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REQUEST FOR PROPOSAL (RFP) **From National NGO/entity**

Date: 21 August 2012

Dear Sir/ Madam,

Subject: RFP for co-implementing the Participatory Governance Assessment for REDD+

1. You are requested to submit in English a proposal for the above subject, as per enclosed Terms of Reference (TOR).
2. If you consider that your company/organization does not have all the expertise for the assignment, there is no objection to your company/organization associating with another company/ organization to enable a full range of expertise to be proposed. If it is the case, the consortium must submit together with their proposal a letter of agreement signed and stamped by authorized representatives of both parties indicating (i) who will sign the contract with UNDP (ii) who is responsible for the receipt of the payments; and (iii) statement that none of the consortium members will hold UNDP liable for any dispute among the members.
3. To enable you to submit a proposal, attached are:
 - i. [Instructions to Offerors](#) (Annex I)
 - ii. [Terms of Reference \(TOR\)](#)..... (Annex II)
 - iii. [Proposal Submission Form](#) (Annex III)
 - iv. [Price Schedule](#) (Annex IV)
 - v. [Contract for Professional Consulting Service](#)..... (Annex V)
 - vi. [General Conditions of Contract](#)..... (Annex VI)
 - vii. [Submission check-list](#)..... (Annex VII)
4. Your offer comprising of technical proposal and financial proposal, in separate sealed envelopes, should reach the following address no later than **17:00 hours – 10 September 2012 (Hanoi time)**.

UNDP Viet Nam
72 Ly Thuong Kiet, Ha Noi, Viet Nam
Procurement Unit
Email: procurement.vn@undp.org

Telephone number: (84-4) 3 9421495
Telefax number: (84-4) 3 9422267
5. If you request additional information, we would endeavor to provide information expeditiously, but any delay in providing such information will not be considered a reason for extending the submission date of your proposal.

You are requested to acknowledge receipt of this letter and to indicate whether or not you intend to submit a proposal.

Instructions to Offerors

A. Introduction

1. General

See details in the TOR.

2. Cost of proposal

The Offeror shall bear all costs associated with the preparation and submission of the Proposal, the UNDP will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the solicitation.

B. Solicitation Documents

3. Contents of solicitation documents

Proposals must offer services for the total requirement. Proposals offering only part of the requirement will be rejected. The Offeror is expected to examine all corresponding instructions, forms, terms and specifications contained in the Solicitation Documents. Failure to comply with these documents will be at the Offeror's risk and may affect the evaluation of the Proposal.

4. Clarification of solicitation documents

A prospective Offeror requiring any clarification of the Solicitation Documents may notify the procuring UNDP entity in writing at the organisation's mailing address or fax number indicated in the RFP. The procuring UNDP entity will respond in writing to any request for clarification of the Solicitation Documents that it receives earlier than one week prior to the deadline for the submission of Proposals. Written copies of the organisation's response (including an explanation of the query but without identifying the source of inquiry) will be sent to all prospective Offerors that has sent email to nguyen.thi.hoang.yen@undp.org confirming their participation in this bidding.

Please send your questions on solicitation documents to: nguyen.thi.hoang.yen@undp.org

Offerors are responsible for checking the UNDP website (www.undp.org.vn) for any addenda and updated deadline to this Request for Proposals. UNDP reserves the right to post addenda up to the closing date for submissions. Hence bidders are advised to check the UNDP website frequently prior to submitting their proposal.

5. Amendments of solicitation documents

At any time prior to the deadline for submission of Proposals, the procuring UNDP entity may, for any reason, whether at its own initiative or in response to a clarification requested by a prospective Offeror, modify the Solicitation Documents by amendment.

All prospective Offerors that have received the Solicitation Documents will be notified in writing of all amendments to the Solicitation Documents.

In order to afford prospective Offerors reasonable time in which to take the amendments into account in preparing their offers, the procuring UNDP entity may, at its discretion, extend the deadline for the submission of Proposals.

C. Preparation of Proposals

6. Language of the proposal

The Proposals prepared by the Offeror and all correspondence and documents relating to the Proposal exchanged by the Offeror and the procuring UNDP entity shall be written in the English language. Any printed literature furnished by the Offeror may be written in another language so long as accompanied by

an English translation of its pertinent passages in which case, for purposes of interpretation of the Proposal, the English translation shall govern.

7. Documents comprising the proposal

The Proposal shall comprise the following components:

- (a) Proposal submission form;
- (b) Operational and technical part of the Proposal, including documentation to demonstrate that the Offeror meets all requirements;
- (c) Price schedule, completed in accordance with clauses 8 and 9;

8. Proposal form

Your technical proposal should include, but not necessarily be limited to, the following information:

(a) Management plan

This section should provide corporate orientation to include the year and state/country of incorporation and a brief description of the Offeror's present activities. It should focus on services related to the Proposal. References must be provided for each assignment undertaken by the offeror that UNDP may contact.

This section should also describe the organizational unit(s) that will become responsible for the contract, and the general management approach towards a project of this kind. The Offeror should comment on its experience in similar projects and identify the person(s) representing the Offeror in any future dealing with the procuring UNDP entity.

(b) Resource plan

This should fully explain the Offeror's resources in terms of personnel and facilities necessary for the performance of this requirement. It should describe the Offeror's current capabilities/facilities and any plans for their expansion.

Team Composition and Task Assignments: Here you should propose the structure and composition of your team. You should list the main disciplines of the assignment and the key expert responsible, using the format given below:

| <i>Name of staff member</i> | <i>Area of expertise</i> | <i>Position assigned</i> | <i>Tasks assigned</i> |
|-----------------------------|--------------------------|--------------------------|-----------------------|
| | | | |
| | | | |
| | | | |

Signed Curriculum Vitae (CV) for proposed professional staff. Provide CVs for staff assigned in a uniform format (maximum 4 pages per staff member).

It is required that the proposed staff confirms in their CVs that they are not tendering for the same contract in any other form including their involvement in tendering preparation.

(c) Proposed methodology

This section should demonstrate the Offeror's responsiveness to the specification by identifying the specific components proposed, addressing the requirements, as specified, point by point; providing a detailed description of the essential performance characteristics proposed warranty; and demonstrating how the proposed methodology meets or exceeds the specifications, including the number of person-months in each specialization that you consider necessary to carry out all work required. Bar-charts should support your proposal.

This is the key element of your proposal. Under 'Approach and Methodology' you should explain your understanding of the objectives of the assignment, your methodology for carrying out the activities and obtaining the expected outputs. You should highlight the problems being addressed and their importance, and explain the technical approach you would adopt to address them.

Under 'Work Plan' you should propose the main activities of the assignment, their content and duration, phasing and delivery dates of the reports. The proposed work plan should be consistent with the technical approach and methodology.

The operational and technical part of the Proposal should not contain any pricing information whatsoever on the services offered. Pricing information shall be separated and only contained in the appropriate Price Schedules.

It is recommended that the Offeror's Proposal numbering system corresponds with the numbering system used in the body of this RFP. All references to descriptive material and brochures should be included in the appropriate response paragraph, though material/documents themselves may be provided as annexes to the Proposal/response.

Information which the Offeror considers proprietary, if any, should be clearly marked "proprietary" next to the relevant part of the text and it will then be treated as such accordingly.

9. Proposal prices

The Offeror shall indicate on an appropriate Price Schedule, an example of which is contained in these Solicitation Documents, prices of services it proposes to supply under the contract. The Price Schedule must contain a single all inclusive price for all services to be provided in order to satisfactory complete the tasks required in the TOR (consultancy fees, airfares, travel cost, meal, accommodation, terminals, applicable tax, visa, insurance etc) with break-down lump sum amount for each item.

10. Proposal currencies

- All prices shall be quoted in Vietnam Dong (Otherwise, prices shall be converted to Vietnam Dong at UN Exchange Rate at the submission deadline.)

11. Period of validity of proposals

Proposals shall remain valid for (120) days after the date of Proposal submission prescribed by the procuring UNDP entity, pursuant to the deadline clause. A Proposal valid for a shorter period may be rejected by the procuring UNDP entity on the grounds that it is non-responsive.

In exceptional circumstances, the procuring UNDP entity may solicit the Offeror's consent to an extension of the period of validity. The request and the responses thereto shall be made in writing. An Offeror granting the request will not be required nor permitted to modify its Proposal.

12. Format and signing of proposals

The Offeror shall prepare one "original proposal" and one copy of the Proposal, clearly marking each "Original Proposal" and "Copy of Proposal" as appropriate. In the event of any discrepancy between them, the original shall govern.

The original Proposal shall be typed or written in indelible ink and shall be signed by the Offeror or a person or persons duly authorized to bind the Offeror to the contract. The latter authorization shall be indicated by written power-of-attorney accompanying the Proposal.

A Proposal shall contain no interlineations, erasures, or overwriting except, as necessary to correct errors made by the Offeror, in which case such corrections shall be initialed by the person or persons signing the Proposal.

13. Payment

UNDP shall effect payments to the Contractor after acceptance by UNDP of the invoices submitted by the contractor, upon achievement of the corresponding milestones.

D. Submission of Proposals

14. Sealing and marking of proposals

If submitted electronically, please send the technical and financial proposals as separate documents in pdf format. Proposals should be emailed to procurement.vn@undp.org with the subject line:

{Name of company} **RFP for co-implement the Participatory Governance Assessment for REDD+**

UNDP will acknowledge receipt of proposals within 01 working day after the deadline. Offerors are responsible to contact UNDP to clarify if they do not receive acknowledgment from UNDP. The request for clarification must be within 02 days after deadline.

Maximum size for electronic submission: The maximum size per email that UNDP can receive is 9 MB. Offerors can split proposals into several parts to fit the email size.

If submitted in hard copies, the Offeror shall seal the Proposal in one outer and two inner envelopes, as detailed below.

(a) The outer envelope shall be:

- addressed to:

Procurement Unit
UNDP Viet Nam
72 Ly Thuong Kiet, Ha Noi, Viet Nam
Telephone number: (84-4) 3 9421495
Telefax number: (84-4) 3 9422267

- marked with:

{Name of company} **RFP for co-implement the Participatory Governance Assessment for REDD+**

(b) Both inner envelopes shall indicate the name and address of the Offeror. The first inner envelope shall contain the information specified in Clause 8 (*Proposal form*) above, with the copies duly marked "Original" and "Copy". The second inner envelope shall include the price schedule duly identified as such.

Note: if the inner envelopes are not sealed and marked as per the instructions in this clause, the procuring UNDP entity will not assume responsibility for the Proposal's misplacement or premature opening.

15. Deadline for submission of proposals

Proposals must be received by the procuring UNDP entity at the address specified under clause *Sealing and marking of Proposals* no later than **17.00 hours, 10 September 2012 – Hanoi time.**

The procuring UNDP entity may, at its own discretion extend this deadline for the submission of Proposals by amending the solicitation documents in accordance with clause *Amendments of Solicitation Documents*, in which case all rights and obligations of the procuring UNDP entity and Offerors previously subject to the deadline will thereafter be subject to the deadline as extended.

In case you find that additional time to prepare high quality proposal is needed, please submit written request to UNDP for consideration.

16. Late Proposals

Any Proposal received by the procuring UNDP entity after the deadline for submission of proposals, pursuant to clause *Deadline for the submission of proposals*, will be rejected.

17. Modification and withdrawal of Proposals

The Offeror may withdraw its Proposal after the Proposal's submission, provided that written notice of the withdrawal is received by the procuring UNDP entity prior to the deadline prescribed for submission of Proposals.

The Offeror's withdrawal notice shall be prepared, sealed, marked, and dispatched in accordance with the provisions of clause Deadline for Submission of Proposals. The withdrawal notice may also be sent by telex or fax but followed by a signed confirmation copy.

No Proposal may be modified subsequent to the deadline for submission of proposals.

No Proposal may be withdrawn in the Interval between the deadline for submission of proposals and the expiration of the period of proposal validity specified by the Offeror on the Proposal Submission Form.

E. Opening and Evaluation of Proposals

18. Opening of proposals

The procuring entity will open the Proposals in the presence of a Committee formed by the Head of the procuring UNDP entity.

19. Clarification of proposals

To assist in the examination, evaluation and comparison of Proposals, the Purchaser may at its discretion, ask the Offeror for clarification of its Proposal. The request for clarification and the response shall be in writing and no change in price or substance of the Proposal shall be sought, offered or permitted.

20. Preliminary examination

The Purchaser will examine the Proposals to determine whether they are complete, whether any computational errors have been made, whether the documents have been properly signed, legal documents are provided and whether the Proposals are generally in order.

Arithmetical errors will be rectified on the following basis: If there is a discrepancy between the unit price and the total price that is obtained by multiplying the unit price and quantity, the unit price shall prevail and the total price shall be corrected. If the Offeror does not accept the correction of errors, its Proposal will be rejected. If there is a discrepancy between words and figures the amount in words will prevail.

Prior to the detailed evaluation, the Purchaser will determine the substantial responsiveness of each Proposal to the Request for Proposals (RFP). For purposes of these Clauses, a substantially responsive Proposal is one which conforms to all the terms and conditions of the RFP without material deviations. The Purchaser's determination of a Proposal's responsiveness is based on the contents of the Proposal itself without recourse to extrinsic evidence.

A Proposal determined as not substantially responsive will be rejected by the Purchaser and may not subsequently be made responsive by the Offeror by correction of the non-conformity.

21. Evaluation of proposals

Technical proposals will be evaluated using the following criteria (see detailed evaluation below)

- a) the company/organization's general reliability as well as experience and capacity in the specific field of the assignment (350 points)
- b) the approach in responding to the TOR and the detailed work plan (250 points)
- c) the qualifications and competence of the personnel proposed for the assignment for a total (400 points)

A two-stage procedure is utilized in evaluating the proposals, with evaluation of the technical proposal being completed prior to any price proposal being opened and compared. The price proposal of the

Proposals 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 proposals.

The technical proposal 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 proposal under consideration.

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

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

Technical Evaluation Criteria

| Summary of Technical Proposal Evaluation Forms | | Score Weight | Points Obtainable | Company / Other Entity | | | | |
|--|---|--------------|-------------------|------------------------|---|---|---|---|
| | | | | A | B | C | D | E |
| 1. | Expertise and Capacity of Firm / Organization submitting proposal | 35% | 350 | | | | | |
| 2. | Adequacy of the proposed approach, methodology and work -plan responding to the ToR | 25% | 250 | | | | | |
| 3. | Personnel competencies and human resource organization | 40% | 400 | | | | | |
| Total | | | 1000 | | | | | |

Evaluation forms for technical proposals follow on the next two pages. The obtainable number of points specified for each evaluation criterion indicates the relative significance or weight of the item in the overall evaluation process. The Technical Proposal Evaluation Forms are:

- Form 1: Expertise and Capacity of Firm / Organization submitting Proposal
- Form 2: Adequacy of the proposed approach, methodology and workplan responding to the ToR
- Form 3: Personnel competencies

| Technical Proposal Evaluation Form 1 | | Points | Company / Other Entity | | | | |
|---|---|--------|------------------------|---|---|---|---|
| | | | A | B | C | D | E |
| 1. Expertise and Capacity of Firm / Organization submitting Proposal | | | | | | | |
| 1.1 | Reputation of Organization and Staff (Competence / Reliability) | 40 | | | | | |
| 1.2 | Organizational Capability which is likely to affect implementation <i>(Risks versus access to specialized skills: i.e. subcontracting / partnerships - loose consortium, holding company or one firm, size of the firm / organization, strength of project coordination and support ...)</i> | 20 | | | | | |
| 1.3 | Quality and capacity of the team to sufficiently undertake and deliver the tasks highlighted in the TOR | 70 | | | | | |
| 1.4 | Previous experience in undertaking community development, and/or community empowerment | 55 | | | | | |
| 1.5 | Previous experience of conducting field research (surveys, interviews) in Viet Nam | 75 | | | | | |
| 1.6 | Previous experience working on REDD+ or forestry related topics | 40 | | | | | |

| | | | | | | | |
|-----|---|-----|--|--|--|--|--|
| 1.7 | Previous knowledge of multi-stakeholder participation and consultation, especially with ethnic minorities/local community | 50 | | | | | |
| | | 350 | | | | | |

| Technical Proposal Evaluation Form 2 | | Points | Company / Other Entity | | | | |
|--|---|--------|------------------------|---|---|---|---|
| | | | A | B | C | D | E |
| Adequacy of the research methodology, data collection plan and work plan responding to the TOR | | | | | | | |
| 2.1 | Does the suggested work plan sufficiently address the key tasks/responsibilities expressed in the TOR? | 50 | | | | | |
| 2.2 | Is the suggested research methodology and data collection plan sufficient to address the needs/demands of the TOR? | 50 | | | | | |
| 2.3 | Does the proposal commit adequate human and logistical resources (including support staff, translation/interpretation etc.) to ensure high-quality and timely delivery of the reports in the TOR? | 100 | | | | | |
| 2.4 | Is the presentation clear, and the sequence of activities and the planning logical, realistic and promise efficient delivery of quality reports? | 50 | | | | | |
| | | 250 | | | | | |

| Technical Proposal Evaluation Form 3 | | Points | Company / Other Entity | | | | |
|--------------------------------------|---|--------|------------------------|---|---|---|---|
| | | | A | B | C | D | E |
| 4. Personnel competencies | | | | | | | |
| 3.1 | Lead Senior National Expert | 140 | | | | | |
| | Sub-Score | | | | | | |
| | Qualification (higher university degree in environment, social science, economy/finance, political science/public) | 30 | | | | | |
| | Expertise on governance issues, including civil society/ethnic minorities and REDD issues or related fields obtained through at least 15 years of professional experience | 60 | | | | | |
| | Experience in applied research and analysis (experience in data collection and analysis on governance, and civil society) | 30 | | | | | |
| | Management skills obtained through managing projects of the same sizes | 10 | | | | | |
| | Drafting skills by provision of one sample writing attached to CV | 10 | | | | | |
| | | 140 | | | | | |
| 3.2 | Senior National Expert(s) | 140 | | | | | |
| | Sub-Score | | | | | | |
| | Qualification (higher university degree in environment, social science, economy/finance, political science/public administration) | 20 | | | | | |
| | Knowledge of and expertise in working | 60 | | | | | |

| | | | | | | | | |
|-----|--|-----------|-----|--|--|--|--|--|
| | with local stakeholders on topics pertaining to governance, climate change, environment, public administration reform or civil society engagement, obtained through at least 10 years of professional experience | | | | | | | |
| | Experience in collection and analysis of primary and secondary data | 40 | | | | | | |
| | Proven drafting skills by provision of one writing sample attach to the CV | 20 | | | | | | |
| | | 140 | | | | | | |
| 3.3 | Mid-level or junior national researcher(s) | | 120 | | | | | |
| | | Sub-Score | | | | | | |
| | Qualification (higher university degree or equivalent in social science, political science/public administration, law or related fields) | 10 | | | | | | |
| | Knowledge and expertise on governance or public administration, obtained through at least 5 years of professional experience | 40 | | | | | | |
| | Experience in collection and analysis of primary and secondary data | 60 | | | | | | |
| | Proven drafting skills by provision of one writing sample | 10 | | | | | | |
| | | 120 | | | | | | |

Please note that points will be given separately for key member of the proposed team basing on supplied CVs that detail qualifications, relevant professional and consultancy experience as well language competence (certificates of language competence to be enclosed, if any) of the key members.

F. Award of Contract

22. Award criteria, award of contract

The procuring UNDP entity reserves the right to accept or reject any Proposal, and to annul the solicitation process and reject all Proposals at any time prior to award of contract, without thereby incurring any liability to the affected Offeror or any obligation to inform the affected Offeror or Offerors of the grounds for the Purchaser's action

Prior to expiration of the period of proposal validity, the procuring UNDP entity will award the contract to the qualified Offeror whose Proposal after being evaluated is considered to be the most responsive to the needs of the organization and activity concerned.

23. Purchaser's right to vary requirements at time of award

The Purchaser reserves the right at the time of award of contract to vary the quantity of services and goods specified in the RFP without any change in price or other terms and conditions.

24. Signing of the contract

Within 30 days of receipt of the contract the successful Offeror shall sign and date the contract and return it to the Purchaser.

25. Your proposal is received on the basis that your organization fully understands and accepts these terms and conditions

26. Vendor protest

Our vendor protest procedure is intended to afford an opportunity to appeal to persons or firms not awarded a purchase order or contract in a competitive procurement process. **It is not available to non-responsive or non-timely proposers/bidders or when all proposals/bids are rejected. In the event that you believe you have not been fairly treated, you can find detailed information about vendor protest procedures in the following link: <http://www.undp.org/procurement/protest.shtml>.**

TERMS OF REFERENCE (TOR)

Co-implementing the Participatory Governance Assessment for REDD+

1) GENERAL BACKGROUND

Reducing Emissions from Deforestation and Forest Degradation + (REDD+)

Reducing emissions from deforestation and forest degradation (REDD) is a mechanism designed under the United Nations Framework Convention on Climate Change (UNFCCC) to enhance the role of forests in curbing climate change (UNFCCC 2007). The UNFCCC and its bodies have expanded REDD to include forest conservation and human activities that increase carbon stocks, REDD+ (UNFCCC 2007, 2009). REDD+ has the potential to alter the incentives for deforestation and land use change and instead to encourage sustainable forest management.

REDD+ will take shape in three principal phases. During the readiness phase, countries build the institutional and policy framework. During the implementation phase, national strategies and measures are put into place. In the final stage, performance-based payments are made for carbon emission reductions that have been achieved¹.

REDD+ planning in Viet Nam

Since the 2007 Climate Change Conference in Bali recognized forest's contribution to climate change mitigation and formally agreed to incorporate the REDD+ initiative into the post-2012 negotiations, the Government of Viet Nam (GoV) has been moving rapidly to formulate and implement a REDD+ framework program for the country. Climate change as received in increasing political interest and support. In December 2008, the National Target Programme (NTP) to Respond to Climate Change was approved by the Prime Minister. The NTP aims to assess the impact of climate change on Viet Nam, identifying measures to combat climate change, strengthen the capacities of organizations involved in responding to climate change as well as lay out how Viet Nam will join the international community's efforts in fighting climate change.

The Action Plan Framework (APF) for Adaptation to Climate Change for 2008-2020 was launched by Ministry of Agricultural and Rural Development (MARD) simultaneously with the NTP. The APF included a five-year action plan and established a MARD steering group on climate change and mitigation to lead the development of a REDD+ strategy². In 2012 MARD issued Decision 3119 which states that the forestry sector will contribute to the overall 20 % reduction of Green House Gases (GHG) within the agriculture and rural development sector within 2020. 27 June 2012 the Prime Minister approved Viet Nam's REDD+ strategy, which has been labeled the National REDD+ Action Programme (NRAP)³. The NRAP outlines the institutional structure and legal frameworks to handle REDD+ activities.

Within this existing and forthcoming policy framework, the Viet Nam Administration of Forestry (VNFOREST) in the Ministry of Agriculture and Rural Development (MARD) is the lead agency with responsibility to develop and implement policies and programmes relevant to REDD+, in particular through the Viet Nam REDD+ Office. It is responsible for coordinating international assistance and developing the NRAP.

REDD+ activities in Viet Nam

Viet Nam was one of the first countries identified for country programming under the UN-REDD Global Programme, and also received approval for a Readiness Project Identification Note (R-PIN) under the World Bank's Forest Carbon Partnership Facility (FCPF) very early.

The long-term objective of the UN-REDD Viet Nam Programme is to assist the Government of Viet Nam in

¹ UN-REDD, www.un-redd.org

² REDD Viet Nam, <http://vietnamredd.org/Web/Default.aspx?tab=intro&zoneid=106&lang=en-US>

³ REDD Viet Nam, <http://vietnamredd.org/Web/Default.aspx?tab=newsdetail&zoneid=107&subzone=157&itemid=534&lang=en-US>

developing an effective REDD+ regime and to contribute to reduction of regional greenhouse gas emissions. As the first phase of the UN-REDD Viet Nam Programme ended in June 2012, a proposal for a second phase of the UN-REDD Programme is being prepared. If approved by the Prime Minister and necessary funding is secured, the proposal will look to expand piloting of REDD+ in six provinces and also start piloting delivery of positive incentives to beneficiaries for carbon sequestration activities.

Participatory Governance Assessment

The Participatory Governance Assessment (PGA) is an approach that aims to identify and develop governance indicators that are relevant to REDD+, and measurable over a period of time. The process required to establish indicators emphasizes consultation with both government and civil society as joint developers and owners of the process. The difference between a PGA and other more externally driven assessments is that it is fully initiated, implemented, and sustained by national, rather than international actors. By ensuring the inclusion and participation of all key stakeholders in the design, choice of methodology, selection of the framework to be measured, the data that is generated is likely to have more legitimacy, as well as relevance. The information that is then developed based on the analysis of the available data provides a strong input and evidence for policy-making. Information produced by the assessment reflects and addresses citizens' concerns, and at the same time, provides a baseline for planning, monitoring and evaluation. In the case of REDD+, it is expected that the key issues of concern of forest dependent communities in Viet Nam will be reflected in the assessment framework. The existing discussions around the Social and Environmental Safeguards will be considered as important inputs and criteria to take into account during the establishment of indicators. The information generated by the PGA could also feed into the process of developing a safeguards information system.

2) OBJECTIVES OF THE ASSIGNMENT

The main objective of this initiative is to facilitate and implement a preparatory phase of the Participatory Governance Assessment in the context of REDD+ in Viet Nam according to a work plan that was endorsed by all stakeholders at a kick-off workshop for the PGA in Hanoi 6 March 2012. The PGA pilot will be implemented in Lam Dong Province⁴. The funding for the PGA will come from UNDP through the UN-REDD Global Programme. If regarded as successful, a further expansion of the PGA into the six pilot provinces identified in the Phase 2 proposal is an option.

A national NGO/entity will be contracted to implement the PGA in Lam Dong. Ultimately, the NGO/entity will present a research report on the perception of REDD+ governance among local stakeholders.

3) SCOPE OF WORK

The scope of work for the Contractor includes:

Stage 1 (approx. 2 months) – Institution and Context Analysis and initial awareness raising

- Lead the establishment of an Advisory Group and contract their members.
- The Advisory Group will ideally include representatives from key stakeholder groups at pilot province level, for example Provincial People's Committee, National Assembly, Civil Society Organizations, Board of Ethnicities, but also representatives from key government counterparts at national level such as VNForest, and academic experts in the field from universities and research institutes.
- Discuss with members of the National REDD Network on the composition of the Advisory Group, especially the members of the Sub-Technical Working Group on Governance and Safeguards.
- Select 1-2 districts to carry out the PGA process, in close coordination with Provincial People's Committee in the pilot province, UNDP and the PGA coordinator
- Conduct an Institution and Context Analysis in the pilot districts with the support of UNDP's Country Office and it's Asia Pacific Regional Centre to facilitate the implementation of REDD+ and inform the selection of indicators for the PGA:

⁴Approval from Lam Dong PPC is expected in August 2012

- Review and analyze key legal documents, regulations, and other documents that have an impact on the implementation of a PGA for REDD+. This should include looking at questions such as: What are the formal and informal rules preventing the implementation of relevant legislation and regulatory frameworks? Are there important informal institutions that are relevant to the project, and may either improve the chances of success, or block change? Is the project likely to challenge certain formal and informal institutions, whether directly or indirectly? This review should cover formal and informal practices, power relations, customary law, and historical influences in the pilot province.
- Conduct a stakeholder mapping and analysis in the pilot province through face-to-face consultations in form of interviews and, where appropriate, focus-group discussions with identified stakeholders. While the district and provincial levels are the focus of this analysis, outside influences from the national level or even supra-national actors need to be included and mapped. Wherever possible, the interviews should include key informants, such as provincial officials, private sector representatives, community and other leaders as well as a cross-section of community members. This should include examining the following type of issues: Who are the main stakeholders in the policy-making process, such as forest dependent communities, ethnic groups, women's groups, land owners, Protected Areas Management Boards (PAMBs), State Owned Enterprises (SOEs), credit institutions (formal and informal) and private actors, among others. What are their time horizons, e.g. are they in office for a short-term (elected, for example), or longer-term (civil servants, for example)? What are the main interests of all key stakeholders? Who gains from the status quo, and who stands to lose? For those with the most to gain or lose, what is their capacity (power) to act on those interests? How much formal or informal power does each stakeholder have?
- Perform these tasks in close collaboration with the UNDP Country Office and PGA Coordinator, and especially governance experts at UNDP's Asia Pacific Regional Centre
- Organize and arrange the first one day stakeholder workshop in the pilot province (for about 40 local stakeholders and members of Advisory Group) to secure understanding and interest for the PGA across stakeholders as well as agree on a set of priority REDD+ governance issues on which the indicators will be based on.
- Organize and arrange a meeting with the Advisory Group to seek comments and feedback on the set of priority REDD+ governance issues identified through the first stakeholder workshop

Stage 2 (approx. 4 months) – Drafting indicator and data collection

- Participate in a training workshop on designing indicators and data collection methods, and assist with the organization of the workshop as appropriate.
- Develop a research methodology Concept Note to collect data on the set of priority REDD+ governance issues agreed at the first stakeholder workshop and with the Advisory Group, in coordination with government agency
- Map existing data sources relevant to the set of priority REDD+ governance issues
- Draft indicators and an indicator and data collection framework for the set of priority REDD+ governance issues
- Seek comments and feedback from UNDP, FAO and the Advisory Group on the draft indicator & data collection framework and revise the framework accordingly
- Organize the second one day stakeholder workshop in the pilot province to present the indicator & data collection framework and the indicator set
- Present the indicator & data collection framework at the Sub-technical working group on Governance and Sub-technical working group on Safeguards under the National REDD Network
- Finalize the framework as per the feedback received from the stakeholder consultations held at both local as well as national level
- Organize and conduct the collection of primary data through selected data collection methods, as laid out in the Concept Note, including the identification, and briefing as appropriate, of data

collectors

- Attend and assist in facilitating a PGA South-South exchange visit from other PGA piloting countries

Stage 3 (approx. 2 months) – Process data, analyze findings and present recommendations for replicability

- Agree with UNDP, FAO and the PGA Coordinator on a detailed outline for the final report
- Draft a PGA research report that includes data collection, data analysis and recommendations based on the findings
- Seek comments and feedback from UNDP, FAO and the Advisory Group on the draft PGA research report and revise the report accordingly
- Organize a third one day stakeholder workshop at the pilot province to present the findings
- Present the findings at the Sub-technical working group on Governance and Sub-technical working group on Safeguards at national level
- Finalize the report as per the feedback received from the stakeholder consultations held at both local as well as national level

The implementation of the pilot will show the feasibility for replicating the exercise in other provinces in support of REDD+.

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

Duration of assignment: September 2012 – April 2013

Duty station: Ha Noi and field work in Lam Dong⁵ province.

5) DELIVERABLES

Stage 1 (approx. 2 months) – Institution and Context Analysis and initial awareness raising

1. Submit a detailed work-plan and time line for the tasks of the contract, both activities in the pilot province as well as at national level, including an interview schedule for semi-structured interviews (questionnaire), a list of potential interviewees and a brief methodology and approach to analyzing the interview data for the Institutional and Context Analysis.
2. Draft a report that presents the Institution and Context Analysis. The report should contain, but is not limited to:
 - Introduction to the objective of the analysis
 - Brief description of the methodology (e.g. document review, interviews, focus groups)
 - Contextual background which includes governance related studies in the forestry sector in the pilot province, focusing specifically on the topics highlighted at the kick-off workshop, and also the context of land ownership, private actors, ethnic groups, Protected Areas Management Boards (PAMBs) and State Owned Enterprises. The issue of land ownership could specifically be addressed and examined.
 - Analysis of the institutional set-up (strengths, weaknesses, opportunities, informal and formal rules of the game etc.)
 - Analysis and mapping of the stakeholders at the district and provincial level (interest in the objective of the PGA and REDD+, reasons for interest or disinterest in the PGA,

⁵Approval from Lam Dong PPC is expected in August 2012

level of influence on decision-making processes etc.)

- Recommendations based on the analysis with regard to expected bottlenecks, opportunities and entry points as well as options for engagement with different stakeholders, i.e. identify a proposed institutional set-up for REDD+ and potential risks that could negatively influence the PGA.
 - The report should be between 20-30 pages, excluding annexes (mapping of institutions, and stakeholders, list of questions asked, documents reviewed etc.). The report should be available in English and Vietnamese.
3. Submit a list of contracted Advisory Group members
 4. Organize and arrange a first stakeholder workshop in the pilot province to
 - Secure understanding and interest for the PGA across stakeholder groups, also by presenting findings from the report on “Stakeholder mapping, Governance baseline and institutional analysis”
 - Reach a consensus on critical issues to be assessed in the PGA, given the thematic scope already agreed on at the national kick-off workshop in Hanoi
 - The workshop will attract about 40 participants including the members of the Advisory Group. Translation must be provided. Cost for arranging this workshop to be covered by the contractor.
 5. Submit a first workshop report highlighting critical issues to be assessed in the PGA as discussed and agreed in the workshop

Stage 2 (approx. 4 months) – Drafting indicator and data collection

1. Submit a research methodology Concept Note including data collection approaches that will ensure evidence-based approach to research, based on quality and reliability
2. Submit a draft indicator and data collection framework for the set of priority REDD+ governance issues
3. Submit a report made by the Advisory Group that includes written comments on the Concept Note and on the draft indicator and data collection framework
 - Organize a second stakeholder workshop in the pilot province to present the indicator & data collection framework. The workshop will attract about 40 participants including the members of the Advisory Group. Translation need to be ensured. Cost for arranging this workshop to be covered by the contractor.
4. Submit a report summarizing comments/feedback from the second local stakeholder workshop and the Sub-technical working group on Governance and Safeguard on the draft indicator and data collection framework
5. Submit a final indicator and data collection framework for the set of priority REDD+ governance issues
6. Field report on the data collection summarizing:
 - Advantages and difficulties during the data collecting period
 - Information on the type of data collected
 - Lessons learned from the monitoring process/field-work

Stage 3 (approx. 2 months) - Report (data processing), analysis of findings, and recommendations for replicability

1. Develop and submit a draft report that, at least, includes:
 - Presentation of raw data & data analysis
 - Data collection activities (from the field report), data collection report against each indicator

Equipment (laptop etc) No

Secretarial Services No

Assistance from PGA coordinator/UNDP CO:

- Substantive inputs to and quality control of deliverables
- When requested, arrangement of introduction letters and/or requests for meetings/interviews;
- Any other support where deemed appropriate

Below are some of the documents that are relevant to the assignment:

- [PGA kick off workshop report](#)
- [Forest Governance Monitoring in Viet Nam: background paper](#)
- [Report workshop: Forest Governance Monitoring in Viet Nam](#)
- [PGA for REDD+ Global Fast Facts](#)
- [PGA for REDD+ Global Planning 2011 - 2015](#)
- [FAO's "Framework for assessing and monitoring forest governance"](#)
- [WFI's "The Governance of Forests Toolkit"](#)

9) REVIEW TIME REQUIRED AND PAYMENT TERM

The payment will be paid in accordance with the following schedule:

| No. | Reports, Document and deliverables | Expected Due date | Payment |
|-----|--|-------------------|-----------------------------|
| 1 | Upon submission and acceptance of deliverable 1 under Stage 1 | TBD | 15% of total contract value |
| 2 | Upon submission and acceptance of all remaining deliverables under Stage 1 | TBD | 30% of total contract value |
| 3 | Upon submission of deliverables 1-6 under Stage 2 | TBD | 45% of total contract value |
| 4 | Upon submission and acceptance of deliverable 7 under Stage 2 and all deliverables under Stage 3 | TBD | 10% of total contract value |

Note:

1. Every document completed as per deliverables above should be certified by the UNDP
2. Payment will be made upon submission of request for payment, accepted reports and invoices

PRICE SCHEDULE

The Contractor is asked to prepare the Price Schedule as a separate envelope (or pdf document if submitting electronically) from the rest of the RFP response as indicated in Section D paragraph 14 (b) of the Instruction to Offerors.

The Price Schedule must provide a detailed cost breakdown. Provide separate figures for each functional grouping or category.

Estimates for cost-reimbursable items, if any, such as travel, and out of pocket expenses should be listed separately.

All related applicable taxes are included in the offered prices.

In case of an equipment component to the service provided, the Price Schedule should include figures for both purchase and lease/rent options. The UNDP reserves the option to either lease/rent or purchase outright the equipment through the Contractor.

The format shown on the following pages should be used in preparing the price schedule. The format includes specific expenditures, which may or may not be required or applicable but are indicated to serve as examples.

| Price Schedule: | | | | | |
|---|-------------------------------------|------------------------|------------------|-----------------|-------------------------|
| Request for Proposals for Services | | | | | |
| | Description of Activity/Item | Number of Staff | Men Month | Rate VND | Estimated Amount |
| 1. | Remuneration | | | | |
| 1.1 | Services in Home office | | | | |
| 1.2 | Services in Field | | | | |
| 1.3 | ... | | | | |
| | | | | | |
| 2. | Out of Pocket Expenses | | | | |
| 2.1 | Travel | | | | |
| 2.2 | Per Diem Allowances | | | | |
| 2.3 | Communications | | | | |
| 2.4 | Reproduction and Reports | | | | |
| 2.5 | Equipment and other items | | | | |
| | | | | | |

SUBMISSION CHECK-LIST

In their proposals, bidders should submit all but not limited to the following documents:

| No. | Document | Yes/No |
|-----|---|--------|
| | Technical proposal: | |
| 1 | Proposal submission (Annex III) | |
| 2 | Business registration/documents | |
| 3 | Documents/information demonstrating bidders' expertise and capacity (Ref: Form 1 - Technical evaluation criteria) | |
| 4 | Proposed approach, methodology, work plan and quality control corresponding to the TOR (addressing the criteria in Form 2 – Technical evaluation criteria) | |
| 5 | Signed CVs of core team members with related certificates (Ref: Form 3 – Technical Evaluation criteria). | |
| 4 | Letter of agreement signed and stamped by all parties (in case of consortium)- (Ref: Point 2, page 1 of the RFP) | |
| 5 | Reference publications (if any) – (Ref: Section 6 of the TOR) | |
| | | |
| | Financial proposal | |
| 1 | Financial schedule with cost break-down | |