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Date: 14 January 2014

## INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

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

Country:	Viet Nam
Description of the assignment:	International Consultant/Team leader for preparation of a Medium-sized project on “Local Development and Promotion of LED Technologies for Advanced General Lighting”
Project name:	00088756/PPG: Local Development and Promotion of LED Technologies for Advanced General Lighting
Period of assignment/services (if applicable):	February 2014 – March 2015

1. Submissions should be sent by email to: [nguyen.thi.hoang.yen@undp.org](mailto:nguyen.thi.hoang.yen@undp.org) no later than: **6 February 2014 (Hanoi time)**.

**With subject line: International Consultant for Formulation of Project 00088756/PPG**

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

### **Note:**

- Any individual employed by a company or institution who would like to submit an offer in response to this Procurement Notice must do so in their individual capacity, even if they expect their employers to sign a contract with UNDP.
- Maximum size per email is **7 MB**.
- Any request for clarification must be sent in writing, or by standard electronic communication to the address or e-mail indicated above. Procurement Unit – UNDP Viet Nam will respond in writing or by standard electronic mail and will send written copies of the response, including an explanation of the query without identifying the source of inquiry, to all consultants.

2. Please find attached the relevant documents:

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

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

- a. Technical component:
  - Signed Curriculum vitae
  - Copy of 1-3 publications/writing samples.
  - Reference contacts of past 4 clients for whom you have rendered preferably the similar service
- b. Financial proposal **(with your signature)**:
  - The financial proposal shall specify a total lump sum amount in **US Dollar** including consultancy fees and all associated costs i.e. airfares, travel cost, meal, accommodation, tax, insurance etc. – see format of financial offer in Annex VII.
  - Please note that the cost of preparing a proposal and of negotiating a contract, including any related travel, is not reimbursable as a direct cost of the assignment.
  - If quoted in other currency, prices shall be converted to Viet Nam Dong at UN Exchange Rate at the submission deadline.

4. Evaluation:

The technical component will be evaluated using the following criteria:

<b>Consultant's experiences/qualification related to the services</b>		
	<b>Criteria</b>	<b>Maximum Points</b>
1	Postgraduate degree and knowledge in project development/management or in energy efficiency, lighting technology or relevant fields	200
2	10 years of extensive professional experience in development and formulation of related project on climate change mitigation	250
3	A very good understanding of GEF/ UNDP project formulation process and requirements; with demonstrable knowledge and skills on drafting, reviewing and finalizing GEF/UNDP documents	150
4	Work experience and sound knowledge of energy efficiency policy framework and energy efficient lighting in Viet Nam and South East Asia will be an advantage	100
5	Sound knowledge of lighting technology and manufacturing in Viet Nam and other countries will be an advantage	100
6	Experience in leading a small group with strong client and results orientation	100
7	Demonstrated command of writing professional reports/project documents in English with evidence by submission of sample reports	100
	<b>TOTAL</b>	<b>1000</b>

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

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

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

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

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

Interview with the candidates may be held if deemed necessary.

8. Contract

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

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

Documents required before contract signing:

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

Note: The Basic Security in the Field Certificate can be obtained from website:

<https://training.dss.un.org/consultants>. The training course takes around 3-4 hours to complete. The certificate is valid for 3 years.

- Full medical examination and Statement of Fitness to work for consultants from and above 62 years of age and involve travel. (This is not a requirement for RLA contracts).
- Release letter in case the selected consultant is government official.

## 9. Payment

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

- The first installment of 20% of the total contract will be paid upon the submission the detailed work plan and draft Log-frame with satisfactory acceptance by UNDP.
- The second installment of 40% of the total contract amount will be paid upon submission the final ProDoc with relevant tracking tools, with satisfactory acceptance by UNDP.
- The third payment of 20% of the total contract amount will be paid upon the submission of the final GEF CEO Approval Request with relevant tracking tools that are ready for submission to GEF, with satisfactory acceptance by UNDP.
- Last payment of 20% of the total contract amount will be made upon submission of final products under the contract, with satisfactory acceptance by UNDP.

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

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



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

<b>Title:</b>	International Consultant/Team leader for preparation of a Medium-sized project on “Local Development and Promotion of LED Technologies for Advanced General Lighting”
<b>Project ID and title:</b>	00088756/PPG: Local Development and Promotion of LED Technologies for Advanced General Lighting
<b>Duration:</b>	February – December 2014
<b>Duty station:</b>	Home-based, Hanoi and local travel to the field if needed
<b>Reporting:</b>	UNDP Viet Nam and Viet Nam Academy of Science and Technology (VAST)

### **BACKGROUND**

The Government of Viet Nam, represented by the Viet Nam Academy of Science and Technology (VAST) received a project preparation grant from the Global Environment Facility (GEF) for development of a medium-sized project on “Local Development and Promotion of LED Technologies for Advanced General Lighting”. The medium-sized project aims at GHG mitigation and market transformation of the LED lighting products market in Viet Nam.

To prepare the medium-sized project documents, UNDP Viet Nam and VAST are recruiting a team of consultants consisting of an international consultant/team leader and two national consultants.

- The international consultant/team leader will be in charge of leading the team and finalizing the required documents
- National consultants will provide technical inputs and support to the international consultants for finalization of the required documents

This TOR is designed for the International Consultant/Team Leader.

### **OBJECTIVES OF THE ASSIGNMENT**

The assignment is to support UNDP and VAST in formulating “Local Development and Promotion of LED Technologies for Advanced General Lighting” project. The consultant is required to lead and coordinate the project formulation team and draft and finalize the three documents including:

- i) a GEF-UNDP Project Document (ProDoc);
- ii) a GEF CEO Approval Request with completed relevant tracking tools; and
- iii) a detailed project outline (DPO), using the standard format of the Government of Viet Nam

### **SCOPE OF WORK**

The International Consultant/Team Leader will be responsible for following duties and tasks:

#### ***Leading, guiding and coordinating inputs from national consultants***

- Work with national consultants to draw up a detailed work plan, including defining scope, specific tasks and expected outputs by national consultants and their inputs to the preparation of the ProDoc and the GEF CEO Approval Request;
- Provide technical advice and guidance to national consultants to perform their tasks in the start-up phase and during the process;
- Coordinate inputs and provide comments and advice to improve quality of national consultants’ technical inputs as needed.

### ***Designing and preparing the Logical Framework (Log-frame)/Project Results Framework of the project***

- Facilitate consultation meetings, the logframe and validation workshops, including the stakeholder analysis, barriers analysis and proposed project strategy;
- In close consultation with UNDP and VAST, relevant stakeholders, and national consultants, define measurable project outcomes, outputs, activities and verifiable indicators, baselines, targets, means of verifications, and assumptions;
- Prepare and finalize the Project Planning Matrix (PPM) / logical framework, meeting UNDP and GEF requirements with appropriate objective-level and outcome-level quantitative SMART indicators, and time-bound targets. This matrix will be developed through a logical framework analysis workshop, which will either confirm or modify the outputs in the results framework in the GEF-approved PIF, based on the relevant inputs on baselines and barriers provided by the national consultants. Special attention will be made to include socio-economic and sex disaggregated indicators.

### ***Drafting and finalizing the ProDoc, GEF CEO Approval Request and DPO (detailed contents of the ProDoc are listed in the Outputs section below)***

- Based on desk/literature review, interviews with stakeholders and inputs from national consultants, draft a comprehensive medium-sized ProDoc, in line with UNDP and GEF requirements and government priorities, the ProDoc includes but not limited to the following key elements:
  - o Detailed design of the project components and activities which is based on the finalized PPM and from the relevant inputs provided by the national consultants.
  - o The schedule and budget of each identified project activity (baseline and incremental) and the demonstrations/pilots.
  - o Identification and assessment of demonstration schemes for the project and development of a set of selection criteria and selection of demonstration sites and hosts;
  - o Completion of relevant GEF Tracking Tools/GEF climate change mitigation tracking tool as needed;
  - o Define the sustainability plan that outlines the principles and guidelines for ensuring the long-term sustainability of project achievements. It will also outline an exit strategy, seeking the continuation of key activities/achievements without the need for long-term international financing;
  - o Define monitoring and evaluation (M&E): develop a detailed M&E work plan including clear identification of responsibilities and accountabilities, as well as an appropriate M&E budget. The plan will be based on the standard provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy, and the agreed Project Planning Matrix;
  - o Budget, M&E Plan, Annual Targets and Tracking Tool should be done based on the detailed design of the project components and activities
- Draft the GEF CEO Approval Request;
- Compile all relevant annexes for the ProDoc and CEO Approval Request;
- Draft a detailed project outline (DPO) of the project;
- Undertake necessary consultations with relevant government agencies, stakeholders and experts to obtain comments/suggestions and incorporate these comments into the draft documents;
- Conduct and complete environmental and social screening procedure basing on UNDP's template checklist and address any opportunities/risks identified during an environmental and social screening (ESSP) of the project proposal;
- Address the comments and recommendations in the Scientific Technical Advisory Panel (STAP) Screening Report, and the GEFSec review (at CEO endorsement stage), and ESSP findings;
- Provide written responses to comments from UNDP's Local Project Appraisal Committee (LPAC) and incorporate those comments into the revised draft ProDoc and LPAC minutes;
- Provide written responses to comments from GEF reviewers on the ProDoc and CEO Approval Request, and incorporate these comments into the final documents for GEF approval.

### **DURATION OF ASSIGNMENT, DUTY STATION AND EXPECTED PLACES OF TRAVEL**

**Duration and Timing:** 40 days over the period from February – December 2014

**Duty station:** Home based and Hanoi. The international consultant will be expected to have a maximum of 10 working days for two missions to Hanoi. Exact dates and timing will be discussed and agreed prior to each visit. During the missions, travel to the field maybe required. Upon prior written agreement between UNDP and the selected consultant, additional cost of local travel will be covered by UNDP.

With the exception of two missions to Hanoi, the international consultant is expected to work mostly from their home based office and communicate with national consultants and with UNDP and VAST electronically.

## FINAL PRODUCTS AND DUE DATES

The main outputs of the assignment with the expected due date for submission are:

Final Product	Expected due date
1. UNDP Project Document (ProDoc)	15 April 2014: Draft ProDoc 15 June 2014: Final draft ProDoc ready for submission to GEF
2. GEF CEO Approval Request with completed relevant GEF Tracking Tools	Within 3 weeks UNDP's acceptance of the final ProDoc ready for submission to GEF
3. Detailed Project Outline (DPO) basing on the ProDoc and in accordance with the government's guidelines	Within one month upon UNDP's acceptance of the CEO Approval Request

The ProDoc must include the following key indicative sections:

- Situation Analysis (including sections on context and global significance, barriers analysis, institutional/sectoral/policy context, stakeholder analysis, business-as-usual-analysis, gender issue analysis, business-with-GEF-analysis)
- Strategy (including sections on project rationale for GEF assistance and policy conformity, project goal, objective, outcomes, outputs and activities, project indicators, risks and assumptions, country ownership, sustainability and replicability)
- Management Arrangements
- Monitoring framework and evaluation plan and associated budgets
- Incremental Cost Reasoning
- Project Results Framework
- Total Budget with detailed multi-year budget and Work-plan, including detailed First Year Work-plan (GEF and co-financing)
- Project Organigram
- Project timetable
- Terms of Reference for Project staff (project management unit staff, international and national consultants) and main sub-contracts
- Stakeholder involvement Plan
- Confirmed co-financing letters
- Annexes and additional information (i.e. Implementation Arrangement, Baseline data and annual targets, energy consumption and CO<sub>2</sub> emission calculation methodology)

These sections are indicative. As templates may be subject to change, the International consultant will be required to obtain guidance by the UNDP/GEF Regional Technical Advisor on applicable formats and templates and ensure that his/her work is compliant with UNDP/GEF requirements.

## PROVISION OF MONITORING AND PROGRESS CONTROL

The selected consultant will work under the overall guidance of the Head of the Sustainable Development Unit, UNDP Viet Nam and the Director of Centre for High Technology Development of VAST, and in close consultation with Technical Advisor at UNDP Asia Pacific Regional Centre in Bangkok.

The selected consultant will have regular discussions with and report to the responsible staff of UNDP Viet Nam, VAST, and UNDP Regional Technical Advisor. The international consultant needs to report to UNDP any difficulties in a timely manner in order to find solutions and ensure smooth process.

## DEGREE OF EXPERTISE AND QUALIFICATIONS

The International Consultant/Team Leader shall have the following qualifications and experience:

- Postgraduate degree and knowledge in project development/management or in energy efficiency, lighting technology or relevant fields;
- 10 years of extensive professional experience in development and formulation of related project on climate change mitigation;
- A very good understanding of GEF/ UNDP project formulation process and requirements; with demonstrable knowledge and skills on drafting, reviewing and finalizing GEF/UNDP documents;
- Work experience and sound knowledge of energy efficiency policy framework and energy efficient lighting in Viet Nam and South East Asia will be an advantage;
- Sound knowledge of lighting technology and manufacturing in Viet Nam and other countries will be an advantage
- Experience in leading a small group with strong client and results orientation;
- Demonstrated command of writing professional reports/project documents in English with evidence by submission of sample reports.

## **PROJECT SUPPORT AND REFERENCE DOCUMENTS**

### ***Arrangement of meeting and interview***

- UNDP and VAST will provide all logistical and administrative support to the selected international consultant and the whole team, including entry visa to Viet Nam;
- UNDP and VAST will arrange all meetings, partners/stakeholders consultations or/and field assessments as needed.

### ***Cooperation with national consultants***

- UNDP and VAST will mobilize national consultants to work with the international consultant/team leader
- Team leader will have overall responsibility for guiding and coordinating inputs from these national team members.

**Documents:** Copies of the following documents will be made accessible to the international consultant upon commencement of the assignment:

- Approved PIF and GEF review sheet of PIF
- Templates of the ProDoc, GEF CEO Approval Request and relevant tracking tools and DPO
- Copies of relevant Government document such as Law on Energy Efficiency and Conservation, and Viet Nam Energy Efficiency Programme
- Project Documents of other relevant projects upon request

## **REVIEW TIME REQUIRED AND PAYMENT TERM**

- The first installment of 20% of the total contract will be paid upon the submission the detailed work plan and draft Log-frame with satisfactory acceptance by UNDP.
- The second installment of 40% contract amount will be paid upon submission the final ProDoc with relevant tracking tools, with satisfactory acceptance by UNDP.
- The third payment of 20% will be paid upon the submission of the final GEF CEO Approval Request with relevant tracking tools that are ready for submission to GEF, with satisfactory acceptance by UNDP.
- Last payment of 20% will be made upon submission of final products under the contract, with satisfactory acceptance by UNDP.

## **CONSULTANT PRESENCE REQUIRED ON DUTY STATION/UNDP PREMISES**

- NONE                       PARTIAL                       INTERMITTENT                       FULL-TIME

## **Annex VI**

### **GUIDELINES FOR PREPARING CV**

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

Limit the CV to 3 or 4 pages

NAME (First, Middle Initial, Family Name)

Address:

City, Region/State, Province, Postal Code

Country:

Telephone, Facsimile and other numbers

Internet Address:

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

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

#### **SUMMARY OF EXPERTISE**

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

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

Credentials/education/training, relevant to the expertise

#### **LANGUAGES**

Mother Tongue:

Indicate written and verbal proficiency of your English:

#### **SUMMARY OF RELEVANT WORK EXPERIENCE**

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

#### **UN SYSTEM EXPERIENCE**

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

#### **UNIVERSITY DEGREES**

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

#### **PUBLICATIONS**

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

#### **MISCELLANEOUS**

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

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

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

(Signature)



## **Annex VII**

### **FINANCIAL OFFER**

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

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

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

#### **Cost breakdown:**

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

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

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

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

Dated this day /month                      of year

Signature