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Date: 15 February 2017

## INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

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

Country:	Viet Nam
Description of the assignment:	01 National Consultant for Policy research and development to enhance the regulation and outcome of offset forest planting (trồng rừng thay thế) in Vietnam
Project name:	UN-REDD Vietnam Phase II Programme
Period of assignment/services (if applicable):	Estimated 50 working days over a four-month period (March – June 2017)
Tender reference:	1-170207

1. Submissions should be sent by email to: [nguyen.thi.hoang.yen@undp.org](mailto:nguyen.thi.hoang.yen@undp.org) no later than: **28 February 2017 (Hanoi time)**.

**With subject line: (1-170207) National Consultant for Policy research and development**

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 (including name, title, email, telephone number, address...)

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 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	Hold a Master or higher degree in economics, finance, public policy, or a related field	200
2	Have substantial and relevant experience in legislative and policy development in the forestry or agriculture sector	200
3	Have gained expertise in Vietnam's forestry sector through prior professional experience, especially in financial policies/tools in forestry sector	250
4	Demonstrated to have experience in analyzing, synthesizing, reporting and presenting study findings	200
5	Demonstrated to have experience in communicating and connecting with stakeholders	100
6	Used to work and write in both Vietnamese and English	50
	<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.

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 (following UNDP form)

- 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: 10% of total contract value will be paid upon UNDP's receipt and acceptance of Full proposal and work plan

2nd payment: 30% of total contract value will be paid upon the First draft of policy revisions is approved

3rd payment: 30% of total contract value will be paid upon Report from the first workshop is approved

4th and final payment: 30% of total contract value will be paid upon UNDP's receipt and satisfactory acceptance of the Final draft of policy revisions.

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 (TOR)

### Regulation of offset forest planting (*trồng rừng thay thế*) in Vietnam

<b>TITLE:</b>	<b>01 national consultant for Policy research and development to enhance the regulation and outcome of offset forest planting (<i>trồng rừng thay thế</i>) in Vietnam</b>
<b>Duty station:</b>	Hanoi, including some travel to provinces
<b>Duration</b>	Estimated 50 working days over a four-month period (March – June 2017)
<b>Reporting</b>	Vietnam's Forest Protection and Development Fund (VNFF) and National Programme Director of UN-REDD Vietnam Phase II Programme

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## 1. BACKGROUND ON OFFSET FOREST PLANTING AND PROJECT JUSTIFICATION

The issue of offset forest planting (*trồng rừng thay thế*) refers to tree planting that is undertaken to offset the loss of forest area incurred by industrial and infrastructure development elsewhere in a given province. Decree No. 23/2006/ND-CP, dated 03/3/2006 on the implementation of the Law on Forest Protection and Development, was the first government directive stipulating that any land-use change of forest area needs to be compensated with reforestation or afforestation of equivalent area elsewhere within the same province. More recently, the Ministry of Agriculture and Rural Development has issued further guidance on this offset forest planting in Circular No. 26/2013/TT-BNN, dated 06/5/2013 and Circular No. 26/2015/TT-BNN, dated 29/07/2015. These Circulars stipulate that developers responsible for clearing any forest areas need to pay according fees to the Forest Protection and Development Fund (FPDF) of the province in which the forest loss occurred in order to finance offset forest planting. The goal of this policy is to curb forest loss and take industrial and private sector actors into responsibility.

The requirement for developers to provide funds for offset forest planting (*trồng rừng thay thế*) generates substantial funds for Vietnam's forestry sector each year, but the investment of these funds into forest planting or forest protection activities remains very low due to a lack of regulations and enforcement mechanisms. A brief review of data collected from provincial FPDFs reveals the extent of the problem: in 2015, 26 FPDFs reported collecting over 20 million USD (462 billion VND) designated to finance offset forest planting, but they could together only use 23% of these funds, which were invested for the planting of 9028 hectares of forest. In eight of these provinces, no planting was undertaken, at all.

The reasons for these low disbursement rates remain partially unclear, but include a lack of regulation of key aspects, including: how funds for offset forest planting need to be spent; how forest planting is to take place; the respective responsibilities of provincial agencies involved; and provisions to monitor the implementation and success of offset forest planting. In the current policy and legal environment, outside actors have no mandate to enhance the performance of provincial agencies, as this remains poorly regulated. The objective of this consultancy is to ameliorate this situation with measures outlined in the following section.

## 2. PROJECT OBJECTIVE AND EXPECTED OUTPUTS

The objective of this project is to enhance the regulation of offset forest planting, including the collection, use and allocation of funds; with procedures for assessing site characteristics, determining forest planting and protection activities, allocating contracts; as well as systems for monitoring compliance and outcomes. VNFF's vision is for provincial FPDFs to have the policy framework, the human and technical capacities, and the legal mandate to maximize the investment of offset forest planting funds, both those accumulated thus far and collected in future, into sustainable forestry management activities.

The UN-REDD programme supports the Government of Vietnam in formulating the National REDD+ Action Programme 2016-2020 (NRAP) and the associated investment plan. This intensive technical, political and participatory process leads to exploring new opportunities to improve forest protection and development in

Vietnam. Policies and measures developed under the NRAP and REDD+ investment plan will also guide the analysis of the consultant on the most effective ways to use offset forest planting funds to contribute to NRAP objectives.

As a ministerial institution overseeing the operation of provincial FPDFs, Vietnam's Forest Protection and Development Fund (VNFF) will oversee the implementation of this project. To develop a comprehensive legal and policy environment for offset forest planting, this project aims to revise existing policies and devise additional regulations. The selected consultant is expected to propose a thorough approach to policy research and development, including consultation with key stakeholders, potentially including: provincial authorities, private sector actors, national level policy makers, as well as experts from international agencies engaged in forest protection and development activities in Vietnam.

The project activities will be conducted by a national consultant over an estimated 50 working days. Together with one VNFF staff member, the consultant will travel to several field sites to meet with representatives of provincial FPDFs and other local actors involved in offset forest planting. VNFF plans to conduct a survey of provincial FPDFs about their collection and use of funds for offset forest planting. The consultant will use these data for an initial analysis of current practices of offset forest planting, and to select insightful field sites. The selection of sites, as well as subsequent activities of data collection, consultations, analysis and presentation, will be undertaken in dialogue with VNFF and UN-REDD. All outputs and workshop presentations will be approved by VNFF before being delivered.

### 3. THE EXPECTED OUTPUTS OF THE CONSULTANT INCLUDE:

- 1) A report analyzing the current policy and practice of offset forest planting, informed by: a review of current regulations and their implementation; identified gaps and constraints as regards to the regulations of offset forest planting and their implementation; an analysis of data provided by provincial FPDFs; stakeholder consultations; and interviews with provincial and local actors during field work.
- 2) Draft versions of proposed changes and additions to the regulations of offset forest planting, and propose measures to enhance their implementation, incorporating feedback collected from VNFF, UNREDD and during workshops, as outlined below.
- 3) A report on the policy impact assessment of proposed changes to the regulation of offset forest planting.

### 4. TENTATIVE TIMETABLE

Following policy review, stakeholder consultations and field work, a first half-day workshop will be conducted in Hanoi to provide an opportunity to inform the subsequent processes of policy development. Prior to the circulation for national approval, the consultant will present proposed policy changes at a second half-day workshop to seek feedback from all actors involved, as well as other experts and stakeholders invited. These proposed activities could be conducted within four months (commencing in March 2017), according to the following tentative work plan for March 2017 – June 2017.

Time frame	Activities	Outcome/output
Early March 2017	Consultant to develop full proposal and work plan for project implementation	Project proposal and plan
March 2017	Consultant to review current policy and practice of offset forest planting in Vietnam, identified gaps and constraints Including stakeholder consultations Including field work in a minimum of two locales	Analysis of data on recent offset forest planting activities Analysis of gaps in regulation and compliance
March-April 2017	Consultant to draft revisions and additions to the regulation of offset forest planting	First draft for review by VNFF and UNREDD.
April 2017	Draft versions to be discussed between VNFF and UNREDD and revised if deemed necessary	Second draft to be presented at workshop
April 2017	Consultant to help organize first half-day workshop to present second draft regulation of offset forest planting	Input from key stakeholders and experts
April-May 2017	Consultant to revise second draft and address additional elements proposed at workshop, if deemed applicable and feasible.	Third draft version of revisions and additions to the regulation of offset forest planting
May 2017	Consultant to undertake policy impact assessment of proposed regulation of offset forest planting	Report on policy impact assessment
May 2017	Second half-day workshop to present final draft of proposed changes in the regulation of offset forest planting	Final feedback from key stakeholders, as well as UNREDD

June 2017	Final draft of policy revisions submitted for national consideration and approval	Enhanced policy and legal environment regulating offset forest planting in Vietnam
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## 5. LOCATION, SUPERVISION AND LOGISTICS ARRANGEMENTS

The consultant will work under the supervision and guidance of UN-REDD Programme and VNFF (under VNFOREST).

The consultant is expected to be based in Ha Noi with about 9 days traveling to 03 provinces (tentatively, Lao Cai, Dak Lak and Ca Mau or similar provinces. 3 days per provinces). The financial proposal submitted by the consultant should include all the cost associated to this travel agenda for him/her. It however must not include costs of the consultation workshop which is supposed to be made through a separate arrangement.

All logistic arrangements will be made by VNFF, UN-REDD programme and UNDP where relevant.

## 6. TIMING AND PAYMENTS

This consultancy is to be conducted within 50 work days. Documents and presentations need to be submitted early enough to allow for their review. The consultant will receive partial payments, following UN-REDD guidelines, according to the following schedule:

Upon acceptance of deliverables	Consultant receives
Full proposal and work plan (Early March)	10% of contract amount
First draft of policy revisions approved (April)	30% of contract amount
Report from the first workshop approved (May)	30% of contract amount
Final draft of policy revisions submitted (June)	30% of contract amount

## 7. REQUIREMENTS FOR CONSULTANT

The successful candidate applying to conduct this consultancy is expected to:

- hold a Master or higher degree in economics, finance, public policy, or a related field;
- have substantial and relevant experience in legislative and policy development in the forestry or agriculture sector;
- have gained expertise in Vietnam's forestry sector through prior professional experience, especially in financial policies/tools in forestry sector;
- be skillful in analyzing, synthesizing, reporting and presenting study findings;
- be skillful in communicating and connecting with stakeholders;
- be fluent in both Vietnamese and English for regular communication with international partners.

## **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:**

<b>No.</b>	<b>Description</b>	<b>Quantity</b>	<b>Unit rate (VND)</b>	<b>Total</b>
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).....			
	<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