

## **TERMS OF REFERENCE**

### **for the provision of services for the Development of Management Plans for 8 pilot forest conservation institutions**

<b>Title and number of project:</b>	Conservation and sustainable management of key globally important ecosystems for multiple benefits, 00101043
<b>Type of contract:</b>	Contract for the provision of services in the UNDP format
<b>Duty station:</b>	Kazakhstan, with trips to East Kazakhstan and Almaty regions
<b>Delivery time:</b>	12 months from the date of signing the contract (approximately August 2021 - July 2022)

#### **DESCRIPTION OF THE PROJECT:**

Since 2018, a 5-year project of UNDP-GEF and the Government of the Republic of Kazakhstan "Conservation and sustainable management of key globally important ecosystems for multiple benefits" (hereinafter referred to as the Project) is being implemented on the territory of the republic, aimed at the conservation and sustainable management of forest ecosystems in three regions of Kazakhstan with different types of landscapes. The project's strategy is to comprehensively address the issues of conservation and sustainable use of forest ecosystems in Kazakhstan by improving management approaches both within the system of protected areas (hereinafter - PA) and in adjacent landscapes with the aim of sustainable use of high conservation value forests (hereinafter - HCVF).

The project has three main components:

Component 1: Enhancing the representativeness of globally important biodiversity of forest ecosystems in the PA network and improving the efficiency of PA management.

Component 2: Stimulating forest-protected areas into the landscape context by creating conditions for effective regulation and management of globally significant ecosystems.

Component 3: International cooperation and knowledge management.

The project will operate both nationally and locally, with many pilot and demonstration activities planned. As a cross-cutting issue, sustainable forest management is represented in all Project Components.

#### **JUSTIFICATION:**

The total area of the state forest fund is 30,058.1 thousand hectares and occupies 11.0% of the territory of the republic. 24.6% or more than 7 million hectares are under the jurisdiction of specially protected natural areas of the Forestry and Wildlife Committee, and most of the state forest fund - 74.7% or more than 22 million hectares is under the jurisdiction of 120 state forestry institutions (hereinafter - forestry institution) of regional Akimats.

The forest institution is an institution established according to the procedure prescribed by the legislation of the Republic of Kazakhstan to carry out activities for the protection and conservation of the state forest fund, forest reproduction and afforestation, regulation of forest use.

The main functions of forest management (forest management organization, justification and planning of forest use, accounting and control over the condition and use of forest resources) are currently based on forest inventory data compiled for a 10-year period. Unlike forest institutions, according to the current legislation, PAs

carry out their activities in accordance with five-year management plans, approved by the Forestry and Wildlife Committee of the Ministry of Ecology, Geology and Natural Resources.

**A forest management plan** is a strategic document for the planning and development of a forest conservation establishment, including measures for forest conservation, protection and reproduction, forest management, etc., as well as a detailed action plan for the next 5 years.

In the framework of the Forest Project, the forest management planning approach will be tested for the first time on the example of 8 pilot forestry enterprises.

According to the Project Document and Work Plan 2021, a company is to be engaged for a period of 12 months to develop the Management Plans of the 8 forest conservation institutions.

**PURPOSE OF WORK:** Development of management plans of the 8 pilot forest conservation institutions for 2022-2026.

**Pilot forest conservation institutions:**

**Almaty region:**

1. MPI «Narynkol Forestry»;
2. MPI «Zhongar forestry»;
3. MPI «Zharkent forestry»;
4. MPI «Uighur forestry»;
5. MPI «Bakanas forestry»;

**East Kazakhstan Region:**

6. MPI «Zaisan forestry»;
7. MPI «Pikhtov forestry»;
8. MPI «Ridder forestry».

**SCOPE OF WORK:**

**BLOCK 1. EVALUATION AND ANALYSIS OF THE CURRENT DEVELOPMENT OF THE PILOT FOREST CONSERVATION INSTITUTIONS**

1. International best practices (at least 3-4 countries) in forest management planning (including development of management plans), approaches, methods, stages of activity planning, structure, successful cases, etc. and Kazakhstan experience in development of PA management plans;
2. SWOT analysis of the current activities and management performance of the 8 pilot forest conservation institutions over the last 5 years, in the following areas:
  - **Organisational structure:** area, number of forest districts, neighbourhoods, species composition by stocking area, etc.;
  - **Restoration of forests:** volumes, analysis of establishment of forest crops, availability and condition of forest nurseries (permanent and temporary), condition of the forest seed fund (PFSB, PSP), availability of forest cultivation fund, material and technical equipment in accordance with regulations, etc.;

- **Forest fire protection:** areas, number of incidents, damage, availability of FFS, mineralised strips, forest fire management plans, forest fire prevention and suppression equipment in accordance with regulations, etc.;
- **Forest protection from pests and diseases:** sanitary condition of forests (areas of outbreaks and pests), analysis of implemented sanitary protection measures, availability of forest pathologists, availability of machinery and equipment for pest and disease control, etc.;
- **Forest protection against forest disturbance:** illegal logging, poaching, grabbing of SFF lands , etc.;
- **Management of forest conservation institutions:** volumes of sanitary and other cuttings, volume of production by type, etc.;
- **Short-term and long-term forest use:** analysis of allocation of areas of SFF for long-term and short-term forest use by type (tourism, hunting, timber harvesting, etc.), number of contracts terminated and contractual obligations fulfilled.
- **Secondary forest use:** all types of secondary forest use, number of forest tickets issued, etc;
- **Funding:** budget (local and own funds), lack of funding, staff costs, reproduction, conservation and protection of forests, forest management, fauna, etc.;
- **Human resources:** quantitative and qualitative characteristics, turnover of personnel;
- **Cooperation with scientific organizations in the field of forestry.**

**Note:** UNDP Project will provide available materials on the analysis of forest protection institutions for 2019, quantitative and qualitative analysis on the staffing capacity of the pilot forestry enterprise for 2020, analysis of the equipment of FFS in accordance with regulations for 2020

3. According to the results of the SWOT analysis, determine for each area mentioned above, the following:
  - Weaknesses and strengths;
  - Key barriers and opportunities for sustainable development;
  - Priority areas for action;
  - Recommendations for overcoming barriers to sustainable development of forest conservation institutions.

**IMPORTANT:** This block of work includes joint work and interaction of the company's expert staff with forest conservation institutions. It is expected that there will be on-site meetings according to the travel schedule. The results of the SWOT analysis should be presented in the form of tables, diagrams, etc.

## **BLOCK 2. DEVELOPMENT OF MANAGEMENT PLANS FOR 8 PILOT FOREST CONSERVATION INSTITUTIONS.**

1. Defining a common format and structure of the management plan. The draft format and structure of the management plan shall be agreed with the Project;
2. Performing works on filling the management plans of the 8 pilot forestries in accordance with the agreed structure;
3. For each forestry, the definition and formulation of the main areas:
  - quantitative and qualitative indicators for 5 years. *Indicators must be clear, measurable and achievable.*

- key objectives and activities.

The main directions recommended for planning activities of pilot forest conservation institutions:

- Accounting and monitoring of the forest fund;
  - Reproduction of forests;
  - Protection of forests from fires and illegal logging;
  - Protection of forests from pests and diseases;
  - Forest management;
  - Development of tourism and recreation activities;
  - Sustainable development of hunting on the lands of the forest fund;
  - Sustainable pasture management;
  - Improving human resources capacity;
  - Environmental and education activities;
  - Sustainable financing of activities and resource mobilization.
4. Development of an action plan for the 5-year period (separately by years) aimed at achieving the indicated indicators and targets. The action plan must contain: activities, results, timing of their implementation, responsible people, measures for their verification.
  5. The development of budgeting part of the Management Plan. The budget should be reflected in the Action Plan with indication of sources of financing and cost estimation.
  6. The drafts of the Management Plans should be presented at the end of this block.

**IMPORTANT:** This block of work includes joint work and interaction of the company's expert staff with forest conservation institutions. Field meetings are expected to take place according to the travel schedule.

### **BLOCK 3. COORDINATION OF THE MANAGEMENT PLANS OF THE 8 PILOT FORESTRY INSTITUTIONS AND PROPOSALS FOR THE INTRODUCTION OF REGULATIONS ON MANAGEMENT PLANS INTO THE CURRENT FORESTRY LEGISLATION**

This block includes the execution of the coordination and approval of the Management Plans with all the stakeholders. For this purpose, the following shall be carried out:

1. Organization and implementation of 2 Working Meetings (online format) for Almaty and East Kazakhstan regions to present and approve the Management Plans with participation of all stakeholders (regional departments of natural resources, forest protection institutions, Kazlesprojekt, National Research Institute on the forestry, etc.).  
Based on the results of the workshops, the Management plans should be supplemented based on the recommendations (if necessary). The results of the workshops shall be documented and signed as protocols (resolutions);

*The content, date and time of the meetings will be agreed in advance with the Project Team. The Contractor will fully prepare the organizational and preparatory aspects of these online meetings.*

2. Final versions of the Management Plans (as a hard copy) shall be submitted for each forest conservation institution in Kazakh and Russian languages (in 3 copies);
3. Development of proposals (in the form of a comparative table) on the introduction of the norms related to the Management Plans of the forest conservation institutions into the current forest legislation of the Republic of Kazakhstan.

**EXPECTED RESULTS AND TERMS:**

No.	Results	Term of implementation	Amount of payment	Coordination and approval
1.	<p><b>Result 1:</b></p> <p>Review of international and national experiences in forest management planning is presented;</p> <p>SWOT-analysis of current operations and management effectiveness of 8 pilot forest conservation institutions for the last 5 years was performed, by key areas: management structure, forest reproduction, conservation and protection, forest management, financing, human capacity.</p> <p>For each pilot forestry enterprise weaknesses and strengths, barriers and opportunities for sustainable development, priority areas of activity are identified.</p> <p><i>Interim report on the carried out work is submitted.</i></p>	12 weeks from signing the contract	30 %	Project Manager
2.	<p><b>Result 2:</b></p> <p>The format and structure of the Management Plan has been defined and agreed;</p> <p>For each pilot forestry enterprise:</p> <ul style="list-style-type: none"> <li>- quantitative and qualitative indicators, key objectives and activities for each action line have been defined;</li> <li>- action plans for 5 years have been developed (separately by year);</li> <li>- the budgetary part of the management plans for 5 years with the provision of calculations has been developed.</li> <li>- draft Management Plans have been prepared.</li> </ul> <p><i>Interim report on the carried-out work is submitted.</i></p>	36 weeks from signing the contract	50 %	Project Manager
3.	<p><b>Result 3:</b></p> <p>Agreed Management Plans for each pilot forestry enterprise submitted, taking into account the proposals of all stakeholders. protocols (resolutions) on their approval are signed.</p>	48 weeks from signing the contract	20 %	Project Manager

	<p>Final versions of the Management Plans in Kazakh and Russian languages are submitted to the forest conservation institutions and Natural Resources Departments of pilot regions.</p> <p>A Comparative table on the introduction of the norms related to the Management Plans in the current forest legislation of the RK is presented.</p> <p><i>A final report on the carried-out work is submitted.</i></p>			
	<b>Total:</b>		<b>100%</b>	

**\*In connection with the current situation related to the spread of the COVID-19 coronavirus infection and the possible restriction of free movement within Kazakhstan, travel and activities may be restricted. In case quarantine measures and related restrictions are announced, travel may be postponed.**

**In this case, the company must have all necessary resources to carry out the activities online/remotely using digital technology.**

**If the above situation arises, the offer amount budgeted for travel arrangements will be deducted from the contract.**

**Specific security requirements: The service provider shall provide his employees involved in the present Terms of Reference with all the necessary personal protective equipment in accordance with the current recommendations of WHO and local authorities (masks, gloves, sanitizers, COVID-19 test (if necessary), for the duration of the contract.**

#### **REQUIREMENTS FOR REPORTING TO THE IMPLEMENTER:**

1. Interim and final reports with all supporting materials shall be submitted in Russian electronically by the deadlines indicated above. Short versions of these reports, not exceeding 3 pages, shall be submitted in English;
2. At least 10 (for each forestry enterprise) substantial, high quality photos must be generated from all field trips and meetings compulsory;
3. Drafts of the Management Plans shall be submitted in Russian electronically by the deadlines specified above. Final versions of the Management Plans are provided in Russian and Kazakh electronically and in hard copy.
4. Format of reports and Management Plans:
  - file type for text: MS Word;
  - file type for tables and calculations: MS Excel.
  - font: Times New Roman size 12:
  - page parameters: 2.5 cm (left margin), 1.5 cm (right margin), 2 cm (top), 2 cm (bottom)
  - line spacing: 1.0

The Contractor shall assign to UNDP all copyright in the reports and Management Plans produced. Upon completion, UNDP will be granted all direct and associated copyrights for use of the materials to be produced under the ToR.

#### **CONDITIONS FOR PAYMENT:**

- Payment shall be made in three tranches upon satisfactory completion of each item of the "Scope of Work" of this TOR and authorization of the results by the Project Manager and upon submission of a certificate of completion and invoice;
- The Contractor's quotation shall be submitted indicating the lump sum payment as per tranches indicated in the "Expected Result".

**DURATION OF WORK:**

The total duration is 12 months from the date of the contract (tentatively August 2021 to July 2022).

**RESPONSIBILITY AND COORDINATION:**

- In the course of work, the Contractor shall report to the Project Manager, Sustainable Forest Management Expert, Landscape Planning Expert. Also, in the course of work, the Contractor should closely interact with the project territorial experts on sustainable management of ecosystems and socio-economic development of East Kazakhstan and Almaty regions. All activities related to the implementation of this work must be coordinated with these project staff;
- The Contractor is fully responsible for authenticity and legitimacy of provided information and for timely submission of results of executed works and reports;
- The Contractor shall submit the completed work to the UNDP Project (to the attention of the Project Manager) for comment and approval;
- The work shall be completed in a quality and timely manner as required by the contract and terms of reference. In the event of poor-quality work by the Contractor, UNDP reserves the right to terminate the agreement unilaterally;
- UNDP reserves the right to amend the terms of reference up to a maximum of 20% of the work without affecting the overall nature of the assignment and the price of the services under the contract.

**INTERACTION/COOPERATION:**

List of organizations with which the Contractor is expected to work/interact/collaborate/meet during the course of the work:

- Departments of Natural Resources and Environmental Management Regulation of Almaty and East Kazakhstan regions;
- Targeted Forest Conservation Institutions of Almaty and East Kazakhstan regions:
- MPI "Narynkol forestry", MPI "Zhongar forestry", MPI "Zharkent forestry", MPI "Uighur forestry", MPI "Bakanas forestry", MPI "Zaisan forestry", MPI "Pikhtov forestry", MPI "Ridder forestry";
- Republican State Enterprise "Kazakh Forest Management Enterprise";
- National research institutes in the field of forestry, etc.

**INTENDED MISSIONS:**

The scope of work under this contract includes visits to Almaty and East Kazakhstan regions. The sequence and dates of the trips will be specified after the contract is signed. However, the number of days and destinations will remain unchanged. The planned number of travel days must include travel days. Travel costs should be included in the financial proposal.

The financial proposal should also include the associated costs:

Journey 1 and 2: Water, coffee breaks (based on 1 coffee break per day, approximately up to 10 people per forestry), stationery (markers, paper, flipcharts, screen);

Journey 3 and 4: Water, coffee breaks (at the rate of 1 coffee break per day, up to 10 persons per forestry), stationery (markers, paper, flipcharts, screen).

Journey No.	Name	Number of days	Purpose
2021			
1	East Kazakhstan region: 1. Ridder and Pikhtov forestry, Ridder city 2. Zaisan forest husbandry, Zaisan district, Zaisan city	8 days Tentatively September-October	Joint SWOT analysis of the performance of the pilot forestry enterprise over the last 5 years. Data collection and updating.

	Number of participants in the trip: 6 people		
2	<p>Almaty region:</p> <ol style="list-style-type: none"> <li>1. Narynkol forestry , Raiymbek district, Narynkol village</li> <li>2. Zhongar forestry, Aksu district, Kapal village</li> <li>3. Zharkent forestry, Zharkent city</li> <li>4. Uyghur forestry, Uygur district, Chundzha village</li> <li>5. Bakanas forestry, Balkhash district, Bakanas village</li> </ol> <p>Number of participants in the trip: 6 people</p>	12 days Tentatively September-October	Joint SWOT analysis of the performance of the pilot forestry enterprise over the last 5 years. Data collection and updating.
	Total:	20 days	
<b>2022</b>			
3	<p>East Kazakhstan region:</p> <ol style="list-style-type: none"> <li>1. Ridder and Pikhtov forestries, Ridder city</li> <li>2. Zaisan forestry, Zaisan district, Zaisan city</li> </ol> <p>Number of participants in the trip: 10 people</p>	8 days Tentatively March- April	Jointly develop and fill in the sections of the Management Plans. Identification of indicators, key tasks, development of action plans for 5 years.
4	<p>Almaty region:</p> <ol style="list-style-type: none"> <li>1. Narynkol forestry, Raiymbek district, Narynkol village</li> <li>2. Zhongar forestry, Aksu district, Kapal village</li> <li>3. Zharkent forestry, Zharkent city</li> <li>4. Uyghur forestry, Uygur district, Chundzha village</li> <li>5. Bakanas forestry, Balkhash district, Bakanas village</li> </ol> <p>Number of participants in the trip: 10 people</p>	14 days Tentatively March- April	Jointly develop and fill in the sections of the Management Plans. Identification of indicators, key tasks, development of action plans for 5 years.
	In total:	22 days	
	<b>Total:</b>	<b>42 days</b>	

#### QUALIFICATION REQUIREMENTS FOR THE SERVICE PROVIDER:

A service provider may be an organization that meets the following requirements:

- Civil legal capacity to conclude contracts (registration/re-registration certificate, founding documents);
- Be solvent, not subject to liquidation, its property must not be seized, its financial and economic activities must not be suspended in accordance with the legislation (certificates confirming the absence of debts in the banks and tax authorities served, balance sheets for 2019-2020);
- Have at least 3 years of experience in environmental and ecological design, scientific and practical research, implementation of projects in the field of biodiversity conservation, natural resources;



- At least 3 years of experience in the development of various strategic documents, sectoral programs in the field of environmental protection, including the sustainable development of forestry and protected areas;
- Availability of material and technical base to fully carry out the work: computer equipment and office equipment to ensure uninterrupted work and working meetings;
- Provide a list of services provided over the last 3 (three) years in the required area (name of the client, subject of the service/work, year of service provision and total amount of work (if possible), as well as feedback and references from the previous clients (at least 3);
- have qualified experts with experience and qualifications according to the table below, providing a detailed CV and documents confirming the expert's qualifications (diplomas, certificates of advanced training in the subject area, other certificates):

No.	Group members	Qty	Proposed duration of participation in the project, months	Minimum acceptable level of education and specialisation	Experience/Special skills
1.	Team leader/strategic planning expert	1	12 months	Higher education in the field of ecology/forestry/other related disciplines	At least 5 years' experience in environmental protection, ecology, forestry At least 3 years of experience as a head of project or research group Work experience in development of sectoral documents, strategies, programs, development plans, at least 3 years
2.	Finance specialist/logistician	1	6 months	Higher education in economics, finance, financial management or business administration	At least 3 years' experience in administration/logistics.
3.	Expert on forestry	4	10 months	Higher education in field of forestry	At least 7 years' experience in the forestry sector At least 5 years of experience in sustainable forestry projects, forest management projects, forest assessment, forest condition assessment, recommendations for improving forest condition and sustainable forest management.
4.	Expert on tourism	1	6 months	Higher education in tourism	At least 5 years' experience in organisations specialising in tourism development; At least 5 years' experience in designing tourism development programmes at regional or national level, conducting research in the field of tourism;
5.	Expert in sustainable hunting	1	6 months	Higher education in the natural sciences (biology, hunting science)	at least 5 years' experience in wildlife conservation and hunting management;

					at least 5 years' experience in hunting, sustainable use and wildlife conservation projects.
6.	Expert on pastures	1	6 months	Higher education in agronomy/agriculture	At least 5 years' experience in sustainable pasture management and agriculture  Experience in assessing the state of pasture resources, making recommendations for their improvement, developing and implementing new approaches to sustainable pasture management
7.	Expert on budget planning	1	8 months	Higher education in economics, finance	at least 5 years' experience in the profession; at least 3 years' experience in budget development of environmental projects, preparation of economic calculations in the field of natural resources
8.	Legal Expert	1	3 months	Higher education in legal, natural and social sciences	At least 3 years of experience in legal, natural and social sciences. At least 3 years of experience in development of NLAs in the field of ecology, flora and fauna, forestry and protected areas. Knowledge of procedures for development and approval of NLAs according to the regulations of the Government of Kazakhstan.

**Technical Assessment Criteria.**

The scoring method is the Highest Combined Score (based on the 70% technical offer and 30% price weight distribution) where the maximum technical obtainable score is 700 points, minimum passing score of technical proposal is 70% (490 points).

*Information on Criteria for the Assessment of Proposal and list of required documentation is detailed in the Request for Proposal.*

**Talgat Kerteshev**

Project Manager

*Talgat Kerteshev*

30-Jun-2021

signature

date:

**Victoria Baigazina**

OiC, Portfolio Manager

*Victoria Baigazina*

01-Jul-2021

signature

date: