

9 August 2021

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 research on illicit financial flows in Mekong Sub-Region	
Period of assignment/services (if applicable):	September 2021 – December 2022 (67 working days)	
Duty Station:	Homebased with travel to Mekong Sub-Region	
Tender reference:	A-210802	

1. Submissions should be sent by <u>email</u> to: <u>bid.submission.vn@undp.org</u> no later than:

23.59 hrs., Monday 23 August 2021 (Hanoi time)

With subject line:

A-210802 International Consultant for research on illicit financial flows in Mekong Sub-Region

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 30 MB.
- Any request for clarification must be sent in writing, or by standard electronic communication to the address or e-mail indicated above. Procurement Unit UNDP Viet Nam will respond in writing or by standard electronic mail and will send written copies of the response, including an explanation of the query without identifying the source of inquiry, to all consultants.
- After submitting proposal, bidder should send notification by email (without attachment) to: <u>procurement.vn@undp.org</u> informing that the bidder has submitted proposal. UNDP will not be responsible for the missing of proposal if the bidder does not send notification email to above address.

- Female consultants are encouraged to bid for this required service. Preference will be given to equally technically qualified female consultants.

2. Please find attached the relevant documents:

- <u>Term of References</u>......(Annex I)
- <u>Reimbursable Loan Agreement</u> (for a consultant assigned by a firm)......(Annex III)

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

a. Technical component:

- Signed Curriculum Vitae
- Signed Letter to UNDP Confirming Interest and Availability (format of Letter in Annex IV)
- 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 (including name, title, email, telephone number, address...)

b. Financial proposal (with your signature):

- The financial proposal shall specify a total lump sum amount in <u>US dollar for International</u> <u>Consultant</u> including consultancy fees and all associated costs i.e. airfares, travel cost, meal, accommodation, tax, insurance etc. – see format of financial offer in Annex V.
- Please note that the cost of preparing a proposal and of negotiating a contract, including any related travel, is not reimbursable as a direct cost of the assignment.
- If quoted in other currency, prices shall be converted to the above currency at UN Exchange Rate at the submission deadline.

4. Evaluation

The technical component will be evaluated using the following criteria:

International Consultant

Ev	Evaluation Criteria	
1	Advanced university degree (Master's degree or equivalent) in law, social sciences, international relations, security studies, criminology or closely related fields.	50
2	A minimum of five (5) years of progressively responsible professional experience in areas directly connected peace/security, law enforcement, prosecution, criminal justice, including in their cross-border aspects.	100
З	Experience in investigative field research and analysis in relation to organized crime, illicit financial flows and/or corruption.	400
4	Experience in conducting field research on the above-mentioned topics in the Asia-Pacific region.	200
5	Experience as a published author or acknowledged contributor to publications.	150
6	Experience with secured web-based information management systems.	50
7 Fluency in English. Working knowledge of (an)other UN language(s)		50
	Total	1,000

A two-stage procedure is utilized in evaluating the submissions, with evaluation of the technical components being completed prior to any price proposals being opened and compared. Interview with the shortlisted candidates will be conducted at the technical evaluation stage.

The price proposal will be opened only for submissions that passed the minimum technical score of 70% of the obtainable score of 1000 points in the evaluation of the technical component. The technical component is evaluated on the basis of its responsiveness to the Term of Reference (TOR). Maximum 1000 points will be given to the lowest offer and the other financial proposals will receive the points inversely proportional to their financial offers. i.e. Sf = 1000 x Fm / F, in which Sf is the financial score, Fm is the lowest price and F the price of the submission under consideration.

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

Submission obtaining the highest weighted points (technical points + financial points) will be selected subject to positive reference checks on the consultant's past performance.

5. Contract

"Lump-sum" Individual Contract will be applied for freelance consultant (Annex II) "Lump-sum" RLA will be applied for consultant assigned by firm/institution/organization (Annex III)

Documents required before contract signing:

- International consultant whose work involves travel is required to complete the courses on BSAFE which is the new online security awareness training and submit certificate to UNDP before contract issuance.

Note: In order to access the courses, please go to the following link: https://training.dss.un.org

- Full medical examination and Statement of Fitness to work for consultants from and above 65 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 upon acceptance by UNDP of the deliverables specified the TOR.

Payments are based upon outputs, i.e. upon delivery of the products specified in the TOR.

If two currencies exist, UNDP exchange rate will be applied at the day UNDP instructs the bank to effect the payment.

7. Your proposals are received on the basis that you fully understand and accept these terms and conditions.



TERMS OF REFERENCE

INTERNATIONAL CONSULTANT

Name of service:	Research Consultant		
Project:	Regional Programme for South	neast Asia	
Reporting to:	Anti-corruption Advisor		
Duty Station:	Home-based Travel Required: Yes (Mekong Sub-Region)		
Duration of Assignment:	67 days over a 16-month period		
Start Date:	1st September 2021End Date:31st December 2022		

I. BACKGROUND & PROJECT DESCRIPTION

Some of the key threats to development in Southeast Asia stem from transnational organized crime (TOC), and these threats are becoming increasingly integrated within the region itself, as well as with neighbouring and connected regions, giving it a global dimension.

TOC in the region involves numerous illicit products, flows and crime types, including trafficking in persons and smuggling of migrants, illicit drugs and weapons trade, wildlife and timber trafficking, falsification of official documents, smuggling of cigarettes and counterfeit products, kidnapping for ransom, and extortion. In 2019, UNODC published its Transnational Organized Crime Threat Assessment (TOCTA) that estimated the main illicit trafficking flows in the region at US\$ 130 billion per year. This marks a 30% increase compared to the TOCTA conducted in 2013 on the same crime types.

The resulting illicit financial flows have a major impact on development and stability in the region. In this regard, one of the most-affected countries is Myanmar where UNODC identified that the proceeds from illicit trafficking impacted the peace process in the country. After March 2021 and the closing of the country to international trade, one of the few sources of cash left will be illicit trafficking, particularly drugs (methamphetamine, but possibly also opium, as farmers may have to resume production to generate an income). However, all countries in Mekong Sub-Region are strongly impacted by those illicit financial flows.

To deliver a research on illicit financial flows, UNODC would like to engage two international consultants (one Senior Research Consultant and one Research Consultant) who will be recruited separately. This TOR is for the Research Consultant.

II. OBJECTIVES

In light of the above, it becomes clear that the volume of illicit financial flows has a major impact on the economies in Southeast Asia and beyond by eroding good governance, enabling corruption, creating economic distortions, endangering lives, and destroying livelihoods. As result, the assignment aims to better understand how illicit financial flows in the Mekong Sub-Region (Vietnam, Thailand, Cambodia, Laos and Myanmar) are moved and laundered, and those flows connect to major financial hubs and destinations outside the region.

III. SCOPE OF WORK

The successful consultant will be expected to be responsible for the following:

Task 1: Produce a literature review on illicit financial flows and their movement, and deliver a preliminary analysis for further research.

- Liaise with the other Senior Research Consultant to be contracted for this research to agree on a proportional division of labour and the implementation of the assignments.
- Purchase licenses/software needed to access and store the information sought.
- Identify and analyze various research and analytical products.
- Draft the literature review, in collaboration with the other research consultant, that includes pathways for field research.
- Identify and contact key partners in the countries (Vietnam, Thailand, Cambodia, Laos and Myanmar), in collaboration with the other research consultant.

Task 2: Deliver a refined analysis on how illicit financial flows are moved and laundered, based on interviews and field research missions

- Further identify and contact key partners in the countries, in collaboration with the other research consultant.
- Plan and conduct field research in the countries and conduct interviews, in collaboration with the other research consultant.
- Draft, in collaboration with the other research consultant, a refined analysis narrowing the scope of the research to the most promising areas/topics.

Task 3: Deliver detailed findings for each of the countries researched (Vietnam, Thailand, Cambodia, Laos and Myanmar)

- Further identify and contact key partners in the countries, in collaboration with the other research consultant.
- Plan and conduct additional field research in the countries and interviews, in collaboration with the other research consultant.
- Further analyze information collected and conduct additional outreach to partners as needed, in collaboration with the other research consultant.
- Together with the other research consultant, draft detailed findings for each of the countries covered.

Task 4: Produce a final report for submission to UNODC

- Based on UNODC feedback, conduct additional outreach to partners to collect further information, in collaboration with the other consultant.
- Draft and submit the final report on the movement and laundering techniques/mechanisms used for illicit financial flows, in collaboration with the other consultant.

IV. DELIVERABLES & IMPLEMENTATION TIMELINE

No.	Deliverable	Estimated days to complete	Target due date
1	Division of labour agreed, information management structure in place, sources of information for the literature review found (and analysis started)	8	27 Sept. 2021
2	In-country key partners identified and reached out (15-30), and delivery of the literature review – <i>End of Task 1</i>	8	28 Oct. 2021
3	Field research prepared and conducted (incl. additional outreach to key partners with around 10 meetings per mission) + sending of mission reports to UNODC (COVID-19 allowing)	3	27 Nov. 2021
4	Additional field research conducted (around 10 meetings per mission) and sending of mission reports to UNODC (COVID-19 allowing)	5	16 Dec. 2021
5	5 Processing of information conducted and shared with UNODC <i>(intermediary report 1),</i> and outreach to additional partners		28 Jan. 2022
6	6 Further processing of information conducted and shared with UNODC <i>(intermediary report 2),</i> and outreach to additional partners		25 Feb. 2022
7	7 Further processing of information conducted and shared with UNODC <i>(intermediary report 3),</i> and outreach to additional partners		28 Mar. 2022
8	Refined analysis narrowing the scope of the research to the most promising areas/topics is delivered – <i>End of Task 2</i>		27 Apr. 2022
9	9 Final refined analysis with revised research pathways delivered		28 May 2022
10	Field research conducted (around 10 meetings per mission) and sending of mission reports to UNODC (COVID-19 allowing)		27 Jun. 2022
11	Field research conducted (around 10 meetings per mission) and sending of mission reports to UNODC (COVID-19 allowing)		28 Jul. 2022
12	Analysis of field research findings delivered, and additional outreach to key partners conducted (intermediary report 4)		28 Aug. 2022
13	Analysis of field research findings delivered, and additional outreach to key partners conducted (intermediary report 5)	3	27 Sept. 2022

14	Detailed findings for each of the countries covered is delivered to UNODC – End of Task 3	5	28 Oct. 2022
15	Final interviews conducted, and first draft of the final report submitted	5	27 Nov. 2022
16	Final report submitted to UNODC – End of Task 4	5	15 Dec. 2022

V. DURATION OF ASSIGNMENT, DUTY STATION & EXPECTED PLACES OF TRAVEL

Estimated number of working days: 67 working days from 1st September 2021 to 31st December 2022.

Duty station: Home-based, with travel to the Mekong Sub-Region

Expected places of travel: Vietnam, Laos, Cambodia and Thailand

• Field trip travels will be covered **separately** by UNODC as per its travel policy

VI. PROVISION OF MONITORING & PROGRESS CONTROL

The Research Consultant will be in contact with his/her UNODC focal point at least once per week. At the end of each month, there will be a conference call between the UNODC focal point and the research consultant to ascertain the delivery of expected results in the timetable. Based on that meeting, the UNODC focal point will request to payment of the corresponding deliverable.

The format for all the formal reports to UNODC (deliverables 2, 8, 14 and 16) will be provided to the selected consultant by UNODC in due course.

VII. ADMINISTRATIVE SUPPORT & REFERENCE DOCUMENTS

Administrative Support

UNODC will provide support to the research consultant for acquiring visas to come to Vietnam and other countries in the region. UNODC will arrange all flight details. Unless otherwise agreed with UNODC, local transportation and accommodation will have to be arranged by the research consultant and compensated as per the UNODC travel policy.

Local interpreters and translators if required and upon UNODC agreement will be paid separately based on UN norms through contract amendments by provision of supporting documents to UNODC.

Reference Documents

- UNODC, Corruption as a Facilitator of Smuggling of Migrants and Trafficking in Persons in the Bali Process Region, with a Focus on Southeast Asia, 2021
- UNODC, Transnational Organized Crime Threat Assessment, 2019

- UNODC, Synthetic Drugs in East and Southeast Asia, 2021 and 2020
- UNODC, Global Report on Trafficking in Persons, 2020
- UNODC, World Wildlife Crime Report, 2020
- UNODC, Darknet Cybercrime Threats to Southeast Asia, 2020
- UNODC, Myanmar Opium Survey, 2020 (and years before)
- Interpol, Strategic Analysis Report, Emerging Criminal Trends in the Global Plastic Waste Market since January 2018, 2020
- FATF publications on typologies and mutual evaluations reports for Mekong countries
- Global Citizen, Jade: An Investigation into Myanmar's "Big State Secret", 2021

VIII. DEGREE OF EXPERTISE & QUALIFICATIONS

Qualifications	Advanced university degree (Master's degree or equivalent) in law, social sciences, international relations, security studies, criminology or closely related fields is required.	
	A minimum of five (5) years of progressively responsible professional experience in areas directly connected to peace/security, law enforcement, prosecution, criminal justice, including in their cross-border aspects, is required;	
Relevant Professional Experience	Experience in investigative field research and analysis in relation to organized crime, illicit financial flows and/or corruption is required;	
	Experience in conducting field research on the above-mentioned topics in the Asia-Pacific region is required;	
	Experience as a published author or acknowledged contributor to publications is required;	
Other Competencies Experience with secured web-based information management		
Language RequirementsEnglish and French are the working languages of the United Secretariat. For the position advertised, fluency in English is a Working knowledge of (an)other UN language(s) is an advantage		

IX. PAYMENT TERMS

No.	Deliverables as indicated in Section IV	Due Date	Payment % of total contract
2	Delivery of the literature review – End of Task 1	31 st Oct. 2021	24%
2	Refined analysis narrowing the scope of the research to the most promising areas/topics is delivered – End of Task 2	30 Apr. 2022	25%
3	Detailed findings for each of the countries covered is delivered to UNODC – <i>End of Task 3</i>	31 st Oct. 2022	36%

X. CONSULTANT PRESENCE REQUIRED ON DUTY STATION

 \Box NONE

🗆 PARTIAL

☑ INTERMITTENT

🗆 FULL-TIME

XI. EVALUATION CRITERIA

No.	Requirement	Points
1	Advanced university degree (Master's degree or equivalent) in law, social sciences, international relations, security studies, criminology or closely related fields.	50
2	A minimum of five (5) years of progressively responsible professional experience in areas directly connected peace/security, law enforcement, prosecution, criminal justice, including in their cross-border aspects.	100
3	Experience in investigative field research and analysis in relation to organized crime, illicit financial flows and/or corruption.	400
4	Experience in conducting field research on the above-mentioned topics in the Asia-Pacific region.	200
5	Experience as a published author or acknowledged contributor to publications.	150
6	Experience with secured web-based information management systems.	50
7	Fluency in English. Working knowledge of (an)other UN language(s)	50
	Total	1,000

Criteria for Evaluation of Proposal

Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the financial proposal will weigh at 30% of the total scoring.

The applicant receiving the Highest Combined Score and meeting other requirements in the Procurement Notice will be awarded the contract.

Documents for Submission

Applicants will be expected to include the following along with their application:

Core Documents

Letter of Confirmation of Interest and Availability using the template provided by UNDP; Current and complete CV in English;

List of publications/public documents done in English

Financial offer using the standard UNDP template.

18 Dec. 2022

ANNEX IV

OFFEROR'S LETTER TO UNDP

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

Date _____

United Nations Development Programme

Dear Sir/Madam:

I hereby declare that:

- A) I have read, understood and hereby accept the Terms of Reference describing the duties and responsibilities of [*indicate title of assignment*] under the [*state project title*];
- B) I have also read, understood and hereby accept UNDP's General Conditions of Contract for the Services of the Individual Contractors;
- C) I hereby propose my services and I confirm my interest in performing the assignment through the submission of my CV which I have duly signed and attached hereto as Annex 1;
- D) In compliance with the requirements of the Terms of Reference, I hereby confirm that I am available for the entire duration of the assignment, and I shall perform the services in the manner described in my proposed approach/methodology which I have attached hereto as Annex 3 [delete this item if the TOR does not require submission of this document];
- E) I hereby propose to complete the services based on the following payment rate: [please check the box corresponding to the preferred option]:



An all-inclusive daily fee of [state amount in words and in numbers indicating currency]

A total lump sum of [*state amount in words and in numbers, indicating exact currency*], payable in the manner described in the Terms of Reference.

- F) For your evaluation, the breakdown of the abovementioned all-inclusive amount is attached hereto as Annex V;
- G) I recognize that the payment of the abovementioned amounts due to me shall be based on my delivery of outputs within the timeframe specified in the TOR, which shall be subject to UNDP's review, acceptance and payment certification procedures;
- H) This offer shall remain valid for a total period of ______ days [*minimum of 90 days*] after the submission deadline;
- I) I confirm that I have no first degree relative (mother, father, son, daughter, spouse/partner, brother or sister) currently employed with any UN agency or office [disclose the name of the relative, the UN office employing the relative, and the relationship if, any such relationship exists];

- J) If I am selected for this assignment, I shall [please check the appropriate box]:

Sign an Individual Contract with UNDP;

Request my employer *[state name of company/organization/institution]* to sign with UNDP a Reimbursable Loan Agreement (RLA), for and on my behalf. The contact person and details of my employer for this purpose are as follows:

K) I hereby confirm that [check all that applies]:

At the time of this submission, I have no active Individual Contract or any form of engagement with any Business Unit of UNDP;

I am c

I am currently engaged with UNDP and/or other entities for the following work:

Assignment	Contract Type	UNDP Business Unit / Name of Institution/Company	Contract Duration	Contract Amount

I am also anticipating conclusion of the following work from UNDP and/or other entities for which I have submitted a proposal:

Assignment	Contract Type	Name of Institution/ Company	Contract Duration	Contract Amount

- L) I fully understand and recognize that UNDP is not bound to accept this proposal, and I also understand and accept that I shall bear all costs associated with its preparation and submission and that UNDP will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the selection process.
- M) <u>If you are a former staff member of the United Nations recently separated, please add this</u> <u>section to your letter:</u> I hereby confirm that I have complied with the minimum break in service required before I can be eligible for an Individual Contract.
- N) I also fully understand that, if I am engaged as an Individual Contractor, I have no expectations nor entitlements whatsoever to be re-instated or re-employed as a staff member.
- O) Are any of your relatives employed by UNDP, any other UN organization or any other public international organization?

YES \square NO \square If the answer is "yes", give the following information:

Name	Relationship	Name of International Organization

- P) Do you have any objections to our making enquiries of your present employer? YES NO
- Q) Are you now, or have you ever been a permanent civil servant in your government's employ? YES NO If answer is "yes", WHEN?
- R) REFERENCES: List three persons, not related to you, who are familiar with your character and qualifications.

Full Name	Full Address	Business or Occupation

S) Have you been arrested, indicted, or summoned into court as a defendant in a criminal proceeding, or convicted, fined or imprisoned for the violation of any law (excluding minor traffic violations)?

YES NO If "yes", give full particulars of each case in an attached statement.

I certify that the statements made by me in answer to the foregoing questions are true, complete and correct to the best of my knowledge and belief. I understand that any misrepresentation or material omission made on a Personal History form or other document requested by the Organization may result in the termination of the service contract or special services agreement without notice.

DATE:

SIGNATURE: _____

NB. You will be requested to supply documentary evidence which support the statements you have made above. Do not, however, send any documentary evidence until you have been asked to do so and, in any event, do not submit the original texts of references or testimonials unless they have been obtained for the sole use of UNDP.

Annexes [please check all that applies]:

CV shall include Education/Qualification, Processional Certification, Employment Records /Experience

GUIDELINES FOR CV PREPARATION

WE REQUEST THAT YOU USE THE FOLLOWING CHECKLIST WHEN PREPARING Your CV: Limit the CV to 3 or 4 pages NAME (First, Middle Initial, Family Name) Address: City, Region/State, Province, Postal Code Country: Telephone, Facsimile and other numbers Internet Address: Sex, Date of Birth, Nationality, Other Citizenship, Marital Status Company associated with (if applicable, include company name, contact person and phone number)

SUMMARY OF EXPERTISE

Field(s) of expertise (be as specific as possible) Particular development competencies-thematic (e.g. Women in Development, NGOs, Privatization, Sustainable Development) or technical (e.g. project design/evaluation) Credentials/education/training, relevant to the expertise

LANGUAGES

Mother Tongue: Indicate written and verbal proficiency of your English:

SUMMARY OF RELEVANT WORK EXPERIENCE

Provide an overview of work history in reverse chronological order. Provide dates, your function/title, the area of work and the major accomplishments include honorarium/salary. References (name and contact email address) must be provided for each assignment undertaken by the consultant that UNDP may contact.

UN SYSTEM EXPERIENCE

If applicable, provide details of work done for the UN System including WB. Provide names and email address of UN staff who were your main contacts. Include honorarium/salary.

UNIVERSITY DEGREES

List the degree(s) and major area of study. Indicate the date (in reverse chronological order) and the name of the institution where the degree was obtained.

PUBLICATIONS

Provide total number of Publications and list the titles of 5 major publications (if any)

MISCELLANEOUS

Indicate the minimum and maximum time you would be available for consultancies and any other factors, including impediments or restrictions that should be taken into account in connection with your work with this assignment.

Annex V

FINANCIAL OFFER

Having examined the Solicitation Documents, I, the undersigned, offer to provide all the services in the TOR for the sum of USD

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

No.	Description	Quantity	Unit Rate USD	Total
1	Consultancy fee			
2	Out of pocket expenses			
2.1	Purchase licenses/software needed to			
	access and store the information			
	sought.			
2.2	Travel			
2.3	Per diem			
2.4	Full medical examination and			
	Statement of Fitness to work for			
	consultants from and above 65 years			
	of age and involve travel – (required			
	before issuing contract). *			
2.5	Others (pls. specify)			
2.6	VAT** if applicable (in case your			
	company signs the contract)			
	Total			

* Individual Consultants/Contractors who are over 65 years of age with assignments that require travel and are required, <u>at their own cost</u>, to undergo a full medical examination including x-rays and obtaining medical clearance from <u>an UN-</u> <u>approved doctor</u> prior to taking up their assignment.

** Individual Consultants/Contractors who request their employer to sign a Reimbursable Loan Agreement (RLA) with UNDP for their behalves are reminded to add the Value Added Tax into the total lump sum of the Financial Offer if applicable.

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.

of year

Dated this day/month

Signature

(The costs should only cover the requirements identified in the Terms of Reference (TOR) Travel expenses are not required if the consultant will be working from home).