



# Foreign, Commonwealth & Development Office

## CALL DOWN CONTRACT

**Framework Agreement with:** Pegasys Limited

**Framework Agreement for:** Global Development Delivery Framework (GDD) Lot 11 – Economic Development and Trade

**Framework Agreement ECM Number:** ecm\_5896

**Call Down Contract For:**

**Infrastructure Independent Verification and Quality Assurance for Local Infrastructure Support Programme (LISP) Main Implementation (LISP IVQA)**

**Contract ECM Number:** ecm\_6920

I refer to the following:

1. The above-mentioned Framework Agreement dated 15 December 2023;
2. Your proposal of 27 September 2024

and I confirm that FCDO requires you to provide the Services (Annex A, Terms of Reference), under the Terms and Conditions of the Framework Agreement which shall apply to this Call Down Contract as if expressly incorporated herein.

### 1. Commencement and Duration of the Services

- 1.1 The Supplier shall start the Services no later than 16 October 2024 (“the Start Date”) and the Services shall be completed by 16 June 2028 (“the End Date”) unless the Call Down Contract is terminated earlier in accordance with the Terms and Conditions of the Framework Agreement.

### 2. Recipient

- 2.1 FCDO requires the Supplier to provide the Services to the Foreign, Commonwealth & Development Office and British Embassy Kathmandu (the “Recipient”).

### 3. Financial Limit

- 3.1 Payments under this Call Down Contract shall not, exceed £1,499,925 (“the Financial Limit”) and is exclusive of any government tax, if applicable as detailed in Annex B.

### 4. FCDO Officials

- 4.1 The Project Officer is:

October 2024



# Foreign, Commonwealth & Development Office

██████████ – British Embassy Kathmandu - Nepal

4.2 The Contract Officer is:

██████████ – British Embassy Kathmandu - Nepal

## 5. Key Personnel

5.1 The following of the Supplier's Personnel cannot be substituted by the Supplier without FCDO's prior written consent:

Name	Position	Input Days
██████████	Team Lead & Senior Engineer	600
██████████	Regulation and Planning Lead	600
██████████	Senior Engineer	600
██████████	Project Director	44
██████████	Project Manager	262

## 6. Reports

6.1 The Supplier shall submit project reports in accordance with the Terms of Reference/Scope of Work at Annex A.

## 7. Call Down Contract Signature

7.1 If the original Form of Call Down Contract is not returned to the Contract Officer (as identified at clause 4 above) duly completed, signed and dated on behalf of the Supplier within **15 working days** of the date of signature on behalf of FCDO, FCDO will be entitled, at its sole discretion, to declare this Call Down Contract void.

No payment will be made to the Supplier under this Call Down Contract until a copy of the Call Down Contract, signed on behalf of the Supplier, returned to the FCDO Contract Officer.

Signed by an authorised signatory  
for and on behalf of

Name:

Position

Pegasys Limited

Signature:

Date:

October 2024

## **Terms of Reference for Infrastructure Independent Verification and Quality Assurance for Local Infrastructure Support Programme (LISP) Main Implementation**

### **Introduction and LISP Background**

1. The Foreign, Commonwealth & Development Office (FCDO) seeks a suitably qualified Supplier for delivering the infrastructure Independent Verification and Quality Assurance (IVQA) component for Local Infrastructure Support Programme (LISP) main implementation.

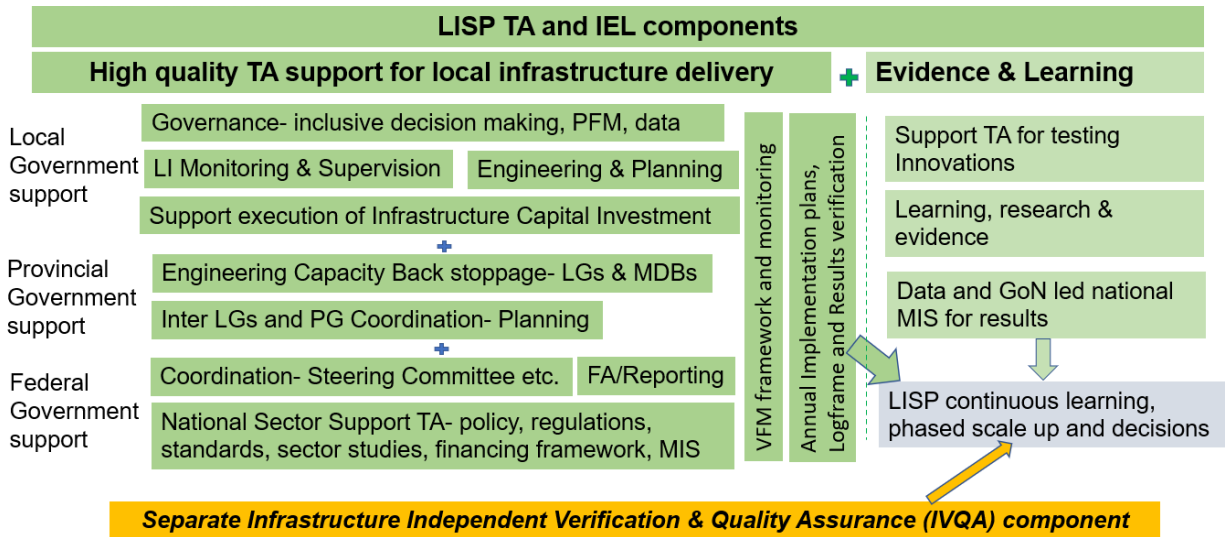
### **LISP Background**

2. The Local Infrastructure Support Programme (LISP) is developed jointly by the Ministry of Federal Affairs and General Administration (MoFAGA), the Ministry of Finance (MoF), and the British Embassy Kathmandu (BEK). LISP shall contribute to initiating substantial and sustainable changes in local government's abilities to deliver infrastructure service that is critical to poverty reduction and strengthening Local Governments. LISP also aims to support bringing development partners into a national sector framework or platform to improve Nepal's wider delivery of local infrastructure services through continuous learning and improvements so that the country can make the most of Nepal's new constitution.
3. The expected outcomes of the programme are:
  - a) Improved inclusivity, deliberative, and transparent decision-making in local governments.
  - b) Increased access to quality local infrastructure services (e.g. transport, solid waste management, irrigation, energy and water supply and sanitation).
  - c) Increased accountable and transparent local infrastructure financing.
  - d) Reduced costs of infrastructure services and increased local economic activity.
  - e) Increased gender equality and social inclusion.
  - f) Increased resilience of local infrastructure to mitigate disaster, climate change, and epidemic impacts.
  - g) Increased level of coordination among state agencies and development partners for delivering quality local infrastructure.

### **LISP Component Composition Information**

4. LISP has three distinct and closely linked components as below:
  - A. Up to £20m TA and IEL (on budget off treasury, through FCDO procured commercial partner): Technical assistance for systems, programme management and LG engineering and planning support and Innovation, Evaluation and Learning
  - B. Up to £1.5m IVQA (on budget off treasury, through FCDO procured commercial partner): Independent Verification and Quality Assurance of infrastructure
  - C. Up to £66m Capital and Resilience Investment (on budget on treasury, financial aid through GoN treasury system)

- GoN (LGs) co-financing for component B- £40m (FCDO-60%, GoN-40%, not matching fund, incentive grant to LGs)
  - Priority provinces: Karnali, Lumbini and (after Mid term review in 2026/27) Madhesh
  - 80 to 100 LGs in priority provinces (up to 25% Nagarpalikas with rural characteristics)
5. The figure below presents LISP's TA and IEL component, and its link with the Infrastructure Independent Verification and Quality Assurance (LISP-IVQA) component, the relevant component of this ToR.



### LISP support for Infrastructure Capital Investment and engineering & planning support

6. FCDO support for LISP's grants for Infrastructure Capital Investment (ICI) and engineering & planning support for delivering the investment provide a strong package of incentives to rural municipalities (RM or Gaunpalikas) and municipalities (Nagarpalikas) of a rural nature, to improve performance on a set of indicators related to local infrastructure services delivery and local governance standards. The ICI focuses on incentive-based grants for:
- a) Support for maintenance, asset management, and upgrading to improve the service levels of existing infrastructure.
  - b) Strategic Local Government (LG) level rural infrastructure (e.g., roads, bridges, water supply, irrigation, trail, and trail bridges, solid waste management, etc.) development and delivery, and sustainability including maintenance and rehabilitation.
  - c) Improving the resilience of infrastructure to climate and earthquake shocks and strengthening infrastructure safety (e.g., road safety).
  - d) Improving inclusion in local infrastructure planning, budgeting, and delivery; and
  - e) Larger, multi-year projects that will have significant local development impact but are beyond the capacity of Local Governments to deliver, thereby attracting the role of the provincial government (PG).
7. For the effective delivery of the incentive grant, planning and engineering support are provisioned in LISP-implemented LGs (Local Government). It is expected to include, but not limited to, direct support for:

- Evidence-based-deliberative decisions, planning, and budgeting.
- Economic analysis for LG strategic infrastructure.
- Proposal/project development for multi-year large infrastructure projects that need multiple financing sources such as projects funded by multilateral development partners.
- Engineering (LI asset management, project design, and implementation).
- Inclusion & resilient/climate-proof infrastructure capacity building, linked to local adaptation planning.
- Support, as necessary, for province-level infrastructure planning, project development, and design.
- Strengthen technical back stoppage support from PGs to LGs.
- Financial management; and
- Monitoring capacity.

### **LISP Infrastructure Capital Investment (ICI), Sector Support, and Independent Verification**

8. LISP ICI is expected to cover all types or sectors of infrastructure that are under the jurisdiction of local governments. The LISP capital funding will be an incentive grant to deliver physical infrastructure and performance improvement results for the direct recipients (i.e., local governments) of grants. Ideally, the ICI will incentivise local, provincial and federal governments to co-finance local infrastructure to be led, decided, designed and delivered by local governments.
9. As per the Programme Design Document (PDD) of the LISP approved by both FCDO and Nepal Government, independent verification and quality assurance (IVQA) is a mandatory FCDO requirement under LISP and must be carried out by an independent supplier.
10. LISP also aims to leverage the quality of GoN (Government of Nepal) and donor investment of over £2 billion in the local infrastructure sector during the programme period through LISP TA's support to develop and implement a national sector framework or platform for local and provincial infrastructure. This will require significant evidence and learning from the quality of infrastructure works in the local governments getting direct grant support from LISP.
11. LISP is different from the conventional infrastructure project approach of delivering a fixed number of pre-identified infrastructure investments and projects. Instead, the programme will incentivize LGs to perform better in infrastructure service delivery. LISP's adaptive and systems-building approach will require innovation and learning to improve policy and practice. The LISP approach embraces the approach of supporting LGs and relevant institutions of federal and provincial governments (FG and PGs) based on systematic and practical learning and promotes innovative ways of making local infrastructure investments.
12. Independent verification and quality assurance (IVQA) of infrastructure works carried out by LISP's direct support involves a systematic, independent process for obtaining evidence for the process, safeguards and actual quality and quantity of physical infrastructure delivery to determine the extent to which needs or expectations are fulfilled as outlined in the Methodology section of this ToR for priority areas and for expanded elements as detailed exhaustively in Annexes 1 and 4. The IVQA is expected to cover

focused and manageable verifications of the infrastructure quality driven or influenced in three stages i) local-level planning & budgeting, including post-construction operation and maintenance, ii) project-level planning and designing, and iii) implementation.

13. The implementing agency for the Programme's ICI component is the local governments selected through the Expression of Interest (EOI) process led by the Ministry of Federal Affairs and General Administration (MOFAGA) and supported by FCDO-procured LISP technical assistance (LISP-TA). The LISP-TA for engineering & planning support at the local levels is provided by an international commercial entity with high-class Nepali and international professionals. The programme will be implemented by adhering to and strengthening the existing policy, procedure, standards, and system of the Government of Nepal. The attached Key Document (KD-a) is the ToR for LISP Technical Assistance and Innovation, Evidence and Learning (TA & IEL) for reference. A high level of collaboration is expected between the TA&IEL and IVQA components of LISP for delivering in their respective areas of work to maximise the results of LISP.

### **Project area Information**

14. The LISP will be implemented in 80-100 local governments (60-75 rural municipalities or Gaunpalikas and the remaining 20-25 municipalities or Nagarpalikas with rural characteristics) in Karnali, Lumbini, and Madhesh Provinces.

### **The Recipients**

15. The main recipients of this support shall be the LISP- TA & IEL, LISP Steering Committee, MoFAGA, DoLI, Provincial Governments and other Government of Nepal institutions relevant to LISP, the Foreign, Commonwealth and Development Office (FCDO), the people and governments of 80 to 100 Palikas in Karnali, Lumbini and Madhesh Province, and development partners. The national PaLIS platform or framework (Provincial and Local Infrastructure Sector Framework) will be informed by the products and learnings from LISP-IVQA in collaboration with LISP- TA, which is responsible to developing the framework in collaboration with GoN, DPs and other wider stakeholders.

### **Timing and Budget**

16. A budget of up to £1,500,000 over a period of 44 months has been allocated to the delivery of these services. FCDO intends to award the contract with the successful supplier by August 2024.
17. FCDO reserves the right to extend the contract by up to three years beyond the end date if considered appropriate, and up to £750,000 subject to approval and the associated budget limits of the LISP Business Case. This would be subject to securing the necessary approvals to progress and acceptance of the supplier's proposal to ensure continued value for money in the offer. It is expected that any potential extension of this contract would be for a maximum of two additional years depending upon extension of LISP-TA.
18. The contract will contain break clauses that can be exercised at the conclusion of the inception phase (3 months from the starting date). These break clauses can be utilised in the event that FCDO intends to appoint an alternative partner for the implementation

phase of LISP IVQA after the inception phase of IVQA and after the Mid term Review of LISP in 2026/27.

19. FCDO reserves the right to scale up or down the value and/or scope of the contract or to discontinue this programme at any point. Scaling down is at FCDO's discretion. Scaling down may be triggered by a variety of events/reasons including (but not limited to):
- A change in regions' economic or political environment.
  - A change in the political landscape/legislation.
  - A change in FCDO or HMG's priorities.
  - Budgetary constraints.
  - Dissatisfaction with Supplier performance.
  - Scaling down may take various forms, such as (but not limited to):
  - Decrease of programme value.
  - Decrease or change of programme scope (such as thematic scope or geographic scope).
  - Decrease of programme duration.
  - Withdrawal or decrease of support from certain countries/regions.
  - Reduction of FCDO's ability to deliver programme funds.
  - To align with main LISP component timeline(s)

## Requirements

### LISP IVQA Objectives

20. The main goal of the Independent Verification and Quality Assurance (IVQA) is to evaluate independently the quality ( and also quantity) of infrastructure works in the entire project cycle to ensure a third-party independent assessment of the quality delivery of local infrastructure by the LG with hands-on support from the LISP-TA. This will enable all tiers of the Government of Nepal, the United Kingdom's Foreign, Commonwealth and Development Office (FCDO), and concerned agencies to track and enhance the performance of the programme.
21. The specific objectives of the IVQA are as follows, to gather evidence to check:
- a) Improved processes in local governments for local infrastructure planning, prioritisation and budgeting.
  - b) Infrastructure works quantity, quality, and value.
  - c) Assured application of the Public Procurement Act/regulation and the Government of Nepal's procedure/guidelines/standards in relation to Local infrastructure delivery.
  - d) Transparent, cost-effective procurement of goods works, and services.
  - e) Consideration by LGs on Increased project life with decreased life cycle costs and increased local economic activity.
  - f) Consideration by LGs on Increased gender equality and social inclusion
  - g) Consideration by LGs on Increased resilience of local infrastructure to mitigate disaster and climate change.

The LISP TA will be providing direct support to local governments ( and also provincial governments and federal government for their specific roles) to improve local

infrastructure delivery through the customised support for the areas specific above. LISP-IVQA will not duplicate those activities, but will verify and quality assure them independently by agreeing and applying the IVQA Protocol as below.

### **IVQA Protocol**

22. The verification protocol to be adopted by LISP IVQA requires identifying benchmarks based on the policy/procedural/guidelines/requirements essential for project completion (prioritised in Methodology Section below and detailed in Annexes 1 and 4). These requirements serve as the benchmarks or standards that must be adhered to, implemented, and complied with.
23. The suggested protocol emphasizes two primary approaches. Firstly, a comprehensive desk study and review of relevant information regarding the local government (LG) or project, including legal requirements outlined in the methodology below and Annex A for each verification stage. Following this, the supplier will develop a detailed verification plan that integrates identified benchmarks and standards. This proposed plan, encompassing standards, will undergo approval by the FCDO. Once approved, it will be expanded to incorporate verification tools such as quality verification checklists, questionnaires, and a field visit plan. The finalized verification plan, along with the overall approach, will then be presented to the FCDO for final approval. Secondly, the supplier will enhance the desk study by conducting a thorough field check and verification of the LG system or ongoing project, tailored to the specific stage of verification. This involves conducting meetings/interviews with key stakeholders, and field verification at the sites. The primary goal of the IVQA is to align with the objectives of the LISP IV. Additionally, the protocol encompasses the preparation of a comprehensive report and delivering a presentation to the FCDO, thus forming an integral part of the scope of the work.

### **Collaboration and beneficiary**

24. It is critical that the supplier of LISP IVQA collaborates and coordinates with the LISP TA (Technical Assistance) and IEL Team. It is also critical that LISP TA does not consider IVQA as a policing entity in LISP and the LISP IVQA does not overlap with and repeat the internal controls, including internal verifications for quality control of infrastructure works it is supporting. FCDO expects the main outcome of the IVQA being stronger accountability in its financial aid (infrastructure investment). FCDO LISP team will share outcomes of the LISP IVQA works with GoN (LISP Steering Committee) and other donors in the sector for evidence and learning. FCDO will also use the LISP IVQA outcomes to make strategic decisions and adaptations in the LISP Programme. The supplier is also expected to explore opportunities of learning from and collaborating with the relevant infrastructure technical audit agencies such as National Vigilance Centre for the sustainable sector capacity of independent verification and quality assurance without diluting the FCDO requirement for the third party IVQA for the LISP programme.

### **Methodology**

#### **Stages of the verification:**



25. The following three verification stages are strongly suggested for delivery through the supplier.

Stage	Theme	Timeline	Sample for the IVQA	Remarks
Stage A	Planning and Budgeting ( $Y_i$ )  Post-construction infrastructure verification ( $Y_{i-1}$ )	August-September	30% LISP implemented Local Level to be selected maintaining the balance of ecological zones of LGs based on the categorization of districts (mountain, hill, inner Terai, Terai, etc) included in the Local Government Operational Act (LGOA) 2017.	TA will provide local government-level information
Stage B	Project level planning ( $Y_i$ )  Procurement of goods & works and user committee/contractor mobilization ( $Y_i$ )	December-February	20% or 1, whichever is more for each project type <sup>1</sup> and maintaining proportionate as per the category of the district given in the LGOA.	TA will provide the list of the projects prioritized by the LG, and necessary information on the projects for third-party verification, including the internal control and verification
Stage C	Site management facility ( $Y_i$ )  Project construction quality and quantity ( $Y_i$ )	March-May	20 % or 1 whichever is more for each project type and maintaining proportionate as per the category of the district given in the LGOA.	TA will provide the list of the projects with progress, and necessary information on the projects for third-party verification, including the internal control and verification

### Requirements/Scope of Independent Verification

26. The table below presents the tentative list of requirements for Independent Verification and Quality Assurance (IVQA) where the donor has a high level of control over infrastructure work delivery. The exhaustive list of requirements are presented in the

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<sup>1</sup> Rural transport, water supply and sanitation, irrigation, small and alternative energy, urban development, social infrastructure and waste management

Annex 4. The IVQA service providers shall review the tentative list ( a subset of exhaustive list) and propose realistic requirements for the most effective IVQA methodology in their methodology.

27. Among the listed requirements, those specified in the table below are to be independently verified by the IVQA team in coordination with the Local Government (LG), Technical Assistance (TA), and other stakeholders. The table also presents the associated evidence and verification methods. Compliance with the requirements shall be considered "meeting the standard" and any deviation from compliance shall be considered "not meeting the standard." The IVQA is to be carried out through analysis of the following requirements supported by substantial documents/evidence. The supplier shall prepare the periodic stage-level verification reports by annexing the detailed reasons for not meeting the standard, outlining the cause and effect, and recommending actions with a specified timeline for implementation. The reporting format for the "not meeting the standard" is outlined in Annex 3.
28. The nature of the government lead in financial aid mobilization in LISP and LISP's primary goal to support improvements in process and overall performance to deliver local infrastructure services by weaker local governments mean that LISP is not a directly delivered programme and therefore, the LISP IVQA Team shall prioritize the requirements and design scope of the IVQA works during the inception phase. The IVQA team shall also devise innovative methods to ensure value for money and a higher level of scope in its verification works.

**Stage A:**

Theme	Requirement/Scope	Document/evidence	Method to verify
Planning and Budgeting (Y <sub>i</sub> )	<ol style="list-style-type: none"> <li>1. Adopt evidence and scoring-based prioritization tools in reference to NPC- local government's planning directives 2078.</li> <li>2. Disclosure of liabilities</li> </ol>	<ol style="list-style-type: none"> <li>1. Ward/settlement level planning process meeting/minute and prioritization tools</li> </ol> <p>Included LISP finance in the overall budget envelope planning for infrastructure and then track expenditure through the SuTRA (financial management system of LG).</p>	<ol style="list-style-type: none"> <li>1. Summary provided by the TA demonstrating that the requirements are fulfilled and if necessary, the verifier may request the evidence/document from the TA.</li> <li>2. Verify the SuTRA report of the LG which includes the local infrastructure project's name and the allocated budget.</li> </ol>
Post-construction infrastructure verification (Y <sub>i-1</sub> )	<ol style="list-style-type: none"> <li>1. Operation and maintenance (O &amp; M) plan of the project. Establishment and spend of repair, maintenance, and operation funds for the sustainability of the local infrastructure from the annual planning process at the local level.</li> <li>2. Ongoing monitoring and mitigation of climate change and disaster risks</li> <li>3. Inventory/record of the asset (public infrastructure)</li> <li>4. Water quality test/flow test, load tests, completion/taking over certificates, defect liability certificates, final clearance certificates, as-built drawings, and handing over document of projects/works (sample for relevant infrastructure projects).</li> <li>5. Financial Audit by the OAG</li> </ol>	<ol style="list-style-type: none"> <li>1. Annual plan, programme, and budget at the local level indicating the allocation of the repair, maintenance, and operation funds. Evidence of spend of the maintenance budget.</li> <li>2. Climate /disaster resilient design and operation monitoring to monitor and mitigate impacts</li> <li>3. Inventory (record) of the asset</li> <li>4. Test reports as per the type of the projects, evidence of documents/ certificates</li> <li>5. Preliminary report of the audit</li> </ol>	<ol style="list-style-type: none"> <li>1. Summary of O &amp; M plan provided by the TA. Highlighted part of the evidence document provided by the TA indicating the provision of repair, maintenance, and operation funds in the LG annual maintenance budget, and also evidence of spend vs. budget for maintenance.</li> <li>2. Summary of applying climate and disaster resilience in infrastructure design, implementation and operation with hazards risk mitigation/ adaptation</li> <li>3. The updated inventory of the public infrastructures at the local level.</li> <li>4. Tests are conducted as per the engineering standards and are well documented. TA provides scanned copies of certificates and documents as sampled.</li> <li>5. Audit findings for the LISP with no outstanding arrears or irregularities.</li> </ol>

**Stage B:**

Theme	Requirement/Scope	Document/evidence	Method to verify
Project level planning (Y <sub>i</sub> )	<ol style="list-style-type: none"> <li>1. Project design, drawing estimate, schedule, and rate analysis</li> </ol>	<ol style="list-style-type: none"> <li>1. Detailed design complying with the GON standards.</li> <li>2. Detailed cost estimate: material labour breakdown, abstract of cost, use of district rate, and government's norms for the rate analysis.</li> <li>3. Schedule/timeline of the project</li> <li>4. Drawings: plan and section</li> </ol>	<ol style="list-style-type: none"> <li>1. The design of the project aligned appropriately with the conditions of the site, cost optimization has been considered and the GON standards have been adhered to.</li> <li>2. All the components (cost for the structures, health &amp; safety items, management/overhead cost, bio-engineering works, catchment restoration, VAT, etc.) of the detailed estimate are prepared by using the respective district rates and government's norms. Specifications of the works and materials are clearly outlined in each item as per the government standards.</li> <li>3. Plan and schedule included as a part of the cost and estimate. Plan for the mobilization of the workers</li> <li>4. Plan &amp; section of each structure and layout map of the project prepared by using appropriate engineering application.</li> </ol>
Procurement of goods & works and user committee/contractor mobilization (Y <sub>i</sub> )	<ol style="list-style-type: none"> <li>1. Appropriateness and adequacy of targeting criteria for the workers.</li> <li>2. Formation and agreement with the user committee</li> <li>3. Opening of the bank accounts</li> <li>4. Transparency for workers</li> </ol>	<ol style="list-style-type: none"> <li>1. Targeting criteria and sample of the targeting of at least one project.</li> <li>2. User committee formation minute, and agreement copies with the user committee</li> <li>3. Bank accounts opening summary</li> <li>4. Workers/ orientation</li> </ol>	<ol style="list-style-type: none"> <li>1. Targeting criteria cover the GESI and vulnerability criteria and are performed properly at the project level.</li> <li>2. Evidence provided by the TA demonstrates the inclusive user committee formed as per the relevant guidelines and the members are from the selected workers. The agreement format is as per the relevant guidelines.</li> <li>3. The evidence from the TA ensures all the workers have opened bank accounts for wage payment.</li> <li>4. Evidence provided by the TA shows the preconstruction training/orientation covered all the aspects (cost &amp; estimate, structures, schedule, wage, health &amp; safety, SEAH (Sexual Harassment), QA/QC, modality of implementation etc.)</li> </ol>

	<ol style="list-style-type: none"> <li>1. Selection of construction modality (user committee, contractor, user committee user committee) as per the procurement rules and regulations.</li> <li>2. Procurement plan and Procurement of the goods and works</li> </ol>	<ol style="list-style-type: none"> <li>1. Approved construction modality selection checklist.</li> <li>2. Procurement process documents (procurement plan, notice to the bidders ensuring wide publicity, fair access, pre-bid meeting minutes, evaluation, security bonds, contract documents ensuring the quality specification, decisions</li> </ol>	<ol style="list-style-type: none"> <li>1. Construction modality selected as per the procurement rules and regulations.</li> <li>2. Summary of the procurement process provided by the TA confirming the adherence to the government's procurement policies and carried out transparently.</li> </ol>
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**Stage C:**

Theme	Requirement/Scope	Document/evidence	Method to verify
Site management facility (Y <sub>i</sub> )	<ol style="list-style-type: none"> <li>1. The project's information board at the site</li> <li>2. Management of health and safety items</li> <li>3. Management of quality construction materials.</li> <li>4. Drinking water facility for the workers at the site. Separate male and female temporary toilets at the site.</li> </ol>	<ol style="list-style-type: none"> <li>1. Photograph of the erected information board</li> <li>2. Photograph of the health and safety items</li> <li>3. Photograph of the construction materials storage and stock/balance and mobilization/ demobilization plan of the materials</li> <li>4. Photograph of the drinking water facility. Photograph of the toilet.</li> </ol>	<ol style="list-style-type: none"> <li>1. The information boards contained the cost of the project, disaggregated data of the workers involved, benefitting households' data, and information on grievance handling.</li> <li>2. Proper use of health and safety items used by the workers as per the standards.</li> <li>3. Construction materials are properly stored, and materials are as per the standards specified in the cost estimate, stock/balance, and mobilization/demobilization plan of the materials.</li> <li>4. Adequate drinking water facilities at the sites for the workers. Separate toilets at the site for the males and females.</li> </ol>
Project construction quality and quantity (Y <sub>i</sub> )	<ol style="list-style-type: none"> <li>1. The layout of the structure</li> <li>2. Quality of the structures</li> <li>3. Quantity of the structures</li> <li>4. Progress of the project</li> <li>5. Payment certificate</li> </ol>	<ol style="list-style-type: none"> <li>1. Photograph of the layout of the structure</li> <li>2. Site-level test results of the material, photographs showing the appearance of the</li> </ol>	<ol style="list-style-type: none"> <li>1. The layout of the structures as per the drawing of the structure.</li> <li>2. The workmanship of the structure is as per the norms/specs. in the cost estimate, the lab/site test report confirms the quality of the works &amp; materials,</li> </ol>

	<ul style="list-style-type: none"> <li>6. Monitoring and Quality control checklists</li> <li>7. Field verification linked to (a) request for inspection, (b) instruction sheet, and (c) daily works outputs and site dairies.</li> <li>8. Work drawing</li> <li>9. Time extensions, quantity and rate variations, and issuance of work orders</li> </ul>	<ul style="list-style-type: none"> <li>structures, and lab test report (lab and site).</li> <li>3. Measurement sheet of the structures</li> <li>4. Schedule of the project</li> <li>5. Payment certificate</li> <li>6. Monitoring checklist and Quality control checklist prepared by the TA.</li> <li>7. Request for inspection, instruction sheet, and site dairies</li> <li>8. Work drawing on the sites.</li> <li>9. Time extension document, variations, and issuance of work orders.</li> </ul>	<ul style="list-style-type: none"> <li>3. Verify the measurements of the structures are as per the design. Verify at least the elements of each type of project specified in Annex 2.</li> <li>4. Progress as per the schedule.</li> <li>5. Payment certificate in line with the progress of the project</li> <li>6. Quality assurance plan submitted by the contractor and the works done in the field as per the plan.</li> <li>7. Monitoring checklist used by the monitoring committee of the LG and put as a part of the payment process. Provide feedback/comments to the TA on the quality control checklist.</li> <li>8. Site-level work aligns with the work drawing.</li> <li>9. The summary provided by the TA on time extension, variations, and work orders complies with the contract documents.</li> </ul>
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## **Competence of the Supplier, Team Composition and Qualification**

- a. The IVQA supplier must demonstrate the capability to review all stages of verification specified in the scope of work, encompassing local infrastructure governance and delivery system.

More specifically, the IVQA supplier shall have:

- Significant technical proficiency in quality monitoring and verification in the infrastructure sector,
- Prior experience in completing the IVQA of infrastructure projects implemented by government and/or other development partners and private sector organizations,
- Technical expertise, knowledge, and understanding of local infrastructure construction cycle management, including planning, implementation, financial management, and sustainability.
- Demonstrated sound experience in sample design and inferential statistical analyses.

## **Independent Verification Team**

29. The supplier shall propose in the Concept Note or proposal for contracting the required LISP IVQA team with justification (structure, concept and approach) to deliver this ToR . A core team of Nepali nationals located in Nepal shall be proposed, also considering wider team that includes short term inputs primarily by engineers with necessary qualifications, skills and experience for the IVQA field works in different stages as outlined in the Methodology section in this ToR and the suppliers' justification as above. A full time team leader would be ideal but the supplier shall judge on input days of the core team, including the team leader. The IVQA team shall have the following experience/expertise:

- Highly qualified and experienced civil engineer as a national (Nepali) Team Leader to ensure the quality delivery of the IV. The IVQA team shall be ultimately managed by the Team Leader and the Team Leader shall be ultimately accountable and contact point for FCDO. Any expert above the team Leader shall be only for escalation or trouble-shooting for FCDO, only if necessary.
- Extensive professional experience in the infrastructure sector with a strong background in infrastructure small scale monitoring, quality verification, performance assessment, infrastructure governance, and public administration.
- Comprehensive understanding of basic service and infrastructure development issues, project management, and financial management
- High-quality report writing and communication skills, with a robust knowledge of infrastructure data triangulation and analysis.
- Proven expertise in developing and implementing verification methodologies.
- Demonstrated experience in local infrastructure delivery, with a broad understanding of local government business models and their functions in local infrastructure delivery.
- Significant experience working with government or development organizations in public service delivery, policy formulation, advocacy, and local infrastructure development programs.

- In-depth knowledge of public policy formulation processes and dynamics, government business models and functions, constitutional and legal arrangements, governance, public services, and federalism.
- Collaborate with government bodies and development organizations to enhance public service delivery and advocate for effective policy formulation.
- Conduct thorough assessments of infrastructure projects, ensuring quality and performance standards are met.
- Provide detailed and accurate reports, utilizing data analysis and information triangulation to support findings and recommendations.
- Collaborate with government bodies and development organizations to enhance public service delivery and advocate for effective policy formulation.
- Conduct thorough assessments of infrastructure projects, ensuring quality and performance standards are met.
- Provide detailed and accurate reports, utilizing data analysis and information triangulation to support findings and recommendations.
- Commitment to promoting sustainable infrastructure development and improving public service delivery through innovative approaches and best practices.
- Strong analytical and problem-solving skills, with the ability to work independently and within the teams.
- Strong knowledge on LNOB , resilience and sustainability in the local infrastructure.
- Strong experience of managing finance, operation, delivery and risks.
- Strong experience in proactive dissemination, communication and innovation.
- Motivated for objective and well planned field works for IVQA delivery and local collaboration.

### **Data Services, Personnel and Facilities**

30. The Supplier shall be responsible for all costs including personnel, logistics and data services as may be required for the conduct of the assignment. The FCDO shall not provide any of these services as they are to be part of the Supplier's reimbursables.

### **Conduct of the Supplier**

- The supplier will always be expected to carry out the assignment with the highest degree of professionalism and integrity. The supplier will be expected to conduct his/her duties in an open and transparent manner:
- The supplier will study all documents related to the Local Infrastructure Support Programme, guidelines and policies and will be expected to ensure that the assignment is concluded with the strictest adherence to all such policies and regulations.
- The supplier will not, under any circumstances, take any material decision pertinent to this assignment without the express permission and written consent of an authorized representative of the FCDO: and
- The supplier will not, under any circumstances, discuss, divulge, or use any information regarding this assignment or any other transaction conducted as part of the LISP, without the express written permission of an authorized representative of FCDO.



## IVQA- Oversight, Concept Note, and Management and Delivery in Inception and Implementation Phases

### Oversight and Reporting

31. The Team Leader of LISP- IVQA shall directly report to the Technical Lead of LISP, the BEK Infrastructure Adviser. The Infrastructure Adviser will seek strategic directions from the Senior Responsible Owner of LISP. The BEK Programme Manager for LISP will handle the financial, day to day management and payment aspects with support from FCDO Project Officer.

### Concept Note

32. The understanding of this ToR and proposed concise methodology with detailed resourcing, tailored approach ( 'hows' ) and tentative activity plan shall be proposed by the service provider in the Concept Note to move forward for FCDO evaluation and the consequent contract between the FCDO and service provider for the LISP-IVQA. The limit of the concept note excluding CVs and Annexes should be in-line with the specifications set out in Volume 1 Instructions to Tenderers.

33. The pass/fail criteria of Concept note are listed in an annex at the end of this ToR.

### Inception

34. With mutual understanding between FCDO and the service provider, the methodology will be further refined and finalised during the inception phase. During the IVQA inception phase, the detailed methodology will be prepared by the LISP IVQA team in coordination with key stakeholders of LISP (LISP TA and IEL Team, MoFAGA, DoLI, etc.), ensuring acceptance by all parties, and then submitting it to FCDO for approval. The inception report shall be submitted within one and half month of signing the contract. The Inception Phase completion with detailed methodology and plan approval by FCDO shall be completed within 3 months of the signing of the contract. One and half months after submission will allow the supplier to sensitise, engage, collaborate and iterate the inception report for FCDO's final approval.
35. This will include overall methodology, scope and approaches for establishing or confirming baselines, the IVQA teamwork plan outlining field visits, staffing arrangements, and thorough templates for verifying all stages of verification, along with procedures for sampling. The Inception Report shall also have detailed implementation plan of IVQA for year 1.

36. The page limit of the Inception Report shall be 50 pages.

### Reporting requirements in implementation phase

37. The reporting requirements are mentioned below:

The key milestones of the IVQA after inception will be the periodic reports and they will be submitted in English.

- i) The supplier will develop a **Verification Protocol and Checklist (VPC)** for every verification stage throughout the programme implementation. This checklist will

include a table detailing its description, expected standards for each requirement, expected evidence for meeting the standards, proposed timeline, and the targeted deliverables specified in numbers. The verification checklist will be submitted to the FCDO one month before each new verification stage starts.

- ii) The **Verification Report (VR)** submitted periodically to the FCDO: The report details progress made toward each of the verification stages and plans for the next stage of the verification. The VR shall be submitted within October, March, and June of each year for Stage A, Stage B, and Stage C, respectively. The VR shall include:
- Executive Summary of key findings, including the figures for all the overall targets agreed with the FCDO and what has been achieved for each verification stage.
  - Methodology used for verification and analysis of data collected.
  - Evidence-based verification of the achievement of the verification stage.
  - Not meeting the standard report as per Annex 3 for each requirement/scope which does not meet the standard as outlined in Annex 1.
  - Projection on future achievements and progress against the overall target or planned schedule for each verification stage.
  - Conclusions and Recommendation
- iii) **Final Report** at the end of completion of one cycle (completion of all 3 stages of verifications) to the FCDO containing the overall description of all activities and results achieved under the Programme in the period.

**Payment schedule:**

38. The supplier will be paid as the outputs are delivered maintaining consistency with the value and the duration of the assignment. The below milestone payment will be followed every year:

<b>Milestone</b>	<b>Payment amount</b>	<b>Timeframe</b>
Submission and FCDO approval of annual IVQA plan (Inception Report for Year 1)	20% (5% each of four August annual reports)	Submission- 45 days from contract signing date and August of each following year
Submission and Acceptance of Verification Reports of each stage - 3 Reports	60% (20% each for each stage)	Submission- 1 month after each verification stage field works
Submission of the final consolidated report – 1 report	20%	End of completion of one cycle of verifications

## **Milestones and Key Performance Indicators**

39. Reimbursement for fees and expenses will be made in arrears to the Supplier, within 30 days, on receipt of invoice and on the basis of satisfactory performance against agreed Payment Milestones unless otherwise agreed by FCDO, as set out in each milestone above. FCDO reserves the right to withhold payment of these costs until any performance-based issues are resolved.
40. Any changes to milestones, including but not limited to due date, evidence of completion, etc., will need to be submitted to and agreed by FCDO at least one month prior to the due date. Failure to follow this will result in the milestone missed or needs justification by the supplier and approved by FCDO immediately.
41. A proportion of total fee payments to the Supplier may also be linked to Key Performance Indicators (KPIs). The purpose will be to manage the Supplier's performance throughout the life of this contract to allow the measurement of aspects such as service provision or programme delivery. The main KPIs proposed at this stage are: timeliness of milestone delivery, quality of deliveries and reports, quality dissemination, flexibility and adaptability and innovation (as agreed in the Inception Plan or annual IVQA plan, or as advised by FCDO due to changes in context or perceived opportunities). KPIs will be further refined and agreed during the concept note and inception phases.
42. The KPI pillar of the PbR mechanism will be paid as per agreed payment schedule, with the fees at risk based on a fixed percentage of total Fees. This will be 20%
43. A supplier performance evaluation table is detailed at Annex 8 of this ToR.
44. To support the payment schedule with milestone delivery, adherence to KPI and FCDO acceptance, the annual IVQA plan will be translated into simple quarterly milestone plans (table format) for milestone details, submission date, acceptance criteria, and payment. Any change in the quarterly planning will have to be submitted and accepted by FCDO as in the para 40 above. Efficacy of such quarterly plan will be reviewed by both supplier and FCDO if necessary.

## **Assets**

45. The Supplier shall follow FCDO Assets guidance and procedures. Key responsibilities of the Supplier and FCDO include:
46. The Supplier shall follow FCDO Assets guidance and procedures. Key responsibilities of the Supplier and FCDO include: Maintaining a complete, accurate and up to date inventory of all assets, carrying out physical asset checks and reporting against this at least annually to FCDO. This should be coordinated by the Supplier including for all downstream suppliers / implementing partners and shared with the FCDO programme Team.
47. The Supplier shall develop an asset register which shall be submitted to FCDO for review on a 6-monthly basis. FCDO will periodically carry out spot checks on assets within the register.

48. Accountability for the use and control of assets, including responsibility for any assets being lost, stolen or damaged should be managed through implementing partner and discussed with FCDO Programme Team.
49. The Supplier shall prepare an asset disposal plan at the latest six month before the end of the Contract, and contingent to FCDO's approval, ensure that it is carried out in its entirety by the last day of the Contract.
50. The Supplier shall be responsible for procurement, management and maintenance of the LISP IVQA transport assets as per FCDO guidance and procedures. FCDO welcomes suggestions from the Supplier as to what transport assets shall be needed for programme delivery and how VfM considerations are included in the proposed approach. Before procuring and disposing any vehicle assets, FCDO approval is necessary.

### **Information Technology**

51. The Supplier shall be responsible for procurement, management and maintenance of the LISP IVQA IT systems. FCDO approval shall be in place prior to procuring IT equipment.
52. LISP IVQA shall make rational use of digital technology. FCDO welcomes suppliers to make innovative suggestions on how technology could be used to improve programme delivery. IT systems could be used to connect field staff with the central teams via email and intranet. IT hardware could be used to help collect monitoring data, unit cost information and beneficiary feedback. The Supplier shall be responsible for IT hardware and the systems that it shall use.
53. Expenditure budgeted under information services, websites, transactional services, web applications (e.g., maps), mobile apps, and extranets falls under the category of FCDO's Digital Spending Policy. Expenditure on such item(s) shall require prior approval from the LISP SRO. The Supplier should seek clearance of the list of items under IT with the SRO prior to commencing procurement.

### **End of Contract Activities**

54. Six months before the end of the Contract, the Supplier will share a final revised draft of the Exit Plan for FCDO's approval which shall include:
  - A disposal plan for all assets procured throughout the lifetime of the programme in accordance with FCDO procedures on asset management and disposal;
  - Addresses any material items that are necessary or desirable for the continued co-operation of the UK Government with GoN after the contract ends;
  - The Supplier's plans to ensure smooth transfer of responsibilities from the Supplier to any persons or organisation taking over such responsibilities after the contract ends;
  - The Supplier's plan to deliver to FCDO (if requested or as otherwise directed by FCDO) prior to the contract end date (or termination of the contract) any finished or unfinished works that relate to the contract;
  - The return by the Supplier of all Confidential Information to FCDO before the contract end date;

### **Procurement of Goods and Equipment**

55. Any procurement undertaken for this project by the Supplier shall be done in accordance with international best practice, using robust systems which ensure best value for money for the programme. The Supplier must ensure that programme assets are accurately tracked, reach their intended beneficiary, and are used for their intended purpose. Any goods and equipment procurement must be carried out in accordance with FCDO standard T&Cs. The Supplier shall provide a Procurement Manual (setting out the way in which they shall undertake procurement) for agreement with FCDO during the inception phase. Based on the agreed Manual, FCDO shall carry out procurement audits and financial audits of any goods and services procured by the Supplier.

## **Other Requirements**

### **Transparency**

56. FCDO has transformed its approach to transparency, reshaping our own working practices and pressuring others across the world to do the same. FCDO requires Supplier receiving and managing funds to release open data on how this money is spent in a common, standard, re-usable format and to require this level of information from immediate sub-contractors, sub-agencies and partners. It is a contractual requirement for all Suppliers to comply with this, and to ensure they have the appropriate tools to enable routine financial reporting, publishing of accurate data and providing evidence of this to FCDO. Further information is available from: <http://www.aidtransparency.net/>

### **Security and Duty of Care**

57. The Supplier is responsible for the safety and wellbeing of their personnel and third parties affected by their activities under this Contract, including appropriate security arrangements. The Supplier will coordinate with relevant FCDO Posts prior to any travel being undertaken as part of this work. The FCDO shall share available information with the Supplier on security status and developments in-country where appropriate. The selected Supplier Personnel shall be offered a security briefing by the British Embassy, Kathmandu. The Supplier is responsible for ensuring appropriate safety and security briefings for all of their Personnel working under this contract.
58. Nepal is in a seismically active zone and is considered at high risk of earthquakes. Earthquakes are impossible to predict and can result in major devastation and loss of life. There are several websites focusing on earthquakes, including <http://geology.about.com/library/bl/maps/blworldindex.htm>. The Supplier should be comfortable working in such an environment and should be capable of deploying to any areas required within the region in order to deliver the Contract (subject to travel clearance being granted).
59. As part of FCDO's Duty of Care policy, British Embassy Kathmandu has assessed the country and project risks (in the form of Duty of Care Risk Assessments provided by FCDO Posts), see Annex 5. to allow the Supplier to take reasonable steps to mitigate those risks.

### **Safeguarding/Do No Harm Considerations**

60. All organisations that work with or come into contact with children, women and other vulnerable groups should have safeguarding policies and procedures to ensure that every person, regardless of their age, gender, religion or ethnicity, can be protected from harm through involvement, directly or indirectly, with FCDO programmes. This includes sexual exploitation and abuse but should also be understood as all forms of physical or emotional violence or abuse and financial exploitation.
61. The Supplier must demonstrate a sound understanding of the ethics of working in this area and must apply these principles throughout the lifetime of the programme to avoid doing harm to beneficiaries. In particular, the Supplier should recognise and mitigate the risk of negative consequences for women, children, and other vulnerable groups. The Supplier should include a statement that they have duty of care to other programme stakeholders, and their own staff, and that they will comply with the ethics principles in all programme activities. Their adherence to this duty of care, including the immediate reporting to FCDO and addressing of incidents, should be summarised in both regular and annual reporting to FCDO.
62. FCDO safeguard the interests of all our stakeholders, ensuring we comply with the humanitarian imperative to “do no harm” through our actions in all our work. FCDO launched a new **HMG strategy for safeguarding against SEAH** in September 2020. The strategy challenges us to ensure that we take all reasonable steps to prevent harm, particularly SEAH, from occurring; and listen and respond sensitively but robustly when harm or allegations of harm occur. FCDO has zero tolerance of sexual exploitation and abuse. We consider this to constitute gross misconduct, and therefore grounds for termination of employment. The Supplier should never abuse the trust and power placed in you to benefit yourself or others, including your family. The Supplier/Partner should report at [reportingconcerns@fcdo.gov.uk](mailto:reportingconcerns@fcdo.gov.uk) any allegation credible enough to warrant an investigation of SEAH.

### **Modern Slavery**

63. FCDO is already taking action against modern slavery through current programming, and we are working to expand our reach and scale-up successful country office and centrally managed programmes. A large number of our programmes operating through country offices look at addressing the underlying vulnerabilities of people at risk of modern slavery, with a particular focus on those within indirect supply chains.
- Strengthening evidence base of effects of laws, policies, practices on workers in high-risk industries including migrant garment and domestic workers
  - Advocacy and common understanding of corrective legal, policy and procedural measures
  - Information campaigns among employers
  - Training and awareness programmes for direct employees and supply chain employees
  - Organising workers to protect themselves and access services
  - Sensitising labour recruiters on accountability for fair recruitment

## **Disability Considerations**

- 64. For FCDO disability inclusive development means that people with disabilities are systematically and consistently included in and benefit from international development.
- 65. Service provider should outline their approach to disability inclusion and how people with disabilities will be consulted and engaged throughout the project.

## **Social Value Considerations**

- 66. The UK Government have proposed new measures to ensure that money spent by Government on buying goods and services benefits society more widely as well as delivering value for money. The Social Value Act requires contracting authorities to consider how the services being procured might improve the economic, social and environmental well-being of the relevant area. In the FCDO context, social value is delivered to overseas beneficiaries through the programmes we deliver and also in the sustainable legacy that we aim to leave behind. As overseas development aid is also in the UK national interest, benefit ultimately also flows back to the UK.
- 67. The UK government is committed to awarding contracts based on social value, ensuring that contracts are awarded based on more than just value for money – considering a company's values too, so that their actions in society are rightly recognised and rewarded. Social Value outcomes are already embedded and evaluated within the programmes that FCDO deliver, however application of the Public Services (Social Value) Act 2013 will be extended to ensure that all government departments explicitly evaluate social value when commissioning services. This will help create and nurture innovative, competitive and diverse marketplaces of suppliers that include and encourage small businesses, charities and social enterprises.

## **Delivery Chain Mapping**

- 68. Delivery Chain Mapping is a process that identifies and captures, usually in visual form, the name of all partners involved in delivering a specific good, service or charge, ideally down to the end beneficiary. Bidders should provide details of their supply chain (if any) that will be involved in delivering this work.
- 69. In line with the FCDO Supplier Code of Conduct, the Supplier shall provide and maintain an up to date and accurate record of named downstream delivery partners in receipt of FCDO funds. This record must demonstrate how funds flow from the initial source to end beneficiaries. This record needs to be updated regularly by the Supplier and when there are material changes to the delivery chain. As a minimum, delivery chain data should be submitted to FCDO on an annual basis as part of the annual programme report. Delivery Chain Mapping should be included as a standing agenda item in the regularly scheduled progress meetings with FCDO, for discussion and review.
- 70. It is now also a requirement to report on the levels of contracted work being allocated to SME and other sub-contracted organisations to the government SME Small Business Policy team. As part of the contractual compliance checking process, the Supplier will be required to submit returns providing these details, as a minimum on an annual basis.

## **Participation and Fair Treatment of Partners and Sub-contractors**

71. The Supplier will have overall management and financial responsibility of any partners and sub-contractors and must ensure fair treatment and their participation in the programme. It is expected that the Supplier is confident in the capability of other partners and supports their participation. It is vital that the Supplier has a clear governance and management structure in place for the programme, which is viable, feasible, and represents good value for money.

## **Risk of Fraud**

72. All suspected cases of fraud must be reported immediately to FCDO, and the Supplier will be expected to put in place a comprehensive risk management system which is appropriate to the context and consistent with FCDO's own methodologies

73. The Supplier will be required to set out their fraud mitigation strategies including internal risk management and reporting systems. FCDO will further require that annual financial audits include spot checks of high-risk areas of programme activity and – if any causes for concern arise – these must be reported to FCDO immediately.

74. The risk of fraud through downstream suppliers or with partners in country will need to be partly mitigated through the Supplier's due diligence of downstream suppliers, ensuring acceptable levels of financial control and reporting before granting funds.

## **Compliance with Counter-Terrorism Legislation**

75. Suppliers must comply with relevant counter-terrorism legislation, and at a minimum must:

- a. Identify their partners;
- b. Keep appropriate records;
- c. Identify risks and be clear about the process for escalating risks;
- d. Develop good relationships with partners;
- e. Report any suspicions and incidents to the counter-fraud and whistle blowing unit;
- f. Be aware of relevant legislation; their responsibilities; potential risks of terrorism.
- g. Support strong governance arrangements, financial controls and risk management policies and procedures to provide safeguards against a range of potential abuse, including terrorist abuse.

## **Digital Policy**

76. All digital<sup>10</sup> content produced by the Supplier is subject to UK Government digital principles as set out by the Government Digital Service (GDS). All digital developments should:

- (a) Put the needs of users first
- (b) Learn from and improve these services over time



(c) Be freely available for other UK Government programmes to use. For more information see <https://www.gov.uk/designprinciples>

77. The Supplier must consider the use of digital elements to maximise value for money while ensuring the programme remains inclusive and fully accessible. Any proposed digital elements will require approval from FCDO.

### **Conflict of Interest**

78. Neither the Supplier nor any of the Supplier Personnel shall engage in any personal, business or professional activity which conflicts or could conflict with any of their obligations in relation to this assignment. The Supplier and the Supplier Personnel shall notify FCDO immediately of any actual or potential conflict together with recommendations as to how the conflict can be avoided. The Supplier shall establish and maintain appropriate business standards, procedures and controls to ensure that no conflict of interest arises between services undertaken for FCDO and that undertaken for other clients. The Supplier shall avoid knowingly committing any acts which are likely to result in any allegation of impropriety against FCDO, including conflicts of interest which are likely to prejudice their independence and objectivity in performing the Contract, howsoever arising. The Supplier shall notify FCDO immediately of any circumstances of which it becomes aware which give rise or potentially give rise to a conflict with the Services and shall advise FCDO of how they intend to avoid such a conflict arising or remedy such situation. The Supplier shall, subject to any obligations of confidentiality it may have to third parties, provide all information and assistance reasonably necessary (at the Supplier's cost) that FCDO may request of the Supplier in order to avoid or resolve a conflict of interest and shall ensure that at all times they work together with FCDO with the aim of avoiding a conflict or remedy a conflict.

### **General Data Protection Regulation (GDPR)**

79. Please refer to the details of the GDPR relationship status and personal data (where applicable) for this project as detailed in Annex 7 and the standard clause 33 in Section 2 of the Contract.

80. Key Documents (KD):

- a) LISP TA and IEL ToR
- b) LISP Business Case
- c) LISP Programme Document approved by GoN
- d) LISP Learning Framework paper
- e) LISP FRA 2023 (redacted and approved by GON)
- f) LISP FRMIP (redacted and approved by GoN)
- g) LISP Pilot Learning Summary in Karnali briefing paper
- h) RAP3 Project completion review (for LISP Pilot results)
- i) LISP Provisional Log frame
- j) LISP Annual Review 2024

## **Annex 1: Technical details of the LI delivery at the local levels**

### **I. Planning and Budgeting:**

- Adoption of evidence and scoring-based prioritization tools in reference to NPC- local government's planning directives 2078 \_ [https://npc.gov.np/images/category/local\\_final1.pdf](https://npc.gov.np/images/category/local_final1.pdf)
- Alignment of the annual planning with periodic plan, infrastructure sector development plan, and MTEF in reference to the NPC (National Planning Commission)- government's planning directives-2075 - [https://npc.gov.np/images/category/local\\_final1.pdf](https://npc.gov.np/images/category/local_final1.pdf)
- Prioritization of and budget allocation for large-scale infrastructures which are labour intensive, green outcome generating, inclusive, disaster risk reducing and climate proofing/resilient, productive, and need-based to avoid dispersed and sprinkled budget allocations. Reference – *Annual planning, MTEF, and sectorial plan of the Local Level*.
- Development/Amendment of enabling policy and instruments by the local government for accountable, inclusive, and sustainable local infrastructure development. *Reference- Local Gazette and Executive Committee Decision of the Local Level*.

Formulation of directives/procedural documents:

- ✓ Local Infrastructure Management and Operation
- ✓ Brief Environmental Study and Initial Environmental Examination
- ✓ Environment and Social Screening checklist
- ✓ Local Level User Committee Formation, Mobilization and Management
- ✓ Monitoring and Supervision with the checklist
- ✓ Grievance Handling and Redressal
- ✓ Contingency Expenditure
- ✓ Public Audit and Hearing
- ✓ Repair, Maintenance, and Operation Fund Mobilization
- ✓ Pre- and Post-Construction Training Manual
- Deliberative, transparent, and inclusive evidence-based local infrastructure decision-making in local governments. *Reference: Tole level, ward level, and municipal level decisions of the local level*.
- Establishment of repair, maintenance, and operation funds for the sustainability of the local infrastructure from the annual planning process at the local level.
- Functional E-MIS for the updated list of unemployed persons at the local level.
- Targeting of the workers for the construction of the project by the ward, based on the vulnerability criteria set by the local level.
- Provision of group insurance to the workers and the person involved in the construction work.

- Formation of an inclusive user committee by ensuring the participation of as many beneficiaries as possible, along with the ward representative.
- Ensure social and environmental risk screening of the project.
- Detailed survey of the project: Determining the priority of structures through discussions with beneficiaries and adherence to engineering standards to ensure optimal value for money. Use of engineering equipment and format for the survey of the local infrastructure.
- Design the structures of the project by complying with the standards/guidelines of the Government of Nepal.

Design reference for the different sectors of local infrastructure:

- ✓ WASH (design guideline Vol-12) - <https://dwssm.gov.np/pages/design-guidelines>
- ✓ Irrigation System - <http://www.doed.gov.np/storage/listies/December2019/design-guidelines-for-water-conveyance-system.pdf> and for the small irrigation - <https://www.ifscqp.dwri.gov.np/document/11> and <https://www.slideshare.net/SurendraMaharjan3/design-mannual-for-small-scale-irrigation-scheme-book>
- ✓ Roads: For the Rual Road <https://kec.edu.np/wp-content/uploads/2017/06/NRRS-2071-1.pdf> and other roads: <https://www.dor.gov.np/home/publication/general-documents/nepal-road-standard-2-7>
- ✓ Bioengineering works: <https://dor.gov.np/home/publication/gesu-publication/force/roadside-bio-engineering-site-handbook-2-76-1-12>
- ✓ River Training: [http://weecs.gov.np/storage/listies/January2021/river-training-manual-final--weecs-2020-06-15-\(f\)-\(1\).pdf](http://weecs.gov.np/storage/listies/January2021/river-training-manual-final--weecs-2020-06-15-(f)-(1).pdf)
- ✓ Building: <https://www.dudbc.gov.np/list/resource/247?parent>, <https://moud.gov.np/pages/nepal-national-building-code>
- The design stage of the project incorporates additional considerations for environmental, social, and economic factors.
- Preparation of understandable detailed (BOQ, abstract of cost, structure-wise quantity estimate, labour material breakdown, and group division) estimate, cost, schedule, and rate analysis adhering to the norms of the government agencies and district rates.

Norms and specification reference:

- ✓ DOLI: <https://doli.gov.np/doligov/ne/download-documents/norms-and-specifications/>
- ✓ Road Department: <https://dor.gov.np/qrdc/publication/1qrdc-guidelines-standard-specifications-codes-and-norms/norms-for-works-road-and-bridges>
- ✓ Irrigation Department: <https://pbip.dwri.gov.np/storage/photos/Resource/764baf3a8ec8de17367240e88d52fd48.pdf>
- ✓ Nepal Bureau of Standard and Metrology (specification of materials): <https://nbsm.gov.np/particular.php>
- Preparation of drawing (plan and cross section) and map by using AutoCAD and GIS (Geographic Information System) application.

- Agreement with the user committee as guided by the local level user committee formation, mobilization, and management working procedure.
- Opening of the bank account of the targeted beneficiaries for the wage transfer.
- Erection of the information board on the project site containing clear and concise information.
- Provision of health and safety measures to ensure the protection of workers at construction sites. Reference: <https://www.ilo.org/dyn/asist/docs/F1632301305/Occupational%20Safety.pdf>
- Procurement of the goods and works by complying with the procurement rule and the regulations of the Government of Nepal. Reference: [https://ppmo.gov.np/acts\\_and\\_regulations](https://ppmo.gov.np/acts_and_regulations)

## II. Implementation and Monitoring

- Provision of pre-construction training with pragmatic construction skills to the workers at the site before starting the project.
- Proper transportation, quality check, storage, and handling of the construction materials.
- Proper management and use of health and safety gear by the workers.
- Hands-on technical assistance by the engineering section at the local level for the appropriate layout of the structures.
- Appropriate utilization of a project book/site diary for documenting project details and records.
- Construction of the structures according to the specifications outlined in the design and estimate documents.
- Quality assurance and control of the project as per the following reference documents:
  - ✓ Water quality test: <https://dwssm.gov.np/storage/listies/October2022/water-supply-quality-2079.pdf>
  - ✓ Department of Road, Guideline for quality management for concrete: <https://dor.gov.np/home/publication/guideline-for-quality-management-for-concrete-bridge/force/1-cqm-manual-material-converted>
- Usage of quality inspection checklist upon the completion of the milestones and proper documentation.
- Measurement of the works by the engineer in the presence of the workers and preparation of valuation of the work.
- The local-level monitoring committee ensures regular monitoring through the utilization of a monitoring checklist.
- Integrate the feedback and comments received from the monitoring committee before making payments to the workers/contractor.
- Provision of public audit in the presence of the workers and local-level representatives.
- Transfer wages to workers based on the volume of work and attendance, ensuring an equal wage rate irrespective of gender.

## III. Post Construction Phase

- Post-construction training to the user committee for the repair, maintenance, and sustainability of the project.
- Repair and maintenance plan of each project.

- Asset inventory at the local level
- Photo Monitoring report of each project
- Case stories covering the project cycle
- TA checklist feedback to TA
- Adequate quality inspection checklist – summary provided by TA

**Annex 2: Minimum elements to verify for each type of project**

Type of project	Minimum elements to verify	Government standards
Road	<ol style="list-style-type: none"> <li>1. <b>Hairpin bend:</b> Cross-section, radius, and L-section</li> <li>2. <b>Drainage system:</b> side drainage and cross drainage</li> <li>3. Camber</li> <li>4. <b>L- section</b> (if doubt in the grade)</li> <li>5. <b>Road width</b> (if doubt about the width of the road)</li> <li>6. <b>Roadside structure:</b> appropriate structure as per the site condition, foundation width, workmanship, backfilling, and materials quality.</li> </ol>	<p>Rural roads:</p> <p><a href="https://kec.edu.np/wp-content/uploads/2017/06/NRRS-2071-1.pdf">https://kec.edu.np/wp-content/uploads/2017/06/NRRS-2071-1.pdf</a></p> <p>Roads:</p> <p><a href="https://www.dor.gov.np/home/publication/general-documents/nepal-road-standard-2-7">https://www.dor.gov.np/home/publication/general-documents/nepal-road-standard-2-7</a></p>
Irrigation	<ol style="list-style-type: none"> <li>1. <b>Velocity:</b> Should be within the range of scouring and silting velocities.</li> <li>2. <b>Cross section of the canal</b> (if doubt in the section)</li> <li>3. <b>Headworks</b></li> <li>4. <b>Outlet</b></li> <li>5. <b>Division structure</b></li> <li>6. <b>Discharge</b></li> <li>7. <b>Structure:</b> appropriate structure as per the site condition, foundation width, workmanship, backfilling, and materials quality</li> </ol>	<p>Irrigation:</p> <p><a href="http://www.doed.gov.np/storage/listies/December2019/design-guidelines-for-water-conveyance-system.pdf">http://www.doed.gov.np/storage/listies/December2019/design-guidelines-for-water-conveyance-system.pdf</a> and for the small irrigation -</p> <p><a href="https://www.ifscqp.dwri.gov.np/document/11">https://www.ifscqp.dwri.gov.np/document/11</a> and</p> <p><a href="https://www.slideshare.net/SurendraMaharjan3/design-mannual-for-small-scale-irrigation-scheme-book">https://www.slideshare.net/SurendraMaharjan3/design-mannual-for-small-scale-irrigation-scheme-book</a></p>
Water, Sanitation, and Hygiene (WASH)	<ol style="list-style-type: none"> <li>1. <b>Discharge</b></li> <li>2. <b>Adequate water in each tap</b></li> <li>3. <b>RVT:</b> Size, location, workmanship</li> <li>4. <b>BPT/IC:</b> Location, workmanship</li> <li>5. <b>Intake</b></li> <li>6. <b>Pipe laying works:</b> Excavation and filling</li> <li>7. <b>Pipe size and quality (sample basis)</b></li> </ol>	<p><a href="https://dwssm.gov.np/pages/design-guidelines">https://dwssm.gov.np/pages/design-guidelines</a></p>
Slope stabilization	<ol style="list-style-type: none"> <li>1. <b>Engineering structure:</b> Proper structure as per the side condition, workmanship, bond, and quality of the materials.</li> <li>2. <b>Bioengineering technique:</b> As per the nature of the slope and soil condition.</li> </ol>	<p>Bioengineering:</p> <p><a href="https://dor.gov.np/home/publication/ge-su-publication/force/roadside-bio-engineering-site-handbook-2-76-1-12">https://dor.gov.np/home/publication/ge-su-publication/force/roadside-bio-engineering-site-handbook-2-76-1-12</a></p>
Building	<ol style="list-style-type: none"> <li>1. <b>Band</b></li> <li>2. <b>Foundation</b></li> <li>3. <b>Opening</b></li> <li>4. <b>Spacing of the column</b></li> <li>5. <b>Workmanship</b></li> <li>6. <b>Quality of construction materials</b></li> <li>7. <b>Bond, through stone, cornerstone</b></li> <li>8. <b>Land ownership of the construction site</b></li> <li>9. <b>Bar bending schedule</b></li> </ol>	<p><a href="https://www.dudbc.gov.np/list/resource/247?parent">https://www.dudbc.gov.np/list/resource/247?parent</a>,</p> <p><a href="https://moud.gov.np/pages/nepal-national-building-code">https://moud.gov.np/pages/nepal-national-building-code</a></p>

**Annex 3: Reporting Format for Not Meeting the Standard**

Not Meeting the Standard Report No.:	Date
Verification Stage:	Municipality/RM:
Project Name:	
Work/activity/process Description:	
Location:	
<p><b>Detail of not meeting the standard (Continue on a separate sheet if necessary)</b></p> <ol style="list-style-type: none"> <li><b>1. Standard expected:</b></li>   <li><b>2. Root causes (Why and how this occurred):</b> <i>LISP-TA to provide.</i></li>   <li><b>3. Proposed action to be taken to rectify:</b> <i>Consult with the LISP TA</i></li>   <li><b>4. Recurrence prevention measure:</b> <i>Consult with the LISP TA</i></li>   <li><b>5. Conformance of the rectification:</b> <i>LISP TA needs to be provided.</i></li>   <li><b>6. LISP TA confirmation of recurrence prevention measure</b></li> </ol>	

**Annex 4: Exhaustive list of IVQA requirement****Stage A:**

<b>Theme</b>	<b>Requirement/Scope</b>	<b>Document/evidence</b>	<b>Method to verify</b>
Planning and Budgeting (Y <sub>i</sub> )	<ol style="list-style-type: none"> <li>1. Adopt evidence and scoring-based prioritization tools in reference to NPC- local government's planning directives 2078.</li> <li>2. Link the annual planning process with the periodic plan, Medium Term Expenditure Framework (MTEF), and sectoral plan.</li> <li>3. Development/Amendment of enabling policy and instruments by the local government for accountable, inclusive, and sustainable local infrastructure development.</li> <li>4. Deliberative, transparent, and inclusive evidence-based local infrastructure decision-making in local governments.</li> </ol>	<ol style="list-style-type: none"> <li>1. Ward/settlement level planning process meeting/minute and prioritization tools</li> <li>2. Annual planning and programme of the LG, updated MTEF, sectoral plan, and periodic plan.</li> <li>3. Local Gazette and Executive Committee Decision of the Local Level.</li> <li>4. Tole level, ward level, and municipal level decisions minutes and attendance by disaggregating based on nationality, gender, and age.</li> </ol>	Summary provided by the TA demonstrating that the requirements are fulfilled and if necessary, the verifier may request the evidence/document from the TA.
	<ol style="list-style-type: none"> <li>5. Establishment of repair, maintenance, and operation funds for the sustainability of the local infrastructure from the annual planning process at the local level.</li> </ol>	<ol style="list-style-type: none"> <li>5. Annual plan, programme, and budget at the local level indicating the allocation of the repair, maintenance, and operation funds by considering preventative and predictive maintenance approach for the local infrastructures.</li> </ol>	Highlighted part of the evidence document provided by the TA indicating the provision of repair, maintenance, and operation funds in the LG.



	<ol style="list-style-type: none"> <li>1. Functional E-MIS for the updated list of unemployed persons at the local level and record of the jobs.</li> <li>2. Disclosure of liabilities</li> </ol>	<ol style="list-style-type: none"> <li>1. Unemployed database updated at the local level and recorded number of employed people in the local infrastructure projects.</li> <li>2. Included LISP finance in the overall budget envelope planning for infrastructure and then track expenditure through the SuTRA (financial management system of LG).</li> </ol>	<ol style="list-style-type: none"> <li>1. The ward-level summary data provided by the TA informs that the E-MIS is functional. Record maintained by the TA on the jobs created in the local infrastructures.</li> <li>2. Verify the SuTRA report of the LG which includes the local infrastructure project's name and the allocated budget.</li> </ol>
Post-construction infrastructure verification ( $Y_{i-1}$ )	<ol style="list-style-type: none"> <li>6. Operation and maintenance (O &amp; M) plan of the project</li> <li>7. Inventory/record of the asset (public infrastructure)</li> <li>8. Ongoing monitoring and mitigation of climate change and disaster risks</li> </ol>	<ol style="list-style-type: none"> <li>6. O &amp; M plan that references climate risks.</li> <li>7. Inventory (record) of the asset</li> <li>8. Climate /disaster resilient design and operation monitoring to monitor and mitigate impacts</li> </ol>	<ol style="list-style-type: none"> <li>6. Summary of O &amp; M plan provided by the TA that covered the aspects of sustainability (social, economic, environmental, and cultural) that references climate risk as well.</li> <li>7. The updated inventory of the public infrastructures at the local level.</li> <li>8. Summary of applying climate and disaster resilience in infrastructure design, implementation and operation with hazards risk mitigation/ adaptation</li> </ol>
	<ol style="list-style-type: none"> <li>9. Photo Monitoring</li> <li>10. Public audit of the project</li> <li>11. Access to Infrastructure</li> <li>12. Wage payment of the workers through the bank account</li> <li>13. Water quality test/flow test, load tests, completion/taking over certificates, defect liability</li> </ol>	<ol style="list-style-type: none"> <li>9. Photo monitoring report of each scheme compiled.</li> <li>10. Public audit minute</li> <li>11. A database managed by the TA, listing households with new or improved access to the service, which includes disaggregated data on gender and ethnicity. The final bill of the project includes the</li> </ol>	<ol style="list-style-type: none"> <li>9. The compiled photo monitoring report by the TA ensures all the stages of the photos are well captured from the same location (before, during, and after).</li> <li>10. The summary of the public audit provided by the TA illustrates the presence of most of the workers, and grievances are effectively settled.</li> <li>11. A database provided by the TA, listing households with new or improved access to</li> </ol>

	<p>certificates, final clearance certificates, as-built drawings, and handing over of projects/works.</p> <p>14. Financial Audit by the OAG</p>	<p>workers' entitlement and bank details.</p> <p>12. Test reports as per the type of the projects.</p> <p>13. Preliminary report of the audit</p>	<p>the service, which includes disaggregated data on gender and ethnicity. Summary provided by the TA of the workers' entitlement and the bank details.</p> <p>12. Tests are conducted as per the engineering standards and are well documented.</p> <p>13. Audit findings for the LISP with no outstanding arrears or irregularities.</p>
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**Stage B:**

Theme	Requirement/Scope	Document/evidence	Method to verify
Project level planning (Yi)	2. Project feasibility study, detailed survey, design, drawing estimate, schedule, and rate analysis	<p>81. Feasibility Study: Economic, engineering, social, and environmental (brief environmental study) analysis by including climate/disaster risk and vulnerabilities.</p> <p>82. Detailed survey: a) Meeting minutes of prioritizing the structures in discussion with the benefitting households and b) survey maps produced by using appropriate engineering instruments.</p> <p>83. Detailed design complying with the GON standards and resilience.</p> <p>84. Detailed cost estimate: material labour breakdown, abstract of cost, use of district rate, and government's norms for the rate analysis.</p>	<p>5. Evidence provided by the TA that the assessment and feasibility report of the project covered all aspects and evidence of the project being feasible .</p> <p>6. a) Evidence provided by the TA ensures that the consultation with the beneficiaries is carried out for the prioritization of the project. b) the survey maps prepared by using appropriate engineering instruments.</p> <p>7. The design of the project aligned appropriately with the conditions of the site, cost optimization has been considered and the GON standards and the documentation outlining design features that address climate and disaster risks have been adhered to.</p> <p>8. All the components (cost for the structures, health &amp; safety items, management/overhead cost, bio-engineering works, catchment restoration, VAT, etc.) of the detailed estimate are prepared by using the respective district rates and government's norms. Specifications of the works</p>

		85. Group division plan for the mobilization of the workers 86. Schedule/timeline of the project 87. Drawings: plan and section	and materials are clearly outlined in each item as per the government standards. 9. Group division planned considering the equal amount to each worker, distance to commute to reach the site by the worker, skilled and unskilled worker composition, etc. 10. Plan and schedule included as a part of the cost and estimate. 11. Plan & section of each structure and layout map of the project prepared by using appropriate engineering application.
Procurement of goods & works and user committee/contractor mobilization (Y <sub>i</sub> )	5. Preparation of the targeting criteria for the workers based on the vulnerability ranking and application at the project level. 6. Formation of the user committee. 7. Agreement with the user committee 8. Opening of the bank accounts. 9. Preconstruction training for the workers.	5. Targeting criteria and sample of the targeting of at least one project. 6. User committee formation minute 7. Agreement copies with the user committee including clause of using of local suppliers for equipment, materials and services. 8. Bank accounts opening summary. 9. Preconstruction training attendance sheet and curriculum of the training.	5. Targeting criteria cover the inclusiveness and vulnerability criteria and are performed properly at the project level. 6. Evidence provided by the TA demonstrates the inclusive user committee formed as per the user committee formation and mobilization guidelines and the members are from the selected workers 7. The agreement format is as per the user committee formation and mobilization guidelines and also including the clauses to involve local contractors and suppliers in providing equipment and services 8. The summary provided by the TA ensures all the workers have opened bank accounts. 9. Evidence provided by the TA shows the preconstruction training covered all the aspects (cost & estimate, structures, schedule, wage, health & safety, SEAH (Sexual Harassment), QA/QC, modality of the execution, etc.)
	3. Selection of construction modality (user committee, contractor, user committee user committee) as per the procurement rules and regulations.	3. Approved construction modality selection checklist. 4. Procurement process documents (procurement plan, notice to the bidders ensuring wide publicity, fair access, pre-bid meeting	3. Construction modality selected as per the procurement rules and regulations. 4. Summary of the procurement process provided by the TA confirming the adherence to the government's procurement policies and carried out transparently and data of online procurement. 5. Copy of Project Risk Map

	4. Procurement of the goods and works 5. Risk allocation and mitigation	minutes, evaluation, security bonds, contract documents ensuring the quality specification, Letter of Intent decisions (including grievances and dispute resolutions)) 5. Projects risks have been identified and assessed, and a recommended allocation has been established prior to procurement decision	
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**Stage C:**

Theme	Requirement/Scope	Document/evidence	Method to verify
Site management facility (Y <sub>i</sub> )	5. The project's information board at the site 6. Management of health and safety items 7. Management of quality construction materials. 8. Drinking water facility for the workers at the site. 9. Separate male and female temporary toilets at the site.	5. Photograph of the erected information board 6. Photograph of the health and safety items 7. Photograph of the construction materials storage and stock/balance and mobilization/demobilization plan of the materials 8. Photograph of the drinking water facility 9. Photograph of the toilet.	5. The information boards contained the cost of the project, disaggregated data of the workers involved, benefitting households' data, and information on grievance handling. 6. Proper use of health and safety items used by the workers as per the standards. 7. Construction materials are properly stored, and materials are as per the standards specified in the cost estimate, stock/balance, and mobilization/demobilization plan of the materials. 8. Adequate drinking water facilities at the sites for the workers. 9. Separate toilets at the site for the males and females.
Project construction	10. The layout of the structure 11. Quality of the structures	10. Photograph of the layout of the structure	10. The layout of the structures as per the drawing of the structure.

<p>quality and quantity (Y<sub>i</sub>)</p>	<ul style="list-style-type: none"> <li>12. Quantity of the structures</li> <li>13. Progress of the project</li> <li>14. Payment certificate</li> <li>15. Quality assurance plan</li> <li>16. Monitoring checklist</li> <li>17. Quality control checklist</li> <li>18. Field verification linked to (a) request for inspection, (b) instruction sheet, and (c) daily works outputs and site dairies.</li> <li>19. Work drawing</li> <li>20. Time extensions, quantity and rate variations, and issuance of work orders</li> </ul>	<ul style="list-style-type: none"> <li>11. Site-level test results of the material, photographs showing the appearance of the structures, and lab test report (lab and site).</li> <li>12. Measurement sheet of the structures</li> <li>13. Schedule of the project</li> <li>14. Payment certificate</li> <li>15. Quality assurance plan</li> <li>16. Monitoring checklist</li> <li>17. Quality control checklist prepared by the TA.</li> <li>18. Request for inspection, instruction sheet, and site dairies</li> <li>19. Work drawing on the sites.</li> <li>20. Time extension document, variations, and issuance of work orders.</li> </ul>	<ul style="list-style-type: none"> <li>11. The workmanship of the structure is as per the norms/specs. in the cost estimate, the lab/site test report confirms the quality of the works &amp; materials,</li> <li>12. Verify the measurements of the structures are as per the design. Verify at least the elements of each type of project specified in Annex 2.</li> <li>13. Progress as per the schedule.</li> <li>14. Payment certificate in line with the performance of the works in the project</li> <li>15. Quality assurance plan submitted by the contractor and the works done in the field as per the plan.</li> <li>16. Monitoring checklist used by the monitoring committee of the LG and put as a part of the payment process.</li> <li>17. Provide feedback/comments to the TA on the quality control checklist.</li> <li>18. Updated and timely the process.</li> <li>19. Site-level work aligns with the work drawing.</li> <li>20. The summary provided by the TA on time extension, variations, and work orders complies with the contract documents.</li> </ul>
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## **ANNEX 5: FCDO/British Embassy Kathmandu (BEK) Overall Project/ Intervention Summary Risk Assessment Matrix**

Project / intervention Title: **BEK**

Location: **NEPAL**

Date of assessment: **May 2024**

Assessing official: **PSM Rajeswori Shrestha**

Signed Off by: Luke Beaumont (**Deputy Ambassador /PSO**)

*Note that this risk assessment will be re-examined at the point of transition between the design phase and the implementation phase*

Theme	BEK/FCDO- N Risk score	Comments if any
OVERALL RATING [1]	4	
FCDO travel advice	N/A	<a href="#">Travel Advice</a>  Latest updated 23 <sup>rd</sup> April 2024
Host nation travel advice	N/A	<a href="http://nepal.gov.np:8080/NationalPortal/view-page?id=113">http://nepal.gov.np:8080/NationalPortal/view-page?id=113</a>
Transportation by:  (i) Air	4	Transport by air and road both carry substantial risks in Nepal, particularly during the monsoon period. All air carriers from Nepal have been refused permission to operate air services to the EU due to safety concerns. See <a href="#">Air travel</a> .
Transportation by:  (ii) Road	4	Car and motorbike accidents are one of the biggest causes of injury and death overseas. If possible, avoid travelling at night. Always travel in a well-maintained vehicle with seatbelts. See <a href="#">Road travel</a>
Security	2-3	Depending on the area you are travelling to. See <a href="#">Safety and Security</a>
Civil unrest	2-3	Depending on the area you are travelling to.
Violence/crime	2	There's a low rate of serious crime in Nepal. However, you should take sensible precautions. See <a href="#">Safety and Security</a>
Terrorism	2	Terrorists are likely to try to carry out attacks in Nepal. See <a href="#">Terrorism</a>

<sup>[1]</sup> The Overall Risk rating is calculated using the MODE function which determines the most frequently occurring value.

Theme	BEK/FCDO- N Risk score	Comments if any
War	1	
Hurricane	1	
Earthquake	4	Kathmandu valley and western part of Nepal most vulnerable.
Landslides	4	High risk during monsoon season especially in hills/mountains region. See <a href="#">Monsoon season</a>
Flood	4	High risk during monsoon season especially in Terai region. See <a href="#">Monsoon season</a>
Medical Services	3	Depending on the area you are travelling and remoteness.
<b>Nature of Project/ Intervention</b>	3	Depends on location of the project and visit sites. High risk in high mountains, medium in mid hills and plain lands.

<b>1</b> Very Low Risk	<b>2 Low Risk</b>	<b>3 Medium Risk</b>	<b>4 High Risk</b>	<b>5 Very High Risk</b>
<b>Low</b>		<b>Medium</b>	<b>High Risk</b>	

#### **ANNEX 6 : Criteria for Concept Note Pass/ Fail**

1. Quality of national Team Leader to lead, oversee, quality assure deliveries, collaborate, reporting to FCDO and adapt to deliver LISP IVQA component
2. Quality of core and wider team (clearly presented structure to link TL, core team and wider team such as field verification and QA teams and international experts, and excellently linked with how the team will deliver)
3. Excellent understanding of this ToR and excellently tailored approach/methodology linking very clearly the concept, approach, structure, personnel input areas and days, collaboration and partnerships, dissemination, management and operation, and risk management for IVQA delivery
4. Excellent readiness in deployment and excellently resourced plan for inception phase
5. Excellent financial approach/details maximising the VFM of IVQA delivery

### Annex 7: of Contract Section 3 (Terms of Reference), Schedule of Processing, Personal Data and Data Subjects

This schedule must be completed by the Parties in collaboration with each-other before the processing of Personal Data under the Contract.

The completed schedule must be agreed formally as part of the contract with FCDO and any changes to the content of this schedule must be agreed formally with FCDO under a Contract Variation.

Description	Details
<b>Identity of the Controller and Processor for each Category of Data Subject</b>	<p>The Parties acknowledge that for the purposes of the Data Protection Legislation, the following status will apply to personal data under this contract s</p> <ol style="list-style-type: none"> <li>1) The Parties acknowledge that Clause <b>33.2</b> Protection of Personal Data] and <b>33.4</b> (Section 2 of the contract) shall not apply for the purposes of the Data Protection Legislation as the <b>Parties are independent Controllers</b> in accordance with Clause 33.3 in respect of the following Personal Data: necessary for the administration and/or fulfilment of this Contract.</li> </ol>

### Annex 8: Supplier Performance Assessment

Rating	Definition
6	Responsibilities delivered with a high level of efficiency and effectiveness. Supplier proactively in taking steps to achieve outcomes according to contracted responsibilities
5	Responsibilities delivered with a high level of efficiently and effectively.
4	Minor effort required to improve delivery of one or more contracted responsibilities.
3	Effort needed to deliver contracted responsibilities.
2	Major effort needed to deliver contracted responsibilities. Significant effort required from FCDO where service provider is not delivering.
1	Serious under performance. Not meeting most contract deliverables.