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Date: 13 November 2013

INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

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

Country:	Viet Nam
Description of the assignment:	02 National Consultants for the Financing Review of Vietnam's Protected Area System
Project name:	Removing Barriers Hindering Protected Area Management Effectiveness in Viet Nam
Period of assignment/services (if applicable):	10 December 2013 - 31 April 2014

1. Submissions should be sent by email to: nguyen.thi.hoang.yen@undp.org no later than: **27 November 2013 (Hanoi time)**

With subject line: Team Leader / **or** Team Member Financing Review of PA System

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 **Viet Nam Dong** 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.

4. Evaluation:

The Team Leader and the Team Member will be evaluated and selected separately. The technical component will be evaluated using the following criteria:

The technical component will be evaluated using the following criteria:

Consultant's experiences/qualification related to the services		
	Criteria	Maximum Points
1	Post graduate degree in finance, accounting, environmental economics, corporate finance analysis (CFA) or development economics or business planning	200
2	Recognized expertise in the field of biodiversity conservation and/or PA management for at least 05 years	200
3	Knowledge and experiences on financial mechanism for protected areas management effectiveness and other related issues as an asset	300
4	Knowledge of and experience or familiarity in GEF/UN project implementation and approaches	100
5	Experience of team work	100
6	Language skills with two writing examples in English and Vietnamese	100
	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.

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
- 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.

- First payment of 20% of the contract amount will be paid upon the submission and approval of the assignment work plan.
- Second payment of 50% of the contract amount will be paid upon the submission and approval of the mission report.
- Third and last payment of 30% of total contract amount will be paid upon the final submission and UNDP satisfactory approval of the final evaluation report.

Payment for the Team member will be certified by the Team Leader.

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)

Title:	2 National Consultants for the Financing Review of Vietnam's Protected Area System
Project:	Removing Barriers Hindering Protected Area Management Effectiveness in Viet Nam
Reporting to:	UNDP and BCA
Duty Station:	Hanoi, Viet Nam
Contract Type:	Individual Contract (IC)
Duration:	Output based consultancy, 90 working days within the period of 2 months (10 Dec, 2013 - 31 Apr, 2014)

1) GENERAL BACKGROUND

The United Nations Development Programme (UNDP), acting as an implementing agency of the Global Environment Facility (GEF), is providing assistance to the Viet Nam's Ministry of Natural Resources and Environment (MONRE) in the implementation of the GEF Full Size Project (FSP) "*Removing Barriers Hindering Protected Area Management Effectiveness in Viet Nam*". The project was planned for five years (2010- 2015).

The objective of the project is "to secure a sustainably financed PA system to conserve globally significant biodiversity". This will contribute to the broader goal "Effective conservation of biodiversity in Vietnam". In order to achieve the project objective, a number of outcomes will be secured including: (1) A comprehensive and harmonized legal and policy framework supports sustainable PA financing; (2) Clear and harmonized institutional mandates and processes support sustainable PA financing mechanisms; (3) Knowledge and experience of sustainable financing options developed through demonstrations; (4) Information on biodiversity and PA status supports PA management and builds public support for the PA system.

The project has three demonstration clusters, namely (1) Xuan Thuy National Park (NP) – Tien Hai Natural Reserve, (2) Cat Ba National Park – Bai Tu Long National Park, (3) Bidoup – Nui Ba National Park – Chu Yang Sin National Park. Of which, Xuan Thuy NP, Cat Ba NP, and Bidoup – Nui Ba NP are being selected/considered as three main demonstration sites of the Project.

The Project Document signed between the Vietnamese Government and UNDP Viet Nam Country Office is available at

http://www.thegef.org/gef/sites/thegef.org/files/gef_prj_docs/GEFProjectDocuments/Biodiversity/Vietnam%20-%20%283603%29%20-%20Removing%20Barriers%20Hindering%20PA%20Management%20Effectiv/5-29-09%20-%20Project%20Document%20-%203603.pdf

The project is currently seeking two qualified individuals as national consultants to conduct a study to review financing situation of the current Vietnam's protected area system.

2) OBJECTIVES OF THE ASSIGNMENT

The Financing Review is initiated by the UNDP Viet Nam as the Implementation Agency for this project which aims at providing managers (Ministry of Natural Resources and Environment, UNDP and the GEF Secretariat) with deep understanding of the current financing and financial management of the Vietnam's protected area system, and based on that, in order to see how the project would be successful in achieving the objectives of supporting sustainable PA financing demonstration and institutionalization to secure effective biodiversity conservation. It also provides the basis for learning and accountability for managers and stakeholders.

The key objective of this consultancy is to review and analysis the current financing situation of the Vietnam's PA system (national level) and assess PA financial management (PA level) in order to see an extension that how their biodiversity conservation is financed in order to meet PA management and development objectives.

3) SCOPE OF WORK

This consultancy requests to have two national consultants, of which one acts as team leader that is responsible for leading the development of expected deliverables. The second consultant will assist and work together with team leader to ensure all necessary inputs and clarification that are provided to produce expected deliverables.

The financing review will have to carry out the following main tasks:

- (1) Compile and assess the financing situation of entire Vietnam's protected area system in past five years (2008-2012) and complete the GEF guided Financial Sustainability Scorecard of 2012 (or 2013) of the PA system;
- (2) Review and analyse financing and financial management of selected/sampling/representative protected areas to identify how current financing mechanisms have contributed and affected to achieving biodiversity conservation and PA management objectives at PA level(s) and their extension;
- (3) Provide policy recommendations with regard to mechanisms and options for strengthening PA financing sustainability, transparency and accountability.

To complete those tasks, a set of key questions/issues for each below are proposed, but not limited, that the study will seek to answer;

A. Financing review of the entire Vietnam's PA system from 2008-2012 and complete the GEF Financial Sustainability Scorecard for year 2012

1. Regarding to legal and policy framework, how financing regulations for PA system have been developed since Biodiversity Law 2008 took in force?

2. Are the existing regulations and policies supporting and facilitating PAs system towards increasing their annual (operational) revenue, strengthening their financing sustainability in order to meet increasingly requirements to challenge threats and problems in biodiversity conservation and PA management?

3. Given to state budget, both centrally and provincially, allocated for the PA system, are the existing financing regulations responding properly to ensure that PA management boards are able to well complete their duties and tasks as stated by laws?

4. How much total finances available that was allocated to the PA system?

4.1 How much state budget has been annually allocated to PA system management in the years 2008/2009, 2010, 2011, 2012 and 2013? This excludes donor funds and revenues generated for the PA system.

- Total annual central government budget allocated to PA management, including regular operational budget (salaries, professional duties, maintenance, fuel,..) and irregular infrastructure investment budget (road, visitor center, field-base stations, communication system,...)
- Total annual provincial government budget allocated to PA management, including regular operational budget (salaries, professional duties, maintenance, fuel,..) and irregular infrastructure investment budget (road, visitor center, field-base stations, communication system,...)

4.2. How much extra budgetary funding for PA management has been provided and/or allocated in the period of 2008/2009-2012/2013? Specify project names, donor sources, funding amount, and other co-finance sources, including:

- Total funds channeled through government such as trust funds, donor funds, loans, PA dedicated taxes,...
- Total funds channeled through third party/independent institutional arrangements e.g. NGOs project, such trust funds, donor funds, and others.

4.3. How much other sources of finance as site-based PA revenues have been annually generated in the years of 2008/2009-2012/2013, and of which, how much revenues generated by PAs that were retained for re-investment from the following sources:

- Tourism entrance fees, including other tourism services as souvenirs/gifts selling
- Income from concessions
- Payments for ecosystem services (PES) such as water, biodiversity, reduction of carbon emission,...
- Other non-tourism related fees and charges such as scientific research fees, genetic patents, pollution compensation, etc

5. How much annual expenditure and financing needs of the PA system is estimated?

5.1 How much total annual operating and investment costs of all PAs that the system has proposed for state budget and other sources?

5.2 How much financing needs that should be allocated for basic management costs with regards to

- operational costs of PA system administration (salaries, office maintenance, travel,..) at central and provincial level e.g. BCA of VEA/MONRE, DNC and FPD of VNForest of MARD; FPD/DARD and DONRE at provinces;
- operational costs of PA site-based management (salaries, office maintenance, professional, travel,..)
- investment costs of PA site-based investment (office, guard stations, road, communication, visitor center,...)
- capacity building costs for all the PA system at both central and local/site levels (training, workshop, awareness, strategy, policy reform, etc).

5.3 How much financing needs that should be allocated for optimal management costs with regards to

- operational costs of PA system administration (salaries, office maintenance, travel,..) at central and provincial level e.g. BCA of VEA/MONRE, DNC and FPD of VNForest of MARD; FPD/DARD and DONRE at provinces;
- operational costs of PA site-based management (salaries, office maintenance, professional, travel,..)
- investment costs of PA site-based investment (office, guard stations, road, communication, visitor center,...)
- capacity building costs for all the PA system at both central and local/site levels (training, workshop, awareness, strategy, policy reform, etc).

6. What are the gaps in annual financing between available finances and financial needs among the PA system with regards to their basic management scenarios and optimal management scenarios, focusing on operational costs and infrastructure investment?

7. Given the current biodiversity status of the PA system being degraded, how those available finances have contributed to the successes and failures of the country's efforts on nature conservation and PA management?

8. Using information and data collected, and consulting with PA managers to complete the GEF Financial Sustainability Scorecard for the year 2012/2013 of the Vietnam's PA system.

B. Financing review and analyse for selected/sampling/representative protected areas to identify how current financing mechanisms have contributed/affected to PA site-based conservation efforts;

1. It is requested to identify and select at least 6 sampling PAs for site-based financing analysis, of which one centrally managed national park; one provincially-managed national park, one SUF nature reserve, one species and habitat conservation reserve, one wetland/Ramsar PA and one marine PA.

2. Review the available finances each PA has been allocated/provided/mobilised for past 5 years, 2008-2013 by clarifying the following sources:

- Annual government budget for PA (regular) operation and (irregular) infrastructure investment
- Annual extra budgetary funding from trust funds, donor funds, etc that PA received from government channels and/or third party or independent institutional arrangement such as NGOs or international organisations.
- Annual revenues that PA generated (and retained) from ecological/environmental/habitat service transaction such as tourism fees, resource concessions, habitat leases, PES, scientific research fees, genetic patents or pollution compensation, etc.

3. Verify whether that available finances that are properly allocated that helped the PAs to effectively carry out their tasks and duties, which are described in the PA establishment decision and compliance to the existing Forest Protection and Development Law (e.g. Decree 117, Decree 99, Decision 24) and Biodiversity Law. Consult with PA managers and staff to justify the causes of successes and failures in PA management and biodiversity conservation from financing perspectives, and identify financing gaps.

4. Estimate annual PA expenditure and financing needs that includes:

- Total annual operating and investment costs given to each PA.
- Total annual financing needs that should be allocated for basic management costs of a given PA, including PA operational costs, investment costs and capacity building costs;
- Total annual financing needs that should be allocated for optimal management costs, including site-based operational costs, investment costs and capacity building costs.

5. Consult with PA managers, staff and local stakeholders to assess levels of financing sustainability, accountability and transparency of a given PA, and to discuss improvement on PA financing management.

C. Provide policy recommendations with regard to mechanisms and options for strengthening PA financing sustainability, transparency and accountability

- Recommendations for improving legal and policy frameworks in PA financing with focus on biodiversity conservation from entire PA system;
- Recommendations for financing sustainability with locally institutionalised mechanisms and options;
- Recommendations on improvement of PA financing management quality, particularly with regards to financing accountability and transparency.

4) THE METHODOLOGIES WILL INCLUDE:

1. Review project-produced documentations and all related documents; collect existing data/information on PA system financing.
2. Develop questionnaire with main reference from GEF Financial Sustainability Scorecard that would then be sending to all PAs in Vietnam to collect data; communicate with PAs to get the questionnaires back.
3. Consult with central government agencies in charge of PA management to collect financing information/data, particularly from MARD, MONRE, MoF, MPI and provinces;
4. Field mission to visit and consult with sampling PAs on financing review and recommendations through group discussions or mini workshops with PA managers, staff and local stakeholders.

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

The total effort for conducting this study has been estimated to **50 working days for team leader** and **40 working days for team member**. Working days are all necessary days to complete task, including time to collect data, questionnaire and communication with PAs and travelling. Based on the indicated scope of work and expected outputs, applicants to this consultancy must make their own estimate of the time taken to complete the assignment in line with this TOR and use this estimate as the basis of the financial proposals. Travel cost to field sites will be paid according to EU-UN Cost Norms with prior approval by UNDP.

The mission is planned for the period from 10 Dec 2013 to 31 Apr 2014. The report shall be submitted to the UNDP Viet Nam office and Project Management Unit. Prior to approval of the final report, a draft version shall be circulated for comments to government counterparts, project team and UNDP Country Office. If any discrepancies have emerged between findings of the evaluation team and information available at the aforementioned parties, these should be explained in an annex attached to the final report.

6) FINAL PRODUCTS

The deliverables include a review report on PA system financing plus a completed financial sustainability scorecard. Tasks and responsibilities of each team member will be discussed internally and one consolidated deliverables will be submitted. Consultancy products are the documents and reports that describe the works and plans of the consultant.

Consultancy products include:

- Assignment work plan (including list of documents to be reviewed, organization and individuals to be

- interviewed, activity site to be visited during the field mission, etc.);
- Filled financing scorecard for PA system
- Report on Financing status of Vietnam's Protected Area System, Gaps and Recommendations.

All products should be submitted to both UNDP and BCA-PMU in Vietnamese and English.

7) PROVISION OF MONITORING AND PROGRESS CONTROLS

The selected consultant team should submit the assignment work plan to UNDP and BCA-PMU within a week after signing the contract. Implementation of the service's activities will be supervised by the UNDP representative and BCA-PMU.

The UNDP and BCA-PMU will require regular meetings or updating on progress as necessary. Consultant's outputs/reports will be reviewed by the UNDP and BCA-PMU within 10 days from the date of report submission.

8) REQUIRED DEGREE OF EXPERTISE, AND QUALIFICATIONS

The study team member selected must not have participated in the project preparation and/or implementation and must not have conflict of interest with project related activities. Both national consultants should have the following competencies and qualifications:

- At least Master degree finance, accounting, environmental economics, corporate finance analysis (CFA) or development economics or business planning;
- Recognized expertise in the field of biodiversity conservation and/or PA management for at least 05 years;
- Knowledge of and experience or familiarity in GEF/UN project implementation and approaches;
- Experience with biodiversity conservation in Vietnam is desirable, knowledge on demonstration sites/National Parks is strong asset;
- Knowledge and experiences on financial mechanism for protected areas management effectiveness, payment for ecosystem services and other related issues as an asset;
- Conceptual thinking and analytical skill;
- Proficiency in the English language especially competent in technical English writing (writing sample must be provided for assessment);

9) EVALUATION TEAM SPECIFIC TASK

The main final output will be an independent and comprehensive PA financing review report with annexes as needed.

The Team Leader will have overall responsibility for the work and operation of the study team, including the coordination of inputs from national team member. The Team Leader is responsible and overall accountable for the production of the agreed outputs.

In addition to the above, the Team Leader is responsible for the following:

- Desk research of existing management plans, survey/ research/ evaluation reports and databases.
- Develop questionnaire forms to collect information from PAs
- Conduct interview and consultation with centrally government agencies in PA administration
- Conduct fieldwork together with the national counterpart and interview sampling PA managers, staff and other local stakeholders to generate authentic information and opinions.
- Write and compile the information and reports as needed.
- Make a presentation of key findings highlighting achievements, constraints, and make practical recommendations to decision makers and stakeholders.
- Draft and finalize the PA financing review report

The Team Member would be responsible for assisting and collaborating with the Team Leader in all the tasks mentioned above including literature review, questionnaire development, fieldwork and report writing as agreed

with Team Leader. He/she also responsible for conducting interview and consultation with provincially authority agencies to generate inputs for Team Leaders to compile and finalised the report.

10) ADMIN SUPPORT AND REFERENCE DOCUMENTS

Administrative support will be provided by the Project Management Unit (PMU). The consultant will be provided following supports:

- Logistical arrangements including domestic travel for site visits located outside of Hanoi, contacting to local authorities, meetings with government/ other officials, local people, etc.
- Support to obtaining necessary project documents and reference documents which include (but not limited to):
 - Project document
 - Project inception report
 - Consultants Reports (Research/Studies/Training)
 - Legal documents related to biodiversity conservation
 - Etc.

11) REVIEW TIME REQUIRED AND PAYMENT TERM

All payment will only be authorized upon the UNDP approval of the deliverables. Proposed payments are indicated below:

- First payment of 20% of the contract amount will be paid upon the submission and approval of the assignment work plan.
- Second payment of 50% of the contract amount will be paid upon the submission and approval of the mission report.
- Third and last payment of 30% of total contract amount will be paid upon the final submission and UNDP satisfactory approval of the final evaluation report.

Payment for the Team member will be certified by the Team Leader.

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 VND

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 (VND)	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).....			
	TOTAL			

** 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