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Date: 10 July 2015

INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

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

Country:	Viet Nam
Description of the assignment:	01 individual international consultant and 02 individual national consultants to provide: Consultancy to Assess the Institutional Capacity to Implement Relevant Policies, Laws and Regulations with respect to REDD+ Safeguards
Project name:	00085319/UN-REDD Vietnam Phase II Programme
Period of assignment/services (if applicable):	August to December 2015

1. Submissions should reach by email no later than **23 July 2015 (Hanoi time)** the following address: nguyen.thi.hoang.yen@undp.org, with notification by email (without attachment) to: procurement.vn@undp.org informing that the bidder has submitted proposal.

UNDP will not be responsible for the missing of proposal if the bidder does not send notification email to above address.

With subject line: International consultant / or national consultant UN-REDD - Safeguard

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

Note:

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

2. Please find attached the relevant documents:

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

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

a. Technical component:

- Signed Curriculum vitae
- Copy of 1-3 publications/writing samples on relevant subject.
- Reference contacts of past 4 clients for whom you have rendered preferably the similar service

b. Financial proposal (with your signature):

- The financial proposal shall specify a total lump sum amount in US Dollar (for international consultant) and VND (for National consultants) 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 above currencies at UN Exchange Rate at the submission deadline.

4. Evaluation:

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

The technical component will be evaluated using the following criteria:

International consultant:

Consultant's experiences/qualification related to the services		
	Criteria	Maximum Points
1	PhD or Masters in a relevant discipline, such as Political Science, Development Studies, Legal Studies, Monitoring and Evaluation, Environment/Natural Resource Governance, Rural Planning or Sociology	200
2	At least 15 years of relevant working experiences in the areas of natural resource management or monitoring and evaluation of development programs	200
3	Strong experience in assessing institutional capacity and providing strategic advices to the government at both provincial and national levels , and development partners in this related area	200
4	Good understanding of UN-REDD programming modalities	100
5	Experience working in Viet Nam provinces	150
6	Strong research, analysis, report/policy brief-writing, facilitation, communication skills	100
7	Used to work and write publications/reports in English	50
	TOTAL	1000

National consultants:

Consultant's experiences/qualification related to the services		
	Criteria	Maximum Points
1	Masters in a relevant discipline, such as Political Science, Development Studies, Legal/Policy Studies, Environment/Natural Resource Governance, Rural Planning, or Sociology	200
2	At least 10 years of relevant working experiences in the areas of natural resource management or social development	200
3	Strong experience in assessing institutional capacity and providing strategic advices to the government at both provincial and national levels , and development partners in this related area	200
4	Experience working in Viet Nam provinces	150
5	Strong research, analysis, report-writing, facilitation, communication skills	150
6	Used to work and write publications/reports in English and Vietnamese	100
	TOTAL	1000

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

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

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

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

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

Interview with the candidates may be held if deemed necessary.

5. Contract

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

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

Documents required before contract signing:

- Personal History
- 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 installment of 20% of the contract value will be paid upon submission the work-plan (Product 1) with satisfactory acceptance by UNDP and the NPD.
- The second installment of 40% of the contract value will be paid upon submission of the assessment (Product 2) with satisfactory acceptance by UNDP and the NPD.
- The third instalment of 40% of the contract value will be paid upon submission of the policy brief (Product 3) with satisfactory acceptance by UNDP and the NPD.

Payments to team members shall need certification by the team leader.

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.

8. Notification of selection result: UNDP will contact only successful bidder for contracting.



TERMS OF REFERENCE (TOR)

TITLE	Consultancy to Assess the Institutional Capacity to Implement Relevant Policies, Laws and Regulations with respect to REDD+ Safeguards
Project ID and title	00085319/UN-REDD Vietnam Phase II Programme
Duty Station	Hanoi with travel to provinces (REDD+ pilot provinces with PRAPs, e.g., Dien Bien, Lam Dong, Binh Thuan, Lao Cai, Bac Kan)
Duration of Appointment	125 person-days between August to December 2015
Reporting	UNDP Viet Nam and the National Programme Director (NPD)

1) GENERAL BACKGROUND

The UN-REDD Viet Nam Phase II Programme is a part of the United Nations Collaborative initiative on Reducing Emissions from Deforestation and forest Degradation (UN-REDD). The Vietnam Administration of Forestry (VNFOREST) under the Ministry of Agriculture and Rural Development (MARD) is the Programme Owner. The Phase II Programme runs from mid-2013 to end-2015 and benefits from the support of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP).

Phase II of the Programme will assist Viet Nam to implement the National REDD+ Action Programme (NRAP). The overall objective is *“to enhance Viet Nam’s ability to benefit from future results-based payments¹ for REDD+ and undertake transformational changes in the forestry sector”*. This Objective will be secured through the following six Outcomes:

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

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

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

2) BACKGROUND TO THE ASSIGNMENT

UNFCCC requirements on REDD+ safeguards:

The Cancun Agreements² (Decision 1/CP. 16), of the United Nations Framework Convention on Climate Change (UNFCCC), calls countries who will implement REDD+ to address and respect seven broad

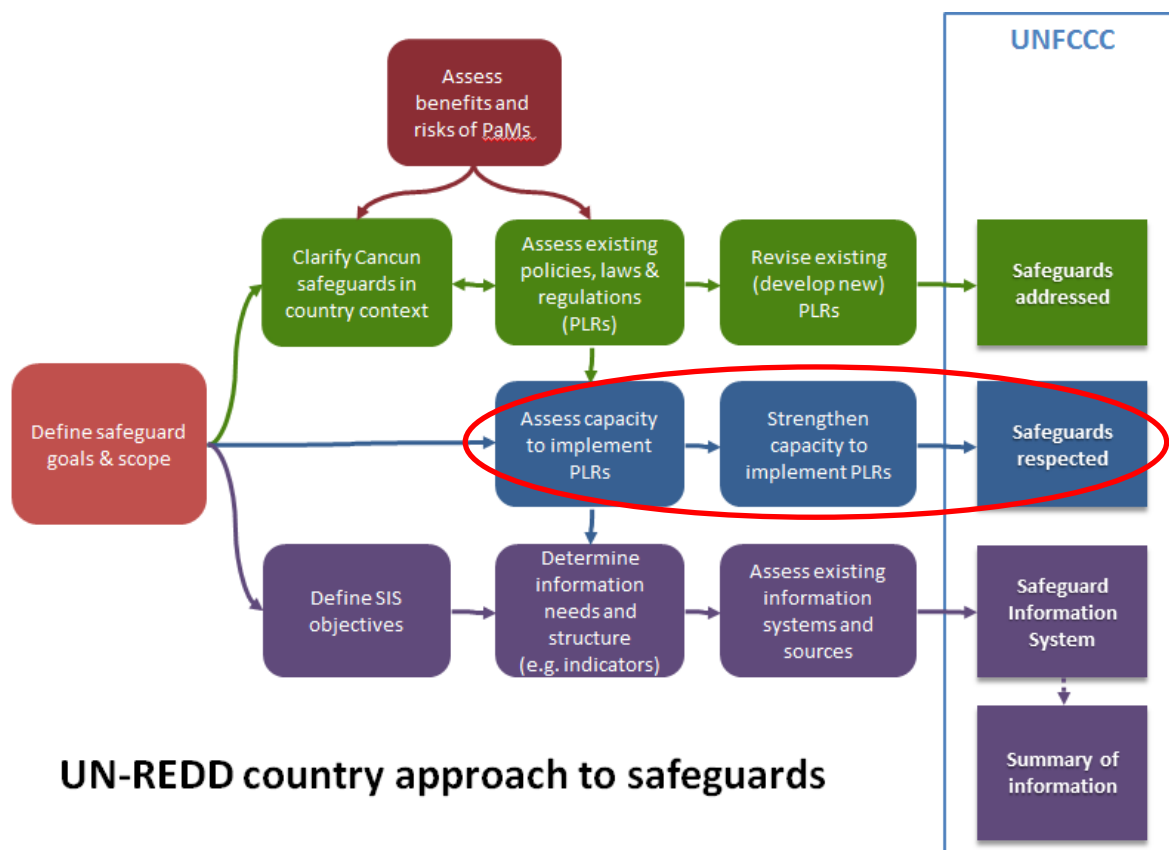
¹Note that the term “results-based payments” refers only to the basis for international transfer of funds to Viet Nam.

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

safeguards related to governance, social and environmental risks and benefits, as well as emission reductions risks. In addition, the Durban Outcome³ (Decision 12/CP.17) states that a Safeguards Information System (SIS) should provide information on how all Cancun safeguards are addressed and respected. This was reiterated by the Warsaw Framework⁴ for REDD+ (Decision 9/CP.19), that requires countries to submit, among others, summary of information on how all the safeguards have been addressed and respected before they can receive results-based financing. (See Annex 1 for a reproduction of all safeguards-relevant decisions made under the UNFCCC).

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

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



Assess capacity to implement PLRs = focus of these Terms of Reference's contribution to Viet Nam's country approach to safeguards

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

1. **Policies, laws and regulations (PLRs)**, which define, on paper, what needs to be done in order to support implementation of REDD+ actions in a manner consistent with Cancun (and other) safeguards, i.e. how safeguards are being addressed. PLRs are primarily codified statutory ordinance, but countries may also consider to include corporate environmental and social responsibility policies, industry standards and customary norms of indigenous peoples and local communities.
2. **Institutional arrangements** - their mandates, procedures and capacities to ensure that the relevant PLRs are actually implemented in practice, i.e. how safeguards are being respected. Such arrangements are typically institutionalised within public, private or civil society sectors, but may also involve arrangements to strengthen the individual capacities of citizens, including indigenous peoples and local communities, to implement and enforce relevant PLRs.
3. **Information systems**, which collect and make available information on how REDD+ safeguards are being addressed and respected throughout REDD+ implementation.

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

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

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

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

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

The major piece of work on REDD+ safeguards to date has been the development of a 'Safeguards Roadmap' for the NRAP, and which outlined the country-led approach to REDD+ safeguards. The roadmap also included a review of existing PLRs which demonstrate on paper how Viet Nam could address the Cancun safeguards (see green boxes in Figure 1 above) and identified corresponding gaps in the existing PLR framework against a generic international legal best practice interpretation of the Cancun safeguards. The logical next step is, therefore, to assess the institutional framework and capacity in place to implement and enforce Vietnam's existing legal framework, and its functionality in practice.

The Strategic Environmental and Social Assessment (SESA) under the World Bank's Forest Carbon Partnership Facility (FCPF) in Viet Nam will predominantly analyse *national* level PLRs and institutional arrangements, in relation to NRAP, through consultation with key national stakeholders. There may be similar consultations with provincial stakeholders in the six provinces⁵ of Viet Nam's proposed [Emissions Reduction Program for the FCPF Carbon Fund](#) in the North-Central Agro-Ecological zone. The SESA process will culminate in the development of an Environmental and Social Management Framework (ESMF) for the proposed Emissions Reduction Program landscape.

To complement the national analysis by FCPF, this UN-REDD Programme assessment of institutional capacity to implement PLRs relevant to REDD+ safeguards will begin by focusing at the *provincial* level, particularly provinces with completed or on-going Provincial REDD+ Action Plans (PRAP). Where relevant, and when appropriate, assessments may also be extended to the *national* level.

Both this assessment and the SESA at the national level are expected to assist Viet Nam in demonstrating how the Cancun (and, in the case of the SESA, the World Bank) safeguards are being respected, i.e. how safeguard-relevant PLRs are being implemented in practice and what are the environmental and social outcomes of these practices.

Lastly, in parallel to this assignment on capacities to implement PLRs, the UN-REDD Programme (UNEP technical lead) will also be supporting the development of Viet Nam's SIS (see purple boxes in Figure 1). The (consultative, multi-stakeholder) SIS development process, will comprise determining objectives, scope and design options, as well as institutional arrangements, information content and structure, and technological dissemination solutions for the SIS. In addition to close coordination with the FCPF SESA process, the assignment outlined in these ToR will also need to engage, and benefit from mutual exchange, with that on SIS development.

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

3) OBJECTIVE & SCOPE OF THE ASSIGNMENT

The key objective of this assignment is to ensure Viet Nam has identified the necessary institutional mandates, procedures and capacities, to implement the relevant policies, laws and regulations, as significant contribution to respecting the Cancun safeguards for REDD+ of the UNFCCC.

⁵ Thanh Hoa, Nghe An, Ha Tinh, Quang Binh, Quang Tri and Thua Thien Hue

To achieve the objective, this assignment intends:

- (i) to clarify the scope of REDD+ policies and measures at the provincial level in relation to drivers of deforestation and forest degradation analyses and other information sources;
- (ii) to preliminarily scope the potential environmental and social benefits and risks associated with proposed REDD+ policies and measures;
- (iii) to identify existing institutions and institutional mandates, procedures and capacities to implement the relevant PLRs, which address the potential environmental and social benefits and risks associated with anticipated REDD+ policies and measures;
- (iv) to recommend measures to strengthen the implementation of priority PLRs, which operationalise the Cancun safeguards, in relation to anticipated REDD+ policies and measures at the provincial level.
- (v) to recommend refinements to candidate PRAP (and possible NRAP) policies and measures to make them more environmentally sound and socially equitable in their selection, design and location
- (vi) to recommend immediate capacity needs of provincial institutions to inform capacity development interventions under UN-REDD Viet Nam Phase II Programme, Output 5.2. in 2016.

In performing the services for this assignment, the team will need to assess the implementation of the most relevant PLRs⁶, which address the Cancun safeguards, with respect to identified or anticipated environmental and social benefits and risks of provincial REDD+ policies and measures. This will focus on a review of existing institutional framework, mandates, procedures and capacities to implement the identified priority PLRs. REDD+ policies and measures will be identified in relevant Provincial REDD+ Action Plans (PRAPs), and the Emission Reduction- Project Idea Note (ER-PIN) in the case of Ha Tinh province.

The consulting team will work mainly under the supervision of National Project Director (NPD), and/or the Deputy NPD (DNPD), who takes the overall lead for the UN-REDD Phase II Programme implementation. The team will be based at PMU, and will report to the NPD and/or DNPD and UNDP Viet Nam. As mentioned above however, it will be necessary to cross-reference and discuss findings from the assessment with those of other assessments and initiatives addressing REDD+ safeguards, especially the SESA. It is important for the team to augment their own analysis and assessment with findings from other studies past and on-going. Therefore, the STWG on REDD+ Safeguards will provide a crucial forum for ensuring coherent coordination, and for the team to consult with other key stakeholders, consultants/advisers to ensure the highest possible quality and validity of the outputs. Findings from this assessment should contribute to the articulation of a national SIS. This assessment should also build on, and integrate with, the on-going development of grievance redress mechanism(s) for REDD+.

Recommendations on how to strengthen the implementation of priority PLRs (respecting safeguards) will be presented to VNFOREST, and other national stakeholders, working closely with the STWG on REDD+ Safeguards, Forest Protection Department (FPD) and Viet Nam REDD+ Office (VRO). These recommendations will then subsequently inform the refinement of interventions under UN-REDD Phase II Programme's Output 5.2 - PLRs to address and respect REDD+ safeguards operationalized.

4) TEAM COMPOSITION & TASKS ASSIGNED

In order to adequately address the objectives and scope of the assignment, it is necessary that the team is comprised of specialists with complementary specialisms covering the different types of safeguard issues highlighted in the Cancun text (i.e. governance, social and biodiversity/environmental safeguards). All team members should be familiar with the REDD+ context in Vietnam as well as the main PLRs of relevance (in their respective areas of specialisation) to REDD+ safeguards operationalisation in Vietnam.

Team leader (One international consultant): 35 days

- Lead development of methodology and joint work plan for the team across all tasks below.
- Ensure good coordination and consultation with relevant partners (especially through the STWG on REDD+ Safeguards) and work areas of the UN-REDD Programme (Forest Reference Emission Level scope; PRAP development; SIS design; Grievance Redress Mechanism assessment, etc.)
- Work closely with the core group of the STWG on REDD+ safeguards and the FCPF SESA team to ensure coherent analysis of PLRs and institutional gaps and/or to clearly frame any discrepancies which may arise between the two technical expert assessments.

⁶ Drawing on the findings of the Safeguards Roadmap (v2.0) for the National REDD+ Action Programme

- As necessary, develop questionnaires or other tools for data collection and consultation with team members and others.
- Lead and take part in field work, if necessary.
- Lead development and finalize the report to ensure the quality of work for submission.

Team members (Two national consultants): Total of 90 days; 45 days per consultant

- Discuss joint work plan.
- Facilitate consultation.
- Provide comments on methodologies, questionnaires and data collection tools.
- Lead and take part in the field work.
- Contribute to the report.

The team will jointly conduct the following specific tasks:

A. Desk Review and Action Plan (International and national consultants)

1. Review relevant international and national documentation related to the country approach to safeguards and progress on safeguards work within Viet Nam and the wider region to date;
2. Review emerging findings and recommendations from related on-going UN-REDD assignments such as FREL scope; provincial drivers/barriers assessments; PRAP development; the development of SIS; GRM assessment; as well as other safeguard-relevant initiatives such as FCPF SESA-ESMF; Clarify the scope of provincial REDD+ policies and measures in Viet Nam that would need to be safeguarded through application and implementation of relevant existing national PLRs;
3. Develop systematic methods to assess institutional mandates, processes and procedures, and existing capacities to implement priority PLRs, such as determine performance criteria or indicators or equivalent to assess the implementation of PLRs
4. Develop a work plan that stipulates consultation with key stakeholder groups and includes:
 - o Clear timeline, methods, steps, detailed activities;
 - o List of stakeholders to be consulted; and
 - o Estimated budget for activities developed in consultation with NPD and/or DNPDP, and UNDP Viet Nam.

B. Assess the institutional capacity to implement the most relevant PLRs with respect to anticipated policies and measures

- 1) Evaluate existing (where available⁷), and conduct preliminary novel (where not), environmental and social benefit and risk assessments of provincial policies and measures identified to address underlying causes of drivers and barriers in Vietnam^{8*};
- 2) Identify the PLRs, from the 60 PLRs assessed under the Safeguards Roadmap v2.0, and new PLRs not previously included in the Safeguards Roadmap v2.0, which are most relevant to the potential environmental and social benefits and risks of candidate REDD+ policies and measures⁹ at the provincial level*;
- 3) Identify and review relevant institutions¹⁰, their mandates, processes and procedures, and existing capacities at appropriate levels to implement priority PLRs in respecting the Cancun safeguards;
- 4) Iteratively soliciting stakeholder feedback on assessment findings through a variety of methods, such as provincial and national consultation workshops, key informant interviews and draft report review.*
- 5) Incorporate stakeholder feedback on findings and recommendations in a revised final report documenting: i) potential environmental and social risks and benefits of PRAP policies and measures; ii) strengthened PLR implementation arrangements to mitigate those risks/maximise benefits; iii) refinements to candidate PRAP (and possible NRAP) policies and measures to make them more environmentally sound and socially equitable in their selection, design and location; and

⁷ For example, the environmental and social impact assessment conducted for Lam Dong's PRAP, or the participatory environmental and social impact assessment piloted in outlining Binh Thuan's PRAP.

⁸ Coordinating closely with the FCPF SESA-ESMF process to incorporate potential environmental and social benefits and risks of the NRAP at the national-level

⁹ Drawing on, *inter alia*, other relevant UN-REDD assessments, notably Benefit Distribution Systems (BDS), Grievance Redress Mechanisms (GRM) and Participatory Governance Assessment (PGA), all of which are based on key existing PLRs.

¹⁰ Focus should be on state institutions at the subnational level but could, if relevant, include private sector, civil society and even local communities.

iv) immediate capacity needs of provincial institutions to inform capacity development interventions under UN-REDD Viet Nam Phase II Programme, Output 5.2. in 2016.

* Tasks requiring stakeholder consultation, on preliminary findings, through engagement of the STWG-SG.

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

Duration: Estimated 125 person-days in total for 3 consultants between August to December 2015.

Team leader (One international consultant): 35 day continuously

Team members (Two national consultants): 45 days each (total of 90 days) continuously

Duty Station: Hanoi with possible a few in-country travel. In case of travel to the provinces, separate travel arrangement will be made by the PMU or UNDP basing on the UN-EU cost norm.

6) FINAL PRODUCTS

The team will deliver the final joint products as below:

- *Product 1: Work plan approved by the NPD and UNDP Viet Nam;*
- *Product 2: Assessment of the Implementation of PLRs;*
 - Annotated Table of Contents (ToC) of the final report for iterative comment and approval by PMU and UNDP Viet Nam
 - One (1) draft report and response matrix of feedback received for the draft report; and
 - One (1) final report.
- *Product 3: Policy brief*
 - One (1) policy brief of not more than 4 pages on the key findings and recommendations.

All the outputs shall be in English.

7) PROVISION OF MONITORING AND PROGRESS CONTROLS

The selected consulting team will regularly report to the NPD and/or DNP, responsible staff in the PMU and UNDP Viet Nam on the progress of the work based on the agreed work-plan and approach. The team will also work closely with Provincial PMUs for field research in the pilot provinces, if relevant.

8) DEGREE OF EXPERTISE AND QUALIFICATIONS

Team leader (One international consultant): 35 days

- PhD or Masters in a relevant discipline, such as Political Science, Development Studies, Legal Studies, Monitoring and Evaluation, Environment/Natural Resource Governance, Rural Planning or Sociology;
- At least 15 years of relevant working experiences in the areas of natural resource management or monitoring and evaluation of development programs;
- Strong experience in assessing institutional capacity and providing strategic advices to the government at both provincial and national levels, and development partners in this related area;
- Experience working in Viet Nam provinces;
- Strong research, analysis, report-writing, policy brief compiling, facilitation, communication and interpersonal skills;
- Good understanding of UN-REDD programming modalities;
- Ability to adapt and work in politically sensitive situations;
- Proficiency in spoken and written English; and
- Knowledge and experience of Viet Nam or the region preferred.

Team members (Two national consultants): 45 days each (total of 90 days)

- Masters in a relevant discipline, such as Political Science, Development Studies, Legal/Policy Studies, Environment/Natural Resource Governance, Rural Planning, or Sociology;
- At least 10 years of relevant working experiences in the areas of natural resource management or social development;
- Strong experience in assessing institutional capacity and providing strategic advices to the government at both provincial and national levels , and development partners in this related area;
- Experience working in Viet Nam provinces;
- Strong research, analysis, report-writing, facilitation, communication and inter-personal skills;
- Ability to adapt and work in politically sensitive situations;
- Proficiency in both spoken and written English and Vietnamese; and

9) ADMIN SUPPORT AND REFERENCE DOCUMENTS

Arrangement of meetings and interviews:

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

Documentation/secondary information

All relevant project documents, publications, and materials available at PMU and UNDP relating to the work will be made available for reference (Annex 2).

10) REVIEW TIME REQUIRED AND PAYMENT TERM

- The first installment of 20% of the contract value will be paid upon submission the work-plan (Product 1) with satisfactory acceptance by UNDP and the NPD
- The second installment of 40% of the contract value will be paid upon submission of the assessment (Product 2) with satisfactory acceptance by UNDP and the NPD
- The third installment of 40% of the contract value will be paid upon submission of the policy brief (Product 3) with satisfactory acceptance by UNDP and the NPD

Payments to team members shall need certification by the team leader.

11) CONSULTANT PRESENCE REQUIRED ON DUTY STATION/UNDP PREMISES

☐ NONE ☐ PARTIAL ☒ INTERMITTENT ☐ FULL-TIME

Annex 1a: Relevant UNFCCC Decisions on Safeguards

Decision 1/CP.16 (Cancun, 2010)

69. *Affirms* that the implementation of the activities referred to in paragraph 70 below should be carried out in accordance with annex I to this decision, and that the safeguards referred to in paragraph 2 of annex I to this decision should be promoted and supported;

71. *Requests* developing country Parties aiming to undertake the activities referred to in paragraph 70 above, in the context of the provision of adequate and predictable support, including financial resources and technical and technological support to developing country Parties, in accordance with national circumstances and respective capabilities, to develop the following elements:

- d) A system for providing information on how the safeguards referred to in appendix I to this decision are being addressed and respected throughout the implementation of the activities referred to in paragraph 70 above, while respecting sovereignty;

72. *Also requests* developing country Parties, when developing and implementing their national strategies or action plans, to address, inter alia, the drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations and the safeguards identified in paragraph 2 of appendix I to this decision, ensuring the full and effective participation of relevant stakeholders, inter alia indigenous peoples and local communities;

76. *Urges* Parties, in particular developed country Parties, to support, through multilateral and bilateral channels, the development of national strategies or action plans, policies and measures and capacity-building, followed by the implementation of national policies and measures and national strategies or action plans that could involve further capacity-building, technology development and transfer and results-based demonstration activities, including consideration of the safeguards referred to in paragraph 2 of appendix I to this decision, taking into account the relevant provisions on finance including those relating to reporting on support;

Appendix 2 [the 'Cancun safeguards']

2. When undertaking the activities referred to in paragraph 70 of this decision, the following safeguards should be promoted and supported:

- a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;
- b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;
- c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;
- d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;
- e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;
- f) Actions to address the risks of reversals;
- g) Actions to reduce displacement of emissions.

Decision 12/CP.17 (Durban, 2011)

Preamble: *Noting* that guidance on systems for providing information on how safeguards referred to in appendix I to decision 1/CP.16 are addressed and respected should be consistent with national sovereignty, national legislation and national circumstances,

I. Guidance on systems for providing information on how safeguards are addressed and respected

1. *Notes* that the implementation of the safeguards referred to in appendix I to decision 1/CP.16, and information on how these safeguards are being addressed and respected, should support national strategies or

action plans and be included in, where appropriate, all phases of implementation referred to in decision 1/CP.16, paragraph 73, of the activities referred to in paragraph 70 of the same decision;

2. *Agrees* that systems for providing information on how the safeguards referred to in appendix I to decision 1/CP.16 are addressed and respected should, taking into account national circumstances and respective capabilities, and recognizing national sovereignty and legislation, and relevant international obligations and agreements, and respecting gender considerations:

- a) Be consistent with the guidance identified in decision 1/CP.16, appendix I, paragraph 1;
- b) Provide transparent and consistent information that is accessible by all relevant stakeholders and updated on a regular basis;
- c) Be transparent and flexible to allow for improvements over time;
- d) Provide information on how all of the safeguards referred to in appendix I to decision 1/CP.16 are being addressed and respected;
- e) Be country-driven and implemented at the national level;
- f) Build upon existing systems, as appropriate.

3. *Agrees also* that developing country Parties undertaking the activities referred to in decision 1/CP.16, paragraph 70, should provide a summary of information on how all of the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected throughout the implementation of the activities;

4. *Decides* that the summary of information referred to in paragraph 3 above should be provided periodically and be included in national communications, consistent with relevant decisions of the Conference of the Parties on guidelines on national communications from Parties not included in Annex I to the Convention, or communication channels agreed by the Conference of the Parties;

5. *Requests* the Subsidiary Body for Scientific and Technological Advice, at its thirty-sixth session, to consider the timing of the first presentation and the frequency of subsequent presentations of the summary of information referred to in paragraph 3 above, with a view to recommending a decision on this matter for adoption by the Conference of the Parties at its eighteenth session;

6. *Also requests* the Subsidiary Body for Scientific and Technological Advice, at its thirty-sixth session, to consider the need for further guidance to ensure transparency, consistency, comprehensiveness and effectiveness when informing on how all safeguards are addressed and respected and, if appropriate, to consider additional guidance, and to report to the Conference of the Parties at its eighteenth session;

Decision 9/CP.19 (Warsaw, 2013)

4. *Agrees* that developing countries seeking to obtain and receive results-based payments in accordance with decision 2/CP.17, paragraph 64, should provide the most recent summary of information on how all of the safeguards referred to in decision 1/CP.16, appendix I, paragraph 2, have been addressed and respected before they can receive results-based payments;

11. *Decides* that the information hub will contain, as reported through the appropriate channels under the Convention:

- c) The summary of information on how all of the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected, as referred to in decisions -/CP.199 and 12/CP.17, chapter I;

Decision 12/CP.19 (Warsaw, 2013)

The timing and the frequency of presentations of the summary of information on how all the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected

The Conference of the Parties,

Recalling decisions 17/CP.8, 1/CP.16, 2/CP.17 and 12/CP.17,

Also recalling, in particular, decision 12/CP.17, paragraph 5,

1. *Reiterates* that according to decision 12/CP.17, paragraph 3, developing country Parties undertaking the activities referred to in decision 1/CP.16, paragraph 70, should provide a summary of information on how all of the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected throughout the implementation of the activities;

2. *Also reiterates* that according to decision 12/CP.17, paragraph 4, the summary of information referred to in paragraph 1 above should be provided periodically and be included in national communications, or communication channels agreed by the Conference of the Parties;

3. *Agrees* that the summary of information referred to in paragraph 1 above could also be provided, on a voluntary basis, via the web platform on the UNFCCC website;
4. *Decides* that developing country Parties should start providing the summary of information referred to in paragraph 1 above in their national communication or communication channel, including via the web platform of the UNFCCC, taking into account paragraph 3 above, after the start of the implementation of activities referred to in decision 1/CP.16, paragraph 70;
5. *Also decides* that the frequency of subsequent presentations of the summary of information as referred to in paragraph 2 above should be consistent with the provisions for submissions of national communications from Parties not included in Annex I to the Convention and, on a voluntary basis, via the web platform on the UNFCCC website.

Annex 2b: Tentative list of documentation and secondary information

1. [Annex G of the UN-REDD Phase II Programme Document](#)
2. Application of FPIC in REDD+ Preparation and Implementation in Viet Nam UN-REDD Programme (Draft Guidelines)
3. [FCPF Carbon Fund Emission Reductions Program Idea Note \(ER-PIN\)](#)
4. [Meridien report "REDD+ Safeguards: Practical Considerations for Developing a Summary of Information"](#)
5. Provincial drivers assessment : Binh Thuan; Dien Bien; Lam Dong; Lao Cai; others
6. Provincial REDD+ Action Plan (PRAP) : Bac Kan; Binh Thuan; Dien Bien; Lam Dong; Lao Cai; others
7. [REDD+ SES publication "Lessons learned for credible and effective REDD+ Safeguards Information Systems"](#)
8. Safeguards Roadmap for Vietnam's National REDD+ Action Programme: a contribution to a country-led safeguards approach
9. [SNV "Country-Led Safeguards Approach: Guidelines for National REDD+ Programmes"](#)
10. UN-REDD 2014 Participatory Governance Assessment: Taking Stock of REDD+ Governance in Lam Dong Province, Viet Nam
11. [UN-REDD Flyer "A proposed country approach to the Cancun safeguards"](#)
12. [UN-REDD Framework document "UN-REDD framework for supporting the development of country approaches to safeguards"](#)
13. UN-REDD Interim Guideline "To Formulate the Provincial REDD+ Action Program on 'Reducing Greenhouse Gas Emissions through Efforts to Reduce Emissions from Deforestation and Forest, and Degradation Foster Conservation, Sustainable Management of Forests, and Enhancement of Forest Carbon Stocks' (PRAP) (Draft)
14. [UN-REDD Policy Brief "Putting REDD+ Safeguards and Safeguard Information Systems into Practice"](#)
15. UN-REDD REDD+ Site Based Planning Guidelines for Forest Management Board (Draft)
16. [Viet Nam's National REDD Action Programme](#)
17. [Viet Nam's Readiness Preparation Proposal](#)

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/VND

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/VND)	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