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Date: 16 March 2017

INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

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

Country:	Viet Nam
Description of the assignment:	03 national consultants to provide technical assistance in operationalising Safeguards Information System (SIS) and preparing Viet Nam's first REDD+ Safeguards Summary of Information (SOI) including: <ul style="list-style-type: none">• Consultant 1- Safeguards specialist• Consultant 2- Public administration/governance specialist• Consultant 3 – Information systems specialist
Project name:	UN-REDD Vietnam Phase II Programme
Period of assignment/services (if applicable):	200 person-days (for 3 consultants) between April and November 2017
Tender reference:	1-170302

1. Submissions should be sent by email to: nguyen.thi.hoang.yen@undp.org no later than: **30 March 2017 (Hanoi time)**.

With subject line: (1-170302) Consultant 1 - Safeguards specialist
Or (1-170302) Consultant 2- Public administration/governance specialist
Or (1-170302) Consultant 3 - Information systems specialist

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.
- After submitting proposal, bidder should send notification by email (without attachment) to: procurement.vn@undp.org informing that the bidder has submitted proposal. UNDP will not be responsible for the missing of proposal if the bidder does not send notification email to above address.

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 consultants will be evaluated and selected separately. The technical component will be evaluated using the following criteria:

Consultant 1 - Safeguards specialist

Consultant's experiences/qualification related to the services		
	Criteria	Maximum Points
1	PhD or Masters in a relevant discipline, such as Political Science, Development Studies, Legal Studies, Monitoring and Evaluation, Environment/Natural Resource Governance, Rural Planning or Sociology;	200
2	At least 15 years of relevant working experiences in the areas of application of environmental and social safeguards, standards, impact assessments, monitoring and evaluation of government development programmes and donor-funded projects	250
3	Demonstrated to have in depth knowledge of relevant domestic and international environmental and social policies, laws and regulations (particularly environmental laws)	150
4	Demonstrated to have up-to-date knowledge of REDD+, and of broader climate change issues, at the international convention (UNFCCC) and national levels	150
5	Strong experience providing strategic advice and dealing with the government and development partners	150
6	Good track of publications and reports in related subjects in both English and Vietnamese	100
	TOTAL	1000

Consultant 2- Public administration/governance specialist

Consultant's experiences/qualification related to the services		
	Criteria	Maximum Points

1	PhD or Masters in a relevant discipline, such as Public Administration, Organisational Development, Political Science, Development Studies, Legal/Policy Studies, Environment/Natural Resource Governance, or Rural Development	200
2	At least 15 years of relevant working experiences in the areas of public administration in the natural resource management or rural development sectors (particularly the forestry sector)	250
3	Demonstrated track record or analysing and strengthening institutions responsible for managing information systems, particularly in the forestry, natural resource management and rural development sectors	250
4	Strong experience providing strategic advice and dealing with the government and development partners	200
5	Good track of research, publications and reports in related subjects in both English and Vietnamese	100
TOTAL		1000

Consultant 3 - Information systems specialist

Consultant's experiences/qualification related to the services		
	Criteria	Maximum Points
1	PhD or Masters in a relevant discipline, such as informatics/information science, software engineering, information systems and database design and operation, ICT solutions for data collection, management and dissemination, or spatial analysis for natural resource management	200
2	At least 10 years of relevant working experiences in the areas of information systems design in the natural resource management or rural development sectors (particularly the forestry sector)	250
3	In depth experience of developing information systems in the forestry, natural resource management and rural development sectors, particularly FORMIS and the REDD+ Geoportal	200
4	Demonstrated track record in developing ICT dissemination solutions (e.g. web portals) for natural resources management	150
5	Strong experience providing strategic advice and dealing strategic advice and dealing with the government and development partners; and	100
6	Good track of publications and reports in related subjects in both English and 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 (following UNDP form)
- International consultant whose work involves travel is required to complete the courses on Basic Security in the Field **and** Advanced Security in the Field and submit certificates to UNDP before contract issuance.

Note: In order to access the courses, please go to the following link: <https://training.dss.un.org>
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.

- The first instalment of 30% of the contract value will be paid upon submission of the product A1 and B1 with satisfactory acceptance by UNDP and the NPD.
- The second instalment of 30% of the contract value will be paid upon submission of all final products relating to SIS design refinements and operationalisation (Products C1 & D1) with satisfactory acceptance by UNDP and the NPD
- The third instalment of 40% of the contract value will be paid upon submission of the final summary of information (Product E1 & E2) with satisfactory acceptance by PMU, 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.

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

TERMS OF REFERENCE (TOR)

TITLE	03 national consultants to provide technical assistance in operationalising Safeguards Information System (SIS) and preparing Viet Nam's first REDD+ Safeguards Summary of Information (SOI)
Project ID and title	UN-REDD Vietnam Phase II Programme
Duty Station	Hanoi
Duration of Appointment	200 person-days (for 3 consultants) between April and November 2017
Reporting	UNDP and National Programme Director (NPD) of UN-REDD Viet Nam Programme Phase II

1) GENERAL BACKGROUND

The UN-REDD Viet Nam Phase II Programme is a part of the United Nations Collaborative initiative on Reducing Emissions from Deforestation and forest Degradation (UN-REDD). The Vietnam Administration of Forestry (VNFOREST) under the Ministry of Agriculture and Rural Development (MARD) is the Programme Owner. The Phase II Programme runs from mid-2013 to end-2018 and benefits from the support of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP).

Phase II of the Programme will assist Viet Nam to implement the National REDD+ Action Programme (NRAP). The overall objective is *"to enhance Viet Nam's ability to benefit from future results-based payments (RBPs)¹ for REDD+ and undertake transformational changes in the forestry sector"*. This Objective will be secured through the following six Outcomes:

- Outcome 1: Capacities for an operational National REDD+ Action Programme (NRAP) are in place
- Outcome 2: The six pilot provinces are enabled to plan and implement REDD+ actions
- Outcome 3: National Forest Monitoring System (NFMS) for Monitoring and Measurement, Reporting and Verification and National REDD+ Information System (NRIS) on Safeguards are operational
- Outcome 4: Stakeholders at different levels are able to receive positive incentives
- Outcome 5: Mechanisms to address the social and environmental safeguards under the Cancun Agreement are established
- Outcome 6: Regional cooperation enhances progress on REDD+ implementation in the Lower Mekong Sub-Region

VNFOREST has established the UN-REDD Programme Management Unit (PMU) to implement the Phase II Programme under the leadership of the National Programme Director (NPD), assisted by a deputy NPD, and a National Programme Coordinator.

The six pilot provinces are: Lam Dong, Bac Kan, Ha Tinh, Binh Thuan, Ca Mau and Lao Cai. In these provinces, the Phase II Programme will support preparation and initial implementation of Provincial REDD+ Action Plans (PRAP).

2) BACKGROUND TO THE ASSIGNMENT

UNFCCC requirements on REDD+ safeguards:

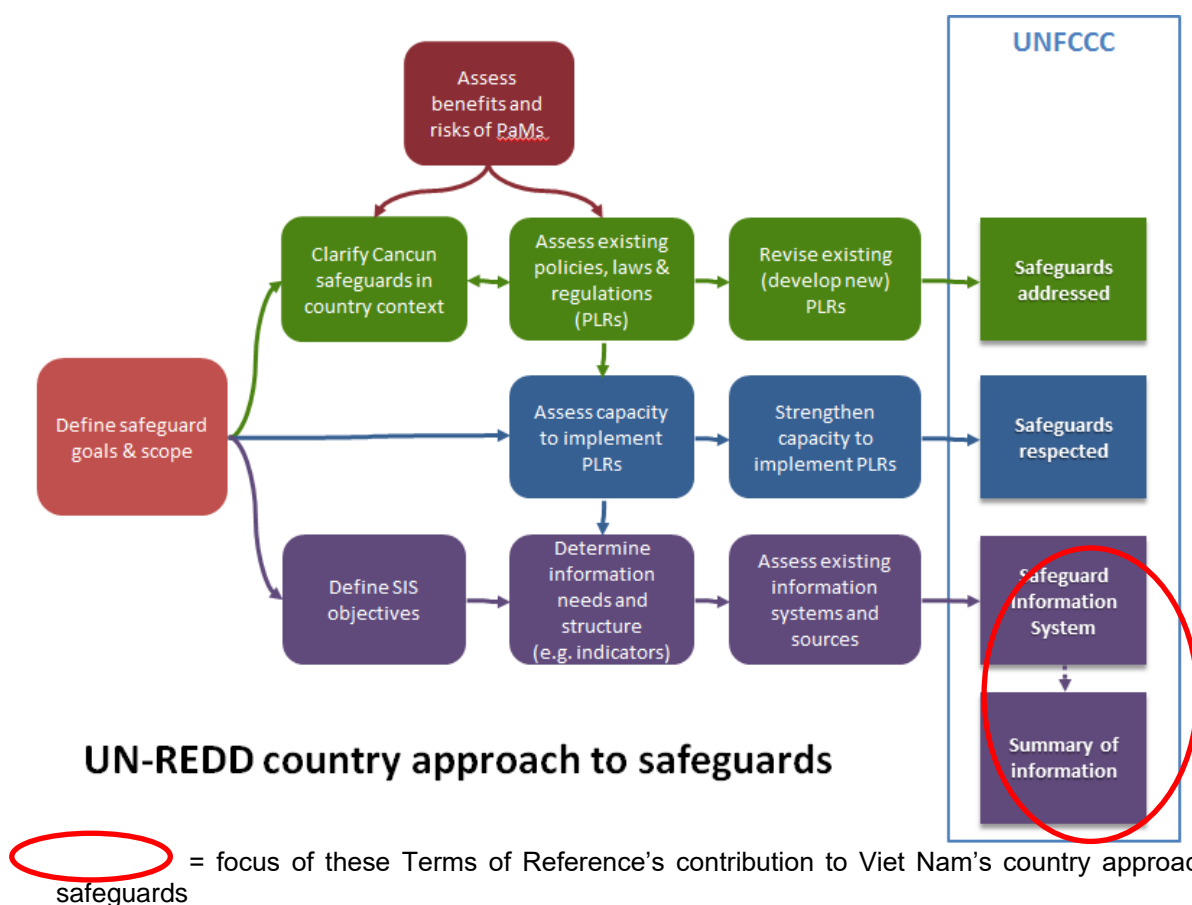
¹Note that the term "results-based payments" refers only to the basis for international transfer of funds to Viet Nam.

The Cancun Agreements² (Decision 1/CP. 16), of the United Nations Framework Convention on Climate Change (UNFCCC), calls countries who will implement REDD+ to address and respect seven broad safeguards related to governance, social and environmental risks and benefits, as well as emission reductions risks. In addition, the Durban Outcome³ (Decision 12/CP.17) states that a safeguards information system (SIS) should provide information on how all Cancun safeguards are addressed and respected. This was reiterated by the Warsaw Framework⁴ for REDD+ (Decision 9/CP.19), that requires countries to submit, among others, summary of information on how all the safeguards have been addressed and respected before they can access result-based payments (RBPs).

Developing countries seeking to receive RBPs for REDD+ should provide the most recent summary of safeguards information, to be made publically available, upon commencing implementation of REDD+ actions. Once the first summary of information has been submitted, the frequency of subsequent summaries should be consistent with the provisions for submissions of national communications, i.e. at least once every four years for developing countries⁵. Additionally, a country may submit a summary of information directly to the [UNFCCC REDD+ web platform](#)ⁱⁱ at any time. There is no UNFCCC-required *structure* for a country's summary of safeguards information. Guidance on the *content* of summaries of information, however, has been adopted by CoP21⁵.

Country approach to safeguards: The UN-REDD Programme promotes [a country approach to safeguards](#), which builds on a country's *existing* governance arrangements to meet UNFCCC requirements (see Figure 1).

Figure 1 Generic steps and process for a country approach to safeguards



These governance arrangements can be broken down into three core components:

- 1. Policies, laws and regulations (PLRs)**, which define, on paper, what needs to be done in order to support implementation of REDD+ actions in a manner consistent with Cancun (and other) safeguards, i.e. how safeguards are being addressed. PLRs are primarily codified statutory ordinance, but countries may also consider to include corporate environmental and social responsibility policies, industry standards and customary norms of ethnic minority peoples and local communities.

² The full text of Cancun Agreements, including paragraphs 70 and 72 is available [here](#).

³ The full text of Durban Outcome is available [here](#).

⁴ The full text of Warsaw Framework for REDD+ is available [here](#).

⁵ [UNFCCC Decision 17/CP.21](#).

2. **Institutional arrangements** - their mandates, procedures and capacities to ensure that the relevant PLRs are actually implemented in practice, i.e. how safeguards are being respected. Such arrangements are typically institutionalised within public, private or civil society sectors, but may also involve arrangements to strengthen the individual capacities of citizens, including ethnic minority peoples and local communities, to implement and enforce relevant PLRs.
3. **Information systems**, which collect and make available information on how REDD+ safeguards are being addressed and respected throughout REDD+ implementation.

In addition to responding to UNFCCC requirements, a country approach to safeguards allows countries to consider further objectives, such as their own domestic sustainable development and green growth policy goals, other international policy commitments, as well as responding to the requirements of organizations providing interim results-based payments for REDD+ activities.

Country safeguard approaches can build extensively on existing national PLRs, government and non-government institutions to implement these PLRs, as well as systems for collecting and reporting information.

Safeguards work in Viet Nam: Previous work on REDD+ safeguards was led by VRO/DOSTIC as focal point for REDD+ in Viet Nam. The sub-technical working group on safeguards (STWG-SG) was established in 2012 as platform for discussion and broad national level consultations (documentation can be found in <http://www.vietnam-redd.org/Web/Default.aspx?tab=news&zoneid=108&subzone=113&child=209&lang=en-US>).

Until end of 2015, the major piece of work on REDD+ safeguards has been the development of a 'Safeguards Roadmap' for the NRAP, which outlined the country-led approach to REDD+ safeguards. The roadmap also included a review of existing PLRs which demonstrate on paper how Viet Nam could address the Cancun safeguards (see green boxes in Figure 1 above) and identified corresponding gaps in the existing PLR framework against a generic international legal best practice interpretation of the Cancun safeguards.

Subsequent to this initial PLR assessment, in 2016, the UN-REDD Viet Nam National Programme Phase II has instigated two parallel assignments making significant contributions to the country's approach to safeguards: 1) an initial assessment of institutional capacities to implement priority PLRs (see blue boxes in Figure 1 above); and 2) a consultative, multi-stakeholder SIS design process (see purple boxes in Figure 1 above).

In addition to these UN-REDD assignments on safeguards, the World Bank-administered Forest Carbon Partnership Facility (FCPF) has conducted a Strategic Environmental and Social Assessment (SESA) focusing on Viet Nam's proposed [Emissions Reduction Program for the FCPF- Carbon Fund](#) in the North-Central Agro-Ecological zone. The SESA process will culminate in the development of an Environmental and Social Management Framework (ESMF) for this proposed Emissions Reduction Program landscape.

Safeguards under UN-REDD Programme (Outcome 5): The core focal areas of Programme support under Outcome 5 are: (1) goal, scope and process of country safeguards approach defined and safeguards information system (SIS) determined and (2) policies and measures to ensure that safeguards concerns are being addressed and respected.

3) OBJECTIVE & SCOPE OF THE ASSIGNMENT

The key objectives of this assignment is to assist VNFOREST-VRO in:

- 1) refine the design and operationalise the SIS v1.0, building on the draft Technical Proposal for the Development of a SIS in Viet Nam prepared by VNFOREST-VRO; and
- 2) formulation of Viet Nam's first summary of information (Sol) on REDD+ safeguards through identifying, compiling and structuring relevant information in accordance with UNFCCC guidance.

To achieve the objective, this assignment intends to complete the following five steps in the following order (detailed tasks under each step are given in Section 4):

PREPARATION

STEP A. Work and stakeholder consultation planning

SIS

STEP B. Developing the SIS database

STEP C. Developing national and provincial safeguards information reporting templates
STEP D. Institutionalising functional responsibilities for SIS operations

Summary of information

STEP E. Drafting first summary of information (Sol)

A consultant team will be mobilised to assist through-out the process of operationalising Safeguards Information System (SIS) and preparing Viet Nam's first REDD+ safeguards summary of information (Sol). To complete the assignment, it will be necessary to draw, as much as practically possible, on other major safeguards assessments recently completed, or being conducted in parallel to this one, notably:

- (1) MB-REDD safeguards roadmap, v2.0, for Vietnam's National REDD+ Action Programme: a contribution to a country-led safeguards approach
- (2) UN-REDD assessment of the institutional capacity to implement relevant policies, laws and regulations with respect to REDD+ safeguards;
- (3) UN-REDD assignment to develop a framework for a SIS and subsequent Technical Proposal for the Development of a SIS in Viet Nam;
- (4) UN-REDD review of grievance redress mechanisms (GRMs) and proposed design options for GRMs applied to implementation of REDD+ activities at national and (pilot) provincial levels; and
- (5) FCPF Strategic Environmental and Social Assessment (SESA) and resultant Environmental and Social Management Framework (ESMF) for the proposed subnational Emissions Reduction Program, as well as the subsequent national-level SESA planned for 2017.

4) TASKS ASSIGNED

The consultants will work in a team and jointly conduct the following specific tasks:

STEP A. Work and stakeholder consultation planning

- 1) Contributing to development of a detailed work plan, with division of tasks among team members, stakeholder consultation plan and schedule of key milestone deliverables for the assignment, produced by VRO/PMU.
- 2) Contributing to a stakeholder consultation plan, to be implemented by VRO/PMU, into the work plan, outlining engagement with key stakeholder groups on draft iterations of final products (see Section 6), which includes:
 - a. Clear timeline, methods, steps, detailed activities;
 - b. List of stakeholders to be consulted
- 3) Assisting VRO/PMU in soliciting stakeholder feedback on draft iterations of key deliverables through a variety of methods, such as national consultation workshops, key informant interviews and draft report review.
- 4) Incorporating stakeholder feedback on draft iterations of final products (see Section 6) in revised versions.

STEP B. Developing the SIS database

- 1) Elaborating SIS database fields (columns) building on: a) the overview of proposed SIS database presented in the Technical Proposal for the Development of a SIS in Viet Nam⁶ (see Annex I of these ToR); and b) other countries' experiences.
- 2) Ensuring SIS database design incorporates both Type 1 (how safeguards are being addressed) and Type 2 (how safeguards are being respected) information, with particular attention to subnational sources⁶ of Type 2 information on how PLRs are implemented in practice and the outcomes of that implementation.
- 3) Determining the specific qualitative, quantitative and spatial information, relating to national clarification elements concerning Cancun safeguards (a), (e), (f), and (g), that the REDD+ Geoportal will contribute to the SIS.
- 4) Identifying geospatial data, especially time series datasets, such as biodiversity maps, to be compiled and aggregated in the SIS database (as indicated in the Annex 1).
- 5) Identifying feasible information and communications technology (ICT) solutions, based on existing

⁶ Particularly from PRAPs, FCPF Emissions Reduction Program's ESMF and provincial pilot PGAs

FORMIS and REDD+ Geoportal configurations, for compiling, aggregating and disseminating information in the SIS so that any information of the SIS database can be provided via the REDD+ Geoportal later on.

- 6) Anticipating and accommodating (if and when possible) refined safeguards information needs, in the SIS database design, as a result of near-future benefit/risk assessments of PaMs comprising NRAP, national REDD+ investment plan and/or PRAPs.
- 7) Anticipating and accommodating (if and when possible) refined safeguards information structure (i.e. indicators), in the SIS database design, informed by near-future benefit/risk assessments of PaMs comprising NRAP, national REDD+ investment plan and/or PRAPs.

STEP C. Developing national and provincial safeguards information reporting templates

- 1) Developing information reporting templates, based on the SIS database design, for existing national information systems (Annex 2) and provincial sources⁷ (Provincial REDD+ Focal Agencies/Steering Committees/Teams/Units/Working Groups) to submit information to the SIS; to be done in consultation with the identified national and provincial information providers.
- 2) Determining, in collaboration with the FCPF project, how the SIS will gather and provide information on safeguards implementation for the proposed Emissions Reduction Programme, in the North Central Coast Region.
- 3) Determining how provincial pilot PGAs could contribute Type 2 information (on respecting safeguards) to the national SIS.
- 4) Proposing ICT solutions, formats and minimum frequency of different template submissions to the SIS, which are consistent and compatible with ICT arrangements of the national SIS (and underlying REDD+ Geoportal/FORMIS) compilation, aggregation and dissemination functions (see STEP B5).

STEP D. Institutionalising functional responsibilities for SIS operations

- 1) Exploring possibilities and proposing recommendations for a phased approach to integrating prioritised existing national information systems (Annex 2) and provincial sources (Provincial REDD+ Focal Agencies/Steering Committees/Teams/Units/Working Groups; FCPF-Carbon Fund's Emissions Reduction program; pilot PGAs) into the SIS.
- 2) Drafting terms of reference for a task team of core institutions, under the supervision of the National REDD+ Steering Committee, which would be responsible for ensuring institutionalisation of SIS operations in the immediate term (2017-2020).
- 3) Assessing the completeness and effectiveness of existing mechanisms, protocols or procedures for inter-agency information sharing across the 12 existing national systems identified as contributing to the SIS; proposing options of how to strengthen existing or, where necessary, creating new, inter-agency information sharing mechanisms, protocols and procedures.
- 4) Identifying financial, human, political and technological capacity needs for sustained SIS operations and developing an SIS capacity development plan (2017-2020).
- 5) Identifying feasible and functional role(s) for non-state actors, particularly civil society, in SIS operations.

STEP E. Drafting first summary of information

- 1) Understanding relevant international guidance related to the preparation of summaries of information⁸, together with wider concepts and experiences of country approaches to safeguards
- 2) Identifying which PaMs, under each of the relevant REDD+ activities, are to be included in the summary of information, drawing on the revised NRAP; draft iterations of the national REDD+ investment plan; endorsed and draft PRAPs; and latest draft of the proposed FCPF-Carbon Fund's Emissions Reduction Program Document
- 3) Determining, through a consultative process, what information on national circumstances is relevant to addressing and respecting UNFCCC (and other relevant) safeguards, including, *inter alia*:
 - i. The safeguards frameworks, in addition to the Cancun safeguards, that Viet Nam intends to

⁷ As an integral element of PRAP monitoring, reporting and evaluation

⁸ [UNFCCC decision 17/CP.21 and UN-REDD \(2016\) Info Brief 5: Summaries of Information: How to demonstrate REDD+ safeguards are being addressed and respected.](#)

respond to when implementing NRAP, investment plan, and PRAPs, for example, in accordance with Viet Nam's policy and funding commitments and priorities, World Bank, Green Climate Fund, bilateral donors, etc.

- ii. The main environmental and social **benefits and risks** identified for each PaM being implemented under the NRAP/PRAPs – what priority environmental and social issues are to be safeguarded, and why?
- 4) Describing each UNFCCC safeguard in accordance with national circumstances, drawing on the most recent iteration of the national 'clarification of the UNFCCC safeguards' document
- 5) Summarising existing systems and processes relevant to addressing and respecting safeguards, in accordance with national circumstances, which could include, but not be limited to:
 - i. Viet Nam's country approach to safeguards
 - ii. SIS design process, development status and plans for operation
 - iii. FCPF SESA-ESMF
- 6) Synthesise and summarise existing information sources on how each of the national clarification of the Cancun safeguards could be addressed and respected when PaMs implementation commences, focusing on the following key governance elements:
 - i. For addressing – Type 1 national-level information on existing statutory **PLRs**⁹, which could, on paper, *address* safeguards when it comes to the implementation of PaMs (key resource document – 'Safeguards roadmap v2.0');
 - ii. For respecting – Type 2 national-level information on existing state institutional capacities¹⁰ which could, in practice, contribute to respecting safeguards when it comes to the implementation of PaMs (key resource document – 'Respecting REDD+ safeguards in Viet Nam: a preliminary assessment of institutional capacities to implement relevant policies, laws and regulations'); and
 - iii. For both addressing and respecting – existing gaps, weaknesses and inconsistencies in the relevant PLRs, institutional capacities, together with plans to fill gaps¹¹, overcome weaknesses and resolve inconsistencies, which could improve how safeguards are addressed and respected in the future¹².
- 7) Identifying any other relevant information on the UNFCCC (and other relevant) safeguards that could be included in (or accessed from) the first summary of information, such as on how quality and credibility of summaries of information could be further ensured by including (or providing access to) supplementary information as relevant or applicable, such as :
 - i. the process of how the summary of information was produced, including channels and mechanisms for stakeholders to provide feedback on draft iterations;
 - ii. the processes of SIS design, development and plans for operation;
 - iii. the process of developing the country's approach to safeguards;
 - iv. subnational elements of safeguards application, monitoring, reporting and evaluation under PRAPs;
 - v. other safeguards processes (notably, FCPF SESA-ESMF) and their interlinkages; and
 - vi. further sources of information such as annexes or hyperlinks to websites, databases, etc.
- 8) Preparing and revising the Table of Contents of the summary of information iteratively, in response to multiple rounds of stakeholder feedback, as determined in the stakeholder consultation plan (see STEP A). The draft annotated Table of Contents (Annex 3) will serve as a vehicle for initial discussion among priority stakeholders, notably:
 - i. Government of Viet Nam (VRO)
 - ii. UN-REDD National Programme Phase II PMU
 - iii. STWG-SG core group

⁹ In addition to any relevant government plans and programmes to implement the PLRs; corporate environmental and social responsibility policies or industry sustainability standards in the private sector; and customary norms of ethnic minorities and local communities.

¹⁰ Mandates, procedures, financial, human and technological resources

¹¹ e.g. PLR reforms, institutional capacity strengthening, etc.

¹² And could be reported in future summaries to improve the information provided, taking into account the stepwise approach

- iv. Wider STWG-SG
 - v. Other development partners supporting REDD+ safeguards work in Viet Nam, notably World Bank (FCPF) and SNV (IKI)
- 9) Preparing a draft summary of information, once stakeholder agreement has been reached on contents and structure, as captured in the final annotated Table of Contents
 - 10) Revising the draft summary of information, iteratively in response to multiple rounds of stakeholder feedback, as determined in the stakeholder consultation plan
 - 11) Submitting a final draft summary of information to UN-REDD/VRO for further internal revision by relevant responsible agencies in the national government of Viet Nam.

5) DURATION OF ASSIGNMENT, DUTY STATION AND EXPECTED PLACES OF TRAVEL

Duration: Estimated 200 person-days between April and November 2017 for all three consultants with an estimation of 80 days for Consultant 1- the Safeguards specialist, 80 days for Consultant 2- the Public administration/governance specialist and 40 days for Consultant 3 – the Information systems specialist

Duty Station: Hanoi. In case of travel to the provinces, separate travel arrangement including DSA will be made by the PMU or UNDP basing on the UN-EU cost norm.

6) FINAL PRODUCTS

The consultants will jointly deliver the following products for approval by VRO, UN-REDD PMU and UNDP Viet Nam:

- *Product A1: Inputs to VRO/PMU-led work plan, including stakeholder consultation plans, for both SIS and summary of information processes (by end April)*
- *Product B1: SIS database, together with necessary ICT solutions for information compilation, aggregation and dissemination, that will be used to provide information on how the national clarification of the Cancun safeguards is being addressed and respected (by June)*
- *Product C1: safeguards information (addressing and respecting) reporting templates for national, provincial and project-level information collection and submission to the SIS (by July)*
- *Product D1: SIS task team terms of reference, including proposals on: 1) information sharing mechanisms, protocols and procedures; 2) financial, human, political and technological capacity development plans; and 3) roles of non-state actors/civil society (by August)*
- *Product E1: The revised/final draft Annotated Table of Contents for the summary of information (by May)*
- *Product E2: Final draft summary of information submitted to VRO (by August)*

The primary language of the assignment should be Vietnamese, for ease of quality consultations. However, quality English translations– to be specified in the consultation plan – will be produced by the consultants and updated across the assignment to ensure proper consultation and quality assurance from international experts, partners and peers.

All the final products shall be delivered in both Vietnamese and English.

7) PROVISION OF MONITORING AND PROGRESS CONTROLS

The selected consultants will regularly report to the NPD and/or DNPd, responsible staff in the PMU and UNDP Viet Nam on the progress of the work based on the agreed work-plan and approach.

The consultants will work under the leadership and guidance of the safeguards team within VRO and UN-REDD Programme and reporting to the Deputy National Programme Director (DNPd) and the Chief Technical Adviser. Technical backstopping will be provided by the UN-REDD Programme's safeguards advisors.

The STWG-SG will provide a crucial forum for ensuring consultation with key national-level stakeholders on

SIS design refinements and operations, as well as the possible contents and structure of Viet Nam's first summary of information.

8) DEGREE OF EXPERTISE AND QUALIFICATIONS

a. Safeguards specialist (National consultant) – responsible for leading on final products E1 and E2 (80 days):

- PhD or Masters in a relevant discipline, such as Political Science, Development Studies, Legal Studies, Monitoring and Evaluation, Environment/Natural Resource Governance, Rural Planning or Sociology;
- At least 15 years of relevant working experiences in the areas of application of environmental and social safeguards, standards, impact assessments, monitoring and evaluation of government development programmes and donor-funded projects;
- In depth knowledge of relevant domestic and international environmental and social policies, laws and regulations (particularly environmental laws);
- Up-to-date knowledge of REDD+, and of broader climate change issues, at the international convention (UNFCCC) and national levels;
- Strong experience providing strategic advice and dealing with the government and development partners;
- Strong research, analysis, report-writing, facilitation, communication and inter-personal skills;
- Good understanding of UNDP/UN-REDD programming modalities;
- Ability to adapt and work in politically sensitive situations; and
- Proficiency in spoken and written English;
- Experience in safeguards and/or SIS is an advantage

b. Public administration/governance specialist (National consultant) – responsible for leading on final product C1 and D1 (80 days):

- PhD or Masters in a relevant discipline, such as Public Administration, Organisational Development, Political Science, Development Studies, Legal/Policy Studies, Environment/Natural Resource Governance, or Rural Development;
- At least 15 years of relevant working experiences in the areas of public administration in the natural resource management or rural development sectors (particularly the forestry sector);
- Demonstrated track record or analysing and strengthening institutions responsible for managing information systems, particularly in the forestry, natural resource management and rural development sectors;
- Strong experience providing strategic advice and dealing with the government and development partners;
- Strong applied research, analysis, report-writing, facilitation, communication and inter-personal skills;
- Ability to adapt and work in politically sensitive situations; and
- Proficiency in both spoken and written English.

c. Information systems specialist: (National consultant, 40 days) – responsible for leading on final products B1 and jointly on product C1:

- PhD or Masters in a relevant discipline, such as informatics/information science, software engineering, information systems and database design and operation, ICT solutions for data collection, management and dissemination, or spatial analysis for natural resource management;
- At least 10 years of relevant working experiences in the areas of information systems design in the natural resource management or rural development sectors (particularly the forestry sector);
- In depth experience of developing information systems in the forestry, natural resource management and rural development sectors, particularly FORMIS and the REDD+ Geoportal;
- Demonstrated track record in developing ICT dissemination solutions (e.g. web portals) for natural resources management;
- Strong experience providing strategic advice and dealing strategic advice and dealing with the government and development partners; and
- Proficiency in both spoken and written English.

Team leadership will be assigned to the member (a) or (b) above, through dialogue with PMU, UNDP and VRO, and based on seniority, professional experience and leadership qualities. The Team Leader will be responsible for the final product of A1 with the support of the two team members.

9) ADMIN SUPPORT AND REFERENCE DOCUMENTS

Arrangement of meetings and interviews:

The selected consultants shall arrange and conduct all relevant meetings and interviews and seek for UNDP/PMU/VRO support when it is necessary.

Documentation/secondary information

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

10) REVIEW TIME REQUIRED AND PAYMENT TERM

All selected consultants will share the same provision of payment terms as follows:

- The first instalment of 30% of the contract value will be paid upon submission of the product A1 and B1 with satisfactory acceptance by UNDP and the NPD.
- The second instalment of 30% of the contract value will be paid upon submission of all final products relating to SIS design refinements and operationalisation (Products C1 & D1) with satisfactory acceptance by UNDP and the NPD
- The third instalment of 40% of the contract value will be paid upon submission of the final summary of information (Product E1 & E2) with satisfactory acceptance by PMU, UNDP and the NPD

11) CONSULTANT PRESENCE REQUIRED ON DUTY STATION/UNDP PREMISES☐ NONE☐ PARTIAL☒ INTERMITTENT☐ FULL-TIME

Annex 1 to TOR:**Indicative outline safeguards information system database, with illustrative example concerning Cancun safeguard (a)**

Element of National Clarification	SIS Information Need	Scale	Information Systems or Sources¹³	Aggregation of Information provided	Analysis of Information
Cancun safeguard (a) – REDD+ Actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements					
Consistency with the objectives of national forest programmes	Description of how the NRAP has been designed in alignment with the country's national forest programmes.	National	National Database on Legal Document	(Insertion of all Inputs provided by different sources so that they can be compared for analysis)	(Insertion of analysed information)
	Description of how the PRAPs have been designed in alignment with the NRAP and the country's national forest programmes.	Provincial	National Database on Legal Document	(Insertion of all Inputs provided by different sources so that they can be compared for analysis)	(Insertion of analysed information)
Consistency with relevant international conventions and agreements	Description of how the NRAP has been designed taking into account the relevant treaties and international conventions Vietnam has joined	National	National Database on Legal Document	(Insertion of all Inputs provided by different sources so that they can be compared for analysis)	(Insertion of analysed information)

Source: VNFOREST (2017) *Draft Technical Proposal for the Development of Safeguard Information System (SIS) in Viet Nam.*

¹³ As per recommendations provided, the systems to be considered include the 12 information systems and the reports provided by the Provincial REDD+ working groups

Annex 2 to TOR:

Existing national information systems and sources that will contribute to Viet Nam's safeguards information system in relation to how the Cancun safeguards are being respected (Type 2 information)

Safeguard	Systems	Institution responsible
a	FORMIS (REDD+ geoportal)	VNFOREST, MARD
	National Database on Legal Documents	Ministry of Justice
b	National Database on Preventing and Fighting Corruption	Government Inspectorate
	Information system for monitoring and evaluation of investment projects using state budgets	MPI
	FORMIS (Vietnam REDD+ website)	VNFOREST, MARD
	National Set of Statistics Criteria on Gender Equity	General Statistics Office, MPI
	National database on addressing complaints and denunciations	Government Inspectorate
	National database on labour and jobs	General Statistics Office, MPI
	National Database on Legal Documents	Ministry of Justice
	National Database on Land Resources	General Department on Land Administration, MONRE
c	National Database on Socio-economic Situation of Ethnic Minorities	Committee for Ethnic Minorities Affairs
	National Database on Legal Documents	Ministry of Justice
d	FORMIS (Vietnam REDD+ website)	VNFOREST, MARD
	National database on labour and jobs	General Statistics Office, MPI
	National database on inventory of rural agriculture & fishery	General Statistics Office, MPI
	National Database on Legal Documents	Ministry of Justice
e	FORMIS (REDD+ Geoportal)	VNFOREST, MARD
	National database on biodiversity	General Department on Environment, MONRE
	National information system on resources and environment	Department of Information Technology, MONRE
	National database on inventory of rural agriculture & fishery	General Statistics Office, MPI
f	FORMIS (REDD+ Geoportal)	VNFOREST, MARD
g	FORMIS (REDD+ Geoportal)	VNFOREST, MARD

Annex 3 to TOR:

Indicative annotated table of contents of Viet Nam's first summary of information on how REDD+ safeguards could be addressed and respected

1. INTRODUCTION

- Concise overview of Viet Nam's understanding of UNFCCC safeguards requirements
- Explanation of what is meant by 'addressing' and 'respecting' safeguards in a Vietnamese context
- Presentation of purpose of this summary of information
- Brief explanation of why Viet Nam is submitting a summary of information at this stage in its readiness process
- Present NRAP, NRAP revision process and on-going PRAP processes
- Outline contents of the summary

2. REDD+ ACTIVITIES, POLICIES AND MEASURES

- Very short overview of Viet Nam's national forest estate in terms of quantity (forest cover), quality and recent/projected trends in terms of both
- Overview of priority drivers of deforestation and forest degradation, together with barriers to plus activities
- List REDD+ activities as defined in '*Viet Nam's Submission on Reference Levels for REDD+ Results Based Payments under the UNFCCC submission*'
- Summarise priority PaMs, identified under the revised NRAP and approved PRAPS, under each REDD+ activity

3. NATIONAL CIRCUMSTANCES

3.1 Goals of the country's approach to safeguards

- Safeguards frameworks adopted by Viet Nam for application to REDD+ PaMs – UNFCCC (Cancun) World Bank, Green Climate Fund, bilateral donors, etc.?
- Explicit statements of anticipated/targeted sources of RBPs, e.g. FCPF Carbon Fund for North Central Region; Norway-Viet Nam Joint Declaration for UN-REDD pilot provinces
- Summarise strategic options and investment portfolio for RBAs (PaMs)

3.2 Scope of safeguards application

- safeguards be applied only to those PaMs included in the NRAP and PRAPs, or to broader actions in the forestry and/or other relevant land-use sectors

3.3 Scale of safeguards application

- Confirm national scale of REDD+, and therefore safeguards, application, as indicated in revised NRAP, noting subnational, provincial operationalisation through PRAPs

3.4 Environmental and social benefits and risks of proposed policies and measures

- Using summary tables to present information on benefits and risk (columns) against priority PaMs (rows)

4. DESCRIPTION OF EACH SAFEGUARD IN ACCORDANCE WITH NATIONAL CIRCUMSTANCES

- Based on, or adopting the '*Draft clarification of the Cancun Safeguards in accordance with Viet Nam's national circumstances*' document
- Consider use of: tabular formats of 'core elements'/'key terms' (columns) against Cancun safeguards (rows); one-page 'factsheets', one sheet per safeguard; or simple list of core elements/key terms under each Cancun safeguard

- 4.1.1 Safeguard (a) – national and international policy coherence
- 4.1.2 Safeguard (b) – transparent and effective national forest governance
- 4.1.3 Safeguard (c) - indigenous peoples' and local communities' rights
- 4.1.4 Safeguard (d) - full and effective participation of relevant stakeholders
- 4.1.5 Safeguard (e) - conservation of natural forests and biological diversity
- 4.1.6 Safeguard (f) - risks of reversals
- 4.1.7 Safeguard (g)- displacement of emissions

5. DESCRIPTION OF EXISTING SYSTEMS AND PROCESSES RELEVANT TO ADDRESSING AND RESPECTING SAFEGUARDS

5.1 Viet Nam's country approach to safeguards – key elements and process (including any subnational elements related to PRAPs)

- Concise narrative of what has been done, what is ongoing, and what is planned for the near future in terms of Viet Nam's efforts to meet UNFCCC (and other) REDD+ safeguards requirements (articulating all the steps - past, present and future – into a clear and coherent country approach to safeguards)

5.2 SIS design process, development status and plans for operation

- Summarise the process of SIS development so far, together with plans for completion
- Present how existing systems/sources of information will demonstrate that safeguards are being addressed and respected throughout PaMs implementation
- Including any subnational elements
- Articulate any linkages with the NFMS and GRMs applied or developed for REDD+
- Clearly explain how future summaries of information will be products of, and informed by, the SIS
- Key resource documents – 'SIS framework document' and 'Development of GRMs for REDD+ in Viet Nam'

5.3 FCPF SESA-ESMF

6. INFORMATION ON HOW EACH OF THE SAFEGUARDS WILL BE ADDRESSED AND RESPECTED

6.1 Addressing safeguards

- Cancun safeguard by Cancun safeguard narrative summaries, using criteria and or indicators as desired
- Existing statutory PLRs, which could, on paper, address safeguards when it comes to the implementation of PaMs (key resource document – 'Safeguards roadmap v2.0')
- Existing gaps, weaknesses and inconsistencies in the relevant PLRs, together with plans for improvement

- 6.1.1 Safeguard (a)
- 6.1.2 Safeguard (b)
- 6.1.3 Safeguard (c)
- 6.1.4 Safeguard (d)
- 6.1.5 Safeguard (e)
- 6.1.6 Safeguard (f)
- 6.1.7 Safeguard (g)

6.2 Respecting safeguards

- Cancun safeguard by Cancun safeguard narrative summaries, using criteria and or indicators as desired
- Existing state institutional capacities, which could, in practice, contribute to respecting safeguards when it comes to the implementation of PaMs
- Existing gaps, weaknesses and inconsistencies in institutional capacities to implement key PLRs, together with plans for improvement
- Indicate how outcomes of priority PLR implementation could be monitored once Viet Nam commences implementation of PaMs, and how these outcomes will be reported in future summaries of information
- Key resource document – '*Respecting REDD+ safeguards in Viet Nam: a preliminary assessment of institutional capacities to implement relevant policies, laws and regulations*'

- 6.2.1 Safeguard (a)
- 6.2.2 Safeguard (b)
- 6.2.3 Safeguard (c)
- 6.2.4 Safeguard (d)
- 6.2.5 Safeguard (e)
- 6.2.6 Safeguard (f)
- 6.2.7 Safeguard (g)

7. SUMMARY OF INFORMATION DEVELOPMENT PROCESS

- including channels and mechanisms for stakeholders to provide feedback on draft iterations

8. REFERENCES AND BIBLIOGRAPHY

- List references and other relevant sources of information in the public domain, together with hyperlinks to online resources
- Could include the following key documents if available at the time of submitting the summary:
 - FCPF strategic environmental and social assessment (SESA)
 - FCPF environmental and social management framework (ESMF)
 - Development of grievance redress mechanisms for REDD+ in Viet Nam
 - Respecting REDD+ safeguards in Viet Nam: a preliminary assessment of institutional capacities to implement relevant policies, laws and regulations
 - Safeguards information system framework document
 - Safeguards roadmap v2.0 (PLR assessment)

9. ANNEXES

- If NRAP revision and PAMs development allow, could include summary 'mater table' along the lines of:

REDD+ activity	PaM	Benefits	Risks	Addressing safeguards (key PLRs)	Respecting safeguards (implementation of PLRs)	[Outcomes of implementation]	Relevant Cancun safeguard

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	Quantity	Unit 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

ⁱ UNFCCC Decision 12/CP.17, paragraph 4. Available at: <http://unfccc.int/resource/docs/2011/cop17/eng/09a02.pdf>.

ⁱⁱ UNFCCC Decisions 12/CP.17, paragraph 3. Available at: <http://unfccc.int/resource/docs/2011/cop17/eng/09a02.pdf>.

UNFCCC Decision 9/CP.19, paragraph 11. Available at: <http://unfccc.int/resource/docs/2013/cop19/eng/10a01.pdf#page=24>.