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Date: 14 September 2015

## INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

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

|  |  |
|--|--|
| Country:                                       | Viet Nam   |
| Description of the assignment:                 | International consultant for project inception phase   |
| Project name:                                  | Project 00092227 - Local Development and Promotion of LED Technologies for Advanced General Lighting in Viet Nam |
| Period of assignment/services (if applicable): | October – November 2015  |

1. Submissions should be sent by email to: [nguyen.thi.hoang.yen@undp.org](mailto:nguyen.thi.hoang.yen@undp.org) no later than: **28 September 2015 (Hanoi time)**.

**With subject line: International consultant for project inception phase - Project 00092227**

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

### **Note:**

- Any individual employed by a company or institution who would like to submit an offer in response to this Procurement Notice must do so in their individual capacity, even if they expect their employers to sign a contract with UNDP.
- Maximum size per email is **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** 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:

| <b>Consultant's experiences/qualification related to the services</b> |   |                       |
|---|---|-----------------------|
|   | <b>Criteria</b>   | <b>Maximum Points</b> |
| 1   | Minimum Master's Degree (Masters or equivalent) with knowledge in sustainable energy, environmental management or related fields  | 200                   |
| 2   | At least 7 years of relevant experience in industrial energy efficiency projects, with coordination across a broad range of stakeholders, e.g. government, NGOs, academia, technology specialists, institutes, business, and community members and related field at the national or international level | 200                   |
| 3   | Familiarity with the lighting industry, in general, and in LED lighting products manufacturing and applications, in particular  | 150                   |
| 4   | Demonstrated experience in project formulation (English language), experience in GEF project formulation would be an advantage  | 150                   |
| 5   | Demonstrated experience in project formulation (English language), experience in GEF project formulation would be an advantage  | 200                   |
| 6   | Fluency in English (spoken and written – example of written articles/publications must be provided for assessment   | 100                   |
|   | <b>TOTAL</b>  | <b>1000</b>           |

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 60% contract value will be paid upon submission the draft inception report with satisfactory acceptance by UNDP;
- The final payment of 40% will be paid upon the completion of the final inception report under the contract, with satisfactory acceptance by UNDP.

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)**

### **INTERNATIONAL CONSULTANT FOR PROJECT INCEPTION PHASE**

|                              |   |
|------------------------------|---|
| <b>Project Title:</b>        | Local Development and Promotion of LED Technologies for Advanced General Lighting in Viet Nam |
| <b>Project ID:</b>           | 00092227  |
| <b>Implementing Partner:</b> | Center for High Technology Development, Viet Nam Academy of Science and Technology (VAST)     |
| <b>Duty Location:</b>        | Hanoi (Viet Nam) with in-country travel to project sites                                      |
| <b>Duty Location:</b>        | October – November 2015   |

#### **1) GENERAL BACKGROUND**

The Viet Nam Academy of Science and Technology is implementing the Project “Local Development and Promotion of LED Technologies for Advanced General Lighting in Viet Nam” that is funded by GEF/UNDP and co-financed by selected Viet Nam agencies/institutions.

The objective of the Project is the mitigation of GHG emissions through transformation of the lighting market towards greater usage of locally produced LED lighting products in Viet Nam. This objective will be achieved by removing barriers to increased production and utilization of locally produced LED lighting products in Viet Nam. The barrier removal activities that comprise the project are grouped into two components that are intended to:

1. Transfer of skills, knowledge and technology in the manufacturing of LED lamps; and
2. Demonstrate the cost-effective local commercial production of LED lighting devices.

The Project will be implemented over a 4-year period and will promote and enable the widespread utilization of LED lamps in the country. This then will bring about GHG emission reductions from the reduced electricity generation from fossil fuel-fired power plants. The estimated direct GHG emission reduction attributable to the project is about 0.623 ktonnes CO<sub>2</sub> by end-of-project. The projected direct post-project GHG emission reductions from LED lamp applications that will be influenced by the project are about 69.38 ktonnes CO<sub>2</sub>. The estimated potential indirect GHG emission reductions are 5,154 ktonnes CO<sub>2</sub>eq (cumulative for a 10-year period after the end of the Project).

This Terms of Reference (TOR) is for the International Consultant whose services will be engaged to work on, and provide advice/guidance to the Project Management Unit (PMU), on the project inception activities.

#### **2) OBJECTIVES OF THE ASSIGNMENT**

The objectives for the assignment is to come up with the updated project implementation plan, and in the process, review and update the data and information, as well as the assumptions that were used as bases for project design. The conduct of the project inception workshop is a crucial element in the initiation of the project implementation, not only for ensuring stakeholder involvement and ownership of the project, and their commitment to the realization of the project’s objective and outcomes, but also for the preparation of the project’s Work Plan, and kicking off the project implementation.

#### **3) SCOPE OF WORK**

Under the overall supervision of the Project Manager and management oversight from the Head of Sustainable Development Cluster of the UNDP-Viet Nam Country Office, and with direct technical guidance from the Senior Technical Advisor (Climate Change Mitigation and Energy) from the UNDP-GEF EITT Team in the UNDP-Bangkok Regional Hub (UNDP-BRH), the International Consultant, in coordination with the PMU, will be responsible for carrying out the following tasks:

3.1.1. Review the project context, including recent developments and trends in the regional and national lighting industry that are relevant to implementation of the project

- Review of the approved and signed project document<sup>1</sup> and relevant policy documents related to LED lighting industry in Viet Nam to be provided by the PMU upon commencement of the assignment;
- Conduct of desktop review of the status and projections about the lighting industry in Viet Nam (covering manufacturers, R&D institutions, suppliers and markets), in general, and the LED sub-sector, in particular;
- Update data & information, as well as assumptions used as bases in the project design
- Review and update on the status of the identified barriers to the enhanced production, and utilization of LED lighting products in Viet Nam, as well as the status of the identified project risks; and
- Evaluate the current expectations about the project of the implementing partner, project stakeholders, project beneficiaries, project partners and other relevant agencies.
- Evaluate the status and implementation plans of the subsumed baseline activities of the project, including that of the co-financing.

3.1.2. Review and update project implementation strategy (including the project results framework, project outputs/activities, M&E and the risk log for the whole project period).

- Review and update the project results framework (log frame)<sup>2</sup> particularly potential changes in the project outputs and activities, the indicators and the corresponding baseline and target values for each indicator, as well as necessary changes on the associated budgets, delineation of responsibilities (i.e., implementation arrangements) and schedule of activities;
- Formulation of recommendations (including how to implement them) for the necessary adjustments of the project log frame (and all associated items as mentioned above), as well as in the Annual Targets, and in the project Tracking Tool;
- Development of a detailed M&E plan based on the initial plan presented in the Project Document and the changes/modifications that will be done specifying the more detailed delineation of the roles and responsibilities of the key players of the project e.g., VAST, PMU, and UNDP/GEF Energy, Infrastructure, Transport and Technology (EITT) team, over the whole cycle of the project;
- Propose mechanisms for ensuring quality assurance and recommendations smooth and seamless project implementation process;
- Provision of expert advice in the securing of the approval and endorsement of the project steering committee (PSC) of the agreed adjustments in the project log frame;
- Review and update project risks (possible barriers to successful project implementation and identified externalities that may reduce project effectiveness) and develop a detailed risk management and mitigation plan (based on the Risk Log that is included in the Project Document) for the entire project implementation period;
- Develop the detailed annual work plan for 2016;
- Provide inputs and comments in the preparation TORs for consultancy services required for project activities to be implemented in 2016
- Prepare the project implementation work plan, which shall be in line with the realization of the Annual Targets.

3.1.3. Based in the project design and initial budgets, re-evaluate the necessary inputs to the required activities to deliver specific outputs, and recommend any necessary changes/modifications in the required inputs (e.g., technical experts, materials). Develop the appropriate TORs for each major technical expertise that will be needed, as well as procurement packages for the purchase of necessary hardware/equipment and services.

3.1.4. Provision of expert guidance to the PMU in the design, organization and conduct of the project

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<sup>1</sup> At least the key project stakeholders shall be consulted in the project document review process.

<sup>2</sup> In consultation with the project stakeholders, recommend only relevant changes in the indicator (inclusive of baseline and target values), means of verification, and critical assumption for the project goal, objective, outcomes and outputs.

inception workshop, assist in the facilitation of the workshop. This should cover the following requirements:

- Detailed discussions on the proposed necessary adjustments on the project log frame (PPM) inclusive of the changes in activities, outputs, indicators (including baseline and target values), means of verification, critical assumptions, budgets, implementation arrangements, and schedule of activities.
- Ensuring that all project partners fully understand, commit to the objective and targets of, and take ownership of, the project.
  - o *Agreement on the detailed roles, support services and complementary responsibilities of UNDP CO and UNDP-GEF-EITT staff vis-à-vis the project team.*
  - o *Agreement on the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms.*
  - o *Agreement on the TORs for the major consultancy requirements for specific components of the project.*
- Based on the adjusted PPM (log frame) and the Project Tracking Tool, finalization of the first Annual Work Plan (AWP).
- Explicit and with specific inclusion, of gender-related activities during project implementation and monitoring.
- Detailed overview of the revised reporting, monitoring and evaluation (M&E) plans, including annual targets. The revised M&E work plan, budget and schedule should be agreed and should fit to UNDP-GEF requirements.
- Detailed overview of the financial reporting procedures and obligations, and arrangements for annual audit.
- Plan and schedule for Project Steering Committee (PSC) meetings. Roles and responsibilities of all project organisation structures should be clarified and meetings planned. The first PSC meeting will be held within the first 12 months following the Inception Workshop.
- 3.1.5. Preparation of the project inception report. The draft Inception Workshop report shall be available for review within one month after the Inception Workshop. Finalization of the Inception Report is within two months of the Inception Workshop.

**Methodology:** Interested consultants are required to present in their technical proposal the methodology that they intend to use in the performance of the abovementioned tasks. This may include: i) Conduct of desktop review of the project documents and related information within the LED Lighting sector; and, ii) Meet with, and interview, key project partners including relevant officials of the Government of Viet Nam, institutions, experts, donors and UNDP staff that will be identified and agreed by the VAST and UNDP.

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

**Duration and Timing:** Estimated 20 working days during the period October – November 2015

**Duty station:** Home based and Hanoi with expected travel to project sites

The detailed schedule will be developed and agreed with UNDP and the PMU before commencement of the consultancy assignment. The assignment shall include at least 5 working days mission in Ha Noi, Viet Nam (estimated during October 2015). In case of in-country travel (if needed), travel costs will be covered by the project based on the UN-EU cost norm.

#### 5) DELIVERABLES

During the Inception Phase, the consultant shall deliver the following:

- a. A detailed work-plan for the consultancy assignment with proposed methodology detailing the steps that will be carried out, shall be submitted and discussed with the PMU/VAST and UNDP staff, within one week upon the signing of the contract.
- b. Delivery of the presentation at the inception workshop. Expected date for the one day inception workshop is during the 2<sup>nd</sup> half of October 2015.

- c. Minutes of the inception workshop, which include inputs/comments from various stakeholders.
- d. Draft inception report to be available within 2 weeks after the mission.
- e. Final inception report.

The Project Inception Report shall be written in English and contains the following key elements:

- *Introduction/Executive Summary*
- Rationale for adjustments made on the Project Document and project log frame (PPM)
- Adjustments made on the Project Document, which could include the following:
  - Update on the project strategy, outcomes and priority areas.
  - Revised PPM showing changes/modifications in output statements, indicators (including baseline and target values), means of verification, and critical assumptions
  - Amendments on the project outputs and activities, as well as the corresponding changes in budget, activity implementation arrangements (delineation of roles/responsibilities), and schedule of activities.
- Updates on key issues and recommendations.
- Detailed Annual Work Plan for project 2nd year (2016) as well as UNDP Atlas budget for 2015-16 and including multi-year plan.
- Overall project implementation arrangement, including suggestions for office set-up, staffing, and key technical expertise required for the project implementation.
- Methodology and approaches that will be applied in the project, including for data generation and analysis
- TORs for key technical services consultancies, and materials and equipment purchases.
- f. An ATLAS risk management log for the project and UNDP.

The inception report will be accepted by VAST and UNDP based on it being satisfactory in accordance with the following criteria:

- Major issues are identified and addressed based on a full consultative process involving stakeholders;
- Findings or recommendations for changes are presented clearly and backed by evidence based justification and are action oriented;
- All key stakeholders of the project are consulted and their feedback is addressed in the inception phase report;
- The reports are well written and presented in English.

## **6) PROVISION OF MONITORING AND PROGRESS CONTROLS**

The selected Consultant will work closely with PMU staff (Project Manager, National Technical Advisor) and the UNDP Programme Officer with regular consultation and guidance by the UNDP Head of Sustainable Development Cluster and the National Project Director (NPD).

PMU and UNDP staff will support the Consultant on logistical and administrative issues as well as in the organization and arrangement of meetings; share relevant documents including ProDoc and relevant policy documents and oversee the Consultant on the completion of the inception phase.

## **7) DEGREE OF EXPERTISE AND QUALIFICATIONS**

The International Consultant shall have the following qualifications:

Education:

- Minimum Master's Degree (Masters or equivalent) with knowledge in engineering, energy, sustainable development, environmental management and other related fields.

Experience:

- At least 7 years of relevant experience managing industrial energy efficiency projects, with coordination across a broad range of stakeholders, e.g. government, NGOs, academia, technology specialists, institutes, business, and community members and related field at the national or international level;

- Familiarity with the lighting industry, in general, and in LED lighting products manufacturing and applications, in particular;
- Demonstrated experience in project formulation (English language), experience in GEF project formulation would be an advantage;
- Demonstrated experience in providing management advisory services, and;
- Demonstrated track record in the design, monitoring and evaluation of development projects and establishing/facilitating relationships between international organizations and national governments.

Language Requirements:

- Fluency in English (spoken and written – example of written articles/publications must be provided for assessment).

## 8) ADMINISTRATIVE SUPPORT AND REFERENCE DOCUMENTS

### Documents/ secondary documents

Copies of following documents will be made available to the Consultant upon commencement of the assignment by the VAST/PMU, as well as UNDP-Viet Nam:

- a. Project Documents and documents of relevant policies;
- b. Viet Nam - United Nations Harmonized Programme and Project Management Guidelines (HPPMG); and
- c. Contact list of key stakeholders of the project.

### Arrangement of meetings and interviews:

Administrative support will be provided by the PMU. PMU shall arrange and conduct all relevant meetings and interviews.

### Cooperation and responsibilities between international and national experts

The Consultant is expected to communicate with the PMU via email and/or Skype and will team up with PMU staff during the mission in Viet Nam.

## 9) ADMINISTRATIVE SUPPORT AND REFERENCE DOCUMENTS

- The first instalment of 60% contract value will be paid upon submission the draft inception report with satisfactory acceptance by UNDP;
- The final payment of 40% will be paid upon the completion of the final inception report under the contract, with satisfactory acceptance by UNDP.

## 10) CONSULTANT PRESENCE REQUIRED ON DUTY STATION/UNDP PREMISES

☐ NONE ☒ PARTIAL ☐ INTERMITTENT ☐ FULL-TIME



## **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).....  |                |            |       |
|     | <b>TOTAL</b>  |                |            |       |

*\* 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