



## REQUEST FOR PROPOSAL (RFP)

<b>National firms/institutions/organizations</b>	DATE: November 21, 2022
	REFERENCE: <b>B-221103</b>

*Dear Sirs/Madame:*

We kindly request you to submit your proposal **for Action Research to Enhance Citizen Participation in and Transparency of State Budget Planning and Expenditure in Viet Nam**

Please be guided by the form attached hereto as Annex 2, in preparing your Proposal.

Proposals may be submitted on or before **Monday, December 05, 2022** and via email to the address below:

[bid.submission.vn@undp.org](mailto:bid.submission.vn@undp.org)

With subject line:

**B-221103 National institution for research to enhance citizen participation in state budget planning and expenditure in VN**

*(Maximum size per email: **30 MB**. Bidders can split proposal into several emails if the file size is large. Please send a separate email (without attachment) to [procurement.vn@undp.org](mailto:procurement.vn@undp.org) notifying that you already submitted proposal and the number of email(s) submitted. Notification email should be sent to above address by submission deadline or right after you submit proposals).*

Your Proposal must be expressed in the **English**, and valid for a minimum period of **120 days**

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/content/undp/en/home/operations/procurement/business/protest-and-sanctions.html>

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 :

[https://www.un.org/Depts/ptd/sites/www.un.org.Depts.ptd/files/files/attachment/page/pdf/unscc/conduct\\_english.pdf](https://www.un.org/Depts/ptd/sites/www.un.org.Depts.ptd/files/files/attachment/page/pdf/unscc/conduct_english.pdf)

Thank you and we look forward to receiving your Proposal.

**Sincerely yours,**

*Tran Thi Hong,  
Head of Procurement Unit,  
11/21/2022*

## Description of Requirements

Context of the Requirement	Click here to enter text.
Implementing Partner of UNDP	
Brief Description of the Required Services <sup>1</sup>	A national consulting firm/institute for Action Research to Enhance Citizen Participation in and Transparency of State Budget Planning and Expenditure in Viet Nam
List and Description of Expected Outputs to be Delivered	Please see Section 3 and 4 in the attached TOR (Annex 1)
Person to Supervise the Work/Performance of the Service Provider	Please see Section 9 in the attached TOR (Annex 1)
Frequency of Reporting	Please refer to the attached TOR (Annex 1)
Progress Reporting Requirements	Please refer to TOR
Location of work	<input checked="" type="checkbox"/> Exact Address/es Viet Nam <input type="checkbox"/> At Contractor's Location
Expected duration of work	December 2022 – August 2023
Target start date	December 2022
Latest completion date	August 2023
Travels Expected	Please refer to the attached TOR (Annex 1)
Special Security Requirements	<input type="checkbox"/> Security Clearance from UN prior to travelling <input type="checkbox"/> Completion of UN's Basic and Advanced Security Training <input type="checkbox"/> Comprehensive Travel Insurance <input type="checkbox"/> Others <i>[pls. specify]</i>
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

<sup>1</sup> A detailed TOR may be attached if the information listed in this Annex is not sufficient to fully describe the nature of the work and other details of the requirements.

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 checked="" type="checkbox"/> <b>Vietnamese dong</b>
Value Added Tax on Price Proposal <sup>2</sup>	<input checked="" type="checkbox"/> must be inclusive of VAT and all applicable taxes <i>The contractor <b>is required</b> to <b>issue tax receipt(s) (xuất hóa đơn tài chính)</b> for the total contract value.</i> <input type="checkbox"/> must be exclusive of VAT and other applicable indirect taxes
Validity Period of Proposals ( <i>Counting for the last day of submission of quotes</i> )	<input type="checkbox"/> 60 days <input type="checkbox"/> 90 days <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 <i>[pls. provide conditions for partial quotes, and ensure that requirements are properly listed to allow partial quotes (e.g., in lots, etc.)]</i>
Payment Terms <sup>3</sup>	As defined in the attached TORs (Annex 1)
Person(s) to review/inspect/ approve outputs/completed services and authorize the disbursement of payment	As defined in the attached TORs (Annex 1)
Type of Contract to be Signed	<input type="checkbox"/> Purchase Order <input type="checkbox"/> Institutional Contract <input checked="" type="checkbox"/> Contract for Professional Services <input type="checkbox"/> Long-Term Agreement <sup>4</sup> <input type="checkbox"/> Other Type of Contract
Criteria for Contract Award	<input type="checkbox"/> Lowest Price Quote among technically responsive offers <input checked="" type="checkbox"/> Highest Combined Score (based on the 70% technical offer and 30% price weight distribution)

<sup>2</sup> VAT exemption status varies from one country to another. Pls. check whatever is applicable to the UNDP CO/BU requiring the service.

<sup>3</sup> UNDP preference is not to pay any amount in advance upon signing of contract. If the Service Provider strictly requires payment in advance, it will be limited only up to 20% of the total price quoted. For any higher percentage, or any amount advanced exceeding \$30,000, UNDP shall require the Service Provider to submit a bank guarantee or bank cheque payable to UNDP, in the same amount as the payment advanced by UNDP to the Service Provider.

<sup>4</sup> Minimum of one (1) year period and may be extended up to a maximum of three (3) years subject to satisfactory performance evaluation. This RFP may be used for LTAs if the annual purchases will not exceed \$200,000.00.

	<input checked="" type="checkbox"/> Full acceptance of the UNDP Contract General Terms and Conditions (GTC). <b>This is a mandatory criterion 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.</b>
Criteria for the Assessment of Proposal	<p><b><u>Technical Proposal (70%)</u></b></p> <p><input checked="" type="checkbox"/> Expertise of the Firm (30%)</p> <p><input checked="" type="checkbox"/> Methodology, Its Appropriateness to the Condition and Timeliness of the Implementation Plan (20%)</p> <p><input checked="" type="checkbox"/> Management Structure and Qualification of Key Personnel (50%)</p> <p><i>(Please refer to Evaluation Criteria in the TOR for preparation and submission)</i></p> <p><b><u>Financial Proposal (30%)</u></b></p> <p>To be computed as a ratio of the Proposal's offer to the lowest price among the proposals received by UNDP.</p>
UNDP will award the contract to:	<p><input checked="" type="checkbox"/> One and only one Service Provider</p> <p><input type="checkbox"/> One or more Service Providers, depending on the following factors:</p>
Contract General Terms and Conditions <sup>5</sup>	<p><input type="checkbox"/> General Terms and Conditions for contracts (goods and/or services)</p> <p><input type="checkbox"/> General Terms and Conditions for de minimis contracts (services only, less than \$50,000)</p> <p>Applicable Terms and Conditions are available at:  <a href="http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html">http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html</a> </p>
Annexes to this RFP <sup>6</sup>	<p><input checked="" type="checkbox"/> Detailed TOR (Annex 1)</p> <p><input checked="" type="checkbox"/> Form for Submission of Proposal (Annex 2)</p> <p><input type="checkbox"/> Others<sup>7</sup> [pls. specify]</p>
Contact Person for Inquiries (Written inquiries only) <sup>8</sup>	<p><i>Quach Thuy Ha</i>  <i>Procurement Associate</i>  <i>quach.thuy.ha@undp.org</i></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 [pls. specify]	N/A

<sup>5</sup> 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.

<sup>6</sup> Where the information is available in the web, a URL for the information may simply be provided.

<sup>7</sup> A more detailed Terms of Reference in addition to the contents of this RFP may be attached hereto.

<sup>8</sup> 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.

## ANNEX 1



### TERMS OF REFERENCE

*National Firm/Organization/Institution*

Service	<b>Action Research to Enhance Citizen Participation in and Transparency of State Budget Planning and Expenditure in Viet Nam</b>
Expected Bidders	A national research institution/a national research-based consulting firm/a local non-government organisation
Duty Station	Viet Nam
Expected Duration	From 20 December 2022 to 30 August 2023

#### 1. BACKGROUND

To strengthen grassroots democracy implementation, on 10 November 2022, the National Assembly of Viet Nam approved for issuance of the Law on Grassroots Democracy Implementation, which is an important upgrade from the Ordinance No. 34/2007/PL-UBTVQH11<sup>9</sup> on implementation of grassroots democracy in communes, wards and townlets. This law is foundational as it institutionalizes the implementation of and enhances *“the socialist-oriented democracy that promote the ownership rights of the peoples through citizens’ representative and direct democracy”*,<sup>10</sup> especially at the grassroots level. This is one of the 12 directions in the 13<sup>th</sup> Party Congress Resolution which states: *“To widely promote socialist democracy, the people’s right to self-governance and mastery; to bring into play the strength of the great national unity; to build and improve people’s trust, strengthen their voice in the development process and to advance social consensus; to continue to reform Vietnam Fatherland Front and socio-political organizations”*<sup>11</sup>.

More importantly, the Law on Grassroots Democracy Implementation will consolidate the enforcement of the short and succinct people-centered motto *“people know, people discuss, people do, people supervise, people verify, and people benefit”* as set forth in the 2007 Ordinance No. 34/2007/PL-UBTVQH11. The law will also strengthen such citizens as provided in important laws such as the [Law on Access to Information No. 104/2016/QH13](#), the [Law on State Budget No. 83/2015/QH13](#) dated 25 June 2015, and [the Law on Public Investment No. 39/2019/QH14](#).

To support the implementation of the Law on Grassroots Democracy Implementation in the years to come, UNDP Viet Nam is looking for an experienced national research institution/research-based consulting firm/non-government organization to collaborate with in conducting **the action research and advisory service to advocate for enhanced citizen participation in and transparency of state budget planning and expenditure**. This action research and advisory assignment helps looking for good practices whereas citizens have effectively exercised their rights to know, to discuss, to supervise, to verify annual

<sup>9</sup> See <https://vbpl.vn/TW/Pages/vbpq-van-ban-goc.aspx?ItemID=113212>

<sup>10</sup> See <https://phutho.gov.vn/vi/quoc-hoi-thao-luan-ve-du-luat-thuc-hien-dan-chu-o-co-so>

<sup>11</sup> See [https://www.tapchicongsan.org.vn/web/english/focus/detail/-/asset\\_publisher/FMhwM2oQCZEZ/content/the-13th-national-party-congress-resolution](https://www.tapchicongsan.org.vn/web/english/focus/detail/-/asset_publisher/FMhwM2oQCZEZ/content/the-13th-national-party-congress-resolution)

budget plans and expenditure at the commune level so as to draw good lessons learnt for other communes and policy implications for revision of the 2015 State Budget Law.

In fact, findings from PAPI over the past seven years<sup>12</sup> show that, there is a large gap between what commune governments are expected to provide and what citizens actually receive in terms of access to information about state budget plans and expenditures at the commune level. On national average, only between 30 and 42 percent of the citizens confirmed that their communes' budget and expenditure lists were publicized from 2016 to 2021. Among these, between 25 and 32 percent personally read the lists, with 69-80 percent of those having read the lists said they trusted the information therein. The recently published Provincial Open Budget Index (POBI) 2021<sup>13</sup> also reveals a significant compliance gap between how provinces performed in state budget disclosure and what the 2015 State Budget Law provides for. Only 31 out of 63 provinces provided in full the budget and expenditure information they are required to publicize. On citizen participation in state budget governance, the 2021 POBI finds that all provinces provided a very narrow space for citizens to participate in state budget processes. All these gaps in state budget governance can be narrowed down when citizens' rights to know, to discuss, to supervise and to verify are protected and ensured by different government levels, and when local governments comply with state laws and policies.

This assignment is part of UNDP's [Viet Nam Provincial Governance and Public Administration Performance Index research and advocacy programme](#), which is co-financed by the Department of Foreign Affairs and Trade (DFAT) of Australia, the Embassy of Ireland in Viet Nam and UNDP in Viet Nam. The PAPI research programme has grounded its missions on the Ordinance No. 34 on Grassroots Democracy Implementation since its debut in 2009. The overall aim of PAPI is to improve the quality of government functions, the responsiveness, transparency, and accountability of public institutions, and ensure basic human rights in terms of freedom of expression, access to information and access to quality services. With evidence collected from citizens as the end-users of government services, not only through PAPI surveys but also thematic research and policy advice like this action research and advisory initiative, PAPI helps identify policy gaps that can inform policy-making agencies and motivate improvement in local government performance.

## **2. OBJECTIVES**

### **Overall objective:**

- To enhance citizen participation in and transparency of state budget planning and expenditure in Viet Nam for inclusive and people-centric governance.

### **Specific objectives:**

- To review and compare good practices in implementation of the budget disclosure at the provincial level (including observations at sub-provincial levels of different provinces whose levels of transparency and openness are different based on measurable indicators) and citizen participation in planning and monitoring of local state budget in Viet Nam.
- To review and provide inputs for the revision of the State Budget Law 2015

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<sup>12</sup> See PAPI reports from 2015 at <https://papi.org.vn/eng/bao-cai/>.

<sup>13</sup> See the 2021 POBI Report at <http://ngansachvietnam.net/tai-lieu/bao-cai-cong-khai-ngan-sach-tinh-pobi-2021/?fbclid=IwAR0yBrYHuX6GwrN0RXNPhsAw5VUgsoTj6yRxPdFzD7SegCVKH5hpGKuM9nw>

### 3. SCOPE OF WORK

The selected bidder is requested to implement the following key activities leading to the above objectives:

- To conduct legal and policy analyses based on evidence and measurable indicators of the current the State Budget Law 2015 (focusing on Articles 15 and 16) and other related research that promote citizen participation in and transparency of state budget planning and expenditure monitoring;
- To review good practices in citizen participation in and transparency of state budget planning and expenditure monitoring at the local levels, especially at the commune levels;
- To consult and validate the action research findings both from legal study and good practice review with relevant stakeholders at all government levels;
- To consolidate key lessons from the process in a substantive report with a long-term strategy proposed to promote citizen participation in state budget planning and transparency of state budget plans and expenditure; and,
- To disseminate the action research findings and good practices.

### 4. RESEARCH ACTIVITIES AND EXPECTED OUTPUTS

The successful bidder will conduct the following activities consecutively and/or simultaneously to produce the expected outputs:

Activities	Expected outputs	Time frame
<b>Output 1: A detailed work plan on implementation of the action research</b>		
<u>Activity 1.</u> To review the action research approach in consultation with relevant stakeholders	<ul style="list-style-type: none"> <li>- A 5-page note detailing about how the assignment will be conducted; and,</li> <li>- A detailed work-plan on how the action research will be rolled out</li> </ul>	20 December 2023
<b>Output 2. Good practices in citizen participation in and transparency of state budget planning and expenditure in Viet Nam identified</b>		
<u>Activity 2.1.</u> To conduct legal and policy analysis of the current the State Budget Law 2015 and other related research that promote citizen participation in and transparency of state budget planning and expenditure.	2.1. A 10-page current legal and current budget transparency and participation in Viet Nam (in both Vietnamese and English)	28 February 2023
<u>Activity 2.2.</u> To review good practices in promoting citizen participation in and transparency of state budget planning and expenditure at the provincial, district and commune levels	2.2.1. Field visits to conduct interviews and field observations of selected good practices (with at least two cases from two provinces to be selected and studied)	15 May 2023
	2.2.2. A 30-paged, single-spaced report (final draft) on good practices in implementation of the budget disclosure at the provincial level and citizen participation in state budget planning	16 June 2023



Activities	Expected outputs	Time frame
	and monitoring in Viet Nam, with findings based on evident observations or/and measurable indicators at the provincial level (in both Vietnamese and English).	
<u>Activity 2.3.</u> To consult and validate the action research findings both from the legal study and good practice review with relevant stakeholders at all levels of government	2.3. A half-day consultation workshop conducted in Ha Noi to present findings as put in the final draft report with at least 30 participants who are experts, representatives from the central to and provincial governments (inclusive of representatives for ethnic minorities, women and persons with disabilities) from Ha Noi and the selected provinces.	20 June 2023
<u>Activity 2.4:</u> To convene a public event to showcase and discuss selected good practices	2.4.1: A final 30-paged, single-spaced report 2.4.2: A half-day hybrid launching event convened with the final report presented and the good practices showcased in Ha Noi with the participation of at least 70 persons on site.	11 July 2023
<b>Output 3. Advisory inputs for the revision of the 2015 State Budget Law</b>		
<u>Activity 3:</u> To develop one final policy brief to be sent to the National Assembly, Ministry of Finance and relevant policy-making agencies	A well-designed 5-page policy brief (in both Vietnamese and English) to present key analysis findings and recommendations for the revise State Budget Law 2015	15 Aug 2023

The successful bidder shall propose in their technical proposal a detailed work-plan to roll out the action research with concrete activities, suitable timeframes, feasible milestones and quality assurance procedures to deliver each of the outputs as set forth above. Also, the successful bidder shall present sound and strong risk management measures and warranty of feasibility to safeguard the operation of this research project.

In addition, the successful bidder shall be responsible for paying all taxes applicable to the activities within the framework of this Terms of Reference to relevant Vietnamese tax authorities and will issue official invoices (*hóa đơn tài chính*) for payments under this contract.

UNDP Viet Nam's Programme and Policy Analysts in the Governance and Participation Team shall be responsible for overall quality control of every output. Therefore, the successful bidder shall be held accountable to UNDP Viet Nam on the developments of the research and the outputs as well as request for advice and inputs where deemed appropriate.

## 5. METHODOLOGY

### 5.1. Action research methods

The experts/researchers from the successful bidding institution will work with, and under close supervision of the UNDP Viet Nam's Programme and Policy Analysts on Governance and Participation, to identify the methodology, to apply feasible approaches to the action research and to report research results to different policy-making agencies and government levels.

Suggested research methods will include:

1. **Desk study:** The research team will conduct literature review and collect secondary data for the legal and practice review of the implementation of regulations regarding citizen participation in and transparency of state budget planning and expenditure.
2. **Participatory methods:** The research team will conduct site research by visiting sampled provinces, districts and communes to interview relevant public officials and civil servants to collect information and data about good practices in implementation of implementation of regulations regarding citizen participation in and transparency of state budget planning and expenditure in at least two (02) provinces apart from Ha Noi. More importantly, the successful bidder is expected to work in consortium with the Budget Transparency Alliance for Progress (BTAP) or a similar network of government and/or non-governmental organizations working on people participation for solid and practical inputs for this assignment.
3. **Consultative and advisory meetings:** These will be done online or offline with relevant stakeholders involved in promotion of citizen participation in and transparency of state budget planning and expenditure. The successful bidder shall establish the advisory group to provide the action research with technical and policy advice for effective communication of the research outputs with policymakers.

The successful bidder is expected to be experienced and engaged in all key research methods above and to be fully responsible for the timeliness and quality of the outputs mentioned in Section 4 above.

### *5.2. Research requirements*

The action research must be based on first-hand inputs from relevant stakeholders and aimed towards more inclusive and transparency state budget processes. The sample to be experimented must guarantee geographical and demographic diversity. As such, the successful bidder, in consultation with UNDP, will have to present a strategy to ensure that the consultation processes as required for in this action research will be done in an objective, inclusive and representative manner.

### *5.3. Data collection, quality control and output delivery*

The successful bidder will develop protocols to ensure rigorous information and data collected for the evidence-based policy and policy advice as required in this assignment. The successful bidder will grant UNDP's expert team with access to raw information and data collected during the whole action research process. This will ensure UNDP's responsibility to control and monitor research quality together with the successful bidder.

The successful bidder is also expected to present the findings in high-quality policy advisory briefs and reader-friendly reports in both English and Vietnamese as final deliverables to UNDP Viet Nam.

## **6. COMPOSITION OF THE CORE RESEARCH TEAM**

Interested research institutions/non-government organizations shall suggest the composition of the research team to ensure sufficient personnel and competencies to carry out and control the quality of the research. Following is the indicative requirement for the core research team:

<b>Core Research and Survey Management Team</b>	<b>No. of Persons</b>
Senior National Public Policy Expert (Team Lead)	1
Senior National Expert in Public Finance Management	1

National Expert in Sociology/Development Studies	1
National Expert on Communication	1

The **Senior National Public Policy Expert (Team Lead)** shall meet the following minimum requirements:

- Postgraduate degree in public policy, political sciences, social sciences, development studies, public administration, laws or related fields;
- Proven leadership and teamwork skills (e.g. a team leader of an empirical study or of a team of relevant technical experts)
- At least 10 years of proven work experience in empirical and policy research on and expertise in relevant fields such as good governance, focusing on open budget, budget transparency, and rights-based approach to good governance;
- Proven record of experience in engaging communities for good governance, especially citizen participation in local decision-making, with a focus on citizen participation in state budget planning a plus;
- Proven command of written English and Vietnamese languages, as evident in a bibliography with links to published authored/co-authored articles/reports;

The **Senior National Expert in Public Finance Management** shall meet the following minimum requirements:

- Postgraduate degree in the areas of economics, finance, political science, public administration, public policy, or other specialization relevant to this assignment;
- At least 10 years of proven professional experience in providing technical assistance and policy advice in public finance management areas for government institutions at the central and local levels, and in adopting rights-based approaches to state budget governance;
- Proven competence in applying interdisciplinary approaches to policy and practice analysis;
- Proven report writing skills as evident through authored/co-authored publications in English and Vietnamese languages;

The **National Expert in Sociology/Development Studies** shall meet the following minimum requirements:

- Post-graduate degree in sociology, development studies, or related fields
- At least 5 years of proven experience in research in sociology/development studies related fields;
- Proven record of experience in conducting participatory in-depth interviews and stakeholder analysis;
- ;
- Good command of written in English and Vietnamese

The **National Expert on Communications** shall meet the following minimum requirements:

- Bachelor or post-graduate degree in communications;
- At least 5 years of proven work experience in communications;

- Proven record of experience in designing communication materials;
- Good command of written English and Vietnamese;

It is required that the successful bidder commit to providing adequate human and logistical resources as well as technical and administrative support for the research to be conducted successfully, based on the objectives, scope, expected outputs expressed in this TOR, and the [2022 EU-UN Cost Norms Guidelines](#) for financing of local costs in development cooperation with Viet Nam.

The technical and financial proposal from the successful bidder is expected to indicate clearly the composition of research teams, logistic arrangements for the research to be completed and any financial implication thereof.

## 7. TERMS OF PAYMENT

UNDP shall pay the successful bidder against the milestones for the research project upon UNDP's satisfaction with the deliverables as specified in Section 4 hereinabove and its acceptance of invoices submitted by the successful bidder. Milestones for deliverables and payments for the three stages are as follows:

Sequence	Description	Indicative Dates for Installments	Percentage of Payment
1st payment	Upon receipt and acceptance of Output 1 as specified in Section 4	27 December 2022	20% of the total contract value
2nd payment	Upon receipt and acceptance of all sub-outputs 2.1 and 2.2.1 under Output 2 as specified in Section 4	15 April 2023	30% of the total contract value
3rd payment	Upon receipt and acceptance of sub-outputs 2.2.2 and 2.3 as specified in Section 4	30 June 2023	30% of the total contract value
Final payment	Upon receipt and acceptance of sub-outputs 2.4.1, 2.4.2 and Output 3 as specified in Section 4	30 August 2023	20% of the total contract value

## 8. SUPPORT FROM UNDP AND REFERENCE DOCUMENTS

UNDP will provide the following support where deemed appropriate:

- Substantive inputs in and quality control of deliverables;
- Office space for meetings and working sessions when needed;
- Any other substantive support where deemed appropriate.

Following are references that the successful bidder may find useful:

- CECODES, VFF-CRT, RTA & UNDP (2016-2021) The Viet Nam Provincial Governance and Public Administration Performance Index (PAPI): Measuring Citizens' Experiences from 2015-2021. Available at [www.papi.org.vn](http://www.papi.org.vn)
- UNDP (2022). [UN-EU Guidelines for Financing of Local Costs in Development Cooperation with Vietnam. Version 2022](#)

## 9. PROVISION OF MONITORING AND PROGRESS CONTROLS

- Upon signing of the contract, the successful bidder shall work closely with the UNDP Programme and Policy Analysts on Governance and Participation to discuss and agree on the task requirements and working methodology.
- The successful bidder shall discuss on and keep the UNDP abreast of any change to the research plan and approaches.
- UNDP and relevant stakeholders shall review and comment on the successful bidder's required outputs in the TOR.
- The successful bidder shall review the comments and submit the revised outputs for further review and comments.
- UNDP Programme and Policy Analysts on Governance and Participation shall monitor every stage of deployment of the research and shall evaluate the deliverables by each output described in Section 4 of this TOR.
- UNDP shall disburse payments to the successful bidder against the milestones provided for in Section 7. Each payment shall be made upon UNDP's satisfaction with the expected deliverables. The final payment for each phase shall be made to the successful bidder only when UNDP is fully satisfied with the final deliverable in this assignment.

## 10. EVALUATION CRITERIA

Technical Proposal Evaluation		Max. Points
<b>Form 1: Expertise and Capacity of Firm / Organization submitting proposal</b>		<b>200</b>
1.1	Reputation of Organisation and (Competence / Reliability)	50
1.2	Litigation and Arbitration history	20
1.3	Organisational Capability which is likely to affect implementation (risks versus access to specialized skills: i.e. subcontracting / partnerships - loose consortium, holding company or one firm, size of the firm / organisation, strength of project coordination and support, ...)	50
1.4	Quality assurance procedures, warranty	30
1.5	Previous experience in working with communities and conducting legal review and action/empirical research on participatory governance, open budget, budget transparency in Viet Nam	50
<b>Total (Form 1)</b>		<b>200</b>
<b>Form 2: Adequacy of the proposed approach, methodology and work plan responding to the TOR</b>		<b>300</b>
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?	100

<b>Technical Proposal Evaluation</b>		<b>Max. Points</b>
2.3	Does the proposal commit adequate human and logistical resources (including support staff, translation/interpretation etc.) to ensure high-quality and timely delivery of the research report?	100
2.4	Is the presentation of the proposal clear and provided with succinct sequence of approaches to the research?	50
<b>Total (Form 2)</b>		<b>300</b>
<b>Form 3: Personnel competencies and human resource organization</b>		<b>500</b>
		Sub-score
3.1	<b>Senior National Public Policy Expert (Team Lead)</b>	<b>160</b>
	Postgraduate degree in public policy, political sciences, social sciences, development studies, public administration, laws or related fields;	30
	Proven leadership and teamwork skills (e.g. a team leader of an empirical study or of a team of relevant technical experts)	40
	At least 10 years of proven work experience in empirical and policy research on and expertise in relevant fields such as good governance, focusing on open budget, open government, and rights-based approach to good governance;	40
	Proven record of experience in engaging communities for good governance, especially citizen participation in local decision-making, with a focus on citizen participation in state budget planning a plus;	30
	Proven command of written English and Vietnamese languages, as evident in a bibliography with links to published authored/co-authored articles/reports;	20
3.2	<b>Senior National Expert in Public Finance Management</b>	<b>140</b>
	Postgraduate degree in the areas of economics, finance, political science, public administration, public policy, or other specialization relevant to this assignment;	30
	At least 10 years of proven professional experience in providing technical assistance and policy advice in public finance management areas for government institutions at the central and local levels, and in adopting rights-based approaches to state budget governance;	50
	Proven competence in applying interdisciplinary approaches to policy and practice analysis;	30
	Proven report writing skills both in Vietnamese and English, as evident in in a bibliography of published and authored/co-authored reports/journal articles/advisory reports with links provided for assessment enclosed in the CV.	30
3.3	<b>National Expert in Sociology/Development Studies</b>	<b>100</b>
	Post-graduate degree in sociology, development studies, or related fields	20
	At least 5 years of proven experience in research in sociology/development studies related fields;	30
	Proven record of experience in conducting participatory in-depth interviews and stakeholder analysis;	30
	Good command of written and spoken English and Vietnamese as evident in (as evident in a bibliography of published and authored/co-authored reports/journal articles/advisory reports with links provided for assessment enclosed in the CV)	20

Technical Proposal Evaluation		Max. Points
3.4	National Expert on Communications	100
	Bachelor or post-graduate degree in communications	20
	At least 5 years of proven work experience in communications;	30
	Proven record of experience in designing communication materials;	30
	Good command of written English and Vietnamese (as evident through a list of links to produced communication materials in in English and Vietnamese).	20
	Total (form 3)	500
	TOTAL POINTS	1000

## FORM FOR SUBMITTING SERVICE PROVIDER'S PROPOSAL<sup>14</sup>

*(This Form must be submitted only using the Service Provider's Official Letterhead/Stationery<sup>15</sup>)*

[insert: Location].

[insert: Date]

To: [insert: Name and Address of UNDP focal point]

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 the following :*

- a) *Profile – describing the nature of business, field of expertise, licenses, certifications, accreditations;*
- b) *Business Licenses – Registration Papers, Tax Payment Certification, etc.*
- c) *Latest Audited Financial Statement – income statement and balance sheet to indicate its financial stability, liquidity, credit standing, and market reputation, etc. ;*
- d) *Track Record – list of clients for similar services as those required by UNDP, indicating description of contract scope, contract duration, contract value, contact references;*
- e) *Certificates and Accreditation – including Quality Certificates, Patent Registrations, Environmental Sustainability Certificates, etc.*
- f) *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.*

### 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.*

<sup>14</sup> This serves as a guide to the Service Provider in preparing the Proposal.

<sup>15</sup> Official Letterhead/Stationery must indicate contact details – addresses, email, phone and fax numbers – for verification purposes



C. **Qualifications of Key Personnel**

*If required by the RFP, 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 if required by the RFP; and
- c) Written confirmation from each personnel that they are available for the entire duration of the contract.

D. **Cost Breakdown per Deliverable\***

	<b>Deliverables</b> <i>[list them as referred to in the RFP]</i>	<b>Percentage of Total Price</b> <i>(Weight for payment)</i>	<b>Price</b> <i>(Lump Sum, All Inclusive)</i>
1	Deliverable 1		
2	Deliverable 2		
3	....		
	<b>Tax** (all applicable tax)</b>		
	<b>Total</b>	100%	

*\*This shall be the basis of the payment tranches*

*\*\* The contractor is required to **issue tax receipt(s) (xuất hóa đơn tài chính)** for the total contract value*

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

<b>Description of Activity</b>	<b>Remuneration per Unit of Time</b>	<b>Total Period of Engagement</b>	<b>No. of Personnel</b>	<b>Total Rate</b>
<b>I. Personnel Services</b>				
1. Services from Home Office				
a. Expertise 1				
b. Expertise 2				
2. Services from Field Offices				
a. Expertise 1				
b. Expertise 2				
3. Services from Overseas				
a. Expertise 1				
b. Expertise 2				
<b>II. Out of Pocket Expenses</b>				
1. Travel Costs				
2. Daily Allowance				
3. Communications				
4. Reproduction				
5. Equipment Lease				
6. Others				
<b>III. Other Related Costs</b>				
<b>IV. Tax (all applicable taxes)</b>				

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