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Date: 23 June 2016

## INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

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

Country:	Viet Nam
Description of the assignment:	International Consultant to provide assistance in preparing Viet Nam's first REDD+ safeguards Summary of Information
Project name:	UNREDD Vietnam Phase II Programme
Period of assignment/services (if applicable):	August – December 2016

1. Submissions should be sent by email to: [huynh.huong.thanh@undp.org](mailto:huynh.huong.thanh@undp.org) no later than: **7 July 2016 (Hanoi time)**.

**With subject line: International Consultant to provide assistance in preparing Viet Nam's first REDD+ safeguards Summary of Information**

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** 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 the above currency 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	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;	150
3	Strong experience providing strategic advice and dealing with the government and development partners;	200
4	Experience in implementing Safeguards assignments, preferable that in SIS development and institutional assessment;	150
5	Experience working in Viet Nam at central level and provinces;	100
6	Strong research, analysis, report-writing, facilitation, communication skills;	100
7	Good understanding of UNDP/UN-REDD programming modalities;	50
8	Demonstrated to be able to work in politically sensitive situations	50
	<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.

- 30% of contract amount shall be paid upon submission of the consultation plan (Product 1) with satisfactory acceptance by UNDP and the NPD
- 50% of contract amount shall be paid upon submission of the final draft summary of information (Product 3) with satisfactory acceptance by UNDP and the NPD
- 20% of contract amount shall be paid upon submission of the policy brief (Product 4) with satisfactory acceptance by UNDP and the NPD

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

<b>TITLE</b>	01 international consultant to provide assistance in preparing Viet Nam's first REDD+ safeguards Summary of Information
<b>Project ID and title</b>	UN-REDD Vietnam Phase II Programme
<b>Duty Station</b>	Home based and Ha Noi
<b>Duration of Appointment</b>	30 workdays between August and December 2016
<b>Reporting</b>	UNDP 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 (VNFORD) 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 payments (RBPs)<sup>1</sup> 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

VNFORD 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).

<sup>1</sup>Note that the term "results-based payments" refers only to the basis for international transfer of funds to Viet Nam.

## 2) BACKGROUND TO THE ASSIGNMENT

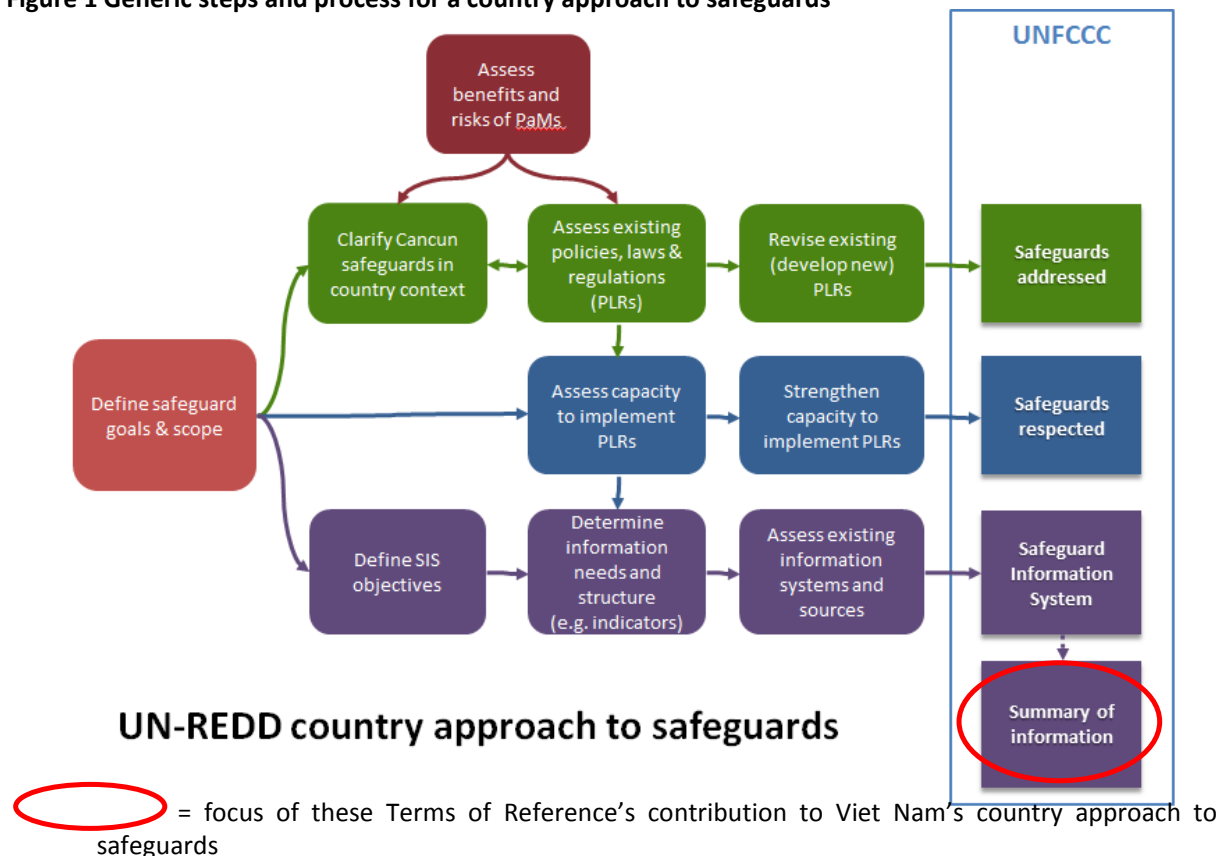
### UNFCCC requirements on REDD+ safeguards:

The Cancun Agreements<sup>2</sup> (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 safeguards related to governance, social and environmental risks and benefits, as well as emission reductions risks. In addition, the Durban Outcome<sup>3</sup> (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 Framework<sup>4</sup> 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 access result-based payments (RBPs).

Developing countries seeking to receive RBPs for REDD+ should provide the most recent summary of safeguards information, to be made publically available, after the start of the implementation of REDD+ activities. Once the first summary of information has been submitted, the frequency of subsequent summaries should be consistent with the provisions for submissions of national communications, i.e. at least once every four years for developing countries<sup>i</sup>. Additionally, a country may submit a summary of information directly to the [UNFCCC REDD+ web platform](#)<sup>ii</sup> at any time. There is no UNFCCC-required *structure* for a country's summary of safeguards information. Guidance on the *content* of summaries of information, however, has been adopted by CoP21<sup>5</sup>.

**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**



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

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

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

<sup>5</sup> [UNFCCC Decision 17/CP.21](#).

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 ethnic minorities 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 ethnic minorities 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.

In addition to responding to UNFCCC requirements as short-term objective, a country approach to safeguards allows countries to consider further long-term objectives, such as to contributing to the enhancement of relevant mechanisms, policy, and law enforcement in forestry sector and forestry sector governance system in Viet Nam.

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 Viet Nam REDD+ Office 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 in June 2014, 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.

Subsequent to this initial PLR assessment, the UN-REDD Viet Nam National Programme Phase II has instigated two parallel assignments making significant contributions to the country's approach to safeguards: 1) an initial assessment of institutional capacities to implement priority PLRs (see blue boxes in Figure 1 above); and 2) a consultative, multi-stakeholder SIS design process (see purple boxes in Figure 1 above).

In addition to these ongoing UN-REDD assignments on safeguards, the World Bank-administered Forest Carbon Partnership Facility (FCPF) is conducting a Strategic Environmental and Social Assessment (SESA) focusing on 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 this proposed Emissions Reduction Program landscape.

**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

This International Consultant (IC) will be assisted by a national consultant who is in parallel recruited by Programme Management Unit (PMU) of the programme.

The team led by the IC is expected to assist VNFOREST-VRO in compiling Viet Nam's first summary of information on REDD+ safeguards through identifying, compiling and structuring relevant information in accordance with UNFCCC guidance.

To achieve the objective, this assignment intends to:

- (i) describe each UNFCCC safeguard in accordance with national circumstances, drawing on the most recent iteration of the country "clarification of the UNFCCC safeguards" document;
- (ii) describe existing systems and processes relevant to addressing and respecting safeguards, notably the process to develop a SIS, in accordance with national circumstances;
- (iii) provide information on which PaMs, under each of the relevant REDD+ activities, are to be included in the summary of information; and how each of the UNFCCC (and other relevant) safeguards could be addressed and respected when PaMs implementation commences; and
- (iv) determine, through a consultative process, what information on national circumstances is relevant to addressing and respecting UNFCCC (and other relevant) safeguards; any other relevant information on the UNFCCC (and other relevant) safeguards could be included in the first summary of information.
- (v) Review the progress of PLRs and SIS consultancy and identify gaps to be filled in order to meet SOI requirements;

The team will work directly with the safeguards team within VRO and UN-REDD programme Management Unit, under the supervision of the Chief Technical Advisor, and reporting directly to the Deputy National Programme Director (DNPD), who takes the overall lead for the UN-REDD Phase II Programme implementation. Technical backstopping will be provided by the UN-REDD Programme's Safeguards Coordination Group (SCG). It will be necessary to draw, as much as practically possible, on other major safeguards assessments recently completed, or being conducted in parallel to this one, notably:

- MB-REDD safeguards roadmap, v2.0, for Vietnam's National REDD+ Action Programme: a contribution to a country-led safeguards approach, June 2014
- Participatory Governance Assessment (PGA): taking stock of REDD+ Governance in Lam Dong province, Viet Nam 2014; and on-going PGA process in Lao Cai, Ha Tinh, Lam Dong and Ca Mau provinces
- NRAP update and revision process
- Ethnic minority network facilitated by UN-REDD programme to ensure participation in REDD+ at all levels (programme executive board, provincial and local level)
- UN-REDD assessment of the institutional capacity to implement relevant policies, laws and regulations with respect to REDD+ safeguards;
- UN-REDD assignment to develop a framework for a SIS;
- UN-REDD review of grievance redress mechanisms (GRMs) and proposed design options for GRMs applied to implementation of REDD+ activities at national and (pilot) provincial levels; and
- FCPF Strategic Environmental and Social Assessment (SESA) and resultant Environmental and Social Management Framework (ESMF) for the proposed subnational Emissions Reduction Program.

The STWG-SG will provide a crucial forum for ensuring consultation with key national-level stakeholders on the possible contents and structure of Viet Nam's first summary of information.

#### 4) TASKS ASSIGNED

The team led by the IC will jointly conduct the following specific tasks:

##### A. Developing a consultation plan for the summary of information

- 1) Assisting VRO/PMU to develop a consultation plan that stipulates engagements with selected key stakeholder groups on draft iterations of the summary of information and includes:
  - Clear timeline, methods, steps, detailed activities;
  - List of key stakeholders to be consulted
- 2) Assisting PMU in 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.
- 3) Incorporating stakeholder feedback on draft iterations of the summary of information in revised versions

##### B. Reviewing existing information to be included in the summary

- 1) Understanding relevant international guidance related to the preparation of summaries of information, together with wider concepts and experiences of country approaches to safeguards
- 2) Identifying which PaMs, under each of the relevant REDD+ activities, are to be included in the summary of information, drawing on the existing, and latest draft iteration of the revised NRAP; endorsed and draft PRAPs; ER-PIN and latest draft of the proposed Emissions Reduction Program
- 3) Determining, through existing studies and a consultative process, what information on national circumstances is relevant to addressing and respecting UNFCCC (and other relevant) safeguards, including, *inter alia*:
  - The **goals** of the country's approach to safeguards – divide into short-term objective (2016-2020) and long-term objective (after 2020). Of which, the short-term objective will concentrate on addressing and respecting the Cancun safeguards. The long-term objective is not only in compliance with Cancun safeguards but also contributing to the enhancement of relevant mechanisms, policy, and law enforcement in forestry sector; and forestry sector governance system in Viet Nam.
  - The **scope** of safeguards application –the safeguards will be applied to those PaMs included in the NRAP and PRAPs, and to related prioritized actions in the forestry and/or other relevant land-use sectors
  - The main environmental and social **benefits and risks** identified for each PaM being implemented under the NRAP/PRAPs – what priority environmental and social issues are to be safeguarded, and why?
- 4) Describing each UNFCCC safeguard in accordance with national circumstances, drawing on the most recent iteration of the country 'clarification of the UNFCCC safeguards' document
- 5) Summarising existing systems and processes relevant to addressing and respecting safeguards, in accordance with national circumstances, which could include, but not be limited to:
  - Viet Nam's country approach to safeguards
  - SIS design process, development status and plans for operation
  - FCPF SESA-ESMF
- 6) Compiling information on how each of the UNFCCC (and other relevant) safeguards could be addressed and respected when PaMs implementation commences, focusing on the following key



governance elements:

- Existing statutory *PLRs*<sup>6</sup>, which could, on paper, address safeguards when it comes to the implementation of PaMs (key resource document – ‘Safeguards roadmap v2.0’);
  - Existing state institutional capacities<sup>7</sup> which could, in practice, contribute to respecting safeguards when it comes to the implementation of PaMs (key resource document – ‘Respecting REDD+ safeguards in Viet Nam: a preliminary assessment of institutional capacities to implement relevant policies, laws and regulations’);
  - Existing systems<sup>8</sup> and sources of information, together with GRMs and PGA, that could demonstrate that safeguards are being addressed and respected throughout PaMs implementation (key resource documents – ‘SIS framework document’ and ‘Development of GRMs for REDD+ in Viet Nam’ and PGA report); and
  - Existing gaps, weaknesses and inconsistencies in the relevant PLRs, institutional capacities, information systems/sources and GRMs, together with plans to fill gaps<sup>9</sup>, overcome weaknesses and resolve inconsistencies, which could improve how safeguards are addressed and respected in the future<sup>10</sup>.
- 7) Identifying any other relevant information on the UNFCCC (and other relevant) safeguards that could be included in (or accessed from) the first summary of information, such as:

quality and credibility of summaries of information could be further ensured by including (or providing access to) supplementary information as relevant or applicable, such as :

- the process of how the summary of information was produced;
- the processes of SIS design, development and plans for operation;
- the process of developing the country’s approach to safeguards;
- subnational elements of safeguards application and SIS operations under PRAPs;
- monitoring provisions put in place for safeguards;
- other safeguards processes (notably, FCPF SESA-ESMF) and their interlinkages;
- channels and mechanisms for stakeholders to provide feedback on draft summaries;
- plan to improve on how safeguards are to be addressed and respected with progress in implementation these plans reported in subsequent SOI; and
- further sources of information such as annexes or hyperlinks to websites, databases, etc.

### C. Drafting an indicative summary of information

- 1) Preparing an annotated Table of Contents (see inductive Table of Contents in Annex 1) of the summary of information as a vehicle for initial discussion among priority stakeholders, notably:
  - Government of Viet Nam (VNFOREST and VRO)
  - UN-REDD National Programme Phase II PMU
  - Safeguards core group
  - STWG-SG
- 2) Revising the Table of Contents iteratively, in response to multiple rounds of stakeholder feedback, as determined in the stakeholder consultation plan

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<sup>6</sup> In addition to any relevant government plans and programmes to implement the PLRs; corporate environmental and social responsibility policies or industry sustainability standards in the private sector; and customary norms of ethnic minorities and local communities.

<sup>7</sup> Mandates, procedures, financial, human and technological resources

<sup>8</sup> Including, *inter alia*, links between the SIS and the national forest monitoring system, particularly in relation to Cancun safeguards (e - conservation of natural forests), (f – reversals of emissions reductions) and (g - displacement of emissions)

<sup>9</sup> e.g. PLR reforms, institutional capacity strengthening; modification or development of novel information systems and GRMs, etc.

<sup>10</sup> And could be reported in future summaries to improve the information provided, taking into account the stepwise approach

- 3) Preparing a draft summary of information, once stakeholder agreement has been reached on contents and structure, as captured in the final annotated Table of Contents
- 4) Revising the draft summary of information, iteratively in response to multiple rounds of stakeholder feedback, as determined in the stakeholder consultation plan
- 5) Submitting a final draft summary of information to UN-REDD/VRO for further internal revision by relevant responsible agencies in the national government of Viet Nam
- 6) Follow-up actions on the revision and update of subsequent SOI after its first provision; and taken into account feedbacks from international community.

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

**Duration:** Estimated 30 workdays in total between August and October 2016 for the IC with the expectation that she/he will spend 15 days working in Vietnam at least.

**Duty Station:** home based and Hanoi. In case of travel to the provinces, separate travel arrangement including DSA will be made by the PMU or UNDP basing on the UN-EU cost norm.

## 6) FINAL PRODUCTS

The IC is expected to lead the team to deliver the final joint products as below (for approval by PMU and UNDP Viet Nam):

- *Product 1: Detailed working plan with breakdown timeline towards the final deadline of November 2016*
- *Product 2: Annotated Table of Contents for the summary of information;*
- *Product 3: Final draft summary of information submitted to VRO;*
- *Product 4: Policy brief/blog/newsletter article on the process, experiences and lessons learnt in developing Viet Nam's first summary of information*

The primary language of the assignment should be in English. PMU will support for translation and corrected by national consultants for ease of quality consultations. However, quality English version will be updated across the assignment – to be specified in the consultation plan – to ensure proper consultation and quality assurance.

All the final products shall be delivered in both Vietnamese and 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.

## 8) DEGREE OF EXPERTISE AND QUALIFICATIONS

*Team leader (One international consultant):*

- 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 providing strategic advice and dealing with the government and development partners;
- Experience in implementing Safeguards assignments, preferable that in SIS development and institutional assessment;
- Experience working in Viet Nam at central level and provinces;
- Strong research, analysis, report-writing, facilitation, communication and inter-personal skills;
- Good understanding of UNDP/UN-REDD programming modalities;
- Ability to adapt and work in politically sensitive situations;
- Proficiency in spoken and written English; 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/VRO support when it is necessary.

### **Documentation/secondary information**

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

## 10) REVIEW TIME REQUIRED AND PAYMENT TERM

- The first instalment of 30% of the contract value will be paid upon submission of the consultation plan (Product 1) with satisfactory acceptance by UNDP and the NPD
- The second instalment of 50% of the contract value will be paid upon submission of the final draft summary of information (Product 3) with satisfactory acceptance by UNDP and the NPD
- The third instalment of 20% of the contract value will be paid upon submission of the policy brief (Product 4) with satisfactory acceptance by UNDP and the NPD

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

☐ NONE
 ☐ PARTIAL
 ☒ INTERMITTENT
 ☐ FULL-TIME

**Annex 1: Indicative annotated table of contents of Viet Nam's first summary of information on how REDD+ safeguards could be addressed and respected**

**1. INTRODUCTION**

- Concise overview of Viet Nam's understanding of UNFCCC safeguards requirements
- Explanation of what is meant by 'addressing' and 'respecting' safeguards in a Vietnamese context
- Presentation of purpose of this summary of information
- Brief explanation of why Viet Nam is submitting a summary of information at this stage in its readiness process
- Present NRAP, NRAP revision process and on-going PRAP processes
- Outline contents of the summary

**2. REDD+ ACTIVITIES, POLICIES AND MEASURES**

- Very short overview of Viet Nam's national forest estate in terms of quantity (forest cover), quality and recent/projected trends in terms of both
- Overview of priority drivers of deforestation and forest degradation, together with barriers to plus activities
- List REDD+ activities as defined in '*Viet Nam's Submission on Reference Levels for REDD+ Results Based Payments under the UNFCCC submission*'
- Summarise priority PaMs, identified under the revised NRAP and approved PRAPS, under each REDD+ activity

**3. NATIONAL CIRCUMSTANCES**

**3.1 Goals of the country's approach to safeguards**

- Safeguards frameworks adopted by Viet Nam for application to REDD+ PaMs – UNFCCC (Cancun) World Bank, Green Climate Fund, bilateral donors, etc.?
- Explicit statements of anticipated/targeted sources of RBPs, e.g. FCPF Carbon Fund for North Centre; Norway-Viet Nam Joint Declaration for UN-REDD pilot provinces
- Summarise strategic options and investment portfolio for RBAs (PaMs)

**3.2 Scope of safeguards application**

- safeguards be applied only to those PaMs included in the NRAP and PRAPS, or to broader actions in the forestry and/or other relevant land-use sectors

**3.3 Scale of safeguards application**

- Confirm national scale of REDD+, and therefore safeguards, application, as indicated in revised NRAP, noting subnational, provincial operationalisation through PRAPS

**3.4 Environmental and social benefits and risks of proposed policies and measures**

- Using summary tables to present information on benefits and risk (columns) against priority PaMs (rows)

**4. DESCRIPTION OF EACH SAFEGUARD IN ACCORDANCE WITH NATIONAL CIRCUMSTANCES**

- Based on, or adopting the '*Draft clarification of the Cancun Safeguards in accordance with Viet Nam's national circumstances*' document
- Consider use of: tabular formats of 'core elements'/'key terms' (columns) against Cancun safeguards (rows); one-page 'factsheets', one sheet per safeguard; or simple list of core elements/key terms under each Cancun safeguard

**4.1.1 Safeguard (a) – national and international policy coherence**

- 4.1.2 Safeguard (b) – transparent and effective national forest governance
- 4.1.3 Safeguard (c) - indigenous peoples’ and local communities’ rights
- 4.1.4 Safeguard (d) - full and effective participation of relevant stakeholders
- 4.1.5 Safeguard (e) - conservation of natural forests and biological diversity
- 4.1.6 Safeguard (f) - risks of reversals
- 4.1.7 Safeguard (g)- displacement of emissions

## 5. DESCRIPTION OF EXISTING SYSTEMS AND PROCESSES RELEVANT TO ADDRESSING AND RESPECTING SAFEGUARDS

### 5.1 Viet Nam’s country approach to safeguards – key elements and process (including any subnational elements related to PRAPs)

- Concise narrative of what has been done, what is ongoing, and what is planned for the near future in terms of Viet Nam’s efforts to meet UNFCCC (and other) REDD+ safeguards requirements (articulating all the steps - past, present and future – into a clear and coherent country approach to safeguards)

### 5.2 SIS design process, development status and plans for operation

- Summarise the process of SIS development so far, together with plans for completion
- Present how existing systems/sources of information will demonstrate that safeguards are being addressed and respected throughout PaMs implementation
- Including any subnational elements
- Articulate any linkages with the NFMS and GRMs applied or developed for REDD+
- Clearly explain how future summaries of information will be products of, and informed by, the SIS
- Key resource documents – ‘SIS framework document’ and ‘Development of GRMs for REDD+ in Viet Nam’

### 5.3 FCPF SESA-ESMF

## 6. INFORMATION ON HOW EACH OF THE SAFEGUARDS WILL BE ADDRESSED AND RESPECTED

### 6.1 Addressing safeguards

- Cancun safeguard by Cancun safeguard narrative summaries, using criteria and or indicators as desired
- Existing statutory PLRs, which could, on paper and in practices , address safeguards when it comes to the implementation of PaMs (key resource document – ‘Safeguards roadmap v2.0’ and “ **Assess the Institutional Capacity to Implement Relevant Policies, Laws and Regulations with respect to REDD+ Safeguards** )
- Existing gaps, weaknesses and inconsistencies in the relevant PLRs, together with plans for improvement

- 6.1.1 Safeguard (a)
- 6.1.2 Safeguard (b)
- 6.1.3 Safeguard (c)
- 6.1.4 Safeguard (d)
- 6.1.5 Safeguard (e)
- 6.1.6 Safeguard (f)
- 6.1.7 Safeguard (g)

### 6.2 Respecting safeguards

- Cancun safeguard by Cancun safeguard narrative summaries, using criteria and or indicators as desired

- Existing state institutional capacities, which could, in practice, contribute to respecting safeguards when it comes to the implementation of PaMs
- Existing gaps, weaknesses and inconsistencies in institutional capacities to implement key PLRs, together with plans for improvement
- Indicate how outcomes of priority PLR implementation could be monitored once Viet Nam commences implementation of PaMs, and how these outcomes will be reported in future summaries of information
- Key resource document – ‘*Respecting REDD+ safeguards in Viet Nam: a preliminary assessment of institutional capacities to implement relevant policies, laws and regulations*’

- 6.2.1 Safeguard (a)
- 6.2.2 Safeguard (b)
- 6.2.3 Safeguard (c)
- 6.2.4 Safeguard (d)
- 6.2.5 Safeguard (e)
- 6.2.6 Safeguard (f)
- 6.2.7 Safeguard (g)

## 7. SUMMARY OF INFORMATION DEVELOPMENT PROCESS

- including channels and mechanisms for stakeholders to provide feedback on draft iterations

## 8. REFERENCES AND BIBLIOGRAPHY

- List references and other relevant sources of information in the public domain, together with hyperlinks to online resources
- Could include the following key documents if available at the time of submitting the summary:
  - FCPF strategic environmental and social assessment (SESA)
  - FCPF environmental and social management framework (ESMF)
  - Development of grievance redress mechanisms for REDD+ in Viet Nam
  - Respecting REDD+ safeguards in Viet Nam: a preliminary assessment of institutional capacities to implement relevant policies, laws and regulations
  - Safeguards information system framework document
  - Safeguards roadmap v2.0 (PLR assessment)

## 9. ANNEXES

- If NRAP revision and PAMs development allow, could include summary ‘mater table’ along the lines of:

REDD+ activity	PaM	Benefits	Risks	Addressing safeguards (key PLRs)	Respecting safeguards (implementation of PLRs)	[Outcomes of implementation]	Relevant Cancun safeguard

<sup>i</sup> UNFCCC Decision 12/CP.17, paragraph 4. Available at: <http://unfccc.int/resource/docs/2011/cop17/eng/09a02.pdf>.

<sup>ii</sup> UNFCCC Decisions 12/CP.17, paragraph 3. Available at: <http://unfccc.int/resource/docs/2011/cop17/eng/09a02.pdf>. UNFCCC Decision 9/CP.19, paragraph 11. Available at: <http://unfccc.int/resource/docs/2013/cop19/eng/10a01.pdf#page=24>.

## **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).

#### **Cost breakdown:**

<b>No.</b>	<b>Description</b>	<b>Number of days</b>	<b>Rate (USD)</b>	<b>Total</b>
1	Consultancy fee			
2	Out of pocket expenses			
2.1	Travel			
2.2	Per diem			
2.3	Full medical examination and Statement of Fitness to work for consultants from and above 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