

DRAFT TERMS OF REFERENCE FOR CONSULTANTS

A. Scope of the Consulting Services

1. A consultant team will develop and prepare the proposed investment project for landslide risk reduction in line with ADB and government requirements, including all necessary studies and draft documentation for ADB Board consideration. The assignment will comprise two key outputs.

2. **Landslide risk reduction framework developed.** The underlying framework of landslide risk reduction activities for the ensuing project will be prepared. This will include: (i) capacity and needs assessment of the key stakeholders and poverty, social, and gender assessment with sex-disaggregated data; (ii) methodology for area landslide risk assessment and subproject site selection incorporating earth observation and other advanced technologies; (iii) climate change and seismic risk assessment in project areas; (iv) scope and plan of project interventions for landslide risk reduction expected to include risk management plans, monitoring and early warning systems, slope stabilization and other protective infrastructure; and (v) scope and plan for prospective disaster insurance/financing mechanisms. The TRTA will explore opportunities for community-led approaches and/or participation in capacity building and investment activities.

3. **Preparation of investment project.** This output will (i) apply the risk reduction methodology to develop short-list of investment subprojects and select representative subproject; (ii) conduct topographic and geographic surveys; (iii) prepare feasibility-level structural design for representative subproject incorporating results of climate change and seismic risk assessments and considering nature-based solutions; (iv) conduct economic and financial analysis; (v) prepare financial and procurement management due diligence and action plan; (vi) prepare project safeguards in line with ADB and government requirements including grievance redress framework; (vii) prepare sector assessment and development coordination report; (viii) prepare project cost estimate, financing plan, risk assessment and management plan, gender action plan, procurement plan, implementation schedule, implementation arrangements including role of Ministry of Transport or other stakeholders, and design and monitoring framework including target and baseline indicators and data sources; (ix) prepare technical specifications and draft bidding documents for first procurement package;⁶ and (x) draft documentation for ADB Board consideration and summary documents for internal government project approval as required.

4. Further information and details on the required due diligence and document outputs is provided in Sections G and H below.

B. Terms of the assignment

5. Experts will mainly be based in Bishkek for the duration of the assignment with occasional field work to project areas. The expected duration of the assignment is 13 months (July 2019 to August 2020) and the assignment of experts is intermittent in nature. The core work period will be the initial 9-10 months for the delivery of the draft final report, after which period the consultants will be available to address comments make necessary clarifications for the final report. The terms will be revised based on consultations between the parties involved in the assignment per changes and/or additional requirements identified during implementation.

⁶ This is expected to be goods package for monitoring stations but will be confirmed during project preparation.

6. The government will provide in-kind support in the form of office space for TRTA consultants, counterpart staff, data and information access, and facilitation of consultation with stakeholders.

7. The consultant team will report to the ADB project officer and will duly consult and coordinate with the designated officials from the Government of Kyrgyz Republic.

C. Key Expertise Required

8. The consultant team will be led by an international firm with preferably 10 years' experience in designing and preparing similar externally financed projects in disaster risk reduction and related sectors, preferably with ADB and ideally in Kyrgyz Republic and Central Asia region.

9. A partial lump-sum contract will be awarded against performance-based terms of reference and thus proposing firms will determine the number and the nature of experts they will require to achieve assignment outputs, in accordance with their proposed approach and methodology. However, ADB requires a minimum number of key experts, including a Team Leader and Deputy Team Leader, as tabulated and described in the Table below.

10. In addition to the required key experts, the proposing entities should also include in their technical proposal, in the personnel work plan, and in their financial proposal all other 'non-key' experts required in accordance with their proposed approach and methodology. The proposing entity must also determine and indicate the number of person-months for each key or non-key expert will be required and map all key and non-key experts to the required tasks and outputs. For indicative purposes only, the non-key experts might include financial management specialist, gender specialist, economist, and procurement specialist. Administrative and support roles (e.g. firm's own financial and contract management) should not be included as non-key experts, and such costs should instead be factored into the overall bid price. All experts engaged under the contract, whether key or non-key experts, must be citizens of one of the ADB eligible countries. The assignment is estimated to require 20.5 person-months international inputs and 26 person-months national inputs (key and non-key specialists).

11. The following provisional sums (non-competitive items) will be included in the consultant contract: (i) workshops, training, and seminars; and (ii) studies and surveys.

Table: Required Key Experts^a

Position	Person Months	
	International	National
Landslide Specialist ^a	✓	✓
Hydrologist	✓	
Infrastructure Specialist	✓	
Disaster Insurance Specialist	✓	
Social Safeguards (Resettlement) Specialist	✓	
Environment Specialist	✓	

^a Default team leader (international specialist) and deputy team leader (national specialist). Firms may alternatively propose a team leader among any of the international required key experts.

Source: Asian Development Bank.

D. Outline Terms of Reference for Key Experts

12. This section outlines the required qualifications and expected tasks of the key experts. However, the list of tasks is indicative and actual tasks will depend on the approach and methodology and personnel schedule proposed by the firm, and the mapping of the key and non-key experts to tasks and outputs in the proposal. In addition to the technical inputs specified below, each expert will support the team leader in (i) identifying relevant developments in government strategy, policy, and legislation; (ii) identifying best-practice techniques and lessons learned from previous and ongoing studies and projects of the relevant sectors as well as options to improve the project design; (iii) identifying project design and capacity building requirements specific to their field of expertise; and (iv) preparing relevant sections in the reports.

13. **Team Leader (International).** The International Team Leader will lead the consultant team, manage relationships with the Ministry of Emergency Situations, Ministry of Finance, local administration, ADB, and other stakeholders and coordinate all TRTA inputs and outputs. This is expected to include but not be limited to (i) communication with the responsible ADB project officer and government counterpart focal points; (ii) planning and coordinating TRTA scheduling and resource inputs; (iii) integrated project formulation including capacity building components; and (iv) oversight of due diligence, institutional assessment, safeguards, project packaging, document formulation, and reporting. The Team Leader should ideally have 15 years' experience in preparing and designing similar projects in disaster risk management or related fields, with ideally 5 years' experience in a similar team leadership role. Country and regional experience in similar projects is preferred.

14. **Landslide Specialist (International).** The landslide specialist will lead the geoscientific inputs for the preparation of the landslide risk management framework and technical due diligence. The specialists' tasks are expected to include but not be limited to: (i) leading the sector assessment and accompanying institutional needs assessment and seismic risk assessment; (ii) developing the methodology for subproject identification, prioritization, and selection incorporating among others climate and disaster vulnerability, socioeconomic needs, and safeguards considerations; (iii) overseeing and directing the survey, study, and design for subproject preparation; (iv) proposing the framework for strategic master plan, operations manuals, and other capacity building components; and (v) reviewing and recommending improvements for national landslide monitoring and warning. The specialist must have at least a graduate degree (preferably post graduate degree) in geotechnical engineering, geosciences, civil engineering, or related field, with ideally 10 years' experience in designing and implementing projects in landslide risk management, disaster risk management, or similar. Country and regional experience in similar projects is preferred. The International Landslide Specialist will be the default Team Leader, unless an alternative International Team Leader is indicated among the international key experts in the proposal.

15. **Landslide Specialist/Deputy Team Leader (National).** The specialist's tasks are expected to include but not be limited to (i) supporting close coordination with the Ministry of Emergency Situations and other stakeholders; (ii) providing technical inputs; (iii) facilitating and overseeing necessary data collection; and (iv) facilitating meetings and field visits. The national specialist must have a graduate degree in a related field, and at least 10 years' professional experience in similar activities. Experience in similar projects, particularly with ADB or other similar development partners, is preferred.

16. **Hydrologist (International).** The specialist will lead the impact assessment of key hydrological variables and extreme events such as heavy precipitation and flooding on landslide

risks and the required design parameters of proposed subprojects. The specialist's tasks are expected to include but not be limited to (i) contributing to the sector assessment and climate change assessment including on projected changes to key hydrological variables and extreme events; (ii) collect, collate, and project hydrometeorological information; (iii) review existing hydromet monitoring network and propose additional stations and hydromets and associated capacity necessary for proper monitoring and surveillance of landslide risks. The specialist is expected to assess the change and variability of key climate-related parameters over the project lifetime, to be used as inputs to the climate change assessment, disaster risk assessment, feasibility studies, among others. The specialist should identify the uncertainties associated with the projections and provide guidance on how the results should be interpreted. The specialist must have at least a graduate degree (preferably post graduate degree) in hydrology, hydraulic engineering, civil engineering, or related field, with ideally 10 years' experience in hydrological assessments in similar projects. Country and regional experience in similar projects is preferred.

17. **Infrastructure Specialist (International).** The specialist will lead the inputs related to the development and feasibility study of investment subprojects. The specialist's tasks are expected to include but not be limited to: (i) contributing to the sector assessment and accompanying institutional needs assessment; (ii) developing the methodology for subproject identification, prioritization, and selection; (iii) overseeing and directing the survey, study, and design for subproject preparation incorporating climate and seismic risk management; (iv) proposing the framework for strategic master plan, operations manuals, and other capacity building components; (v) incorporating considerations for sustainable operation and maintenance (O&M) into project scope and design and developing asset management and O&M plan report. The specialist must have at least a graduate degree (preferably post graduate degree) in civil engineering, or related field, with ideally 10 years' experience in infrastructure design in disaster risk management or similar contexts. Country and regional experience in similar projects is preferred.

18. **Disaster Insurance Specialist (International).** The specialist will lead the development of the scope and framework of interventions to strengthen disaster risk financing and insurance under the ensuing project, ensuring alignment with ongoing development partner activities. The specialist's tasks are expected to include but not be limited to: (i) contributing to sector assessment particularly needs assessment on disaster-related financing and insurance both public and private consistent with the ADB-supported *Assessing Financial Protection against Disasters: A Guidance Note on Conducting a Disaster Risk Finance Diagnostic* (2017); (ii) conducting consultations with key stakeholders including government agencies, private insurance firms, and development partners; (iii) identifying scope and requirements for a disaster financing and insurance roadmap to enhance among others enabling environment for incentivizing the take up of disaster risk financing and insurance products; (iv) identifying and proposing key investment and/or capacity building activities with private and public stakeholders for the ensuing project; and (v) identifying opportunities for piloting disaster insurance schemes/products including implementation arrangements and potential structures for co-financing. The specialist must have at least a graduate degree (preferably post graduate degree) in finance, business administration, or related field, with ideally 10 years' experience in disaster insurance and, reinsurance. Country and regional experience in similar projects is preferred.

19. **Social Safeguards (Resettlement) Specialist (International).** The specialist will lead and oversee the inputs related to land acquisition and resettlement safeguards in line with ADB and government's requirements (see Section G). The specialist's tasks are expected to include but not be limited to: (i) preparing and undertaking stakeholder consultations and surveys; (ii) preparing land acquisition and resettlement due diligence report and land acquisition and resettlement plan and framework; and (iii) identifying capacity building needs and proposing

training activities for the Ministry of Emergency Situations and relevant stakeholders. The specialist must have at least a graduate degree (preferably post graduate degree) in social sciences, development studies, engineering, or related field, with ideally 7 years' experience in social safeguards due diligence in disaster risk management or similar contexts. Country and regional experience in similar projects is preferred.

20. **Environment Specialist (International).** The specialist will lead and oversee the inputs related to environmental assessment in line with ADB and government's requirements (see Section G). The specialist's tasks are expected to include but not be limited to: (i) undertaking impact assessment covering both the construction and operation stages of the representative subproject and propose mitigation measures to minimize and/or mitigate the impacts; (ii) preparing and undertaking stakeholder consultations; (iii) for the representative subproject, undertaking as required baseline surveys and detailed assessment on soil/slope stabilization and erosion, hydrology, waste, health and safety including occupational, biodiversity, air quality, noise, surface water, groundwater, traffic, archaeology and cultural heritage, safety, community severance, etc.; (iv) preparing the required environmental safeguard documents, i.e. initial environmental examination (IEE) report, including the environmental management plan, for the sample sub-project and environmental assessment and review framework (EARF) for the project; and (v) identifying capacity building needs and proposing training activities for the Ministry of Emergency Situations and relevant stakeholders. The specialist must have at least a graduate degree (preferably post graduate degree) in environmental sciences, biology, development studies, engineering, or related field, with ideally 7 years' experience in social safeguards due diligence in disaster risk management or similar contexts. Country and regional experience in similar projects is preferred.

E. Preparation of Proposal

21. Shortlisted entities are requested to prepare a proposal. The proposal should include a detailed description of how they propose to deliver on the outputs of the contract in the section of their proposal called "Approach and Methodology". In this narrative, entities should be explicit in explaining how they will achieve the outputs, any information on their existing activities upon which they may eventually build, and details of what staff will comprise the project team. Firms should seek to draw from and build on the due diligence conducted for the earlier ADB *Climate Change and Disaster-Resilient Water Resources Sector Project* (G0632/L3746), particularly the financial management and procurement risk assessments.⁷

22. Entities must also describe their experience in Kyrgyz Republic and Central Asia, and their ability to operate in Russian language.

23. Only one curriculum vitae (CV) must be submitted for each key and non-key expert included in the proposal. Only the CVs of key experts will be scored as part of the technical evaluation of proposals. The CVs of non-key experts will not be scored, however ADB will review and individually approve or reject each CV for each non-key expert position in the proposal.

24. All positions under the contract, both key and non-key experts, must be included and budgeted for in the financial proposal in accordance with the person-month allocation required for each as defined by proposal.

⁷ Available online: <https://www.adb.org/projects/documents/kgz-51081-002-rrp>

F. Reporting requirements

25. **Reports.** The consulting firm will prepare and submit as a minimum the reports specified below.

- (i) **Draft inception report** to be submitted one week prior to the inception workshop. The report will include a review of the proposed approach and methodology for key tasks under each output, detailed workflow, staffing schedule, and schedule of deliverables. The **final inception report** is to be submitted within 1 week of receiving comments on the draft report.
- (ii) **Draft midterm report** to be submitted two weeks prior to the midterm workshop. The midterm report is expected to present interim deliverables as per agreed work schedule. A **final midterm report** is to be submitted within 1 week of receiving comments on the draft report.
- (iii) **Draft final report** to be submitted two weeks prior to the final workshop. The final report is expected to present draft final deliverables under all three outputs, including all documentation for ADB Board consideration. The **final report** is to be submitted within 1 week of receiving comments on the draft final report.
- (iv) Progress summaries will be submitted every 4 weeks after the inception workshop. The report will record information required by ADB on project progress, including but not limited to (i) status of progress of each output in relation to the schedule, (ii) record of key meetings and consultations, (iii) assessment of challenges and ways to overcome them, (iv) upcoming major tasks, meetings, etc. and (v) financial status. It is strongly encouraged that the progress summaries also include in-progress drafts of the midterm or final report (as appropriate) for advanced review and comment by the ADB project team.

26. **Meetings and workshops.** The consulting team will organize and participate in meetings and workshops with ADB, the government counterparts, local community organizations and other stakeholders, and development partners in order to foster quality project outputs and stakeholder ownership. The meetings and workshops listed below are the minimum such sessions expected. If appropriate, the consultant firm is encouraged to conduct additional workshops and stakeholder sessions as deemed necessary.

- (i) **An inception workshop** will be conducted to summarize and discuss the initial findings for the draft inception report and agree next steps, within 4 weeks of the commencement of services, expected August/September 2019.
- (ii) **A midterm workshop** will be conducted to summarize and discuss the findings of the draft midterm report and agree next steps, expected end of February 2020.
- (iii) **A final workshop** will be conducted to summarize and agree the findings of the final report, expected start May 2020.
- (iv) **Extensive stakeholder consultations** should be undertaken with government counterparts, local community organizations and other stakeholders, and development partners as part of the delivery of each output.

- (v) **Periodic progress review meetings** will be conducted with ADB and government counterparts, tentatively every 4 weeks.

27. **Language and formats.** All reports to ADB shall be produced in English. Reports shall be provided in both printed and electronic form. The consulting firm shall provide to the executing agency 3 copies of each report in Russian and 1 copy in English. The consulting firm shall provide to ADB with electronic versions of the reports and associated outputs/deliverables/analysis. All handouts, slide presentations, and related material for meetings and workshops must be in both English and Russian. The consulting firm will be expected to procure all interpretation and translation services.

G. Information and specifications of due diligence

28. In preparing the proposal, the shortlisted entities should be advised of the following information and specifications expected of deliverables required under output "Preparation of investment project" (see para. 3).

29. **Environment safeguards.** The consultant team will (i) prepare IEE and EARF reports to meet the requirements of ADB's *Safeguards Policy Statement* (2009), including a costed environmental management plan (EMP) and grievance redress mechanism that is in line with the Kyrgyz Republic national regulations and will be a combined mechanism for handling both environmental and social concerns; (ii) assist the implementing agencies in conducting meaningful public consultation with the project affected people; (iii) assist the implementing agencies in consultation with relevant national authorities and getting necessary government environmental approval and permissions; and (iv) assist the implementing agencies in ensuring that the bidding documents, as well as the project administration manual, adequately address the cost and tasks for EMP implementation. Selection of investment subprojects should seek to avoid significant and/or complex environment issues.

30. **Land acquisition and resettlement safeguards.** The consultant team will (i) assess and compare government land acquisition and resettlement legislation, policies, and framework with those of ADB, (ii) assess all potential assets and people impacted with the project interventions; (iii) prepare due diligence report or land acquisition and resettlement plan for the representative subproject and land acquisition and resettlement framework for the project as required based on the national legislation, policies, and framework and ADB *Safeguard Policy Statement* (2009) including entitlement matrix, cost estimate, and monitoring framework; and (iv) assess the capacity of the executing agency to implement the resettlement plans and propose capacity building program. Selection of investment subprojects should seek to avoid significant and/or complex land acquisition and resettlement issues.

31. **Economic and financial analysis.** The consultant team will conduct economic and financial analysis of the project in line with ADB *Guidelines for the Economic Analysis of Projects* (2017) and ADB *Preparing and Presenting Cost Estimates for Projects and Programs Financed by the Asian Development Bank* (2014). The analysis is expected to include cost-benefit analysis, analysis of alternatives, sustainability analysis, risk and sensitivity analysis, analysis of distribution of project costs and benefits, and identification of indicators and baselines for project design and monitoring framework. The team's activities are expected to include but not be limited to: (i) estimate project costs; (ii) identify and estimate project benefits; (iii) prepare financing plan and investment scenarios; (iv) carry out economic analysis of the project; (v) conduct sensitivity analysis using various scenarios of costs, benefits, and implementation schedules; and (vi)

assess the financial sustainability of the project to confirm that adequate funds are available for maintenance of the various facilities created with project funds.

32. Financial management assessment. The consultant team will conduct financial management assessment of the project in line with ADB Technical Guidance Notes on *Financial Management Assessment* (2015) and *Project Financial Reporting and Auditing* (2015), and ADB *Financial Management and Analysis of Projects* (2005). The financial analysis should cover the executing agency and (if applicable) any implementing agencies. A fiscal assessment of the government departments also needs to be conducted to assess their capacity to spend their budgets allocated. The team's activities are expected to include but not be limited to: (i) assessing whether previous financial management assessments have been conducted by ADB or other agencies and, if so, reviewing the results and ascertaining whether these can be used as input; (ii) assessing capacity for planning and budgeting, management and financial accounting, reporting, auditing, internal controls, and information systems; (iii) reviewing proposed disbursement and funds-flow arrangements; (iv) concluding on the financial management risk rating and identifying and confirming measures for addressing identified deficiencies; (v) supporting the preparation and agreement of cost estimates and a financing plan, which are based on verifiable data and are sufficient to support project implementation; (vi) preparing financial projections and conducting financial analyses of the executing and implementing agencies, and incremental recurrent costs, to determine financial sustainability, and where applicable reviewing proposed cost-recovery and tariff policies, including affordability; (vii) conducting financial evaluations (financial cost-benefit analyses) including sensitivity analyses of project components that have a cost-recovery objective; (viii) where significant risks are identified to project financial sustainability or viability, proposing relevant financial performance indicators to be incorporated in financial covenants; and (ix) assessing and reaching agreement on financial reporting, auditing and public disclosure arrangements for the project, and, as appropriate, identifying and agreeing arrangements for receiving financial statements from executing and/or implementing agencies.

33. Procurement assessment and planning. The consultant team will review and update the existing project procurement risk assessment from the ADB *Climate Change and Disaster-Resilient Water Resources Sector Project* (G0632/L3746)⁸ with (i) a strategic procurement plan appropriate for project requirements; and (ii) sector-related market risk assessment for planned procurement activities. For the general strategic procurement plan format, see Appendix 1 of ADB *Guidance Note on Procurement: Strategic Procurement Planning*. The market risk assessment should follow the ADB *Guidance Note on Procurement: Procurement Risk Framework*. The consultant team will prepare the procurement section of the project administration manual, including contract packaging in line with best international practices, ADB's procurement procedures, and the ADB *Guidance Note on Procurement: Strategic Procurement Planning*. ADB Guidance Notes on Procurement can be found at: <https://www.adb.org/documents/guidance-notes-on-procurement>.⁹

34. Poverty, Gender, and Social Assessment. The assessment include (i) demographic profile of communities and landslide vulnerability and exposure in the project area; (ii) mobility patterns of women and men, means of transportation used by women and men, girls and boys; (iii) women's community involvement, including in local governance and disaster risk management, if any, or in any civil society organization; (iii) mapping of stakeholders, identifying where women are and their extent of involvement as stakeholders; (iv) organizational diagnostic

⁸ Available online: <https://www.adb.org/projects/documents/kgz-51081-002-rrp>

⁹ See also: <https://www.adb.org/documents/adb-procurement-policy>

of executing agency, implementing agency, and prospective partner private insurance companies on gender balance and policies and programs that impact directly on women; and (v) a stocktaking of existing government policies, plans, programs relevant to disaster risk, including on landslides, as well as existing insurance policies and coverage, and identify areas where women are impacted differently and thus need to be visibly involved, so these may be included in the ensuing master plan that will be developed. Hazard mapping should include gender as one of the factors being considered, to identify where women and children are at certain times of the day.

H. Documents for ADB Board consideration

35. The draft documents to be produced by the consultant team for the draft final report are:

- (i) Project Administration Manual
- (ii) Development Coordination
- (iii) Summary Sector Assessment
- (iv) Detailed Sector Assessment
- (v) Summary Economic and Financial Analysis
- (vi) Detailed Economic and Financial Analysis
- (vii) Summary Poverty Reduction and Social Strategy
- (viii) Gender Action Plan
- (ix) Poverty, Gender, and Social Assessment
- (x) Risk Assessment and Risk Management Plan
- (xi) Financial Management Assessment
- (xii) Project Procurement Risk Assessment and Strategic Procurement Plan
- (xiii) Summary Climate Change Assessment
- (xiv) Landslide Risk Assessment including Detailed Seismic and Climate Change Assessments
- (xv) Technical Feasibility Study for Representative Subproject
- (xvi) Initial Environmental Examination
- (xvii) Environmental Assessment and Review Framework
- (xviii) Social Safeguards Due Diligence Report or Land Acquisition and Resettlement Plan
- (xix) Land Acquisition and Resettlement Framework
- (xx) Asset Management and Operation and Maintenance Plan

36. Sample documents are available for review on the ADB website:

<https://www.adb.org/projects/documents>