

Terms of reference (ToRs) for the procurement of services below the EU threshold

Revision of State Action Plan on Climate Change, Uttar Pradesh

**Project number/
cost centre:**

18.2255.0-001

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0. List of abbreviations

AVB	General Terms and Conditions of Contract (AVB) for supplying services and work 2018
ToRs	Terms of reference

1. Context

The State of Uttar Pradesh with its large population, socio-economic and cultural diversity, different agro-climatic zones and an economy tied to agriculture to a large extent is highly vulnerable to climate change. Developed by Department of Environment, Government of UP with technical support from GIZ India in 2014, the UP-State Action Plan on Climate Change (SAPCC) has been an important milestone that provided the first state-wide and cross-sectoral climate change impact and vulnerability assessment, and formulated state specific adaptation and mitigation strategies. Since SAPCC of UP was drafted, the climate science and policy regime have evolved both in the international and national context. Over past several years, State of UP has also taken concrete initiatives related to water conservation, enhancing green cover, promote renewable energy as well as promote measures for livelihood enhancements of the people dependent on agriculture and allied sectors.

The Paris Agreement came into being in 2015, which committed to containing the global temperatures between 1.5 to 2 C. As part of this agreement, India, along with other countries, has submitted its commitment for post 2020 action through the NDC (Nationally Determined Contributions). Therefore, climate actions identified under SAPCCs need to be synergized with India NDCs; In addition, SAPCCs need to be strengthened with latest scientific assessments and projections that are available along with prioritized climate action. Subsequently, it is crucial to identify capacity needs for adaptation planning, implementation and M&E towards achieving the targets effectively. Considering this need Ministry of Environment Forests and Climate Change (MoEFCC) has advised all states to revise their SAPCC to keep up with the latest commitments at national (NDCs and NAPCC) and international level (such as Paris Agreement, Sustainable Development Goals and Sendai Framework) and government priorities (SDG 2030 Vision document) and came out with guidelines in May 2019.

In the above context, it is proposed to conduct review and revision of SAPCC , Uttar Pradesh with the following overarching objectives:

- To revise/update the climate risk and vulnerability assessment of UP (district level) using IPCC AR5 methodological guidance.
- To take stock of the implementation of the SAPCC version 1.
- To re-examine various actions (adaptations, mitigation) in the light of NDC goals.
- Prepare new short-range (2023) and long-range plans up to 2030.

GIZ India as part of Indo-German Technical Cooperation on Climate Change has been a key partner in supporting States in developing (technical support to 18 States in the first phase) and in the SAPCC revision process (Supported 07 States in the revision process). As part of Indo-German Bilateral Project “Climate Adaptation & Finance in Rural India (CAFRI)” GIZ India will extend technical support to DoE and facilitate revision of UP SAPCC process.

The selected technical agency will strictly follow the Common Framework for Revision of State Action Plan on Climate Change, developed by Ministry of Environment, Forest & Climate Change.

1.1 Project Objective

GIZ, on behalf of the German Federal Ministry for Economic Cooperation and Development (BMZ), has been partnering with Ministry of Environment, Forest & Climate Change (MoEFCC) in implementing Indo-German Technical Cooperation projects on climate change. In this context a follow up initiative

“Climate Change Adaptation and Finance in Rural Areas of India” as an integral part of the BMZ programme “Climate and Environment in Rural India” was initiated in January 2020 in partnership with MoEFCC. The overall aim of this project is to support partners in reducing climate change risks for vulnerable groups and sectors as well as capacity building of actors (different levels) in the planning, implementation and financing of climate adaptation initiatives at the State level. The project further supports stakeholders at the national and subnational level in policy formulation, preparation and implementation of tools and instruments which address climate change adaptation; The key areas for project support comprise of:

1. Gender responsive participatory adaptation planning and implementation on local level
2. Impact assessment of adaptation related initiatives
3. Innovative funding sources for adaptation
4. Collaboration and coordination at national and subnational level on NAPCC and SAPCC implementation.

2. Tasks to be performed by the contractor

The selected technical agency shall provide the following work/service:

Task I: Design template and criteria for review

- ✓ Organise an inception meeting at the state level with all line departments to revisit SAPCC as Interlinkages of sectoral actions need to be accounted for enhanced ownership.
- ✓ Stocktaking of existing SAPCC implementation and identification of state needs and priorities
- ✓ Develop the strategy for SAPCC revision based on the state level inception meeting
- ✓ Strategy concept and methodology with state level needs and priorities for SAPCC review and revision
- ✓ Develop a template and criteria for review of SAPCC and data collection.

Task II: Updating vulnerability and climate profile of UP (district level) as per IPCC AR5 methodological guidance.

Under this section, selected consulting agency will revise/update the district level climate risk vulnerability assessment using IPCC AR5 methodological guidance:

- ✓ Methodology of vulnerability assessment
- ✓ Assessment of the physical and economic impact of and vulnerability to climate change in the most vulnerable sectors (agriculture, water, forestry and biodiversity, health, tourism etc.)
- ✓ Assessment of the impact of and vulnerability to climate change on vulnerable groups.

Task III: Review and revision of SAPCC

- ✓ Use the template and criteria for reviewing the SAPCC .
- ✓ Prioritise activities given the latest climate science, projections, impact and vulnerability assessment.

Kindly note that selected technical agency should visit www.climatevulnerability.in to get more information on climate profile of UP.

- ✓ Establish linkages with new national initiatives eg: Swacch Bharat Mission etc and NDC and SDG targets
- ✓ Develop plan to leverage finance (domestic and international) through state specific investment plans for prioritized sectors; make use of financing innovative cross-cutting interventions in community adaptation and resilience building projects
- ✓ Assess the State level capacities on climate change aspects for long term developmental planning and propose strategies to augment capacity gaps, if any.
- ✓ Propose an M&E strategy with clear indicators for reporting.

Certain milestones, as laid out in the table below, are to be achieved by certain dates during the contract term, and at particular locations:

Milestone	Deadline
Inception report with detailed work plan Template for SAPCC revision with criteria/parameters	August 4 th week, 2020
Report on district level climate risk vulnerability assessment	November 2 nd week, 2020
Brief report on gaps and recommendations (preferably wrt scientific evidence and vulnerability assessment) and ToC of revised SAPCC (in line with guidelines of MoEF&CC)	December 2 nd week, 2020
Final template and criteria for revising the SAPCC	December 3 rd week, 2020
draft document suggesting the necessary revisions in the existing SAPCC.	January 1 st week, 2021
Revised SAPCC for UP: Revised version of SAPCC with clear action plan for implementation that identifies specific capacity constraints but also opportunities in a manner that is inclusive and participatory.	January 4 th week, 2021
Final SAPCC after addressing comments from state and GIZ	February 4 th week, 2021
Presentation on the final SAPCC	April 2 nd week, 2021

Period of assignment: 03 August 2020 – 31st May 2021

Location: Lucknow, UP and travel to other districts/regions of UP (Poorvanchal, Bundelkhand etc)

Note: For a **contract for works**, tenders for works (studies, software etc.) must include very detailed and precise descriptions of the works (e.g. sections to be included in a study, topics for recommendation, number of pages, system requirements etc.). These are the work results. Tasks are not described in this case.

3. Concept

In the bid, the bidder is required to show how the objectives defined in Chapter 1 are to be achieved, if applicable under consideration of further specific method-related requirements (technical-methodological concept). In addition, the bidder must describe the project management system for service provision.

Technical-methodological concept

Strategy: The bidder is required to consider the tasks to be performed with reference to the objectives of the services put out to tender (see Chapter 1). Following this, the bidder presents and justifies the strategy with which it intends to provide the services for which it is responsible (see Chapter 1).

The bidder is required to present the actors relevant for the services for which it is responsible and describe the **cooperation** with them.

The bidder is required to present and explain its approach to **steering** the measures with the project partners and its contribution to the results-based monitoring system.

The bidder is required to describe the key **processes** for the services for which it is responsible and create a schedule that describes how the services according to Chapter 1 are to be provided. In particular, the bidder is required to describe the necessary work steps and, if applicable, take account of the milestones and contributions of other actors in accordance with Chapter 1.

The bidder is required to describe its contribution to knowledge management for the partner and GIZ and promote scaling-up effects (**learning and innovation**).

Project management of the contractor

The bidder is required to explain its approach for coordination with the GIZ project.

- The contractor is responsible for selecting, preparing, training and steering the experts (international and national, short and long term) assigned to perform the advisory tasks.
- The contractor makes available equipment and supplies (consumables) and assumes the associated operating and administrative costs.
- The contractor manages costs and expenditures, accounting processes and invoicing in line with the requirements of GIZ.

The contractor reports regularly to GIZ in accordance with the AVB of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH from 2018

The bidder is required to draw up a **personnel assignment plan** with explanatory notes that lists all the experts proposed in the bid; the plan includes information on assignment dates (duration and expert days) and locations of the individual members of the team complete with the allocation of work steps as set out in the schedule.

4. Personnel concept

The bidder is required to provide personnel who are suited to filling the positions described, on the basis of their CVs (see Chapter 6), the range of tasks involved and the required qualifications.

The below specified qualifications represent the requirements to reach the maximum number of points.

The specific requirements of experts are detailed below:

Team leader

Tasks of the team leader

- Overall responsibility for the advisory packages of the contractor (quality and deadlines)
- Coordinating and ensuring communication with GIZ, partners and others involved in the project
- Personnel management, in particular identifying the need for short-term assignments within the available budget, as well as planning and steering assignments and supporting local and international short-term experts
- Regular reporting in accordance with deadlines
-

Qualifications of the team leader

- Education/training (2.1.1): University qualification (Master/Phd) in Environment/Climate Change/Economics/natural resource management
- Language (2.1.2): Good business language skills in English and Hindi
- General professional experience (2.1.3): 15 years of professional experience in the climate change/rural development and working with rural communities and local government institutions sector
- Specific professional experience (2.1.4): 5 years in preparation of climate change and disaster management action plans, capacity development and trainings for rural development sector/climate change/environment
- Leadership/management experience (2.1.5): 6 years of management/leadership experience as project team leader or manager in a company
- Regional experience (2.1.6): 5 years of experience in India
- Development Cooperation (DC) experience (2.1.7): 6 years of experience in DC projects
- Other (2.1.8): Profound experience in designing capacity development and institutional development strategies and programmes
-

Expert 1: Climate Change Governance

Qualifications

- Education/training (2.2.1): Masters/Phd in Environmental Sciences/Natural Resource Management
- Language (2.2.2): English and Hindi
- General professional experience (2.2.3): 10 years of experience in working on climate change adaptation and environment sector with government departments
- Specific professional experience (2.2.4): 4 years of experience of working on climate change planning, natural resources and climate change at local level, working with government, community groups and village councils
- Leadership/management experience (2.2.5): 2 years of management experience
- Regional experience (2.2.6): Uttar Pradesh or Northern India

- Development Cooperation (DC) experience (2.2.7): 3 years
- Other (2.2.8): Proven experience of training and capacity building activities

Soft skills of team members

In addition to their specialist qualifications, the following qualifications are required of team members:

- Team skills
- Initiative
- Communication skills
- Sociocultural competence
- Efficient, partner- and client-focused working methods
- Interdisciplinary thinking

Expert 2: Vulnerability and Risk Mapping

Qualifications

- Education/training (2.3.1): Masters/Phd in Environmental Science/Disaster Management/Climate Change
- Language (2.3.2): English and Hindi
- General professional experience (2.3.3): 10 years of experience in working on Climate Change/Disaster Management/Environment development sector with government departments/officers at state, district and village level
- Specific professional experience (2.3.4): 4 years of experience on Disaster /Climate Vulnerability and Risk issues at District/State/National level.
- Leadership/management experience (2.3.5): 2 years of management experience
- Regional experience (2.3.6): Uttar Pradesh/Northern region of India
- Development Cooperation (DC) experience (2.3.7): 3 years
- Other (2.3.8): Proven experience of Vulnerability and Risk Assessment related capacity building activities.

Soft skills of team members

In addition to their specialist qualifications, the following qualifications are required of team members:

- Team skills
- Initiative
- Communication skills
- Sociocultural competence
- Efficient, partner- and client-focused working methods
- Interdisciplinary thinking

Expert 3: Capacity Development

Qualifications

- Education/training (2.4.1): Masters/Phd in Environmental Science/ Climate Change/Natural Resources Management
- Language (2.4.2): English and Hindi
- General professional experience (2.4.3): 10 years of experience in working on Climate Finance and climate change adaptation with government departments/officers at state, district and village level

- Specific professional experience (2.4.4): 4 years of experience on Climate change capacity development issues at District/State/National level.
- Leadership/management experience (2.4.5): 2 years of management experience
- Regional experience (2.4.6): Uttar Pradesh/Northern region of India
- Development Cooperation (DC) experience (2.4.7): 3 years
- Other (2.4.8): Proven experience of capacity building activities with government agencies.

Soft skills of team members

In addition to their specialist qualifications, the following qualifications are required of team members:

- Team skills
- Initiative
- Communication skills
- Sociocultural competence
- Efficient, partner- and client-focused working methods
- Interdisciplinary thinking

Expert 4: Natural Resources Management

Qualifications

- Education/training (2.5.1): Masters/Phd in Environmental Science/ Natural Resources Management/Climate Change/Agriculture Management/Forestry
- Language (2.5.2): English and Hindi
- General professional experience (2.5.3): 10 years of experience in working on Forestry, Agriculture, Water Resources with government departments at state, district and village level
- Specific professional experience (2.5.4): 4 years of experience on capacity development issues at District/State/National level.
- Leadership/management experience (2.5.5): 2 years of management experience
- Regional experience (2.5.6): Uttar Pradesh/Northern region of India
- Development Cooperation (DC) experience (2.5.7): 3 years
- Other (2.5.8): Proven experience of capacity building activities

Soft skills of team members

In addition to their specialist qualifications, the following qualifications are required of team members:

- Team skills
- Initiative
- Communication skills
- Sociocultural competence
- Efficient, partner- and client-focused working methods
- Interdisciplinary thinking

Short-term expert pool with minimum 1, maximum 2 members

Tasks of the short-term expert pool

- Editing and layout of the different outputs

Qualifications of the short-term expert pool

- Education/training (2.6.1): 1 expert with Masters in English/Hindi/Communication,
- Language (2.6.2): experts with very good language skills in English and Hindi,

- General professional experience (2.6.3): 1 expert with at least 5-10 years of experience in the documentation/content editing with at least 10 years of professional experience in the translation from English to Hindi
- Specific professional experience (2.6.4): 1 expert with at least 10 years of experience in graphic designing
- Regional experience (2.6.5): 5 years in India
- Development Cooperation (DC) experience (2.6.6): 2 years

The bidder must provide a clear overview of all proposed short-term experts and their individual qualifications.

Required Qualification / experience for the consulting agency

The Agency should have the following administrative and financial requirements for conducting the assignment:

- Average annual turnover for the last three financial years should be at least 85,000 Euros.
- Number of employees as at 31.12.2019 should be at least 10 persons.
- Agency must have handled at least 2 projects on development of State Climate Change/Disaster Management Plans / research/ studies and need assessment/vulnerability & risk assessment with a focus on climate change action.
- Agency must have worked on at least 2 reference projects with a minimum commission value of 40,000 Euros.
- Have legal status enabling the organization to perform the above-mentioned tasks.
- Ensure full data protection for all processes and procedures before, during and after data collection according to Indian legislation and the EU GDPR.

The agency should have the following experiences for conducting the assignment:

- Minimum 10 years of experience and technical expertise in the field of climate change adaptation development plans and policies.
- 5 years' experience in collaboration with government agencies, local government bodies on environment and climate change, especially in Northern India will be a plus.
- Excellent understanding and experience of the National and State's priorities and policies related to climate change.
- 5 years' experience in capacity development work for climate change adaptation
- Minimum 5 years of experience in the field of climate projections and vulnerability assessment, climate proofing in priority sectors like agriculture and water, monitoring and evaluation and capacity building.
- Prior experience of preparing State Action Plan on Climate Change or similar documents will be an added advantage.
- Experience in working with Development Cooperation Projects.

5. Costing requirements

Assignment of personnel

Team leader: On-site assignment for 31 expert days

Climate Change Governance and Vulnerability & Risk Mapping Expert: Assignment in country of assignment for 44 (22 each) expert days

Capacity development and NRM expert: Assignment in country of assignment for 30 (15 each) expert days

Short-term expert pool (Documentation, editing etc): total 15 expert days

Travel

The bidder is required to calculate the travel by the specified experts and the experts it has proposed based on the places of performance stipulated in Chapter 1 and list the expenses separately by daily allowance, accommodation expenses, flight costs and other travel expenses.

6. Requirements on the format of the bid

The structure of the bid must correspond to the structure of the ToRs. In particular, the detailed structure of the concept (Chapter 3) is to be organised in accordance with the positively weighted criteria in the assessment grid (not with zero). It must be legible (font size 11 or larger) and clearly formulated. The bid is drawn up in English (language).

The complete bid shall not exceed 10 pages (excluding CVs).

The CVs of the personnel proposed in accordance with Chapter 0 of the ToRs must be submitted using the format specified in the terms and conditions for application. The CVs shall not exceed 4 pages. The CVs must clearly show the position and job the proposed person held in the reference project and for how long. The CVs can also be submitted in English (language).