

**REQUEST FOR QUOTATION (RFQ)**

Date: 28 April 2012

Dear Sir/Madam,

**Subject:** Request for Quotation for services “Revise of preliminary Transboundary Diagnostic Analysis for the Russian Federation”.

**Project:** 00078317, Integrated Natural Resource Management in the Baikal Basin Transboundary Ecosystem

**Case reference:** RFQ/EMO/2012-006 (IWC-78317)

1. The United Nations Office for Project Services (hereinafter “UNOPS”) is pleased to invite you to submit a quotation for supply of the services described in Annex I to this Request for Quotation.
2. We would appreciate receiving your quotation on or before **31 May 2012 10:00 a.m. Irkutsk time** via e-mail [DmitriP@unops.org](mailto:DmitriP@unops.org) (it must not exceed 8MB) or fax **+73012415759** to the attention of **Dmitry Popov**. Please specify above project and reference number on your quotation.
3. Any requests for clarification should be referred to:  
Contact Person: Dmitry Popov  
Office: UNOPS  
Address: Room: 13,  
8, Sakhyanovoy Str.,  
670047, Buryatia, The Russian Federation  
  
Telephone: +7 3012 415759  
Fax +7 3012 415759  
E-Mail: [DmitriP@unops.org](mailto:DmitriP@unops.org)
4. Your quotation shall include the following:
  - Brief approach and methodology as well as CV(s) of proposed staff/personnel in response to the Terms of Reference as per Annex I.
  - Fixed overall quotation in a single currency (see Annex II) with the following structure:  
  
Name(s) of consultant(s)  
Number of working days and daily fee  
Daily subsistence allowance  
Number of international travels and cost  
Number of local travels and costs  
Other costs  
TOTAL
  - Completed Previous Experience Form (see Annex III)

5. UNOPS evaluates the quotations based on best value, i.e. best quality and cost-effectiveness of the proposed offers. The following aspects will be considered for the evaluation:
- (a) Suitability of the approach and methodology including firm's capacity to undertake the services
  - (b) Qualifications and suitability of the staff/personnel proposed for the assignment including their previous experience with same type of assignment
  - (c) Cost-effectiveness of price quotation

A two-stage procedure will be utilized in evaluating the proposals, with evaluation of the technical component being completed prior to any price component being opened and compared. The Price Component will be opened only for those firms/institutions whose Technical Component meets the requirements for the assignment. The total number of points which a firm/institution may obtain for both components is **[150]**.

- I. The technical component, which has a total possible value of **[100]** points, will be evaluated using the following criteria:
- a) local presence in a country relating to the assignment - max 10 points;
  - b) the firm/institution's general reliability as well as experience and capacity in the specific field of the assignment (10 points);
  - c) the approach in responding to the TOR and the detailed work plan ( 30 points);
  - d) other experience relating to the assignment, which can be considered favorably - max 10 points;
  - e) The qualifications and competence of the personnel proposed for the assignment for a total of ( 40 points). The personnel will be rated in accordance with:
    - i. their general qualifications ( 10 points);
    - ii. suitability for the assignment ( 10 points); and
    - iii. their language qualifications and experience in the region ( 20 points).

- II.
- a) The Price Component of any proposal will only be evaluated if the Technical Component of that proposal achieves a minimum of **[70]** points. Proposals failing to obtain this minimum threshold will not be eligible for further consideration.
  - b) The maximum number of points for the Price Component is **[50]**. This maximum number of points will be allocated to the lowest price proposal. All other price proposals will receive points in inverse proportion according to the following formula:

Points for the Price Component of a proposal being evaluated =

$$\frac{[\text{Maximum number of points for the Price Component}] \times [\text{Lowest price}]}{[\text{Price of proposal being evaluated}]}$$

Please note that the UNOPS is not bound to select any of the firms/institutions submitting proposals. Furthermore, since a contract will be awarded in respect of the proposal which is considered most responsive to the needs of the project concerned, due consideration being given to UNOPS's general principles, including economy and efficiency, UNOPS does not bind itself in any way to select the firm/institution offering the lowest price.

6. A contract may be awarded to the bidder having submitted the quotation representing the best value for UNOPS. However, UNOPS reserves the right to accept or reject any quotation, and to cancel the process and reject all quotations, at any time prior to the award of contract, without thereby incurring any liability to the Bidders or any obligation to inform the Bidders of the grounds for such action.
7. UNOPS reserves the right to make multiple arrangements for any item or items.
8. In the event of a Contract the UNOPS General Conditions will apply. The conditions are available at <http://www.unops.org/english/whatweneed/Pages/Guidelinesforsuppliers.aspx> under "UNOPS general conditions of contract": UNOPS Conditions of Services - For contracts of a value of less than USD 50,000. (Annex IV)
9. **Supplier eligibility.** Suppliers shall not be eligible to submit an offer and to be awarded a contract when at the time of bid submission:
  - (a) Suppliers are already suspended by UNOPS, or,
  - (b) Supplier's names are mentioned in the UN 1267 list of Terrorists issued by the Security Council resolution 1267, which establishes a sanctions regime to cover individuals and entities associated with Al-Qaida and/or the Taliban, or,
  - (c) Suppliers are suspended by the UN Procurement Division (UN/PD), or,
  - (d) Suppliers have been declared ineligible by the World Bank.

Furthermore, as a condition of doing business with UNOPS it is necessary that suppliers, their subsidiaries, agents, intermediaries and principals cooperate with the Office of Internal Oversight Services (OIOS) of the United Nations, UNOPS Internal Audit and Investigations Group (IAIG) as well as with other investigations authorized by the Executive Director and with the UNOPS Ethics Officer (during preliminary reviews in line with UNOPS whistle blower policy) as and when required. Such cooperation shall include, but not be limited to, the following: access to all employees, representatives, agents and assignees of the supplier; as well as production of all documents requested, including financial records. Failure to fully cooperate with investigations will be considered sufficient grounds to allow UNOPS to repudiate and terminate the contract, and to debar and remove the supplier from UNOPS's list of registered suppliers.

**10. Information regarding Bid Protest can be found at:**

<http://www.unops.org/english/whatwedo/services/procurement/Pages/Procurementpolicies.aspx>

11. UNOPS strongly encourages all Bidders to subscribe to the Tender Alert Service available on the United Nations Global Market Place ([www.ungm.org](http://www.ungm.org)). This will allow Bidders to be notified automatically of all UNOPS business opportunities for the products and services for which they have registered. Instructions on how to subscribe to the Tender Alert Service can be found in the UNGM Interactive Guide for Suppliers.

12. UNOPS will effect payment within 30 days after receipt of original payment documentation.

We look forward to receiving your quotation.

Yours sincerely,  
Sergey Kudelya  
Project Manager  
EMO/IWC  
UNOPS  
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8, Sakhyanovoy Str.,  
670047, Buryatia, The Russian Federation  
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**ANNEX I - TERMS OF REFERENCES**

<b>Location:</b>	<b>Ulan-Ude, Moscow, the Russian Federation</b>
<b>Type of Contract:</b>	<b>Service Contract</b>
<b>Post Level:</b>	<b>Local</b>
<b>Languages Required:</b>	<b>English, Russian</b>
<b>Starting Date:</b>	<b>15-June-2012</b>
<b>Duration of Initial Contract:</b>	<b>15-June-2012 – 15-December-2012</b>
<b>Expected Duration of Assignment:</b>	<b>6 months</b>

**Background:**

The project's objective is to spearhead integrated natural resource management of Baikal Lake Basin and Hövsgöl Lake ensuring ecosystem resilience, reduced water quality threats in the context of sustainable economic development. The project has three primary components: elaborating a strategic policy and planning framework; strengthening institutional capacity for IWRM; and demonstrating water quality and biodiversity mainstreaming practice, including groundwater monitoring and protection.

This project builds upon a solid, decades-old baseline of bilateral cooperation between Russia and Mongolia on the transboundary waters of the Selenga River and by extension the Baikal Basin itself. To date, international support for environmental conservation and management in the Baikal Basin has not been transboundary in orientation; little support has been provided the two countries in strengthening their transboundary cooperation to manage sustainably the globally significant environmental benefits represented by the incomparable Lake Baikal and its transboundary Basin, at the top of which lies Mongolia's aquatic jewel, Lake Hovsgol. In addition to this solid baseline of transboundary cooperation are two rapidly growing economic baselines in mining and tourism, with mining being the biggest and fastest growing economic activity in the Baikal Basin and tourism a smaller but also rapidly growing sector in both the Russian and Mongolian portions of the Baikal Basin. Both of these sectors hold much promise in becoming better stewards of the Baikal Basin's aquatic ecosystems. In the absence of a GEF investment, these barriers are likely to continue hampering an effective transboundary response to the critical threats that are already impacting the ecosystem health and resilience of the Baikal Basin.

Successful implementation of a regional project like "Integrated Natural Resource Management in the Baikal Basin Transboundary Ecosystem", to a large degree depends on effective implementation and ownership of project-inspired work at the national and local levels.

**Justification:**

During the project preparation phase a preliminary TDA has been prepared. In the preliminary TDA a detailed analysis of the status and use of water resources, quality of surface and groundwater chemical parameters was conducted, an inventory of water pollution sources, the effectiveness of existing monitoring system has been carried out. A state of ecosystems and biodiversity in Lake Baikal has been also estimated.

Socio-economic parameters in the Russian and Mongolian parts of the basin have been identified; an analysis of measures has been aimed at protecting Lake Baikal and barriers to basin effective management have been identified. Legislative and regulatory framework of

Russia and Mongolia have been analyzed, as well as the interest of various sectors of society in an effective integrated management of water resources of Lake Baikal has been identified. The result of TDA is recommendations of improving the management of basin water resources, as well as proposals for the implementation of pilot projects.

In addition, a cause-effect analysis has been made, which determines the present and long-term causes of the identified problems and contains an evaluation of their importance and priority.

The preliminary TDA establishes a good basis for rapid completion of a TDA during the project's first year. An expert working group will focus upon some specific priorities for enhancing the preliminary TDA. The first priority will be to elaborate a causal chain analysis to ensure that root causes of threats to aquatic ecosystem health are considered and prioritized. A second priority will be to establish baselines and SMART indicators of success for water quality and biodiversity that can be used to measure results as the SAP is being implemented. As a part of the TDA, an assessment of water pollution threats through surface and ground water interactions (intermixing) will be conducted (in connection to an assessment of transboundary problems in integrated surface and ground water resources management of the Baikal Basin). As part of the TDA preparation process, under the direction of the Project Management Unit (PMU) under the UNDP GEF project, the PMU will organize a series of stakeholder consultations with NGO's, industry and local government representatives, to review ecosystem threats. Services will be coordinated with service provider in Mongolia who is working on the related assignment to update the TDA on the Mongolian side.

#### **Development objective:**

To revise and enhance the preliminary Transboundary Diagnostic Analysis of threats to the Baikal Basin ecosystem including Hövsgöl lake in Mongolia, including causal chain analysis.

#### **Immediate objective(s):**

This Service will be done as part of the Output 1.1, "Transboundary Diagnostic Analysis threats to the ecosystem of Lake Baikal, including Lake Hovsgol has been completed". The Service will facilitate the TDA-SAP process in accordance with the GEF best practice guidelines.

The service is expected to deliver the following results:

1. Lead the revision and enhancing of preliminary TDA in the Russian Federation, developed during the preparatory phase of the project in coordination with TDA Scientific Advisory Group Leader (employed by PMU) and Mongolian leading consulting company.
2. Preparation of detailed reports on focus areas of the TDA through scientific regional and national expertise from Russia in the field of biodiversity, hydrology and hydrochemistry, socio-economic, institutional capacity and local and international law expertise).
3. Translate them into English and provide them to TDA Scientific Advisory Group Leader.
4. Organize joint workshop of TDA scientific groups from Mongolia and the Russian Federation.
5. Revise and enhance the sections bellow of preliminary TDA:

#### **GENERAL CHARACTERISTICS**

- Landscape and Topography

- Climate and Precipitation
- Hydrology
- Water Quality
  - Lake Baikal Water Quality Characteristics
  - Rivers inflowing into Baikal
  - Anthropogenic Impact
  - Characteristics of the water Objects Qualitative and Quantitative Indices
- The Lake Level and its Relation to the Hydropower Plants
- Geology and Soils
- Hydrogeology
  - Ground Water Role in Hydrological Cycle
  - Interaction between the Surface and Ground Waters in the Lake Baikal Basin
  - Hydrogeology of the Lake Baikal Basin and assessed ground water resources
  - Ground Water Quality and Pollution
  - Ground Water Transboundary Resources

#### **BIODIVERSITY AND ECOSYSTEMS**

- Biotic Diversity and Ecosystems Spatial Distribution
- Aquatic Flora and Fauna
- Terraneous flora and fauna
- Specially Protected Areas

#### **SOCIO-ECONOMIC SITUATION IN THE LAKE BAIKAL BASIN**

- Population and Demographic Situation
- Economic Indices: Income, Poverty and Employment Levels, Education
- Municipal Infrastructure
- Economic Activity
  - Agriculture (with Cattle-Breeding)
  - Forestry
  - Fishery
  - Industry
  - Mining Industry
  - Oil and Gas
  - Energy Production
  - Transport
  - Tourism

#### **LEGAL AND REGULATORY ISSUES**

- National Level
  - Basic Governmental Structure and Key Ministries and Agencies
  - Primary Laws and Regulations
  - Legislation regulating the extraction and utilization of ground and surface waters
  - Authorities at Regional and Municipal Levels
  - Environmental Control, Violations, and Compensations
  - Financing of Activities to Protect the Lake Baikal Basin
- International Level
  - Agreements on Water Resources in the Lake Baikal Basin in Force



- Previously Acting Agreements in the Lake Baikal Basin
- Joint Actions in the Lake Baikal Basin
- Activities in the Lake Baikal Basin Sponsored by the International Organizations

#### MAIN PERCEIVED PROBLEMS AND WAYS TO ADDRESS THEM

- Problems Related to Impact on Human Health
- Problems of pollution with persistent organic pollutants and heavy metals and biological indication in the Lake Baikal ecosystem
- Groundwater- related problems in the Lake Baikal Basin
- Main issues of socioeconomic development
- Problems related to the impact of economic activity on water bodies
- Problems related to biodiversity degradation
- Problems related to transboundary agreements
- Problems related to insufficient organizational activities
- Main problems related to stakeholder interests

#### HOT SPOTS ANALYSIS

- Criteria Used to Select Hot Spots
- Russian Federation Territory
- Mongolia Territory

#### STAKEHOLDERS ANALYSIS

Updated TDA has to include goals of biodiversity management in policies and practices of economic sectors to help maintain the basic functions of aquatic ecosystem, which are aimed on maintaining welfare of the environment and human rights, including:

1. Assessment of aquatic biota (microbiocenoses, phytoplankton, zooplankton, zoobenthos), which forms the primary production of aquatic ecosystems;
2. Assessment the impact of parasitofauna in the water and near-water the ecosystem;
3. Evaluation of the major valuable fish species migrating in lake-river system: grayling, lenok, trout, sturgeon, omul, taimen; (Parameters include; i.e. population trends, habitat condition, reproduction rate, threats )
4. Assessment and mapping of illegal activities areas, detrimental to biodiversity, including poaching, illegal fishing and logging;
5. Identification and mapping of centers of wealth in water and near-water biodiversity in basin ecosystems;
6. Detailed analysis of threats and mapping of data on the state of the environment in protected areas, data on threats to biodiversity, on existing sites, transferred or applied to the mining development on territories of both countries. (in connection with project activity 1.2, 1.4)

Provide training for the regional partners on the GEF TDA-SAP process and expectations;  
Translate revised TDA document into Russian;

#### **Input:**

- Preliminary TDA document
- TDA Scientific Advisory Group Leader



**Specific Deliverables:**

## 1. The revised detailed TDA, including:

a) Strategy for eliminating the risks of water quality, including the parameters of inflow to the delta of Selenga and runoff from it, discharge of nutrients and persistent organic substances, taking into account submissions received during the execution outcome 1.2 "study issues related to habitat and water quality in Selenga delta, including the discharge of toxic pollutants and nutrients, water level fluctuations, the state of sediments and health of benthic zone";

b) Assessment of health risks for people in Buryatia and Mongolia, scales and causes of diseases transmitted by water and affecting the population;

c) The interaction of surface and groundwater within the basin of the river Selenga and the corresponding threat of pollution resulting from this interaction, taking into account the submissions received during the execution of the total of 1.3 "Evaluation transboundary problems of cross-border management of surface and groundwater of Lake Baikal and associated threat of contamination" ;

d) clarification of hot spots in the basin of Lake Baikal, including both active and closed industrial facilities, taking into account submissions received during the execution of outcome 1.4 "Evaluation of hot spots of pollution in the basin of Lake Baikal, including a list of priority projects for consideration for further investment development of a feasibility study and revision of standards to reduce discharges of industrial pollution in the basin of Lake Baikal / Selenga ";

e) specification of the social-economic parameters in the basin of Lake Baikal, in the territory of Mongolia and Russian Federation, which could have negative impacts on water objects and biodiversity;

f) changes that took place at the national level in the legal and regulatory issues, and identify the main problems and issues in the field of legislation relating to Lake Baikal, and that may have an impact on water resources management and biodiversity preservation.

g) Detailed analysis of the strengths and weaknesses (GAP analysis) in integrated management of water resources.

h) Establishment of basis and indicators of success of the project on water quality and biodiversity, which can be used to measure the results.

2. Development of recommendations for innovative solutions to key problems and reducing pollution of Lake Baikal to the effective implementation of integrated water resources management and biodiversity conservation in the Russian Federation and Mongolia in order to use them in the Strategic Plan of Action, which will be further developed, based on the results of the TDA.

**Expected Outputs, reports and related logistics:**

- Detailed calendar plan for activities at the end of first 15 days.
- TDA-SAP workshop preparatory materials and final reports.

- Technical progress reports (every 2 months)
- TDA-SAP workshop multimedia materials (photo, video, audio records)
- Consultant's thematic reports in both languages.
- Revised TDA document in Russian.

All scientific publications made within the framework of the consultancy must have reference on the project and have to be provided to Project Manager.

Payment will be made in 3 installments based on the acceptance of the required deliverables by the Project Manager as specified below:

- 20% payment as a first installment upon the submission of detailed calendar plan for activities to be carried out within the framework of the consultancy;
- 40% remaining payment upon the submission of TDA-SAP workshop reports;
- 40% final payment upon submission of revised TDA document in Russian – no later 1 Dec.2012.

**Qualifications:**

1. Technical expertise in the required fields of: biodiversity, biology, hydrology, socio-economy, governance and institution building.
2. Demonstrated experience in similar project and relevant fields (please provide up-dated list of projects, preferably in the country).
3. Presence of the company in the country.
4. Fluency in writing and spoken the Russian language.
5. Fluency in writing and spoken English.
6. Availability of required tools and material for the scientific work.

**Budget:** An indicative cost of USD 48,000 has been estimated for these services.

**ANNEX II. FINANCIAL OFFER**

Name(s) of consultant(s) (a)	Number of working days (b)	Daily fee (c)	Daily subsistence allowance (d)	Total (e)=(b)x((c)+(d))
<b>GRAND TOTAL</b>				

International/National travels (a)	Quantity (b)	Cost (c)	Currency (d)	Total (e)=(b)x(c)
<b>GRAND TOTAL</b>				

Other Costs (description)	Cost
<b>GRAND TOTAL</b>	

**ANNEX III: PREVIOUS EXPERIENCE FORM**

<b>Previous Experience</b>				
<b>Description of services/goods/works/</b>	<b>Country</b>	<b>Total amount of contract</b>	<b>Contract Identification and Title and Contact details of Client: (Name, Address, telephone, email, fax)</b>	<b>Year project was undertaken</b>

Authorized Signature: \_\_\_\_\_

Date: \_\_\_\_\_

## **ANNEX IV - UNOPS CONDITIONS OF SERVICES**

**1-Contractor's Status** In all matters relating to this Contract, the Contractor shall be acting as an independent contractor. Neither the Contractor nor its employees are the employees of UNOPS. The Contractor assumes all liabilities or obligations imposed by any law or regulation with respect to such employees. The Contractor shall not have the authority to create any obligation on behalf of UNOPS and shall not represent itself as an agent, employee or in any other capacity of UNOPS. The Contractor shall be responsible for the professional and technical competence of its employees, who shall be expected to respect local customs and conform to a high standard of moral and ethical conduct.

**2-Damage to Persons and Property** The Contractor shall indemnify and hold harmless UNOPS, its officers, agents, employees and servants from and against all suits, claims, demands, proceedings, and liability of any nature or kind, including costs and expenses, for injuries or damages to any person or any property whatsoever which may arise out of or in consequence of acts or omissions of the Contractor or its agents, employees, servants or subcontractors in the execution of this Contract.

**3-Intellectual Property Rights** All intellectual property and other proprietary rights, including but not limited to patents, copyrights and trademarks, in all countries, with regard to maps, drawings, photographs, mosaics, plans, manuscripts, records, reports, recommendations, estimates, documents and other materials, except pre-existing materials, publicly or privately owned, collected or prepared as a consequence of or in the course of the performance of this Contract, shall become the sole property of UNOPS. The Contractor shall hold harmless and fully indemnify UNOPS from and against all claims and proceedings for infringement of any patent rights, design trademark or name or other protected rights resulting from Contractor's performance.

**4-Confidentiality** All maps, drawings, plans, reports, documents and all other data compiled by or received by the Contractor under the Contract shall be the property of UNOPS, shall be treated as confidential and shall be delivered only to the duly authorized representative of UNOPS upon completion of the Services.

**5-Advertising** The Contractor shall not advertise or otherwise make public the fact that it is performing, or has performed services for UNOPS or use the name, emblem or official seal of UNOPS or the United Nations or any abbreviation of the name of UNOPS or the United Nations for advertising purposes or any other purposes.

**6-Modifications** Any modification or change to this Contract shall require an amendment in writing between both parties duly signed by the authorized representatives of the Contractor and UNOPS.

**7-Sub-contracting and Assignment of Contract** The Contractor shall not sub-contract the Services or otherwise assign, transfer, pledge or make other disposition of this Contract or any part thereof or of any of the Contractor's rights, claims or obligations under this Contract.

**8-Termination** UNOPS may terminate this Contract for cause or convenience in the interest of the UNOPS upon not less than fourteen (14) days written notice to the Contractor. Upon termination of this Contract, the Contractor shall take immediate steps to terminate his performance of the Contract in a prompt and orderly manner and to reduce losses and to keep further expenditures to a minimum. Unless such termination has been occasioned by the Contractor's breach of this Contract, the Contractor shall be entitled to be paid for the part of the Services satisfactorily completed as of the date of termination, plus substantiated costs resulting from commitments entered into prior to the date of termination as well as any reasonable substantiated direct costs incurred by the Contractor as a result of the termination, but shall not be entitled to receive any other or further payment or damages.

**9-Privileges and Immunities** Nothing in or relating to this Contract shall be deemed a waiver of any of the privileges and immunities of the United Nations of which the UNOPS is an integral part.

**10-Settlement of Disputes** Any controversy or claim arising out of or in connection with provision of this Contract or any breach thereof, shall, unless resolved through direct negotiation, be settled in accordance with the UNCITRAL Arbitration Rules then in force. UNOPS and the Contractor shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such controversy or claim.