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Date: 08 August 2016

INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

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

Country:	Viet Nam
Description of the assignment:	02 National Consultants (1 team leader and 1 team member) conducting fund models study
Project name:	Project 00085319 – UN-REDD phase II
Period of assignment/services (if applicable):	45 days per Consultant over August – November 2016

1. Submissions should be sent by email to: nguyen.thi.hoang.yen@undp.org no later than: **19 August 2016 (Hanoi time)**.

With subject line:

National Consultant conducting fund models study (team leader)

OR

National Consultant conducting fund models study (team member)

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)..... (Annex III)
 - [Guidelines for CV preparation](#)..... (Annex IV)
 - [Format of financial proposal](#)..... (Annex V)
 3. Interested individual consultants must submit the following documents/information (**in English, PDF Format**) to demonstrate their qualifications:

a. Technical component:

- Signed Curriculum vitae
- Copy of 1-3 publications/writing samples on relevant subject.
- Reference contacts of past 4 clients for whom you have rendered preferably the similar service

b. Financial proposal (with your signature):

- The financial proposal shall specify a total lump sum amount in **Viet Nam Dong** including consultancy fees and all associated costs i.e. airfares, travel cost, meal, accommodation, tax, insurance etc. – see format of financial offer in Annex VII.
- Please note that the cost of preparing a proposal and of negotiating a contract, including any related travel, is not reimbursable as a direct cost of the assignment.
- If quoted in other currency, prices shall be converted to the above currency at UN Exchange Rate at the submission deadline.

4. Evaluation:

The team leader and team member will be evaluated and selected separately. The technical component will be evaluated using the following criteria:

Team leader

Consultant's experiences/qualification related to the services		
	Criteria	Maximum Points
1	Master in economics, agricultural/forestry economics, finance or related subjects	200
2	At least 15 years work experience in the field of agriculture / forestry	200
3	Demonstrated to have knowledge and sound understandings of public finance management and legal framework for fund development and management	250
4	Used to participate as a consultant/researcher for similar assignments on financing, and sustainable financing mechanisms	200
5	Good understanding of REDD+	100
6	Used to work or publish books/ similar reports in English and Vietnamese	50
	TOTAL	1000

Team member

Consultant's experiences/qualification related to the services		
	Criteria	Maximum Points
1	Master in economics, finance or related subjects	200
2	At least 15 years work experience in the field of economics, financing	200
3	Used to work with or demonstrated experience in working for State management agency for policy formulation, especially public finance policies for agriculture/forestry sector	250
4	Used to participate as a consultant/researcher for assignments on fund performance assessment or development of sustainable financing mechanisms	250
5	Used to work or publish books/ similar reports in English or Vietnamese	100
	TOTAL	1000

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

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

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

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

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

Interview with the candidates may be held if deemed necessary.

5. 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.

6. Payment

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

1st payment: 20% of total contract value will be paid upon submission and approval of the programme and VNFF of Output 1 in both English and Vietnamese;

2nd payment: 30% of total contract value will be paid upon submission and approval of the programme and VNFF of Output 2 and 3 in both English and Vietnamese;

3rd payment: 30% of total contract value will be paid upon submission and approval of the programme and VNFF of Output 4 in both English and Vietnamese;

4th and final payment: 20% of total contract value will be paid upon submission and approval of the programme and VNFF of Output 6 in both English and Vietnamese; completion of all deliverables under the contract.

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

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



TERMS OF REFERENCE

Conducting a study on fund models serving National REDD+ Fund development process in Viet Nam

TITLE:	02 National Consultants conducting fund models study (Team Leader and Team Member)
Duty Station:	Ha Noi
Duration of Appointment	45 days per Consultant over August – November 2016
Reporting Project code	UNDP and National Programme Director of UN-REDD phase II 00085319

I. CONTEXT

Viet Nam approved its first ever National REDD+ Action Programme (NRAP) for the period of the period of 2011-2020 on 27/06/2012 by the Decision 799/QĐ-TTg issued by Prime Minister. As identified by the Decision as the fund to support incentivizing REDD+ actions, the National REDD+ Fund (NRF) is designated to be located at Viet Nam Forest Development and Protection Fund (VNFF) and further proposal on fund design features has been endorsed by MARD in December 2015 through Decision No. 5337/QĐ-BNN-TCLN dated 23/12/2015, after more than 2 years of study and consultation with related stakeholders and partners.

Since the NRAP revision process is undertaking and expected to be finalized in December 2016, the National REDD+ Fund (NRF) which supposes to work under and contribute to NRAP results framework will not be officially established until later this year or early 2017.

In the meantime, VNFF in consultation with international partners and REDD+ stakeholders would like to learn more from existing fund models to clarify further about the NRF's positions, roles, guiding operational principles and operational regulations so as to enable the fund to work effectively in future to reach out actors who take REDD+ actions disregard where/which sector they come from.

With support from UN-REDD Phase II Programme in Viet Nam, VNFF would like to conduct a study about fund models and its operational modalities at national and provincial level and needs a team consisted by two national consultants to implement this assignment. These two consultants will report to UNDP, the National Programme Director and the official in charge of VNFF.

II. OBJECTIVE

To learn from various fund models in Viet Nam for further enhancement of NRF design to effectively serve the NRAP implementation at the same time to be adherent to existing and potential agreements with international donors, trustees or other financial providers.

III. SCOPE OF WORK

The assignment is divided into two key steps:

Step 1: reviewing and collecting data of all existing fund models **those are managed by public authorities in Vietnam and that address multi-sectoral issues**. Some can be located in cross-cutting entities (e.g. under MPI or MoF...), some in sector entities (VNFF for instance in MARD).

It can involve both national and provincial levels. It must include but is not limited to the following tasks:

- Review/gather information and establish basic database concerning fund models, focusing on the following elements: Legal framework; organizational arrangement and governance structure; operational modalities; scale of revenues, ability to mobilize capital; and priorities for funding...
- Some general lessons learn such as what make some fund models work well while some others not
- Propose a set of criteria¹ to select 4-5 models to conduct in-depth comparative analysis for approval of UN-REDD Programme and VNFF prior to the conduct of Step 2.

Step 2: Upon the agreement with UN-REDD programme and VNFF, select 4-5 models in the database to conduct in-depth comparative analysis. Priority should be given to those are under the management one among the line ministries including MARD, MOIT, MOC, MONRE or MOST. The analysis should involve:

- Assessing performance of each selected fund model using SWOT analysis (strengths, weaknesses, opportunities and threats)² with back up evidences on driving factors; the assessment should also highlight
 - (i) what make a fund to contribute effectively for related sectoral development plans/strategy,
 - (ii) how it could reach out to support activities conducted by the agencies other than the one managing the funds,
 - (iii) what decide its effective administration, especially for those relate to multi-layer users and beneficiaries,
 - (iv) ways to manage risks of corruptions, misuse of the funds,
 - (v) what make donors trust or concern about the funds,
 - (vi) how it could satisfy different requirements of various donors, etc.
- Consultation with relevant experts, managers, scientists and organize of consultative meetings, workshops as deemed necessary;
- Based on the above analysis and lessons learnt, giving practical recommendations for further improvement of NRF design so as to assure its smooth operations in a short run as well as sustainable development in a long run.

IV. EXPECTED OUPUTS AND TIME FRAME

Documentation must be presented in a well-structure and easy-to-read maner. Annexes must include maps, charts and other supporting documents.

The two consultants of which one will be the team leader are expected to jointly deliver the following expected outputs. The team leader should make sure that all the deliverables of the team are delivered on time and at good quality. And the team member needs to fulfill his/her tasks and responsibilities as per the agreed work division and workplan which will be developed jointly by the consultants (in Output 1).

#	Expected Outputs	Time	Estimation of workdays for each consultants for whole process until production of ouputs
1	OUTPUT 1: - 01 research plan for the assignment - Outline of the fund database (Step 1 Output) - Table of Contents for the in-depth analysis report (Step 2 Output)	August 2016	4 days
2	OUTPUT 2: 01 database of all of the funds is created; the models are described as agreed	August- Sept. 2016	15 days
3	OUTPUT 3:	September 2016	1 day

¹ Relevant criteria could be, whether the model allowed support across different sectors, how it managed to protect the earmarked funds while integrating the activities into regular budget execution, it managed to disburse a range of different instruments and to different entities, capacity to support national level activities as well as disbursing at the lower level, efficient M&E – such as high quality assessments...

² Methods should be employed from https://www.greenclimate.fund/documents/20182/56440/Governing_Instrument.pdf/caa6ce45-cd54-4ab0-9e37-fb637a9c6235) –

	A proposal for selection of 4-5 models to conduct indepth analysis is submitted to UN-REDD and VNFF		
4	OUTPUT 4: Draft 1 report is submitted	Oct. 2016	Study: 15 days Report writing: 5 days
5	OUTPUT 5: Comments from experts and stakeholders are collected and taking into revision of Draft 1 report	Nov. 2016	02 days
6	OUTPUT 6: Final report is submitted	November 2016	03 days
			45 days

V. REPORTING AND LOCATION

The consultants will work under the support and supervision of UN-REDD Programme (UNDP and the National Programme Director) and VNFF.

Logistics for implementation of the study will be supported by VNFF in consultation with the PMU of UN-REDD Programme.

The consultants are expected to work in Ha Noi and may travel to one or two provinces according to the to-be-agreed workplan. All logistical arrangements to the field will be made and covered separately by the PMU based on UN-EU Cost Norms.

VI. REQUIREMENTS FOR CONSULTANTS

Criteria	Requirements
Consultant 1	Team leader
Qualification	Master in economics, agricultural / forestry economics, finance or related subjects.
Experience	<ul style="list-style-type: none"> At least 15 years work experience in the field of agriculture / forestry; Have knowledge and sound understandings of public finance management and legal framework for fund development and management; Used to participate as a consultant/reaseacher for similar assignments on financing, and sustainable financing mechanisms; Experience in REDD+ would be an asset
Skills	<ul style="list-style-type: none"> Demonstrate to work well in team and coordinate with multiple stakeholders; Pocicy development skills and analytical skills Excellent writting skills for writing reports, presentations and documents for meetings and seminars; Ability to use English to working directly with the stakeholders.
Consultant 2	Team member
Qualification	Master in economics, finance or related subjects
Experience	<ul style="list-style-type: none"> At least 15 years work experience in the field of economics, finance; Used to work for a State management agency, have sound understandings of public finance policies for agriculture/forestry sector; Used to participate as a consultant/reaseacher for assignments on fund performance assessment or development of sustainable financing mechanisms; Experience in fund assessment, study and fund design would be an asset
Skills	<ul style="list-style-type: none"> Demonstrate to work well in team and coordinate with multiple stakeholders; Pocicy development skills and analytical skills Excellent writting skills for writing reports, presentations and documents for meetings and seminars; Ability to use English to working directly with the stakeholders.

VII. PAYMENT TERM

Deliverables, timeframe and payment schedule

Outputs	Deadlines for completion	Tentative payment schedule
Output 1 is submitted in English and Vietnamese.	Submitted for approval of the programme and VNFF within 10 days after the date of signing contract.	20% of total contract
Output 2 and 3 are submitted in both English and Vietnamese.	Submitted for approval of the programme and VNFF no later than September 20th, 2016	30%
Output 4 is submitted in both English and Vietnamese.	Submitted for consideration of the programme and VNFF no later than Oct 30th, 2016	30%
Output 6 is submitted in both English and Vietnamese.	Approved by the Programme and VNFF by November 30 th , 2016	20%

Annex VI

GUIDELINES FOR PREPARING CV

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

Limit the CV to 3 or 4 pages

NAME (First, Middle Initial, Family Name)

Address:

City, Region/State, Province, Postal Code

Country:

Telephone, Facsimile and other numbers

Internet Address:

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

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

SUMMARY OF EXPERTISE

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

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

Credentials/education/training, relevant to the expertise

LANGUAGES

Mother Tongue:

Indicate written and verbal proficiency of your English:

SUMMARY OF RELEVANT WORK EXPERIENCE

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

UN SYSTEM EXPERIENCE

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

UNIVERSITY DEGREES

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

PUBLICATIONS

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

MISCELLANEOUS

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

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

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

(Signature)

Annex VII

FINANCIAL OFFER

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

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

Cost breakdown:

No.	Description	Number of days	Rate (VND)	Total
1	Consultancy fee			
2	Out of pocket expenses			
2.1	Travel			
2.2	Per diem			
2.3	Full medical examination and Statement of Fitness to work for consultants from and above 62 years of age and involve travel – (required before issuing contract). *			
2.5	Others (pls. specify).....			
	TOTAL			

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

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

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

Dated this day /month of year

Signature