



30 September 2022

INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

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

Country:	Viet Nam
Description of the assignment:	01 International Consultant for Development of GEF8 Project Identification Form on Nature-based solutions in Dong Nai river basin in Viet Nam
Period of assignment/services:	October 2022 – February 2022 (20 working days)
Duty Station:	Homebased with one mission to Ha Noi
Tender reference:	A-220902

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

23.59 hrs., 14 October 2022 (Hanoi time)

With subject line:

A-220902 – International Consultant for development of GEF8 Project Identification Form

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: procurement.vn@undp.org informing that the bidder has submitted proposal. UNDP will not be responsible for the missing of proposal if the bidder does not send notification email to above address.

- 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:

- [Term of References](#)..... (Annex I)
- [Individual Contract & General Conditions](#)..... (Annex II)
- [Reimbursable Loan Agreement](#) (for a consultant assigned by a firm)..... (Annex III)
- [Letter to UNDP Confirming Interest and Availability](#)..... (Annex IV)
- [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
- Signed Letter to UNDP Confirming Interest and Availability
- 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 **USD for International Consultant** 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:

	Consultant's experience/qualification related to the services	Point
1	Postgraduate university degree in a subject related to environment, biodiversity, climate change or a related field	200
2	At least 10 years of experience in environment, international waters, climate change, natural resources or biodiversity.	250
3	Proven experience in GEF project formulation process and requirements, with demonstrable knowledge and skills on drafting, reviewing and finalizing GEF Project Identification Form documents.	200
4	Relevant experience in developing countries, preferably in Viet Nam.	150
5	Demonstrated communication skills and command over writing professional reports/project documents in English by provision of two reports.	200
Total		1000

A two-stage procedure is utilized in evaluating the submissions, with evaluation of the technical components being completed prior to any price proposals being opened and compared. 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. $S_f = 1000 \times F_m / F$, 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 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

One International Consultant

Title: Development of GEF8 Project Identification Form on Nature-based solutions in Dong Nai river basin in Viet Nam by a team of one **international expert** (Team Leader) and two national experts.
Team Leader (20 days)

Duty Station: Home-based, with one mission to Hanoi

Duration: October 2022 – 28th February 2023.

Reporting: UNDP Head of Climate Change and Environment

1. Background

With its extensive coastline and deltaic plains, Viet Nam is considered to be among ten most vulnerable countries to climate change globally. Extreme weather events such as typhoons and tropical storms have increased in intensity, magnifying socio-economic and health impacts on rural, urban, coastal, and mountain communities, and endangering critical transportation and drainage infrastructure. Adverse CC impacts threaten both economic development in Viet Nam (VNM) and the wellbeing of the Vietnamese people. More than 12% of the Vietnamese population is projected to be at risk, and economic growth rates face a potential reduction of up to 10% by 2100. Recent analysis indicates that annual CC impacts are costing Viet Nam between 12% of its GDP. At the same time, VNM is a biodiversity hotspot with a high proportion of endemic species. CC threatens this diversity as well as the ecosystems that are crucial for CC resilience, which already manifests itself in increasing biodiversity losses over the last years.

The causal chains of how CC impacts increase pressure on ecological, social and economic systems are often not fully understood. A lack of awareness of such dependencies and inadequate scientific bases on climate risks have resulted in uninformed decision-making based on the “economic growth” paradigm, often leading to severe and further degradation of critical habitats. Despite much progress in the legal framework, systematic anchoring of Nature-based Solutions (NbS) in political and economic affairs remains absent.

Also, the lack of synergies in sectoral plans and policies in response to CC impacts and the inadequate set-up of institutional systems is undermining the effectiveness of climate action. Silos in planning and budgeting for development investments continue to predominate at all levels and across provinces. There is a need to develop effective tools and integrated approaches for planning and monitoring the contribution that NbS can make to CCA. At the subnational level, while integrated governance systems have been introduced - e.g. river basin management organizations - these bodies do not necessarily address multiple development challenges of the sub-regions. Their effectiveness is sub-optimal in reducing the multiple risks of CC on critical ecosystems, vulnerable communities and economic activities.

UNDP wishes to apply a multi-level approach to promote integrated governance of biodiversity and CCA emphasising the effectiveness of NbS for enhanced community resilience and green development pathways with private sector as one of the key actors in the implementation of this approach. This is in line with the UNDP Strategic Plan (2022 – 2025)¹ regarding financing for nature and nature-based solutions and the UNDP Country Program Document (DPO, 2022 – 2026)² (Output 2.3 - Gender-responsive, sustainable and innovative solutions and practices in natural resources, biodiversity conservation and nature-based tourism adopted). At the perspective of GEF8 Programing, it contributes to IP No.2 regarding “Ecosystem Restoration Integrated Program”.

The Ministry of Natural Resources and Environment (MONRE) and the United Nations Development Programme (UNDP) are therefore looking for one international expert to help leading the team for preparation of a Project Identification Form on biodiversity/nature-based solutions for Viet Nam to submit to GEF.

2. Objective of the assignment

Objective of Team Assignment: the team shall support UNDP to prepare GEF8 Project Identification Form and related documents, contributing to the implementation of IP No.2 “Ecosystem Restoration Integrated Program” (GEF8 Programming).

The expected project will focus on Dong Nai river basin, and:

- *Expected Beneficiaries: local people, decision makers, Dong Nai River Basin Environment Protection Committee (RBEPC) and Planning Management Board, domestic think tanks and research institutes, Local civil society organisations (CSOs), private sector actors, in particular local SMEs.*
- *Nature-based solutions, regional master planning, vulnerability and assessment, inputs to related laws, policies and plans, especially the regional action plan to respond to climate change and/or integrated climate change adaptation planning, monitoring and evaluation plans, etc.*

¹ Article 44 (UNDP Strategic Plan 2022 – 2025)

² Output 2.3

The team include an international expert and two national experts (one national expert on climate change adaptation and one national expert on data collection). **Note: Two national experts have been procured by UNDP).**

Objective of International Expert Assignment: As the leader of the team, the international expert shall be responsible for guiding and managing the team in order to deliver expected team deliverables with highest quality and in a timely manner.

3. Scope of work

Team Assignment

The team shall work in close collaboration with each other and with UNDP to deliver the Project Identification Form for the expected GEF8 project based on the template as provided in Annex I. The team scope of work includes but not limited to the followings:

- Review the GEF8 Programming Strategy, UNDP and government priorities in the programming period until 2030 to have insights of expectations of all parties on this Project Identification Form. This may include consultation with related agencies if needed.
- Identify priorities of the government and of ongoing/planned projects on biodiversity/nature based solutions. These might be on governance (policies, institutions, mainstreaming), financing, decentralization/localization, livelihoods, etc.
- Identify geographic gaps – which areas have not been covered by any of the above projects; areas that have already been supported, especially related to NbSs, but are subject to thematic gaps mentioned above; barriers, risks and assumptions to the implementation of NbSs and the projects in Viet Nam, etc.
- Develop a draft Project Identification Form and related documents that addresses all required components as outlined in Project Identification Form template (see annex 1), participate and justify related contents at consultations with UNDP, MONRE, and other stakeholders.
- Provide critical inputs to consultation meetings, document and incorporate feedbacks from consultations and finalize the Project Identification Form and related documents for submission.
- Provide written responses and revisions of the Project Identification Form based on feedbacks received from GEF Secretariat.

Specific Tasks of Team Members

The ***international consultant*** (team leader): 20 working days including 5 days mission to Ha Noi

shall take full responsibility to develop and finalize the Project Identification Form. S/he shall provide guidance, manage the progress, review, oversee and comment on national consultants' outputs to ensure the quality and the sufficiency of the inputs to the Project Identification Form. Specifically, the international consultant shall perform the following tasks:

1. Work with the national consultants to develop a team workplan, with detailed tasks allocated to each member, key milestones, timelines, deliverables (and guiding notes if needed), ensuring full understanding of assigned tasks of each member.
2. Provide relevant international experiences as needed to enrich the justifications and analysis in the Project Identification Form and related papers;
3. Develop key sections such as General Project Information, Project Summary, Project Description (including theory of changes), Environmental and Social Safeguards, gender and social group considerations, etc.
4. Allocate relevant sections to the national experts that require national experiences and inputs to the Project Identification Form such as part of the project rationale, core indicators, description of project activities, stakeholder engagement, ect.;
5. Manage the progress and quality assure the inputs of the team members;
6. Draft the Project Identification Form with sufficient justification papers;
7. Carry out a **5-day mission** to Hanoi for consultations, provide critical inputs which include all presentation materials as needed for related consultation meetings with the government, UNDP, and other relevant stakeholders, finalize meeting notes and incorporate comments/suggestions during the mission. This shall also include a list of follow-up actions for the next steps (development of the full project document).
8. Improve the Project Identification Form, related documents and the checklist for submission to UNDP and the Government.
9. Provide written responses to comments received from GEF Secretariat and finalize the draft Project Identification Form based on received comments.

National consultant on Climate Change Adaptation (25 days)

As a team member, under the guidance and supervision of the international expert, s/he shall provide inputs at national level and relevant national inputs to the Project Identification Form. S/he shall perform the following tasks:

1. Contribute to the development of the team workplan and required inputs of each team member, especially required data and field surveys/ consultations at target provinces/ areas.
2. Provide national inputs (including data) regarding the national context, for example, updated socio-economic data, relevant policies and legal documents on biodiversity/ NbS management, etc. The review will ensure alignment with existing related work and national priorities and avoid duplication of efforts.
3. Carry out field surveys/ interviews to ensure sufficient information provided to the sections in charge if needed;
4. Develop a number of sections that require national inputs such as background on legal, country context, gaps of policies to be formulated by the project, proposed activities, stakeholder engagement, etc. and provide other relevant inputs as per the agreed workplan.

5. Consult with the international expert and the other team member to finalize required outputs.
6. Provide inputs to the draft Project Identification Form versions and related documents as required by the team leader in order to ensure accurate and sufficient information and analysis described in the draft.
7. Provide technical and translation/ interpretation support to the team leader during her/his 5-day mission to Hanoi or her/his online meetings with Vietnamese partners for relevant consultations, and technical support to the preparation of the materials for the consultation meetings, take meeting notes;
8. Support the team leader during the improvement of the Project Identification Form, related documents.
9. Support the team leader to provide written responses to comments received from GEF Secretariat and revise the draft Project Identification Form based on received comments.

National consultant on data collection (25 days)

As a team member, under the guidance and supervision of the international expert, s/he shall provide inputs regarding data collection and analysis at field level. S/he shall perform the following tasks:

1. Contribute to the development of the team workplan and required inputs of each team member, especially required data and field surveys/ consultations at target provinces/ areas.
2. Gather on-going and planned projects and good practices relating to NbS initiatives in Dong Nai River Basin, to identify the needs and the location for piloting.
3. Carry out the inventory of biodiversity/NbS models in Viet Nam and in Dong Nai river basin and collection of required data as inputs to the Project Identification Form. The data may include but not limited to following categories: Latest data on population; GDP of the selected provinces/ basin by year; Typical climate change impacts shown by number; Forest area by year; Land use data by year; Nature-based solutions have been applied (location, contact persons if any); Local initiatives/livelihoods/models; Water management structures and related local practices, etc.
4. Analyze the collected data as requested and based on the guidance of the team leader.
5. Develop a number of sections that require the analysis of the collected data as requested by the team leader;
6. Consult with the international expert and the other team member to finalize required outputs.
7. Provide relevant inputs to the draft Project Identification Form and related documents as required by the team leader in order to ensure accurate and sufficient information and analysis imbedded into the draft.

8. Provide relevant technical support to the team leader during the consultation process which shall include inputs to the presentations and other related documents as needed for the consultation.
9. Provide relevant support to the team leader during the improvement of the draft Project Identification Form, related documents.
10. Support the team leader to provide relevant written responses to comments received from GEF Secretariat and revise the draft Project Identification Form based on received comments.

4. Duration of assignment, duty station and Expected places of travel

The duration of the assignment is from October 2022 to Feb 2023.

- International Expert: 20 days, including a 5-day mission to Ha Noi, Viet Nam.
- National Expert on CCA: 25 days and National Expert on Data collection: 25 days.

Duty Station: Home-based, Ha Noi.

The international bidders must include international and national travel costs in his/her financial proposal.

5. Deliverables

No.	Deliverables	Due date
1	A joint work-plan detailing tasks of each member and work schedule to deliver expected products	October 2022
2	A final draft Project Identification Form and related documents submitted to GEF	15 November 2022
4	Written response to comments by GEF/UNDP, final revised Project Identification Form based on those comments.	15 December 2022

All the products shall be in English.

The templates of the Project Identification Form is described in **Annex 1** and may be subject to change. Revised templates (if any) will be shared to the consultants to ensure that his/her work is compliant with UNDP/GEF requirements.

The Project Identification Form must meet GEF' requirements and demonstrate GEF's eligibility criteria including incrementality, technical feasibility, mobilization of co-financing, etc.

6. Provision of monitoring and progress control

The International Consultant and the National Consultants, as a team, will work closely with and under the guidance of UNDP and MONRE and in close consultation with UNDP Regional Technical Advisor.

The selected consultants will have regular discussions with the responsible staff of UNDP Viet Nam and MONRE. The team leader is required to regularly report to UNDP Viet Nam on the progress of the work based on the agreed work-plan.

The deliverables shall be submitted to MONRE and UNDP for review. The draft and final Project Identification Form shall be technically cleared by UNDP prior to the submission to donor.

7. Administrative support and reference documents

Administrative support will be provided by UNDP and MONRE. Copies of relevant documents and templates will be made available to the consultants upon commencement of the assignment. UNDP and MONRE will also facilitate all logistical arrangements for meeting with core project partners in Viet Nam.

8. Qualification and work experience

International Consultant

The requirements of the International Consultant are as follows:

- Postgraduate university degree in a subject related to environment, biodiversity or climate change or a related degree.
- At least 10 years of experience in environment, international waters, climate change, natural resources or biodiversity.
- Proven experience in GEF project formulation process and requirements, with demonstrable knowledge and skills on drafting, reviewing and finalizing GEF Project Identification Form documents.
- Relevant experience in developing countries, preferably in Viet Nam.
- Demonstrated communication skills and command over writing professional reports/project documents in English.

National Consultant on climate change adaptation

- Postgraduate degree or equivalent education in the disciplines of economics, environmental science/ management, public administration, climate change or related field;
- At least 10 years of demonstrated experience in climate change and environment projects with the Government or Donors in Viet Nam, preferably policy consultancy and adaptation planning;
- Good knowledge of the legislative and policy aspects of the adaptation framework in Viet Nam, including legal and policy enforcement at national and subnational levels.
- Proven experience in project formulation and management of GEF projects. Relevant experience with GEF and UNDP projects will be an advantage.

- Demonstrated track record in working with the government, private sectors, NGOs, and other key stakeholders

National Consultant on Data Collection and Analysis

- Master Degree in climate change, environmental management or a relevant field;
- At least 5 years professional experiences in natural or earth related sciences, natural resource management, data collection and manipulation
- Good knowledge and proven experience in climate change data analysis, especially vulnerability, impact assessment, mapping.
- Practical experience in promoting application of climate change scenario in planning with relevant ministries and branches.
- Ability to write synthesis report in English by provision of two report samples
Computer literacy especially in the use of applied computers (Microsoft Office);
Familiar with GIS and map is advantage.

9. Review time required and payment term

- First payment of 10% of the contract value will be paid upon submission and acceptance of the workplan
- Second payment of 40% will be paid upon submission and approval of the draft Project Identification Form and related documents.
- Last payment of 50% will be paid upon submission and approval of the final Project Identification Form and written responses to comments by donors.

10. Consultants presence required on duty station/UNDP premises

☐ NONE ☒ PARTIAL ☐ INTERMITTENT ☐ FULL-TIME

EVALUATION CRITERIA WITH ASSIGNED SCORES

(International Consultant)

Consultant(s)' experiences/qualification related to the services		
1	Postgraduate university degree in a subject related to environment, biodiversity, climate change or a related field	200
2	At least 10 years of experience in environment, international waters, climate change, natural resources or biodiversity.	250
3	Proven experience in GEF project formulation process and requirements, with demonstrable knowledge and skills on drafting, reviewing and finalizing GEF Project Identification Form documents.	200
4	Relevant experience in developing countries, preferably in Viet Nam.	150
5	Demonstrated communication skills and command over writing professional reports/project documents in English by provision of two reports.	200
Total		1000



ANNEX 1: GEF-8 PROJECT IDENTIFICATION FORM (PIF)

TABLE OF CONTENTS

ANNEX I	4
GENERAL PROJECT INFORMATION	14
Project Summary***	15
Indicative Project Overview.....	15
PROJECT OUTLINE	16
PROJECT RATIONALE	16
PROJECT DESCRIPTION	17
Project Description	17
Coordination and Cooperation with Ongoing Initiatives and Project.....	18
Core Indicators	18
NGI (only): Justification of Financial Structure	19
Risks to Project Preparation and Implementation	19
SAFEGUARDS RATING (CN LEVEL):	20
ALIGNMENT WITH GEF-8 PROGRAMMING STRATEGIES AND COUNTRY/REGIONAL PRIORITIES	20
POLICY REQUIREMENTS	20
Gender Equality and Women’s Empowerment***:	20
Stakeholder Engagement.....	21
Private Sector	21
Environmental and Social Safeguards.....	21
OTHER REQUIREMENTS	22
Knowledge management.....	22
ANNEX A: FINANCING TABLES	23
GEF Financing Table	23
Project Preparation Grant (PPG)	23
Indicative Focal Area Elements.....	23
Indicative Co-financing	23
ANNEX B: ENDORSEMENTS	24
Record of Endorsement of GEF Operational Focal Point (s) on Behalf of the Government(s):.....	24
Compilation of Letters of Endorsement	24
ANNEX C: PROJECT LOCATION	24
ANNEX D: ENVIRONMENTAL AND SOCIAL SAFEGUARDS SCREEN AND RATING	25
ANNEX E: RIO MARKERS	25
ANNEX F: TAXONOMY WORKSHEET	25
ANNEX G: NGI RELEVANT ANNEXES	25
LIST OF KEY REQUIREMENTS LEADING TO CEO ENDORSEMENT SUBMISSION	25
OFFEROR’S LETTER TO UNDP	28
NAME (First, Middle Initial, Family Name)	31
Address:	31

SUMMARY OF EXPERTISE	31
LANGUAGES.....	31
Mother Tongue:	31
SUMMARY OF RELEVANT WORK EXPERIENCE.....	31
UN SYSTEM EXPERIENCE.....	31
UNIVERSITY DEGREES	31
PUBLICATIONS	31
Provide total number of Publications and list the titles of 5 major publications (if any)	31
MISCELLANEOUS.....	31
FINANCIAL OFFER	32
Signature.....	32

GENERAL PROJECT INFORMATION

Project Title:			
Region:		GEF Project ID:	
Country(ies):		Type of Project	(choose project type)
GEF Agency(ies):	(select) (select) (select)	GEF Agency Project ID:	
Anticipated Executing Entity(s) and Type:		(choose executing agency type)	
		(choose executing agency type)	
GEF Focal Area(s):	(select)	Submission Date:	
Type of Trust Fund:	(choose fund type)	Project Duration (Months)	
GEF Project Grant: (a)		GEF Project Non-Grant (b)	
Agency Fee(s) Grant: (c)		Agency Fee(s) Non-Grant: (d)	
Total GEF Financing: (a+b+c+d)		Total Co-financing:	
PPG Amount (e):		PPG Agency Fee(s) (f):	

Total GEF Resources (a+b+c+d+e+f)				
Project Tags:	<input type="checkbox"/> CBIT	<input type="checkbox"/> NGI	<input type="checkbox"/> SGP	<input type="checkbox"/> Innovation
Project Sector ³ (CCM only)	(select)			

Project Summary***

Provide a brief summary description of the project, including: (i) what is the problem and issues to be addressed? (ii) what are the project objectives, and if the project is intended to be transformative, how will this be achieved? (iii), how will this be achieved (approach to deliver on objectives), and (iv) what are the GEBs and/or adaptation benefits, and other key expected results. The purpose of the summary is to provide a short, coherent summary for readers. The explanation and justification of the project should be in section B “project description”. (max. 250 words, approximately 1/2 page)

***POP-UP material start

Please provide a summary of the proposed project. A brief description of what is the problem to be addressed; what is the project’s objective; how is this objective to be achieved; and what are expected outcomes (GEBs and/or adaptation benefits). If the project is an NGI, please briefly mention the financial structure of the project. Be explicit about the project’s location, and the sectors it covers. If the project is intended to be [transformative](#), or [innovative](#), briefly explain how this ambition will be achieved, and how barriers or enablers will be addressed.

***POP-UP material end

Indicative Project Overview

Project Objective:						
Project Components	Component Type	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Co-financing
	(select)					
	(select)					
....						
Subtotal				(select)		
Project Management Cost (PMC) (if this is an MTF project, please report separate PMC lines for each TF). ***If amount requested is above limits, a pop-up menu should open for the Agency to provide an explanation***				(select)		
Total Project Cost						

³ For ITS, this is the same pulldown menu that we have for GEF-7

PROJECT OUTLINE

PROJECT RATIONALE

Briefly describe the current situation: the global environmental problems and/or climate vulnerabilities that the project will address, the key elements of the system, and underlying drivers of environmental change in the project context, such as population growth, economic development, climate change, sociocultural and political factors, including conflicts, or technological changes. Describe the objective of the project, and the justification for it.

(Approximately 3-5 pages) see guidance here***

***POP-UP material start

To develop the project rationale:

- Develop simple [narratives](#) of how an uncertain future could unfold, based on an understanding of trends and interactions between the key elements of the system and its drivers.
- Describe the baseline in the absence of the project, and identify the outcomes that the project needs to achieve, how these will change the baseline, and what the key barriers and enablers are to achieving those outcomes.
- Briefly explain why this particular project has been selected to address the drivers of environmental degradation and/or climate vulnerabilities in preference to other potential options, and how its outcomes will endure in the face of changes in the drivers described in the future narratives.
- Describe the relevant stakeholders, private sector, and local actors and their roles in the system, and how they will be critical to deliver on the GEBs, adaptation benefits, and other proposed outcomes.
- The description should include: how the project will fit within the current landscape of investments; how the project will build on the baseline and ongoing investments, both GEF and non-GEF, and on lessons learned from previous projects in the country and region, and more widely; and how this approach fits with country priorities.
- If this is an NGI, please include a brief explanation on the financial barriers and how the project- and the proposed financial structure- responds to the financial barriers.

***POP-UP material end

PROJECT DESCRIPTION

Project Description

This section asks for a theory of change as part of a joined-up description of the project as a whole. The project description is expected to cover the key elements⁴ of good project design in an integrated way. It is also expected to meet the GEF's policy requirements on gender, stakeholders, private sector, and knowledge management and learning (see section D). This section should be a narrative that reads like a joined-up story and not independent elements that answer the guiding questions contained in the CN guidance document. (Approximately 3-5 pages) see guidance here***

***POP-UP material start

Develop the project description to cover the following points, in a joined-up way, not as a series of responses to the individual points; this description should take into account the GEF's policy requirements (in section D). For example, by weaving into the description how gender issues will be addressed in the project, rather than describing gender as a standalone point. The theory of change will help in joining up the other key elements of [good project design](#):

- Provide a concise account of the [theory of change](#) that describes the project's logic for addressing the problems described in Section A and achieving the intended global environmental benefits. Include a diagram to help show the overall project's logic, outputs, and outcomes.
 - The theory of change should provide an “explicit account of how and why the proposed interventions would achieve their intended outcomes and goal, based on outlining a set of key causal pathways arising from the activities and outputs of the interventions and the assumptions underlying these causal connections”.
 - The project logic should show how the project would ensure that expected outcomes are enduring and resilient to possible future changes in the drivers identified in the simple future narratives (section A), and to the effects of any conflicting policies (section C).
- Briefly describe in more detail the project components (interventions and activities) identified in the theory of change. Provide brief information on each intervention, the main thrust and basis (including scientific) of the proposed solutions, how they address the problem, their justification as a robust solution, and the critical assumptions and risks to achieving them.

⁴ Enabling Elements for Good Project Design: A synthesis of STAP guidance for GEF project investment:
<https://stapgef.org/resources/advisory-documents/enabling-elements-good-project-design-synthesis-stap-guidance-gef>

- Explain how the project will generate global environmental benefits and/or adaptation benefits which would not have accrued without the GEF project (additionality).

As part of the project description:

- Indicate how relevant [stakeholders](#) will contribute to developing and implementing the project, and their respective roles, and how they will benefit from the project to ensure that the global environmental benefits and/or adaptation benefits will be enduring ([co-benefits](#)).
- Explain how the project will generate knowledge, how that knowledge will be managed and [exchanged](#), and how lessons learned will be captured to benefit future projects.
- Explain how this project will improve or develop national policies, including an improved alignment of existing policies ([policy coherence](#)).
- If the project is specifically intended to be [transformative](#), or [innovative](#), explain how scaling up could be achieved.

***POP-UP material end

Coordination and Cooperation with Ongoing Initiatives and Project.

Does the GEF Agency expect to play an execution role on this project?

☐ Yes ☐ No

If so, please describe that role here. Also, please add a short explanation to describe cooperation with ongoing initiatives and projects, including potential for co-location and/or sharing of expertise/staffing (*max. 500 words, approximately 1 page*)

Core Indicators

Project Core Indicators		Expected at CN
1	Terrestrial protected areas created or under improved management for conservation and sustainable use (Hectares)	
2	Marine protected areas created or under improved management for conservation and sustainable use (Hectares)	
3	Area of land restored (Hectares)	
4	Area of landscapes under improved practices (excluding protected areas)(Hectares)	
5	Area of marine habitat under improved practices (excluding protected areas) (Hectares)	
6	Greenhouse Gas Emissions Mitigated (metric tons of CO ₂ e)	
7	Number of shared water ecosystems (fresh or marine)	

	under new or improved cooperative management	
8	Globally over-exploited marine fisheries moved to more sustainable levels (metric tons)	
9	Reduction , disposal/destruction, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials and products (metric tons of toxic chemicals reduced)	
10	Reduction, avoidance of emissions of POPs to air from point and non-point sources (grams of toxic equivalent gTEQ)	
11	Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment	

Explain the methodological approach and underlying logic to justify target levels for Core and Sub-Indicators *(max. 250 words, approximately 1/2 page)*

NGI (only): Justification of Financial Structure⁵

Please describe the financial structure and include a graphic representation. This description will include the financial instrument requested from the GEF and terms and conditions of the financing passed onto the Beneficiaries.

Risks to Project Preparation and Implementation

Summarize risks that might affect the project preparation and implementation phases and what are the mitigation strategies the **project preparation process will undertake to address these** (e.g. what alternatives may be considered during project preparation-such as in terms of consultations, role and choice of counterparts, delivery mechanisms, locations in country, flexible design elements, etc.). Identify any of the risks listed below that would call in question the viability of the project during its implementation. Please describe any possible mitigation measures needed. (The risks associated with project design and Theory of Change should be described in the "Project description" section above).

The risk rating should reflect the overall risk to project outcomes considering the country setting and ambition of the project. The rating scale is: *High, Substantial, Moderate, Low*.

Risk Categories	Rating	Comments
Climate		<<one could add specific guiding questions in each row>>

⁵ Note: Make this into a pop-up which appears only if "NGI" was selected in the "General project Information"

Environment and Social		
Political and Governance		<<include fragility & conflict risk>>
Macro-economic		
Strategies and Policies		
Technical design of project or program		
Institutional capacity for implementation and sustainability		
Fiduciary: Financial Management and Procurement		
Stakeholder Engagement		
Other		
Financial Risks for NCI projects		
Overall Risk Rating		

SAFEGUARDS RATING (CN LEVEL):

ALIGNMENT WITH GEF-8 PROGRAMMING STRATEGIES AND COUNTRY/REGIONAL PRIORITIES

Describe how the proposed interventions are aligned with GEF- 8 programming strategies and country and regional priorities, including how these country strategies and plans relate to the multilateral environmental agreements.

Confirm if any country policies that might contradict with intended outcomes of the project have been identified, and how the project will address this.

(max. 500 words, approximately 1 page)

POLICY REQUIREMENTS

Gender Equality and Women's Empowerment***:

We confirm that gender dimensions relevant to the project have been addressed as per GEF Policy and are clearly articulated in the Project Description (Section B).

☐ Yes ☐ No (If –and only if– NO is selected, a pop-up field should open for the Agency to provide an explanation)

***POP-UP material start

Please upload to the portal documents tab any gender analysis or equivalent socio-economic assessment that identifies and describes any gender differences, gender

differentiated impacts and risks, and opportunities to address gender gaps and promote the Empowerment of Women that may be relevant to the proposed activity; this should include any corresponding gender-responsive measures to address differences, identified impacts and risks, and opportunities through a gender action plan or equivalent. If gender-responsive measures have been identified (mostly relevant at project development phase, the results framework or logical framework include actions, Gender-Sensitive Indicators and sex disaggregated targets.

***POP-UP material end

Stakeholder Engagement

We confirm that key stakeholders were consulted during CN development as required per GEF policy, their relevant roles to project outcomes and plan to develop a Stakeholder Engagement Plan before CEO endorsement has been clearly articulated in the Project Description (Section B).

☐ Yes ☐ No (If –and only if– NO is selected, a pop-up field should open for the Agency to provide an explanation)

Were the following stakeholders consulted during project identification phase:

Indigenous Peoples and Local Communities? ☐ Yes ☐ No

Civil Society Organizations? ☐ Yes ☐ No

Private Sector? ☐ Yes ☐ No

Provide a brief summary and list of names and dates of consultations

(Please upload to the portal documents tab any stakeholder engagement plan or assessments that have been done during the CN development phase.)

Private Sector

Will there be private sector engagement in the project?

☐ Yes ☐ No

And if so, has its role been described and justified in the section B project description?

☐ Yes ☐ No

Environmental and Social Safeguards

We confirm that we have provided indicative information regarding Environmental and Social risks associated with the proposed project or program and any measures to address such risks and impacts (this information should be presented in Annex D).

☐ Yes ☐ No (If –and only if– NO is selected, a pop-up field should open for the Agency to provide an explanation)

OTHER REQUIREMENTS

Knowledge management

We confirm that an approach to Knowledge Management and Learning has been clearly described in the Project Description (Section B)

☐ Yes

ANNEX A: FINANCING TABLES

GEF Financing Table

Indicative Trust Fund Resources Requested by Agency(ies), Country(ies), Focal Area and the Programming of Funds

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					Grant/Non-Grant (For NGI Projects Only)	GEF Project Grant	Agency Fee
(select)	GEFTF		(select)	(select as applicable)			
Total GEF Resources							

Project Preparation Grant (PPG)

Is Project Preparation Grant requested? ☐ Yes ☐ No

If yes⁶: fill in PPG table (incl. PPG fee)

GEF Agency	Trust Fund	Country/ Regional/Global	Focal Area	Programming of Funds	(in \$)		
					PPG	Agency Fee	Total PPG Funding
(select)	(select)		(select)	(select as applicable)			
Total PPG Amount							

Indicative Focal Area Elements

Programming Directions	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
(select) (select)	(select)		
Total Project Cost			

Indicative Co-financing

***POP-UP material start

Please provide indicative information regarding the expected amounts, sources and types of Co-Financing, and the sub-set of such Co-Financing that meets the definition of Investment Mobilized.

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount (\$)
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⁶ Note: Make this into a "pop-up" which appears only if PPG was selected, and if amount requested is above limits, they have to justify it

(select)		(select)	(select)	
Total Co-financing				

Please provide indicative information regarding the expected amounts, sources and types of Co-Financing, and the sub-set of such Co-Financing that meets the definition of Investment Mobilized.

ANNEX B: ENDORSEMENTS

Name of GEF Agency Coordinator	GEF Agency Coordinator Contact Information
Name of Agency Project Coordinator	Agency Project Coordinator Contact Information

Record of Endorsement of GEF Operational Focal Point (s) on Behalf of the Government(s):

Name of GEF OFP	Position	Ministry	Date (MM/dd/yyyy)
<i><<additional fields to be added for regional projects or global projects with on the ground investments>></i>			

NGIs do not require a Letter of Endorsement if beneficiaries are: i) exclusively private sector actors, or ii) public sector entities in more than one country. However, for NGI projects please confirm that the agency has informed the OFP of the project to be submitted for Council Approval ☐ YES

Compilation of Letters of Endorsement

Please attach the Operational Focal Point endorsement letter(s) in this Annex. For SGP, use the SGP OFP endorsement letter format. For regional and global projects (as appropriate): please include a compilation of the signed LOEs in one PDF file in this annex.

ANNEX C: PROJECT LOCATION

Please provide geo-referenced information and map where the project interventions will take place

ANNEX D: ENVIRONMENTAL AND SOCIAL SAFEGUARDS SCREEN AND RATING

(CN level) Attach agency safeguard screen form including rating of risk types and overall risk rating.

ANNEX E: RIO MARKERS

Climate Change Mitigation	Climate Change Adaptation	Biodiversity	Desertification
(multiple selection)	(multiple selection)	(multiple selection)	(multiple selection)

<< Rio Markers may be expanded in GEF 8 beyond markers for CCM and CCA>>

ANNEX F: TAXONOMY WORKSHEET

<<Table below for now taken from GEF-7 CN>>

Level 1	Level 2	Level 3	Level 4
Influencing Models	(multiple selection)	(multiple selection)	(multiple selection)
Stakeholders	(multiple selection)	(multiple selection)	(multiple selection)
Capacity, Knowledge and Research	(multiple selection)	(multiple selection)	(multiple selection)
Gender Equality	(multiple selection)	(multiple selection)	(multiple selection)
Focal Area/Theme	(multiple selection)	(multiple selection)	(multiple selection)

ANNEX G: NGI RELEVANT ANNEXES

⁷

1. Annex X (currently existing in NGI projects): Termsheet
2. Annex X (currently existing in NGI projects): Reflow table
3. Annex X (currently existing in NGI projects): Agency capacity to implement NGI

LIST OF KEY REQUIREMENTS LEADING TO CEO ENDORSEMENT SUBMISSION

During project design/by endorsement: ⁸

- **Stakeholders:** provide list of stakeholders, roles in the project and means of engagement; specifically address civil society organizations, vulnerable groups and Indigenous Peoples and Local Communities (IPLCs) (as applicable) and their roles in the project
- **Gender Equality and Women's Empowerment:** carry out gender analysis and prepare gender action plan; include relevant gender aspects in Theory of change and gender-

⁷ Annex H: Only if NGI was selected on top

⁸ Note: This **a list to remind agencies of key requirements** to address during project **preparation** and include in the endorsement request. No text is, therefore, to be entered here.

sensitive indicators in results framework (i.e. including the process to collect sex-disaggregated data and information on gender); include gender equality considerations/gender-responsive measures and actions in relevant activities in project components.

- **Environmental and Social Safeguards (ESS) related documents:** depending on types of ESS risks to be prepared (such as Environmental and Social Impact Assessment, Environmental and Social Management Framework/Plan, Indigenous Peoples Plan and Grievance Mechanism) and made public in country/location in relevant language/s (provide publication date and locations)
- **Private sector involvement mechanisms** (for non NGI projects: anticipated roles and type of PS; this will already be central to the project document for NGI projects)
- **Knowledge Management Plan** - develop “Knowledge Management Approach” for the project and how it will contribute to the project’s overall impact, including plans to learn from relevant previous and ongoing projects; proposed tools and methods for knowledge exchange and learning; knowledge outputs; strategic communication plan; and budget and timeline.
- **Results.** Inclusion of final Core Indicator targets, along with a comprehensive results framework with indicator name, units of measurement, and baseline and target data.
- **Monitoring and Evaluation.** Include a budget, along with an explanation of monitoring arrangements and deliverables.
- **Institutional arrangements** (incl. reporting arrangements and flow of funds) and cross-sector integration approaches, as relevant
- **Sustainability:** Post-project financing sustainability plan
- **Co-finance:** Confirm amount and type of co-financing and the definition of investment mobilized
- **To be complemented by new GEF8 policies and requirements.**

ANNEX II

[Individual Contract](#) & [General Conditions](#)

https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/AC_Anti-Fraud_General%20Conditions%20of%20Contract%20for%20Individual%20Contracts.pdf&action=default

ANNEX III

Reimbursable Loan Agreement (for a consultant assigned by a firm)

https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Contract_Model%20Reimbursable%20Loan%20Agreement.docx&action=default

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 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) ***If you are a former staff member of the United Nations recently separated, please add this section to your letter:*** 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 ☐ NO ☐ 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, Professional 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 **YND** for National Consultant and **USD** for International Consultant

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	Total
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 65 years of age and involve travel – (required before issuing contract). *			
2.4	Others (pls. specify).....			
2.5	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, **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.*

***** 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.

Dated this day /month of year

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).