Section 1

General Invitation to participate in RFP

1. Government of Uttarakhand through Government of India (herein after called the borrower) has received a loan from Japan International Cooperation Agency (JICA) toward the cost of Uttarakhand Forest Resource Management Project (UFRMP) [hereinafter called the Project].

2. Project Management Unit (PMU) of UFRMP intends to engage services of field NGOs (FNGOs) of repute, having adequate experience in Van Panchayats/community forestry/watershed/livelihood/NTFP/Non NTFP enterprise product development and their marketing, micro-planning, community mobilization, SHGs, management of community-based income generation activities such as homestead livestock, horticulture, handicrafts, marketing of local products, establishing village level institutions and their capacity building, development of micro enterprises in clusters etc. The FNGOs would be expected to provide Field Coordinators, Subject Matter Specialists, marketing support staff etc. at the level of DMU(s)/FMUs/VPs allotted to the NGO. The **contract period of the finally selected FNGOs will initially be 3 months. The Contract may be renewed thereafter, subject to assessment of their performance on an annual basis.**

3. Project Management Unit (PMU), UFRMP (hereinafter called as Client) now solicits proposals from Field NGOs (FNGOs), for providing assistance to Van Panchayats in Tehri Dam-I, Forest division, New-Tehri and Alaknanda Soil Conservation Forest Division Gopeshwar for carrying out micro-planning, Self Help Group (SHG) formation, management of Income Generating activities etcetera. More Details on the services to be performed by FNGOs are provided in the Terms of Reference (ToR).

4. Eligible Non-Government Organizations (NGOs), Trusts, Section 8 companies are requested to submit their proposals in the formats prescribed herewith in this Request for Proposal (RFP). Proposals other than prescribed formats will not be evaluated.

5. Joint-venture/Consortium proposals are not acceptable.
6. The selection shall be on the basis of Quality and Cost Based Selection (QCBS, 80:20) and as per procedures described in this RFP.

7. The request for Proposal (RFP) includes the following documents:

Section 1- General Information
Section 2- Instruction to NGOs
Section 3- Technical Proposal (Standard Forms)
Section 4- Financial Proposal (Standard Forms)
Section 5- Terms of Reference (ToR)

8. The eligible NGOs/Trusts/Section 8 Companies, willing to participate in this bidding process, should submit their proposals at the designated address, mentioned below:

Address:
Chief Project Director
Uttarakhand Forest Resource Management Project (JICA Project)
24, I.T. Park, Sahasradhara Road, Dehradun
PIN: 248001
Phone: 0135- 2740605
E-mail: cpdufrmp@gmail.com

10. Details on the proposal’s submission date, time and address are provided in the data sheet.

Anup Malik
CPD, UFRMP
Section 2

Instructions to NGOs/Trusts/Section 8 Companies

1. Definitions

a) “Borrower” means the Government and includes the Executing Agency or the Implementing Agency.

b) “Client” means the agency with which the selected NGO signs the Contract for providing services.

c) “NGO” for the purposes of this RFP means a non-governmental organization including NGOs/Trusts/Section 8 companies that may provide the Services to the Client under the Contract.

d) “Contract” means the contract signed by the Parties and all the attached documents listed in its Clause, the General Conditions (GC), the Special Conditions (SC) through which the GC may be amended or supplemented, and the Appendices.

e) “Data Sheet” means such part of the Instructions to NGOs, which provides specific assignment conditions.

f) “Day” means calendar day.

g) “Experts” mean, collectively, Experts/Specialists, or any other professional personnel of the NGO, whose skill, qualifications, knowledge and experience are critical to the performance of the Services under the Contract and whose Curricula Vitae (CV) is considered for the purposes of technical evaluation of the NGO’s Proposal.

h) “Government” means the government of the Client’s country.

i) “IGA” means Income Generating Activities under the livelihood development component.

j) “ITN” (this Section 2 of the RFP) means the “Instructions to NGOs”, which provide the NGOs/Trusts/Section 8
Companies with all the relevant information required to prepare and submit Request for Proposal (RFP).

**k)** “JICA” means Japan International Cooperation Agency.

**l)** (Section 1 of the RFP) is general invitation to participate in the bidding process through the RFP.

**m)** “ODA” means Official Development Assistance.

**n)** “Project Management Unit (PMU)”, “Divisional Management Unit (DMU)” and the “Field Management Unit (FMU)” would mean units as defined in the Terms of Reference.

**o)** “Proposal” means a technical or a financial proposal, or both.

**p)** “QCBS” means Quality- and Cost-Based Selection in the ratio of 80:20 (Quality 80 percent and Cost 20 percent)

**q)** “RFP” means this Request for Proposal prepared by the Client for the selection of NGOs.

**r)** “Services” means works to be performed by the NGO pursuant to the signing of the contract.

**s)** “TOR” (Section 5 of the RFP) means the Terms of Reference that explains the objective, scope of work, activities, tasks to be performed, respective responsibilities of the Client and the NGO, and expected outputs and deliverables of the contract assignment.

**t)** Van Panchayats (VPs) means community-based forest institutions as defined in Uttarakhand Forest Panchayat Rules 2005 and subsequent amendments.

2. Introduction

2.1 The Borrower has received an ODA Loan from JICA toward the cost for implementing Uttarakhand Forest Resource Management Project. The Borrower intends to apply a portion of the proceeds of the loan to eligible
payments under the Contract for which this RFP is issued. Disbursement of an ODA Loan by JICA will be subject, in all respects, to the terms and conditions of the Loan Agreement, including the disbursement procedures and the Applicable Guidelines. No party other than the Borrower shall derive any rights from the Loan Agreement or have any claim to loan proceeds. The above Loan Agreement will cover only a part of the Project cost. As for the remaining portion, the Borrower will take appropriate measures for finance.

2.2 The Client will select Field NGOs on the basis of their proposal, in accordance with QCBS method of selection as specified in the Data Sheet.

2.3 The NGOs are invited to submit a Technical Proposal and a Financial Proposal, collectively called the Proposal, for providing services required for the assignment named in the Data Sheet. Final selection of the NGOs will be done on the basis of this proposal, to be submitted by them. The proposal will be the basis for contract negotiations and ultimately for a signed Contract with the selected NGOs. Project is being implemented in identified forest divisions. List of target areas is being provided in the ToR Section. NGOs should give one Technical Proposal and division-wise rates in their financial proposals.

2.4 The NGOs should familiarize itself with the local conditions, relevant to the desired services, and take them into account while preparing their proposals. For this purpose, the NGOs may attend the pre-proposal conference, as specified in the Data Sheet. Attending the pre-proposal conference is optional and is at the NGOs expense.

2.5 The Client will timely provide, at no cost to the NGOs, the inputs, relevant project information and data, which are required for the preparation of the NGO's proposal as specified in the Data Sheet.

3. Conflict of Interest
   a. Impartiality

3.1 The NGO is required to provide professional, objective, and impartial services, at all times holding the Client’s interest paramount, strictly avoiding conflicts with its other
assignments or its own interests, and acting without any consideration for future work.

b. Conflict of Interest

3.2 The NGOs have an obligation to disclose to the Client any situation of actual or potential conflict that impacts its capacity to serve the best interest of its Client. Failure to disclose such situations may lead to the disqualification of the NGO or the termination of its Contract at a later stage.

Conflicting Assignments

(a) Conflict among assignments: Neither a NGO nor any or its affiliates shall be hired for any assignment that, by its nature, may be in conflict with another assignment of the selected NGO.

One Bid per Bidder

(b) Based on the “One Bid per Bidder” principle, which is to ensure fair competition, an NGO will not be allowed to submit more than one proposal, either individually as an NGO or as a member of a consortium.

Others

(c) Any other form of conflict of interest other than (a) and (b) of this clause, as stated above.

4. Corrupt and Fraudulent Practices

4.1 It is JICA’s policy to require that the NGO observe the highest standard of ethics during the procurement and execution of such contracts. In pursuance of this policy, PMU

(a) will reject the result of evaluation of proposals if it determines that the NGO evaluated as the highest-ranked, has engaged in corrupt or fraudulent practices in competing for the contract in question.

(b) will recognize an NGO as ineligible, for period determined by PMU, to be awarded a contract, funded with Japanese ODA loans, if it at any time determines
that the NGO has engaged in corrupt or fraudulent practices in competing for, or in executing, another contract funded with Japanese ODA.

B. Preparation of Proposals

5. Preparation of Proposals

5.1 In preparing their Proposal, the NGOs are expected to examine in detail the documents comprising the RFP. NGOs, whose proposals are not as per the requirements of the RFP documents and also are materially deficient, may not be evaluated at all and may result in the rejection of the Proposal.

5.2 The NGOs shall bear all costs associated with the preparation and submission of its Proposal and contract negotiation. The Client is not bound to accept any proposal, and reserves the right to annul the selection process at any time prior to the Contract award, without thereby incurring any liability to the NGO.

5.3 The Proposal and all related correspondence to be exchanged between the Client and the NGO shall be in the language specified in the Data Sheet.

6. Proposal Validity

6.1 The Data Sheet indicates how long NGOs Proposals must remain valid after the submission deadline date.

6.2 During this period, NGO shall maintain its original proposal without any change, including the availability of experts, the proposed rates and the total price.

a. Extension of Validity Period

6.3 The Client will make its best effort to complete negotiations within this period. Should the need arise, however, the Client may request the NGO in writing to extend the validity period of their proposals. NGO who agrees to such
extension shall confirm that it maintains the availability of the Key Experts named in the Proposal.

6.4 NGO, which does not agree, have the right to refuse to extend the validity of its proposals in which case their Proposals will not be further evaluated.

b. Substitution of Key Experts

6.5 If any of the Experts become unavailable for the extended validity period, the NGO shall provide a written adequate justification and evidence satisfactory to the Client together with the substitution request. In such case, a replacement Key Expert shall have equal or better qualifications and experience than those of the original proposed Key Expert. The technical evaluation score, however, will remain to be based on the evaluation of the CV of the original Key Expert.

6.6 If the NGO fails to provide a replacement Expert with equal or better qualifications, or if, the provided reasons for the replacement and justification thereof are unacceptable to the Client, such Proposal will be rejected.

c. Sub-Contracting

6.7 The NGO shall not subcontract the whole or part of the Services.

7. Clarification and Amendments of RFP

a. Clarification of RFP

7.1 NGO may request a clarification of any of the RFP documents up to the number of days indicated in the Data Sheet before the proposal submission deadline date. Any request for clarification must be sent in writing, or by standard electronic means to the Client’s address indicated in the Data Sheet. The Client will respond in writing, or by standard electronic means and will send written copies of the response. Should the Client deem it necessary to amend
the RFP as a result of a clarification, it shall do so following the procedure under ITN 7.2.

b. Amendment of RFP

7.2 The Client may amend the RFP by issuing an addendum in writing or by standard electronic means, sufficiently before the last date of submission of Proposals. The addendum shall be displayed on the website of the PMU and will be binding on all NGOs participating in the bidding process. For the NGO to carry out an amendment in their Proposals as per the addendum, the Client may, if the amendment is substantial, extend the deadline for the submission of the Proposals to give the NGOs a reasonable time for submission of their Proposal.

7.3 The NGO may submit a modified Proposal or a modification to any part of it at any time prior to the proposal submission deadline. No modifications to the Technical Proposal or Financial Proposal shall be accepted after the deadline.

8. Technical Proposal Format and Content

8.1 The Technical Proposal shall provide the information indicated in the following paragraphs from (i) to (vii) using the attached Standard Forms (Section 3). The following table summarizes the content and recommended number of pages. A page is considered to be one printed side of A4 or letter size paper.

Voluminous Technical Proposals, substantially exceeding the number of pages indicated below, for each item, may not be evaluated.

| Experience of the NGO | a) About 2 (two) pages introducing the NGO’s organization and general experience (Form TECH-2A)  
b) About 20 (twenty) pages of relevant completed projects illustrating the NGO’s relevant |
<table>
<thead>
<tr>
<th>General approach and methodology, work plan</th>
<th>experience (Form TECH-2) No promotional material should be included.</th>
</tr>
</thead>
<tbody>
<tr>
<td>List of proposed Experts team and summary of CV particulars</td>
<td>About 20 (twenty) pages inclusive of charts and diagrams (Form TECH-3)</td>
</tr>
<tr>
<td>Expert’s CV</td>
<td>(Form TECH-4)</td>
</tr>
<tr>
<td>Management strategy for Market Expert and FLCs</td>
<td>About 3 (three) pages for each experts CV (Form TECH-5)</td>
</tr>
<tr>
<td>Experience of the FNGO in working with Van Panchayats</td>
<td>2 (Two) pages detailing the strategy Form TECH-6</td>
</tr>
<tr>
<td></td>
<td>2 (Two) pages Form TECH-7</td>
</tr>
</tbody>
</table>

i. A brief description of the NGO’s organization and an outline of recent experience of the NGO including the Consortium partners on assignments of a similar nature are required in Form TECH-2. For each assignment, the outline should indicate the names of partner NGO(s), which participated, duration of the assignment, contract amount, and its involvement. Information should be provided only for those assignments for which the NGO was legally contracted individually as an entity or, as a lead partner or one of the members within a Joint Venture or Consortium. Assignments completed by individual Experts, working privately or through other organizations, cannot be claimed as the experience of the NGO, or that of the Joint Venture members, but can be claimed by the Experts themselves in their CVs. NGOs should be prepared to substantiate the claimed experience if so requested by the Client.

ii. A description of the approach, methodology and work plan for performing the assignment covering the following subjects: technical approach and methodology, staffing for training, work plan, and organization and
Expert schedule. Instructions on preparation of the content of this section of the Technical Proposals are provided under Form TECH-3.

iii. The list of the proposed team by area of expertise, the position that would be assigned to each team member, their tasks and a summary of essential CV information (Form TECH-4).

iv. CVs of the key experts signed by the Experts themselves must be submitted (Form TECH-5).

v. Management strategy for Market Expert and Field Level Coordinators (Form TECH-6)

vi. Experience of the NGO of Working with Van Panchayats (TECH-7)

8.2 The Technical Proposal shall not include any financial information. A Technical Proposal containing financial details will be declared non-responsive and liable to be disqualified.

9. Financial Proposal Format and Content

9.1

i. The Financial Proposal shall be prepared using the Standard Forms provided in Section 4 of the RFP. It shall list all costs associated with the assignment, including (a) remuneration for Experts. FNGOs to submit financial proposals for both the DMUs.

ii. The Financial Proposal requires completion of the following forms FIN-1 to FIN-4 as shown in section 4.

a) Form FIN-1 is the Financial Proposal Submission Form.

b) Form FIN-2 summarizes the proposed cost(s). It shall list all costs associated with the assignment, including remuneration for Experts and reimbursable expenses. Total amounts of remuneration and reimbursable expenses in Form FIN-2 shall be consistent with those
amounts in Forms FIN-3 and FIN-4.

c) Form FIN-3 shows the remuneration for experts.

d) Form FIN-4 shows details of reimbursable expenses.

e) All activities and items described in the Technical Proposal must be priced. For non-remuneration (e.g. reimbursable expenses) related omissions, any activities or items described in the Technical Proposal but not priced, shall be assumed to be included in the prices of other activities or items provided for in the Financial Proposal.

f) Financial Proposals must be prepared and submitted for both DMUs together.

**C. Submission, Opening and Evaluation**

**10. Submissions, Receipt and Opening of Proposals**

10.1 The NGO shall submit a signed and complete Proposal comprising the documents and forms in accordance with ITN 10 and 11. The proposal in the **Prescribed Formats only** should be sent by registered post/courier service or can be submitted by hand, along with Demand Draft of Rs. 15,000 (Fifteen thousand) as processing fee (non-refundable), payable to Uttarakhand Forest Resource Management Society (UFRMS), payable at Dehradun. **The bidder is advised to submit the proposal only after the pre-bid conference, so that all the clarifications are taken note of.**

10.2 The original Proposal (Technical Proposal and Financial Proposal) shall contain no interlineations or overwriting, except as necessary to correct errors made by the NGOs themselves. The person who signed the proposal must initial such corrections. Submission letters for both Technical and Financial Proposals should be in the format of TECH-1 of Section 3 and FIN-1 of Section 4,
respectively, including required attachments, if any.

10.3 The Technical Proposal shall be marked “ORIGINAL” or “COPY” as is the case. Copies of the Technical Proposal shall be prepared in the number indicated in the Data Sheet. All required copies of the Technical Proposal are to be made from the original. If there are discrepancies between the original and the copies of the Technical Proposal, the original shall prevail.

10.4 An authorized representative of the NGO shall put his initials on all pages of Financial Proposal. The authorization shall be in the form of a written power of attorney accompanying the Proposal or in any other form demonstrating that the representative has been duly authorized to sign. The signed Financial Proposal shall be marked “ORIGINAL.”

10.5 The original and all copies of the Technical Proposal shall be placed in a sealed envelope clearly marked “TECHNICAL PROPOSAL.” Similarly, the original Financial Proposal shall be placed in a sealed envelope, clearly marked “FINANCIAL PROPOSAL” and the name of the assignment, and with a warning “DO NOT OPEN WITH THE TECHNICAL PROPOSAL.” The envelopes containing the Technical and Financial Proposals shall be placed into an outer envelope and sealed. This outer envelope shall bear the submission address, reference number and title of the Loan, and be clearly marked “DO NOT OPEN, EXCEPT IN PRESENCE OF THE OFFICIAL APPOINTED, BEFORE [insert the time and date of the submission deadline indicated in the Data Sheet]”. The Client shall not be responsible for misplacement, losing or premature opening if the outer envelope is not sealed and/or marked as stipulated. This circumstance may be cause for Proposal rejection. If the Financial Proposal is not submitted in a separate sealed envelope duly marked as indicated above, this will constitute grounds for declaring the Proposal non-responsive.
10.6 The Proposals must be sent to the address/addresses indicated in the Data Sheet and received by the Client no later than the time and the date indicated in the Data Sheet, or any extension to this date in accordance with ITN 7.2. Any proposal received by the Client after the deadline for submission shall be returned unopened.

11. Substitutions and Modifications

11.1 The NGO may substitute, or modify their Proposal after it has been submitted by sending a written notice, duly signed by an authorized representative. The corresponding substitution or modification of the Proposal must accompany the respective written notice. All notices must be:
(a) prepared and submitted in accordance with ITN 10.6 and in addition, the respective envelopes shall be marked “SUBSTITUTION,” “MODIFICATION,” and
(b) received by the Client prior to the deadline prescribed for submission of Proposal, in accordance with ITN 10.1

11.2 The Client shall open the Technical Proposal immediately after the deadline for their submission. The envelopes with the Financial Proposal shall remain sealed and securely stored.

12. Proposal Evaluation

12.1 Except for the written communications for clarification of the Proposals, from the time the Proposals are opened till the time the Contract is awarded, the NGOs should not contact the client on any matter related to its Technical and /or Financial Proposal. Any effort by the NGOs to influence the Client in the examination, evaluation, ranking of the Proposals, and recommendation for award of Contract, may result in the rejection of the NGOs’ Proposal.
The evaluators of Technical Proposals shall have no access to the Financial Proposals until the technical evaluation is concluded.

**a. Evaluation of Technical Proposal**

12.2 The evaluation committee shall evaluate the Technical Proposals on the basis of their responsiveness to the RFP in particular the Terms of Reference (ToR), applying the evaluation criteria, sub-criteria, and point system specified in the Data Sheet. Each responsive Proposal will be given a technical score (St). A Proposal shall be rejected at this stage if it does not respond to important aspects of the RFP, and particularly the Terms of Reference or if it fails to achieve the minimum technical score indicated in the Data Sheet.

12.3 After the technical evaluation is completed, the Client will notify those NGOs whose Proposals could not meet the minimum qualifying marks or were considered non-responsive with respect to the RFP, and return their Financial Proposals unopened.

**b. Public Opening of Financial Proposals**

12.4 The Client shall simultaneously notify in writing NGOs that have secured the minimum qualifying marks, informing them of the technical scores obtained by their Technical Proposals, and indicating the date, time and location for opening the Financial Proposals. The expected date for the public opening of the Financial Proposals is indicated in the Data Sheet; the opening date should allow NGOs a sufficient time to make arrangements for attending the opening. NGOs’ attendance at the opening of Financial Proposals is optional.
12.5 Financial Proposals shall be opened in the presence of the NGOs’ representatives, who chose to attend. The name of the NGOs, and the technical scores of the NGOs shall be read aloud. The Financial Proposals of the NGOs who met the minimum qualifying marks will then be inspected to confirm that they have remained sealed and unopened. These Financial Proposals shall be then opened, and the total prices read aloud and recorded.

c. Evaluation of Financial Proposals

12.6 The evaluation committee will review the detailed contents of each Financial Proposal and the congruency of the Technical and Financial Proposal. Financial Proposals will be reviewed to ensure that these are:

(i) complete (i.e. whether NGOs have priced all items of the corresponding Technical Proposal); if not, for material omissions, *the Client will price them by application of the highest unit cost and quantity of the omitted item as provided in the other Financial Proposals and add their cost to the offered price, and correct arithmetical errors if any.* When correcting computational errors, in case of discrepancy between (a) a partial amount and the total amount, the partial amount shall prevail; (b) words and figures, the words shall prevail. The evaluated total price (ETP) for each Financial Proposal will be determined.

12.7 The lowest evaluated Financial Proposal will receive the maximum score of 100 marks. The score for each other Financial Proposal is inversely proportional to its ETP and will be computed as follows:

\[ S_f = 100 \times \frac{F_m}{F} \]

where:
Sf is the financial score of the Financial Proposal being evaluated,

Fm is the ETP of the lowest priced Financial Proposal,

F is the ETP of the Financial Proposal under consideration.

12.8 Following completion of evaluation of Technical and Financial Proposals, final DMU wise ranking of the Proposals will be determined. This will be done by normally applying a weight as specified in the Data Sheet respectively to the technical and financial score of each evaluated qualifying Technical and Financial Proposal and then computing the relevant combined total score for each NGO. After such final ranking, the first-ranked NGOs will be invited for contract negotiations. This would be done for each DMU.

D. Negotiations and Award

13. Negotiations

13.1 The negotiations will be held at the date and address as indicated in the Data Sheet with the NGO’s representative(s) who must have written power of attorney to negotiate and sign a Contract on behalf of the NGO.

13.2 The Client shall prepare minutes of negotiations that are signed by the Client and the NGO’s authorized representative.

a. Availability of Experts

13.3 The invited NGO shall confirm the availability of all Experts included in the Proposal as a pre-requisite to the negotiations, or, if applicable, a replacement in accordance with ITN 6.5. Failure to confirm the Key Experts’ availability may result in the rejection
of the NGO’s Proposal and in that eventuality; the Client shall proceed with negotiation of the Contract with the next-ranked NGO.

13.4 Notwithstanding the above, the substitution of Experts at the negotiations may be considered if due to circumstances outside the reasonable control of and not foreseeable by the NGO, including but not limited to death or medical incapacity. In such a case, the NGO shall offer a substitute Expert to negotiate the Contract, who shall have equivalent or better qualifications and experience than the original candidate.

b. Technical Negotiations

13.5 The negotiations will include discussions of the Terms of Reference (ToR), the proposed methodology, the Client’s inputs, the special conditions of the Contract including finalization of the “Description of Services” part of the Contract. These discussions shall not substantially alter the original scope of services under the ToR or the terms of the Contract, lest the quality of the final product, its price, or the relevance of the initial evaluation be affected.

c. Financial Negotiations

13.6 The financial negotiations will include a clarification (if any) of the NGO’s tax liability.

13.7 The financial negotiations will, as necessary, fine-tune duration of the expert's inputs and quantities of items of reimbursable expenses that may be increased or decreased from the relevant amounts shown or agreed otherwise in the Financial Proposal but without significant alterations. The unit rate of expert remuneration and specific unit rates for reimbursable expenses will not be subject to negotiations.

14. Conclusion of the
Negotiations

14.1 Negotiations will conclude with a review of the draft Contract. To complete negotiations the Client and the NGO will initial the agreed Contract.

14.2 If negotiations fail, the Client may terminate the negotiations informing the NGO of the reasons for doing so. The Client will invite the NGO whose Proposal received the second highest score to negotiate a Contract. Once the Client commences negotiations with next-ranked NGO, the Client shall not reopen the earlier negotiations.

15. Award of Contract

15.1 After completing negotiations the Client shall award the Contract to the selected NGO and notify the other NGOs who have submitted proposals that they were unsuccessful.

15.2 The NGO is expected to commence the Services on the date and at the location specified in the Data Sheet.

15.3 NGOs who were not awarded the Contract may request a debriefing in writing or in a meeting from the executing agency after Contract award in respect of their Proposal.
## Instructions to NGOs

### Data Sheet

<table>
<thead>
<tr>
<th>Paragraph Reference</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1(g)</td>
<td>Experts include Subject Matter Specialists and Marketing Support Specialists at each DMU and Field Level Coordinators (FLCs) to be placed in the field, one for every 4 to 6 VPs and 8 to 12 SHGs.</td>
</tr>
</tbody>
</table>
| 2.2                 | Name of the Client: **PMU, Uttarakhand Forest Resource Management Project (UFRMP)**  
Method of selection: **Quality and Cost Based Selection (QCBS, 80:20)**  
**Financial Proposal to be submitted together with Technical Proposal:** Yes  
**Name of the assignment:** Selection of the FNGOs to assist the DMU/FMU/VPs/SHGs under UFRMP for implementing the Project.  
The FNGOs should give single proposal for both the DMUs (DMU-Tehri Dam-I and DMU-Alaknanda Soil Conservation) clearly indicating the rates in the financial proposal. The name of the DMUs should be clearly mentioned on the covering envelope containing the financial proposal and also the covering letter, to be submitted by FNGOs in the prescribed format. |
| 2.4                 | A pre-proposal conference will be held: Yes  
Pre-proposal Conference will be held on 26 September 2018  
Last date of submission of RFP is 17th October 2018  
The Client’s representative is: Mr Anup Malik, CPD, UFRMP  
Address: 24, I.T. Park, Dehradun  
Telephone: 0135-2608576  
Facsimile: 0135-2608576  
E-mail: cpdufrmp@gmail.com |
| 2.5                 | The Client will provide the following inputs and facilities to the Consultants to facilitate preparation of their proposals:  
- Will make available relevant Project information  
- NGO shall bear all the costs associated with the preparation and submission of the proposal. The Client is not bound to accept any proposal, and reserves the right to annul the selection process at any time, prior to the award of the contract, without incurring any liability to the NGO submitting this Proposal. |
| 3.2(b)              | NGOs submitting more than one proposal will make them liable for disqualification. |
| 5.3                 | Since it is an externally aided project and subject to review by the donor agency, therefore, Proposals must be submitted in English language. No other language shall be entertained. Submission of proposal or any part thereof, in any language other than English, shall make the proposal liable for rejection. |
| 6.1                 | Technical Proposals must remain valid for 90 days after the submission deadline date, i.e. until 215th January 2019  
Financial Proposals must remain valid until the expiration date of Technical Proposals. |
| 7.1                 | Clarifications may be requested not later the date of pre-bid conference mentioned in data sheet at 2.4 above.  
The address for requesting clarifications is:  
Anup Malik, Chief Project Director, Uttarakhand Forest Resource Management Project (JICA Project)  
24, IT Park, Sahasradhara Road, Dehradun, Uttarakhand, 248001  
Facsimile: 0135-2608576  
E-mail: cpdufrmp@gmail.com |
| 10.3                | Number of Copies of the Technical Proposal: One original and four true copies |
NGOs must submit the original and all copies of the Technical Proposal, and the original Financial Proposal to the Client to the following address:
Chief Project Director, Uttarakhand Forest Resource Management Project (JICA Project)
24, I.T.Park, Sahasradhara Road, Dehradun, Uttarakhand, 248001
Facsimile: 0135-2608576  E-mail: cpdufrmp@gmail.com

Proposals must be submitted on or before 12.2

Criteria, sub-criteria, and point system for the evaluation are:

<table>
<thead>
<tr>
<th>S. No.</th>
<th>Area of evaluation</th>
<th>Allocated score</th>
<th>Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>a.</td>
<td>Experience of the bidder</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Similar work experience in Mountain states with Govt</td>
<td>15</td>
<td>(3 score per state)</td>
</tr>
<tr>
<td></td>
<td>Similar work experience in the non-mountain (other states) with Govt.</td>
<td>10</td>
<td>(2 score per state)</td>
</tr>
<tr>
<td>b.</td>
<td>Human Resource Team Strength &amp; Composition</td>
<td>25</td>
<td>Evaluation will consider Experience, Educational qualifications, Relevant Knowledge/ Expertise in the Sector</td>
</tr>
<tr>
<td>c.</td>
<td>Approach, Methodology &amp; Action plan</td>
<td>20</td>
<td>Quality and appropriateness of the proposal</td>
</tr>
<tr>
<td>d.</td>
<td>Strength in Market linkages</td>
<td>10</td>
<td>MoU/ Agreement with the Buyer (Domestic and International) along with the proof of transaction (2 score per agreement)</td>
</tr>
<tr>
<td>f.</td>
<td>Clarity in concepts &amp; presentation to the Committee</td>
<td>10</td>
<td>NGOs will be required to make a presentation before the Evaluation Committee</td>
</tr>
<tr>
<td>g.</td>
<td>Quality of Proposal</td>
<td>10</td>
<td>Neatness and organization of the technical proposal</td>
</tr>
<tr>
<td></td>
<td>Technical Score (TS)</td>
<td>100</td>
<td></td>
</tr>
</tbody>
</table>

Total Points for all Criteria                         100
Minimum Technical Score required to qualify for financial bid is 75 points.

12.4 Expected date (month/year) for public opening of Financial Proposals (applicable for QCBS only)
October, 2018

12.8 Quality-Cost Ratio (applicable for QCBS only) is 80:20

15.1 Expected Month and address for contract negotiations: November 2018 at the Office of Chief Project Director, UFRMP, Dehradun, Uttarakhand.

15.2 Expected month for commencement of Services:
November 2018
Section 3: Technical Proposal
(Standard Forms)
Form TECH- 1: Technical Proposal Submission Form

[Location, Date]

To

Mr. Anup Malik
Chief Project Director
Uttarakhand Forest Resource Management Project (JICA Project)
24, I.T.Park, Dehradun, Uttarakhand.
PIN:248001

Dear Sir,

We, the undersigned, in accordance with your Request for Proposal, dated [Insert Date], offer to provide our proposal for providing the services for Uttarakhand Forest Resource Management Project (UFRMP). We hereby, submit our Proposal, which includes this Technical Proposal, and a Financial Proposal(s) sealed under a separate envelope.

We hereby declare that:

a) All the information and statements made in this Proposal are true and we accept that any misrepresentation contained in it may lead to our disqualification by the Client.

b) Our Proposal shall be valid and remain binding upon us for the period of time specified in the Data Sheet.

c) We have no conflict of interest in accordance with ITN 3.

d) We meet the eligibility requirements as stated in ToR at 5.6, and we confirm our understanding of our obligation to abide by JICA’s policy with regard to corrupt and fraudulent practices as per ITN 4.

We undertake to negotiate a Contract on the basis of the proposed Experts. We accept that the substitution of Key Experts, if at all, necessitated, shall be in accordance with ITN 6.5 & 6.6. Otherwise it may lead to the termination of the contract.

f) Our Proposal is binding upon us and subject to any modifications resulting from the Contract negotiations.

g) We are enclosing a Demand Draft of Rs. 15,000 (Fifteen thousands) as processing fee (non-refundable), payable to Uttarakhand Forest Resource Management Society (UFRMS), payable at Dehradun,

We understand you are not bound to accept any Proposal that you receive.

We remain,

Yours Sincerely,
Authorised Signature [in full and initials]
Name and Title of Signatory:
Name of the NGO[NGO's name ]:
In the capacity of: -------------------------------

Address of the NGO: -------------------------------
Contact information [phone and email].................................
Form TECH-2: NGO's Profile and Experience

**A- NGO's Profile**

[Provide here a brief (two pages) description of the background and profile of the NGO].

This information should be provided in the following format:

1. Name & Address of the Organization
2. Background of the Organization:
3. Registration Details (with documentary proof)
   a) Society Registration Act: Registration No…… Date…..
   b) Registration Valid up to (Date):
4. Membership details:
   a) General Members:
   b) Executive Members:
   c) Composition of Executive Committee

<table>
<thead>
<tr>
<th>Sr. No.</th>
<th>Name</th>
<th>Position</th>
<th>Education</th>
<th>Experience in working for community development</th>
<th>Other Experience</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
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<td></td>
<td></td>
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<tr>
<td>3</td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

Staff Position as Regular Appointments

<table>
<thead>
<tr>
<th>Sr. No</th>
<th>Name</th>
<th>Position</th>
<th>Education</th>
<th>Responsibility</th>
<th>Trainings received</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**B) FINANCIAL DETAILS OF THE NGO**

Details to be furnished duly supported by figures in balance sheet / profit & loss account for the last three years duly certified by the Chartered Accountants, as submitted by the applicant to the Income Tax Department (copies to be attached)

Figures in Rupees in lakhs

<table>
<thead>
<tr>
<th>S.No.</th>
<th>Particulars</th>
<th>Financial Years</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>2015-2016</td>
</tr>
<tr>
<td>i)</td>
<td>Gross Receipts</td>
<td></td>
</tr>
</tbody>
</table>
ii) Gross Receipts from similar Projects *

v) Mandatory Supporting Documents
- Auditor Certified financial statements for the financial years ending March 2016, 2017 and 2018, submitted to Income Tax
- Service Tax return for the financial years for the above years
- Certification by the firm auditors supporting the income break-up for similar projects.

Note: without above-mentioned supporting documents, the response could be treated as incomplete.
* The details provided here should match with the details given at Tech-2 (E and F) below

C- NGO’s Experience
[Using the format below, provide information on each assignment for which your NGO and the consortium partner, if any, was legally contracted either individually as an entity or as a lead member, for carrying out services similar to those requested under this RFP. Use maximum 2 pages for each assignment.]

<table>
<thead>
<tr>
<th>Assignment name:</th>
<th>Approx. value of the contract (in INR)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Location:</td>
<td>Duration of Assignment (months):</td>
</tr>
<tr>
<td>Name of Client:</td>
<td>Total Number of person-months of the assignment (position wise):</td>
</tr>
<tr>
<td>Address:</td>
<td>Approx. value of the services provided by the NGO under the contract (in Indian Rupees):</td>
</tr>
<tr>
<td>Start date</td>
<td>Completion date</td>
</tr>
<tr>
<td>(month/year):</td>
<td>(month/year):</td>
</tr>
<tr>
<td>Name of joint venture member/consortium partner or sub-Consultants, if any:</td>
<td></td>
</tr>
<tr>
<td>Narrative description of Project:</td>
<td></td>
</tr>
<tr>
<td>Description of actual services provided in the assignment:</td>
<td></td>
</tr>
<tr>
<td>Mandatory Supporting Documents:</td>
<td></td>
</tr>
<tr>
<td>a) Letter from the client duly supporting the above claims. If the project is an ongoing one, then comments on the present status indicating the above details.</td>
<td></td>
</tr>
</tbody>
</table>

NGO’s Name: ********

D- Total of All Projects as Provided in C above
<table>
<thead>
<tr>
<th>Sl.</th>
<th>Name of the Client</th>
<th>Name of the Assignment</th>
<th>Value of Work (in lakh)</th>
<th>Status (On-going/Completed)</th>
<th>Supporting document* (Work order/ Completion Certificate/MOU)</th>
</tr>
</thead>
</table>

* Work order/ agreement/ completion certificate enumerating Scope, value of work, deliverables etc. for years 2015-16, 2016-17 and 2017-18 should be attached and information must be given in table above for all the Projects during 3 years, however, NGO must submit details of best 5 assignments successfully carried out by them during 3 years. For these one-page abstract of each assignment should be annexed.

F- Details of Projects Executed in Non-mountains States (Last 3 years only)

<table>
<thead>
<tr>
<th>Sl.</th>
<th>Name of the Client</th>
<th>Name of the Assignment</th>
<th>Value of Work</th>
<th>Status (On-going/Completed)</th>
<th>Supporting document* (Work order/ Completion Certificate/MOU)</th>
</tr>
</thead>
</table>

* Work order/ agreement/ completion certificate enumerating Scope, value of work, deliverables etc. for years 2015-16, 2016-17 and 2017-18 should be attached and information must be given in table above for all the Projects during 3 years, however, NGO must submit details of best 5 assignments successfully carried out by them during 3 years. For these one-page abstract of each assignment should be annexed.

Note:
• The details provided in E and F above here should match with the details given at Tech-2B above (Total Gross Receipts from similar projects in last 3 years)

• Without above-mentioned supporting documents, the response could be treated as incomplete.

• Project details should be furnished year-wise

Date: -

Authorised Signature [in full and initials]

Name and Title of Signatory:

Name of the NGO[NGO’s]:

In the capacity of: --------------------------
Form Tech-3: Descriptions of Approach; Methodology and Work Plan for Performing the Assignment

[Technical approach, methodology and work plan are key components of the Technical Proposal. You are suggested to present your Technical Proposal (20 pages, inclusive of charts and diagrams) divided into the following three chapters:

Chapter 1: Technical Approach and Methodology
Chapter 2: Work plan, and
Chapter 3: Organization and Personnel

1) Technical Approach and Methodology. In this chapter you should explain your understanding of the objectives of the assignment, approach to the services, methodology for carrying out the activities and obtaining the expected output, and the degree of detail of such output. You should highlight the problems being addressed and their importance, and explain the technical approach you would follow to address them. You should also explain the methodologies you propose to adopt and highlight the compatibility of those methodologies with the proposed approach.

2) Work Plan. In this chapter you should propose the main activities of the assignment, their content and duration, phasing and interrelations, milestones (including interim approvals by the Client), and delivery dates of the reports. The proposed work plan should be consistent with the technical approach and methodology, showing understanding of the TOR and ability to translate them into a feasible working plan. A list of the final documents, including reports, drawings, and tables to be delivered as final output, should be included here.

3) Organization and Personnel. In this chapter you should propose the structure and composition of your team. You should list the main disciplines of the assignment, the key expert responsible, and proposed technical and administrative support staff. You shall also specify if you will be the lead firm in a consortium.

Authorised Signature [in full and initials]
Name and Title of Signatory:
Name of the NGO [NGO’s name]:
In the capacity of: ------------------------------
Form TECH- 4: List of Proposed Specialists and its Summary

<table>
<thead>
<tr>
<th>Name</th>
<th>Area of Expertise</th>
<th>Position Assigned</th>
<th>Task</th>
<th>Nationality</th>
<th>Employment Status with NGO (full-time or other)</th>
<th>Education/Degree (year/institution)</th>
<th>No. of years of relevant project experience</th>
<th>CV signature By expert</th>
</tr>
</thead>
<tbody>
<tr>
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</tr>
</tbody>
</table>

Authorized Signature [in full and initials]
Name and Title of Signatory:
Name of the NGO [NGO’s name]:
In the capacity of: ------------------------------------

Form TECH- 5: Curriculum Vitae (CV) for Proposed Specialists
1. General

<table>
<thead>
<tr>
<th>Position Title and No.</th>
<th>[e.g., K-1, TEAM LEADER] [Note: only one candidate shall be nominated to each position]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of Expert</td>
<td>[Insert full name]</td>
</tr>
<tr>
<td>Date of Birth</td>
<td>[day/month/year]</td>
</tr>
<tr>
<td>Nationality</td>
<td></td>
</tr>
<tr>
<td>Country of Citizenship/Residence</td>
<td></td>
</tr>
</tbody>
</table>

2. Education [indicate college/university and other specialized education as qualification of the expert, giving names of institutions, degrees obtained, and dates of obtainment]:

__________________________________________________________________________

3. Employment record relevant to the assignment: [Starting with present position, list in reverse order. Please provide dates, name of employing organization, titles of positions held, types of activities performed and location of the assignment, and contact information of previous clients and employing organization(s) who can be contacted or references. Past employment that is not relevant to the assignment need not be included]
<table>
<thead>
<tr>
<th>Period</th>
<th>Employing organization and your title/position. Contact information for references*</th>
<th>State (India)</th>
<th>Summary of activities performed relevant to the Assignment</th>
</tr>
</thead>
<tbody>
<tr>
<td>[e.g., September 2013-present]</td>
<td>[e.g., Ministry of....., advisor/consultant to… For references: Tel……../e-mail……; Mr. xyz, designation]</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Contact information for references is required only for assignments during the last 5 years.

4. Membership in Professional Associations and Publications: ____________________________

5. Language Skills (Spoken/Written/Both)__________________________________________

6. Adequacy for the Assignment

**Detailed Tasks Assigned on NGO’s Team**
[List major deliverables/tasks in which the Expert will be involved]

**Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks**

7. Certification

I, the undersigned, certify to the best of my knowledge and belief that

i. This CV correctly describes my qualifications and my experience;

ii. In the absence of medical incapacity, I will undertake this assignment for the duration and in terms of the inputs specified for me provided team mobilization takes place within the validity of this proposal or any agreed upon extension thereof;

iii. I am committed to undertake the assignment within the validity of
the Proposal;

iv. I am not part of the team who wrote the terms of reference for this consulting services assignment;

v. I am, pursuant to Clauses 3 and 4 of the ITN, eligible for engagement.

I understand that any willful misstatement described herein may lead to my disqualification or dismissal, if engaged.

_________________________________________________________ Date: __________

[Signature of Expert ]

Day/

Month/Year
Tech 6: Two pages explaining the management strategy for Market Expert and Field Level Coordinators
Tech 7: Two pages explaining the experience of the FNGO in working with Van Panchayats
Section 4: Financial Proposal (Standard Forms)

Table of Financial Forms

[Comments in brackets [ ] provide guidance to the shortlisted Consultants for the preparation of their Financial Proposals; they should not appear on the Financial Proposals to be submitted.]

Section 4. Financial Proposal- Standard Forms provides Financial Forms that the Client shall include in its Request for Proposals. NGOs shall fill out these Forms and include them in their proposals.

Financial Proposal Standard Forms shall be used for the preparation of the Financial Proposal according to the instructions provided under paragraph ITN 11.1 of Section 2.

This Section 4 includes an Appendix as well, providing instructions on how to fill out each specific Form.

| Form FIN-1: Financial Proposal Submission Form | Form FIN-2: Summary of Costs | Form FIN-3: Remuneration |
| Form FIN-4: Breakdown of Reimbursable Expenses |

Appendix: Instructions for Preparing Financial Proposal Forms FIN-1 to FIN-4
Form FIN-1: Financial Proposal Submission Form

[Location, Date]

To:
Anup Malik
Chief Project Director
Uttarakhand Forest Resource Management Project (JICA Project)
24, I.T.Park, Dehradun
Uttarakhand, 248001

Dear Sir:

We, the undersigned, offer to provide the services of the Field NGO for [insert title of assignment] in accordance with your Request for Proposal dated [insert Date] and our Technical Proposal, which is being submitted separately with this proposal. Our attached Financial Proposal is for DMU Tehri Dam I and Alaknnanda Soil Conservation ----for the sum of [insert amount(s) in words and figures].

2. Our Financial Proposal shall be binding upon us subject to the modifications if any, as a result of Contract negotiations, up to expiration of the validity period of the Proposal, i.e. before the date indicated in Clause Reference of the Data Sheet.

We understand you are not bound to accept any Proposal you receive.

We remain,
Yours Sincerely,
Authorized Signature [In full and initials]: ____________________________
Name and Title of Signatory: ________________________________________
Name of NGO: ___________________________________________________
Address: _________________________________________________________

1Amounts must coincide with the ones indicated under Total in Form FIN-2. This amount is exclusive of the local taxes, which shall be identified during negotiations and may be added to the above amount.
Form FIN- 2: Summary of Costs
Name of DMU:

<table>
<thead>
<tr>
<th>Competitive Components:</th>
<th>INR</th>
</tr>
</thead>
</table>

Remuneration

Reimbursable Expenses*

Total

*Note: Reimbursables will be permitted on actual expenses on the basis of receipts produced

Authorised Signature [in full and initials]
Name and Title of Signatory:
Name of the NGO [NGO's name]:
In the capacity of: --------------------------

Form FIN- 3: Remuneration
Name of DMU:

<table>
<thead>
<tr>
<th>Position</th>
<th>Monthly Remuneration (INR)</th>
<th>Total Man-months</th>
<th>Total amount (INR)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Marketing Support</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subject Matter Specialists</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Field level Coordinators</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Authorized Signature [in full and initials]
Name and Title of Signatory:
Name of the NGO [NGO's name]:
In the capacity of: --------------------------
Form FIN-4: Breakdown of Reimbursable Expenses*
Name of DMU:

<table>
<thead>
<tr>
<th>Position</th>
<th>Cost/month</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>DA/TA</strong></td>
<td></td>
</tr>
<tr>
<td>Communications</td>
<td></td>
</tr>
<tr>
<td>Report Preparation, Production (Administrative expenses) (As %)</td>
<td></td>
</tr>
</tbody>
</table>

*Note: Reimbursables will be permitted on actual expenses on the basis of receipts produced.

Authorized Signature [in full and initials]
Name and Title of Signatory:
Name of the NGO [NGO's name]:
In the capacity of: -------------------------------
Section 5. Terms of Reference (ToR)

Terms of Reference for FNGOs for providing Services for Uttarakhand Forest Resource Management Project

5.1 BACKGROUND

According to latest State of Forest Report (ISFR, 2017), published by Forest Survey of India (FSI), about 80% of the forest area of Uttarakhand falls under the category of open or moderately dense forests.

<table>
<thead>
<tr>
<th>Vegetation Density Class</th>
<th>Forest Area (ha)</th>
<th>% of The Total Forest Area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Very Dense Forest</td>
<td>4969</td>
<td>20.5</td>
</tr>
<tr>
<td>Moderate Dense Forest</td>
<td>12884</td>
<td>53.0</td>
</tr>
<tr>
<td>Open Forest</td>
<td>6442</td>
<td>26.5</td>
</tr>
<tr>
<td>Total Forest Area</td>
<td>24295</td>
<td>100</td>
</tr>
</tbody>
</table>

A preliminary analysis of FSI reports of the past 10 years indicates that the reserve forests in fringes and Civil/Soyam forests are getting degraded and need restoration. Panchayat forests, which are managed by community through elected Van Panchayats (VPs) also need consolidation in terms of “Good Management Practices” in view of their higher vulnerability due to proximity to human habitations.

In June 2013, Uttarakhand experienced catastrophic disaster in the form of massive slope failures, severe erosion and floods leading to breach of roads, culverts, bridle paths, buildings and other infrastructure in forest areas at numerous places.

The rural population in the hills has very limited livelihood opportunities. The problem has its roots in inaccessibility, remoteness and vulnerability of the scattered hill villages’ exacerbated manifold by the recent disaster.

Uttarakhand Forest Resource Management Project (UFRMP) funded by Japan International Cooperation Agency (JICA) aims to address these issues, focusing on controlling drivers of forest degradation by developing livelihoods of the target community and augmenting their income levels so that their dependence of forests decreases and we are able to sustainable management of forests, as well as develop an institutional mechanism through capacity building of local communities and forest personnel, who being capable of working in these remote areas where presence of other departments is negligible, can play a very crucial role.

Thus, the goal of the Project is to contribute towards eco-restoration and enhancement of forest resources, expansion of livelihood opportunities & income generation of the forest dependent people and mitigating the risks of sediment disasters in highly vulnerable areas in future.
Approach

a. Empowering forest-fringe communities, particularly women, through sustainable livelihood opportunities and positive involvement of rural people in managing their own environment.

b. Strengthening community institutions as Van Panchayats and Biodiversity Management Committees (BMCs)

c. Alleviating poverty of the rural poor through income generating interventions.

d. Planning and implementing site-specific technical and scientific forestry interventions, including soil and moisture conservation, restocking of degraded areas through appropriate silvicultural operations and utilizing the inherent potential of available rootstock, under planting with suitable species, block plantations of indigenous species in degraded/blank patches.

e. Promoting inter-sectorial convergence.

f. Interventions planned and implemented by Van Panchayats and Biodiversity Management Committees.

g. Capacity Development of the executing agency (Uttarakhand Forest Department) and other concerned agencies and organizations (such as Revenue Department, PRIs etc.) to contribute to the eco-restoration outside Van Panchayat (Reserve Forests, Civil & Soyam forests, etc.).

h. Promoting forest-based and non-forest based enterprises (such as value addition and marketing of medicinal & aromatic plants, resin, food items such as honey, natural fibres, natural dyes, utilization of forest biomass, ecotourism, handicrafts, off-season vegetables, dairy products, etc.) to generate sustainable employment, develop micro and cottage industries and enhance the value of forests.

i. Caring the socially disadvantaged groups in the society, such as Scheduled Castes, Scheduled Tribes, forest dwellers, women and other vulnerable people through proper safeguard measures as per the JICA guideline and relevant Indian laws and regulations.

j. Utilizing international platforms, such as UN-REDD+, Ramsar Convention, UNESCO World Heritage Sites (natural), UNESCO Man and Biosphere (MAB) Program, etc. to draw more resources and generate momentum for conservation.

k. Enhance the capacity of Forest Department and its personnel in combating natural disasters in future.

Methodology
• For each Van Panchayat (VP) selected under the Project, the Project activities are to be identified in the form of a site-specific micro-plan prepared after a detailed on-site micro planning exercise using PRA tools and secondary data in consonance with Van Panchayat Rules 2005. The Project activities are to be in harmony with the prescriptions of the Working Plan/Management Plan of the concerned territorial forest division, composite management plan and the micro-plan.
• Sustainable management of the Sacred Groves located within the Project area will be executed with the help of the concerned BMC.
• Livelihood activities shall be implemented through SHGs in the selected/target VPs.
• NTFP Centre of Excellence (CoE) will be established to provide one stop solution to primary collectors/producers of NTFP and their federations/associations.
• Activities for promotion of eco-tourism will be taken up preferably through VPs adopting circuit development approach.
• Adequate capacity building of various stakeholders shall be taken up before commencement of related activities.
• Applied research and publicity related to and assisting the objectives of the Project shall be taken up.
• Erosion control and Sediment Disaster Mitigation in areas heavily affected by the June 2013 disaster will be taken up. This will involve establishment of infrastructure or provision of equipment in priority areas related to forestry sector. Minor slope stabilisation works and reconstruction of forest roads will be taken up by the forest department, while major slope stabilisation works will require high professional inputs and technical assistance from PMC and its team of experts. Considering the fact that the component on Sediment Disaster Mitigation forms part of any JICA Forestry Project for the first time in the Client’s country and the State of Uttarakhand suffered serious devastations in the form of landslides, therefore, this component assumes a greater significance. Limited technical capability of UKFD in dealing with major landslides, the role of experts in PMC to take care of this aspect, becomes absolutely important. Project Management Unit, UFRMP is looking for a PMC, which has experience in community forest management coupled with management of slope failures, forest roads, river conservation works in hills including construction of emergency shelters to meet any kind of exigencies in actual natural disaster situations of any kind.

5.2 PROJECT TARGETS
No. of Target Van Panchayats (VPs): 750

Target Districts
- Components 1-3 in 9 Districts (13 Forest Divisions)
- Component 4 (Sediment Disaster Mitigation) in 5 districts (6 Forest Divisions)

Rehabilitation of Degraded Forests- 37500 ha
NTFP Plantation: 500 ha

Bio-diversity Conservation and Wildlife Management
- Sacred Groves: 13
- People's Bio-diversity Registers (PBRs)- 13
- Quick Response Team: 1
- Primary Response Teams: 20
- Capacity Building and Awareness about Man-animal Conflict: 20 villages

Other Eco-Restoration Activities
- Development of Modern Departmental Nurseries: 13

Community Development Activities
- Number of VPs: 750
- Number of SHGs: 1500 (2 per VP)

5.3 PROJECT COMPONENTS

COMPONENT 1: ECO-RESTORATION
- Sub-component 1.1: Rehabilitation of Degraded Forest
  - ER Model 1- 20000 ha
  - ER Model 2- 8500 ha
  - ER Model 3- 9000 ha
- Sub-component 1.2 NTFP Plantation- 500 ha
- Sub-component 1.3 Bio-diversity Conservation and Wildlife Management
- Sub-component 1.3 Other Eco-restoration Activities

COMPONENT 2: LIVELIHOOD IMPROVEMENT AND COMMUNITY DEVELOPMENT
- Sub-component 2.1: Community Mobilization and Micro-planning
- Sub-component 2.2: Entry Point Activities (EPA)/BHN Improvement
Sub-component 2.3: NTFP Enterprise Development and Livelihood
Sub-component 2.4: Community Based Ecotourism
Sub-component 2.5: Non-NTFP Based Livelihood Improvement

COMPONENT 3: OTHER SUPPORT ACTIVITIES

Sub-component 3.1: Preparatory Works
- Logistic Support PMU/DMUs/FMUs/VPs/GIS
Sub-component 3.2: Capacity Building of Executing Agencies
- Training for PMU/DMU/FMU
- Study Tours for PMU/DMU/FMU/Stakeholders
Sub-component 3.3: Capacity Building of Village Level Institutions
- SHGs Training & Exposure Visits
Sub-component 3.4: Applied Research and Publicity
Sub-component 3.5: Monitoring & Evaluation

COMPONENT 4: EROSION CONTROL & SEDIMENT DISASTER MITIGATION

Sub-component 4.1: Slope Stabilization & River Training
Sub-component 4.2: Construction of Emergency Shelters
Sub-component 4.3: Distribution of Emergency Kits
Sub-component 4.4: Overseas Training on Disaster

5.4 PROJECT TARGET AREAS

Selected Forest Divisions (DMUs) and Forest Ranges FMUs) for the components (1-3); Eco-Restoration, Community Development and IGA Activities

<table>
<thead>
<tr>
<th>Division</th>
<th>Range</th>
<th>Division</th>
<th>Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alaknanda SC</td>
<td>Aser Simli Range</td>
<td>Ranikhet SC</td>
<td>Gagas Range</td>
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<tr>
<td></td>
<td>Attagad Range</td>
<td></td>
<td>Gairsain Range</td>
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<td></td>
<td>Tharali Range</td>
<td></td>
<td>Chanthria Range</td>
</tr>
<tr>
<td>Almora C&amp;S</td>
<td>Gananath Range</td>
<td>Tehri Dam– 1</td>
<td>Dharkot Dam Range</td>
</tr>
<tr>
<td></td>
<td>Jageshwar Range</td>
<td></td>
<td>Nailchami Dam Range</td>
</tr>
<tr>
<td></td>
<td>Koshi Range</td>
<td>Bageshwar</td>
<td>Kapkot Range</td>
</tr>
<tr>
<td>District</td>
<td>Division</td>
<td></td>
<td></td>
</tr>
<tr>
<td>------------------------</td>
<td>-------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Uttarakashi District</td>
<td>Uttarakashi Soil Conservation Division (Non-Territorial)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Uttarakashi Forest Division (Territorial)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tehri Garhwal, Pauri Garhwal, and Rudraprayag Districts</td>
<td>Rudraprayag Forest Division (Territorial)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chamoli District</td>
<td>Badrinath Forest Division (Territorial)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bageshwar District</td>
<td>Bageswar Forest Division (Territorial)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pithoragarh District</td>
<td>Pithoragarh Forest Division (Territorial)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
TARGET AREA MAPS

Legend
- International Boundary
- State Boundary
- District Boundary

Legend
- International Boundary
- State Boundary
- Territorial Divisions
- Non-Territorial Divisions
5.5 PROJECT IMPLEMENTATION: - INSTITUTIONAL FRAMEWORK

The Functional Body of the Project comprises of the High Power Committee (HPC), the Executive Committee (EC), Project Management Unit (PMU), Divisional Management Units (DMU), Field Management Units (FMU), and Van Panchayats (VPs). The Organogram below vividly depicts the Institutional Framework of the Society, showing the roles and responsibilities, flow of information and reporting mechanism, to meet the objectives of the Society.

FUNCTIONAL BODY
The Functional Body of the Society (comprising of different functional units) is responsible for the implementation of all the project interventions. The different functional units, their role and responsibilities are enunciated below.

Governing Body/High Power Committee (HPC)
The High Power Committee is the highest decision making body of the Society, which is also responsible for facilitating coordination amongst various
departments of the Government and other agencies for achieving the objectives of the Society. It also has the authority to approve the Operational Manual, annual plan of operation, budget & account of the Society. The HPC shall meet once in six months or more frequently if necessary.

**Executive Committee (EC):**
The Executive Committee is the monitoring and guiding body for the Project. Its functions include monitoring the financial and physical progress of the programmes and activities of the Society, providing guidance to the PMU in preparation of the Annual Plan of Operation & Annual Budget including guidance and initiatives for changes on the basis of lessons learnt during implementation of the Project. The Principal Secretary, Forest & Environment, heads the Executive Committee (EC). PCCF (HoFF) Uttarakhand is the Vice Chairperson of the EC.

**Project Management Unit (PMU)**
PMU is the state level body responsible for the implementation of the project. It is headed by the Chief Project Director, an officer in the rank of Chief Conservator of Forests/ACPF, assisted by Project Directors (PDs)/Joint Project Director (JPDs) in the rank of Conservator of Forests, dealing with the (i) Administration, Finance & HRD (ii) Planning & Implementation (iii) Monitoring and Evaluation & IT. A Finance Officer is also placed to look after financial matters of the Project. PMU will have Project Officers to look after different components; (i) Community Development & IGA (ii) Forestry (iii) IT, Publicity/Media (iv) Documentation and (v) MIS/GIS & M&E. The posts of these specialist officers in respective fields will be filled from open market on contractual basis. The officers deputed to the Project will be assigned specific duties by the Chief Project Director.

**DIVISIONAL MANAGEMENT UNIT (DMU)**
There will be 18 Divisional Management Units (DMUs), 13 for forestry sector & community development sector and 6 for sediment disaster mitigation sector (with 2 forest divisions, Pithoragarh and Bageshwar are overlapping, where works related to both the sectors are earmarked). DMUs will be designated as DMU I for Forestry/Community works and DMU II for Sediment Disaster Mitigation. Each Divisional Management Unit will be headed by the concerned Divisional Forest Officer who will be the ex-officio DMU Chief. An officer in the rank of ACF will be ex-officio DMU Asst. Chief. DFO will discharge his functions as DMU chief in addition to his duties as Divisional Forest Officer of that division. The roles and responsibilities of the DMU Chief are to manage and supervise various activities to ensure effective implementation of the UFRMP at division level and also facilitate reporting, information flow, financial
transactions regarding UFRMP, provide technical guidance to FMUs and convene regular meeting of the District Advisory Committee.

For DMUs in forestry sector, there will be three major functions namely, (i) Micro Planning and Forest Development, (ii) Infrastructure Development, (iii) Community Development and & IGA. A Programme Coordination Officer will be placed in each DMU to look after Micro Planning processes, Community Development & IGA and will coordinate with PMC to plan & fine tune activities related to CDA, IGA, capacity development of VPs and SHGs so that the Project is effectively implemented.

For sediment disaster mitigation, DMUs will be supported by experts from Project Management Consultancy, for Garhwal and Kumaon separately.

FIELD MANAGEMENT UNITS (FMU)

FMUs will be coterminous with a Forest Range and will be headed by the Range Officer who will be the ex-officio FMU Chief. FMU will facilitate VPs in implementing the Project activities. In case of non-availability of sufficient number of Frontline Staff for the Project activities, contractual staff may be engaged to fill up remaining vacancies.

5.6  ELIGIBILITY CRITERIA & SCOPE OF SERVICES

5.6.1  ELIGIBILITY CRITERIA

5.6.1.1  Eligibility criteria (Technical)

a) NGOs/Trusts/Section 8 companies having minimum 5 years’ experience in providing services for community based Projects involving Van Panchayats/community forestry/watershed/livelihood/ NTFP/Non-NTFP enterprise product development and their marketing, community-based participatory micro-planning for the management of forests/ natural resources, community mobilization, SHGs, management of community-based income generation activities such as homestead livestock, horticulture, handicrafts, marketing of local products, establishing village level institutions and their capacity building, development of micro enterprises in clusters etc.

b) At least 3 years of experience of working in geographical conditions similar to those in the Project area. Since NGOs would be required to engage with the community directly, therefore, knowledge of local culture, customs and language, would be desirable.

c) NGOs who were earlier selected to provide services as FNGO in any of the project DMUs, but could not provide satisfactory services, would not be eligible to submit proposal against this RFP.

d) NGOs already working in more than 2 DMUs in the Project would not be eligible to submit proposal against this RFP.
5.6.1.2 Eligibility criteria (Financial)

The NGO should have implemented Projects involving Van Panchayats/community forestry/watershed/ livelihood/ NTFP/Non-NTFP enterprise product development and their marketing, community-based participatory micro-planning for the management of forests/ natural resources, community mobilization, SHGs, management of community-based income generation activities such as homestead livestock, horticulture, handicrafts, marketing of local products, establishing village level institutions and their capacity building, development of micro enterprises in clusters etc. in which the value of Projects executed by the NGO should not be less than a total Rs. 30 lakh during the 2015-16, 2016-17 and 2017-18.

5.6.2 Objectives of the Services

As stated above, the Project will interact with 750 Van Panchayats and 1500 SHGs for implementing various interventions in a participatory mode, under the Project. This RFP has been issued for selection of FNGOs to provide services in two DMUs namely Tehri Dam-I Forest division, New-Tehri and Alaknanda Soil Conservation Forest Division, Gopeshwar, to cover about 60 VPS in both the divisions (30 VP each DMU) The Project will engage field level functionaries, having experience of working with the local community for the purposes of micro planning, SHG formations/adoptions, management of Income Generating Activities, Convergence with different Government schemes, organizing various training programs and providing handholding support to the community. These field level functionaries would be engaged through Field NGOs having capacity to provide such personnel. The Scope of work and terms of reference of the NGOs are as below.

5.6.3 Scope of Work

The Field NGOs (FNGOs) will be responsible for strengthening the capacity of VPs and SHGs for sustainable forest management and improved livelihood. It involves community mobilisation, facilitation of micro planning processes, convergence with other schemes and projects, providing guidance in income generating activities, management of revolving funds to be provided to SHGs and carry out technical trainings for VPs and SHGs to build their capacity in implementing the Project activities. FNGOs will also assist the Project in organizing exposure visits for VPs and SHGs. FNGOs would also assist in capacity building of animators, who would act as community level resource person. In executing the above tasks, FNGOs will provide qualified personnel to be placed in the field and work in close coordination with PMU/DMU/FMU to achieve the desired Project objectives.
5.6.4 Team Composition

To accomplish the above tasks, Field NGOs will engage Marketing Support Staff at the DMU level for duration of about 3.5 years and field coordinators for about 3 years. Proposals must be submitted to work with 30 VPs for each division (total 60 VPs for both DMUs). Number may increase or decrease depending upon the requirement. Each Field Coordinator will work with about 4 to 6 VPs and 8 to 12 SHGs. In addition, NGOs may be expected to engage subject matter specialists for capacity building of SHGs in specific areas, if required, for a period of up to 5 months a year. They will be required to provide technical support as per requirement of the SHGs, for different subject areas such as horticulture, livestock and handicrafts. The need for these Subject Matter Specialists would be decided as per the requirements of SHGs and potential business activities chosen by them. The probable list of areas mentioned above is indicative and not exhaustive. The above team composition is elaborated in the following table:

<table>
<thead>
<tr>
<th>Position</th>
<th>Placements</th>
<th>Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Market Support Staff</td>
<td>One for each DMU</td>
<td>For a period of 3.5 years</td>
</tr>
<tr>
<td>Subject Matter Specialists</td>
<td>As per requirement of SHGs</td>
<td>Maximum for a period of 5 months in a year.</td>
</tr>
<tr>
<td>Field Level Coordinators (FLCs)</td>
<td>1 FLC for every 4 to 6 VPs at the level of FMUs. Number of VPs selected under each FMU batch-wise would be notified separately.</td>
<td>For a period of 3 years in about 30 VPs for one DMU (60 VPs for both the DMUs)</td>
</tr>
</tbody>
</table>

5.6.5 Terms of Reference for different Positions

5.6.5.1 Marketing Support Staff

1. To prepare monthly work plan of Field coordinators for assigned tasks for the purposes of SHG formations/adoption, capacity building and IGAs in close coordination with DMU/FMU.

2. To identify the training needs of the SHGs and organize training programs and exposure visits.

3. To guide SHGs in all the activities from identification of potential activities, development of business models and micro financing.

4. To mobilize subject matter specialists as per requirement of SHGs.

5. To facilitate linkages between SHGs and market, financial institutions and other schemes/programs to mobilize resources based on convergence.

6. To facilitate development of enterprises and setting up of cluster level
organizations.

7. To prepare monthly and quarterly reports to DMU and attend annual review meetings.

5.6.5.2 Ad-hoc Demand Subject Matter Specialists

Subject Matter Specialists would also be required in the field of horticulture, handicrafts and such other activities as per SHG requirements. These specialists would:

1. Conduct training programs for SHGs.
2. Coordinate with SHGs in devising training needs.
3. Coordinate with Market Specialists at DMU level to provide technical support in developing market strategies for different products.

5.6.5.3 Field Coordinators

Field level coordinators will form an important link between VPs/SHGs and DMU/FMU. He would be the backbone of capacity building activities, which would enable the community in executing various Project activities. FLCs would carry out the following tasks:

1. Mobilize VPs for Project implementation, to achieve Project objectives.
2. Guide VPs in selection of EPAs and preparation of micro-plans.
3. Capacity building of animators as per requirements of the Project.
4. Formation of new SHGs or adoption of existing SHGs.
5. Support SHGs in identification of potential IGAs and developing business models with support from market specialists placed at DMU level.
6. To assist in VPs/SHGs in record keeping and organise meetings.
7. Convergence with other Government Schemes in augmenting livelihood options for the community.
8. Record the progress of the field level Project activities as per requirements of the Project.
9. Organise various training programs and exposure visits at VP/SHG level.
10. To prepare various monthly reports for submission to DMUs.
11. To report to FMU and attend review meetings.

Qualifications:

Marketing Support Staff at DMU:

- Post Graduate degree in development economics, agri-business or MBA in marketing.
- Minimum 7 years of experience in the field in similar projects.
Good communication skills, both in Hindi and English.
Good knowledge of working at computers (MS Office).

Field Level Coordinators (FLCs)
- Post Graduate in Social Sciences, Development Economics, Anthropology.
- Minimum 5 years’ experience in field, working with the community, as per requirement of the Project.
- Good Working knowledge in computers (MS Office)
- Previous working experience in similar projects in Uttarakhand will be preferred and would be given an additional score.

Subject Matter Specialists:
- Post Graduate in the related area of specialisation as per requirement spelled.
- Minimum 7 years of experience of working in similar Projects.
- Working experience in Uttarakhand would be preferred and given an additional score.
- Good Communication skills both in Hindi and English.
- Good working knowledge in computers (MS Office).

5.7 Reporting Obligations
- The FNGO’s staff as described above, will carry out their duties in close cooperation with the DMU/FMU on a day-to-day basis. Marketing Support Staff at DMU level will meet DMU chief regularly and will apprise him about various developments and provide timely reports to the DMU. He while leaving (H/Q of the DMU) will get his tour programme approved from DMU chief in advance.

- While working on the Project assignment, FNGO will take technical guidance form the DMU, and Project Management Consultants (PMC) in respect of any required elaboration/clarification of the ToR as well as the approach to be followed for Project implementation. The outputs will be discussed with the DMU/FMU officers and also the PMC and will be considered final after obtaining approval from DMU/PMC.

- It is the duty and responsibility of the FNGOs to assist the DMU/FMU in making all such reports and recommendations as mentioned in ToR or as may be reasonably required by the DMU/FMU within the overall scope of the Project. Should any of the outputs are rejected by the Project, the
situation will be first discussed between DMU/FMU, PMC and the FNGO. In such an eventuality, the FNGO shall contribute whatever additional time is necessary to produce the outputs as required by the Project. Additional remuneration for reworking of deliverables will not be payable.

➢ All reports compiled or prepared by the FNGO, while performing the duties shall be the property of the PMU/DMU, UFRMP. The FNGO shall not use the same for purposes unrelated to the Project or for the benefit of any third parties without prior written approval of PMU, UFRMP.

The following reports would be mandatory for different positions:

Field Coordinators: Monthly Work Plan and Monthly Reports.
