



REQUEST FOR PROPOSAL (RFP)
(Ref. B-190902)

From firms/institutes/organizations

Dear Sir / Madam:

We kindly request you to submit proposal for **national firm/institute/organization** to develop a tool for assessing the quality of public services under the management of the Ministry of Justice - Activity 4.5.2.1 (EU JULE Programme).

Please be guided by the form attached hereto as Annex 2 (a-b-c), in preparing your Proposal.

Proposals may be submitted on or before **Thursday, September 19, 2019** (Hanoi time) by the following methods:

<p><u>By email: For green environment, this is preferred submission method</u></p> <p>E-mail address for proposal submission: quach.thuy.ha@undp.org</p> <p>Separate emails for technical and financial proposal.</p> <p><u>With subject line:</u> (B-190902) A national institution/firm to develop tool for assessing quality of public services (EU JULE Programme)</p> <p>Maximum size per email: 30 MB. Bidders can split proposal into several emails if the file size is large)</p>	<p><u>By hard copy: (within working hours 8.00 am - 5.00 pm Monday - Friday only)</u></p> <p>Address for proposal submission:</p> <p>Procurement Unit UNDP Vietnam 304 Kim Ma Street, Hanoi, Vietnam</p> <p><u>With envelop subject</u> (B-190902) A national institution/firm to develop tool for assessing quality of public services (EU JULE Programme)</p> <p>When submitting hard copy proposals, please call one of the following staff to receive hard copy proposal:</p> <ol style="list-style-type: none">1. Ms. Quach Thuy Ha, Procurement Assistant Tel: +84-24-385001432. Ms. Luu Ngoc Diep, Procurement Associate Tel: +84-24-38500200 <p>The bidder is requested to sign a bid submission form when delivering proposal.</p>
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Note:

- *For both submission methods, please send separate email (without attachment) to procurement.vn@undp.org notifying that you already submitted proposal and the number of email submitted (in case submitted by email). Notification emails should be sent to above address by submission deadline or right after you submit proposals).*
- *UNDP will acknowledge receipt of the proposals within 2 working days from the submission deadline. In case you do not receive acknowledgement, please contact us within 3 working days after submission deadline.*

Your Proposal must be expressed in the English language, and valid for a minimum period of 120 days from the date of bid submission.

In the course of preparing your Proposal, it shall remain your responsibility to ensure that it reaches the address above on or before the deadline. Proposals that are received by UNDP after the deadline indicated above, for whatever reason, shall not be considered for evaluation. If you are submitting your Proposal by email, kindly ensure that they are signed and in the .pdf format, and free from any virus or corrupted files.

Services proposed shall be reviewed and evaluated based on completeness and compliance of the Proposal and responsiveness with the requirements of the RFP and all other annexes providing details of UNDP requirements.

The Proposal that complies with all of the requirements, meets all the evaluation criteria and offers the best value for money shall be selected and awarded the contract. Any offer that does not meet the requirements shall be rejected.

Any discrepancy between the unit price and the total price shall be re-computed by UNDP, and the unit price shall prevail and the total price shall be corrected. If the Service Provider does not accept the final price based on UNDP's re-computation and correction of errors, its Proposal will be rejected.

No price variation due to escalation, inflation, fluctuation in exchange rates, or any other market factors shall be accepted by UNDP after it has received the Proposal. At the time of Award of Contract or Purchase Order, UNDP reserves the right to vary (increase or decrease) the quantity of services and/or goods, by up to a maximum twenty five per cent (25%) of the total offer, without any change in the unit price or other terms and conditions.

Any Contract or Purchase Order that will be issued as a result of this RFP shall be subject to the General Terms and Conditions attached hereto. The mere act of submission of a Proposal implies that the Service Provider accepts without question the General Terms and Conditions of UNDP, herein attached as Annex 3.

Please be advised that UNDP is not bound to accept any Proposal, nor award a contract or Purchase Order, nor be responsible for any costs associated with a Service Providers preparation and submission of a Proposal, regardless of the outcome or the manner of conducting the selection process.

UNDP's vendor protest procedure is intended to afford an opportunity to appeal for persons or firms not awarded a Purchase Order or Contract in a competitive procurement process. In the event that you believe you have not been fairly treated, you can find detailed information about vendor protest procedures in the following link: <http://www.undp.org/procurement/protest.shtml>.

UNDP encourages every prospective Service Provider to prevent and avoid conflicts of interest, by disclosing to UNDP if you, or any of your affiliates or personnel, were involved in the preparation of the requirements, design, cost estimates, and other information used in this RFP.

UNDP implements a zero tolerance on fraud and other proscribed practices, and is committed to preventing, identifying and addressing all such acts and practices against UNDP, as well as third parties

involved in UNDP activities. UNDP expects its Service Providers to adhere to the UN Supplier Code of Conduct found in this link : http://www.un.org/depts/ptd/pdf/conduct_english.pdf

Thank you and we look forward to receiving your Proposal.

Sincerely yours,

Tran Thi Hong
Head, Procurement Unit
9/5/2019

Description of Requirements

Context of the Requirement	Please see information in the TOR
Implementing Partner of UNDP	Please see information in the TOR
Brief Description of the Required Services	An institution/firm to develop a tool for assessing the quality of public services under the management of the Ministry of Justice - Activity 4.5.2.1 (EU JULE Programme)
List and Description of Expected Outputs to be Delivered	Please see information in the TOR
Person to Supervise the Work/Performance of the Service Provider	Governance and Participation Unit, UNDP Vietnam and the Office of Ministry of Justice.
Frequency of Reporting	Please refer to the TOR
Progress Reporting Requirements	Please refer to the TOR
Location of work	<input type="checkbox"/> Exact Address: <input checked="" type="checkbox"/> Hanoi with missions to Lao Cai, Nghe An, Quang Nam, Dong Thap, Ho Chi Minh city
Expected duration of work	September – December 2019
Target start date	23 September 2019
Latest completion date	30 December 2019
Travels Expected	Please refer to the TOR
Special Security Requirements	Not applicable
Facilities to be Provided by UNDP (i.e., must be excluded from Price Proposal)	<input type="checkbox"/> Office space and facilities <input type="checkbox"/> Land Transportation <input type="checkbox"/> Others <i>[pls. specify]</i>
Implementation Schedule indicating breakdown and timing of activities/sub-activities	<input checked="" type="checkbox"/> Required <input type="checkbox"/> Not Required
Names and curriculum vitae of individuals who will be involved in completing the services	<input checked="" type="checkbox"/> Required <input type="checkbox"/> Not Required
Currency of Proposal	<input type="checkbox"/> United States Dollars <input type="checkbox"/> Euro <input checked="" type="checkbox"/> Local Currency (Vietnam Dong) For the purposes of comparison of all Proposals: UNDP will convert the currency quoted in the Proposal into the UNDP preferred

	currency, in accordance with the prevailing UN operational rate of exchange on the proposal submission deadline.
Value Added Tax on Price Proposal	<input checked="" type="checkbox"/> must be inclusive of VAT and other applicable indirect taxes <input type="checkbox"/> must be exclusive of VAT and other applicable indirect taxes
Validity Period of Proposals (Counting for the last day of submission of quotes)	<input checked="" type="checkbox"/> 120 days In exceptional circumstances, UNDP may request the Proposer to extend the validity of the Proposal beyond what has been initially indicated in this RFP. The Proposal shall then confirm the extension in writing, without any modification whatsoever on the Proposal.
Partial Quotes	<input checked="" type="checkbox"/> Not permitted <input type="checkbox"/> Permitted
Payment Terms	As indicated in the TOR. Condition for Payment Release: Within thirty (30) days from the date of meeting the following conditions: a) UNDP's written acceptance (i.e., not mere receipt) of the quality of the outputs; and b) Receipt of invoice from the Service Provider.
Person(s) to review/inspect/ approve outputs/completed services and authorize the disbursement of payment	Governance and Participation Unit, UNDP Vietnam and the Office of Ministry of Justice.
Type of Contract to be Signed	<input checked="" type="checkbox"/> Contract for Professional Services
Criteria for Contract Award	<input checked="" type="checkbox"/> Highest Combined Score (based on the 70% technical offer and 30% price weight distribution) <input checked="" type="checkbox"/> Full acceptance of the UNDP Contract General Terms and Conditions (GTC). This is mandatory criteria and cannot be deleted regardless of the nature of services required. Non-acceptance of the GTC may be grounds for the rejection of the Proposal.
Criteria for the Assessment of Proposal	Proposal shall be considered technically qualified if it achieves minimum 70% of total obtainable technical points. Weight of technical and financial point: <u>Technical Proposal (70%)</u> <u>Financial Proposal (30%)</u> Financial score will be computed as a ratio of the Proposal's offer to the lowest price among the proposals received by UNDP. <i>See detailed evaluation criteria in the below table.</i>
UNDP will award the contract to:	<input checked="" type="checkbox"/> One bidder
Annexes to this RFP	<input checked="" type="checkbox"/> Detailed TOR (Annex 1) <input checked="" type="checkbox"/> Form for Submission of Proposal (Annex 2a: Technical proposal; Annex 2b: Financial proposal; Annex 2c: Submission check-list) <input checked="" type="checkbox"/> Contract for Goods/Services (Annex 3) <input checked="" type="checkbox"/> General Terms and Conditions de minimis (for contract below \$50k) (Annex 3)

	<input checked="" type="checkbox"/> or General Terms and Conditions (for contract above \$50k) (Annex 3) ¹
Pre-bid Meeting	<p>Time: 14.00 hrs (2.00 pm) Date: Tuesday, September 10, 2019 Venue: 304 Kim Ma street, Ba Dinh District, Ha Noi</p> <p>The UNDP focal point for the arrangement of pre-bid meeting is: Ms. Quach Thuy Ha, Procurement Assistant Tel: (+84-24) 38500143 E-mail: quach.thuy.ha@undp.org</p> <p>Kindly contact the above focal point to register for the pre-bid meeting at least 1 day in advance.</p>
Contact Person for Inquiries (Written inquiries only) ²	<p>Ms. Quach Thuy Ha Procurement Assistant, UNDP Vietnam Email: quach.thuy.ha@undp.org</p> <p>Any delay in UNDP's response shall be not used as a reason for extending the deadline for submission, unless UNDP determines that such an extension is necessary and communicates a new deadline to the Proposers.</p>
Other information	

EVALUATION CRITERIA

Summary of Technical Proposal Evaluation Forms		Scores
1.	Bidder's qualification, capacity and experience	200
2.	Proposed Methodology, Approach and Implementation Plan	400
3.	Management Structure and Key Personnel	400
	Total	1000

Section 1. Bidder's qualification, capacity and experience		Scores
1.1	Reputation of Organization and Staff Credibility / Reliability / Industry Standing	50
1.2	Relevance of specialized knowledge and experience on similar engagements done in the region/country	70
1.4	Quality assurance procedures and risk mitigation measures	30
1.5	Working experience with government officials, desirable related to the legal sector	50
Total Section 1		200

¹ Service Providers are alerted that non-acceptance of the terms of the General Terms and Conditions (GTC) may be grounds for disqualification from this procurement process

² This contact person and address is officially designated by UNDP. If inquiries are sent to other person/s or address/es, even if they are UNDP staff, UNDP shall have no obligation to respond nor can UNDP confirm that the query was received.

Section 2. Adequacy of the Proposed Methodology, Approach and Implementation Plan responding to the TOR		Scores
2.1	Does the suggested research schedule sufficiently address the key tasks/responsibilities expressed in the TOR?	50
2.2	Is the suggested methodology for the research sufficient to address the needs/demands of the TOR?	80
2.3	Does the proposal commit commissioning a strong team of national experts to deliver the expected outputs?	50
2.4	Does the proposal commit adequate human and logistical resources (including support staff, translation/interpretation etc.) to ensure high-quality and timely delivery of the report?	70
2.5	Is the presentation of the proposal clear and provided with succinct sequence of approaches to the research?	100
2.6	Demonstration of ability to plan, integrate and effectively implement sustainability measures in the execution of the contract	50
Total Section 2		400

Section 3. Management Structure and Key Personnel		Scores
3.1	Team Leader	250
	Master's degree in law;	50
	Proven track record of conducting research, designing survey tool, survey and data analysis;	50
	Minimum of 5 years of work experience in legal field;	50
	Working experience with government agencies, desirable related to the legal sector; and working experience relating to the public services managed by the MOJ is an advantage;	30
	Have knowledge and working experience with vulnerable groups would be an assess;	20
	Working experience as a team leader of a consultant team is desirable	20
	Excellent report writing skills in Vietnamese and English	30
3.2	Team members	150
	University degree in social sciences, law or related fields;	40
	Proven track record of conducting research, survey and data analysis;	30
	Minimum of 5 years of work experience in legal field;	30
	Have knowledge and working experience with vulnerable groups would be an assess;	20
	Excellent report writing skill;	20
	Working experience in designing capacity need assessment tool is an asset	10
Total Section 3		400

TERMS OF REFERENCE



Empowered lives.
Resilient nations.

Service:	Developing a tool for assessing the quality of public services under the management of the Ministry of Justice - Activity 4.5.2.1 (EU JULE Programme)
Duty station:	Hanoi with missions to Lao Cai, Nghe An, Quang Nam, Dong Thap, Ho Chi Minh city
Expected Duration	September to December 2019
National or International firm:	National consultancy firm
Supervision:	The service provider will work closely with the Program Officer in charge at the UNDP Governance and Participation Unit, the Office of the Ministry of Justice

1. BACKGROUND

The Ministry of Justice (MOJ) currently manages and provides public services in 18 areas with a total of 440 administrative procedures directly related to people and businesses, such as civil status registration, notarization and authentication, granting criminal records, legal aid, and others. The improvement of the quality of public service provision and people's satisfaction when using public services is one of the key tasks of the MOJ.

By Decision No. 225/QĐ-TTg dated February 4, 2016 of the Prime Minister on approving the State administrative reform plan for the period of 2016-2020, the MOJ was assigned to develop a project for measuring people's satisfaction with public services under the management of the MOJ. The MOJ assigned the implementation of this task to the Office of the Ministry (OMOJ).

In 2018, OMOJ conducted a survey to determine the factors affecting people's satisfaction when using the public services under the management of the MOJ. On that basis, a draft questionnaire was prepared to measure people's satisfaction when using the public services under the management of the MOJ.

The EU Justice and Legal Empowerment Programme (EU JULE), implemented by the MOJ with UNDP and UNICEF, is designed to strengthen the rule of law through a more reliable, trusted and better accessed justice system, and specifically to increase access to justice for women, children and those groups which, according to dependable data, face the greatest obstacles in using the justice system to invoke their rights including ethnic minorities and poor people.

Activity 4.5 under this Programme is to support MOJ to measure performance in the justice sector to monitor the performance of justice agencies at local level. In order to assess the quality of the mentioned services, it is necessary to measure various aspects that matter to the justice agencies' functions, such as: relevant laws and regulations, capacity of personnel, the use of technology, procedures, infrastructure and so on. As the first step of the measurement process, OMOJ and UNDP will work together to develop a report assessing the public services under the management of MOJ through perceptions of service users.

Under this activity, UNDP will hire a consultancy firm to support OMOJ in the development of a participatory and empirical tool for assessing quality of public services under the management of the MOJ. The tool will be utilized for construction of a tool to measure performance in the sector. This assignment should build upon previous work of the MOJ on the survey to measure people's satisfaction when using the public services under the management of the MOJ, as well as the Justice Index previously developed by UNDP.

2. OBJECTIVES OF THE ASSIGNMENT

- To revise and turn the current draft questionnaire into a participatory and empirical tool for survey and data collection to assess quality of the public services managed by the Ministry of Justice in three areas: civil status registration, notarization and authentication and granting criminal records.
- To test the tool to assess quality of the public services managed by the Ministry of Justice in six selected provinces.
- To provide recommendations for further steps, for example, revising the tool to expand to other public services.

3. SCOPE OF WORK

The below activities will be carried out by a national consultancy firm hired by UNDP in cooperation with the OMOJ. The national consultancy firm will work closely with an international consultant hired by UNDP to:

- In consultation with UNDP, OMOJ and the provincial departments of justice of the 6 selected surveyed provinces, revise and turn the current draft questionnaire into a participatory and empirical tool for survey and data collection to assess quality of the public services managed by the MOJ in three areas: civil status registration, notarization and authentication and granting criminal records. The tool includes three sets of questionnaires for the three above mentioned areas with general and specific questions for each area.
- Prepare and deliver a presentation at a consultation workshop organized by the OMOJ on the draft survey tool, collect comments from workshop's participants on the tool.
- Revise the survey tool in accordance with the comments received from the workshop, provincial departments of justice, UNDP, and the OMOJ.
- Test the revised survey tool to assess the quality of the public services managed by the Ministry of Justice in six identified provinces: Ha Noi, Lao Cai, Nghe An, Quang Nam, Dong Thap, Ho Chi Minh city. The survey should include filling out the questionnaires, interviews and groups discussions. As for the questionnaires, the survey should be conducted in a representative sample of districts and communes in each of the selected provinces, with a minimum of 300 survey respondents – service users, including from vulnerable groups (women, ethnic minority, people with disability, the poor) in each province including on purpose samples and random samples. The selection of samples should be based on sample selection methodology of PAPI (see www.papi.org.vn) and Viet Nam Justice Index (www.chisocongty.vn/en). Baseline data will so far as possible be disaggregated by geographical location, gender, ethnic origin, disability and other relevant criteria. As for the interviews, they should follow the principles of neutral and friendly interview settings and quality control (see the PAPI methodology attached as Appendix 1), with a minimum of 100 service user interviewees for each province.
- Analyse the data collected from the survey, develop a survey report, that includes an executive summary and recommendations for next steps, including revising the tool to expand to other public

services managed by MOJ.

- Prepare and deliver a presentation on the survey report at a consultation workshop organized by the OMOJ, collect comments from workshop's participants.
- Finalize the survey report and revise the survey tool in accordance with the comments received from the workshop, UNDP, and the OMOJ.

4. OUTPUTS

The service provider, in collaboration with the OMOJ and UNDP Vietnam, shall work together with an international expert to deliver the outputs as described below:

Outputs	Description	Expected Results	Deadlines
Output 1	Develop a workplan for implementing the activity	- Workplan	16 September 2019
Output 2	Develop a participatory and empirical tool for survey and data collection to assess quality of the public services under management of the MOJ	Survey tool	27 September 2019
Output 3	Develop an outline of the report	Report outline	1 October 2019
Output 3	Prepare and deliver presentation at a consultation workshop on the draft survey tool	- Power point presentation	4 October 2019
Output 4	Revise the survey tool	- Revised tool	9 October 2019
Output 5	Test the revised survey tool to assess the quality of the public services managed by the Ministry of Justice in three areas: civil status registration, notarization and authentication, and granting criminal records, in six identified provinces	- Survey data collected	End of October 2019
Output 6	Analyse the data collected from the survey Develop a survey report, that includes recommendations for further steps	- Survey report	Mid November 2019
Output 7	Prepare and deliver presentation on the survey report at a consultation workshop	- Power point presentation	End of November 2019
Output 8	Finalize the survey report and revise the survey tool	- Final survey report and revised survey tool	December 2019

5. FINAL PRODUCTS

- A participatory and empirical tool for survey and data collection to assess quality of the public services managed by the Ministry of Justice in three areas: civil status registration, notarization and authentication and granting criminal records.
- A survey report (executive summary and full report) including baseline data and analysis about the quality of the public services managed by the Ministry of Justice in three areas: civil status

registration, notarization and authentication, and granting criminal records, in six identified provinces, and recommendations for further steps, for example, revising the tool to expand to other public services.

6. DURATION OF ASSIGNMENT, DUTY STATION AND EXPECTED PLACES OF TRAVEL

The service provider shall work closely with an international expert on this assignment and deliver final outputs as described in section 4 above. The service provider is expected to provide services specified in this TOR from September to December 2019. The duty station for this assignment shall be Hanoi with missions to the 5 above mentioned provinces.

7. DEGREE OF EXPERTISE AND QUALIFICATIONS

Interested Vietnamese consultancy firms, universities, NGOs shall form a team that consists of one senior technical expert – team leader and other technical experts – team members.

Senior technical expert – team leader:

- Master's degree in law;
- Proven track record of conducting research, designing survey tool, survey and data analysis;
- Minimum of 5 years of work experience in legal field;
- Working experience with government agencies, desirable related to the legal sector; and working experience relating to the public services managed by the MOJ is an advantage;
- Have knowledge and working experience with vulnerable groups would be an assess;
- Excellent teamwork skills;
- Excellent report writing skills in English and Vietnamese language;
- Capable of communicating and writing report in Vietnamese and English;
- Working experience as a team leader of a consultant team.

Technical Expert – team member:

- University degree in social sciences, law or related fields;
- Proven track record of conducting research, survey and data analysis;
- Minimum of 5 years of work experience in legal field;
- Have knowledge and working experience with vulnerable groups would be an assess;
- Excellent teamwork skills;
- Excellent report writing skills;
- Working experience in designing capacity need assessment tool is an asset

8. CONTRACT PAYMENTS

- 20% of the contract value will be paid after UNDP receives and verifies output 1 by the Head of the UNDP Governance and Participation Unit
- 30% of the contract value will be paid after UNDP receives and verifies outputs 2,3 and 4 by the Head of the UNDP Governance and Participation Unit
- 50% of the contract value will be paid after UNDP receives and verifies all remaining outputs by the Head of the UNDP Governance and Participation Unit

9. PROVISION OF MONITORING AND PROGRESS CONTROLS

- The OMOJ and UNDP Viet Nam shall be responsible for quality control of the outputs.
- The Service provider will work under the monitoring by the Program Officer in charge at the UNDP Governance and Participation Unit and report directly to both the OMOJ and UNDP Viet Nam.
- The Service provider will provide a report on delivery of the service upon completion of the contract.

10. ADMINISTRATIVE SUPPORT AND REFERENCE DOCUMENTS

UNDP will support the assignment through providing letters of introduction, coordinating the team to work with the OMOJ and international consultant. However, all administrative support required for this assignment (including interpretation, translation of the report into Vietnamese/English, translation the questionnaire into Vietnamese/English, etc.) must be provided by the contractor except as otherwise agreed between UNDP and the Contractor.

The OMOJ will support the consultancy firm to conduct the survey by liaising with the Departments of Justice in 6 provinces and providing available data, reports, research.

APPENDIX 1
PAPI METHODOLOGY

VIET NAM PROVINCIAL GOVERNANCE AND PUBLIC ADMINISTRATION PERFORMANCE INDEX (PAPI)

METHODOLOGY

Selection of Provinces

Sampling Procedures

Questionnaire and Training

Survey Process

Selection of 30 Provinces

Propensity Score Matching (PSM): PSM was used to create a score for each province. The score is a composite measure of factors that may have an independent influence on public administration. Such factors include initial wealth, population size, urbanization, population density, education, infrastructure, distance from major cities and structure of the economy, and region in which the province residents. Using this composite score, the nearest twin for every province is found in the sample. Next, which province will receive the treatment and which will be the control were randomly selected from within these twins. Using this technique, balance across the two groups is guaranteed.

Rigorous 5-stepped approach.

- **Step 1:** Factor analysis revealed one relevant dimension which was used to identify twins (see Table 1). Using these weights, scores for each province were generated. Score in Table 1 is the factor score derived from the Factor Analysis procedure; it is analogous to a bivariate correlation between these variables and the unobserved latent variable identified by the procedures. This latent variable is the propensity used to match provinces. The uniqueness column provides the proportion of the common variance of the variable not associated with the underlying factor.

Table 1: Matching Weights

Matching Factors	Score	Uniqueness
Secondary School Graduates	0.6927	0.5201
GDP 2008	0.6787	0.5394
Population 2008	0.5815	0.6619
Unweighted Provincial Competitiveness Index	0.5021	0.7479
Asphalted Roads (%)	0.5	0.75
Telephone per Capita 2008	0.0664	0.9956
Distance from City	-0.4463	0.8008
Agricultural Share (%)	-0.6522	0.5747
Eigen Value	2.41	
Cumulative Variance Explained	30.10%	

Sources: Calculations using data from: Malesky, Edmund. 2009. "The Vietnam Provincial Competitiveness Index: Measuring Economic Governance for Private Sector Development. 2009 Final Report." *Vietnam Competitiveness Initiative Policy Paper #14*. Vietnam Chamber of Commerce and Industry and United States Agency for International Development: Ha Noi, Vietnam; General Statistical Office 2010. *Statistical Handbook*. Hanoi, Vietnam (www.gso.gov.vn).

PAPI Methodology Principles:

- **Objectivity**
- **Rigorousness**
- **Randomness**
- **Representativeness**
- **Evidence**

- **Step 2:** Provinces were grouped by region in order to capture the influence of qualitative factors affecting public administration performance that are difficult to measure, such as history, culture (particularly the role of ethnic minorities), and influence from neighboring countries, such as Cambodia, China, and Laos.
- **Step 3:** Within each region, provinces were ordered by their propensity scores, identifying twins of provinces in each region. A province's twin is the province with the closest propensity score to it within each region (see Table 2). A few provinces did not lend themselves easily to matching (Thanh Hoa, Quang Ninh, Lam Dong, Tay Ninh, and Bac Lieu). These provinces were left for analysis in the second phase. Ha Noi and Ho Chi Minh City did not receive propensity scores as they are the only natural match for each other.
- **Step 4:** After creating provincial twins, one province within each pair was randomly selected for inclusion into Phase 1 of the study. (*STATA do files* are available upon request).
- **Step 5:** Finally, tables 3 and 4 provide balance checks following this matching exercise. Table 2 displays the contrast between provinces selected for Phase 1 (treated) and control provinces having similar measures on the key variables of interest. Table 3 shows the results for all 28 provinces (Ha Noi and HCMC are not used since they were purposefully included). Table 4 drops all cities and Ba Ria-Vung Tau.

Table 2. Provincial Matches

Province	Region	Propensity Score	Pair	Selected for 2010
Ha Nam	Red River Delta	0.4165346	11	Yes
Ninh Binh	Red River Delta	0.4732771	11	No
Hung Yen	Red River Delta	0.8578451	12	Yes
Thai Binh	Red River Delta	0.645959	12	No
Nam Dinh	Red River Delta	1.129089	13	Yes
Bac Ninh	Red River Delta	1.025823	13	No
Hai Duong	Red River Delta	1.475154	14	Yes
Vinh Phuc	Red River Delta	1.34222	14	No
Cao Bang	Northern Uplands	-1.649416	21	Yes
Bac Kan	Northern Uplands	-2.399042	21	No
Lai Chau	Northern Uplands	-1.572953	22	Yes
Son La	Northern Uplands	-1.360501	22	No
Dien Bien	Northern Uplands	-1.009308	23	Yes
Hoa Binh	Northern Uplands	-0.781302	23	No
Yen Bai	Northern Uplands	-0.7423785	24	Yes
Ha Giang	Northern Uplands	-0.5991037	24	No
Lang Son	Northern Uplands	-0.5781916	25	Yes
Tuyen Quang	Northern Uplands	-0.4127926	25	No
Phu Tho	Northern Uplands	-0.1902373	26	Yes
Lao Cai	Northern Uplands	-0.2219134	26	No
Bac Giang	Northern Uplands	0.3842239	27	Yes
Thai Nguyen	Northern Uplands	0.2334472	27	No
Quang Tri	North Central Coast	-1.018422	31	Yes
Quang Binh	North Central Coast	-0.5655094	31	No
Ha Tinh	North Central Coast	0.3299339	32	Yes
Nghe An	North Central Coast	0.3839523	32	No
Phu Yen	South Central Coast	-0.7898039	41	Yes
Quang Ngai	South Central Coast	-1.003734	41	No
TT-Hue	South Central Coast	0.0237215	42	Yes
Quang Nam	South Central Coast	-0.1886866	42	No
Binh Dinh	South Central Coast	0.368391	43	Yes
Khanh Hoa	South Central Coast	0.1321918	43	No
Kon Tum	Central Highlands	-1.371445	51	Yes
Dak Nong	Central Highlands	-1.705113	51	No
Dak Lak	Central Highlands	-0.8353297	52	Yes
Gia Lai	Central Highlands	-1.3059	52	No
Binh Phuoc	North Southeast	-1.078161	61	Yes
Ninh Thuan	North Southeast	-0.7659233	61	No
Long An	North Southeast	0.3576976	62	Yes
Binh Thuan	North Southeast	0.2362074	62	No
Dong Nai	North Southeast	1.980937	63	Yes
Binh Duong	North Southeast	1.259749	63	No
Hau Giang	Mekong Delta	-0.2808625	71	Yes
Tra Vinh	Mekong Delta	-0.4631774	71	No
Kien Giang	Mekong Delta	-0.0266796	72	Yes
Soc Trang	Mekong Delta	-0.2616384	72	No
Vinh Long	Mekong Delta	0.0738719	73	Yes
Dong Thap	Mekong Delta	0.0318117	73	No
Tien Giang	Mekong Delta	0.544087	74	Yes
Ben Tre	Mekong Delta	0.5684274	74	No
Ca Mau	Mekong Delta	0.5825623	75	Yes
An Giang	Mekong Delta	0.7772459	75	No
Da Nang	Metropolis	0.9814397	81	Yes
Can Tho	Metropolis	1.418144	81	No
Hai Phong	Metropolis	2.067052	82	Yes
BRVT	Metropolis	1.751147	82	No
Ha Noi	Metropolis	.	.	Yes
HCMC	Metropolis	.	.	Yes
Bac Lieu	Unmatchable	-1.190099	.	No
Lam Dong	Unmatchable	-0.4223856	.	No
Tay Ninh	Unmatchable	0.1121307	.	No
Quang Ninh	Unmatchable	1.191718	.	No
Thanh Hoa	Unmatchable	1.634019	.	No

Note: Propensity scores based on authors' calculations from table 1. Stata .do file available upon request.

Source: Idem table 1.

Table 3: Balance Check - Match to All 28 Provinces

Variable	Phase	Obs	Mean	Std. Dev.	Min	Max
Agricultural Share (%)	1	28	34.44	13.06	4.26	60.65
Agricultural Share (%)	0	28	33.31	15.12	2.16	57.13
Asphalted Roads (%)	1	28	55%	25%	12%	100%
Asphalted Roads (%)	0	28	49%	26%	5%	100%
Distance from City	1	28	282.79	240.17	22.00	759.00
Distance from City	0	28	264.00	217.02	31.00	835.00
GDP 2008	1	28	8229.32	7116.22	901.80	29169.40
GDP 2008	0	28	8908.07	8239.39	997.10	34323.60
Population 2008	1	28	1184.13	531.39	335.30	2290.20
Population 2008	0	28	1157.55	567.51	308.90	3131.00
Secondary School Graduates	1	28	85.23	8.26	68.51	98.46
Secondary School Graduates	0	28	82.80	7.99	58.15	97.81
Telephone per Capita 2008	1	28	0.26	0.26	0.04	1.23
Telephone per Capita 2008	0	28	0.30	0.39	0.05	2.08
Unweighted PCI	1	28	53.74	4.84	41.64	65.93
Unweighted PCI	0	28	53.75	5.64	42.51	65.65

Source: Idem table 1.

**Table 4: Balance Check - Match to All 26 Provinces
(Dropping Cities and Ba Ria Vung Tau)**

Variable	Phase	Obs	Mean	Std. Dev.	Min	Max
Agricultural Share (%)	1	26	36.52	10.99	12.10	60.65
Agricultural Share (%)	0	26	35.30	13.68	6.37	57.13
Asphalted Roads (%)	1	26	52%	23%	12%	100%
Asphalted Roads (%)	0	26	51%	25%	5%	100%
Distance from City	1	26	271.46	227.53	22.00	667.00
Distance from City	0	26	275.31	220.88	31.00	835.00
GDP 2008	1	26	7768.68	6985.91	901.80	29169.40
GDP 2008	0	26	7037.32	4718.79	997.10	20624.80
Population 2008	1	26	1172.75	530.99	335.30	2290.20
Population 2008	0	26	1164.58	588.42	308.90	3131.00
Secondary School Graduates	1	26	84.69	8.26	68.51	98.46
Secondary School Graduates	0	26	82.54	8.16	58.15	97.81
Telephone per Capita 2008	1	26	0.21	0.15	0.04	0.61
Telephone per Capita 2008	0	26	0.24	0.19	0.05	0.85
Unweighted PCI	1	26	53.39	4.35	41.64	60.56
Unweighted PCI	0	26	53.50	5.75	42.51	65.65

Source: Idem table 1.

Questionnaire and Interviewer's Manual

Questionnaire Refinement. Evolving from the 2009 pre-pilot in three provinces including Phu Tho, Da Nang and Dong Thap, the questionnaire was refined and improved through drawing lessons from the pilot and consulting a wide range of stakeholders. The questionnaire was made more focused, shorter and simpler compared to the 2009 version.

Questionnaire Treatments. Treatments were used in the Questionnaire in order to test citizens' awareness of different angles of one particular policy, or to facilitate responses to difficult-to-answer-directly questions. As such, the Questionnaire was made into two versions, A and B, with different treatments being included.

Questionnaire Pretesting. Several rounds of discussions and focus group interviews were held with experts and ordinary citizens from different demographic, educational and occupational backgrounds to consult the refined questionnaire in order to pre-test questions and treatments. Apart from internal discussions with experts, three focus groups selected on purpose were conducted in March 2009. The first focus group involved 10 urban citizens with better

education and occupation from Hai Ba Trung District of Hanoi, the second group involved 10 rural women from Long Bien District of Hanoi, and the third group involved 10 rural citizens with Muong ethnicity background from Hoa Binh City, Hoa Binh province. Lessons from focus groups were withdrawn for question refinement and rewording to make them more comprehensible to different strata of population.

Interviewer's Manual. The Interviewer's Manual was developed to ensure that all enumerators have the same level of understanding and undertaking when in the field. The Manual included detailed explanation of the questionnaire, behaving patterns, Dos and Don'ts advice and questions with show-cards to facilitate the process of interviews. Interview strategies (including clothing, compliance with lists of interviewees, following strictly what is stated in the questionnaire, maintaining neutral attitude towards interviewees during the course of interviews, creating no pressure on interviewees in order to get work done, ensuring anonymity, confidentiality of respondents, and reporting any ad-hoc issues to the team after each survey day) were also included in the Manual.

Survey Process

Training of Enumerators. Two training events were conducted in Hanoi with the participation of 25 key enumerators who were staff and collaborators of CECODES and VFF. The first training on 20 March 2010 aimed at having the enumerators' help in tightening loose ends in the questionnaire and initially guiding them on how to do fieldwork. The second training in mid-May 2010 was to instruct enumerators through the questionnaire, the Interviewer's Manual, division of tasks between field supervisors and enumerators, and preliminary schedules for fieldwork in 30 provinces. Training of provincial enumerators was done one day before actual fieldwork took place in each province.

Survey Team Composition. Each team comprised of one field supervisor cum team leader and five or seven enumerators, with two being either CECODES researchers, or central VFF staff or a mixture of staff from both organizations, and the rest being provincial VFF staff or hired students (like in the case of Ho Chi Minh City).

Survey Teams' Tasks. Tasks were divided among each team to ensure successful fieldwork. Each field supervisors cum team leader was tasked with coordinating with local VFF coordinator in every province to set up interview schedules and venues, and to invite selected respondents before the fieldwork was conducted.

The team leader checked lists of interviewees to make sure that right persons were interviewed, and supervised the whole field process and double-checked questionnaire that had been done immediately after each interview to fill in any missed or skipped questions.

For enumerators, they were trained and instructed steps provided in the Interviewer's Manual, conducted interviews, raised any concern with the team leaders to address immediately (including concerns about whether the interviewees were the right one since each interviewer had a list of respondents to double-check respondents) and discussed with the team leaders on matters related to questionnaire and respondents at the end of the day of survey for lessons learnt.



Training of local enumerators in Lai Chau province

Fieldwork. Actual fieldwork for PAPI was conducted in thirty provinces from 20 June to 18 October 2010. Fifteen groups of enumerators who came from CECODES and central VFF were sent from Ha Noi to the field and worked there for seven to ten days in a row (except in Ha Noi and Ho Chi Minh City where enumerators had to come back the field in order to finish interviewing all sampled respondents that were unreachable during actual fieldwork).

Neutral and friendly interview settings. Building neutral and friendly interview settings and environment was stressed to be critical in the fieldwork in order to obtain the best objective feedback from citizens as possible. Prior request for interviews to be conducted at a neutral place like a communal/village common house or “*nhà văn hóa*”, or a primary school in the commune was made to make sure that invited respondents would feel comfortable and confidential when being asked sensitive questions. In whichever setting, interviews were conducted with the least interference from local cadres so that respondents felt at ease when they were asked questions about their perspectives of the performance of local cadres or local authorities.



Introducing PAPI research to respondents before interview at a communal house the M' Nong people at Ea Drong commune, Buon Ho Town, Dak Lak

Quality control. One of the most important undertakings during fieldwork was quality control in terms of right respondents and response rates. To ensure right shows, field supervisors checked lists of invited respondents carefully prior to and after interviews to make sure that those who came for interviews were on the main or replacement sampled lists. When someone was found to come for interview on behalf of a listed invitee, he/she was sent back home without being interviewed. He/she either was convinced to call the person on the list, or was asked for reasons why the listed person could not come. This helped the research team identify reasons for no-shows.

No-show handling. For those respondents that could not be reached during day the of fieldwork, direct visits to homes of respondents or rescheduling with respondents for shows at the communal houses were undertaken by research teams to reach the most of sampled and invited respondents. When respondents refused to come or to be visited at their homes, these cases were treated as not giving consents to be interviewed. These have been treated as non-responses.

Non-response handling. In many other cases in which the number of respondents in the main lists dropped to below 12 per village due to different reasons (e.g. out-migration, phantoms in household lists, obsolescence of household registration information, or pure bureaucracy in population information collection by grass-roots level collaborators), replacement lists in sampled villages were used. These replacements were treated equally like those on the original lists.

In some extreme cases where the number of shows dropped below 10 even after both original and replacement lists were used (like in one residential group in Dak Lak and Ha Nam), additional random respondents were drawn from the household lists of each village. This was done effectively thanks to good collaboration between field supervisors and CECODES and UNDP teams in Ha Noi for technical issues, and with local village heads for additional invitation, as well as to computer facilities and capable research teams in the field.

Post-check of filled in questionnaire. Other critical steps taken in quality control during fieldwork included post-checks of filled in questionnaire immediately with respondents to make sure questions were not missed by mistakes made by interviewers, and signatures of both field supervisors and interviewers certifying that they had done their tasks properly. The purpose of these processes was to bind the team with good work as well as to learn lessons for succeeding PAPI fieldwork.

Communication from the field. Field supervisors had to fill in templates summarizing key facts and figures from field trips to report to the team in Hanoi for later analysis of contributive factors such as reasons for no-shows, the number of actual interviews conducted, gender distribution and questionnaire distribution (i.e. between Version A and Version B). In addition, regular talks between Ha Noi and the field were conducted to sort out problems arising from the field (e.g. no-shows and low-response rates resulting in additional sampling on spot; or organizational and technical issues requiring central interference and advice from VFF, CECODES or UNDP).

“This is a very good survey. You are collecting actual feedback from citizens rather than just surveying cadres and civil servants”, said a respondent in Dak Lak province.

For further information,
see CECODES, VFF and UNDP (2011). **The Viet Nam Provincial Governance and Public Administration
Performance Index (PAPI): *Measuring citizens' experiences.***
Hanoi, February 2010

or, contact:
Giang Dang, CECODES giang.dang@cecodes.org
Jairo Acuña-Alfaro, UNDP jairo.acuna@undp.org



Center for Community Support
and Development Studies



Center for Theory Work &
Department of Democracy & Law
Viet Nam Fatherland Front



United Nations
Development Programme

Annex 2-a

FORM FOR SUBMITTING SERVICE PROVIDER'S TECHNICAL PROPOSAL³

(This Form must be submitted only using the Service Provider's Official Letterhead/Stationery⁴)

[insert: Location].

[insert: Date]

To: Procurement Unit - UNDP Vietnam

Dear Sir/Madam:

We, the undersigned, hereby offer to render the following services to UNDP in conformity with the requirements defined in the RFP dated [specify date], and all of its attachments, as well as the provisions of the UNDP General Contract Terms and Conditions:

A. Qualifications of the Service Provider

The Service Provider must describe and explain how and why they are the best entity that can deliver the requirements of UNDP by indicating among others the following with appropriate supporting documents:

- a) Profile – describing the nature of business, field of expertise, licenses, certifications, accreditations;
- b) Business Licenses – Registration Papers, Tax Payment Certification, etc.
- c) Track Record – list of clients for similar services as those required by UNDP, indicating description of contract scope, contract duration, contract value, contact references

Client	Contract value	Duration of activity	Services/goods provided	References contact (name, phone, email)

- d) Certificates and Accreditation – including Quality Certificates, Patent Registrations, Environmental Sustainability Certificates, etc. (if any)
- e) Written Self-Declaration that the company is not in the UN Security Council 1267/1989 List, UN Procurement Division List or Other UN Ineligibility List.

(Note: Please refer to Form 1 – Evaluation criteria for providing appropriate information and supporting documents to demonstrate the bidders' capacity)

B. Proposed Methodology for the Completion of Services

The Service Provider must describe how it will address/deliver the demands of the RFP; providing a detailed description of the essential performance characteristics, reporting conditions and quality assurance mechanisms that will be put in place, while demonstrating that the proposed methodology will be appropriate to the local conditions and context of the work.

(Note: Please refer to Form 2 – Evaluation criteria listed under section 1 and 2 for UNDP requirements when preparing this section)

³ This serves as a guide to the Service Provider in preparing the Proposal.

⁴ Official Letterhead/Stationery must indicate contact details – addresses, email, phone and fax numbers – for verification purposes

C. Qualifications of Key Personnel

The Service Provider must provide:

- a) Names and qualifications of the key personnel that will perform the services indicating who is Team Leader, who are supporting, etc.;
- b) CVs demonstrating qualifications must be submitted;
- c) Evidence on English report writing skills of the team leader (two sample reports, etc.)

(Note: Please refer to Form 3 – Evaluation criteria for UNDP requirements when preparing this section)

We agree to abide by this Proposal for 120 days from the date of proposal submission deadline.

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

Annex 2-b

FORM FOR SUBMITTING SERVICE PROVIDER'S FINANCIAL PROPOSAL⁵

(This Form must be submitted only using the Service Provider's Official Letterhead/Stationery⁶)

The Proposer is required to prepare the Financial Proposal in an envelope separate from the rest of the RFP as indicated in the Instruction to Proposers.

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

Any estimates for cost-reimbursable items should be listed separately.

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

The format shown on the following pages is suggested for use as a guide in preparing the Financial Proposal. The format includes specific expenditures, which may or may not be required or applicable but are indicated to serve as examples.

A. Cost Breakdown per Deliverable*

	Deliverables <i>[list them as referred to in the RFP]</i>	Percentage of Total Price <i>(Weight for payment)</i>	Price <i>(Lump Sum, All Inclusive)</i>
1	Deliverable 1		
2	Deliverable 2		
3		
	Applicable taxes		
	Total	100%	

B. Cost Breakdown by Cost Component *[This is only an Example]:*

Description of Activity	Remuneration per Unit of Time	Total Period of Engagement	No. of Personnel	Total Rate
I. Personnel Services				
1. Services from Home Office				
a. Expertise 1				
b. Expertise 2				
2. Services from Field Offices				
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				

⁵ This serves as a guide to the Service Provider in preparing the Proposal.

⁶ Official Letterhead/Stationery must indicate contact details – addresses, email, phone and fax numbers – for verification purposes

III. Other Related Costs				
Applicable taxes				

We agree to abide by this Proposal for 120 days from the date of proposal submission deadline.

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

Annex 2-c**CHECK LIST OF DOCUMENTS SUBMITTED BY BIDDERS****Note:**

- Bidders are required to review carefully this checklist before submitting proposal to ensure complete submission.
- Maximum email size: 30 MB/email. Bidders can split proposal into several emails if the file size is large
- Technical and Financial Proposals are to be submitted in separate envelop/email
- Email and proposal should indicate clearly the name of tender.

Item	Documents	To be completed by bidders		
		Doc submitted Y/N	Number of pages	Remarks
1	Fully filled Technical proposal (pls. refer to template in Annex 2-a) with copies/scan of supporting documents i.e. company profile, company registration certificate, CVs of experts, 2 sample reports (Vietnamese and English) by team leader for writing skill evaluation...etc).			
2	Dully signed Price Schedule (pls. Refer to template in Annex 2-b)			
3	This duly filled, checked, certified submission checklist to be attached to the submission			
4	Send email (without attachment) to procurement.vn@undp.org notifying that you already submitted proposal and the number of email/envelop submitted. Notification emails should be sent to above email address by submission deadline or right after you submit proposals (either by email or hard copy).			

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

[Designation]

[Date]

Annex 3

Contract templates and General Terms and Conditions

Please find below link to the Professional service contract template:

[http://www.vn.undp.org/content/dam/vietnam/docs/Legalframework/Contract%20Face%20Sheet%20\(Goods%20and-or%20Services\)%20UNDP%20-%20Sept%202017.pdf](http://www.vn.undp.org/content/dam/vietnam/docs/Legalframework/Contract%20Face%20Sheet%20(Goods%20and-or%20Services)%20UNDP%20-%20Sept%202017.pdf)

Please find below link to the General Terms and Conditions:

☐

below US\$ 50,000 (Services only):

UNDP General Terms and Conditions for Institutional (de minimis) Contracts apply

[http://www.vn.undp.org/content/dam/vietnam/docs/Legalframework/3.%20UNDP%20GTCs%20for%20de%20minimis%20Contracts%20\(Services%20only\)%20-%20Sept%202017.pdf](http://www.vn.undp.org/content/dam/vietnam/docs/Legalframework/3.%20UNDP%20GTCs%20for%20de%20minimis%20Contracts%20(Services%20only)%20-%20Sept%202017.pdf)

☐

below US\$ 50,000 (Goods *or* Goods and Services):

UNDP General Terms and Conditions for Contracts apply

[http://www.vn.undp.org/content/dam/vietnam/docs/Legalframework/2.%20UNDP%20GTCs%20for%20Contracts%20\(Goods%20and-or%20Services\)%20-%20Sept%202017.pdf](http://www.vn.undp.org/content/dam/vietnam/docs/Legalframework/2.%20UNDP%20GTCs%20for%20Contracts%20(Goods%20and-or%20Services)%20-%20Sept%202017.pdf)

☐

equal to or above US\$ 50,000 (Goods *and/or* Services):

UNDP General Terms and Conditions for Contract apply

[http://www.vn.undp.org/content/dam/vietnam/docs/Legalframework/2.%20UNDP%20GTCs%20for%20Contracts%20\(Goods%20and-or%20Services\)%20-%20Sept%202017.pdf](http://www.vn.undp.org/content/dam/vietnam/docs/Legalframework/2.%20UNDP%20GTCs%20for%20Contracts%20(Goods%20and-or%20Services)%20-%20Sept%202017.pdf)