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Date: 13 September 2013

## INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

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

Country:	Viet Nam
Description of the assignment:	One international for Project Inception Phase
Project name:	00081765/Strengthening Capacity on Natural Resources and Environment Policy Development and Environmental Performance (NREP)
Period of assignment/services (if applicable):	October – November 2013

1. Submissions should be sent by email to: [nguyen.thi.hoang.yen@undp.org](mailto:nguyen.thi.hoang.yen@undp.org) no later than: **27 September (Hanoi time)**.

**With subject line: International for Project Inception Phase (00081765/ NREP)**

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

### Note:

- Any individual employed by a company or institution who would like to submit an offer in response to this Procurement Notice must do so in their individual capacity, even if they expect their employers to sign a contract with UNDP.
  - 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
- Copy of 1-3 publications/writing samples.
- Reference contacts 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** 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 US Dollar at UN Exchange Rate at the submission deadline.

4. Evaluation:

The technical component will be evaluated using the following criteria:

<b>Consultant's experiences/qualification related to the services</b>		
	<b>Criteria</b>	<b>Maximum Points</b>
1	Post graduate degree with technical knowledge in environmental science, natural resources and environment management or related fields;	250
2	At least ten (10) years of relevant experience in donor supported project formulation, implementation, management, M&E and risk management	250
3	Practical experience in starting up a project with inception phase and report is an asset	150
4	Comprehensive experience in environment and natural resources policies and policy implementation. Experience and working knowledge of Vietnamese NRE policies and implementation is an advantage	250
5	Fluent in written and vocal English (01 writing sample must be provided for assessment)	100
	<b>TOTAL</b>	<b>1000</b>

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.

Interview with the candidates may be held 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: 60% of total contract value will be paid upon submission the draft report with satisfactory acceptance by UNDP and ISPONRE.

2<sup>nd</sup> and last payment: 40% of total contract value will be paid upon satisfactory completion of final products under the contract, with satisfactory acceptance by UNDP and ISPONRE.

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.



### **TERMS OF REFERENCE (TOR)**

<b>Title:</b>	One international for Project Inception Phase
<b>Project ID and title:</b>	00081765/Strengthening Capacity on Natural Resources and Environment Policy Development and Environmental Performance (NREP)
<b>Duration:</b>	October – November 2013
<b>Duty station:</b>	Home-based and Hanoi
<b>Reporting:</b>	UNDP Viet Nam and Institute of Strategy and Policy on Natural Resources and Environment (ISPONRE)

#### **1) GENERAL BACKGROUND**

In Viet Nam, over the past decade, rapid industrialization, urbanization, and increased exploitation of natural resources, particularly finite fossil fuels, have driven high rates of economic growth. However, these drivers, aided by climate change, have also put increasing pressures on natural resources and the environment. Environmental degradation and inefficient resource use are becoming major barriers to achieve sustainable development in Viet Nam. Recognizing these challenges, the 10-year national Socio-Economic Development Strategy (2011-2020) charts a new model of “sustainable growth based on higher productivity and better balance between economic, social and environmental protection priorities.”

As part of this response, a number of natural resources and environment (NRE) policy frameworks have been developed and put into implementation. However, there are gaps and discrepancies these legal frameworks and policies and weaknesses in policy enforcement. The Government has initiated to revise some laws and has a plan to formulate new laws and introduce tools in order to increase resources efficiency, environmental protection, and law enforcement, through promotion of transparency and participation by stakeholders.

UNDP has been supporting the Government of Viet Nam in implementing these initiatives by enhancing institutional capacity, policy framework, environmental technologies, application of innovative tools for environmental management and biodiversity conservation for sustainable development. Under the new programme cycle 2012-2016, UNDP will continue its support through a number of projects in partnership with MONRE and other government line agencies. The “Strengthening Capacity on Natural Resources and Environment Policy Development and Environmental Performance” (NREP) is one among these projects with an objective to assist Government in optimally revising old and introducing major new legislation and policy and supporting mechanisms and tools aimed at improving environmental protection, environmental performance and natural resource efficiency.

The project is designed to strengthen the capacity for formulating and implementing environment and natural resources laws and policies, through policy researches and dialogues, and providing quality inputs to policy-formulation and revision. The project consists of two components: i) Policy formulation in natural resources and environment (NRE) sector based on evidence, policy analyses, and participatory approach; and ii) development of tools and mechanism for enhanced environmental performance and natural resource management.

The project is now entering the inception phase. UNDP and ISPONRE are looking for a qualified international consultant who will team up with four national consultants 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 results of a consultative process of the project context and design, Annual Work Plans (AWPs), 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 tasks and activities**

The international consultant will be the team leader leading the team to undertake the following tasks and activities:

- 3.1.1. Review context, with recent development and new trend relevant to the project implementation
  - Review existing project documents and relevant information;
  - Review relevant documents on NRE sector, specifically with regard to the issues of resource efficiency, clean air, integrated management of seas and island, management of mineral resources in Viet Nam;
  - Review documentations on environment performance indexes developed by Yale University and other countries which are relevant for application in Viet Nam;
  - Review and update recent development and new trend that have impacts on the project design and implementation; and
  - Update the expectations of the government, donors, project beneficiaries, project partners and other relevant agencies.
- 3.1.2. Review and revise RRF, outputs/ activities, M&E, Risk log for the project period
  - 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 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 with deliverable outputs
  - Review and update project risks (possible barriers to successful project implementation and identified externalities that may reduce project effectiveness) and develop a detailed risks management plan and measures for the project period.
- 3.1.3. Develop detailed Annual Work Plans for the project implementation during the project period
  - Develop an overall work plan for 4 years, and broken-down Annual Work Plans (AWP) for every year together with a forthcoming detailed quarterly work plan and AWP 2014.
- 3.1.4. Pack groups of activities into procurement packages and plans, prepare TORs
  - Group activities into procurement packages and develop detailed TORs for these procurement packages.
  - Prepare TORs for all major project activities, and finalize those for the 2013 and 2014 AWP
- 3.1.5. Produce and finalize Inception report and a presentation at the inception workshop
  - Compile a draft Project Inception Report which should included results from all tasks 1 to 4 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
  - Incorporate comments at the inception workshop into a final Inception report.

**Methodology:** The selected consultants will propose and discuss with UNDP and ISPONRE the approach in undertaking the assignment. This shall include: i) desk review of the project documents and related documents of the NRE sector; ii) meet and interview with relevant GoV officials, institutions, relevant experts, donors and UNDP staff as to be agreed with ISPONRE and UNDP.

### 3.2 Specific tasks and activities

The international consultant will be the team leader and be responsible for the quality of the deliverables in the TOR. Specifically, will perform the following tasks:

- Lead and manage the overall process;
- Develop the inception plan/schedule;
- Identify information and inputs that require support from the national consultants
- Draft related parts of the inception report;
- Prepare and make a presentation for the inception workshop; and
- Finalize the entire inception report.

The national consultants (team members) will perform the following tasks:

- Contribute to the development of inception plan/schedule;
- Provide information, inputs and national expertise required by the international consultant to deliver all the outputs in the TOR;
- Contribute to the drafting and finalization of the final evaluation report and a presentation of the inception report;

#### 4) DURATION OF ASSIGNMENT

**Duration and Timing:** 20 working days during the period October – November 2013

**Duty station:** Home based and Hanoi

A detailed schedule for the Inception phase will be developed and agreed with the ISPONRE/National Project Director and UNDP before commencing. The assignment shall include at least one 10 working day mission to Hanoi, Viet Nam during the Inception period.

#### 5) FINAL PRODUCTS

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 ISPONRE/PMU and UNDP staff, within two week upon the signing of the contract.
2. A Draft Inception Report
3. A presentation of the inception workshop. Expected date for the one day inception workshop is during the 3<sup>rd</sup> week of November 2013.
4. Report of the inception workshop, which include inputs/comments from various stakeholders
5. Final Project Inception Report

The following key elements should be covered in the project inception report:

- Introduction: the detailed purpose, process, and description of the key findings during the inception phase.
- 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 finalized and accepted by all project stakeholders
  - Detailed QWP of the forthcoming quarter and AWP 2014
- Project M&E: Detailed annual monitoring and evaluation plan with means and verification indicators of the project
- Project risk management: identification of risk and risk management plan
- Project implementation arrangement:
  - Description of roles, responsibilities and links between National Implementing Partner (NIP) and Co-implementing Partners (CIPs) and other relevant participating partners of the project
  - Organigram of the project implementation arrangement
- Annexes:
  - TORs of activities (for sub contracts and/or consultants) qualitatively detailed and updated;
  - Inception Workshop Report
  - Notes of meetings, key interviews

The report will be accepted by ISPONRE and UNDP based on its satisfactory of 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 projects are consulted and their feedbacks are addressed in the Inception Phase Report
- The reports are written in excellent English and well formatted

It is expected that products will be submitted basing on following indicative timeline

## 6) PROVISION OF MONITORING AND PROGRESS CONTROLS

The selected consultant will work closely with UNDP Programme Officer and with regular consultation and guidance by the UNDP Head of Sustainable Development Cluster and the ISPONRE. Administrative support will be provided by ISPONRE staff/Project Management Unit. UNDP staff will support the consultant on general issue and oversee the consultant on the completion of the Inception phase.

## 7) DEGREE OF EXPERTISE AND QUALIFICATIONS

The ideal candidate for the International Consultant should have the following minimum qualifications and experience:

- Post graduate degree with technical knowledge in environmental science, natural resources and environment management or related fields
- At least ten (10) years of relevant experience in donor supported project formulation, implementation, management, M&E and risk management.
- Practical experience in starting up a project with inception phase and report is an asset
- Comprehensive experience in environment and natural resources policy and policy implementation. Experience and working knowledge of Vietnamese NRE policies and implementation is an advantage
- 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 ISPONRE/project team as well as UNDP-Viet Nam:

1. Detailed Project Outline
2. Project Document and Annual Work Plan for 2013
3. Viet Nam - United Nations Harmonized Programme and Project Management Guidelines (HPPMG)
4. Documents on procurement regulations of the Government of Viet Nam
5. Contact list of key stakeholders of the project

### Arrangement of meetings and interviews:

ISPONRE and UNDP will mobilize about four national consultants who specialize in and are required to provide information and national expertise on specific thematic issues i.e. environment policy and legal framework, natural resources, integrated coastal management and environment performance index. The national consultant will provide support in arrangement of all relevant meetings and interviews.

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

## 9) REVIEW TIME REQUIRED AND PAYMENT TERM

- The first installment of 60% contract value will be paid upon submission the draft report with satisfactory acceptance by UNDP and ISPONRE.
- The second payment of 40% will be paid upon the completion of final products under the contract, with satisfactory acceptance by UNDP and ISPONRE.

## 10) CONSULTANT PRESENCE REQUIRED ON DUTY STATION/UNDP PREMISES

NONE                       PARTIAL                       INTERMITTENT                       FULL-TIME

## **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)



## Annex VII

### FINANCIAL OFFER

Having examined the Solicitation Documents, I, the undersigned, offer to provide all the services in the TOR for the sum of USD .....

This is a lump sum offer covering all associated costs for the required service (fee, meal, accommodation, travel, taxes etc).

**Note:** The number of work-days in the TOR is estimated only. The bidder should make his/her own estimate of the time taken to complete the assignment in line with this TOR and his/her proposal, and use this estimate as the basis for financial proposal.

#### Cost breakdown:

No.	Description	Number of days	Rate (USD)	Total
1	Remuneration			
1.1	Services in Home office			
1.2	Services in field			
2	Out of pocket expenses			
2.1	Travel			
2.2	Per diem			
2.3	Full medical examination and Statement of Fitness to work for consultants from and above 62 years of age and involve travel – (required before issuing contract). *			
2.5	Others (pls. specify).....			
	<b>TOTAL</b>			

*\* Individual Consultants/Contractors who are over 62 years of age with assignments that require travel and are required, at their own cost, to undergo a full medical examination including x-rays and obtaining medical clearance from **an UN-approved doctor** prior to taking up their assignment.*

I undertake, if my proposal is accepted, to commence and complete delivery of all services specified in the contract within the time frame stipulated.

I agree to abide by this proposal for a period of 120 days from the submission deadline of the proposals.

Dated this day /month                      of year

Signature