

**TERMS OF REFERENCE FOR BACKGROUND STUDY ON TOWNSHIP GOVERNANCE AND REPORT ON STATE OF  
LOCAL GOVERNANCE**

**LOCAL GOVERNANCE MAPPING EXERCISE**

**IN 2 STATES/REGIONS<sup>1</sup>**

**UNDP MYANMAR (PILLAR 1: LOCAL GOVERNANCE)**

**NOVEMBER 2014 – JANUARY 2015**

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**1) GENERAL BACKGROUND**

Myanmar is in transition, with numerous reforms underway to strengthen the democratization process. The 2008 Constitution provides basic principles of democracy, rule of law and human rights, and the separation of powers. There is a strong commitment of the Government of Myanmar to further roll out and implement a complex reform agenda at multiple levels including and with a specific emphasis at the local and sub national level.

To contribute to an enhanced basis for policy dialogue, and to support decision-making, planning and engagement for national stakeholders and development partners, UNDP started conducting an analysis of the state of Sub-national Governance in an initial group of 7 States and Regions of Myanmar from November 2013. The mapping exercise has been successfully implemented in the pilot states of Mon and Chin, and currently being implemented in five more states/regions in Phase II, to be completed by end of November 2014. UNDP plans to roll out this process to all the 14 states/regions in the country and therefore will conduct an analysis of the state of local governance in the remaining 7 States and Regions of Myanmar between November 2014- February 2015. This initiative aims to respond to scarcity of data, information gap and to provide a critical contribution to the ongoing reform process.

The purpose of the mapping is to better understand the state of governance in Myanmar at both state/region and township levels, from both the supply and demand side perspective, i.e., from the institutional and people's perspectives. The mapping exercise will identify the opportunities and challenges that exist in the area of sub-national governance, in order to contribute to policy discussions on regional and local governance in an informed manner. It is expected that this mapping exercise will build on the momentum of reforms, and contribute to a further consolidation of the democratic transition process in Myanmar. The three-step approach taken for the local governance mapping undertakes household surveys using the methodology of citizen report cards, interviews with front line service providers and community dialogues at the village/ ward level; interviews with relevant stakeholders at the township level and finally at the state/region level. See for more details Attachment 1.

The Local Governance Mapping exercise will therefore provide national stakeholders with the necessary data and information to make better informed decisions/produce better informed policies/better plans for improved service delivery and democratic governance at local level. The people of Myanmar (including the poor and most vulnerable) will provide much of the content of this mapping exercise; it gives them an opportunity to express their perceptions. Additionally, it will provide UNDP and other International Development Partners with relevant baseline data to improve programming, indicator development and progress monitoring. The outcome of this mapping exercise will be used as a basis to design and refine jointly with the government counterparts UNDPs future work on local governance in Myanmar.

**2) OBJECTIVE OF THE ASSIGNMENT**

There are two major objectives of this assignment:

- A. To collect and analyze relevant background information on the functioning of government at the township level (as described below and in attachment 2) in selected townships in one state/region by collecting and analysing available secondary data, and through interviews and focus group discussions with key government staff, civil society organisations and other resource persons at the township level and state level.

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<sup>1</sup> States/Regions are constitutionally equivalent

- B. To draft one overall state of governance report (SOLG) for the state/region. The SOLG would be based on an analysis of the township and state/region level reports as well as the results and reports of the Citizen Report Card exercises and Community Dialogues, for each state/region, to be provided by the research institute engaged for field research and analysis.

### 3) SCOPE OF WORK

Within the overall framework of the proposed methodology for sub-national governance mapping, the consultant (s) will be responsible for the following tasks:

#### Under Objective A:

- 1) Please see attached guidelines.

#### Under objective B:

- 1) To draft an overall state of governance report for one region, working closely with research partner institution (hired for data collection mainly at village/ward level).

#### Deliverables (all reports to be submitted in English):

1. One overall state of governance report for Magway region as per agreed layout and content (template will be provided)

### 4) DURATION OF ASSIGNMENT AND INDICATIVE TIME FRAME OF VARIOUS ACTIVITIES

The consultant for Magway region will be engaged for a total number of 25 days spread over a period of 3 months.

**Table 1**

Activity	Tentative dates <sup>2</sup>
Part A: Township data collection, state/region level discussions plus meetings in Yangon TOTAL: 10 days	25 November 2014 – 15 January 2015 (approx..)  • Magway region (3 Townships)– 25 <sup>th</sup> November – 15 <sup>th</sup> December 2014 (approx..10 working days)
Part B: State of Local Governance Report (SOLG) -draft report <sup>3</sup> (12 days) --finalisation of the report (2 days) - preparation of presentation for the interim findings workshop (1 day) TOTAL: 15 days	<u>Reports (final)</u> Magway region– 10 <sup>th</sup> January 2015

### 5) INSTITUTIONAL ARRANGEMENTS

Regarding all operational matters, the consultant will consult with and report to the Coordinator on a fortnightly basis and whenever required.

<sup>2</sup> Timelines are going to be more or less as indicated and the contract would be output based.

<sup>3</sup> The draft report can only be completed once you receive the community level data from the Research institution.

UNDP will select the townships to be included in this research and arrange for all necessary permits and introductions to the relevant townships and persons to be interviewed as part of this assignment.

UNDP will support the in-country travel and accommodation arrangements for the implementation of the research. UNDP support will also be provided for security clearance and travel arrangements to sensitive/remote areas.

#### **6) REQUIRED EXPERTISE AND EXPERIENCE**

The consultant should have a Masters degree in social science, public administration, political science, international relations and minimum 7-10 years experience in conducting similar type of research and facilitation activities in developing and/or transition countries. Experience in local governance, decentralization, public sector assessment and conflict sensitivity is desirable. He/she should have knowledge of the region and the ability to deal with political sensitivities in Myanmar.

Prior work experience in Myanmar and knowledge of the local language would be an asset.

The consultant should have excellent communication and writing skills.

#### **7) PROPOSAL FORMAT AND PRESENTATION**

The consultant is invited to submit a technical and financial proposal including the following key elements:

1. Updated CV
2. Relevant experience (description of similar projects undertaken – either completed or ongoing)
3. Sample research papers, impact analysis, assessment or evaluation report(s) or relevant writing pieces (2 samples)
4. Proposed work plan [detailing number of days in the field (with dates) and home based work]
5. Financial proposal including:
  - a. Detailed breakdown of costs including professional fee, travel costs.
  - b. The following Payment Schedule is proposed by UNDP. Proposed changes, if any, should be accompanied by a detailed justification.

Activities/Deliverables	Expected completion date	Percentage of total contract amount
Advance for field work on township governance		20%
Draft Report on state of local governance for Magway state	As per above schedule	40%
Final state of local governance report for one state	As per above schedule	35%
Power point presentation on the findings	As per above schedule	5%

#### **8) Criteria for selection of offer**

For qualification relevance 10% will be put on education; 25% of experience in local governance/public sector assessment/decentralization/governance/gender and conflict sensitivity; 45% on experience in conducting similar types of activities of monitoring and evaluation/research; and 20% on experience of working in the region or knowledge of the region.

#### **9) ATTACHMENTS TO TOR**

Attachment 1: Sub-National Governance Mapping Methodology

Attachment 2: Guidelines for Township Governance Background study (These guidelines must not be used for any other purposes)

## Attachment 1: State/Region and Township governance mapping in Myanmar

### Description of UNDP Methodology

#### 1. Scope and Relevance of the mapping exercise for the Reform Process

In his address to the Union Ministers and Region/State Chief Ministers The President His Excellency U Thein Sein urged the State/Region Governments and Township Administrations that as part of the ongoing reform process they have over the coming 30 months:

1. To improve on their performance regarding public service delivery to the people of Myanmar
2. To enhance the quality of governance, or the process of service delivery
3. To involve citizens more actively in various planning processes; to improve citizen participation.

UNDP and the Government of Myanmar, have agreed within the Country Programme Action Plan 2013-15 to work together to improve governance and people centred service delivery to the citizens of Myanmar. UNDP will, within this programme framework, support the capacity development of state/region governments and township administrations, meaning that it will strengthen their institutional, organisational and staff capacities to deliver services and other outputs in accordance with their mandate.

As a starting point, UNDP will in close cooperation with the Government of Myanmar and the Ministry of Home Affairs, in particular, map the existing governance capacities of selected service providers and other government and non-government stakeholders at both state/region level and township levels in all 14 states/regions in Myanmar by the fourth quarter of 2014.

The methodology for this sub-national governance mapping exercise has been adapted from methodologies successfully applied in various countries over the world and is especially suitable for countries that are at the initial stages of developing a government performance management system when there are limited reliable administrative and statistical data available about the service delivery process and quality of governance, as is the case in Myanmar.

The proposed methodology was discussed and endorsed during the “National Workshop on Good Local Governance and People Centred Services” held in Nay Pyi Taw on 17/18 August 2013 in the presence of H.E. U Hla Htun and H.E. U Tin Naing Thein, Lt. General Ko Ko, Senior staff members from the Ministry of Home Affairs and the Ministry of National Planning and Economic Development, Ministers from the State/Region Governments, Members of the Union Parliament and knowledgeable Academia and representative of Civil Society.

#### 2. Objective of the sub national governance mapping

The objective of the Subnational Governance Mapping exercise will be:

1. To provide an overview of the quality of service delivery (for a selected number of key basic services) and the quality of governance at township and state/region level.
2. To identify related capacity needs of government and non-government stakeholders to play their role in the ongoing reform process, in good governance and in service delivery effectively.

These results can be used:

- By government and non-government actors at township and state/region level to define their own capacity development plans and include these into their integrated development plans
- By the union ministries and state/region governments as well as development partners to define their capacity development support activities for lower level government institutions.

#### Guiding principles for the design of the methodology

1. The transfer of responsibilities to lower level government is still ongoing in Myanmar and there is only partial clarity on what the end stage of this process will/should be. Performance standards and performance management systems are still under development.
  - a. The methodology should **map where governance and service delivery are at the moment** and not so much where they should be, which is why we call it “mapping” and not “assessment”

- b. It should be possible to **integrate** the mapping methodology and process **into a future monitoring and evaluation system of the government**. It is not a one-time exercise but will develop and improve while implementing and increasingly involve government and discuss the potential integration in regular monitoring practices. The process is as important as the result.
2. Given the nascent character of democratic practices in Myanmar, the methodology should map, but at the same time **raise the awareness and enhance basic capacities** regarding service delivery and democratic governance of all participants (government staff, citizens, CSOs, etc.)
3. The methodology should be in line with the reform principles and objectives of the government, i.e. **stimulate active involvement of citizens** and non-government stakeholders in the process.
  - Establish an **Advisory Committee** to ensure compliance with government policies and partnership in the process (together define indicators and draft questionnaires, actively participate in exercises)
  - The exercise should be **multi-stakeholder** (include government staff, politicians, committee members, CSOs, business sector and others if appropriate)
  - **Involve citizens actively** in the process because:
    - They are the end users of services, so their opinion is important
    - To provide a model as to how citizens can participate in these processes, which could be integrated in future impact monitoring systems of the State/Region government
    - Government wants to listen more actively to its citizens
    - To help government staff to become more service oriented
    - The dialogue platforms that will be established at various levels could be the start of a rudimentary form of social accountability
4. Since there is a lack of reliable basic administrative data in Myanmar, the methodology will mainly make use of **qualitative data**, i.e. based on the experiences and perceptions of citizens and stakeholders. When data management improves in future, the methodology should be able to absorb more quantitative data as well.
5. The methodology should **address both the supply and demand side of governance** and service delivery.
  - Supply side: government's ability and willingness to adhere to principles of democratic governance
  - Demand side: citizens' and civil society's ability to hold government to account and to play a constructive role in the governance process

The methodology therefore does not only map governance capacity gaps, it also aims to create awareness about the importance of governance and the need for government and non-government partners to work together to resolve the complex problems that the townships and states and regions are facing in improving service delivery.

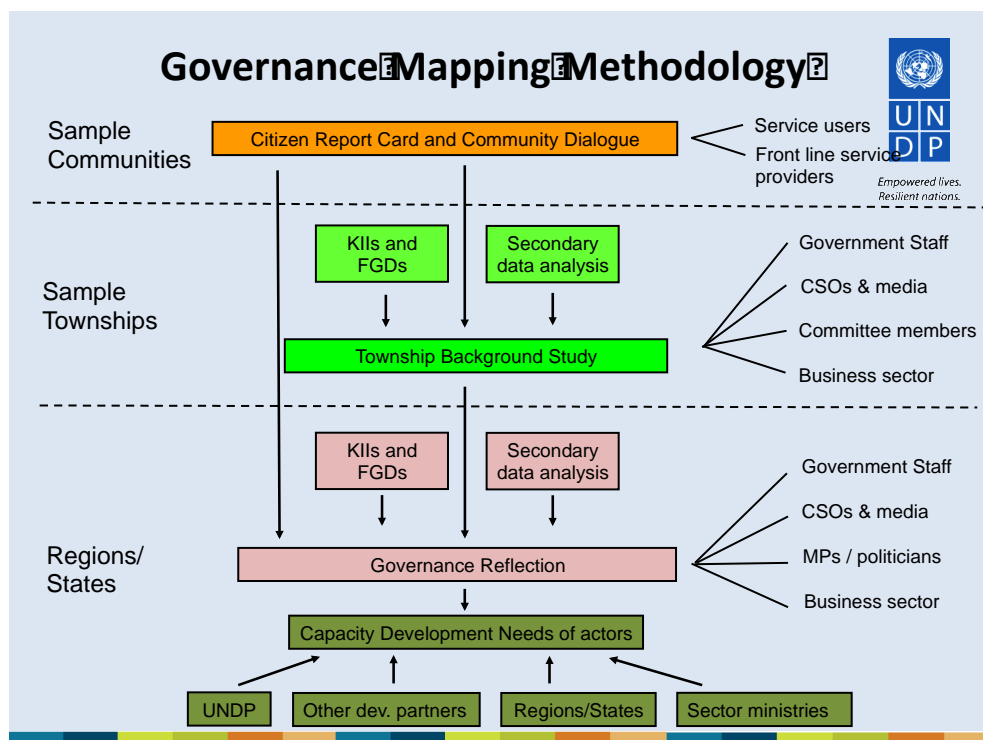
It is for these reasons that the methodology will involve both government and non-government actors at all three levels – the community, the township and state/region level - for data collection and analysis. At each level, the researchers will interview all relevant stakeholder groups as well as bring them together in a dialogue session to discuss the successes and challenges. Working in this way will ensure that everyone involved feels free to express their ideas and concerns, but at the same time it stresses the importance and creates the awareness that problems can only be resolved when everyone is willing and able to work together.

The methodology is based on the philosophy of "Appreciative Enquiry": Helping actors involved not to point fingers to each other looking at who did what wrong, but instead identify the underlying systemic issues that can only be resolved through collective action. This will require a level of openness of everyone involved. Building trust between actors can only happen if all stakeholders realize that reform means changing old patterns of behavior, respect other actors be open and show a willingness to listen and learn.

### 3. Mapping the quality of service delivery and governance; A 3 Step Approach

The Subnational Governance Methodology will adopt a 3 step approach to map the quality of service delivery and governance at ward/village, township and at region/state level (see Figure 1 below).

**Figure 1: UNDP's proposed Sub-National Governance Mapping exercise**



The process starts with an initial sensitization workshop at the region/state level to introduce the why, what and how of the methodology and to obtain the required approval. The sensitization workshops will be completed in the seven states/region by the first week of August 2014.

### **Step 1: Community level mapping**

In the states, UNDP intends to interview a representative sample of citizens in sample villages in selected townships. The actual selection of townships and communities will be done in close consultation with the state/region government. The questionnaire to be used will focus on the perception/ satisfaction of citizens on the basic services provided by government (such as water, health and education) and on core elements of good local governance like participation, equity, accountability, etc. In addition to citizens, all frontline service providers (like teachers, nurses and selected staff of the township administration) in these wards/villages will be interviewed. The results from these interviews will be discussed in a focus group discussion in which the different groups in the community (like women, youth and elders) participate along with the frontline service providers. The objective is to reach consensus on the most important bottlenecks, but also to identify solutions that they can implement collectively at their level.

### **Step 2: Township level mapping**

To deepen the understanding of the functioning of township administration, background studies are conducted at township level. Available information in the form of government statistics, policy documents and township profiles is collected and analysed. Semi-structured interviews and focus group discussions are held with key government staff and CSO representatives.

### **Step 3: State/region level mapping**

The third step is more or less the same as the second one except that this one is implemented at the state/region level and that it will use not only the outcomes of the community level and township level mapping exercise, but also an analysis of relevant hard data that are available (like audit reports, annual plans and reports and the decentralisation reports drafted by MDRI/ the Asia Foundation). Stakeholder groups will again separately and collectively discuss and analyse the strengths and weaknesses in service delivery and governance based on the outcomes of step 1 and step 2 and resolve bottlenecks and identify capacity gaps and needs relevant at their level.

#### **4. Reports as basis for future interventions**

The reports resulting from these exercises will form the basis for a range of interventions to improve the quality of sub-national governance, including a capacity development plan per state/region. Such plans would include not only activities that the state/region can implement itself, but also those that require external support, which could be provided by the union level government, UNDP and/or other development partners.

The dialogue platforms at township and state/region level that are introduced as part of the mapping exercise could later on be used to monitor progress of the respective capacity development plans and could in the long run even be institutionalised as a mechanism for dialogue between government and non-government actors for resolving development bottlenecks at the township and state/region level collectively.

#### **5. Management of the Mapping Exercise & Role of Advisory Committee**

UNDP will further discuss and refine the above tools in close cooperation with the relevant government institutions at union level to ensure that they meet their requirements, comply with government policies, regulations and procedures and to identify opportunities to integrate elements of the methodology into the regular performance management systems of the government in the near future.

To ensure active involvement of government and other stakeholders in the actual design of the methodology and the selection of indicators, UNDP has established an Advisory Committee in which all relevant stakeholders are represented, which will oversee the design and implementation of the governance mapping exercise.

Throughout the methodology, the focus will be on learning by doing, assisting government and non-government actors to reflect on their collective performance, to give each other constructive feedback and to search for consensus and collective action to improve service delivery to the people of Myanmar. Applying the methodology in practice will assist the Government of Myanmar in translating its objectives to bring services closer to the people and to improve governance into practical plans and activities that can easily be implemented by lower levels of government.