

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

Engagement of Technical Agency for Climate and Disaster Risk Resilient  
Gram Panchayat Development Planning

**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
CCA	Climate Change Adaptation
DoE	Directorate of Environment
DoPR	Directorate of Panchayati Raj
DRR	Disaster Risk Reduction
GPDP	Gram Panchayat Development Planning
PRIs	Panchayati Raj Institutions
ToRs	Terms of reference

## 1. Context

Directorate of Environment UP (DoE) and German Development Cooperation (GIZ) has been partnering in implementing Indo-German Technical Cooperation project- Climate Change Adaptation and Finance in Rural India (CAFRI). One of the important thematic focus areas of the project is strengthen capacities for integrating climate and disaster risk in to sectoral/ development planning process with focus on holistic Gram Panchayat Development Planning (GPDP) jointly with Directorate of Panchayati Raj.

In this regard, a scoping assessment study for UP has been conducted for identification of vulnerable groups, sectors etc. and based on this document, the process of developing capacity building package cum tool kit for the target group and associated stakeholders with the aim of mainstreaming Climate Change Adaptation (CCA) into local planning has been initiated under the CAFRI Project. The module and knowledge products developed under CB package cum tool kit will also be used for integrating climate & disaster risk into holistic Gram Panchayat Development Planning.

Gram Panchayats have been mandated for the preparation of Gram Panchayat Development Plan (GPDP) and have a significant role to play in the effective and efficient implementation of flagship schemes/ programmes for overall rural development. Accordingly, the GPDP planning process must be comprehensive, participatory and involves full convergence.

Given the increasing climate and disaster risks, it is critical to have a good understanding of the hazards, vulnerability and risk at the Gram Panchayat level to take measures for integrating climate change adaptation (CCA) and disaster risk reduction (DRR) measures in the Gram Panchayat Development Plan (GPDP). The State has prepared State Disaster Management Plan covering hazard, risk, vulnerability from disaster perspective and prepared action plan covering prominent hazards affecting the State. At the same time State is also revising its State Action Plan on climate change covering climate vulnerabilities and risks along with identification of priority action areas.

The integration CCA and DRR in Gram Panchayat Development Plan should ideally be a combination of structural and non-structural measures and should consider the hazard and vulnerability. Big investment long term projects need to consider projected climate change scenarios as well in addition to the hazard vulnerabilities. The centrally sponsored national flagship programs have explicitly spelt out activities to address hazard vulnerabilities and climate change impact thus considering the integration of CCA and DRR components in these development schemes.

This assignment will primarily focus towards following key objectives:

1. Developing strategy for integrating CCA and DRR into local planning process through GPDP
2. Developing a framework/ guidance.
3. Pilot application of framework in 6 Panchayats.

## 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 monitoring 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 service:

### Task I: Strategy Development:

- Develop an inception report with methodology and approach with timeline for complete assignment. It should cover the following:
  - Desk-based situational analysis and meetings with officials from Directorate of Panchayati Raj & State Institute of Rural Development, UP and GIZ to understand the requirements and scope of the assignment.
  - Review of the structure & process of existing Gram Panchayat Development Planning.
  - Review of the current GoI guidelines on GPDP and assess the aspects where CCA & DRR dimensions are to be integrated.
  - Mapping of existing sectors/programmes and institutional mechanisms (formal, informal) that will be helpful in strengthening GPDP for disaster and climate risk resilience.

Strategy development for climate and disaster risk informed Gram Panchayat Development Planning (with due consideration of gender, local geo-climate conditions, local knowledge etc.) that allows integration of CCA & DRR for inclusive planning and includes:

- Identification of process for CCA & DRR integration in GPDP including village level participatory assessments for needs, and approaches to be adopted for approval/resource allocation.

- Develop a disaster and climate risk inclusive format, checklist & indicators for monitoring & evaluation (Development mechanism for monitoring & evaluation of integration of CCA & DRR at GPDP level) framework for GPDP, aligning with existing Government of India guidelines (2018) and other guidelines issued by National & State Government. All the documents to be prepared in English & Hindi.
- Develop Standard Operating Procedures [SOPs] at Gram Panchayat level for integration of CCA & DRR into GPDP and clearly outlining roles and responsibilities of all stakeholders. SOPs to be prepared in English & Hindi.
- Prepare checklists and guidance notes (In Hindi & English) that will inform the authorities on how to review and revise the GPDP.
- Sector/Subject specific preparedness, mitigation, & climate change adaptation strategies. Document to be prepared in English & Hindi.  
***Here, the selected technical agency will take & work on 29 subjects/sectors (at GPDP level) listed in the Eleventh Schedule of the Constitution.***
- **Identifying scope of integrating relevant schemes and programmes contributing to resilience building:**
  - An action plan matrix and interventions will be suggested/prepared (Hindi & English) for the hazard, vulnerability, and projected climate change impact in selected Gram Panchayats. The action plan matrix will provide details of development schemes (Centrally/State sponsored schemes) that can integrate intervention (fund source), ownership of that intervention activity including overlap/secondary ownership, the anticipated duration for the implementation and an explanatory note.
  - Development of a Gram Panchayat Level Action Plan (Hindi & English) with potential of ongoing development schemes and programmes that can help in Integration of DRR & CCA in selected GPs (Centrally Sponsored/State sponsored schemes) and action plan will also suggest about the possible CCA & DRR measures to make Gram Panchayats climate and disaster resilient. The selection of the schemes will be done in consultation with Directorate of Panchayati Raj.

## **Task II: Training & Capacity Building:**

- Develop a training guidebook on development of climate and disaster risk informed Gram Panchayat Development Plan (GPDP). The guidebook shall include:
  - The process (methodology, structure etc) of GPDP preparation and integration of CCA & DRR.
  - Roles & Responsibilities of stakeholders/departments & specially focusing vulnerable communities in GPDP.
  - Kindly note that guidebook will be developed in English & Hindi language.
- Provide technical support (ToT delivery, facilitation, course schedule preparation, conduct trainings) for organizing 04 Training of Trainers (ToTs) Program (04 days each) based on above training guidebook for newly elected representatives at GP level, faculty/officials of Directorate of Panchayati Raj, State Institute of Rural Development, Regional Institute of Rural Development, District Institute of Rural Development, Panchayati Raj Institute of Training (PRIT) and State & District level Resource Persons.  
*In consultation with Directorate of Panchayati Raj/State Institute of Rural Development, GIZ to decide about the list of participants, boarding & lodging, venue & logistics for the ToTs.*

- Conceptualize and develop short animated film of 15 minutes that would serve as an outreach tool to sensitize Government Officials, Panchayati Raj Institutions and Non-government agencies to understand the step wise process & guidelines for CCA & DRR inclusive GPDP. Kindly note that animated film will be developed in English & Hindi language. Under this component, following would be required:
  - Development of scripts (English & Hindi) in consultation with the Directorate of Panchayati Raj & GIZ India.
  - Develop rough-cut including animation/ graphics/images
  - Provide music
  - Insert Voice over, if required
  - Finalize A/V for distribution

### **Task III: Field level Demonstration (Development of Model GPDP)**

- Demonstration of CCA & DRR integrated GPDP framework in 02 Gram Panchayats each (Total 06 Model GPDPs) of Bundelkhand, Tarai & Vindhya region: Under this task, selected technical agency with the support of GIZ & Directorate of Panchayati Raj/State Institute of Rural Development/ Elected Panchayat level representatives to prepare the risk informed & CCA & DRR integrated GPDPs.

**Note: In the mentioned tasks, (I to III) consultations, workshops, and meeting with Government Officials, elected representatives, communities to be organized. The numbers of the workshops, consultations and meetings will be finalized and organized (as per requirement & need) in consultation with Directorate of Panchayati Raj/SIRD & GIZ India. All the documents will be prepared in English & Hindi.**

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

<b>Milestone</b>	<b>Deadline</b>
Inception Report	17 May 2021
Strategy development for Risk informed and CCA & DRR integrated Gram Panchayat Development Planning	20 May 2021
Preparation of disaster risk and climate risk inclusive format, indicators for monitoring & evaluation and framework for GPDP	04 June 2021
Standard Operating Procedures for integration of CCA & DRR into GPDP and clearly outlining roles and responsibilities of all stakeholders.	09 July 2021
Preparation of checklists and guidance notes to review and revise the GPDP	09 July 2021
An action plan matrix and interventions for the hazard, vulnerability, and projected climate change impact in selected Gram Panchayats	16 August 2021

Identifying scope of integrating relevant schemes and programmes contributing to resilience building: Development of a Gram Panchayat Level Action Plan for Integration of CCA & DRR into the ongoing development schemes/plans in selected GPs	16 August 2021
Training guidebook on Risk informed & CCA & DRR integrated Gram Panchayat Development Planning (GPDP) in English & Hindi.	30 July 2021
Conceptualize and develop short animated film of 15 minutes to sensitize Government Officials, Panchayati Raj Institutions and Non-government agencies to understand the step wise process & guidelines for Risk informed and CCA & DRR inclusive GPDP.	16 August 2021
Sector/Subject (29 subjects mentioned in GPDP) specific preparedness, mitigation, & climate change adaptation strategies.	15 September 2021
Training of Trainer (ToT) Programs (04 Programs of 04 day each)	30 November 2021
Field level Demonstration (Preparation of 06 risk informed and CCA & DRR integrated GPDP)	30 November 2021
Translation of the documents in Hindi (Module, SOPs, Indicators for Monitoring & Evaluation, Checklists, Action Plan, Guidance note, Matrix, Formats, Scripts etc)	30 November 2021

**Period of assignment:** 10 May 2021 to 30 November 2021

**Location:** Lucknow, UP

### 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
- Ensure full data protection for all processes and procedures before, during and after data collection according to Indian legislation and the EU GDPR.

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.

The bidder is required to describe its backstopping concept. The following services are part of the standard backstopping package, which (like ancillary personnel costs) must be factored into the fee schedules of the staff listed in the bid in accordance with section 10.2 of the AVB:

- Service-delivery control
- Managing adaptations to changing conditions
- Ensuring the flow of information between GIZ and field staff
- Contractor's responsibility for seconded personnel
- Process-oriented technical-conceptual steering of the consultancy inputs
- Securing the administrative conclusion of the project
- Ensuring compliance with reporting requirements
- Providing specialist support for the on-site team by staff at company headquarters
- Sharing the lessons learned by the contractor and leveraging the value of lessons learned on site

## **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 0), 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 (2.1)**

### 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, identifying the need for short-term assignments within the available budget, as well as planning and steering assignments and supporting other experts of the team.
- Regular reporting in accordance with deadlines
- 

### Qualifications of the team leader

- Education/training (2.1.1): PhD or Post Graduate Degree in Environmental Sciences/Economics/Natural Resource Management/Climate Change / Governance
- Language (2.1.2): Good business language skills in Hindi and English
- General professional experience (2.1.3): 15 years of professional experience in the climate change and rural development sectors, working with rural communities and local government institutions
- Specific professional experience (2.1.4): 6 years in capacity development, trainings, local planning for rural development sector with emphasis on climate change, disaster management and 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): 10 years in Northern India experience of working in Uttar Pradesh will be an added advantage
- Development Cooperation (DC) experience (2.1.7): 5 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 Adaptation & Disaster Risk Reduction (2.2)**

### Qualifications

- Qualifications (2.2.1): Post Graduate Degree/Master's in Environment Science/Natural Resource Management/Disaster Risk Reduction/Climate Change
- Language (2.2.2): Good language skills in English and Hindi
- General professional experience (2.2.3): 10 years of experience in working on climate change adaptation/disaster risk reduction and environment sector with government departments/Multilateral & Bilateral agencies/Universities/Research Institutions
- Specific professional experience (2.2.4): 4 years of experience of working on village & Gram Panchayat level planning on natural resources, disaster risk reduction, climate change at local level, working with community groups and village councils
- Leadership/management experience (2.2.5): 2 years of management experience

- Regional experience (2.2.6): 4 years of experience in Uttar Pradesh or Northern India
- Development Cooperation (DC) experience (2.2.7): 2 years of experience in DC projects
- Other (2.2.8): Proven experience of training and capacity building activities on Climate Change Adaptation

#### 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: Governance Expert (2.3)**

#### Qualifications

- Education/training (2.3.1): Masters/Postgraduate in Rural Development/Governance/Social Sciences
- Language (2.3.2): English and Hindi
- General professional experience (2.3.3): 10 years of experience in working on Decentralized Planning on Social sector, Rural Development/Climate Change/Governance with government departments/officers at state, district, and village level.
- Specific professional experience (2.3.4): 4 years of experience on local governance planning at district/state level.
- Leadership/management experience (2.3.5): 2 years of management experience
- Regional experience (2.3.6): 4 year of experience in Uttar Pradesh/Northern region of India
- Development Cooperation (DC) experience (2.3.7): 2 years of experience in DC Projects.
- Other (2.3.8): Proven experience of local governance planning on Disaster Management and climate change, knowledge of government schemes and 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: Social Development (2.4)**

#### Qualifications

- Qualifications (2.4.1): Master in Rural Development/Rural Management/Political Science/Social Work

- Language (2.4.2): Good language skills in English and Hindi
- General professional experience (2.4.3): 10 years of experience in working on Social/ rural development sector with government departments/officers at state, district and village level
- Specific professional experience (2.4.4): 4 years of experience on rural development/social development, governance issues at local level, working with community groups (with focus on designing gender responsive measures) and Panchayati Raj Institutions
- Leadership/management experience (2.4.5): 2 years of management experience
- Regional experience (2.4.6): 2 years in Uttar Pradesh/Northern region of India
- Development Cooperation (DC) experience (2.4.7): 2 years of experience in DC projects.
- Other (2.4.8): Proven experience of training and capacity building activities at Gram Panchayat /Village level

#### 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: Capacity Development (2.5)**

#### Qualifications

- Education/training (2.5.1): Master's in education/Disaster Management /Rural Development/Management/ Mass Communication
- Language (2.5.2): Good language skills in English and Hindi
- General professional experience (2.5.3): 10 years of experience in working on capacity development, organisational development, and institutional development in the rural areas of India/government agencies
- Specific professional experience (2.5.4): 4 years of experience of working on trainings content development in climate change/environment sector and designing and delivering gender responsive training modules
- Leadership/management experience (2.5.5): 2 years of management experience
- Regional experience (2.5.6): 2 years in Uttar Pradesh/Northern region of India
- Development Cooperation (DC) experience (2.5.7): 2 years of experience in DC projects
- Other (2.5.8): Proven experience of training and capacity building activities with government agencies and community groups.

#### 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
- Required Qualification/experience for the consulting agency

### **Eligibility Criteria**

The agency must have the following administrative and financial requirements for conducting the assignment

- Be a registered as national organization or entity
- Average annual turnover for the last three financial years should be at least 60,000 Euros
- The agency should have minimum 10 employees as of the previous year
- Agency must have handled at least 2 projects on development of Climate Change/Disaster Management Plans /Gram Panchayat Development Planning/Mainstreaming of DRR & CCA into Development Planning/ research/ studies and need assessment/vulnerability & risk assessment with a focus on disaster management & climate change action in India in the last three years with minimum commission value of Euro 30,000.
- Minimum 15 Years of technical expertise in the field of Disaster Risk Reduction/Climate Change Adaptation related projects through the support of National/Regional, Bilateral-Multilateral agencies.
- Minimum 10 years of Experience in capacity development work for disaster risk reduction & climate change adaptation planning at local/district /State level/National level.
- Minimum 05 years of experience in the field of disaster & climate proofing in priority sectors like agriculture, water, infrastructure, health, water & sanitation etc.
- Minimum 10 years' experience in collaboration with government agencies, local government bodies on disaster management, environment, and climate change, especially in Northern India will be a plus.
- The agency should have regional experience i.e India
- The agency should have experience of development projects (ODA Financed)

### **Costing requirements**

#### **Assignment of personnel**

- ✓ Team Leader: On-site assignment for 20 Person days
- ✓ Climate Change Adaptation & Disaster Risk Reduction Expert: On Site assignment for 35 person days
- ✓ Governance Expert: On Site assignment for 40 Person days
- ✓ Social Development Expert: On site assignment for 35 person days
- ✓ Capacity Development: On site assignment for 40 person days

#### **Travel**

The bidder is required to calculate the travel (for at least 45 trips) 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.

Name	Number of trips (flight/road/train)  (indicative trips expert wise with minimum of 45 trips)
Team leader	07
Expert 1	09
Expert 2	10
Expert 3	09
Expert 4	10

### Other Costs

The bidder is required to incorporate the costs for the below in the financial proposal:

- Development of Animated Video (In English & Hindi)
- 04 Training of Trainers (ToT) Programs of 04 days each (technical support to conduct trainings i.e. Arrangement of Resource persons, Facilitation, Coordination and Quality control etc)
- Translation of the documents

### 5. 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 30 pages (excluding CV and other supporting company documents).

The CVs of the personnel proposed in accordance with Chapter 0 of the ToR. 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).

Please calculate your price bid based exactly on the aforementioned costing requirements. In the contract the contractor has no claim to fully exhaust the days/travel/workshops/ budgets. The number of days/travel/workshops and the budget amount shall be agreed in the contract as 'up to' amounts. The specifications for pricing are defined in the price schedule.