

Terms of reference (ToR) for the procurement of services

CONFIDENTIAL

Study on Behavior Change among CliPAD beneficiaries	Project number/ cost centre: G-011070-010
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0. List of abbreviations

AG	Commissioning party
AN	Contractor
AVB	General Terms and Conditions of Contract for supplying services and work
CliPAD	GIZ project "Climate Protection through Avoided Deforestation"
DAFO	District Agriculture and Forestry Office (now: District Agriculture and Environment Office – DAEO)
DONRE	District Office of Natural Resources and Environment (now under DAEO)
EFF	Environment and Forest Protection Fund
EPF	Environment Protection Fund (now: EFF)
FCPF	Forest Carbon Partnership Facility
FK	Expert
FKT	Expert days
FPIC	Free Prior Informed Consent
GCF	Green Climate Fund
I-GFLL	Implementation of the Lao People's Democratic Republic (Lao PDR) Emission Reductions Programme through improved governance and sustainable forest landscape management
KZFK	Short-term expert
MSME	Micro, Small and Medium Enterprise
PDMS	Provincial Deforestation Monitoring Systems
PLUP	Participatory Land Use Planning
PSAP	Promotion of Sustainable Agricultural Practices
REDD+	Reducing Emissions from Deforestation and Forest Degradation
SU-I-GFLM	Scaling Up the Implementation of the Lao People's Democratic Republic Emission Reductions Programme through improved governance and sustainable forest landscape management
ToRs	Terms of reference
VFAG	Village Forest and Agriculture Grant
VFMP	Village Forest Management/Conservation Planning

1. Context

Lao Peoples Democratic Republic (Lao PDR) is a landlocked Least Developed Country (LDC) economically dependent on natural resources, especially forestry, agriculture, hydropower and mining. Forests are among the most important economic sectors, providing income, a source of nutrition, and livelihoods for the rural population.

Northern Lao PDR is at high risk of climate change. This region is among the poorest in the country, and the agricultural sector largely depends on rainfed upland cultivation. The mountainous terrain is highly sensitive to climate change. At the same time, high rates of deforestation and forest degradation further exacerbate the northern regions' vulnerability. Six provinces, namely Bokeo, Houaphan, Luang Prabang, Luang Namtha, Sayabouri and Oudomxay experienced more than 40% of the country's deforestation and forest degradation during the period from 2005-2015. Deforestation and forest degradation exacerbate the risk of climate-related natural hazards and reduce the provision of key ecosystem services that could otherwise strengthen the coping capacity of local ecosystems and the communities that depend on them.

The BMZ-financed project "Climate Protection through Avoided Deforestation" (CliPAD) was launched in 2009 to support the Lao Government in its readiness for the Reducing Emissions from Deforestation and Forest Degradation (REDD+) process at national and sub-national levels. In 2019, CliPAD Phase IV received its first of two co-financing contributions from the Green Climate Fund (GCF FP117, 2020-2025). Due to the different phases and the donor structure, two names are now in use for the same project: CliPAD for communication with BMZ; and "Implementation of the Lao People's Democratic Republic (Lao PDR) Emission Reductions Programme through improved governance and sustainable forest landscape management" (I-GFLL) for communication with GCF. The second GCF co-financing (GCF FP200, 2023-2027) is referred to as "Scaling Up the Implementation of the Lao People's Democratic Republic Emission Reductions Programme through improved governance and sustainable forest landscape management" (SU-I-GFLM).

The project is expected to mitigate 11.7 million t CO₂eq between May 2020 and March 2027 and have a positive impact on 273,700 direct and 723,382 indirect beneficiaries in the six provinces listed above. As a climate-change mitigation activity, this avoidance of emissions will enable the government of Lao PDR to access REDD+ results-based payments provided by the Forest Carbon Partnership Facility (FCPF).

The project focuses on the following core areas:

- 1) Strengthening the enabling environment for REDD+ enhancing the availability of financing for a transformation in the way Lao PDR manages its forest landscapes; revising and strengthening the legal and regulatory framework for forestry; and improving the enforcement of the new regulatory framework.
- 2) Supporting deforestation-free agriculture and agroforestry by enhancing productivity, increasing farmers' integration into deforestation-free agricultural value chains, and

improving access to finance and private sector participation in economic activities that reduce pressure on forests.

3) Supporting the implementation of sustainable forest landscape management and forest landscape restoration on degraded forest lands. As part of the forestry component, the project introduces participatory planning for land and forest use and establishes a system to measure and monitor progress.

Figure 1 illustrates the project operation on village level. First, each village is informed about the project and its different activities as part of the step “Free Prior Informed Consent” (FPIC). If the village agrees to participate, a “Village Forest and Agriculture Grant” (VFAG) Committee is established, and a committee will be selected to handle all cash flows as part of project activities provided by the Environment and Forest Protection Fund (EFF). Next, each village is engaged in “Participatory Land Use Planning” (PLUP) which will provide the basis for the trainings on “Village Forest Management/Conservation Planning” (VFMP), as well as “Promotion of Sustainable Agricultural Practices” (PSAP), focused on agricultural extension for the production of deforestation-free and sustainable commodities. PSAP is complemented by activities supporting agricultural enterprises through matching grants. After the successful completion of all activities, the “Provincial Deforestation Monitoring Systems” (PDMS) as part of the project monitoring and evaluation systems will determine to what extent deforestation and forest degradation have been reduced determining if villages are eligible for additional bonus payments.

Implementation process at village level

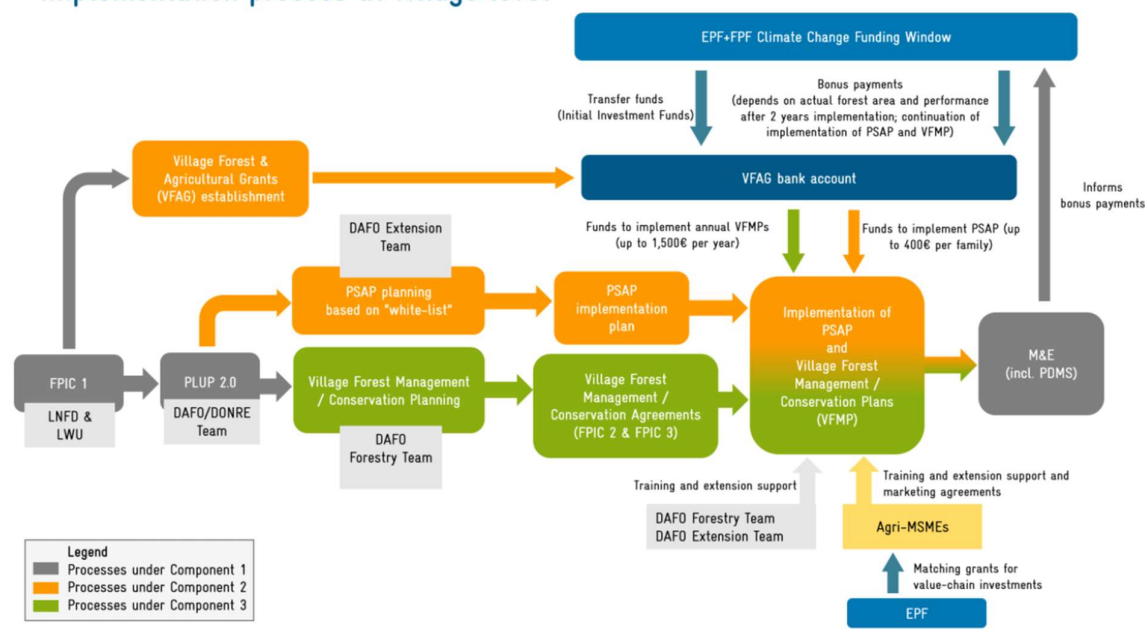


Figure 1: Overview of project implementation on village level

The project supports selected villages in Lao PDR by providing financial incentives and capacity building. It seeks to create long-term impact by:

- Preventing deforestation and forest degradation
- Encouraging sustainable land use and agriculture
- Reducing shifting cultivation (a major driver of emissions and air pollution)
- Promoting sustainable forest and agricultural value chains
- Enhancing livelihoods and resilience of forest-dependent communities

The objective of this study is to analyze key behavioral drivers and barriers to transition toward more sustainable forest management and agricultural practices in villages involved in the first phase of the project (FP117) running from 2020 to 2025. In particular, the study seeks to (1) better understand the potential of direct and indirect financial incentives to induce long-term behavior change among villagers, and (2) identify additional social behavior change (SBC) solutions on individual and institutional level and assess them regarding feasibility.

The expected outcome of this study is a body of clear and evidence-based recommendations for project-specific and broader policy actions that will lead toward SBC for more sustainable forest management and a transformation to a sustainable agri-food system. The recommendations are expected to inform future project choices, as well as the development of interventions linked more broadly to the agricultural and forestry sectors in Lao PDR.

2. Tasks to be performed by the contractor

The contractor is responsible for providing the following services:

- Develop a methodological approach and study design based on available reports and data within the project
- Conduct a behavioral analysis to understand key behavioral drivers/barriers linked to the project activities and design
- Conduct fieldwork in up to six villages across the project provinces, namely Luang Prabang, Sayaboury and Houaphan
- Develop a tool kit on SBC solutions for organizations and governmental institutions to inform future project design seeking to reduce deforestation in Lao PDR
- Assess the feasibility of the proposed solutions among others in terms of appeal to villagers, cost to implement, acceptability to government
- Present the study outcomes and recommendations within and outside of GIZ

In the provision of these services, the contractor is responsible for:

- selecting, preparing, training and managing a team of appropriate international and national, short and long-term experts assigned to perform the relevant tasks;
- providing equipment and supplies (consumables), and assuming the associated operating and administrative costs;
- managing costs and expenditures, accounting processes and invoicing in line with the requirements of GIZ;
- reporting regularly to GIZ in accordance with the current AVB of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

In addition to the reports required by GIZ in accordance with the AVB, the contractor will submit the following reports:

- Inception report
- Study design and methodological plan
- Data reports and transcripts from field work

- Final report and presentation (separate documents)
- Policy briefs for GIZ and the government of Lao PDR and tool kit on SBC in the forestry and agricultural sectors of Lao PDR (the number, length and format for these should be specified in the proposal bid)

Certain milestones, as laid out in the table below, are to be achieved during the contract term:

Milestones/process steps/partial services	Deadline/place/person responsible
Inception report has been submitted	01.10.2026
Methodological approach and study design have been submitted and agreed	16.10.2026
Field work has been conducted	08.01.2027
Data reports and transcripts from field work	22.01.2027
Draft tool kit and recommendations are submitted for feedback	29.01.2027
Tool kit has been finalized	05.02.2027
Final report is submitted for feedback	12.02.2027
Final report, presentation and policy brief have been submitted	19.02.2027
Study results and recommendations have been presented	26.02.2027

Period of assignment: from 22.09.2026 until 31.03.2027.

3. Concept

In the tender, the tenderer is required to show *how* the objectives defined in Chapter 2 (Tasks to be performed) are to be achieved, if applicable under consideration of further method-related requirements (technical-methodological concept). In addition, the tenderer must describe the project management system for service provision.

Note: The numbers in parentheses correspond to the lines of the technical assessment grid.

Technical-methodological concept

Strategy (1.1): The tenderer is required to consider the tasks to be performed with reference to the objectives of the services put out to tender (see Chapter 1 Context) (1.1.1). Following this, the tenderer presents and justifies the explicit strategy with which it intends to provide the services for which it is responsible (see Chapter 2 Tasks to be performed) (1.1.2).

The tenderer is required to present and explain its approach to **steering** the measures with the project partners (1.3.1) and its contribution to the **results-based monitoring system** (1.3.2).

The tenderer is required to describe the key **processes** for the services for which it is responsible and create an **operational plan** or schedule (1.4.1) that describes how the services according to Chapter 2 (Tasks to be performed by the contractor) are to be provided.

The tenderer is required to describe its contribution to knowledge management for the partner (1.5.1) and GIZ and to promote scaling-up effects (1.5.2) under **learning and innovation**.

Project management of the contractor (1.6)

The tenderer is required to explain its approach for coordination with the GIZ project. In particular, the project management requirements specified in Chapter 2 (Tasks to be performed by the contractor) must be explained in detail.

The tenderer is required to draw up a **personnel assignment plan** with explanatory notes that lists all the experts proposed in the tender; the plan includes information on assignment dates (duration and expert days) and locations of the individual members of the team complete with the allocation of work steps as set out in the schedule.

The tenderer is required to describe its backstopping concept. The following services are part of the standard backstopping package, which (like ancillary personnel costs) must be factored into the fee schedules of the staff listed in the tender in accordance with Section 3.3.1 of the GIZ AVB:

- Service-delivery control
- Managing adaptations to changing conditions
- Ensuring the flow of information between the tenderer and GIZ
- Assuming personnel responsibility for the contractor's experts
- Process-oriented steering for implementation of the commission
- Securing the administrative conclusion of the project

Further requirements (1.7)

Consideration of cross-cutting themes, in particular gender and ethnic minorities, in the design of the study and analysis.

4. Personnel concept

The tenderer is required to provide personnel who are suited to filling the positions described, on the basis of their CVs (see Chapter 7), the range of tasks involved and the required qualifications.

The below specified qualifications represent the requirements to reach the maximum number of points in the technical assessment.

Team leader

Tasks of the team leader

- Overall responsibility for the advisory packages of the contractor (quality and deadlines)
- Coordinating and ensuring communication with GIZ, partners and others involved in the project
- Personnel management, in particular identifying the need for short-term assignments within the available budget, as well as planning and steering assignments and supporting local and international short-term experts
- Regular reporting in accordance with deadlines
- Design methodological approach

Qualifications of the team leader

- Education/training (2.1.1): university degree (German 'Diplom'/Master) in communication, social science or similar areas.
- Language (2.1.2): C1-level language proficiency in English
- General professional experience (2.1.3): 10 years of professional experience in the behavioral science sector
- Specific professional experience (2.1.4): 5 years of experience in human-centered design
- Leadership/management experience (2.1.5): 10 years of management/leadership experience as project team leader or manager in a company
- Regional experience (2.1.6): 10 years of experience in projects in Southeast Asia, of which 2 years in projects in Lao PDR
- Development cooperation (DC) experience (2.1.7): 5 years of experience in DC projects
- Other (2.1.8): - not applicable -

Key expert 1: Behavioral Science Specialist with national experience

Tasks of key expert 1

- Conduct data collection on village level as part of field team two
- Design field work schedule
- Data analysis

Qualifications of key expert 1

- Education/training (2.2.1): university degree (German 'Diplom'/Master) in communication, social science or similar areas.
- Language (2.2.2): C1 -level language proficiency in English
- General professional experience (2.2.3): 10 years of professional experience in the behavioral science sector
- Specific professional experience (2.2.4): 5 years of experience in research design and data collection
- Leadership/management experience (2.2.5): - not applicable
- Regional experience (2.2.6): 5 years of experience in projects in Southeast Asia, of which 1 year in projects in Lao PDR
- Development Cooperation (DC) experience (2.2.7): 3 years of experience in DC projects
- Other (2.2.8): - not applicable -

Key expert 2: Agricultural/Forestry data specialist with national experience

Tasks of key expert 2

- Conduct data collection on village level as part of field team two
- Design field work schedule
- Data analysis

Qualifications of key expert 2

- Education/training (2.2.1): university degree (German 'Diplom'/Master) in agriculture, forestry, environment or similar areas

- Language (2.2.2): C1 -level language proficiency in English
- General professional experience (2.2.3): 5 years of professional experience in the agriculture or forestry sector
- Specific professional experience (2.2.4): 2 years of experience in data collection
- Leadership/management experience (2.2.5): - not applicable
- Regional experience (2.2.6): 5 years of experience in projects in Southeast Asia, of which 1 year in projects in Lao PDR
- Development Cooperation (DC) experience (2.2.7): 3 years of experience in DC projects
- Other (2.2.8): - not applicable -

Soft skills of team members

In addition to their specialist qualifications, the following qualifications are required of team members:

- Team skills
- Initiative
- Communication skills
- Socio-cultural skills
- Efficient, partner- and client-focused working methods
- Interdisciplinary thinking

Short-term expert pool with 4 short-term experts: Research Support on data collection and facilitation

For the technical assessment, an average of the qualifications of all specified members of the expert pool is calculated. Please send a CV for each pool member (see below Chapter 7 Requirements on the format of the bid) for the assessment.

Tasks of the short-term expert pool

- Facilitate data collection on village level
- Support in data collection
- Coordinate with villagers and relevant institutions
- Translate and interpret Lao to English and vice versa

Qualifications of the short-term expert pool

- Education/training (2.6.1): 2 experts with university qualification (German 'Diplom'/Master) in agriculture, forestry or other related sectors, 2 experts with university qualification in communication, English language or similar fields (German 'Diplom'/Master)
- Language (2.6.2): 2 experts with C1-level language proficiency in Lao language and B2-level language proficiency in English language. 2 experts with C1-level language proficiency in English
- General professional experience (2.6.3): 2 experts with 10 years of professional experience in the agricultural or forestry sector, 2 experts with 5 years of professional experience in the area of translation and interpretation
- Specific professional experience (2.6.4): 2 experts with 2 years of professional experience in qualitative data collection, 2 experts with 2 years of professional experience in working with local communities and ethnic minorities

- Regional experience (2.6.5): 2 experts with 5 years of experience in Southeast Asia, 2 experts with 5 years of experience in Lao PDR
- Development cooperation (DC) experience (2.6.6): 2 experts with 5 years of experience in DC
- Other (2.6.7): - not applicable -

The tenderer must provide a clear overview of all proposed short-term experts and their individual qualifications.

5. Costing requirements

Assignment of personnel and travel expenses

Per diem allowances are reimbursed as a lump sum up to the maximum amounts permissible under tax law for each country as set out in the country table in the circular from the German Federal Ministry of Finance on travel expense remuneration (downloadable from the [German Federal Ministry of Finance – tax treatment of travel expenses and allowances for international business travel as of 1 January 2025 \(GERMAN ONLY\)](#)).

Accommodation allowances are reimbursed as detailed in the specification of inputs below.

With special justification, additional Accommodation costs up to a reasonable amount can be reimbursed against evidence.

All business travel must be agreed in advance by the officer responsible for the project

Sustainability aspects for travel

GIZ has undertaken an obligation to reduce greenhouse gas emissions (CO₂ emissions) caused by travel. When preparing your tender, please incorporate options for reducing emissions, such as selecting the lowest-emission booking class (economy) and using means of transport, airlines and flight routes with a higher CO₂ efficiency. For short distances, travel by train (second class) or e-mobility should be the preferred option.

CO₂ emissions caused by air travel must be offset. GIZ specifies a budget for this, through which the carbon offsets can be settled against evidence.

There are many different providers in the market for emissions certificates, and they have different climate impact ambitions. The [Development and Climate Alliance \(German only\)](#) has published a [list of standards \(German only\)](#). GIZ recommends using the standards specified there.

Specification of inputs

Fee days	Number of experts	Number of days per expert	Total	Comments
Designation of TL	1	12	12	No travel to the country of assignment foreseen

Designation of key expert 1	1	20	20	
Designation of key expert 2	1	20	20	
Designation of short-term expert pool	4	12	48	
Travel expenses	Quantity	Number per expert	Total	Comments
Fixed travel budget	1		7500	Travel will be agreed upon with GIZ after contract start following the proposed research design and availability within the project regions A fixed budget of EUR 7500 is earmarked for settling travel expenses against evidence or performance (e.g. time-sheets for per diem). You can find further information on the travel expense budget in the 'Price schedule' document. Please use the 'Explanations' column in the price schedule to break down the individual items. Settlement is possible only until the budget is depleted. The travel budget calculation shall include an earmarked budget of 15 EUR per one-way flight to settle carbon offsets
Other costs	Number	Price	Total	Comments
Flexible remuneration	1	2,000	2,000	A budget of EUR 2,000 is foreseen for flexible remuneration. Please incorporate this budget into the price schedule. Use of the flexible remuneration item requires prior written approval from GIZ.

6. Inputs of GIZ or other actors

GIZ and/or other actors are expected to make the following available:

- Transportation on site with own project vehicle
- Logistics for workshops:

- Data collection on village level
- Final presentation to external stakeholders

7. Requirements on the format of the tender

The structure of the tender must correspond to the structure of the ToR. In particular, the detailed structure of the concept (Chapter 3) should be organised in accordance with the positively weighted criteria in the assessment grid (not with zero). The tender must be legible (font size 11 or larger) and clearly formulated. It must be drawn up in English (language).

The complete tender must not exceed 10 pages (excluding CVs). If one of the maximum page lengths is exceeded, the content appearing after the cut-off point will not be included in the assessment. External content (e.g. links to websites) will also not be considered.

The CVs of the personnel proposed in accordance with Chapter 4 of the ToRs must be submitted using the format specified in the terms and conditions for application. The CVs shall not exceed 4 pages each. They must clearly show the position and job the proposed person held in the reference project and for how long. The CVs can also be submitted in English (language).

Please calculate your financial tender based exactly on the parameters specified in Chapter 5 Quantitative requirements. The contractor is not contractually entitled to use up the days, trips, workshops or budgets in full. The number of days, trips and workshops and the budgets will be contractually agreed as maximum limits. The specifications for pricing are defined in the price schedule.

8. Outsourced processing of personal data

The performance of the contract may be associated with the processing of personal data by the contractor, such as (but not limited to) names and contact information, in which case the contractor will alone define the nature of such data and how such processing is carried out. In such cases, the contractor shall act as an independent DATA CONTROLLER and must alone comply with ALL applicable data protection obligations, including those stemming from regional and local laws. The contractor shall process personal data only when a given goal cannot be reasonably attained without such data. Data protection principles such as lawfulness, data minimization, accuracy, purpose limitation, storage limitation, transparency, integrity and confidentiality, and accountability, as well as the numerous rights of the data subject must be observed and implemented. GIZ is NOT in any way responsible for such processing.

Whenever the contractor executes the instructions of a partner of GIZ with regard to such processing, the partner shall be the data controller, and the data processing shall be carried out in accordance with the partner's instructions as well as laws and standards to which it is subject.

If the contractor is not subject to the GDPR and the applicable laws do not contain any explanation on the data protection principles and rights mentioned here, the definitions and principles provided by the GDPR (Regulation (EU) 2016/679) could be helpful. The GIZ is available to support the contractor whenever need arises.