

5 November 2019

#### 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 in public-climate finance for Climate Public Expenditure and Investment Review of Viet Nam (CPEIR 2019)
Period of assignment/services (if applicable):	November 2019 – December 2020
<b>Duty Station</b>	Hanoi, home-based and travel to provinces
<b>Tender reference:</b>	3-191102

1. Submissions should be sent by email to: <a href="mailto:luu.ngoc.diep@undp.org">luu.ngoc.diep@undp.org</a> no later than: 23.00 hrs., 18 November 2019 (Hanoi time)

### With subject line:

- 3-191102-NC4: National Consultant in public-climate finance for 12 Mekong Delta provinces and sub-Team Lead
- 3-191102-NC5: National Consultant in public-climate finance for central highland provinces
- 3-191102-NC6: National Consultant in public-climate finance for An Giang province and 04 central coastal provinces

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 35 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: <u>procurement.vn@undp.org</u> 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:

•	<u>Terms of Reference (TOR)</u>	(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
- At least 2 sample reports of similar topics

### b. Financial proposal (with your signature):

- The financial proposal shall specify a total lump sum amount in <u>Viet Nam Dong for National Consultant and US Dollar for international consultant</u> including consultancy fees and 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:

# 3-191102-NC4: National Consultant in public-climate finance for 12 Mekong Delta provinces and sub-Team Lead

No	Criteria	Score
1	University/Postgraduate degree with knowledge related to public investments or related fields.	150
2	5 years' experience of working on climate change, climate finance, climate risk management and environmental issues, climate finance assessment tools, involving in the policy analysis.	250
3	Demonstrated substantial experience in financial analysis in central coastal provinces related to climate change, green growth.	150
4	Experience in planning, institutional framework for public investment and expenditure in socio-economic development at national and province	200

	level	
5	Experience in designing and conducting surveys and analysing data.	150
6	Fluency in English and Vietnamese in communication, writing and discussion with at least 2 sample reports of similar topics.	100
	Total	1,000

### 3-191102-NC5: National Consultant in public-climate finance for central highland provinces

No	Criteria	Score
1	University/Postgraduate degree with knowledge related to public investments or related fields.	150
2	5 years' experience of working on climate change, climate finance, climate risk management and environmental issues, climate finance assessment tools, involving in the policy analysis.	250
3	Demonstrated substantial experience in financial analysis in central highland provinces related to climate change, green growth.	150
4	Experience in planning, institutional framework for public investment and expenditure in socio-economic development at national and province level	200
5	Experience in designing and conducting surveys and analysing data.	150
6	Fluency in English and Vietnamese in communication, writing and discussion with at least 2 sample reports of similar topics.	100
	Total	1,000

# 3-191102-NC6: National Consultant in public-climate finance for An Giang province and 04 central coastal provinces

No	Criteria	Score
1	University/Postgraduate degree with knowledge related to public investments or related fields.	150
2	5 years' experience of working on climate change, climate finance, climate risk management and environmental issues, climate finance assessment tools, involving in the policy analysis.	250
3	Demonstrated substantial experience in financial analysis in Mekong Delta provinces related to climate change, green growth.	150
4	Experience in planning, institutional framework for public investment and expenditure in socio-economic development at national and province level	200
5	Experience in designing and conducting surveys and analysing data.	150
6	Fluency in English and Vietnamese in communication, writing and discussion with at least 2 sample reports of similar topics.	100
	Total	1,000

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. Sf = 1000 x Fm / F, in which Sf is the financial score, Fm 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 *subject to positive reference checks* on the consultant's past performance.

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:

- International consultant whose work involves travel is required to complete the <u>BSAFE</u> course and submit certificate to UNDP before contract issuance.

<u>Note</u>: In order to access the course, please go to the following link: <a href="https://training.dss.un.org/course/category/6">https://training.dss.un.org/course/category/6</a>. Type in your name and password, create a new user. After you have completed the courses, please print/save the certificates to submit to us

- 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.

# <u>3-191102-NC4: National Consultant in public-climate finance for 12 Mekong Delta provinces and sub-Team Lead</u>

- 1) First payment of 20% of the contract value will be paid upon submission of written input in the inception report and detailed mission plan.
- 2) Second payment of 40% of the contract value will be paid upon submission of draft predefined CPEIR Excel sheet for each province that includes the determination of climate change relevance of all collected expenditures of the selected provinces, classification and computation of climate change related expenditures according to the CPEIR typology; and qualified and justified estimate on the proportional climate change relevance of the expenditures within five predefined groups.
- 3) Third payment of 30% of the contract value will be paid upon submission of a report with the final predefined CPEIR Excel sheet for each province (see above) as well as the review and brief review summary of the analysed investment from each province and a set of recommendations on better alignment between investment and policy priority, improvement of budgeting, planning, and accountability in the implementation.
- 4) Last payment of 10% will be made upon submission of all products under the contract including written review of related parts in the final draft report prepared by the international consultant.

#### 3-191102-NC5: National Consultant in public-climate finance for central highland provinces

- 1) First payment of 25% of the contract value will be paid upon submission of written input in the inception report and detailed mission plan.
- 2) Second payment of 35% of the contract value will be paid upon submission of draft predefined CPEIR Excel sheet for each province that includes the determination of climate change relevance of all collected expenditures of the selected provinces, classification and computation of climate change related expenditures according to the CPEIR typology; and qualified and justified estimate on the proportional climate change relevance of the expenditures within five predefined groups.
- 3) Third payment of 30% of the contract value will be paid upon submission of a report with the final predefined CPEIR Excel sheet for each province (see above) as well as the review and brief review summary of the analysed investment from each province and a set of recommendations on better alignment between investment and policy priority, improvement of budgeting, planning, and accountability in the implementation.
- 4) Last payment of 10% will be made upon submission of all products under the contract including written review of related parts in the final draft report prepared by the international consultant.

# <u>3-191102-NC6: National Consultant in public-climate finance for An Giang province and 04 central coastal provinces</u>

- 1) First payment of 25% of the contract value will be paid upon submission of written input in the inception report and detailed mission plan.
- 2) Second payment of 35% of the contract value will be paid upon submission of draft predefined CPEIR Excel sheet for each province that includes the determination of climate change relevance of all collected expenditures of the selected provinces, classification and computation of climate change related expenditures according to the CPEIR typology; and qualified and justified estimate on the proportional climate change relevance of the expenditures within five predefined groups.
- 3) Third payment of 30% of the contract value will be paid upon submission of a report with the final predefined CPEIR Excel sheet for each province (see above) as well as the review and brief review summary of the analysed investment from each province and a set of recommendations on better alignment between investment and policy priority, improvement of budgeting, planning, and accountability in the implementation.
- 4) Last payment of 10% will be made upon submission of all products under the contract including written review of related parts in the final draft report prepared by the international consultant.

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

Title: Climate Public Expenditure and Investment Review of Viet Nam (CPEIR 2019)

**Duty station:** Ha Noi, home-based and travel to provinces

**Requirement:** 

03 national consultants:

- National Consultant (NC4) in public-climate finance for 12 Mekong Delta provinces and sub-Team Lead
- National Consultant (NC5) in public-climate finance for central highland provinces
- National Consultant (NC6) in public-climate finance for An Giang province and 04 central coastal provinces

**Duration and timing:** November 2019 to December 2020

**Reporting:** UNDP Viet Nam/Head of Climate Change and Environment

#### 1. GENERAL BACKGROUND

#### Viet Nam Development Context and Policy frameworks for climate change and green growth

**Viet Nam's economy** has been growing at an average of 6 per cent over the past two decades. This growth has lifted millions out of poverty. The country's economy is performing well, with gross domestic product (GDP) estimated to have increased by 7.1 percent (year per year) in the first half of 2018.

Viet Nam is among the countries most vulnerable to climate change and affected by natural disaster and climate extreme events, according to the Long-Term Climate Risk Index (CRI) in the Global Climate Risk Index 2019. With a long coast line, large mountainous and hilly areas, and diversity of geography, Viet Nam has been experiencing 19 different types of natural disaster and a changing climate, affecting development.

The Party and the Government of Viet Nam have introduced important policies and initiatives to respond to climate change and promote green growth:

• Resolution #24 on proactive response to Climate Change, Improvement of Natural Resources Management and Environmental Protection of the Central Executive Committee of the Viet Nam Communist Party.

- The National Strategy on Climate Change approved by the Prime Minister in December 2011, which identified 10 key tasks in climate change response strategy.
- The **National Strategy for Green Growth** (VGGS) of September 2012, aiming to reduce the intensity of greenhouse gas emissions and promote the use of clean energy, renewable energy.
- Following approval of the **Paris Agreement** on climate change in 2016, the Government issued the Plan for Implementation of the Paris Agreement (PIPA), which requires to 'Develop guidelines for supervision of climate change response expenditures from national and international resources, including public and private resources' and 'Establish a national scale resource allocation system for climate change'.
- In its **Intended Nationally Determined Contributions** (INDC), Viet Nam committed to reduce its greenhouse gas emissions by 8% by 2030 compared to the Business as Usual (BAU) scenario with national means, and may reduce it by 25% with international support. Viet Nam is reviewing and updating its NDC, aiming at consolidating actions, engaging stakeholders, and designing a robust MRV/M&E mechanism for implementation of the implementation of the Paris Agreement from 2021.

Addressing climate change will require increased resources. Infrastructure development will require climate proofing (e.g. roads, ports, flood control, electric power networks, drainage structures). Given public budget constraints, there is a need to ensure, on the one hand, that climate change is adequately mainstreamed into national development planning and that the climate change planning and the resources allocation processes are well aligned with Government priorities and, on the other hand, that line ministries have the capacity to implement and monitor adaptation and mitigation related publicly financed investment programs. There is also a need to increase climate proofed private financing of some infrastructure

Viet Nam will formulate a new 10-year socio-economic development strategy, 2021-2030 and a new 5-year socio-economic development plan, 2021-2015, in 2019 for approval in 2020, which will be accompanied by medium term investment budget and investment plans. This is a strategic opportunity to integrate climate change, low-carbon development, and risk-informed development into national, sectoral and local planning and investment processes. Viet Nam is at the cross-roads of making a choice toward a green and climate-resilient development pathway for the next 10 years.

#### Previous climate expenditure and investment reviews

In 2014, with technical support from UNDP and the World Bank, MPI led a first "Climate Public Expenditure and Investment Review of Viet Nam" for the period of 2010-2013, which was published in April 2015 (hereinafter referred to as CPEIR 2015). CPEIR 2015 had the following specific objectives:

- Define expenditures for climate change and green growth in the national budgets;
- Access options for tracked expenditures related to climate change and green growth;
- Provide analysis of expenditures on climate change;
- Suggest improvements in tracking and assessing;
- Assess institutional setting and management structure;
- Assess the current climate finance structures;

• Propose appropriate guidelines for the development of the climate finance policy framework in Viet Nam, integrating expenditures for climate change responses into planning and budgeting.

CPEIR 2015 provided a quantitative overview of expenditures for climate change and green growth to five ministries: Ministry of Agriculture and Rural Development, Ministry of Natural Resources and Environment, Ministry of Transport, Ministry of Industry and Trade, Ministry of Construction and 3 provinces of Quang Nam, Bac Ninh and An Giang. The report has a qualitative assessment of the policies and procedures for reviewing budgets:

- be allocated to climate change / green growth priority objectives;
- be able to achieve goals;
- can be regularly reviewed to help improve the efficiency of expenditures.

In 2017 and 2018, with technical support from UNDP and GIZ, MPI undertook a CPEIR for 13 provinces in the Vietnamese Mekong Delta. This study is conducted on the basis of application testing the MPI 2017's "Guidelines for classification of Public investment in climate change and green growth". This MPI Guidance uses basic principles of the CPEIR approach but it does not classify expenditure by appropriate levels (high / medium / low) or coverage (%) with respect to climate change. The financial volumes reported under **MPI guidance focuses on investments** (i.e. not recurrent expenditures) and determine which investments have some climate relevance without analysing the exact financial volumes spent on specific climate-related components of these investments.

Building on this experience UNDP and MPI is undertaking CPEIR 2019 which focus on climate public expenditure including ODA in six ministries (Ministry of Agriculture and Rural Development (MARD), Ministry of Natural Resources and Environment (MONRE), Ministry of Transport (MOT), Ministry of Industry and Trade (MOIT), Ministry of Construction (MOC), Ministry of Science and Technology (MOST)) and in the following 29 provinces:

- In the North: Bắc Ninh, Cao Bằng, Lào Cai, Tuyên Quang, Hòa Bình, Quảng Ninh
- In the Central Coastal provinces: Quảng Nam, Thanh Hóa, Hà Tĩnh, Quảng Bình, Thừa Thiên Huế
- In the Central Highland: Kon Tum, Gia Lai, Đặk Lắk, Đắk Nông, Lâm Đồng
- In the Mekong Delta: Long An, Tiền Giang, Đồng Tháp, Vĩnh Long, Trà Vinh, Hậu Giang, Sóc Trăng, Bến Tre, An Giang, Kiên Giang, Bạc Liêu, Cà Mau và Cần Thơ

UNDP and MPI have already engaged a main team consisting of two international experts and 6 national experts as below:

- 01 International expert in public-climate finance and overall CPEIR Team Leader
- 01 International expert in climate change
- National Consultant (NC1) responsible for 3 line ministries (MOIT, MOC, MONRE) and 2 provinces of Bac Ninh and Quang Nam
- National Consultant (NC2) responsible for 2 line ministries (MARD and MOST) and 5 provinces in the North (Cao Bang, Lao Cai, Tuyen Quang, Hoa Binh, Quang Ninh)
- National Consultant (NC3) responsible for 01 line ministry (MOT)

- National Consultant (NC4) responsible for 12 Mekong Delta provinces including Long An, Tiền Giang, Đồng Tháp, Vĩnh Long, Trà Vinh, Hậu Giang, Sóc Trăng, Bến Tre, Kiên Giang, Bac Liêu, Cà Mau và Cần Thơ
- National Consultant (NC5) responsible for 05 central highland provinces including Kon Tum,
   Gia Lai, Đắk Lắk, Đắk Nông and Lâm Đồng
- National Consultant (NC6) responsible for An Giang and 04 central coastal provinces including Thanh Hóa, Hà Tĩnh, Quảng Bình and Thừa Thiên Huế

UNDP and MPI are currently looking for a sub-team of three national experts in public-climate finance (NC4, NC5, NC6) to conduct the CPEIR assignment at the selected provinces that will contribute to and be inputs in the overall CPEIR 2019. This TOR specifies the objectives, scope of work and the task of the three national experts of the sub-team.

#### 2. OBJECTIVES OF THE ASSIGNMENT

Overall objectives of this CPEIR (hereinafter referred to as CPEIR 2019) is to capture the magnitude and trend of climate change expenditure over the period of analysis the alignment of the climate budgeting with the Government's climate change priorities; and provide inputs and recommendations for improving effectiveness of the planning, budgeting, utilizing and mobilizing resources for climate change actions in the next socio-economic development strategies and action plans of the period 2021-2030, to support the achievements of Government's climate resilient and low-carbon development priorities.

The Government's primary priorities for addressing climate change include key Government's strategies such as National Climate Change Strategy (NCCS), Viet Nam Green Growth Strategy (VGGS), Plan for Implementation of the Paris Agreement (PIPA), but should also include NDC, NCCAP, NTP-RCC, and others) and should be assessed against the State Budget (notably the investment budget of selected Ministries).

The three national consultants (NC4, NC5, NC6) will specifically contribute to the Viet Nam CPEIR 2019 by gathering maximum information about climate related expenditures and investments both the State budget and ODA, from the selected provinces under their responsibility over the period 2010-2020 (for An Giang province) and 2016-2020 (all other provinces) including in-depth and technical information on all collected investments, in order to determine climate change relevance and classification of climate change-related expenditures according to the CPEIR typology, that will be clarified in the report during implementation of the CPEIR 2019, basically, the classification of climate change related investment will be based on MPI's classification guidelines, the recurrent expenditure classification will be based on CPEIR-2015.

#### 3. METHODOLOGY

The general methodology applied in the CPEIR, **consisting of a combination of quantitative and qualitative assessments**, has much in common with traditional public expenditure reviews. The expenditure review will draw upon a primary data collection at MPI, five line Ministries, relevant institutions and three provinces from the CPEIR 2015. The data assessment will be complemented by a qualitative analysis, including consultations and a close involvement of the Ministries in the preparation and revision of the assessment.

A central point of the assessment is the identification of the climate change related expenditures which will be based on two complementary approaches.

- Policy based definition of Government's key priorities for addressing climate change: Government's strategies (NCCS, NCCAP, NTP-RCC, VGGS, NDC, PIPA, and others) will

be assessed against the State Budget (notably the investment budget of selected Ministries). The primary priorities as defined in the NCCS and VGGS, and PIPA

- Assessment of climate change related activities based on a typology of climate co-benefits. To complement the assessment above, a closer look will be taken at the investment budget to identify activities with adaptation and mitigation co-benefits other than Government's key priority programs. As a guideline to identify climate co-benefits in the investment budget, a set of criteria will be used that were recently developed by the World Bank to identify climate related co-benefits in projects. The criteria will be used jointly with Government counterparts to assess the budget with an additional climate lens. The typology should link the activities and co-benefits to the policy targets/ key priority programs in a matrix.

Similar to the expenditure review, the information for the institutional/governance/investment framework/financial architecture review will be collected through document reviews and consultations with government partners.

Specifically, the CPEIR 2019 will follow the methodology in the previous CPEIR 2015.

For recommendation of improvement of budgeting, planning, effectiveness, accountability, and MRV, the team must reference to relevant elements of the MPI "Guidelines for classification of Public investment in climate change and green growth" as and where applicable and will use the lessons obtained from the UNDP/GIZ supported CPEIR of 13 Mekong Delta Provinces.

#### 4. SCOPE OF WORK

#### Scope of work for the whole CPEIR 2019 exercise

**Sectors and Provinces:** The CPEIR 2019 will focus on climate public expenditure including ODA in six ministries and in the 29 provinces as mentioned above.

**Type of expenditures:** The CPEIR will be based primarily on the current expenditures and investment budget included in the state budget at the central and, to the degree possible, at the local level. ODA funded projects either integrated in the State budget or managed outside the State budget but still counted as Viet Nam expenditure will also be part of the CPEIR assessment.

Period of Analysis: The CPEIR 2019 will include analysis of two data sets

- 1) For the five ministries of MARD, MOC, MOIT, MONRE, and MOT, and the three provinces of An Giang, Quang Nam, and Bac Ninh, the period of the analysis will be the ten-year period of 2010-2020 for both investment and current expenditure. It will utilize data collected from 2010-2013 from the previous CPEIR and the additional data collected for 2014-2018, and the plan for 2019 and 2020.
- 2) For all six ministries and the provinces, the period of analysis will be the 5-year period between 2016-2020 and will include investment only.

The analysed results will also link with the magnitude and trends in the CPEIR 2015.

**Coordination:** The NC4 will also take on the role of sub-team lead who will lead the work of the other two NCs and will be responsible for the quality assurance of the work produced by NC5 and NC6. The NC4 will also be responsible for coordinating with the International Expert/Team Leader and discussion with the other national consultants (NC1, NC2, NC3) as needed. The overall guidance and leadership of the entire CPEIR will be provided by the International Expert/Team Leader.

# 4.1 JOINT TASKS AND ACTIVITIES OF THE WHOLE TEAM TO COMPLETE THE CPEIR 2019

- A. To provide an overview and to analyse climate change investment and expenditure based on the two data sets mentioned above with a view to increasing the effective use and monitoring of resources. To implement this task, the team will undertake the following activities:
  - Review the data set that was previously collected and analysed for CPEIR 2015 and CPEIR Mekong Delta provided by UNDP and MPI.
  - Collect data on public investments in the CPEIR focal areas during 2014 2018, based on the actual investments made.
    - o For the 5 Ministries (MARD, MOC, MONRE, MOIT, MOT) and the 3 provinces of Bac Ninh, Quang Nam, An Giang, three sets of data will be collected:
      - Past public expenditure related to climate change and green growth in the period 2014-2015. This information should be based on the actual investments and other related expenditures made.
      - Planned investments for the period 2016-2020. This information should be based on Medium-term investment plans for 2016-2020.
      - Current public expenditures and other related expenditures during 2016-2018. This information should be based on the actual investments made.
    - o For MOST and the remaining provinces:
      - Planned investments for the period 2016-2020. This information should be based on Medium-term investment plans for 2016-2020.
  - Identify climate-relevant investments. The consultant team will identify climate-relevant investments, using e.g. Annex 4 of the MPI "Guidelines for classification of Public investment in climate change and green growth" as reference guidance to facilitate identification of climate relevancy. Due to the macro-level of this analysis, the actual level of climate-spending will however not only be based on identification of the specific sub-projects or project components within the climate-relevant investments (as proposed in the MPI Guidelines) but would rather determine the level of climate spending in accordance with the approach outlined the CPEIR 2015, Table 2.1. Criteria for the Five Categories of CC-Response Spending (CPEIR 2015, p. 55), depending on the level of detail of the data collected.
  - Analyze and present findings on identified climate-relevant investments. When doing so, the
    consultants can utilize user-friendly presentation and reporting formats used e.g. in the CPEIR
    of 13 Mekong Delta Provinces supported by UNDP and GIZ. The findings shall include but
    may not be limited to the followings:
    - Analytical tables and charts showing climate change expenditure for the period 2010-2020 (per ministry and province, and for all 5 ministries of MOC, MARD, MOIT, MONRE, MOT and 3 provinces of Bac Ninh, Quang Nam, An Giang and comparing them with public climate investment trends reported in CPEIR 2015 for the period 2010-2013.
    - To what extent climate change planning, investment and spending under the national budget is aligned with Government priorities during 2010 2020 and the trends forward
    - For all 06 ministries and 29 provinces, analytical tables and charts showing climate change investment for the 5-year period of 2016-2020.
    - Recommendation on possible planning process, budgeting and spending on climate change as inputs for the coming medium-term investment plan, to be updated National

Determined Contribution (NDC) and the expected updates of the green growth and climate change strategies.

- B. To review the fiscal policy framework/ financial architecture and fiscal/ financial tools, with a view to introducing reforming aiming to introducing innovative mechanism and effective application, in line with international practice/trends;
- C. To review the national investment policy framework and fiscal mechanisms, aiming to improving the investment environment, enhancing financial incentives, and introducing innovative derisking schemes to mobilize the private sector's investments in climate actions;
- D. To assess the governance structures at national and local levels in Viet Nam in order to improve planning and budgeting mechanism for climate change mainstreaming, effective implementation, improved accountability and MRV/M&E;
- E. To analyse to what extent climate change budgeting and spending under the national budget has been aligned with Government priorities (in strategies, plans, policies) and to identify gaps;
- F. The consultant team will consult with the concerned ministries and provinces individually to validate the collected and analysed data and findings, and through a consultation meeting with all 6 ministries, the selected provinces and relevant stakeholders combined.

#### 4.2. Specific Responsibilities

- National Consultant (NC4) responsible for 12 Mekong Delta provinces including Long An, Tiền Giang, Đồng Tháp, Vĩnh Long, Trà Vinh, Hậu Giang, Sóc Trăng, Bến Tre, Kiên Giang, Bạc Liêu, Cà Mau và Cần Thơ
- National Consultant (NC5) responsible for 05 central highland provinces including Kon Tum,
   Gia Lai, Đăk Lắk, Đắk Nông and Lâm Đồng
- National Consultant (NC6) responsible for An Giang and 04 central coastal provinces including Thanh Hóa, Hà Tĩnh, Quảng Bình and Thừa Thiên Huế

#### **For each National Consultant:**

<u>Scope of work:</u> The scope is limited to the CPEIR typology pillars/categories:

- Collect, classify and analyse all relevant data, information for the selected provinces into and
  in accordance with Policy & Governance (PG) and Scientific, Technological and Societal
  Capacity (ST), Climate Change Delivery Natural Resources (CCD1). Climate Change
  Delivery: CCD2 Quality of life and CCD3 –Enterprise and production, etc. based on the
  CPEIR typology.
- Analyse and present trends of budget allocation and expenditure and alignment with the Government climate priorities.

#### Specific tasks:

- Collect/gather and review all investment for the years 2016-2020 by programs, project and sources of funding for all provinces
- Identify climate change related expenditures in the investment budget;
- Analyse detailed information on each climate related investment and classify all expenditures according to the CPEIR typology;

- Provide a qualified and justified estimate on the proportional climate change relevance of each expenditure within predefined groups (CPEIR typology);
- Put in excel sheet and compute an aggregated the total of climate expenditure
- Provide recommendation for improvement of budgeting, planning, setting priority to improve effectiveness, accountability in the implementation;
- Provide additional information on specific expenditures upon request;
- Participate in any related meetings and workshop as required
- The National Consultant (NC4), as sub-Team leader, will lead the work among NC4, NC5, NC6, provide guidance to the NCs, be responsible for quality assurance, and will coordinate with the other CPEIR team members, namely the two international consultants and NC1, NC2, and NC3. the
- The National Consultants will lead on Task A and F for their respective provinces as noted in section 4.1.

\*\* For the **province of An Giang**, the consultant will gather all climate related expenditures and investments both the State budget and ODA, from the selected provinces over the period 2014-2020 by programs, project and sources of funding including in-depth and technical information on all collected investments, in order to determine climate change relevance and classification of climate change-related expenditures according to the CPEIR typology. Based on the data availability, the consultant will also consolidate the data collected earlier for the 2011-2013 with these data for the whole period 2021-2020 \*\*

#### 5. DURATION OF ASSIGNMENT, DUTY STATION AND EXPECTED PLACES OF TRAVEL

The duration and Timing is from November 2019 to December 2020

NC4: 165 days including an estimated 1 working-day mission to each of 12 selected provinces

NC5: 85 days including an estimated 1 working-day mission to each of the 5 selected provinces

NC6: 105 days including an estimated 2 working-day mission to An Giang province and 1 working-day mission to each of the selected central provinces)

Duty Station: Home-based, Hanoi and travel to selected provinces as mentioned above

#### 6. **DELIVERABLES**

### 6.1 Inputs provided to the Inception report of the whole team

The International expert in public-climate finance cum Team Leader, with inputs from the entire consultant team, will submit the inception report with the following contents:

- Proposed approach to assignment
- Approach to collection of information
- Specific timeline for implementation of this assignment and consultative arrangements proposed (if any).
- Proposed Table of Contents of the CPEIR 2019. This is a tentative Table of Contents, which is subject to change and the details will be developed by the team in consultation with UNDP.

Foreword

**Executive Summary** 

Climate Public Expenditure and Investment Review

Chapter 1 Assessing Climate Change Policy and the Institutional Framework for

Climate Change Response in Viet Nam

Chapter 2 CPEIR Methodology and CC-Typology

Chapter 3 Climate Change Expenditure: Trends Relative to Policy Objectives,

Categories, and Tasks

Chapter 4 Moving forward: Incorporating Climate Change Policy in the Planning and

Budgeting Cycle and Establishing a Climate Policy Review

Chapter 5 A National Action Plan to Establish a Climate Change Budget and Annual

Review: Implementing the CPEIR Recommendations

Annex I. International Experience in Climate Change-Response Planning, Allocation,

Tracking, and Evaluation of Expenditures

Annex II. CPEIR Typology

Annex III. Value Added of the CPEIR

#### 6.2 Final Data Collection and Analysis of the Provinces Reports (3)

Each National Consultant (NC4, NC5, NC6) will be responsible for the data collection and analysis of their respective provinces and produce report that will inform the CPEIR 2019 Report.

#### **6.2.1.** National consultant (NC4):

- A review and brief summary of the analysed investment of each province that the NC4 is responsible for.
- A determination of climate change relevance of all collected investments of the selected provinces over the period of 2016-2020.
- Classification and computation of climate change related expenditures for each province according to the CPEIR typology
- A qualified and justified estimate on the proportional climate change relevance of the expenditures within five predefined groups for each province.
- A set of analysis of trend and recommendations on better alignment between expenditure and policy priority, improvement of budgeting, planning, and accountability in the implementation.

#### **6.2.2.** National consultant (NC5):

- A review and brief summary of the analysed investment of each province that the NC5 is responsible for.
- A determination of climate change relevance of all collected investments of the selected provinces over the period of 2016-2020.
- Classification and computation of climate change related expenditures for each province according to the CPEIR typology
- A qualified and justified estimate on the proportional climate change relevance of the expenditures within five predefined groups for each province.
- A set of analysis of trend and recommendations on better alignment between expenditure and policy priority, improvement of budgeting, planning, and accountability in the implementation.

#### 6.2.3. National consultant (NC6):

 A review and brief review summary of the analysed investment and recurrent data from An Giang.

- A review and brief summary of the analysed investment of each remaining province that the NC6 is responsible for.
- A determination of climate change relevance of all collected investments of the selected provinces over the period of 2016-2020, and recurrent data and investment over the period of 2014-2020 for An Giang Province.
- Classification and computation of climate change related expenditures for each province according to the CPEIR typology
- A qualified and justified estimate on the proportional climate change relevance of the expenditures within five predefined groups for each province.
- A set of analysis of trend and recommendations on better alignment between expenditure and policy priority, improvement of budgeting, planning, and accountability in the implementation.

#### 6.3 Draft CPEIR 2019 Report

The International expert in public-climate finance cum Team Leader will develop a draft report which will include the following main points:

- Executive Summary presenting key findings and recommendations of this assignment
- Final outcomes of the tasks A-F described in the Scope of Work
- Annexes with supporting data collected, data calculation and analysis and other documentation

Each NC will provide written input and comments on the draft CPEIR. The draft CPEIR 2019 will be submitted for review to UNDP and the comments obtained will be used to finalize the CPEIR 2019.

#### 6.4 Final CPEIR 2019 Report and all supporting relevant document

The International expert in public-climate finance cum Team Leader will develop the final CPEIR 2019 and related documents based on comments and feedbacks on the draft CPEIR 2019.

Each NC will provide comments on the final CPEIR before it is submitted. Other related documents and data must be submitted UNDP for reference and use.

#### The reports by the national consultants are required in both English and Vietnamese.

Below is the tentative schedule of Deliverables for each consultant

### **Tentative schedule of Deliverables**

S/N	Deliverable	Expected due date	
1	Inputs to the Inception Report	2 weeks upon the signing of the	
		contract	
2	Final Data Collection and Analysis of the Provinces	January 2020	
3	Report as Inputs the Draft CPEIR 2019 Report	February 2020	
4	Written comments and inputs to the Draft CPEIR 2019	June 2020	
	Report		

The above schedule will be finalized in the Inception Report.

#### 7. MONITORING AND PROGRESS CONTROL

The assignment will be supervised by UNDP. In addition to collaboration with stakeholders, concerned provinces and ministries, the consultant team will also routinely report to the UNDP on

progress through regular meetings and email updates based on the work-plan set out in the inception report. The consultants will provide concise information about implemented activities and adjustments to the workplan.

#### 8. ADMINISTRATIVE SUPPORT AND REFERENCE DOCUMENTS

The consultant team will be provided with following support:

- Copies of all relevant documents including the CPEIR 2015 methodology, CPEIR typology and previous CPEIR report
- Support the working process with relevant ministries, sectors and localities (if any)
- Coordinate with other programs and projects to maximize results, including training, visitation and exchange of experience.
- Working with relevant ministries through suggestion of focal points at ministries, and sending official request letters for the consultants to work or conduct interviews with stakeholders;
- Provide previous CPEIR report and relevant documents, guidelines to the consultant team upon the commencement of the assignment;
- Arrange meetings with stakeholders if necessary.

#### 9. QUALIFICATIONS AND WORK EXPERIENCE

The selected consultants should meet the below requirements.

# National consultant (NC4) in public-climate finance for 12 Mekong Delta provinces and Team Lead

- University/Postgraduate degree with knowledge related to public investments or related fields.
- 5 years' experience of working on climate change, climate finance, climate risk management and environmental issues, climate finance assessment tools, involving in the policy analysis.
- Demonstrated substantial experience in financial analysis in central coastal provinces related to climate change, green growth.
- Experience in planning, institutional framework for public investment and expenditure in socio-economic development at national and province level.
- Experience in designing and conducting surveys and analysing data.
- Fluency in English and Vietnamese in communication, writing and discussion.

### National consultant (NC5) in public-climate finance for central highland provinces

- University/Postgraduate degree with knowledge related to public investments or related fields.
- 5 years' experience of working on climate change, climate finance, climate risk management and environmental issues, climate finance assessment tools, involving in the policy analysis.
- Demonstrated substantial experience in financial analysis in central highland provinces related to climate change, green growth.
- Experience in planning, institutional framework for public investment and expenditure in socio-economic development at national and province level.
- Experience in designing and conducting surveys and analysing data.
- Fluency in English and Vietnamese in communication, writing and discussion.

# National consultant (NC6) in public-climate finance for An Giang province and 04 central coastal provinces

- University/Postgraduate degree with knowledge related to public investments or related fields.
- 5 years' experience of working on climate change, climate finance, climate risk management and environmental issues, climate finance assessment tools, involving in the policy analysis.

- Demonstrated substantial experience in financial analysis in the Mekong Delta provinces related to climate change, green growth.
- Experience in planning, institutional framework for public investment and expenditure in socio-economic development at national and province level.
- Experience in designing and conducting surveys and analysing data.
- Fluency in English and Vietnamese in communication, writing and discussion.

#### 10. PAYMENT TERMS

The payment terms are the following:

# National Consultant (NC4) in public-climate finance for 12 Mekong Delta provinces and Team Lead

- First payment of 20% of the contract value will be paid upon submission of written input in the inception report and detailed mission plan.
- Second payment of 40% of the contract value will be paid upon submission of draft predefined CPEIR Excel sheet for each province that includes the determination of climate change relevance of all collected expenditures of the selected provinces, classification and computation of climate change related expenditures according to the CPEIR typology; and qualified and justified estimate on the proportional climate change relevance of the expenditures within five predefined groups.
- Third payment of 30% of the contract value will be paid upon submission of a report with the final predefined CPEIR Excel sheet for each province (see above) as well as the review and brief review summary of the analysed investment from each province and a set of recommendations on better alignment between investment and policy priority, improvement of budgeting, planning, and accountability in the implementation.
- Last payment of 10% will be made upon submission of all products under the contract including written review of related parts in the final draft report prepared by the international consultant.

#### National Consultant (NC5) in public-climate finance for central highland provinces

- First payment of 25% of the contract value will be paid upon submission of written input in the inception report and detailed mission plan.
- Second payment of 35% of the contract value will be paid upon submission of draft predefined CPEIR Excel sheet for each province that includes the determination of climate change relevance of all collected expenditures of the selected provinces, classification and computation of climate change related expenditures according to the CPEIR typology; and qualified and justified estimate on the proportional climate change relevance of the expenditures within five predefined groups.
- Third payment of 30% of the contract value will be paid upon submission of a report with the final predefined CPEIR Excel sheet for each province (see above) as well as the review and brief review summary of the analysed investment from each province and a set of recommendations on better alignment between investment and policy priority, improvement of budgeting, planning, and accountability in the implementation.
- Last payment of 10% will be made upon submission of all products under the contract including written review of related parts in the final draft report prepared by the international consultant.

# National Consultant (NC6) in public-climate finance for An Giang province and 04 central coastal provinces

- First payment of 25% of the contract value will be paid upon submission of written input in the inception report and detailed mission plan.
- Second payment of 35% of the contract value will be paid upon submission of draft predefined CPEIR Excel sheet for each province that includes the determination of climate

- change relevance of all collected expenditures of the selected provinces, classification and computation of climate change related expenditures according to the CPEIR typology; and qualified and justified estimate on the proportional climate change relevance of the expenditures within five predefined groups.
- Third payment of 30% of the contract value will be paid upon submission of a report with the final predefined CPEIR Excel sheet for each province (see above) as well as the review and brief review summary of the analysed investment from each province and a set of recommendations on better alignment between investment and policy priority, improvement of budgeting, planning, and accountability in the implementation.
- Last payment of 10% will be made upon submission of all products under the contract including written review of related parts in the final draft report prepared by the international consultant.

11.	CONSULTANT	PRESENCE REQUIRI	ED ON DUTY STATION/UNDI	P PREMISES
[]]	NONE	[X] PARTIAL	[] INTERMITTENT	[] FULL-TIME

## **EVALUATION CRITERIA WITH ASSIGNED SCORES**

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

# National consultant (NC4) in public-climate finance for 12 Mekong Delta provinces and Team Lead

	Consultant's experience/qualification related to the services	
1	University/Postgraduate degree with knowledge related to public investments or related fields.	150
2	5 years' experience of working on climate change, climate finance, climate risk management and environmental issues, climate finance assessment tools, involving in the policy analysis.	250
3	Demonstrated substantial experience in financial analysis in central coastal provinces related to climate change, green growth.	150
4	Experience in planning, institutional framework for public investment and expenditure in socio-economic development at national and province level	200
5	Experience in designing and conducting surveys and analysing data.	150
6	Fluency in English and Vietnamese in communication, writing and discussion with at least 2 sample reports of similar topics.	100
Total		1000

### National consultant (NC5) in public-climate finance for central highland provinces

	Consultant's experience/qualification related to the services	
1	University/Postgraduate degree with knowledge related to public investments or related fields.	150
2	5 years' experience of working on climate change, climate finance, climate risk management and environmental issues, climate finance assessment tools, involving in the policy analysis.	250
3	Demonstrated substantial experience in financial analysis in central highland provinces related to climate change, green growth.	150
4	Experience in planning, institutional framework for public investment and expenditure in socio-economic development at national and province level	200
5	Experience in designing and conducting surveys and analysing data.	150

	Consultant's experience/qualification related to the services	
6	Fluency in English and Vietnamese in communication, writing and discussion with at least 2 sample reports of similar topics.	100
Total		1000

# National consultant (NC6) in public-climate finance for An Giang province and 04 central coastal provinces

	Consultant's experience/qualification related to the services	
1	University/Postgraduate degree with knowledge related to public investments or related fields.	150
2	5 years' experience of working on climate change, climate finance, climate risk management and environmental issues, climate finance assessment tools, involving in the policy analysis.	250
3	Demonstrated substantial experience in financial analysis in Mekong Delta provinces related to climate change, green growth.	150
4	Experience in planning, institutional framework for public investment and expenditure in socio-economic development at national and province level	200
5	Experience in designing and conducting surveys and analysing data.	150
6	Fluency in English and Vietnamese in communication, writing and discussion with at least 2 sample reports of similar topics.	100
Total		1000

# ANNEX IV

### OFFEROR'S LETTER TO UNDP

# CONFIRMING INTEREST AND AVAILABILITY FOR THE INDIVIDUAL CONTRACTOR (IC) ASSIGNMENT

	Date			
Uni	ume of Resident Representative/Bureau Director) ited Nations Development Programme ecify complete office address)			
Dea	ar Sir/Madam:			
I he	ereby 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 Con	tract with UNI	OP;				
	F		reement (RLA)	company/organization/instite, for and on my behalf. The allows:	_			
K) I her	eby c	onfirm that [check all t	hat applies]:					
At the time of this submission, I have no active Individual Contract or any form of engagem 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 er which I have submitted a proposal:    Name of   Contract   Institution/   Contract   Contract								
			Type	Company	Duration	Contract Amount		
acce case M) <u>If yo</u> <u>lette</u>	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.  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.							
				l as an Individual Contrac employed as a staff member		expectations nor		
O) Are any of your relatives employed by UNDP, any other UN organization or any other public internation organization?  YES NO f the answer is "yes", give the following information:								
		Name		Relationship	Name of International Organization			
	you l	nave any objections to o	our making end	quiries of your present emplo	oyer?			

-	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	i:				
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	Annexes [please check all that applies]:						
	CV shall include Education/Qualification, Processional Certification, Employment Records /Experience						
Bre	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 (for National Consultant) and USD (for International Consultant)

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			

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