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Date: 14 July 2014

INDIVIDUAL CONSULTANT PROCUREMENT NOTICE (*re-advertisement*)

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

Country:	Viet Nam
Description of the assignment:	International Financial and Policy Expert - An analysis of steel and chemical fertilizer production in Vietnam with focus on energy efficiency and reduction of Greenhouse Gases (GHG) emissions.
Project name:	Climate change initiatives in the Industry and trade sector (CCIT MOIT)
Period of assignment/services (if applicable):	60 work-days from June 2014

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1. Submissions should be sent by email to: nguyen.thi.hoang.yen@undp.org no later than: **24 July 2014**

Subject line: **International Financial and Policy Expert - (CCIT MOIT)**

Submission received after that date or submission not in conformity with the requirements specified this document will not be considered.

Note:

- Any individual employed by a company or institution who would like to submit an offer in response to this Procurement Notice must do so in their individual capacity, even if they expect their employers to sign a contract with UNDP.
- Maximum size per email is **7 MB**.
- Any request for clarification must be sent in writing, or by standard electronic communication to the address or e-mail indicated above. Procurement Unit – UNDP Viet Nam will respond in writing or by standard electronic mail and will send written copies of the response, including an explanation of the query without identifying the source of inquiry, to all consultants.

2. Please find attached the relevant documents:

- [Terms of Reference \(TOR\)](#)..... (Annex I)
- [Individual Contract & General Conditions](#)..... (Annex II)
- [Reimbursable Loan Agreement](#) (for a consultant assigned by a firm) [& General Conditions](#) (Annex III)
- [Insurance Coverage Table](#)..... (Annex IV)
- [Vendor Form](#) (Annex V)
- [Guidelines for CV preparation](#)..... (Annex VI)
- [Format of financial proposal](#)..... (Annex VII)

3. Interested individual consultants must submit the following documents/information **(in PDF Format)** to demonstrate their qualifications:

a. Technical component:

- Signed Curriculum vitae
- Copy of one publications/writing sample.
- Reference contacts of past 4 clients for whom you have rendered preferably the similar service

b. Financial proposal (with your signature):

- The financial proposal shall specify a total lump sum amount in **US Dollar** 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 US Dollar at UN Exchange Rate at the submission deadline.

4. Evaluation:

The technical component will be evaluated using the following criteria:

Consultant's experiences/qualification related to the services		Max points
1	Post graduate degree in economics, environmental economics, finance or related fields	100
2	At least five years relevant experience (including comprehensive financial knowledge and work experience in chemical fertilizer and/or steel production and implementation of GHG mitigation technologies in these or related sub-sectors).	250
3	Experience in economic and financial analysis for identifying cost-efficient energy and GHG mitigation options in heavy industries (MACC or similar assessments)	300
4	Working knowledge of policies and regulations for industrial energy efficiency and GHG mitigation. Viet Nam focused experience in these areas is an advantage.	150
5	Experience in working on UNDP (or other international organizations) supported projects.	100
6	Fluency in oral and written English (one writing sample must be provided for assessment)	100
Total		1000

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

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

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

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

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

Interview with the candidates may be held if deemed necessary.

5. Contract

“Lump-sum” Individual Contract will be applied for freelance consultant (Annex II)

“Lump-sum” RLA will be applied for consultant assigned by firm/institution/organization (Annex III)

Documents required before contract signing:

- Personal History
- International consultant whose work involves travel is required to complete the course on Basic Security in the Field and submit certificate to UNDP before contract issuance.

Note: The Basic Security in the Field Certificate can be obtained from website:

<https://training.dss.un.org/consultants>. The training course takes around 3-4 hours to complete. The certificate is valid for 3 years.

- Full medical examination and Statement of Fitness to work for consultants from and above 62 years of age and involve travel. (This is not a requirement for RLA contracts).
- Release letter in case the selected consultant is government official.

6. Payment

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

- The first payment of 20% of contract amount upon acceptance of the detailed implementation plan of the assignment and the proposed step-wise methodology
- The second payment of 40% of contract amount upon acceptance of the draft Report
- The final payment of 40% of contract amount upon UNDP satisfactory acceptance of Final Report reflecting incorporation of all related comments.

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 FOR

International Finance and Policy Expert

Analysis of steel and chemical fertilizer production in Viet Nam focusing on GHG emission reduction potential; BATs; and policy & financial recommendations under a NAMA framework

1. GENERAL BACKGROUND

The Government of Viet Nam has made significant efforts in responding to the challenges of climate change. Viet Nam's National Climate Change Strategy commits to take "both mitigation and adaptation actions to deal effectively with climate change, with a focus on adaptation during the first phase". Additionally, the Viet Nam Green Growth Strategy has three strategic directions: low-carbon development trajectories; green production and restoring of natural assets; and stimulation of green lifestyles. This Strategy provides Viet Nam's voluntary emission reduction targets and assists in transforming current development patterns towards sustainable development.

In July 2012, the four year UNDP Project entitled "Strengthening Capacity on Climate Change Initiatives in the Industry and Trade sectors" (CCIT) was signed by the Prime Minister of Viet Nam. This project supports Ministry of Industry and Trade (MOIT), as well as other relevant ministries and industry stakeholders raise awareness about climate change, undertake analysis of the current industry environment, and address the challenges posed by climate change.

Specifically, the CCIT project has the objective *to strengthen the capacity of policy makers and stakeholders in the industry sector to reduce GHG emissions, enhance climate resilience and exploit associated green trade opportunities*.

Based on results of an initial scoping study, this project centers on chemical fertilizer and steel sub-sectors for energy efficiency and reduction of GHG emissions related research and analysis. Besides a focus on reducing GHG emissions from industries, the project aims at removing barriers that are restricting industrial enterprises in Viet Nam from adopting green technologies; and supports business and trade practices to improve resource efficiency, productivity and competitiveness in national and international markets.

The activities and findings from this assignment will serve as technical and economic foundation for the development of a Nationally Appropriate Mitigation Actions (NAMA) framework at MOIT together with future NAMA project submission to the United Nations Framework Convention on Climate Change.

2. OBJECTIVES OF THE ASSIGNMENT

Focusing on chemical fertilizer and steel sub-sectors, elaborate and validate CCIT project's recent technical findings (of *GHG emission baseline, future emission scenarios, identified mitigation potential and GHG marginal abatement costs*); *make policy recommendations; and formulate financial options on how to implement these policies under a NAMA framework*.

The international finance and policy expert will strengthen and validate the project's ongoing activities in terms of assessment of chemical fertilizer and steel production in Vietnam with focus on sustainable production, increased energy efficiency and GHG emission reductions potentials, Best Available Technique (BAT)s, Marginal Abatement Cost Curve (MACC) development. Additionally, this expert will provide *policy advice* based on the validated project findings to address the GHG reduction potential. The last part of the assignment will focus on formulating *financial options* on how to implement these suggested policies under a NAMA frame work.

3. METHODOLOGY

The overall assessment and analysis for the assignment will be based on ongoing CCIT project activities of a review of the current policy and regulations for energy use and GHG emissions, a detailed

baseline/reference level description of the current chemical fertilizer and steel production processes and related energy and GHG intensity in these two sectors.

These activities are being combined to some extent with technical descriptions and application possibilities for a number of Best Available Techniques (BATs) covering both technologies and practices for Vietnamese producers of chemical fertilizer and steel, and includes estimates of energy and GHG Marginal Abatement Costs (MACs) for each BAT. Additionally, assessment of BATs may include other co-benefits besides energy and GHG reductions. Other non-financial barriers for BAT implementation may also be studied as part of project activities.

The final assessment for chemical fertilizer and steel sub-sectors are based on empirical case studies and on-site assessments. The data collection and findings from the case studies will be combined and complemented by national production data from the MOIT, other relevant ministries and research units. While CCIT project is preparing these findings based on current activities being undertaken by other experts, the Finance and Policy Expert is being recruited as an independent expert to elaborate and validate these recent findings (including BAT and MACC analysis done so far) and to take these finding further in terms of offering a number of policy recommendations *aimed at MOIT for addressing the GHG reduction potential and financial recommendations for NAMA formulation*. The recruited expert's deliverables will enable MOIT build a framework for NAMA development and implementation in the two selected sub-sectors.

The recruited consultant (who will cover both steel and chemical fertilizer sectors) will work closely with an international technical expert each for both chemical fertilizer and steel sectors; and a team of national experts for each sub-sectors.¹

4. SCOPE OF WORK

The assignment is divided into three overall groups of activities: 1) validation of ongoing studies of the current situation and establishment of a GHG emission baseline reference level and future GHG emission scenarios for the chemical fertilizer and steel sub-sectors; 2) validation of a technical and financial review of BATs and other processes for GHG reduction for a MACC study for steel (Electric Arc Furnace only) and chemical fertilizer (urea, magnesium phosphate, superphosphate and di-ammonium phosphate; excluding NPK production) 3) detailed policy and financial recommendations to address the GHG mitigations under a NAMA framework.

Task 1: Validating overview of the current production of the two sub-sectors and establishment of a GHG baseline reference level and future GHG emission scenarios

A brief description and presentation of chemical fertilizer and steel production in Viet Nam --including updated figures on national production volume and capacities of the previous three years, energy use,

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- ¹ Therefore, while this specific TOR refers to one individual consultant covering two sectors, her/his technical and national counterparts will be different depending on the sector. Besides the international Finance & Policy expert, existing team composition include:
- One international technical expert with technical knowledge and work experience in chemical fertilizer production and implementation of GHG mitigation technologies in this sector
 - One international technical expert with technical knowledge and work experience in steel production and implementation of GHG mitigation technologies in this sector.
 - A team of three national experts with hands on knowledge of chemical fertilizer production in Viet Nam, technology and process assessments, financial and policy recommendations for the chemical fertilizer sector in Viet Nam.
 - A team of three national experts with hands on knowledge of steel production in Viet Nam, technology and process assessments, financial and policy recommendations for the steel sector in Viet Nam. The national experts will conduct the majority field visits, collection of data, review of BATs and BAPs, review policy options etc.

energy efficiency practices, geographical production sites, import/export, domestic consumption and GDP added by production in these two sub-sectors.

In case of steel, methodology, software and findings from UNIDO's previous studies on steel and the Green Industry project will be used as foundation for the energy and GHG baseline reference level. Literature reviews and new empirical data from steel producers will be added to ensure an updated baseline level. As part of the baseline study, a review of existing policies and legal requirements for steel production in Viet Nam will be conducted. The review will also focus on legislation for environmental protection incl. GHG emissions and pollution control, legislation on use of minerals, requirements, standards and labeling for international trade of input and output materials etc. *This work is already underway and recruited consultant is expected to strengthen and validate this work.*

In case of chemical fertilizer, data collection on existing national data and literature review will lead to presentation of current chemical fertilizer production; followed by review of existing policies and requirements. Technical and financial on site and empirical data on chemical fertilizer production will be collected by a team of national experts; followed by a review of material flows and related chemical processes. This will lead to the development of a baseline reference level for current chemical fertilizer production. *This work is already underway and recruited consultant is expected to strengthen and validate this work.*

In addition to GHG baseline level, a number of future GHG emission scenarios for the two sectors must be developed including a Business as Usual (BAU) scenario and a number of scenarios incorporating variable inputs factors such as energy price, price of output products, interest rates, discount rates, policy changes etc. While some work has started, the recruited consultant is expected to lead the modeling of the baseline and future emission scenarios.

Task 2: Technical and financial MACC study of BATs and other processes for GHG reduction

Ten to 20 of the most common BATs and other process improvements for energy efficiency and GHG reduction applicable for Vietnamese chemical fertilizer and steel producers will be identified and described. Marginal GHG abatement reduction potential and marginal reduction costs for each of the identified BATs and other improvements will be calculated. The calculations will be based on actual application and production data from chemical fertilizer and steel producers in Viet Nam or other related production facilities. The work will be based on the data collected by national experts on various relevant policies issued by various provinces as well as at national level. This will also include listing the regulations and laws that needs to be followed by the two industries in terms of i) new plant construction, upgrading of existing ones, environmental protection/ GHG emissions, exploitation of natural resources, energy usage. Other relevant data collected through survey will include financial and technical data in terms of energy use, GHG emission, environmental; issues as well as financial source for each stage. This will lead to a flow chart of technical steps in energy usage and GHG emission and will be used to set up baselines for the two industries in Vietnam.

Some of the above work has been started by the existing chemical fertilizer and steel consultant teams. The recruited consultant is expected to elaborate this work and bring it to fruition. The findings from the two sub-sectors will be used to construct MACCs for the Vietnamese chemical fertilizer and steel sector with a clear identification of cost effective reduction potential, cost efficient technologies and related marginal costs. The assessments must include review of non-financial barriers for implementation of the identified technologies and processes.

Where relevant, a description of other environmental, development and social benefits from the identified technologies and processes will also be included.

Task 3: Policy recommendations to address GHG mitigations and presentation of financial options on how to implement these policies under a NAMA framework.

Based on tasks 1 and 2, detailed policy recommendations will be provided for broad sector implementation in ten of the most cost efficient and technically feasible BATs and other identified processes. Furthermore, the BATs should be identified and selected based on MOIT's political mandate and ability to formulate appropriate policies which will enforce the implementation of the BATs and thereby reduce GHG emissions. Stakeholders from MOIT and other relevant ministries will be consulted during the formulation of the policy recommendations.

The policy recommendations will include a mixture of various policy instruments such as: command and control, market based mechanisms, standards and quality criteria for the production, labeling, import/export regulations and performance standards.

Additional to the above, the recruited international expert will formulate financial options on how to implement these policies under a NAMA framework. Since this part of the assignment is not being supported by another expert, the Finance and Policy is expected to provide some robust directions on financial options reflecting the work done under the assignment and also reflected international experience elsewhere.

Task 4: Presentation of methodologies and also results

The international expert will work with the chemical fertilizer and steel sub-sector international technical experts and present the proposed methodologies and analytical framework at the beginning of the assignment at a technical consultation.

As the international technical expert for chemical fertilizer sector is already on board and the technical expert for steel is soon to resume work, the coordination of the first technical consultation will be decided jointly by the three international experts.

Also, the recruited expert will present findings of the draft report to stakeholders at the end of the assignment. Comments received will be incorporated in the finalization of the document.

5. DURATION OF ASSIGNMENT & DELIVERABLES

The scheduled starting date for the assignment is 20 June 2014 for a duration of 60 work days ending in 30 September 2014. The assignment will be organized in three phases: 1) formulation of analytical framework and methodology, 2) validation of collected and analyzed data, 3) drafting and finalizing the assessment. The international consultant must expect one mission to Vietnam (Hanoi) for each of the three phases (three missions in total). The duration of each mission will be five working days.

As noted above, the international consultant is expected to work together with the international technical experts (for chemical fertilizer and steel) together with the team of national consultants. The international financial and policy expert will be responsible for overall delivery and quality assurance of all tasks related to financial and policy assessment described in this TOR. The majority of data collection and site visits will be/are being conducted by national experts but the international expert may be expected to undertake two site visits.

Expected deliverables include:

- Validated version of a comprehensive and updated GHG baseline and future emission scenario study for the chemical fertilizer and steel sector in Viet Nam
- Validated and strengthened version of detailed MACC study of a number of Best Available Techniques (BAT) and practices; and other available improvements
- Policy recommendations to address the GHG mitigation potential identified under the MACC study; and presentation of financial options on how to implement these policies under a NAMA framework.

The final deliverable of the study which the consultant will deliver together with the assessment team for both sectors include:

1. A detailed implementation plan of the assignment and the proposed step-wise methodology submitted to and confirmed by the PMU and UNDP.
 - a. The implementation plan and step-wise methodology will be presented at a stakeholder workshop in Hanoi and final methodology confirmed by the PMU and UNDP
2. Full assessment draft report submitted no later than 50 days of signing the contract
 - a. Incorporate internal comments from PMU and UNDP (30 days after submission of draft report)
 - b. Facilitate and present methodology, data and findings in a follow up technical/stakeholder workshop
3. Incorporate additional internal and external comments; and finalize assessment report no later three months after signing the contract.

6. PROVISION OF MONITORING AND PROGRESS CONTROLS

The international consultant will work under supervision of the National Project Director and work closely with Project Coordinator of CCIT project; UNDP Programme Officer and project International Technical Adviser. Administrative support will be provided by personnel of Project Management Unit. UNDP Programme Officer will support the consultant on general issues and will oversee the consultant on the completion of the assessment.

Meetings and progress reports will be conducted with PMU and UNDP staff as requested.

Quality management:

Qualitative criteria: PMU and UNDP staff will be quality reviewers of the ongoing activities and the draft and final assessment report.

7. DEGREE OF EXPERTISE AND QUALIFICATIONS

The lead consultant must be able to document the following experiences and expertise:

Consultant's experiences/qualification related to the services		Max points
1	Post graduate degree in economics, environmental economics, finance or related fields	100
2	At least five years relevant experience (including comprehensive financial knowledge and work experience in chemical fertilizer and/or steel production and implementation of GHG mitigation technologies in these or related sub-sectors).	250
3	Experience in economic and financial analysis for identifying cost-efficient energy and GHG mitigation options in heavy industries (MACC or similar assessments)	300
4	Working knowledge of policies and regulations for industrial energy efficiency and GHG mitigation. Viet Nam focused experience in these areas is an advantage.	150
5	Experience in working on UNDP (or other international organizations) supported projects.	100
6	Fluency in oral and written English (one writing sample must be provided for assessment)	100
Total		1000

8. ADMINISTRATIVE SUPPORT AND REFERENCE DOCUMENTS

Arrangement of meetings and interviews:

The PMU and UNDP will assist the consultants in carrying assessments, interviews and meetings with proposed stakeholders.

9. PAYMENT TERMS

Three installments after completion of each phase and acceptance of outputs by UNDP, as follows:

- 20% of contract amount upon acceptance of the detailed implementation plan of the assignment and the proposed step-wise methodology
- 40% of contract amount upon acceptance of the draft Report
- 40% of contract amount upon UNDP satisfactory acceptance of Final Report reflecting incorporation of all related comments

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 USD

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

Note: The number of work-days in the TOR is estimated only. The bidder should make his/her own estimate of the time taken to complete the assignment in line with this TOR and his/her proposal, and use this estimate as the basis for financial proposal.

Cost breakdown:

No.	Description	Number of days	Rate (USD)	Total
1	Remuneration			
1.1	Services in Home office			
1.2	Services in field			
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