

24 March 2022



INDIVIDUAL CONSULTANT PROCUREMENT NOTICE
for individual consultants and individual consultants assigned by
consulting firms/institutions

Country:	Viet Nam
Description of the assignment:	03 National Consultants for fragmentation in public financing for science and technology
Period of assignment/services (if applicable):	From Apr- Oct 2022 Team Leader: 40 working days Team Members: 66 working days (each)
Duty Station:	Homebased & fieldwork (for interviews, covid dependent)
Tender reference:	P220302

1. Submissions should be sent by email to: nguyen.ngoc.phuong@undp.org no later than:

23.59 hrs., 7 April 2022 (Hanoi time)

With subject line:

P220302A – Team leader for fragmentation in public financing for science and technology

P220302B – Team member for fragmentation in public financing for science and technology

Submission received after that date or submission not in conformity with the requirements specified in this document will not be considered.

Note:

- Any individual employed by a company or institution who would like to submit an offer in response to this Procurement Notice must do so in their individual capacity, even if they expect their employers to sign a contract with UNDP.
- Maximum size per email is **30 MB**.
- Any request for clarification must be sent in writing, or by standard electronic communication to the address or e-mail indicated above. Procurement Unit – UNDP Viet Nam will respond in writing or by standard electronic mail and will send written copies of the response, including an explanation of the query without identifying the source of inquiry, to all consultants.
- After submitting proposal, bidder should send notification by email (without attachment) to: procurement.vn@undp.org informing that the bidder has submitted proposal. UNDP will not be responsible for the missing of proposal if the bidder does not send notification email to above address.

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

2. Please find attached the relevant documents:

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

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

a. Technical component:

- CV including experience with a similar type of work
- Financial offer
- Relevant writing samples, each in English and Vietnamese

b. Financial proposal (with your signature):

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

4. Evaluation

The technical component will be evaluated using the following criteria:

Team Leader

Consultant's experiences/qualification related to the services		
1.1	PhD Degree in the fields of economics, development economics, and technology management and/or related fields.	50
1.2	At least 10 years of experience in conducting research, providing consultancy services and policy advising in ST management.	350
1.3.	Rich in (i) both theory and practice on budgeting, science organization. Knowledge of international experience in these areas is an asset.	450
1.4	Strong research experience and skills, sound research report writing skills in English as evidenced by the candidate's authored or lead-edited research reports/papers/publications on relevant topics	150
	Total	1,000

Team members

Consultant's experiences/qualification related to the services		
1.1	Master's Degree in the fields of economics, development economics, sciences management, R&D and innovation, finance and related fields.	50
1.2	At least 5 years of experience in conducting research, providing consultancy services and policy advising ST management, finance and budget.	350
1.3.	Good in (i) both theory and practice on budgeting, science organization. Knowledge of international experience in these areas is an asset.	450
1.4	Good research experience and skills, good interview skills, sound research report writing skills in English as evidenced by the candidate's authored or co-authored research reports/papers/publications on relevant topics.	150
	Total	1,000

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

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

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

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

Interview with the candidates may be held if deemed necessary.

5. Contract

"Lump-sum" Individual Contract will be applied for freelance consultant (Annex II)

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

Documents required before contract signing:

- International consultant whose work involves travel is required to complete the courses on BSAFE which the new online security awareness training is and submit certificate to UNDP before contract issuance.
- Note: In order to access the courses, please go to the following link: <https://training.dss.un.org>
The training course takes around 3-4 hours to complete.
- Full medical examination and Statement of Fitness to work for consultants from and above 65 years of age and involve travel. (This is not a requirement for RLA contracts).
- Release letter in case the selected consultant is government official.

6. Payment

- First payment of 20% of the total contract value upon the submission of the deliverables 1.1 – 1.3, and acceptance by DSENRE and UNDP.
- Second payment of 40% of the total contract value upon satisfactory submission of deliverables 2.1-2.4 and their acceptance by DSENRE and UNDP;
- Third payment of 40% of the total contract value for the team leader upon the submission of deliverables 3.1 and 3.2. their acceptance by DSENRE and UNDP.

The total contract value includes the consultancy fee only. If the consultant is requested to travel outside Ha Noi, a separate payment for per diem and travel cost (based on UN-EU Cost norm) will be paid by UNDP on a factual basis..

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



Title: Fragmentation in **public** financing for science and technology
Duration: Apr- Oct 2022
Status: Three national consultants
Duty Station: Homebased & fieldwork (for interviews, covid dependent)

I. BACKGROUND AND RATIONALE

The sciences and technology (ST) in Viet Nam have shown their critical role in the country's growth and development towards inclusiveness and sustainability. According to the Global Innovation Index, Viet Nam performs well among middle-income countries, ranking 44/132 for innovation. However, the sector is still behind in terms of public spending and investment into ST.

As Viet Nam continues to progress, it needs to go beyond adopting existing technologies. To maintain competitiveness, Viet Nam must invest sufficiently in research and development (R&D). According to the WEF, *the presence of high-quality scientific research institutions that can generate the basic knowledge needed to build the new technologies*.

The new social-economic development strategy for 2021-2030 of Viet Nam prioritises growth quality as well as continued integration into the global economy in the next decade. In that context, the improvement of science and technology to increase the country's competitiveness is an important task.

Recent assessments on ST reveal several issues relating to financing R&D, innovation and ST activities in general, which hinder improvements to ST management mechanisms. Viet Nam invests relatively little in ST compared to 2.5% of GDP in some countries in the region in 2016-2019); and most of ST activities are financed from the state budget. As an example, total spending for ST in 2018 was 26.3 thousand billion VND, of which almost 50% came from the state budget, and 41.8% from firms (mostly from foregone taxes), the remaining 1.5% from other sources. Within the state budget, 70-75% was from the central level and 25-30% from local level.¹

Although the government budget allocation for ST is important to ensure expenditures on ST and stimulate ST spending among the private sector, the recent public budgeting exercise has revealed significant weaknesses: **fragmentation** in distributing public resources among central institutions and from the central to the local level. Fragmentation is reflected through the following:

- ST programs/activities/projects, strategies and budgets are not properly connected to each other, and are not compatible with social-economic development plans and strategies;

¹ <http://ncif.gov.vn/Pages/NewsDetail.aspx?newid=21836>

- Poor coordination of ST programs/activities among different ministries and between the central and provincial levels;
- Poor coordination between ST program/activities conducted by public organizations and private organizations, particularly enterprises.

Such fragmentation leads to:

- Overlaps or inefficiencies within the ST system, particularly poor cooperation among scientists.
- Lack of participation from the private sector. For example, most of the firms interviewed by GSO within the Enterprise Census state that they have yet cooperated with public research organizations or benefited from the public ST expenses.
- Lack of ST information and data to monitor and evaluate the effectiveness and efficiencies of ST public financing in Viet Nam.

The Government of Viet Nam in collaboration with UN agencies has applied and received approval from UN SDGs Fund for a project to support Viet Nam in developing the **2030 Integrated Finance Strategy** for accelerating the achievement of the SDGs. The overall objective of the joint GOV-UN Program (JP) is to support Viet Nam's transformation to a more inclusive, productive green and climate resilient economy and accelerate the achievement of the SDGs. The program focuses on more effective mobilization and use of state budget as well as promoting contribution and investment from private sector in the national SDGs. The JP will assist the development and implementation of Viet Nam's 2030 integrated financing and investment strategy, of which the SDGs are at the heart, while considering the impact of the COVID-19 pandemic.

Output 1.2.2 of this project provides support to government authorities of Viet Nam to facilitate business sectors to improve productivity and competitiveness of the Vietnamese firms, particularly SMEs.

Under this output, UNDP provides support to government authorities of Viet Nam in assessing the level of ST fragmentation in terms of budgeting and management. We are looking to engage a research team (a team leader and two team members) to conduct a study on the fragmentation of investment in ST, and how it may affect the performance of Vietnamese firms. The study will help MPI and Ministry of Science and Technology in improving ST investment regulations, policies, particularly to improving the ST budgeting.

II. OBJECTIVES

2.1. Overall Objective

The overall objective of the research is to contribute to the formulation and improvement of the legal framework for ST financing. This is done by identifying fragmentations in ST public finance, re-focusing government resources on ST investment for productivity and sustainable growth.

2.2. Specific Objectives

a) Review the legal framework and organizational hierarchy of the ST investment system in Viet Nam, including ST budgeting and management of ST activities/programs;

b) Collect, review and analyse recent (2016-2020) expenditure for ST projects/programs at both selected local level (2-3 provinces) and central level in order to identify evidence of fragmentation².

c) In-depth discussion/interviews with selected ministries, central organizations and selected provinces and domestic firms about the budgeting, monitoring, approving mechanisms. Identify the level of ST budgeting fragmentation, the advantages and disadvantages of the decentralization and fragmentation of ST.

d) Based on the findings, make recommendations to improve the finance for ST in Viet Nam.

III. TASKS, DELIVERABLES, TIMELINES AND WORKING DAYS

The national consultants are expected to implement the tasks and provide deliverables with timelines presented in the below table:

Tasks	Deliverables (all in English)	Timelines	Estimated number of working days
<p>1.1. Develop the framework and tools for analysis with overall review/assessment analytical framework, assessment criteria and benchmarks, criteria and method for identifying the fragmentation and ineffectiveness/efficiency of ST. Develop the questionnaire for in-depth interview with ministries and provincial ST management organizations</p> <p>1.2. Develop the research work plan with role/task distribution among the team members and timelines</p> <p>1.3. Develop research report outline.</p>	<p>1.1. Assessment framework methodology</p> <p>1.2. Research work plan</p> <p>1.3. Research report outline.</p>	9 th April	Team leader: 7 days, team members 3 day each
<p>Team leader and team members</p> <p>2.1. Conduct the legal framework review for budgeting of ST activities</p> <p>2.2. Conduct in-depth interviews at central and local level for ST financing management. Applicable travel costs related to field interviews will be covered separately upon UNDP's prior acceptance and approval.</p> <p>2.3. Collect and analyse ST expenditure for</p>	<p>2.1. Survey strategy, plan and questionnaires</p> <p>2.2 Legal documents review report</p> <p>2.3 ST expense review report</p>	8 th July	Team leader: 17 days, team members days each 20

² The fragmentation evidence may include, for example, sizes and types of public spending on ST, (ii) allocated ST resources that are under control of central and local governments/line agencies and their flow of funds; (iii) actual allocated to ST research or innovation, (iv) overlaps or disconnections between different owners.

<p>the period 2016-2020 at both central and provincial levels (2-3 provinces)</p> <p>2.4. Based on the finding from 2.1-2.3 identifying the extent of fragmentation in term of ST activities/projects</p> <p><i>Notes: The Team leader will liaise with UNDP and DSENRE, and provide advice/guidance/comments necessary for the team members to conduct the above tasks and prepare the deliverables</i></p>	2.4. Findings report		
<p>Team leader:</p> <p>3.1. Based on the findings from 2.1-2.4, produce a synthesis report which include (i) recommendations for improvements (either in legal, policy, regulatory frameworks, practical application)</p> <p>3.2. Presentation on the research report and policy brief at a half day workshop/technical meeting in Hanoi. Applicable travel costs will be approved and paid for by UNDP separately.</p>	<p>3.1. Synthesis report and a short policy brief, with necessary annexes on the study methodologies, data, tools, etc.</p> <p>3.2. performance review report</p>	30th August	Team leader: 16 working days, team member 10 working day each.
Total estimated working days:	<p>Team leader</p> <p>Team members</p>		<p>40 days</p> <p>66 days</p>
Fieldwork	To be decided		To be decided upon consultants' work plan

IV. DUTY STATION AND DURATION

Duty station: Homebased and field work. All travel cost related to field work / interview will be covered separately later upon UNDP's prior acceptance and approval.

Duration: April – October 2022

Team Leader: 40 working days

Team Members: 66 working days (each)

V. EXPECTED QUALIFICATION OF THE CONSULTANT TEAM

1. Team leader

- PhD Degree in the fields of economics, development economics, and technology management and/or related fields;
- At least 10 years of experience in conducting research, providing consultancy services and policy advising in ST management.
- Rich knowledge in (i) both theory and practice on budgeting, science organization. Knowledge of international experience in these areas is an asset.
- Demonstrated ability to collect ST data at central and local levels
- Strong research experience and skills, sound research report writing skills in English as evidenced by the candidate's authored or lead-edited research reports/papers/publications on relevant topics.

2. Team member

- Master's Degree in the fields of economics, development economics, sciences management, R&D and innovation, finance and related fields;
- At least 5 years of experience in conducting research, providing consultancy services and policy advising ST management, finance and budget;
- Good knowledge in (i) both theory and practice on ST management, finance, administration organizations (ii) Viet Nam's legal/regulatory/policy frameworks, the practical implementation and related institutional arrangements on R&D and innovation.
- Good research experience and skills, good interview skills, sound research report writing skills in English as evidenced by the candidate's authored or co-authored research reports/papers/publications on relevant topics.

VI. MONITORING AND QUALITY ASSURANCE

The consultants will be working under (i) the overall supervision of UNDP Assistant Resident Representative, Head of Inclusive Growth Unit and (ii) guidance of UNDP senior International Economist. The monitoring, progress and quality controlling of consultants will be carried out in accordance with the objective, deliverables and tasks in Section II and III, by UNDP Program Officer in coordination with the INFF JP focal point of DSENRE. The consultants shall communicate regularly and timely report difficulties (if any) to UNDP and DSENRE during the consultancy process for timely handling.

VII. TERMS OF PAYMENT

- First payment of 20% of the total contract value upon the submission of the deliverables 1.1 – 1.3, and acceptance by DSENRE and UNDP.
- Second payment of 40% of the total contract value upon satisfactory submission of deliverables 2.1-2.4 and their acceptance by DSENRE and UNDP;
 - Third payment of 40% of the total contract value for the team leader upon the submission of deliverables 3.1 and 3.2. their acceptance by DSENRE and UNDP.

VIII. EVALUATION CRITERIA

Consultant's experiences/qualification related to the services		
1.1	<p>PhD Degree in the fields of economics, development economics, and technology management and/or related fields (team leader).</p> <p>Master's Degree in the fields of economics, development economics, sciences management, R&D and innovation, finance and related fields (team members).</p>	50
1.2	<p>At least 10 years of experience in conducting research, providing consultancy services and policy advising in ST management (team leader).</p> <p>At least 5 years of experience in conducting research, providing consultancy services and policy advising ST management, finance and budget (team members);</p>	350
1.3.	Rich (team leader)/good (team members) in (i) both theory and practice on budgeting, science organization. Knowledge of international experience in these areas is an asset.	450
1.4	<p>Strong research experience and skills, sound research report writing skills in English as evidenced by the candidate's authored or lead-edited research reports/papers/publications on relevant topics (team leader).</p> <p>Good research experience and skills, good interview skills, sound research report writing skills in English as evidenced by the candidate's authored or co-authored research reports/papers/publications on relevant topics.</p>	150
	Total	1,000

ANNEX IV

OFFEROR'S LETTER TO UNDP CONFIRMING INTEREST AND AVAILABILITY FOR THE INDIVIDUAL CONTRACTOR (IC) ASSIGNMENT

Date _____

(Name of Resident Representative/Bureau Director)

United Nations Development Programme

(Specify complete office address)

Dear Sir/Madam:

I hereby declare that:

- A) I have read, understood and hereby accept the Terms of Reference describing the duties and responsibilities of [*indicate title of assignment*] under the [*state project title*];
- B) I have also read, understood and hereby accept UNDP's General Conditions of Contract for the Services of the Individual Contractors;
- C) I hereby propose my services and I confirm my interest in performing the assignment through the submission of my CV which I have duly signed and attached hereto as Annex 1;
- D) In compliance with the requirements of the Terms of Reference, I hereby confirm that I am available for the entire duration of the assignment, and I shall perform the services in the manner described in my proposed approach/methodology which I have attached hereto as Annex 3 [*delete this item if the TOR does not require submission of this document*];
- E) I hereby propose to complete the services based on the following payment rate: [*please check the box corresponding to the preferred option*]:
 - ☐ An all-inclusive daily fee of [*state amount in words and in numbers indicating currency*]
 - ☐ A total lump sum of [*state amount in words and in numbers, indicating exact currency*], payable in the manner described in the Terms of Reference.
- F) For your evaluation, the breakdown of the abovementioned all-inclusive amount is attached hereto as Annex V;
- G) I recognize that the payment of the abovementioned amounts due to me shall be based on my delivery of outputs within the timeframe specified in the TOR, which shall be subject to UNDP's review, acceptance and payment certification procedures;
- H) This offer shall remain valid for a total period of _____ days [*minimum of 90 days*] after the submission deadline;

I) I confirm that I have no first degree relative (mother, father, son, daughter, spouse/partner, brother or sister) currently employed with any UN agency or office *[disclose the name of the relative, the UN office employing the relative, and the relationship if, any such relationship exists];*

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

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

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

- ☐ At the time of this submission, I have no active Individual Contract or any form of engagement with any Business Unit of UNDP;
- ☐ I am currently engaged with UNDP and/or other entities for the following work:

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

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

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

L) I fully understand and recognize that UNDP is not bound to accept this proposal, and I also understand and accept that I shall bear all costs associated with its preparation and submission and that UNDP will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the selection process.

M) **If you are a former staff member of the United Nations recently separated, please add this section to your letter:** I hereby confirm that I have complied with the minimum break in service required before I can be eligible for an Individual Contract.

N) I also fully understand that, if I am engaged as an Individual Contractor, I have no expectations nor entitlements whatsoever to be re-instated or re-employed as a staff member.

O) Are any of your relatives employed by UNDP, any other UN organization or any other public international organization?

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

Name	Relationship	Name of International Organization

P) Do you have any objections to our making enquiries of your present employer?

YES ☐ NO ☐

Q) Are you now, or have you ever been a permanent civil servant in your government's employ?

YES ☐ NO ☐ If answer is "yes", WHEN?

R) REFERENCES: List three persons, not related to you, who are familiar with your character and qualifications.

Full Name	Full Address	Business or Occupation

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

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

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

DATE: _____

SIGNATURE: _____

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

Annexes *[please check all that applies]:*

- ☐ CV shall include Education/Qualification, Professional Certification, Employment Records /Experience
- ☐ Breakdown of Costs Supporting the Final All-Inclusive Price as per Template

GUIDELINES FOR CV PREPARATION

WE REQUEST THAT YOU USE THE FOLLOWING CHECKLIST WHEN PREPARING

Your CV:

Limit the CV to 3 or 4 pages

NAME (First, Middle Initial, Family Name)

Address:

City, Region/State, Province, Postal Code

Country:

Telephone, Facsimile and other numbers

Internet Address:

Sex, Date of Birth, Nationality, Other Citizenship, Marital Status

Company associated with (if applicable, include company name, contact person and phone number)

SUMMARY OF EXPERTISE

Field(s) of expertise (be as specific as possible)

Particular development competencies-thematic (e.g. Women in Development, NGOs, Privatization, Sustainable Development) or technical (e.g. project design/evaluation)

Credentials/education/training, relevant to the expertise

LANGUAGES

Mother Tongue:

Indicate written and verbal proficiency of your English:

SUMMARY OF RELEVANT WORK EXPERIENCE

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

UN SYSTEM EXPERIENCE

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

UNIVERSITY DEGREES

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

PUBLICATIONS

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

MISCELLANEOUS

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

Annex V

FINANCIAL OFFER

Having examined the Solicitation Documents, I, the undersigned, offer to provide all the services in the TOR for the sum ofUS\$

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

Cost breakdown:

No.	Description	Quantity	Unit Rate (US\$)	Total
1	Consultancy fee (daily rate)			
2	Out of pocket expenses			
2.1	Travel			
2.2	Per diem			
2.3	Full medical examination and Statement of Fitness to work for consultants from and above 65 years of age and involve travel – (required before issuing contract). *			
2.5	Others (pls. specify).....			
2.6	VAT** if applicable (in case your company signs the contract)			
	TOTAL			

* Individual Consultants/Contractors who are over 62 years of age with assignments that require travel and are required, **at their own cost**, to undergo a full medical examination including x-rays and obtaining medical clearance from **an UN-approved doctor** prior to taking up their assignment.

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

I undertake, if my proposal is accepted, to commence and complete delivery of all services specified in the contract within the time frame stipulated.

I agree to abide by this proposal for a period of 120 days from the submission deadline of the proposals.

Dated this day /month of year

Signature

(The costs should only cover the requirements identified in the Terms of Reference (TOR)

Travel expenses are not required if the consultant will be working from home).