase A, B, C and D of this assignment. The Progress Reports will contain at least but not limited to the list of activities planned for the reporting task, their progress toward the target and results of the activities. The Progress Reports need to be cleared by the PMU's Technical Specialist Monitoring and Evaluation. In case of key/important activities, the Reports should give general recommendations for potential solutions and approaches for improving or speeding up the processes.

The progress reports will be elaborated in 2 hard copies as well as in electronic format in Romanian and English language.

The progress reports will be delivered as follows:

- **For phase A of the Scope of the Services namely *Prior activities in order to achieve the scope and objectives of the assignment*:** within two days as from the deadline of the phase.

The indicative content of the Report will be at least but not limited to the following:

1. Summary of the learning activities as per indicative content provided above;
2. List of the topics discussed at the orientation training held by PMU;
3. List of the topics discussed at the meetings with PMU team;
4. The plan of the contractual activities and schedule for their implementation.

- **For phase B of the Scope of the Services namely *Identifying potential beneficiaries*:** within five days as from the deadline of the phase.

The indicative content of the Report will be at least but not limited to the following:

1. List of the local communities contacted and visited;
2. List of the persons attending to the meetings and topics discussed;
3. List of the stakeholders contacted at the counties level and topics discussed;

MINISTERUL MEDIULUI,
APELOR ȘI PĂDURILOR

4. Assessing of the local authorities' perceptions and interest in the Competitive Financing Program.

- **For phase C of the Scope of the Services namely *Concept Notes preparation period***: within five days as from the deadline of Concept Notes submission.

The indicative content of the Report will be at least but not limited to the following:

1. List of the local communities that submitted Concept Notes;
2. Issues raised by the beneficiaries' teams during the elaboration of the Concept Notes, problems encountered as well as solutions applied for solving them;
3. Summary of the help-desk activity (with focus on topics discussed and their frequency).

- **For phase D of the Scope of the Services namely *Full Proposals preparation period***: within five days as from the deadline of Full Proposals submission.

The indicative content of the Report will be at least but not limited to the following headlines:

1. List of the local communities that submitted Full Proposals;
2. Issues raised by the beneficiaries' teams during the elaboration of the Full Proposals, problems encountered as well as solutions applied for solving them;
3. Summary of the help-desk activity (with focus on topics discussed and their frequency).

All reports will be submitted for approval to the PMU and will constitute the basis for payments to the Consultant.

In addition, only for the Full Proposals preparation period, the Consultant will submit **Monthly Status Reports** of the activities carried out during each of the six months period in order for the PMU to observe and closely monitor the actual progress of respective tasks. Monthly Status Reports will not constitute basis for contractual payments but will guide the PMU to assess the interest of the beneficiaries within the First Call for Proposals. The Monthly Status Reports will be delivered within five days as from the last day of each six months allocated for the Full Proposals preparation period. The reports will be elaborated in 2 hard copies as well as in electronic format, in Romanian language.

7. Institutional arrangements, Data, Local Services, Personnel and Facilities to be provided by the Client

The Competitive Investment Financing Expert:

- Will closely coordinate his/her activities with the PMU on activities related to the Project.
- Will work under the direct supervision of the PMU (overall management), guided technically by the PMU Director;
- Will work full time in the project, either in Bucharest and on site, countrywide, in order to ensure proper implementation of allocated activities;
- Will devote significant time for travelling on site regularly, countrywide.
- Will cooperate with the World Bank Project Coordinator, as well as with WB's specialists and with specialists from other projects financed by the World Bank, in the fields of Competitive Investment Financing;

The Consultant will not at any time communicate to any person or entity any confidential information acquired in the course of the assignment.

All documentation prepared by the Consultant in the course of the present assignment will remain the absolute property of the PMU. The Consultant will, not later than upon termination or expiration of the contract for the current assignment, deliver all such documentation to the PMU.

During the contract implementation there will be no dependency or subordination relationships of the Consultant to the Client.

The working program will not be imposed by the Client but will be chosen by the Consultant provided that the latter will comply with all deadlines for completion of the allocated tasks.

Activities will not take place exclusively at the Client's premises but in any place chosen by the Consultant.

The Consultant should use his/her own equipment and working capital to carry out the tasks included in this Terms of Reference.

The Client will not pay or reimburse any of Consultant's costs outside of the payments agreed for in the contract.