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Date: 24 January 2013

INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

for individual consultants and individual consultants assigned by consulting firms/institutions

Country:	Viet Nam
Description of the assignment:	<u>One international consultant</u> and <u>one national consultant</u> – PROJECT INCEPTION PHASE
Project name:	“Strengthening capacity on climate change initiatives in the Industry and Trade sectors” - CCII Project
Period of assignment/services (if applicable):	Starting: 25 February 2013

1. Submissions should be sent by email to: nguyen.thi.hoang.yen@undp.org no later than: **17.00 hrs., 3 February 2013 (Hanoi time)**.

With subject line: International consultant / or national consultant – PROJECT INCEPTION PHASE

Submission received after that date or submission not in conformity with the requirements specified this document will not be considered.

Note: Maximum size per email is 7 MB.

Any request for clarification must be sent in writing, or by standard electronic communication to the address or e-mail indicated above. Procurement Unit – UNDP Viet Nam will respond in writing or by standard electronic mail and will send written copies of the response, including an explanation of the query without identifying the source of inquiry, to all consultants.

2. Please find attached the relevant documents:

- [Terms of Reference \(TOR\)](#)..... (Annex I)
- [Individual Contract & General Conditions](#)..... (Annex II)
- [Reimbursable Loan Agreement](#) (for a consultant assigned by a firm) & [General Conditions](#) (Annex III)
- [Insurance Coverage Table](#)..... (Annex IV)
- [Vendor Form](#) (Annex V)
- [Guidelines for CV preparation](#)..... (Annex VI)
- [Format of financial proposal](#)..... (Annex VII)

3. Interested individual consultants must submit the following documents/information **(in PDF Format)** to demonstrate their qualifications:

- a. Technical component:
 - Signed Curriculum vitae
 - Expression of interest, explaining why he/she is the most suitable for the work.
 - Copy of 1-3 publications/writing samples.
 - Contact reference of past 4 clients for whom you have rendered preferably the similar service

b. Financial proposal **(with your signature)**:

- The financial proposal shall specify a total lump sum amount in **US Dollar (for international consultant)** and in **Viet Nam Dong (for national consultant)** including consultancy fees and all associated costs i.e. airfares, travel cost, meal, accommodation, tax, insurance etc. – see format of financial offer in Annex VII.
- Please note that the cost of preparing a proposal and of negotiating a contract, including any related travel, is not reimbursable as a direct cost of the assignment.
- If quoted in other currency, prices shall be converted to Viet Nam Dong at UN Exchange Rate at the submission deadline.

Please note: For the consultancy firm/institution/organization, please provide the above information **of the assigned consultant (only ONE) for this service**, not the experience and information of **YOUR firm**. The documents must be submitted by the assigned consultant.

4. Evaluation:

The technical component will be evaluated using the following criteria:

International consultant:

Consultant's experiences/qualification related to the services		
	Criteria	Maximum Points
1	Post graduate degree in chemistry, engineering, environmental science or related fields	100
2	At least ten (10) years of relevant experience in UNDP project formulation, implementation, management, M&E and risk management	200
3	Comprehensive technical knowledge and experience in energy efficiency, value chain analysis and finance options for energy efficiency investments within the steel and fertilizers sectors in Vietnam or Southeast Asia is an asset	400
4	Experience and working knowledge of Vietnamese policies and regulations for industrial energy efficiency and GHG mitigation an advantage	100
5	Experience and working knowledge of NAMA formulations is an asset	100
6	Fluent in written and vocal English (at least 01 writing sample must be provided for assessment)	100
	TOTAL	1000

National consultant:

Consultant's experiences/qualification related to the services		
	Criteria	Maximum Points
1	Post graduate degree in chemistry, engineering, environmental science or related fields	100
2	At least ten (10) years of relevant experience in UNDP project formulation, implementation, management, M&E and risk management	200
3	Comprehensive technical knowledge and experience in energy efficiency, value chain analysis and finance options for energy efficiency investments within the steel and fertilizers sectors in Vietnam or Southeast Asia is an asset	400
4	Experience and working knowledge of Vietnamese policies and regulations for industrial energy efficiency and GHG mitigation an advantage	100
5	Experience and working knowledge of NAMA formulations is an asset	100
6	Fluent in written and vocal English (01 writing sample must be provided)	100

	for assessment)	
		TOTAL
		1000

A two-stage procedure is utilized in evaluating the submissions, with evaluation of the technical components being completed prior to any price proposals being opened and compared. The price proposal will be opened only for submissions that passed the minimum technical score of 70% of the obtainable score of 1000 points in the evaluation of the technical component.

The technical component is evaluated on the basis of its responsiveness to the Term of Reference (TOR).

Maximum 1000 points will be given to the lowest offer and the other financial proposals will receive the points inversely proportional to their financial offers. i.e. $S_f = 1000 \times F_m / F$, in which S_f is the financial score, F_m is the lowest price and F the price of the submission under consideration.

The weight of technical points is 70% and financial points is 30%.

Submission obtaining the highest weighted points (technical points + financial points) will be selected.

An interview with the candidate given the highest combined score may be held before contract awarding, if deemed necessary.

8. Contract

“Lump-sum” Individual Contract will be applied for freelance consultant (Annex II)

“Lump-sum” RLA will be applied for consultant assigned by firm/institution/organization (Annex III)

Documents required before contract signing:

- Personal History
- International consultant whose work involves travel is required to complete the course on Basic Security in the Field and submit certificate to UNDP before contract issuance.

Note: The Basic Security in the Field Certificate can be obtained from website: <https://training.dss.un.org/consultants>. The training course takes around 3-4 hours to complete. The certificate is valid for 3 years.
- Full medical examination and Statement of Fitness to work for consultants from and above 62 years of age and involve travel. (This is not a requirement for RLA contracts).
- Release letter in case the selected consultant is government official.

9. Payment

UNDP shall effect payments to the consultant (by bank transfer to the consultant’s bank account provided in the vendor form (Annex V) upon acceptance by UNDP of the deliverables specified the TOR.

1st payment: 40% of total contract value will be paid upon submission of draft Reception Report (before the Inception Workshop).

2nd and last payment: 60% of total contract value will be paid upon submission and UNDP’s satisfactory acceptance of full Final Inception Report.

If two currencies exist, UNDP exchange rate will be applied at the day UNDP instructs the bank to effect the payment.

10. Your proposals are received on the basis that you fully understand and accept these terms and conditions.



COMBINED TERMS OF REFERENCE (TOR)

One international and one national consultant – PROJECT INCEPTION PHASE

COUNTRY OF ASSIGNMENT: Viet Nam

Duration and duty station:

International consultant: 25 working days, home based and one trip of 20 days to Ha Noi.

National consultant: 25 days, home based and Hanoi.

Starting date: 25th of February, 2013

1) GENERAL BACKGROUND

Viet Nam is among the countries most vulnerable to climate change. The Government has made significant efforts in responding to this challenge with both domestic resources and international support. Viet Nam is taking an active approach to climate change mitigation with the recently released National Climate Change Strategy, committing to take “both mitigation and adaptation actions to deal effectively with climate change, with a focus on adaptation during the first phase”. The Green Growth Strategy takes three strategic directions: low-carbon development trajectories; green production and restoring of natural assets; and the stimulation of green lifestyles. The strategy provides Viet Nam’s voluntary emission reduction targets and assists to transform current development patterns towards sustainable development.

In addition to this the Government of Viet Nam has developed and adopted a number of policy frameworks relating to climate change and the industry sector. These include: the National Target Programme to Respond to Climate Change (NTP-RCC), a National Cleaner Production Strategy in Industry until 2020, the National Energy Conservation Law 2010 and the Viet Nam Energy Efficiency Programme (VNEEP). Such policies will provide principles and guidance for ministries and government institutions, directly engaged with relevant climate change sectors, to create their own policies and associated implementation plans to achieve national level targets.

In 2010, Ministry of Industry and Trade (MOIT) developed and approved the "Action Plan in Response to Climate Change (AP-RCC) under the NTP-RCC, which requires all twenty industry sub-sectors in the Ministry to implement specific actions. Implementation is underway, but further efforts are needed to address the challenges posed by climate change.

Major projects in progress or under development in the industry and trade sectors include:

- United Nations Industrial Development Organization (UNIDO) Green Industry Initiative in Viet Nam,
- World Bank Clean Production and Energy Efficiency project
- Asian Development Bank (ADB) project will focus on capacity building of MOIT, Ministry of Construction (MOC) and Ministry of Transport (MOT)
- European Union (EU) United Nations Environment Programme (UNEP) SWITCH Asia regional program
- The European Trade Policy and Investment Support Project (MUTRAP)

In July, 2012, the UNDP Project entitled “Strengthening capacity on climate change initiatives in the Industry and Trade sectors” (CCII) was approved by the Prime Ministry of Viet Nam. It is designed for a period of four years. This project will assist MOIT, as well as other relevant Ministries and industry stakeholders, to raise awareness about climate change, undertake analysis of the current environment in which industry operates and work to address the challenges posed by climate change and take advantage of the potential opportunities it offers.

The project objective is to strengthen the capacity of policy makers and stakeholders in the industry sector to reduce GHG emissions, enhance climate resilience and exploit associated green trade opportunities. It aims at removing barriers that are restricting industrial enterprises in Viet Nam from adopting technologies to improve

resource efficiency and productivity, business and trade practices to improve resource efficiency, productivity and competitiveness in national and international markets.

The project consists of three components: i) Policy and market barriers to industry pursuing commercially viable ways to reduce GHG emissions, enhance climate resilience and exploit associated green trade opportunities are identified; ii) Increased knowledge and capacity of policy makers at MOIT and other relevant Ministries has enabled the Government to develop evidence-based policy measures to promote sustainable industrial development and iii) Greater knowledge of sustainable industrial production and capacity of financial institutions and consulting firms has improved the investment environment for industrial enterprises in target industry sub-sectors to reduce GHG emissions and increase resilience to climate change impacts.

The project is now entering the inception phase. UNDP and MOIT are looking for a team of one qualified international consultant and one qualified national consultant to work on the project inception phase.

2) OBJECTIVES OF THE ASSIGNMENT

The objective of this assignment is to produce a project Inception Report and its annexes which include Annual Work Plans (AWP), a detailed Resource and Result Framework (RRF), Monitoring and Evaluating plan, and Services Packages with corresponding terms of references for the project period.

3) SCOPE OF WORK

3.1 General scope

The scope of work for the assignment consists of the following:

- Review context, with recent development and new trend
- Develop Annual Work Plans for the project period
- Revise RRF, outputs/ activities, M&E, Risk log for the project period
- Pack groups of activities into procurement packages and plans, prepare TORs
- Produce Inception report and a presentation at the inception workshop
- Incorporate comments into a final Inception report.

Meet and interview with relevant GoV officials, businesses, donors and UNDP staff as to be agreed and arrange by MOIT and UNDP.

Division of work:

The international consultant will be the team leader. The international consultant will manage the overall process, including distribution of tasks between the national and international consultant and be responsible for the quality of the deliverables in the TOR.

The national consultant is required to provide information, inputs and national expertise required by the international consultant to deliver all the outputs in the TOR.

3.2 Specific tasks and activities

The two consultants (one national consultant and one international consultant) should undertake the following tasks and activities:

Task 1: Review data and information relevant to the project implementation

- Review existing project documents and relevant information;
- Desk review of documentation on energy efficiency and value chain analysis within the steel and fertilizer sectors.
- Desk review of documentation on mitigation policies in the Vietnamese steel and fertilizer sectors;
- Desk review of documentation on National Appropriate Mitigation Actions (NAMAs) relevant for application in Viet Nam on selected sub-sectors.
- Point out recent development and new trend that have impacts on the project design and implementation.

Task 2: Review and revise Project Resource and Result Framework (RRF) and M&E plan

- Based on review in the Task 1, review, revise and update RRF with project outputs, activities, indicators, baselines, targets, means of verifications, milestones, output, and assumptions/risks

- Propose mechanisms for quality assurance and recommendations on project implementation process
- Review and revise a M&E plan in accordance with UN Viet Nam HPPMG. The plan should include roles and responsibilities of PMU personnel, UNDP and other involved government agencies.

Task 3: Prepare detailed annual work plans for the project implementation during the project period

- Develop an overall plan for 4 years, and broken-down Annual Work Plans (AWP) for every year together with a forthcoming detailed quarterly work plan.

Task 4: Procurement packages

- Group activities into procurement packages and develop detailed TORs for these procurement packages.
- Prepare TORs for all remaining major project activities

Task 5: Update risk and propose risk management plan

- Identify, review and update Project Risks (possible barriers to successful project implementation and identified externalities that may reduce project effectiveness)
- Develop a detailed risk management plan for the project period.

Task 6: Inception report

- Compile a draft Project Inception Report which should include results from all tasks 1 to 5 as described above including all annexes.
- Prepare the Inception Workshop, make a presentation on draft Inception Report and collect inputs from various stakeholders, on project organization, implementation and other issues
- Refine and finalize the Project Inception Report.

4) DURATION OF ASSIGNMENT, DUTY STATION AND EXPECTED PLACES OF TRAVEL

A detailed schedule for the Inception phase will be developed and agreed with the Implementing Partner / National Project Director and UNDP before commencing. The assignment shall include at least one 20-day mission to Viet Nam during the Inception formulation for the International consultant.

The National and International Consultants are expected to team-up during the missions in Vietnam.

5) FINAL PRODUCTS

Deliverables:

During the Inception Phase, the consultants shall deliver the following:

1. A detailed work-plan of the team for fulfillment of the assignment and the proposed step-wise method shall be submitted to and discussed with the PMU and UNDP staff. The detailed work-plan must be delivered to UNDP Programme Manager by the 27th of February, 2013.
2. A Draft Inception Report by the 18th of March, 2013
3. A presentation and minutes of the inception workshop, which include inputs/comments from various stakeholders by the 20th of March, 2013
4. Final Project Inception Report by the 25th of March.

Outline of the Project Inception Report:

The Project Inception Report should contain the following key elements:

Introduction: the detailed purpose, process, and description of the key findings during the inception phase.

Brief description of the relevant desk review as described in Task 2.

Project operational strategy.

- Statement of the implementation plan
- Resource and Result Framework
- Project procurement plan and TOR for major procurements

Work plan and budget:

- Detailed Annual Work Plans and Resource and Result Framework (RRF) finalized and accepted by all project stakeholders

Project M&E:

- Detailed annual monitoring and evaluation plan with means and verification indicators of the project.

Project Risk management:

- Risk identification
- Risk management plan

Project implementation arrangements:

- Description of roles, responsibilities and links between all participating partners of the project
- TORs of activities (for sub contracts and/or consultants) qualitatively detailed and updated;
- Inception Workshop Report
- Notes of meetings, key interviews

The above activities should be conducted in accordance with Viet Nam – United Nations Harmonized Programme and Project Management Guidelines (HPPMG).

6) PROVISION OF MONITORING AND PROGRESS CONTROLS

The International Consultant will report to ACD/Head of Sustainable Development Unit of UNDP and The National Project Director.

The consultants will work closely with UNDP Programme Officer and National Project Manager.

Administrative support will be provided by personnel of Project Management Unit. UNDP staff will support the consultants on general issue and oversee the consultants on the completion of the Inception phase.

Weekly meetings and progress reports should be conducted with PMU and UNDP staff during the inception phase.

Quality management:

Qualitative criteria: The Inception Report (IR) will be accepted based on satisfying the following indicative criteria:

- Major gaps/ issues are identified and measured, based on a full consultative process involving stakeholders.
- Findings or recommendations for changes are backed by evidence based justification and action oriented changes.
- All key stakeholders of the project are consulted and their feedback is addressed in the inception report
- The report is written in excellent English and well formatted

Proposed Quality reviewers: Project Manager and UNDP expert(s).

7) DEGREE OF EXPERTISE AND QUALIFICATIONS

The International Consultant should have knowledge, skills and previous experience as follows:

- Post graduate degree in chemistry, engineering, environmental science or related fields
- At least ten (10) years of relevant experience in UNDP project formulation, implementation, management, M&E and risk management

- Comprehensive technical knowledge and experience in energy efficiency, value chain analysis and finance options for energy efficiency investments within the steel and fertilizers sectors in Vietnam or Southeast Asia is an asset
- Experience and working knowledge of Vietnamese policies and regulations for industrial energy efficiency and GHG mitigation an advantage
- Experience and working knowledge of NAMA formulations is an asset
- Fluent in written and vocal English (01 writing sample must be provided for assessment)

The National Consultant should have knowledge, skills and previous experience as follows:

- Post graduate degree in chemistry, engineering, environmental science or related fields
- At least ten (10) years of relevant experience in UNDP project formulation, implementation, management, M&E and risk management
- Comprehensive technical knowledge and experience in energy efficiency, value chain analysis and finance options for energy efficiency investments within the steel and fertilizers sectors in Vietnam or Southeast Asia is an asset
- Experience and working knowledge of Vietnamese policies and regulations for industrial energy efficiency and GHG mitigation an advantage
- Experience and working knowledge of NAMA formulations is an asset
- Fluent in written and vocal English (01 writing sample must be provided for assessment).

8) ADMINISTRATIVE SUPPORT AND REFERENCE DOCUMENTS

Documents/ secondary documents

Copies of following documents will be made available to the consultants upon commencement of the assignment by the project team as well as UNDP-Viet Nam:

- I. Detailed Project Outline
- II. Project Document and Annual Work Plan for 2013
- III. Viet Nam - United Nations Harmonized Programme and Project Management Guidelines (HPPMG)
- IV. Documents on procurement regulations of the Government of Viet Nam
- V. Contact list of key stakeholders.

Arrangement of meetings and interviews:

The consultants must arrange and conduct all relevant all meetings and interviews.

Cooperation and responsibilities between international and national expert

The project will mobilize a national consultant and an international consultant for the inception phase. The national consultant is required to provide information and national expertise to the international consultant. The international consultant has the main responsibility for the inception report and related deliverables in the TOR.

The consultants are expected to team up during the mission in Viet Nam.

8) ADMINISTRATIVE REVIEW TIME REQUIRED AND PAYMENT TERM

Two installments after completion of each phase and satisfactory acceptance of outputs by UNDP, as follows:

- 40% upon acceptance of the draft Reception Report (before the Inception Workshop).
- 60% upon acceptance of a full Final Inception Report.

The payment for the national consultant must be certified by the international consultant accepting the services provided by the national consultant under the TOR.

Annex VI

GUIDELINES FOR PREPARING CV

WE REQUEST THAT YOU USE THE FOLLOWING CHECKLIST WHEN PREPARING YOUR CV:

Limit the CV to 3 or 4 pages

NAME (First, Middle Initial, Family Name)

Address:

City, Region/State, Province, Postal Code

Country:

Telephone, Facsimile and other numbers

Internet Address:

Sex, Date of Birth, Nationality, Other Citizenship, Marital Status

Company associated with (if applicable, include company name, contact person and phone number)

SUMMARY OF EXPERTISE

Field(s) of expertise (be as specific as possible)

Particular development competencies-thematic (e.g. Women in Development, NGOs, Privatization, Sustainable Development) or technical (e.g. project design/evaluation)

Credentials/education/training, relevant to the expertise

LANGUAGES

Mother Tongue:

Indicate written and verbal proficiency of your English:

SUMMARY OF RELEVANT WORK EXPERIENCE

Provide an overview of work history in reverse chronological order. Provide dates, your function/title, the area of work and the major accomplishments include honorarium/salary. References (name and contact email address) must be provided for each assignment undertaken by the consultant that UNDP may contact.

UN SYSTEM EXPERIENCE

If applicable, provide details of work done for the UN System including WB. Provide names and email address of UN staff who were your main contacts. Include honorarium/salary.

UNIVERSITY DEGREES

List the degree(s) and major area of study. Indicate the date (in reverse chronological order) and the name of the institution where the degree was obtained.

PUBLICATIONS

Provide total number of Publications and list the titles of 5 major publications (if any)

MISCELLANEOUS

Indicate the minimum and maximum time you would be available for consultancies and any other factors, including impediments or restrictions that should be taken into account in connection with your work with this assignment.

Please ensure the following statement is included in the resume and that it is signed and dated:

I CERTIFY THAT ALL INFORMATION STATED IN THIS RESUME IS TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE. I AUTHORIZE UNDP/UNOPS OR ITS AGENT TO VERIFY THE INFORMATION PROVIDED IN THIS RESUME.

(Signature)

