

Flood Resilience in Ulaanbaatar Ger Areas
Climate Change Adaptation
through community-driven small-scale protective and basic-services interventions

CALL FOR PROPOSAL

Ref. No. : AOC/CFP/MON/2019/004

Subject: UN-Habitat ROAP Call for Proposal for Mongolia FRUGA - Preparation of Ulaanbaatar northern Ger-Area Territorial Land Use Plan and Seven (7) Detailed Ger-khoroo level Land Use Plans

The United Nations Human Settlements Programme (UN-Habitat) Regional Office for Asia and the Pacific (ROAP) hereby solicits your proposal for the above subject, in accordance with this document and annexes attached.

This Call for Proposal (CFP) consists of this document and the following annexes:

1. CFP Instructions and Guidelines
2. Technical Proposal Template
3. Budget Proposal Template
4. Partner Declaration Form
5. Sample Agreement of Cooperation

A complete set of Technical and Budget Proposals, Signed Partner Declaration Form, including all the required documents listed in the CFP Instructions and Guidelines must be received by UN-Habitat ROAP no later than ~~14 April 2019~~ **(Extended to 30 April 2019)** to the following address via mail or email:

UN-Habitat Regional Office for Asia and the Pacific ACROS Fukuoka, 8th Floor
1-1-1 Tenjin Chuo-ku, Fukuoka 810-0001 Japan
Email: habitat.fukuoka@un.org

Please indicate the CFP Ref. No. above in your email subject.

Proposals must be submitted in English language and UN-Habitat reserves the right to reject any proposals which are not received by UN-Habitat ROAP by the above-stated deadline.

UN-Habitat will enter into an Agreement of Cooperation (AOC) with the selected Implementing Partner, a sample of which is attached for your reference.

For queries on this CFP, please contact Mr. Laxman Perera, Human Settlements Officer, at Email: laxman.perera@un.org.

Download all templates and forms from [here](#)

CALL FOR PROPOSAL

The purpose of the Call for Expression of Interest is to solicit interest from existing or prospective Implementing Partners that wish to participate in UN-Habitat operation and contribute complementary resources (human resources, knowledge, funds, in-kind contributions, supplies and/or equipment) to achieving common objectives as outlined below and subsequently agreed in an Agreement of Cooperation

Call for Proposal for Mongolia FRUGA - Preparation of Ulaanbaatar northern Ger-Area Territorial Land Use Plan and Seven (7) Detailed Ger-khoroo level Land Use Plans

Size of grant: maximum US\$100,000

Purpose of CFP: To prepare Ulaanbaatar northern Ger-Area Territorial Land Use Plan and Seven (7) Detailed Ger-khoroo level Land Use Plans (Output 1.1 & 1.3)

Submission Start Date: 1 April 2019, Monday

Submission Deadline Date and time: ~~14 April 2019, Sunday~~, (Extended to 30 April 2019), 2359hrs, Japan time (GMT+9)

Project Key Information

Project Key Information

- UN-Habitat Project title: *Flood Resilience in Ulaanbaatar Ger-Areas (FRUGA) - Climate Change Adaptation through community-driven small-scale protective and basic services interventions*
- Locations
 - o Town/City: Ulaanbaatar
 - o Country: Mongolia
- Anticipated start date: 1 August 2019
- Estimated duration of project in calendar months: 9 months
- Lead Organization Unit: UN-Habitat

Brief Background of the Project

Organizational Setting

The United Nations Human Settlements Programme, UN-Habitat, is the United Nations agency for human settlements. It is mandated by the UN General Assembly to promote socially and environmentally sustainable communities, towns and cities with the goal of providing adequate shelter for all. By working at all levels and with all relevant stakeholders and partners, UN-Habitat contributes to linking policy development and capacity-building activities with a view to promoting cohesive and mutually reinforcing social, economic and environmental policies and programmes in human settlements in conformity with international practices and covenants.

UN-Habitat has been collaborating with the Government of Mongolia, the Ministry of Construction and urban Development (MCUD) and the Municipality of Ulaanbaatar (MUB) on strategies and demonstration projects for slum upgrading, and human settlements development since 2005. The agency assisted the municipality in formulating a community-based ger-area upgrading strategy, developing action plans and demonstrated a community-led approach to ger-area upgrading in five ger-areas in Ulaanbaatar city with support from Japan. More recently UN-Habitat has been involved as a key partner on community engagement through *the People's Process* for the Urban Services and Ger Area Development and Investment Programme as well as the Affordable Housing and Urban Renewal Programme of the Government of Mongolia, implemented with support from the Asian Development Bank.

Project Overview

In September 2018 UN-Habitat signed an agreement with the Adaptation Fund for Climate Change to implement the project on *Flood Resilience in Ulaanbaatar Ger-Areas (FRUGA) - Climate Change Adaptation through community-driven small-scale protective and basic services interventions* – in the seven most-vulnerable and high-risk ger-areas of Ulaanbaatar Mongolia.

The seven target Ger communities in Ulaanbaatar are characterized by a high exposure to multiple climate hazards ranging from wind and dust storms, air pollution, and particularly by floods - cited as the main climate issue that required addressing by the communities - during the rapid needs assessment. Climate sensitivity is underpinned by rapid urbanization and population growth, leading to people residing in high-risk areas, in unsanitary conditions engaging in unhygienic behavior, which exacerbates public health risks. Underlying vulnerabilities are poverty, limited social ties, limited access to basic services, gender inequalities and environmental degradation. Moreover, the adaptive capacities at household, community and governance level are barriers for change as is the very limited knowledge and awareness of risks and their own vulnerability.

The main objective of the project is to **enhance the climate change resilience of the seven most vulnerable Ger khoroo settlements focusing on flooding¹ in Ulaanbaatar City** by:

1. Improving the knowledge on flood hazard and risk exposure and vulnerability for these areas
2. Improving the resilience and adaptive capacity of the Ger settlements through a Community-Based approach (i.e. building social cohesion per Khoroo)
3. Increasing resilience ger area physical infrastructure and services, supported by enhanced capacities of responsible district level and khoroo authorities.
4. Strengthened institutional capacity to reduce risks and capture and replicate lessons and good practices

The main component of the project will be the provision of flood resilient physical infrastructure and services, building on the priorities as communicated by the UB city authorities and Khoroo communities and evidence made available and supplemented with hazard and risk mapping and land use planning and delivered within the framework of enhanced capacities and awareness for resilience and risk reduction at Ger -district and community level.

¹As identified in the Flood Risk Assessment and Management Strategy of Ulaanbaatar City supported by the World Bank

Project Components and Outputs

Project Components	Expected Concrete Outputs
<p>Component 1 National/City Level Producing hazard and risk information / evidence for increasing resilience and developing land use plans to increase this resilience at UB City level.</p>	<p>Output 1.1 One (1) Ulaanbaatar northern Ger-Area Territorial Land Use Plan, with zoning, legal framework recommendations and a specific focus on flood risk reduction - building on 1.2</p> <p>Output 1.2. Simulation model for forecasting future impacts of climate change flooding in UB city & Ger-areas established</p> <p>Output 1.3 Seven (7) Detailed Ger-khoroo level Land Use Plans with specific focus on flood risk reduction and building resilience of the most vulnerable areas and people</p>
<p>Component 2 Khoroo/Community level Participative planning and capacity development for flood resilience in Ger-areas at the district / khoroo and community level (including activities to operate and maintain - and mitigate any potential risks related to - the interventions under component 3).</p>	<p>Output 2.1 Seven (7) Khoroo-level floods resilience action plans to implement the interventions under component 3; A series of District, Khoroo and community level consultations / workshops introducing the People's Process and Community Based Disaster Risk Reduction approach, focused on building social cohesion and consensus on community level implementation of interventions under component 3.</p> <p>Output 2.2 Khoroo community level interventions operation & maintenance and awareness campaigns and trainings to support the sustainable implementation of interventions under component 3.</p> <p>Output 2.3 Technical studies – Engineering and hydrological - required to implement the interventions under component 3.</p>
<p>Component 3 Enhance resilience of community level flood protection assets</p>	<p>Output 3.1. Physical assets developed or strengthened in response to climate change related flood impacts as prioritized (by Khoros drainage and sanitation) – implemented through community contracting</p> <p>Output 3.2 Management & operations; design & supervision of assets / physical infrastructure – procured as consulting services</p>
<p>Component 4 Awareness raising, knowledge management and communication</p>	<p>Output 4.1 Lessons learned and best practices regarding flood-resilient urban community development are generated, captured and distributed to other Districts and khoroo communities, civil society, and policy-makers in government appropriate mechanisms.</p> <p>Output 4.2 Workshops and trainings will be organised targeting city- and district government officials with a focus on replication of processes, land use plans and interventions and to discuss how lessons can be integrated into existing strategies and plans.</p>



Main activities and outputs

The Implementing Partner will be undertaking main activities as follows (but not limited to):

With reference to Output 1.1 and Output 1.3 the following activities are envisaged to be done under this TOR:

- a. Develop detailed Ger-khoroo level Land Use Plans in the seven khorooos the project will focus its activities. The khorooos are no. 7, 24 and 25 in Songino-khairkhan District; khorooos 12, 13 and 16 in Sukhbaatar District; and, khoroo 9 in Bayansurkh District. The plans will focus on flood risk reduction and building resilience of the most vulnerable areas and people. These will be seven separate plans for the seven khorooos.
- b. Develop detailed territorial land use plan for the northern Ger-area of Ulaanbaatar with zoning, legal framework recommendations and a specific focus on flood risk reduction.

The information generated and included in the land use plans should allow the municipality, district authorities and khoroo communities to understand climate change related impacts and risks and to identify appropriate, community specific resilience interventions based on this information. The plans must also include land re-adjustment and further planning options for plots, roads, assets, etc., by taking into account hazard risks, whilst also addressing other sector needs.

A northern Ger-Area Territorial Land Use Plan, including zoning and legal framework recommendations, should focus on a holistic planning approach of the Ger areas as the vast majority of the urban sprawl and Ger-areas are concentrated in the north of UB city.

All information collected, and assessment reports, plans and strategies must be made available on a digital format in Mongolian and English to be eventually uploaded on the Municipality of Ulaanbaatar's web portal and spatial database.

Under the TOR the Implementing Partner will be responsible for the following activities (but not limited to):

Implementing Partner's Responsibilities

1. Delivery of Output 1.1 of FRUGA project

- **Data compilation, assessment and analysis for the northern ger areas of Ulaanbaatar city:**
 - Basics:
 - Governance (administrative boundaries, etc.)
 - Infrastructure (roads, etc.)
 - Occupation (land use, public spaces, heritage sites, etc.)
 - Socio-economic profile, including disaggregated population data
 - Environmental and Ecological profile, including soil types, biodiversity and natural habitats
 - Specifics:
 - Elevation and hydrology of rivers and streams

- (Upstream) deforestation and erosion trends and vulnerable biodiversity, natural habitats
 - Soil pollution areas
 - Demographic / population / urbanization trends
 - Climate change trends and impacts, including understanding of precipitation trends, ice-melting trends, flood trends, etc.
 - Diagnostic (suitable layers and recommendations):
 - Flood risks mapped at level of m2, looking at current risks and projected 2030-2050-2100 depending on the feasibility, including 10- and 100-year flood events impacts
 - High flood risk areas identified
 - Buffer zone required for 'safe' development / housing
 - Recommendations (spatial development, regulatory, etc.) to:
 - Avoid / restrict development in high-risk areas
 - Propose 'safe' spatial development pattern (development scenarios)
 - Propose possible flood risks reduction measures (that won't have a negative effect on AF safeguard areas)
 - Tools:
 - External and internal development factors (SWOT and PEST analysis)
 - Spatial analysis on ArcGIS by Environmental and Socio-Economic factors
- **Participatory development of land use plans for the northern ger areas of Ulaanbaatar city** with integration of the UB city Land Management Master Plan up to 2025, the UB Urban Development Master Plan up to 2020 and Smart and Green Development Concept and the ger area redevelopment and other programs and projects suggesting State of the art and innovative development approaches including:
 - Detailed land use plans including above data layers
 - Disaster management and adaptation ways to protect the households settled in flood prone areas, areas with higher ground water table, landslide and erosion areas and plans for the disaster mitigation);
 - Solid waste management plans
 - Recommendations for implementation mechanisms of land use plans
- **Any other required activities for official adoption of the land use plans by MUB and MoET** including public and city council hearings and approval seeking activities

2. Delivery of Output 1.3 of FRUGA project

- **Data compilation, assessment and analysis** for the 7 target Khoros:
 - Basics:
 - Governance (administrative boundaries, etc.)
 - Infrastructure (roads, etc.)
 - Occupation (land use, public spaces, heritage sites, etc.)
 - Socio-economic profile, including disaggregated population data
 - Environmental and Ecological profile, including soil types, biodiversity and natural habitats
 - Specifics:
 - Elevation and hydrology of rivers and streams

- (Upstream) deforestation and erosion trends and vulnerable biodiversity, natural habitats
 - Soil pollution areas
 - Demographic / population / urbanization trends
 - Climate change trends and impacts, including understanding of precipitation trends, ice-melting trends, flood trends, etc.
 - Diagnostic (suitable layers and recommendations):
 - Identification of priority issues and problems; development trends and objectives;
 - Flood risks mapped at level of m2, looking at current risks and projected 2030-2050-2100 depending on the feasibility, including 10- and 100-year flood events impacts
 - High flood risk areas identified
 - Buffer zone required for 'safe' development / housing
 - Recommendations (spatial development, regulatory, etc.) to:
 - Avoid / restrict development in high-risk areas
 - Propose 'safe' spatial development pattern (development scenarios)
 - Propose possible flood risks reduction measures (that won't have a negative effect on AF safeguard areas)
 - Tools:
 - External and internal development factors (SWOT and PEST analysis)
 - Spatial analysis on ArcGIS by Environmental and Socio-Economic factors
- **Participatory development of land use plans for the 7 target khoros** with integration of the UB city Land Management Master Plan up to 2025, the UB Urban Development Master Plan up to 2020 and Smart and Green Development Concept and the ger area redevelopment and other programmes and projects suggesting State of the art and innovative development approaches including:
 - Detailed land use plans including above data layers
 - Disaster management and adaptation ways to protect the households settled in flood prone areas, areas with higher ground water table, landslide and erosion areas and plans for the disaster mitigation);
 - Solid waste management plans
 - Recommendations for implementation mechanisms of land use plans
- **Any other required activities for official adoption of the land use plans by MUB and MoET** including public and city council hearings and approval seeking activities

Responsibilities of UN-Habitat

- Closely guide, review and monitor the implementation activities as per the milestones in the workplan provided by the Implementing Partner
- Provide technical guidance, coordination and support as necessary

Deliverables

Deliverables	Description
Draft Report	<p>With the chapters on:</p> <ul style="list-style-type: none"> • The basics • The Specifics Diagnostic • Detailed land use plans including above data layers • Disaster management and adaptation ways to protect the households settled in flood prone areas, areas with higher ground water table, landslide and erosion areas and plans for the disaster mitigation); • Solid waste management plans • Recommendations for implementation mechanisms of land use plans
Workshop	<ul style="list-style-type: none"> • One or more workshop will be organized in consultation with the Ministry of Environment, the Municipality and UN-Habitat to presenting the findings and recommendations to the stakeholders where representatives for the study area will be invited.
Final Report	<ul style="list-style-type: none"> • Three copies of final report will be submitted in Mongolian and English after incorporating comments from the stakeholders' workshop and further comments from the Ministry of Environment, the Municipality and UN-Habitat.
GIS maps	<ul style="list-style-type: none"> • Land use zoning GIS maps for northern Ger areas as a whole and 7 target khoros each • Maps showing uninhabitable and inhabitable areas with specific condition • Maps of flood hazard and risky areas
Collected data and reports	<ul style="list-style-type: none"> • Soft copies of all collected information, reports, plans and strategies

Environmental and social risks and impacts management requirements

Output	Potential risk areas	Preventive measure	Monitoring arrangements	
			Indicator and methods	Frequency and responsibility
Output 1.1 One (1) Ulaanbaatar northern Ger- Area* Territorial Land Use Plan	Risk that different groups are not equally involved in planning processes (equal access, vulnerable groups, gender considerations)	Communities will be organized, and quotas will be used to ensure different groups are included / represented. For government workshops and trainings, gender quotas will apply.	Meeting attendance sheets with quota numbers and photographs	Before and after plans Local project manager
Output 1.3 Seven (7) Detailed Ger- khoroo level Land Use Plans	Non-consideration of / compliance to the AF ESP when developing land use plans, including: <ul style="list-style-type: none"> • Human rights • ILO standards • Avoid forced resettlement • Identify risks to biodiversity, natural habitats • Identify risks to heritage sites • Identify vulnerable soils and lands 	Include standard clauses requiring the compliance with the AF principles in AoC and contracts + screening the plans for compliance with the 15 safeguard areas, including ILO standards, human rights, etc. Identify vulnerable soils, landscapes, biodiversity, natural habitats, heritage sites.	Check (list) to assess compliance to safeguard areas	

Payment Schedule

The total value to be contracted to executing Partner through a partnership agreement will be a maximum of US\$ 100,000 with following 3 instalments.

1 st Installment	30% of Funds	Within 30 working days upon signing the AOC and submission of payment request
2 nd Installment	60% of Funds	Within 30 working days upon submission of a draft final report and an expenditure report showing at least 65% of utilisation of the first instalment and submission of payment request
3 rd Installment	10% of Funds	Within 30 working days upon submission of a final report along with all expected deliverables, financial statement

Eligibility Criteria

Criteria	Submission Details/ Documents Required
Legal Status	<ul style="list-style-type: none"> • Certificate of registration/incorporation i.e., • Proof of registration in Country of Origin. • Proof of registration of Country of operation • Proof of country operational presence
Organization profile and details	<ul style="list-style-type: none"> • Clear organization profile and structure of the organization indicating: <ul style="list-style-type: none"> ○ Organization's vision, mission and objectives ○ Management structure ○ Members of the Governing Board and their Designations duly certified by the Corporate Secretary, or its equivalent document ○ Proof of membership to professional associations if any.
Financial Capacity	<ul style="list-style-type: none"> • Audited company financial statements (balance sheet and income statement) and auditors report for the last two years
Exclusive bank account	<ul style="list-style-type: none"> • Is the organization willing and able to have a separate bank account for the funds provided by UN-Habitat?
Integrity and Governance	<ul style="list-style-type: none"> • The organization should complete and submit a signed Partner Declaration Form • Provide the profiles of the Chairperson of the Board of Directors, Head of the Organization and Chief of Finance

Selection Criteria

Criteria	Submission Details/ Documents Required	Weighting
1. Technical capacity		25%
<p>1.1 Does the organization have the relevant experience and proven track record in implementing activities in the areas of the project? Has it managed in the past projects of similar technical complexities and financial size? Is the project linked with the core business of the IP?</p>	<ul style="list-style-type: none"> List of projects executed in the last 2 years (value, location, donors, nature of projects, execution stage – completed or ongoing). Demonstrate how the experiences in past projects are relevant in the execution of the current proposal References from past donors 	
<p>1.2 Does the organization have qualified technical staff with the experience and the technical skills required by the project? What is the staff size, type, qualification and education background?</p>	<ul style="list-style-type: none"> CVs of key management staff, technical and non-technical staff that will be involved on the project How many technical staff do you have in the concerned Country for implementing the project? Is there reasonable assurance that such technical staff required by the project will continue to be available as needed in the Project? 	
<p>1.3 Does the organization have a clear and strong link with an identifiable constituency relevant to the targeted population of the project? Does it have the ability to impact on the targeted population and on the issues? Does it have strong presence in the field and for how long? Does it have adequate capacity to work in key areas/regions where the proposed field activities will be implemented?</p>	<ul style="list-style-type: none"> Demonstrate, describe and provide proof of local operational presence, including link and ability to impact the targeted population. 	
<p>1.4 Does the organization possess adequate physical facilities, office equipment, transport, etc. to implement the activities?</p>	<ul style="list-style-type: none"> Provide location and list of office facilities, vehicles and office equipment locally available to implement the project. 	

<p>1.5 Does the organization have formal procedures to monitor project execution (e.g. milestones, outputs, expenditures...)</p>	<ul style="list-style-type: none"> • Provide formal project monitoring policies and procedures 	
<p>2. Financial and administrative capacity</p>		<p>15%</p>
<p>2.1 Has the organization been in operation over a period of at least 2 years to demonstrate its financial sustainability and relevance?</p>	<ul style="list-style-type: none"> • State the years of operation • Financial statements for the last 2 years 	
<p>2.2 Does the organization have qualified staff in Finance? Is the current accounting system computerized and does have the capacity to collect and provide separate financial reports on the activities executed under the Agreement of Cooperation? Does it have systems and practices to monitor and report whether the project deliverables and expenditures are within agreed time and budget? Does it have minimum segregation of duties in place (separation between project management, finance/accounting and executive office)</p>	<ul style="list-style-type: none"> • CVs of key finance and accounting staff • Description and key features and controls of the accounting system used • Organization structure/ Organogram 	
<p>2.3 Does the organization have the capacity to procure goods and services on a transparent and competitive basis? (if applicable) check for procurement unit with experienced staff</p>	<ul style="list-style-type: none"> • Copies of procurement policies and procedures. The procedures should show how you procure locally and internationally. 	
<p>2.4 Does the organization have formal procedures and controls to mitigate fraud such as multiple signature signatories on bank accounts, reporting and prosecution of incidences of fraud?</p>	<ul style="list-style-type: none"> • Describe anti-fraud controls and provide formal procedures 	
<p>2.5 Does the organization have capacity to provide in-kind, financial, personnel contribution as UN-Habitat Implementing Partner in this present project? Please give details of contribution nature and size.</p>	<ul style="list-style-type: none"> • Describe nature and value of contribution (in-kind or cash) 	
<p>3. Financial Proposal</p>		<p>30%</p>

<p>3.1 Is the budget for each component of the activity to be performed by the Implementing Partner</p> <p>(i) cost-effective (i.e. the cost should be economical and prudently estimated to avoid any under/over estimation)</p> <p>(ii) justifiable/well supported and</p> <p>(iii) accurate and complete</p>	<p>Budget Proposal <provide link></p> <ul style="list-style-type: none"> • BOQ (if applicable) • Other supporting documents 	
<p>4. Technical Proposal</p>		<p>30%</p>
<p>4.1 The technical proposal is sound and responds adequately to the specifications and requirements?</p>	<p>Technical Proposal document <provide link></p>	
<p>Cumulative score for ratios</p>		<p>100%</p>

Notes:

1. Interested Organizations must provide information indicating that they are qualified to perform the services (brochure, description of similar assignments, experience in similar conditions, availability of appropriate skills among staff, etc).
2. The CFP and accompanying documents must be received in accordance with instructions provided. CFP submitted to a different email address other than the specified one will not be considered.
3. CFP from applicants failing to provide the complete information to fulfill the basic eligibility criteria will be considered non-responsive.
4. CFP received after the above deadline will not be considered
5. Organizations will be selected in accordance with the procedure set out in the UN-Habitat IP Management policy and Standard Operating Procedures.
6. CFP from applicants failing to provide the requested information will be disregarded.
7. This CFP does not entail any commitment on the part of UN-Habitat, either financial or otherwise. UN-Habitat reserves the right to accept or reject any or all Proposals without incurring any obligation to inform the affected applicant(s) of the grounds.
8. All prices must be in USD