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25 October 2018

INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

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

Country:	Viet Nam
Project:	Energy Efficiency Improvement in Commercial and High-Rise Residential Buildings in Viet Nam
Description of the assignment:	A National Consultant for Identification and Development of an Appropriate Incentive Mechanism to Promote energy efficiency in the building sector in Viet Nam
Period of assignment/services (if applicable):	From November 2018 to September 2019 (75 working days)
Duty Station	Homebased and Hanoi
Tender reference:	A-181007

1. Submissions should be sent by email to: quach.thuy.ha@undp.org no later than:
Monday 26 November 2018

With subject line: **A-181007 – National Consultant for EECB**

Submission received after that date or submission not in conformity with the requirements specified in 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 **30 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.

- Female consultants are encouraged to bid for this required service. Preference will be given to equally technically qualified female 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)
- [Letter to UNDP Confirming Interest and Availability](#) (Annex IV)
- [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
- Signed Letter to UNDP Confirming Interest and Availability
- 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 **Vietnamese dong for National Consultant** including consultancy fees and all associated costs i.e. airfares, travel cost, meal, accommodation, tax, insurance etc. – see format of financial offer in Annex V.
- 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:

<i>I</i>	Consultant’s experience/qualification related to the services	
1	At least a Master degree with knowledge in economics, public finance or policy development; energy efficiency or related fields	150
2	5 years of experience developing and presenting related policy reports for the government or donor supported/ODA projects	300
3	Understanding of international green finance principles is an advantage	150
4	Experience or knowledge about construction and/or real estate sectors or energy efficiency in Viet Nam is a must	200
5	Wide familiarity of working with line ministries, donors, local authorities, project developers, and banking sector in Viet Nam;	100

6	Good English skills, especially writing and reporting skills;	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:

- Full medical examination and Statement of Fitness to work for consultants from and above 65 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 upon acceptance by UNDP of the deliverables specified the TOR.

The payment milestones consist of:

No	Indicative timeline	Report submitted to PMU and UNDP	Payment amount
1	December 2018	Completion of Inception report	20%
2	April 2019	Completion of the report about a list of financial and non-financial incentives	40%
3	July 2019	Completion of the final report about the selected scheme/ mechanism to be developed in Viet Nam	40%

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.

ANNEX I



*Empowered lives.
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TERMS OF REFERENCE

Job title	A National Consultant for Identification and Development of an Appropriate Incentive Mechanism to Promote energy efficiency in the building sector in Viet Nam.
Project:	Energy Efficiency Improvement in Commercial and High-Rise Residential Buildings in Viet Nam
Duration of Appointment:	Estimated 75 work days (November 2018 – October 2019)
Duty Station:	Home based, Hanoi
Report to:	National Project Manager, International and national technical advisors, UNDP

1) GENERAL

Ministry of Construction (MOC)/ Department of Science, Technology and Environment (DOSTE) is implementing the Project “Energy Efficiency Improvement in Commercial and High-Rise Residential Buildings in Viet Nam” funded by GEF/UNDP and co-financed by Vietnam’s agencies/institutions and enterprises.

Implemented between 2016 and 2020, the project’s goal is to reduce intensity of GHG emissions from the building sector in Viet Nam. The project objective is to improve the energy utilization performance of commercial and high-rise residential buildings in Viet Nam. Realization of this objective will be achieved through implementation of the three following components:

- 1) Improved Enforcement of Energy Efficiency Building Code;
- 2) Building Market Development Support Initiatives; and
- 3) Building EE Technology Applications and Replications.

Each component comprises a number of complementary activities that are designed to remove barriers to the stringent enforcement of the revised EEBC, and application of EE designs, materials, technologies and equipment in commercial and residential buildings. By EOP, the GEF investment will have catalysed direct GHG emission reduction of about 37,680 tCO₂e. The cumulative direct reduction in GHG emissions over the lifetime of the project is envisioned to be 236,382 tCO₂e.

In order to accelerate the market transformation of the construction industry towards more EE buildings, the government can play a major role. The definition of incentive policies for the private sector is often conducive to achieve such a target in a timely manner.

MOC and UNDP are looking for a qualified National Consultant to carry out research to investigate at national and international levels to define a list of potential incentive mechanisms for promotion of energy efficiency in buildings in the long run and propose 1 adequate incentive mechanism in Viet Nam for promulgation in 2019.

2) OBJECTIVES OF ASSIGNMENT

The objectives of this assignment are to support the MOC to define a roadmap of appropriate and relevant incentives schemes / mechanisms to promote EE in buildings and are 02 folds.

The first goal is to provide MOC with a relevant list of potential financial and non-financial schemes/mechanisms to consider for the mid and long term.

Secondly, 01 specific incentive scheme shall be selected, further defined and drafted for the relevant governmental agency's promulgation in 2019.

3) SCOPE OF WORK

The consultant will be responsible for the following tasks and activities:

- Work with PMU and consult with local/ national entities/ organisations in Viet Nam if necessary to prepare the workplan for this assignment
- Review and analysis of existing local financial and non-financial incentives as regards to energy efficiency and green buildings mostly from MOIT, MPI, MOF, MOST and big cities such as Hanoi, HCMC and Da Nang.
- Review and analysis of the international context (with a strong regional emphasis, i.e. minimum 05 countries which share somehow similar conditions with Viet Nam) as regards Energy Efficiency/ Green Building financial and non-financial incentives definition and implementation as well as challenges, barriers and highlight effectiveness, appropriateness and major enabling parameters and achieved results.
- The scope of investigation should include a review of both central and local governments relevant policy actions linked to EE promotion. Besides, it should as well encompass all other relevant local and national initiatives or schemes or practical cases related to Equipment leasing, risk sharing/credit guaranty facility, etc. The analysis should look at precise objectives, concerned agencies/parties and their respective roles, implementation structure, human and financial resources, advantages and barriers/challenges needed capacity building, monitoring and evaluation system.
- Identification of potential (financial and non-financial) mechanisms for Viet Nam, including the justification of the need of such recommended mechanisms, definition of the necessary structure/organisation, and a tentative implementation plan.

- Identification of related challenges and opportunities with recommended solutions as well as technical conditions needed for introduction of the options for all selected relevant options.
- Preparation of a draft report and consultation/ presentation materials, and presentation of the findings during the consultation workshop to be organised.
- Consolidation of received comments/recommendations gathered during the consultation workshop.
- Based on agreement with PMU and UNDP on selection of one most appropriate option, development of one specific scheme/mechanism for Viet Nam, and further investigation about its necessary resources (budget and human), legal aspects and working principles (E.g. entities in charge, how and where can it be implemented).
- Consultation with related entities for finalization of the identified scheme/mechanism which may include preparation of technical inputs for further consultation workshops, workshop reports and gathering of experts' feedbacks.
- Delivery of the final report including the consolidation of all received comments / recommendations, for the finally selected scheme/mechanism to be promulgated in 2019 by the relevant governmental agency.

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

Duration: Estimated 75 working days and on an intermittent basis, during November 2018 to October 2019

Location: Home-based and Hanoi

During the assignment, the incumbent may be required to conduct site visits when necessary and approved by PMU. In case of travel, related travel cost will be covered by the project based on UN-EU cost norm.

5) DELIVERABLES

All reports, workplans, intermediate products shall be submitted to PMU in English and Vietnamese at the same time. Expected deliverables include:

ID	Expected Deliverable	Estimated workload (Man-days)	Expected Submission Time
1	Inception report	05	3 weeks after mobilization
2	Report No. 1 about the List of potential financial and non-financial schemes/ mechanisms	45	March 2019
3	Report No.2 about the selected scheme/ mechanism to promote EE in building	25	June 2019

i) Main Deliverables:

Description of Deliverables:

Inception report:

To be submitted and discussed with the PMU within 02 weeks upon the signing of the contract. The Inception report should contain the following items:

- (i) The methodology proposed for undertaking the assignment;
- (ii) A detailed work-plan with proposed step-wise method;

Draft Report and Final Report about a list of potential financial and non-financial schemes/mechanisms

The report shall cover analysis, findings and recommendations as indicated in the scope of work, as well as consolidating all received comments during the consultation workshop. This shall include but may not be limited to: findings about the local, regional and international contexts with specific examples; what kind of incentives should be considered, key notes for each scheme/mechanism, which entities/organisations will be in charge of the implementation and supervision, what financial and human resources will be necessary and a timeframe for implementation should be proposed.

Draft report will be finalised based on comments by PMU, UNDP and results of the consultation workshop.

Draft Report and Final Report about a specific scheme/ mechanism to be developed.

It should clearly detail the most appropriate option for an incentive scheme/mechanism for Viet Nam (it should include all required associated policy and initiatives, consolidation and analysis of provided feedbacks and comments from Ministries, departments and other competent authorities), and all necessary information regarding implementation methodology, timeline, and needed resources, and final draft documents for promulgation. The report shall be completed in the ready-to-be-promulgated form.

Draft report will be finalised based on comments by PMU, UNDP and results of the consultation workshop.

ii) Sub-Deliverables

Presentation materials for the consultation workshop on the draft Report No. 1 and draft Report No. 2

The consultant will be in charge of developing presentation materials and make presentation for the national consultation workshop(s). They should be done on power point and be made in both English and Vietnamese languages with a summary paper (if required).

Consultation workshop(s) – comments summary report(s).

Following the performance of the consultation workshop(s), the consultant shall list up all received comments, analyse them and prepare a summary of relevant ones to be integrated to the initial proposal.

6) PROVISION OF MONITORING AND PROGRESS CONTROLS

The expert shall report to National Technical Advisor, the International Senior Technical Advisor, National Project Manager, National Project Director and UNDP. This will be further detailed at contract signing. The expert shall work in close collaboration with PMU staff and national partners in order to ensure best knowledge sharing and highest quality of the product.

A monitoring and progress control will be agreed with the expert and included in the inception report with clear deadlines and verification activities.

The expert shall submit a mission plan to National Project Director/Project Manager at least 7 work-days before the mission for PMU's approval and support (if required). A mission report shall be submitted to PMU within 05 work-days after the mission has ended. The templates will be provided by PMU for application.

7) ADMIN SUPPORT AND REFERENCE DOCUMENTS

Reference documents: The project document, inception report and relevant report templates will be made accessible to the expert (soft file).

Admin support: PMU will support the expert in logistic arrangements/issuing request letters for meetings with relevant individuals/state agencies. The transportation cost will be covered by PMU based on UN – EU Guidelines for Financing of Local Costs in Development Co-operation with Viet Nam.

8) DEGREE OF EXPERTISE AND QUALIFICATIONS

Minimum qualifications and experience of the consultant are as follows:

- At least a Master degree with knowledge in economics, public finance or policy development; energy efficiency or related fields.
- 5 years of experience developing and presenting related policy reports for the government or donor supported/ODA projects.
- Experience or knowledge about construction and/or real estate sectors or energy efficiency in Viet Nam is a must
- Wide familiarity of working with line ministries, donors, local authorities, project developers, and banking sector in Viet Nam.
- Understanding of international green finance principles is an advantage.
- Good command of English language, especially in speaking, writing, and reporting skills.

9) PAYMENT TERM

The payments will be paid upon submission of the draft report with satisfactory acceptance by PMU and UNDP according to the timeline as follows:

No	Indicative timeline	Report submitted to PMU and UNDP	Payment amount
1	December 2018	Completion of Inception report	20%
2	April 2019	Completion of the report about a list of financial and non-financial incentives	40%
3	July 2019	Completion of the final report about the selected scheme/ mechanism to be developed in Viet Nam	40%

10. CONSULTANT PRESENCE REQUIRED ON DUTY STATION/UNDP PREMISE

NONE
 PARTIAL
 INTERMITTENT
 FULL-TIME

EVALUATION CRITERIA WITH ASSIGNED SCORES

(The additional interview either direct or through telephone/Skype will be applied if necessary)

<i>I</i>	Consultant's experience/qualification related to the services	
1	At least a Master degree with knowledge in economics, public finance or policy development; energy efficiency or related fields	150
2	5 years of experience developing and presenting related policy reports for the government or donor supported/ODA projects	300
3	Understanding of international green finance principles is an advantage	150
4	Experience or knowledge about construction and/or real estate sectors or energy efficiency in Viet Nam is a must	200
5	Wide familiarity of working with line ministries, donors, local authorities, project developers, and banking sector in Viet Nam;	100
6	Good English skills, especially writing and reporting skills;	100
Total		1000

ANNEX IV

OFFEROR'S LETTER TO UNDP CONFIRMING INTEREST AND AVAILABILITY FOR THE INDIVIDUAL CONTRACTOR (IC) ASSIGNMENT

Date _____

(Name of Resident Representative/Bureau Director)

United Nations Development Programme

(Specify complete office address)

Dear Sir/Madam:

I hereby declare that:

- A) I have read, understood and hereby accept the Terms of Reference describing the duties and responsibilities of [*indicate title of assignment*] under the [*state project title*];
- B) I have also read, understood and hereby accept UNDP's General Conditions of Contract for the Services of the Individual Contractors;
- C) I hereby propose my services and I confirm my interest in performing the assignment through the submission of my CV which I have duly signed and attached hereto as Annex 1;
- D) In compliance with the requirements of the Terms of Reference, I hereby confirm that I am available for the entire duration of the assignment, and I shall perform the services in the manner described in my proposed approach/methodology which I have attached hereto as Annex 3 [*delete this item if the TOR does not require submission of this document*];
- E) I hereby propose to complete the services based on the following payment rate: [*please check the box corresponding to the preferred option*]:
 - An all-inclusive daily fee of [*state amount in words and in numbers indicating currency*]
 - A total lump sum of [*state amount in words and in numbers, indicating exact currency*], payable in the manner described in the Terms of Reference.
- F) For your evaluation, the breakdown of the abovementioned all-inclusive amount is attached hereto as Annex V;
- G) I recognize that the payment of the abovementioned amounts due to me shall be based on my delivery of outputs within the timeframe specified in the TOR, which shall be subject to UNDP's review, acceptance and payment certification procedures;
- H) This offer shall remain valid for a total period of _____ days [*minimum of 90 days*] after the submission deadline;
- I) I confirm that I have no first degree relative (mother, father, son, daughter, spouse/partner, brother or sister) currently employed with any UN agency or office [*disclose the name of the relative, the UN office employing the relative, and the relationship if, any such relationship exists*];

J) If I am selected for this assignment, I shall *[please check the appropriate box]:*

- Sign an Individual Contract with UNDP;
- Request my employer *[state name of company/organization/institution]* to sign with UNDP a Reimbursable Loan Agreement (RLA), for and on my behalf. The contact person and details of my employer for this purpose are as follows:

K) I hereby confirm that *[check all that applies]:*

- At the time of this submission, I have no active Individual Contract or any form of engagement with any Business Unit of UNDP;
- I am currently engaged with UNDP and/or other entities for the following work:

Assignment	Contract Type	UNDP Business Unit / Name of Institution/Company	Contract Duration	Contract Amount

- I am also anticipating conclusion of the following work from UNDP and/or other entities for which I have submitted a proposal:

Assignment	Contract Type	Name of Institution/ Company	Contract Duration	Contract Amount

L) I fully understand and recognize that UNDP is not bound to accept this proposal, and I also understand and accept that I shall bear all costs associated with its preparation and submission and that UNDP will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the selection process.

M) *If you are a former staff member of the United Nations recently separated, please add this section to your letter:* I hereby confirm that I have complied with the minimum break in service required before I can be eligible for an Individual Contract.

N) I also fully understand that, if I am engaged as an Individual Contractor, I have no expectations nor entitlements whatsoever to be re-instated or re-employed as a staff member.

O) Are any of your relatives employed by UNDP, any other UN organization or any other public international organization?

YES NO If the answer is "yes", give the following information:

Name	Relationship	Name of International Organization

P) Do you have any objections to our making enquiries of your present employer?

YES NO

Q) Are you now, or have you ever been a permanent civil servant in your government's employ?

YES NO If answer is "yes", WHEN?

R) REFERENCES: List three persons, not related to you, who are familiar with your character and qualifications.

Full Name	Full Address	Business or Occupation

S) Have you been arrested, indicted, or summoned into court as a defendant in a criminal proceeding, or convicted, fined or imprisoned for the violation of any law (excluding minor traffic violations)?

YES NO If "yes", give full particulars of each case in an attached statement.

I certify that the statements made by me in answer to the foregoing questions are true, complete and correct to the best of my knowledge and belief. I understand that any misrepresentation or material omission made on a Personal History form or other document requested by the Organization may result in the termination of the service contract or special services agreement without notice.

DATE: _____

SIGNATURE: _____

NB. You will be requested to supply documentary evidence which support the statements you have made above. Do not, however, send any documentary evidence until you have been asked to do so and, in any event, do not submit the original texts of references or testimonials unless they have been obtained for the sole use of UNDP.

Annexes *[please check all that applies]:*

CV shall include Education/Qualification, Professional Certification, Employment Records /Experience

Breakdown of Costs Supporting the Final All-Inclusive Price as per Template

GUIDELINES FOR CV PREPARATION

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.

Annex V

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 65 years of age and involve travel – (required before issuing contract).			
2.5	Others (pls. specify).....			
	TOTAL			

** Individual Consultants/Contractors who are over 65 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

(The costs should only cover the requirements identified in the Terms of Reference (TOR) Travel expenses are not required if the consultant will be working from home).