

TERMS OF REFERENCE FOR CONSULTANTS

A. Objectives and Approach

1. The proposed knowledge and support technical assistance (TA) will assist the Government of Mongolia in strengthening the institutional capacity of public utility service organizations (PUSOs) and will enhance sustainability of the Asian Development Bank (ADB) financed investments by improving technical capacity of PUSOs for provision of reliable and safe water supply and wastewater services. The TA will assist the government in developing PUSO technical training strategy, building training capacity of the Urban Water Supply and Wastewater Services Regulatory Commission¹ (the regulator) by formulating and testing priority training modules and improving training facilities of the Regulator's Training Center (RTC).

B. Project Outputs

2. **Output 1: Policy advice on PUSO technical training strategy finalized.** This output will help establishing a mechanism to address the knowledge and skills obsolescence of PUSO technical staff. The following activities will be completed:

- (i) development of the methodology for assessment of human resource, technical capacity and training needs of PUSOs;
- (ii) conducting a gender-inclusive situational analysis on current capacity of PUSO engineers and technicians;
- (iii) assessment of technical training needs over the short-and medium-term for effective delivery of services, including review of key constraints: access, direct and indirect cost, availability, quality, and gender-based gaps;
- (iv) review of the country's training capacity for upskilling the PUSO technical staff, including review of existing training institutions, programs and courses, training governance structure, resource availability (human, equipment and financial), facilities and teaching aids, curriculum, teaching materials and demonstration and practical training sites;
- (v) development of a gender-responsive technical training strategy; and
- (vi) development of a monitoring framework to assess the performance of the strategy.

3. **Output 2: Capacity of the Regulator's Training Center strengthened.** The TA will support the Regulator in developing a professional training center for PUSO technical staff. The activities are as follows:

- (i) formulation of a detailed annual plan for PUSO technical training;
- (ii) development of at least 10 gender-responsive training modules, including four mandatory modules on (a) operations and maintenance (O&M) of wastewater treatment plants (WWTP) similar to those supported by ADB under recent wastewater management projects;² (b) decentralized sludge management, (c) sewage sludge re-

¹ Established in 2012 with the advisory support from ADB, the Urban Water Supply and Wastewater Services Regulatory Commission is responsible for setting tariffs, licensing and for evaluating, monitoring, and regulating performance of PUSOs nationwide.

² ADB. 2014. *Report and Recommendation of the President to the Board of Directors: Proposed Loans and Technical Assistance Grant to Mongolia for the Darkhan Wastewater Management Project*. Manila; ADB. 2016. *Report and Recommendation of the President to the Board of Directors: Proposed Loan for Additional Financing and Technical Assistance Grant to Mongolia for the Southeast Gobi Urban and Border Town Development Project*. Manila; and

- use approaches; and (d) civil society/community engagement and education on utility services. For each module, the TA will: (a) formulate appropriate training methodology, reflecting international best practices, new technologies and innovation; (b) test the modules with at least 300 PUSO technical staff participation (including 30% women) and refine the modules; and (c) train RTC trainers;
- (iii) international training tours to peer training entities in ADB member countries;
 - (iv) improvement of training facilities, includes furniture and office equipment for training classrooms, and tools, equipment, and materials for practical training units; and
 - (v) development of a knowledge product on PUSO technical training strategy, annual plan and training modules for dissemination to stakeholders in Mongolia, including Government agencies, PUSOs, training institutes, etc.

4. The TA will be implemented from December 2020 to December 2023. The Ministry of Construction and Urban Development (MCUD) will be the executing agency (EA) and the regulator will be the implementing agency (IA). The TA activities will be administered by ADB through its Mongolia Resident Mission. For day-to-day administration, TA will establish a project implementation unit (PIU). In consultation with the EA, ADB will recruit the following part-time individual national consultants: (i) TA coordinator (18 person-months), and finance and administration officer (16 person-months). The consulting firm package (60 person-months in total) for PUSO upskilling program development will be selected by ADB using quality-based selection method. Output-based lump sum contract for consulting firm will be considered. Selection of all consultants will follow the ADB Procurement Policy (2017, as amended from time to time).

C. National Individual Consultants (PIU staff)

5. **TA Coordinator (18 person-months, part-time).** The TA coordinator will have strong experience with project management, including strong procurement and financial management experience. Experience with water supply and wastewater management projects will be an advantage. He/she will have at least 10 years experience relevant to the assignment and will have Master's degree in a related field. In the absence of a Master's degree or equivalent, additional years of experience or particularly high quality experience may be considered. The TA coordinator must be proficient in both written and spoken English and must deliver all reports in Mongolian and English languages. Relevant experience with projects and programs financed by development agencies is desired. The coordinator will report to the ADB TA Officer and will work closely with the EA and IA to deliver the TA outputs. The estimated start date is 30 January 2021 and estimated end date is 31 December 2023. The work will take place in Ulaanbaatar with trips to *aimag* (province) centers, as and when required. The coordinator will perform the following, but not limited to, tasks:

- (i) act as head of the PIU and manage and monitor inputs and performance of a finance and administration officer;
- (ii) prepare TA inception, mid-term, and final reports;
- (iii) prepare quarterly progress reports and submit to the EA and ADB on timely basis;
- (iv) prepare, in close coordination with EA and ADB, annual Project Implementation Plan for approval by ADB and the EA's Project Steering Committee (PSC);³

ADB. 2018. *Report and Recommendation of the President to the Board of Directors: Proposed Loan for Additional Financing for the Southeast Gobi Urban and Border Town Development Project*. Manila.

³ The MCUD's existing steering committee for externally financed urban sector projects will provide overall policy guidance and will evaluate the TA implementation quarterly or as often as required.

- (v) organize meetings of the PSC in a timely manner, prepare meeting minutes and implement follow-up actions defined by the PSC;
- (vi) ensure smooth implementation of the TA project technically and financially;
- (vii) handle the disbursement of TA funds in accordance with ADB Technical Assistance Disbursement Handbook (2020, as amended from time to time);
- (viii) manage day-to-day TA activities in coordination with EA and IA, and a consulting firm;
- (ix) ensure effective coordination between the government, ADB, and other stakeholders;
- (x) conduct, jointly with the IA, the first review of the consulting firm's deliverables and ensure the EA conducts further detailed review and provides comments in timely manner;
- (xi) review the consulting firm's claims and its supporting documents and ensure the correctness and completeness of claims for timely payment;
- (xii) report regularly to the EA, IA and ADB on the progress of TA implementation;
- (xiii) oversee the consulting firm in conducting the seminars/workshops and training;
- (xiv) organize study tours;⁴
- (xv) provide interpretation and translation, as necessary;
- (xvi) prepare minutes of meetings, as necessary; and
- (xvii) perform other tasks as required by EA and ADB.

6. **Finance and Administration Officer (16 person-months, part-time).** The officer will have a degree in administration or a related field (e.g., public or business administration, accounting) with at least 5 years of experience in office administration and providing accounting support; and must be fluent in English. Relevant experience with projects and programs financed by international development agencies will be an advantage. Good command of computer skills is a must. The estimated start date is 1 March 2021 and estimated end date is 31 December 2023. The candidate will report to the TA coordinator and will perform the following tasks:

- (i) perform the tasks assigned by the TA coordinator;
- (ii) call and organize the logistics for meetings and workshops, and prepare and disseminate the agenda and other meeting or workshop materials;
- (iii) ensure the minutes of meetings are recorded, distributed, and filed;
- (iv) support the TA coordinator in translating the TA reports, plans, and related documents;
- (v) provide interpretation services from Mongolian to English and English to Mongolian at meetings, as required;
- (vi) maintain comprehensive and clear accounts, and monitor PIU expenditures, and fund flows;
- (vii) prepare reimbursement forms, liquidation, financial statements, and any other activity required to manage the financial operations of the TA;
- (viii) maintain PIU financial records;
- (ix) provide quarterly financial progress reports to EA and ADB. These should be produced in English and Mongolian;
- (x) maintain the TA filing system;
- (xi) handle administrative issues related to the TA;
- (xii) assist in preparing the TA reports (progress, inception, interim and final reports); and
- (xiii) provide secretarial support, as required.

⁴ Includes two study tours to peer training entities in ADB member countries for a maximum of eight executing and implementing agencies staff per tour.

D. Consulting Firm (to be engaged using quality-based selection method)

7. The consulting firm or consortium of firms will have strong experience in sector assessment and capacity building. The relevant experience in water supply and wastewater sector is preferred. Estimated start date is June 2021 and the estimated end date is 31 December 2023. The work will take place in Ulaanbaatar, with short trips to two *aimags* (provinces). The firm will report to the ADB, EA, and TA coordinator. The firm will work closely with the regulator to deliver the TA outputs. A total of 64 person-months of consultants' inputs will be required to complete the TA intermittently over a 30-month period. The list of suggested experts is in Table 1.

Table: Summary of Consultants Inputs

Area of Expertise	Duration (person-month)
1. Team Leader / water and wastewater sector specialist	18
2. Capacity development and training specialist - 1	12
3. Capacity development and training specialist - 2	12
4. Water and wastewater operations and maintenance specialist	8
5. Utility human resources management specialist	10
6. Gender specialist	4
Total	64

8. **Team Leader/Water Supply and Wastewater Sector Specialist** (national, 18 person-months, intermittent). The Team Leader/Water Supply and Wastewater Sector Specialist is preferred to have the following qualifications and experience: (i) at least a Master's degree in a related field; (ii) at least 15 years of related experience in water supply and wastewater sector; (iii) a proven track record on relevant assignments as an expert on assignments and projects financed by state budget or ADB and other international development organizations is preferred; (iv) demonstrated ability to work congenially and productively in a team leadership position with a consultant team, counterparts, and other stakeholders; (v) fluency in written and spoken English; and (vi) the ability to deliver high quality written outputs. This consultant will complete the following tasks:

- (i) lead and manage the team of consultants towards fulfillment of the Terms of Reference (TOR) for effective and efficient delivery of the TA outputs;
- (ii) based on the desk review of available national policies, government programs and related reports and documentation, consultations with stakeholders, and physical observations of at least two provincial PUSOs, assess the current situation in water supply and wastewater sector and identify critical issues to be addressed in relation to the PUSO technical operations and institutional management. Selection of the PUSOs shall be coordinated with the EA, IA, and ADB;
- (iii) present the results of the review to stakeholders;
- (iv) lead the development of the methodology for assessment of human resource, technical capacity and training needs of PUSOs;
- (v) develop policy recommendations and practical advice on strengthening PUSO technical capacity, including on upgrading skills and knowledge of PUSO technical staff (engineers and technicians);
- (vi) lead in the development of a gender responsive PUSO technical training strategy;
- (vii) develop a monitoring framework to assess the performance of the strategy;
- (viii) participate in the development of training modules;
- (ix) assist in scoping and organizing two international study tours to peer training institutes in ADB member countries, with the focus on best practices in upgrading skills and knowledge of utility technical staff;

- (x) assist in the design and conducting of workshops on policy recommendations, draft strategy and other initiatives;
- (xi) lead in the preparation of all reports, knowledge products and other outputs required under the TA.

9. **Capacity Development and Training Specialists** (national, 2 positions, 12 person-months each, intermittent). For each position, a specialist is preferred to have the following qualifications and experience: (i) at least a Master's degree in a related field; (ii) at least 10 years of experience in training and/or capacity development in the water supply and sanitation sector; (iii) a proven track record as an expert on projects financed by international development organizations will be an advantage; (iv) demonstrated ability to work congenially and productively with a consultant team, counterparts, and other project stakeholders; (v) fluency in written and spoken English will be an advantage, and (vi) the ability to deliver high quality written outputs. These specialists will complete the following tasks:

- (i) conduct a gender-inclusive situational analysis on relevant knowledge and skills of engineers and technicians in two provincial PUSOs. Selection of the PUSOs shall be coordinated with the EA, IA, and ADB. The consultant will conduct desk review of related reports and documentation, interviews, focus group discussions and tests, as and where appropriate;
- (ii) identify training needs over the short-and medium-term for effective delivery of services, including review of key constraints: access, direct and indirect cost, availability, quality, and gender based gaps;
- (iii) contribute to the development of the methodology for assessment of human resource, technical capacity and training needs of PUSOs;
- (iv) assess the country's training capacity for upskilling the PUSO technical staff, including review of existing training institutions, programs and courses, training governance structure, resource availability (human, equipment and financial), facilities and teaching aids, curriculum, teaching materials and demonstration and practical training sites;
- (v) provide inputs to the development of a gender responsive PUSO technical training strategy;
- (vi) develop the RTC annual training plan, including: (a) the list and scope of technical training modules to be introduced to the RTC; (b) scope and budget for enhancement of the RTC facilities and equipment; (c) measures for improved financial management and sustainability; (d) measures for improved human resources management; (e) plans for preparation of the new training modules and their renewal/updating; (f) plans for training of trainers on the new or improved training modules; (g) plans for monitoring and evaluation (M&E) of training methods and approaches, including assessment of efficacy and impact of conducted training sessions; (h) plans for enhanced effective cooperation with relevant international training organizations, if desired; and (i) other measures needed for improved efficacy and sustainability of the RTC operations. For each plans and activities, a gender consideration is a must;
- (vii) with inputs from other team members, lead in the development and testing of at least 10 priority training modules, including four mandatory modules on the following topics: (a) operations and maintenance (O&M) of wastewater treatment plants similar to those currently supported by ADB, (b) decentralized sludge management, (c) sewage sludge re-use approaches, and (d) civil society/community engagement and education on utility services. For each module, the following shall be undertaken: (a) formulate appropriate training methodology, reflecting international best practices, new technologies and innovation; (b) test the modules with at least 300 PUSO technical

- staff participation (including 30% women), cumulatively, and refine the modules, as needed; and (c) train RTC trainers. Topics for remaining six training modules will be defined upon completion of the training needs and training capacity assessments;
- (viii) present the findings of the situational analysis and capacities assessment, the PUSO technical training strategy, the RTC annual training plan, and the training modules to stakeholders at the TA interim and final workshops;
 - (ix) provide recommendations on improvements of the training facilities;
 - (x) compile related sections for inception, interim and final report;
 - (xi) develop a knowledge product on PUSO technical training strategy, annual plan, and training modules; and
 - (xii) complete other tasks assigned by the Team Leader.

10. Water Supply and Wastewater Operations and Maintenance Specialist (national, 8 person-months, intermittent). The specialist is preferred to have the following qualifications and experience: (i) at least a Master's degree in water supply and wastewater engineering or related discipline; (ii) at least 15 years of related experience in water supply and wastewater; (iii) at least 5-year experience in consulting on O&M optimization; (iv) a proven track record on relevant assignments as an expert on assignments and projects financed by state budget or ADB and other international development organizations is preferred; (v) demonstrated ability to work congenially and productively with a consultant team, counterparts, and other project stakeholders; and (vi) good written and spoken English will be an advantage. This specialist will complete the following tasks:

- (i) review the operating processes and procedures of at least two provincial PUSOs, including their operating regimes and protocols;
- (ii) identify areas for improvement and provide practical advice related to O&M processes and staff upskilling, including suggestions on training topics;
- (iii) contribute to the development of the methodology for assessment of human resource, technical capacity and training needs of PUSOs;
- (iv) provide inputs to the development of training strategy and RTC annual technical training plan;
- (v) participate in the development of training modules, including modules on WWTP O&M, decentralized sludge management and sewage sludge re-use, and on other topics;
- (vi) participate in testing and refining training modules;
- (vii) compile related sections for inception, interim and final reports; and
- (viii) complete other tasks assigned by the Team Leader.

11. Utility Human Resources Management Specialist (national, 10 person-months, intermittent). The specialist is preferred to have the following qualifications and experience: (i) at least a Bachelor's degree, (ii) at least 10 years of related human resource management experience in the water supply and sanitation sector, (iii) a proven track record on relevant assignments as an expert on assignments and projects financed by state budget or ADB and other international development organizations is preferred, (iv) demonstrated ability to work congenially and productively with a consultant team, counterparts, and other project stakeholders, (v) good written and spoken English will be an advantage, and (vi) the ability to deliver high quality written outputs. This specialist will complete the following tasks:

- (i) participate in the sector review, technical staff skills evaluation, and the training needs and training capacity assessments;
- (ii) conduct an institutional assessment of at least two provincial PUSOs focusing on: (a) their capacity to render water supply and wastewater services; (b) efficacy and

- (iii) sustainability of its PUSO operations and management; and (c) the areas of required improvements in human resource management and skills upgrading;
- (iii) contribute to the development of the methodology for assessment of human resource, technical capacity and training needs of PUSOs;
- (iv) participate in preparation of mandatory training modules on civil society/community engagement and education on utility services, and other relevant topics, which will be identified during the TA implementation;
- (v) participate in testing and refining training modules;
- (vi) participate in the organization and facilitation of workshops involving key stakeholders, and present findings and recommendations on required improvements in human resource management and measures towards development of PUSO technical staff skills;
- (vii) lead public dissemination and public consultations on the TA outputs;
- (viii) compile related sections for inception, interim and final reports; and
- (ix) complete other tasks assigned by the Team Leader.

12. **Gender Specialist** (national, 4 person-months, intermittent). The specialist is preferred to have the following qualifications and experience: (i) postgraduate degree in social sciences, gender studies, gender development or related fields; (ii) at least 7 years of related professional work experience in gender development and social science sector; (iii) a proven track record on relevant assignments as an expert on assignments and projects financed by state budget or ADB and other international development organization, including preferably in water supply and wastewater sector; (iv) prior experience in conducting gender analysis and participating in needs and capacity assessments is required; (v) demonstrated ability to work congenially and productively with a consultant team, counterparts, and other project stakeholders, (vi) good written and spoken English is required; and (vii) the ability to deliver high quality written outputs. This specialist will complete the following tasks:

- (i) participate in the sector review, staff skills evaluation, and the training needs and training capacity assessments and provide inputs on gender aspects;
- (ii) participate in the development of gender responsive PUSO Technical Training Strategy, annual training plans and gender responsive training modules;
- (iii) conduct participatory gender analysis as part of the situational analysis;
- (iv) provide gender-related inputs to the development of the methodology for assessment of human resources, technical capacity and training needs of PUSOs;
- (v) recommend specific strategies and mechanisms to ensure women's active participation in training, assessments and other activities of the TA;
- (vi) develop a gender-responsive monitoring framework to assess the performance of the training strategy, the testing of training module and the TA outcomes;
- (vii) conduct consultations with stakeholders (EA, IA, PUSOs, etc.) on the TA's gender design features and activities;
- (viii) participate in the organization and facilitation of workshops involving key stakeholders, and present findings and recommendations on gender equal and inclusive capacity building for PUSO technical staff;
- (ix) participate in public dissemination and public consultations on the TA outputs;
- (x) compile related sections for inception, interim and final reports; and
- (xi) complete other tasks assigned by the Team Leader.

Reporting Requirements

13. The consulting firm will submit the following reports:
- (i) Inception Report within 2 months from the start of the assignment, including approach and methodology, mobilization arrangements, detailed work plan and implementation schedule by consultants' inputs, and issues/constraints, if any;
 - (ii) Interim Report within 10 months from the start of the assignment, presenting the (a) initial outputs, including findings of the sector review, situational analysis on PUSO technical staff skills, and the training needs and training capacity assessments and recommendations; (b) draft technical training strategy and draft RTC annual training plan; (c) full list of 10 training modules to be introduced to the RTC; and (d) progress by outputs;
 - (iii) Training Report within 22 months from the start of the assignment on testing of training modules, issues, challenges, and recommendations;
 - (iv) Draft Final Report within 24 months from the start of the assignment, covering entire scope of work, accomplishments under Outputs 1 and 2, the lessons learnt and conclusions and recommendations;
 - (v) Final Report, which incorporates comments from ADB, EA, IA and other stakeholders;
 - (vi) Quarterly Progress Reports covering summary of work undertaken and progress against work plan, main actions for next quarter, and issues and challenges; and
 - (vii) Knowledge Product, summarizing TA outputs, lessons learned and recommendations.

14. All reports will be written in English and translated into Mongolian. Consultant shall submit to ADB, EA and IA the hard- and soft copies of each report in Mongolian and English languages. The consultant will present key findings in three workshops: (i) Interim workshop on results of situational analysis, training needs and training capacity assessments and on draft training strategy and RTC annual plan; (ii) Training workshop on training modules development and testing; and (iii) TA Final workshop. On a quarterly basis, the consulting firm will present the TA progress at the ADB quarterly portfolio review meetings and to the EA's steering committee. In parallel, consultation meetings involving ADB, EA and IA will be organized upon delivery of the inception, draft interim report, draft training report, and the draft final report, and as often as needed to discuss the TA implementation.