

TERMS OF REFERENCE (TOR) FOR SPECIAL SERVICE AGREEMENT

SERVICE:	Consultancy on Producing Evidence-based Policy Research on Green Banking in Vietnam
PROJECT ID AND TITLE:	00091412/Capacity building for policy research and training and education to advance green development
TITLE:	03 national experts (maximum 250 person days during a 12-month period), including: <ul style="list-style-type: none">- 01 National Team Leader- 02 National Team Members
DURATION:	August 2015 through August 2016
DUTY STATION:	Ha Noi and selected field locations, Viet Nam
REPORTING:	UNDP Viet Nam and the National Programme Director (NPD)

1) GENERAL BACKGROUND

Green Growth is based on the premise that economic growth can occur with more sustainable levels of natural resource use, reduced emissions (including GHG emissions and other pollutants), and with less harmful impacts on biodiversity and ecosystems. It reflects an appreciation of the dependence of the economy on the environment. Conversely, environmental damage harms the economy, increasing costs for all levels of society as ecosystem services degrade and severe weather events increase.

The economic importance of the environment is recognized in the Rio Conventions on desertification, biodiversity and climate change (UNCCD, CBD, and UNFCCC respectively). Signatories of these conventions and their protocols, including Vietnam, have agreed to pursue economic growth policies which are consistent with environmental objectives.

Although Vietnam's remarkable economic growth over the last 20 years is an internationally recognized success and continues to be among the highest in the world, this has come at a significant environmental cost. Biodiversity loss, deforestation, pollution, and GHG and other emission levels are occurring at alarming rates, with associated economic and welfare impacts. Vietnam's growth continues to be resource-intensive, and projected environmental trends are unsustainable resulting in irreversible environmental harm. The Vietnamese government has responded by developing the Vietnam Green Growth Strategy, or VGGS. (Prime Minister Decision 1393/QD-TTG). Approved in September 2012, the VGGS aims to increase the resource-efficiency of the economy, and increase sustainability while achieving development and economic objectives. The VGSS was followed by the Viet Nam Green Growth Action Plan (VGGAP) in 2014.

In order to move toward a greener economy, methodologically sound and evidence-based research can support decision-making by a range of stakeholders, including not only government but civil society and the private sector as well. The Research, Education and Training for Green Development (GDP RTE) project is supported by funding from UNDP Viet Nam and is being implemented by the National University of Viet Nam and the University of Economics and Business (VNU-UEB). In addition to generating knowledge, the project also aims to increase the capacity of Vietnamese researchers on issues related to Green Growth during the period 2014-2017.

Component 1 of the GDP RTE will result in evidence-based policy research and policy dialogues on four Green Growth Topics: Green Banking, Green Consumption, Green Logistics, and Green Procurement. It follows work undertaken by Vietnamese research teams as a part of GDP RTE on the potential scope, research questions and methodology and of each research area, and resulting in proposed research outlines.

Green Banking

The UNDP and VNU-UEB are now looking for a team of 3 Vietnamese researchers to conduct original

research on Green Banking in Vietnam and to produce recommendations which advance Green Growth and support aspects of the VGGs. Green Banking can be broadly defined as banking practices¹ resulting in environmental benefits. The research will examine how banks in Vietnam can enable sustainable investments in a range of areas, from energy to biodiversity and others. The research team will also provide a Green Banking Overview for Vietnam. The research and resulting recommendations can also support aspects of the 2015 Directive 03/CT-NHNN of the State Bank of Vietnam “On Promoting Green Credit Growth and Environmental – Social Risks Management in Credit Granting Activities”.

The project will have a dedicated Scoping and Methodology phase where the scope, research questions and methodology will be finalized in coordination with the Technical Team. This research will build on aspects of a proposed research outline already developed as a part of the GDP RTE. The literature review will include studies done by GIZ, IFC, UNEP, and others, as well as national experience of commercial banks in Vietnam (e.g. VietinBank, BIDV), and international experience in relevant countries. Since much work has already been conducted on financing sustainable investments in Vietnam – especially clean energy – during the Scoping and Methodology Phase the team should ensure that the proposed research supports rather than duplicates existing work and addresses research gaps. It should also lead to evidence-based recommendations, and could form the basis for future publication of results (after the completion of this Special Service Agreement) in peer-reviewed journals.

The scope can be refined in a number of ways, such as by environmental benefit and associated investments (e.g. renewable energy and energy efficiency for climate change mitigation, environmentally friendlier agriculture and aquaculture practices, biodiversity conservation etc.), or investigating potential barriers to mobilize private sector sustainable investments (e.g. capacity of banks to evaluate environmental and financial aspects of sustainable investments, empirical testing of other potential barriers). The scope and the methodology will be reviewed and is subject to the approval of the Project (UNDP/VNU-UEB).

Research will be supported by data-gathering across Vietnam with questionnaires, interviews and other approaches. The research questions, methodology and surveys should build upon international research, in order to result in data and analysis comparable to similar studies internationally. In addition to the findings based on primary data-gathering, the team will also produce a Vietnam Green Banking Overview which will include an assessment of the current status of Green Banking in Vietnam using indicators to the extent possible, and a description of all relevant activities.

The research findings, Green Banking Overview and consultations will lead to two or three sets of recommendations: (i) one for the State Bank; and (ii) one for Commercial Banks, and possibly some recommendations to the private sector; emphasizing the mobilization/promotion of the private sector sustainable investments in Viet Nam, which support the Vietnam Green Growth Strategy and Action Plan. Final products will be peer-reviewed and approved by the Project.

2) OBJECTIVES OF THE CONSULTANCY

The overall objective of the study is to enhance green banking by undertaking evidence-based research and high level policy dialogues, aiming to support the implementation of the Viet Nam Green Growth Strategy and the Viet Nam Green Growth Action Plan.

Specific objectives:

- 1.) Assess the policy framework and practices of green banking to define specific gaps for in-depth research
- 2.) Undertake an in-depth analysis on the identified gaps to identify innovations and to formulate two or three sets of recommendations for three target groups: State Bank of Viet Nam and relevant Government authorities; commercial banks; and potentially also for

¹This study will not focus on activities which reduce the environmental impact of banks themselves (such as online banking), but will instead focus on financing sustainable investments. During Phase 1, the research team will propose a rigorous definition based on a literature review and consistent with the research plan.

businesses/private sectors.

3) SCOPE OF WORK AND SPECIFIC TASKS

Key Functions:

The research team will be responsible for producing innovative, relevant and sound research in Vietnam. In addition the team will also produce a VietnamGreen Banking Overview.

Research findings will be considered in conjunction with the Green Banking Overview and consultations in order to produce decision-making recommendations for government and other stakeholders.

The Research is divided into two phases:

- **Phase 1: Scoping and Methodology (approximately 4 months)**

The research team will develop, in conjunction with the Project and experts: a preliminary Green Banking Overview of the situation in Vietnam and Internationally, an academic literature review, research questions, and a proposed methodology and a Research Plan.

This phase first produces a Green Banking Inception Briefing Note, which is then used as background information reference material for the Inception Group Meeting. There may also be additional technical meetings with the Project and research experts, as well as consultations with organizations on the scope and methodology of the research.

Following these meetings the research scope and methodology are finalized.

The research should be scoped in order to build on existing work and/or to address knowledge gaps, and facilitate evidence-based recommendations to stakeholders producing environmental benefits, and to potentially lead to publication(s) in international and national peer-reviewed journals after the end of the Project. Potential publications will be identified. A Scoping and Methodology Briefing Note is then prepared.

A Research Plan is formulated, with research question(s), data gathering approaches, and expected analysis. The data gathering methodology and tools should build upon previous national or international research in order to be able to produce findings which can be compared with other research nationally and internationally.

A Scoping and Methodology Report is produced, including the Research Plan and other items. The Project (UNDP/VNU-UEB) must approve both the scope and the Research Plan, and the report as a whole, before the original research can begin.

- **Phase 2: Research and Recommendations (approximately 8 months)**

Based on the approved Research Plan within the Scoping and Methodology Report, the research team will develop and implement data-gathering which will address the research questions and enable recommendations via questionnaires, interviews, and other survey tools if necessary. Desk research will continue, with possible additions to the literature review, and with additional analysis for the Green Banking Overview.

As data is gathered it should be compiled methodically and a preliminary analysis should be undertaken. A technical workshop may be held to present the scope, methodology and any findings to other researchers and organizations for discussion.

The Interim report is completed and approved.

The results of the data and desk research is analysed and placed in theoretical context. Research questions are answered and future research opportunities are identified.

The Green Banking Overview may include an assessment and/or gap analysis of the status of Green Banking research and activities in Vietnam in order to provide recommendations on further research opportunities following this study. It may also contain a comparative analysis

with the status of Green Banking in Vietnam compared to other countries, based on indicators and key characteristics of Green Banking. The contents of the Green Banking Overview will be finalized during the Scoping and Methodology phase.

Recommendations are made based on the Green Banking Overview, research findings, and stakeholder consultations. There will be two or three sets of recommendations: (i) one for the State Bank; and (ii) one for Commercial Bank; emphasizing the mobilization/promotion of the private sector sustainable investments in Viet Nam, which support the Vietnam Green Growth Strategy and Action Plan. There may also be recommendations for businesses and the private sector (to be determined).

An international workshop will be held (in Viet Nam) to share and discuss the findings and recommendations. The Final Report will be peer-reviewed by international and national experts.

Policy Briefs summarizing findings and recommendations are approved, and the Final Report is completed and approved. Other consultation workshops and group meetings may be organized as needed and feasible.

- After completion of the final products, the research team will also participate and present during high-level policy dialogues on the findings and recommendations of the study. The policy dialogues will be organized by the Project.

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

The assignment is to be completed during the period August 2015 until August 2016.

Duty station: Hanoi and potential field locations (to be determined during the Scoping and Methodology Phase).

5) FINAL PRODUCTS

The final products produced by the research team will be:

Green Banking Scoping and Methodology Report between 30 and 50 pages (due at approximately the end of month 4 and the end of Phase 1).

The Scoping and Methodology Report will include, inter-alia:

- Literature Review
- Draft Green Banking Overview, including, inter alia, an overview of programs and initiatives, regulations, data, and stakeholders in Vietnam, with reference to international examples for potential comparative analysis
- Research Plan and Methodology, including finalized scope and research question(s) and a Data Gathering Plan with draft Questionnaires/Interview structure
- Overall Project Workplan

The Interim Report between 20 and 40 pages (due at approximately the end of the month 7 in Phase 2)

The Interim Report will include, inter-alia:

- Initial findings and analysis of the data gathering and from secondary sources
- A log and description of Survey Activities, including field trips, questionnaires, sample size, methods used, and their limitations
- Progress of the Green Banking Overview and any amendments to the literature review.
- Approach to determining recommendations and progress
- Any changes to the research and project plans

(Draft) Final Report: Green Banking Research Findings and Recommendations between 60 and 100 pages (due at approximately the end of the month 11 in Phase 2)

The Final Report will include, inter-alia:

- The completed research analysis, including: finalized literature review, scope and rationale, description of the methodology (including research questions and methods, questionnaires, etc.) data compilation and analysis, research findings, and other items. All Survey Activities will be listed in a dedicated Annex.
- The Green Banking Overview
- Recommendations for the State Bank of Vietnam and Commercial Banks, and potentially for the private sector
- Recommendations on future research areas related to the subject

The Final Report will build substantially upon the Scoping and Methodology and Interim Reports in terms of both structure and content, and incorporate text from these reports.

2 Policy Briefing Papers of three pages each summarizing: i) the research findings and the Overview and Status, and ii) evidence based- recommendations. This may be facilitated by an editor provided by the Project.

The Final Report, after review by the Project and subsequent revisions by the research team, is due at the end of month 12.

6) ACTIVITIES AND TEAM MEMBER RESPONSIBILITIES

1. Conduct background research on Green Banking, including: a overview of relevant research and activities in Vietnam and internationally; a survey of the literature; a preliminary review of relevant regulations; a review of indicators and measures, and available data; and notes on the potential scope.

A proposed research outline prepared by a previous research team will be provided for reference, although the Research Team is expected to conduct original research beyond the outlines.

Present the results of Activity 1 in a short Inception Briefing Note for consultation and review by the Project ahead of the Inception Group Meeting.

2. Attend the Inception Group Meeting with representatives of the Project (UNDP/VNU-UEB) and specialists.

Review the Green Banking Inception Briefing Note. Assess potential areas of research which will be built on existing knowledge or address gaps, and facilitate evidence-based recommendations to stakeholders resulting in environmental benefits as well as economic, social, health and other benefits. List potential publications for the research. Propose an overall Project Workplan.

During and subsequent to the meeting, finalize the scope, research questions, methodology, and data-gathering plan, in consultation with and approval of the Technical Team. Produce a Scoping and Methodology Briefing Note for review and input by the Project. This will be reviewed by the Project and may be followed by a Scoping and Methodology Group Meeting.

3. Produce the Green Banking Scoping and Methodology Report, containing: the Draft Overview, Literature Review, Scope, and the Research Plan (research questions, methodology, plans and schedules) consistent with the Project Workplan, and other items. The Scoping and Methodology Report, including the scope and research plan, must be approved by the Project.
4. Conduct original research and data-gathering during field trips in Vietnam (and potentially also in the home-based location of the research team) via questionnaires, interviews and other approaches, in addition to on-going desk-review of secondary sources. Interview and

questionnaire subjects potentially include government, civil society and the private sector. (Activity 4 may continue beyond Activities 5 and 6 if necessary)

5. Produce the Interim Report, with: a log and description of research activities, preliminary data gathering findings and analysis, approach to developing recommendations, and progress on the Green Banking Overview.
6. Attend a Technical Workshop with experts, as well as the UNDP and VNU-UEB Project Team. Present the topic and scope, methodology and any preliminary findings as elaborated in the Scoping and Methodology and Interim Reports, and consult with stakeholders on recommendations. The timing of this workshop may be changed.
7. Conclude analysis of acquired data and secondary sources; consult with stakeholders as needed and finalize draft recommendations.
8. Deliver the Draft Final Report, presenting the results of the research and the recommendations.
9. Attend the International Workshop (held in Vietnam) to share and discuss the findings and recommendations of the study.
10. Revise the Draft Report based on feedback and peer review, produce the Final Report, and prepare 2 Policy Briefs: i.) a summary of the research and findings; and ii.) a summary of the recommendations.
11. Present the results of the study in policy dialogues organized by the Project.
12. The research team will, throughout the duration of the research project, attend other meetings and workshops organized by the Project and prepare presentation material if needed.

Team member Responsibilities

1 National Team Leader (90 days)

- Lead the team, formulate, organize and manage assignments to control quality and ensure timely delivery of outputs.
- Lead the research study design, including the research questions, methodology, and research plan and activities.
- With the Project, agree on the scope of the research. The scope of the research must be endorsed by the Project.
- Lead the literature review, the analysis of primary and secondary sources, and make evidence-based recommendations based on the research.
- Lead the data-gathering: participate in some or all data-gathering activities in selected locations in Viet Nam (to be determined by the end of the Scoping and Methodology Phase); coordinate and review data gathering by the team members; compile and organize the data and metadata in a transparent and systematic manner in order to facilitate the potential publication of results.
- Attend and present at all group meetings, workshops and policy dialogues. Attend consultations as needed and in coordination with the team.
- Lead the drafting of all outputs and deliverables. Revise the drafts based on comments from the Project and peer-review and stakeholders.
- Prepare the 2 page monthly progress reports.
- Perform other related duties as required.

2 National Technical Consultants (80 days each):

- Contribute to all aspects of the research design, including concrete inputs regarding the scope, the research questions, the methodology, and the research plan and activities.
- Contribute to the literature review, the analysis of primary and secondary sources, and make evidence-based recommendations based on the research. Draft sections of all outputs and deliverables.

- Undertake data-gathering in some selected cities and locations in Viet Nam (to be determined by the end of the Scoping and Methodology Phase).
- Attend and present at group meetings, workshops and policy dialogues. Attend consultations as needed and in coordination with the team.
- Contribute text to the drafts of all outputs and deliverables. Revise the drafts based on comments from the Project and peer-review and stakeholders.
- Perform other related duties as required.

7.) PROVISION OF MONITORING, REVIEW, QUALITY CONTROL AND PROGRESS CONTROLS

The research team will provide monthly updates on the progress of the study to the project. The format of the monthly reports will be limited to 1 - 2 pages in order to reduce workload, and will be finalized during the during the Scoping and Methodology Phase.

The Project (consisting of the PMU at VNU-UEB in connection with the UNDP) will establish a technical team to do technical reviews and quality assurance on the service provider's outputs. The Project will also have final endorse the scope of the research (determined during the Scoping and Methodology Phase) and the Interim Report. The Final Report and Briefing Notes must be approved by the Project.

Reports, drafts and updates will be submitted in English. The final report will be submitted in both English and Vietnamese

8.) DEGREE OF EXPERTISE AND QUALIFICATIONS

The bidding team of 3 persons will include expertise or experience in the following:

- (i) Social Science and Economic Research Methods;
- (ii) Data gathering and analysis;
- (iii) Social and Economic Analysis;
- (iv) Environmental issues, trends, impacts and indicators;
- (v) Policy Analysis and Recommendations;
- (vi) Stakeholder Consultations;
- (vii) Green Banking, Finance and related topics.

The Team leader should preferably have a PhD and team members should have at least a Master degree in a field related to economics, environment, and the social sciences, or highly relevant to the research area.

Please see the detailed requirements in the criteria table for evaluation of technical proposals, attached with these TOR.

9.) ADMINISTRATIVE SUPPORT

The selected research team is required to fulfil all necessary tasks and deliver the agreed products.

The project will make available the potential "Research Outline" on green banking prepared by a previous consultant team for review and consideration by the winning research team. The project will assist with necessary formal introductions to stakeholders and experts/specialists with whom the service provider is required to meet.

The project will undertake the arrangements for the organization and chairing of meetings. The cost for these meetings will be borne by the project.

All other costs for consultation activities will be paid by the service provider, and the cost of such activities should be included in the financial offer.

The updated UN-EU Cost Norms for Viet Nam should be used by bidders for reference in developing the financial offer for the proposal.

10.) REFERENCE DOCUMENTS

The following reference documents are available to all bidders:

- Annex 1 of these TOR, on the Detailed Evaluation Criteria for Technical Proposal Evaluation
- UN-EU Cost Norms (available online at: http://eeas.europa.eu/delegations/vietnam/documents/eu_vietnam/un_eu_costnorms2015_en.pdf)

11.) REVIEW TIME REQUIRED AND PAYMENT TERM

20 working days will be required by the project to review/approve any outputs prior to authorizing payments.

The project shall organize payments to the service provider in four instalments, upon acceptance of the outputs/deliverables defined in the TOR by the project:

- 1st payment: 10% of total contract value upon submission of the implementation plan;
- 2nd payment: 30% of total contract value upon submission and endorsement of the Scoping and Methodology Report;
- 3rd payment: 20% of total contract value upon submission and endorsement of the Interim Report (and presentation of interim findings at the workshop).
- Final payment: 40% of total contract value upon submission and approval of the Final Report.

12.) CONSULTANT PRESENCE REQUIRED ON DUTY STATION/UNDP PREMISES

The presence of the research team at the project office is not required.

Annex I Detailed Evaluation Criteria for Technical Proposal Evaluation

Technical Proposal Evaluation		Points Obtainable
1.	<i>Approach, methodology and work plan</i>	50
1.1	<i>Technical approach and methodology</i>	25
	<p>The proposal demonstrates:</p> <p>An understanding of the subject matter, definitions and associated concepts, including an understanding of the full potential scope of the project and an indication of how the scope may be narrowed.</p> <p>Knowledge of Green Banking activities in Vietnam, including an overview of international and national research and programs and initiatives (by government, international organizations and donors, research organizations, NGOs, and others) and their potential relevance to this study.</p> <p>An indication of how the research could facilitate policymaking and stakeholder decision-making to further Green Growth in Vietnam, with potentially positive environmental impacts.</p> <p>Knowledge of the different stakeholders related to the subject, including civil society, government, the private sector, and research organizations, and how these stakeholders may contribute to the research.</p> <p>The ability to write clearly, precisely and succinctly, with references. The proposal will also demonstrate the ability to summarize a large range of items, highlighting relevant points.</p>	
1.2	<i>Work plan and resources allocation</i>	20
	<p>Activities in section 6 are related to personnel requirements and to the estimated level of effort for each activity (except for Activity 4*).</p> <p>A schedule is created which clearly shows all activities, workshops/meetings, deliverables on a timeline with the phases, respecting the approximate due dates of deliverables as indicated in this document.</p> <p>Work approach to activities of particular interest or importance is described (it is not necessary to address each activity separately).</p> <p>Comments on how the activities, the schedule, methodology and objectives can be undertaken in a realistic way, with concerns if any.</p> <p><i>*Note that Activity 4 relating to Survey and Data Gathering plans will be finalized during the Scoping and Methodology Phase.</i></p> <p><i>Therefore, while this activity should be related to the overall schedule, it should not be described in detail.</i></p>	
1.3	Conformity with bidding document Requirements, clarity of presentation, follows instructions i.e. standard forms/templates; clear presentation and sequence of activities and the planning logical,	5

	realistic; other requirements met.	
2.	<i>Personnel/ Expertise and Experience</i>	50
2.1.	<i>Team leader</i>	20
2.1.1	A post-graduate degree in Economics/ Finance and Banking or relevant fields	4
2.1.2	Work and/or research experience in banking and finance and/or environmental and sustainability fields	4
2.1.3	Experience in research methods (social and economic sciences), and gathering and analysing primary qualitative and qualitative data.	4
2.1.4	Experience in: <ul style="list-style-type: none"> - Stakeholder Consultations; - Environmental issues, trends, impacts and indicators; Policy Analysis and Recommendations	4
2.1.5	A proven consultancy track-record with roles as consultant/team leader	2.5
2.1.6	Competent in English report writing (Provide 1-2 reference reports)	1.5
2.2.	<i>Team member 1</i>	15
2.2.1	A post-graduate degree in Development/ Environmental Economics / Finance and Banking or relevant fields	3
2.2.2	Work and/or research experience in banking and finance and/or environmental and sustainability fields	3
2.2.3	Experience in research methods (social and economic sciences), and gathering and analysing primary qualitative and qualitative data.	3
2.2.4	Experience in: <ul style="list-style-type: none"> - Environmental issues, trends, impacts and indicators; - Stakeholder Consultations; Policy Analysis and Recommendations	2
2.2.5	A proven consultancy track-record with roles as consultants	2
2.2.6	Competent in English report writing (Provide 1-2 reference reports)	2
2.3.	<i>Team member 2</i>	15
2.3.1	A post-graduate degree in Development/ Environmental Economics / Finance and Banking or relevant fields	3
2.3.2	Work and/or research experience in banking and finance and/or environmental and sustainability fields	3
2.3.3	Experience in research methods (social and economic sciences), and	3

	gathering and analysing primary qualitative and qualitative data.	
2.3.4	Experience in: <ul style="list-style-type: none"> - Environmental issues, trends, impacts and indicators; - Stakeholder Consultations; Policy Analysis and Recommendations	2
2.3.5	A proven consultancy track-record with roles as consultants	2
2.3.6	Competent in English report writing (Provide 1-2 reference reports)	2
	Total	100

TECHNICAL PROPOSAL FORMAT

The Technical Proposal should not exceed 20 pages (excluding the cover page, table of contents and writing samples, and other documents.) The bidding team should aim to write as succinctly as possible, and shorter proposals, if meeting the evaluation criteria, will not be penalized.

The Technical Proposal will respond directly to the evaluation criteria described above. The Technical Proposal will include the following, in this order and with indicative contents.

Section 1

- Introduction

[Brief introduction summarizing the Green Banking and its potential relevance to Green Growth and specific environmental impacts, as well as potential dimensions of its scope. Indicate some areas which may benefit from improved green banking and finance, such as sustainable energy investments, organic agriculture or products, etc.]

- Overview

[Brief review of definitions and concepts related to Green Banking.

Overview of issue nationally, including a survey or list of programs, initiatives, and regulations related to the subject, and its relevance to Green Growth. Relevant international context is provided.

If relevant, overview of statistics, benchmarks, and indicators could be described, in order for the Green Banking Overview to place Vietnam in an International Context.]

- Survey of the Literature

[The findings and conclusions of most relevant research undertaken in Vietnam and internationally will be briefly described and accurate sources will be provided. This survey could refer to some items in the overview, such as programs and initiatives.

The survey of the literature can refer to reports as well as articles in peer-reviewed journals, or other sources.

While it can refer to models and theories, it should not describe them in detail].

- Scoping

[The potential scope of the research will be described, with an understanding of how the scope could vary by environmental impacts, products, sectors, strategies, and other considerations.

Please provide some examples of the potential scope based on the above considerations and survey of the literature, indicate potential areas of study which would build on existing research, programs and initiatives, and not duplicate existing work.

Note how some areas of research, and potential research questions, could be supported by surveys and questionnaires.

Illustrate the potential contribution of the research to green growth, and relevance to stakeholders and government in order to produce evidence-based recommendations.

Note that the scope will be finalized in the Scoping and Methodology Phase and is subject to the approval of the Project.]

- Survey and Primary Data Gathering

Do not describe the survey/primary data gathering in detail, since this will be finalized

during the Scoping and Methodology Phase.

Describe how the methodology, surveying and data gathering strategies (questionnaires, interviews, both qualitative and quantitative approaches) could relate to potential research questions, and theoretical and practical challenges and limitations of these approaches, including issues related to sampling bias, anonymity, and other concerns.

Suggest how stakeholders may be selected and consulted for both quantitative and qualitative data, and how consultations and other sources of data may inform recommendations.

Describe how data could be compiled and analysed, both quantitatively and qualitatively.

It is expected that data gathering will require approximately 8 return flights to cities in Vietnam, and 4 land trips of several days to rural areas. However, the final research plan and data gathering trips will be finalized after the submission of the Research Plan at the end of the Scoping and Methodology phase.]

- Other

[Include any considerations relating to your team's potential approach to methodology*, stakeholder consultations, data collection*, or other items of importance.]

Section 2 – Approach and Implementation Plan

[as detailed below, and addressing the evaluation criteria]

Section 3 - Personnel

[as detailed below, and addressing the evaluation criteria]

*Note that Activity 4 relating to Survey and Data Gathering plans will be finalized during the Scoping and Methodology Phase. Therefore, while this activity should be related to the overall schedule, it should not be described in detail.

Note: Technical Proposals not submitted in this format may be rejected. The financial proposal must be included in separate envelope/email.

Country of Registration:	
Name of Contact Person for this Proposal:	
Address:	
Phone/Fax:	
Email:	

SECTION 2 - APPROACH AND IMPLEMENTATION PLAN

Please provide information/documents which respond to the specific requirements indicated under form 2 " Adequacy of the proposed approach, methodology, work plan and quality control responding to the TOR" in the evaluation criteria table, which includes among others:

2.1 Implementation Timelines: The Proposer shall submit a Project Schedule which clearly shows all activities, workshops/meetings, deliverables on a timeline and the two phases, respecting the approximate due dates of deliverables as indicated in this document.

The main aspects of the Project Schedule should also be shown in a diagram, with phases clearly marked.

2.2 Comments: Any other comments or information regarding the project approach and methodology that will be adopted.

Work approach to activities of particular importance is described (it is not necessary to address each activity separately).

Comments on how the activities, the schedule, methodology and objectives can be undertaken in a realistic way, and note concerns if any.

2.3. Technical Quality Assurance Review Mechanisms: Include details of the Proposer's internal technical and quality assurance review mechanisms

2.4 Statement of Full Disclosure: This is intended to disclose any potential conflict in accordance with the definition of "conflict" under AnnexIV of this document, if any.

SECTION 3 – PERSONNEL

3.3 Qualifications of Personnel.

Provide short 1 - 2 paragraph summaries of the qualifications, experience, and expertise of each team member most relevant to Green Banking Research.

In an Appendix, Provide the CVs for personnel (Team Leader, team members) that will be provided to support the implementation of this project. CVs should demonstrate qualifications in areas relevant to the Scope of Services (form enclosed).

In an Appendix, Provide information/documents which respond to the specific required degrees, qualifications under **Form 3 - "competencies of Key Personnel"** in the evaluation criteria table mentioned under DS 32 of the RFP. Please use the below format as reference.

3.2 Staff Time Allocation:

In an Appendix, provide a spreadsheet showing the activities of each staff member and the time allocated for his/her involvement, with the exception of Activity 4 relating to the survey and data gathering activities (the time allocated to survey and data gathering activities will be approved with the research and data gathering plan following the Scoping and Methodology Phase, and no personnel time needs to be allocated to it at this moment.).

(Note: No substitution of personnel with other personnel outside of the bidding team will be tolerated once the contract has been awarded except in extreme circumstances and with the written approval of the Project.

If substitution is unavoidable it will be with a person who, in the opinion of the Project, is at least as experienced as the person being replaced, and subject to the approval of the Project. No increase in costs will be considered as a result of any substitution.

It is understood, however, that after the project begins, within the team tasks may be allocated differently than proposed if this does not alter the total proposed number of person-days for each team member.)

3.1 Management Structure: Describe the overall management approach toward planning and implementing this activity.

Name:		
Position for this contract:		
Nationality:		
Contact information:		
Countries of Work Experience:		
Language skills:		
Educational and Other Qualifications:		
Summary of Experience: <i>Highlight experience in the region and on similar projects.</i>		
Relevant Experience (from most recent):		
Period: From – To <i>e.g. June 2008-January 2009</i>	Name of activity/project/funding organisation, if applicable:	Job title and activities undertaken/description of actual role performed:
Referees (minimum of three):		
Referee No. 1	<i>Name Designation Organization Contact Information – Address; Phone; Email; etc.</i>	
Referee No. 2	<i>Name Designation Organization Contact Information – Address; Phone; Email; etc.</i>	
Referee No. 3	<i>Name Designation Organization Contact Information – Address; Phone; Email; etc.</i>	
Declaration:		
<p>I confirm my intention to serve in the stated position and present availability to serve for the term of the proposed contract. I also understand that any wilful misstatement described above may lead to my disqualification, before or during my engagement.</p>		
<hr/>		
Signature of the Nominated Team Leader/Member		Date Signed

Annex III Financial Proposal Form

The Contractor is required to prepare the Price Schedule as a separate envelope or email from the rest of the proposal submission.

The Price Schedule must provide a detailed cost breakdown. Provide separate figures for each functional grouping or category.

Estimates for cost-reimbursable items, if any, such as travel, and out of pocket expenses should be listed separately.

In case of an equipment component to the service provided, the Price Schedule should include figures for both purchase and lease/rent options. The project reserves the option to either lease/rent or purchase outright the equipment through the Contractor.

The format shown on the following table should be used in preparing the price schedule. The format includes specific expenditures, which may or may not be required or applicable but are indicated to serve as examples only.

Note: The maximum total number of person-days of the consulting team is 250 days, which includes a maximum of 70 days allocated to conducting the survey (distributing questionnaires, interviews, etc. related to primary data gathering addressing the research question(s)). Costs related to flights and per diem should be included in the proposal. The details of the survey will be determined after the start of the project, based upon approved Research and Data Gathering Plans following the Scoping and Methodology Phase.

Cost Breakdown by Cost Component:

The Proposers are requested to provide the cost breakdown for the above given prices for each activity based on the following format. The project shall use the cost breakdown for the price reasonability assessment purposes as well as the calculation of price in the event that both parties have agreed to add new deliverables to the scope of Services.

Description of activities	Remuneration per Unit of Time (e.g., day, month, etc.)	Total period of engagement	# of personnel	Total rate for the period
I. Personnel services				
1. Services from Home Office				
a. Expertise 1				
b. Expertise 2				
2. Services from Field Office				
a. Expertise 1				
b. Expertise 2				
II. Out of pocket expenses				
1. Travel costs				
2. Daily allowance				
3. Communications				

4. Reproduction				
5. Equipment lease				
6. Others				
III. Other related costs				

[Name and Signature of the Service Provider's Authorized Person]

[Designation]

[Date]

[insert: Location, Date]

To: The Project Management Unit
Capacity Building for Policy Research, Training and Education to advance Green Development
Room 501, Building E4, 144 XuanThuy Road, CauGiay District, Hanoi, Vietnam

Dear Sir/Madam:

We, the undersigned, hereby offer to provide professional services for research consulting to the project of “Capacity Building for Policy Research, Training and Education to advance Green Development” of University of Economics and Business – Vietnam National University funded by UNDP Vietnam in accordance with your Request for Proposal dated and our Proposal. We are hereby submitting our Proposal, which includes the Technical Proposal and Financial Proposal sealed under a separate envelope.

We hereby declare that:

- a) All the information and statements made in this Proposal are true and we accept that any misrepresentation contained in it may lead to our disqualification;
- b) We are currently not on the removed or suspended vendor list of the UN or other such lists of other UN agencies, nor are we associated with, any company or individual appearing on the 1267/1989 list of the UN Security Council;
- c) We have no outstanding bankruptcy or pending litigation or any legal action that could impair our operation as a going concern; and
- d) We do not employ, nor anticipate employing, any person who is or was recently employed by the PMU or UNDP.

We confirm that we have read, understood and hereby accept the Terms of Reference describing the duties and responsibilities required of us in this TOR. We agree to abide by this Proposal for 120 days. We undertake, if our Proposal is accepted, to initiate the services not later than the date indicated in the TOR.

We fully understand and recognize that the PMU is not bound to accept this proposal, that we shall bear all costs associated with its preparation and submission, and that PMU will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the evaluation.

We remain,

Yours sincerely,

Authorized Signature [In full and initials]: _____

Name and Title of Signatory: _____

Name of Firm: _____

Contact Details: _____

[please mark this letter with your corporate seal, if available]

²No deletion or modification may be made in this form. Any such deletion or modification may lead to the rejection of the Proposal.