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Resilient nations.*

Date: 12 March 2014

INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

for individual consultant and consultant assigned by consulting firm/institution

Country:	Viet Nam
Description of the assignment:	National consultant for resource mechanism review and testing phases for REDD+ in Vietnam
Project name:	Project 00085319 - UN-REDD phase II
Period of assignment/services (if applicable):	60 days, spread over 4 months (March – June 2014)

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1. Submissions comprising of technical and financial components should be sent in separate email to: nguyen.thi.hoang.yen@undp.org no later than: **25 March 2014 (Hanoi time).**

With subject line: National consultant for resource mechanism review and testing phases

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. Documents to be included in the submission:

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

a. **Technical proposal:** The technical proposal shall include:

- Signed Curriculum vitae
- Copy of 1-3 relevant publications/writing samples.
- A brief description of the consultant's past experience on implementing research projects of similar nature to this required research. You should also provide any other information that will facilitate our evaluation of your reliability and capacity to meet the TOR requirements. Explanation on why you consider yourself the most suitable for the work (maximum 2 pages);
- A detailed description of 'Approach and Methodology' on how the consultant will respond to the TOR, describing the consultant's understanding of the objectives of the assignment, the 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 (maximum 3 pages).
- Implementation plan of detailing activities and timelines
- Reference contacts of past 4 clients for whom you have rendered preferably the similar service

a. **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.

6. Evaluation:

Your technical proposals will be evaluated using the following criteria:

1	Consultant(s)' experiences/qualification related to the services	Max points
1.1	Postgraduate degree in environment, forestry, natural resource management, economics, laws or related fields	100
1.2	At least 10 years of experience in the field of forestry, rural development and community-based development	200
1.3	Relevant working experience in legal framework analysis, case studies analysis, community-based projects, local development	150
1.4	Adequate knowledge on REDD+	100
1.5	Strong inter-personal skills of team work, communication, facilitation, and working in multi-cultural team	100
1.6	Proficiency in both spoken and written English	50
2	Technical proposal	
2.1	Understanding of the objectives of the assignment	50
2.2	Strong understandings on safeguards and requirements on grievance redress mechanism for REDD+ implementation	150
2.3	Approach/methodology for carrying out the task and obtaining the expected outputs	80
2.4	Provide reference of similar assignments conducted by the consultant	20
	TOTAL	1000

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.

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

8. Contract

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

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

Documents required before contract signing:

- Personal History
- Release letter in case the selected consultant is government official.

Financial Proposal

9. Your financial proposal shall specify a total lump sum amount in Vietnam 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 Vietnam Dong at UN Exchange Rate at the submission deadline.

10. Payment

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

- The first installment of 30% of the contract value will be paid upon submission the draft work-plan with satisfactory acceptance by UNDP and the NPD.
- The second installment of 30% of the contract value will be paid upon submission the draft report with satisfactory acceptance by UNDP and the NPD.
- The final payment of 40% will be paid upon the completion of final products under the contract, with satisfactory acceptance by UNDP and the NPD

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

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

You are requested to acknowledge receipt of this Procurement Notice and to indicate whether or not you intend to submit proposals.

TERMS OF REFERENCE (TOR)

TITLE:	National consultant for recourse mechanism review and testing phases for REDD+ in Vietnam
Duty Station:	Ha Noi and Provinces (including <i>Lam Dong, Ca Mau, Binh Thuan, Ha Tinh, Bac Can and Lao Cai</i>)
Duration of Appointment	60 days, spread over 4 months (March – June 2014)
Reporting Project code	UNDP and National Programme Director of UN-REDD phase II 00085319

1. GENERAL BACKGROUND

Viet Nam is among the countries most vulnerable to climate change. Although Viet Nam's greenhouse gas (GHG) emissions are still relatively low, emissions per capita were just 1.46 metric tons CO₂ equivalent in 2008, they are growing at a faster pace than many other countries and will continue to rise rapidly due to rapid economic growth and industrial expansion. The Government has made significant efforts in responding to climate change, including adoption of a National Climate Change Strategy, National Target Programme to Respond to Climate Change, National Green Growth Strategy, and National Action Programme on reducing emission from deforestation and forest degradation, conservation and sustainable management of forest resources and enhancing carbon stock (REDD+), etc. The agriculture and rural development sector, including forestry, pioneered to adopt a plan to reduce emissions by 20% from forecasted levels by 2020.

Under the programme cycle 2012-2016 , UN provides substantial support to the Government of Viet Nam to respond to climate change, including REDD+. The support is mainly provided through the UN-REDD Vietnam Programme. The UN-REDD Vietnam Phase I Programme has been completed with some key results regarding to the capacity building at national and local level in Lam Dong province, including the design of 17 principles for benefit distribution system (BDS) and the R-factor for benefit sharing. The UN-REDD Vietnam Phase II Programme aims to pilot eligible activities and provide positive incentives for local people who are directly involved in REDD+ activities in 6 pilot provinces, including *Lam Dong, Ca Mau, Binh Thuan, Ha Tinh, Bac Can and Lao Cai*. The REDD+ process is likely to fuel existing and new conflicts about land use and benefit distribution. The UN-REDD phase II programme aims to establish a grievance and redress process to address concerns about the allocation of positive incentives, the REDD+ process in general and regarding to FPIC and PGA in particular. A recourse mechanism is therefore critical for all Cancun-defined REDD+ phases and for designing and implementation of REDD+ programs/policies, including designing BDS. It is necessary for ensuring appropriate monitoring of the progress, prevention of any risks of conflicts and conflict resolution if any during the implementation of UN-REDD Vietnam Phase II Programme in particular and of REDD+ in general. The purpose of developing a recourse mechanism or also called grievance redress mechanism (GRM) is to help countries strengthen their capacity for grievance resolution in order to respond to problems, complaints and disputes. It will contribute to the Programme with a system of feedback and questions on REDD+ policies, programs, projects in order to build necessary capacity and readiness for Viet Nam to benefit from future results-based payments for REDD+ and undertake transformational changes in the forestry sector.

The GRM needs to be effectively available, and if necessary strengthened, as part of the country's REDD+ institutional arrangements. Such a mechanism needs to be available to REDD+ stakeholders from the earliest stages of REDD+ preparation in order to facilitate handling of any request for feedback or complaint by any REDD+ Readiness stakeholders, with particular attention to providing access to geographically, culturally or economically isolated or excluded groups.

GRMs are defined as organizational systems and resources established by national government agencies to receive and address concerns about the impact of their policies, programs and operations on external stakeholders. The stakeholder input handled through these systems and procedures may be called "grievances," "complaints," "feedback," or another functionally equivalent term.

GRMs are intended to be accessible, collaborative, expeditious and effective in resolving concerns through

dialogue, joint fact-finding, negotiation, and problem solving.

They are generally designed to be the “first line” of response to stakeholders’ concerns that have not been prevented by proactive stakeholder engagement. GRMs are intended to complement, not replace, formal legal channels for managing grievances (e.g. the court system, organizational audit mechanisms, etc.). If they are not successful in resolving the issues raised, then stakeholders still have the option to use other, more formal and potentially more complex, costly and time consuming alternatives, including legal remedies.

GRMs act as recourse for situations in which, despite proactive stakeholder engagement, some stakeholders have a concern about the organization’s actual or potential impacts on them. Not all complaints about an implementing partner’s impacts should be handled through a GRM. For example, grievances that allege corruption, coercion, or major and systematic violations of rights and/or policies, are normally referred to organizational accountability mechanisms for formal investigation, rather than to GRMs for collaborative problem solving.

In order to identify existing grievance mechanisms, potential grievances and capacities in Viet Nam and recommend options suitable for piloting under the Programme, a national consultant will be hired to assess the current status or baseline of recourse mechanisms in Vietnam and come up with some set of recommendations, especially in 6 pilot provinces of UN-REDD Vietnam Phase II Programme. The recommendations will provide inputs for piloting recourse mechanisms for testing in the REDD+ programme in 2014. At the end of the Phase II, the lessons learnt from this testing will be used to develop a full recourse mechanism for REDD+ implementation in the result-based payments phase of REDD+.

The consultant will work mainly under the supervision of the NPD of UN-REDD Vietnam Phase II Programme. The consultant advises and supports also and provides inputs to the development of a comprehensive recourse mechanism for implementation of REDD+ in Vietnam.

The consultant will be based at PMU, and will report to the NPD and UNDP programme staff. The consultant will work also with an International Technical Adviser at PMU, for ensuring the highest possible quality of the outputs.

2. OBJECTIVES OF THE ASSIGNMENT

This assignment is designed to support the development of a recourse mechanism adapted for REDD+ principles in Viet Nam to achieve the following objectives:

1. Review existing recourse, grievance and complaints mechanisms in Viet Nam, especially those related to natural resource management,
2. Assist in preparation of a scoping mission by an international expert, to be undertaken in April, 2014;
3. Develop recommendations and options for testing recourse and grievance mechanisms suitable for REDD+ in the 6 pilot provinces of the UN-REDD programme.

3. SCOPE OF WORK AND SPECIFIC TASKS

The consultant will complete the following tasks:

A. *Review and analysis of recourse mechanisms for forest resources management in Viet Nam*

1. Reviewing experiences on recourse mechanisms dealing with conflicts over forest management, resource use, and land use and ownership, including disputes over conversion of forest land to other uses in Viet Nam;
2. Reviewing the legal framework for recourse mechanism in Vietnam at national and provincial level; including customary laws in marginalized and ethnic minority groups
3. Several case studies of past and current conflict resolution related to natural resource management in Viet Nam, including formal and informal channels.

B. *Preparation of an international consultant mission*

1. Proposing two sites with relevant experiences in dealing with conflicts and recourse mechanism for the mission
2. Producing a detailed note on background, institutional context and implementation challenges in the

- selected sites
3. Developing an agenda for two site visits for a 5-day mission, with initial meeting and debriefings in Ha Noi

C. Recommendations for testing suitable mechanisms in the UN-REDD pilot provinces

1. Developing recommendations on suitable, culturally appropriate mechanism for REDD+ that addresses grievance, complaints and recourse related to REDD+ implementation to be integrated in the design of pilots in the 6 UN-REDD provinces by international consultant in compliance with FPIC and PGA as well as Cancun safeguards requirements.
2. Taking part in the scoping mission.
3. Ensuring highest quality of the technical inputs and outputs in the piloting of recourse mechanism development.

Methodology:

The consultant should combine various approaches including undertaking documentary research; and conducting interviews either in person, via telephone/Skype/email or by other communication modes with government personnel at central and local level, with NGO staff and/or project staff who have been engaged with initiatives to support recourse mechanisms, in order to compile comprehensively information on such mechanisms in Viet Nam.

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

The assignment is designed with **60 work-days**, spread over a 4 months, starting from March 2014 until June 2014.

The consultant will work at PMU, under supervision of the NPD and program officer/ Head of Unit at UNDP Viet Nam Office when necessary, and including consultation workshops.

The consultant is expected to travel to the 6 project sites in Lam Dong, Ca Mau, Binh Thuan, Ha Tinh, Bac Can and Lao Cai, with tentatively 5 days per province according to the schedule agreed with PMU and UNDP staff in charge prior to the contract signed. In this case, PMU shall provide essential admin support for arranging or organizing events at provincial level, but all traveling costs should be included in the proposal submitted by the consultant.

5. FINAL PRODUCTS

The expected outputs from this assignment during the 60 days- period include:

1. Report on the review of existing formal and informal recourse mechanisms in Viet Nam, with specific chapters covering:
 - In-depth review of mechanisms used to resolve grievances and disputes over sharing and distributing benefits from forest management, forest resource use and extraction, and forest land use and land conversion.
 - Review of legal framework and customary practices for recourse mechanism suitable for REDD+ implementation in Vietnam;
 - Initial assessment of strengths and weaknesses, opportunities and threats (i.e., a SWOT analysis) of existing recourse/dispute resolution mechanisms for REDD+ and the pilot provinces

The consultant will circulate a draft report with PMU and UNDP, other experts in Viet Nam, and the international specialist, and will address all comments received for preparation of a final report.

2. Proposed schedule for scoping mission:

- Recommendations for sites and stakeholders to be visited during the scoping mission by the

- international specialist
 - Background note the selected sites for the mission
3. Set of recommendations and options for testing recourse and grievance mechanisms suitable for REDD+ in the 6 pilot provinces of the UN-REDD programme. The recommendations will be taken into account by the international consultant for the design of pilot mechanisms.
 4. Final report from national consultant on review and recommendations for pilot sites

6. PROVISION OF MONITORING AND PROGRESS CONTROLS

- The consultant will report to the UN-REDD phase II NPD and UNDP officers.
- Regular briefing and updates on new progress and results.
- The consultant will also work closely with Provincial PMU for field research in the pilot provinces.

7. DEGREE OF EXPERTISE AND QUALIFICATIONS

- Postgraduate degree in environment, forestry, natural resource management, economics, laws or related fields;
- At least 10 years of experience in the field of forestry, rural development and community-based development
- Relevant working experience in legal framework analysis, case studies analysis, community-based projects, local development;
- Adequate knowledge on REDD+;
- Strong inter-personal skills of team work, communication, facilitation, and working in multi-cultural team;
- Proficiency in both spoken and written English.

8. ADMIN SUPPORT AND REFERENCE DOCUMENTS

Logistical support:

- The project PMU will provide necessary logistical support for implementation of the work.

Documentation/secondary information

- All relevant project documents, publications, and materials available at PMU and UNDP relating to the work will be made available for reference.

9. REVIEW TIME REQUIRED AND PAYMENT TERM

The payments for the contract will be divided into 3 installments:

- The first installment of 30% of the contract value will be paid upon submission the draft work-plan with satisfactory acceptance by UNDP and the NPD
- The second installment of 30% of the contract value will be paid upon submission the draft report with satisfactory acceptance by UNDP and the NPD
- The final payment of 40% will be paid upon the completion of final products under the contract, with satisfactory acceptance by UNDP and the NPD

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 VND

This is a lumpsum offer covering all associated costs for the required service (fee, meal, accommodation, travel, visa, 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 technical 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			
2.5	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