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Date: 27 August 2012

INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

for individual consultants and individual consultants assigned by consulting firms/institutions

Country:	Viet Nam
Description of the assignment:	International consultant to write a Background Paper on Political Economy of Socialisation in Viet Nam
Project name:	UNDP Policy Advisor
Period of assignment/services (if applicable):	September – December 2012

1. Submissions should be sent by email to: nguyen.thi.hoang.yen@undp.org no later than: **17.00 hrs., 5 September 2012 (Hanoi time)**.

With subject line: International consultant - Socialisation

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

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.

2. Please find attached the relevant documents:

- [Terms of Reference \(TOR\)](#)..... (Annex I)
- [Individual Contract & General Conditions](#)..... (Annex II)
- [Reimbursable Loan Agreement](#) (for a consultant assigned by a firm) & [General Conditions](#) (Annex III)
- [Insurance Coverage Table](#)..... (Annex IV)
- [Vendor Form](#) (Annex V)
- [Guidelines for CV preparation](#)..... (Annex VI)
- [Format of financial proposal](#)..... (Annex VII)

3. Interested individual consultants must submit the following documents/information to demonstrate their qualifications:

- a. Technical component:
 - Curriculum vitae
 - Expression of interest, explaining why he/she is the most suitable for the work.
 - Copy of 1-3 publications/writing samples.
 - Contact reference of past 4 clients for whom you have rendered preferably the similar service
- b. Financial proposal:

- The financial proposal shall specify a total lump sum amount in **US Dollar** including consultancy fees and all associated costs i.e. airfares, travel cost, meal, accommodation, tax, insurance etc. – see format of financial offer in Annex VII.
- 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 US Dollar at UN Exchange Rate at the submission deadline.

Please note: For the consultancy firm/institution/organization, please provide the above information **of the assigned consultant (only ONE) for this service**, not the experience and information of **YOUR firm**. The documents must be submitted by the assigned consultant.

4. Evaluation:

The technical component will be evaluated using the following criteria:

Consultant's experiences/qualification related to the services		
	Criteria	Maximum Points
1	In-depth knowledge of social policy and in particular socialisation policies in Viet Nam	300
2	Familiarity with social policy issues in China and/ or other relevant countries	200
3	At least 10 years experience in social policy research	200
4	Strong publication record in the above areas	200
5	Proven excellent English, writing skills	100
	TOTAL	1000

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.

An interview with the candidate given the highest combined score may be held before contract awarding, if deemed necessary.

8. 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:

- Personal History
- International consultant whose work involves travel is required to complete the course on Basic Security in the Field and submit certificate to UNDP before contract issuance.

Note: The Basic Security in the Field Certificate can be obtained from website: <http://training.dss.un.org>. The training course takes around 3-4 hours to complete. The certificate is valid for 3 years.

- Full medical examination and Statement of Fitness to work for consultants from and above 62 years of age and involve travel. (This is not a requirement for RLA contracts).
- Release letter in case the selected consultant is government official.

9. Payment

UNDP shall effect payments to the consultant (by bank transfer to the consultant's bank account provided in the vendor form (Annex V) upon acceptance by UNDP of the deliverables specified the TOR.

1st payment: 30% of total contract value will be paid after contract signing and satisfactory work planning.

2nd payment: 20% of total contract value will be paid after the first mission to Vietnam (timing to be determined); submission and UNDP's acceptance of a summary of discussions/ mission report

3rd and final payment: 50% of total contract value will be paid upon satisfactory completion of the assignment and upon approval of the final report by the UNDP Viet Nam Policy Advisory Team.

If two currencies exist, UNDP exchange rate will be applied at the day UNDP instructs the bank to effect the payment.

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



TERMS OF REFERENCE (TOR)

International consultant to write a Background Paper on Political Economy of Socialisation in Viet Nam

Country of assignment: Viet Nam and home base
Duration: 35 working days to be used between early September and 15 December 2012.

1) GENERAL BACKGROUND

Until the early 1980s social services in Viet Nam were almost entirely state financed and provided by State entities and institutions. Under the state-socialist system with its universalist principles access to social services was a formal citizen right. A degree of inequality existed with state elites and those closely linked to the bureaucracy as well as urban centres enjoying greater access and quality services.

With rapidly declining state revenues in the 1980s, the fiscal foundations of universal social service provision and public service institutions eroded. The government started to reduce state subsidies and to call for the 'mobilisation of resources from society'. The 1990-2000 Socio-Economic Development Strategy (SEDS) first introduced the concept of cost-recovery.¹ According to the 1992 Constitution the State should give priority to investments in education while promoting other sources of investment (Art. 36) and mobilise and organise all society to build and develop the health system (Art. 39). It also included provisions for policies on school and hospital fees. The 8th Party Congress in 1996 reiterated the central role of the state and mobilising people, enterprises, social organisations, foreign individuals and organisations to work together to resolve social problems. Subsequent policy documents and Party resolutions expanded the concept and provided guidance on its implementation. The 2011-2020 SEDS emphasised the importance of socialisation for education, health, culture, sport and environmental protection. SEDP 2011-2015 further added poverty reduction, population and reproductive health. Other areas such as tourism, business registration, issuance of land certificates and water have also started to be subject to the application of socialisation policy.

This recent expansion in both content and scope is neither based on evidence-based assessments of the impact of the policy so far nor is it fully backed-up by the constitution, other important government documents and strategies. It is also occurring in a different context. While initial socialisation policies were introduced in a context of fiscal scarcity, economic growth has led to an increase in government revenues. Although Government expenditures for health and expenditure have risen in absolute terms, there has been an increasing shift towards capital expenditures. The current expansion of socialisation therefore seems more a reflection of a conscious choice towards a (capital) investment led growth model and marks a significant departure from a more balanced socio-economic development.

Over time socialisation has become an umbrella term used for 'everything from introducing fees for public services to promoting joint ventures between public and private service providers to promoting foreign investment.'² In practice socialisation has been implemented as 'privatisation' and 'commercialisation' and implied shifting responsibility for the provision and payment of services from the state to society, primarily to households. Access to education and health services, especially beyond the basic level, are increasingly contingent on households' ability to mount out-of-pocket payments representing a significant burden on the poor and near-poor.

Another feature of the socialisation process in Viet Nam has been the blurring of lines between the public and private. One manifestation of this has been the proliferation of private income generation activities often within public institutions and related to the functions of public employees who derive significant proportions of their income from these activities. Resolving these conflicts of interest will be key for improving the accountability and effectiveness of service delivery and for effective regulation.

¹ Autonomy and cost-recovery was limited to sports clubs and associations and the diversification of service providers to vocational training, health and education.

² See Jonathan London (2011), 'Education in Vietnam', Institute of Southeast Asian Studies.

Socialisation has facilitated the privatisation and commercialisation of social services. While commercialisation can, through encouraging competition, improve access to and quality of services, in practice it has often led to an overprovision of services and to higher costs. This contributes to increasing inefficiency and entrenching out-of-pocket payments, therefore to inequality in terms of access to affordable services. The limited regulatory and redistributive role of the state facilitates this process.

As Viet Nam is discussing new growth models it is timely to revisit the socialisation policy and to strengthen the regulatory and redistributive functions of the state.

2) OBJECTIVES OF THE ASSIGNMENT

An International Consultant will be hired, to produce a background paper on the political economy of socialisation. This paper will provide the basis for further work on this issue and provide suggestions for entry points (in terms of research and programs) and advocacy.

3) SCOPE OF WORK

The background paper should sketch out the main issues only, review existing literature and identify gaps where further research may be required. A list of main research questions can be found below.

The paper will analyse the issue of socialisation from a political economy perspective. Each section should compare the experience of Vietnam with the one of China and/ or other relevant country experiences.

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

The total allocation for this assignment is 35 working days to be used between early September and 15 December 2012.

During this period the consultant shall visit Hanoi two times. The first visit should be for 5 working days for meetings with stakeholders at the beginning of the assignment. The second visit for 3 working days to present the report findings and to discuss follow-up options with stakeholders. The exact timing of the missions will be determined in the inception phase.

5) FINAL PRODUCTS

The background paper should address the following issues. This list and the overall approach will be reviewed in discussions with UNDP and other stakeholders during the inception phase.

1. Understanding the evolution of socialisation

Some questions which should be addressed are:

- What has been the underlying rationale of the expansion of socialisation? and how has this evolved over time? How important are fiscal considerations? Administrative capacities, particularly the capacity of the government to use taxation as a mechanism of distribution? vested interests that have become entrenched over time?
- How have the underlying incentives changed? (see also question below on governance/ rent seeking and informal payments)
- Who is driving this expansion? Who is resisting?
- How is socialisation viewed by different stakeholders? what is the official line? are there differing views within the Party? what about the public (reactions in the media, on blogs, etc.)? National Assembly?
- To what extent is the discussion part of the larger debate in Vietnam about the role of the state and the 'new growth' model? the debates about universal access?

This part would document references to socialisation in main legal and planning documents.

It should include a mapping of 'socialised sectors' with a brief analysis of the expansion of scope in terms of areas/sectors as well as actors including:

- Education
- Health
- Water
- Leisure
- Social protection, care for the elderly, etc.

This also includes an analysis of the different modalities of socialisation.

2. Governance Aspects

Blurring of public – private spheres/ rent seeking

Another feature of the socialisation process in Vietnam has been the blurring of lines between the public and private. One manifestation of this has been the proliferation of income generation activities often within public institutions. Some public employees derive significant proportions of their income from these activities.

Some questions which should be addressed are:

- The relationship between socialisation and informal payments. How important are informal payments? What additional research should we look at? (small scale surveys, etc.)

Socialisation and decentralization

The financing and management of public services including the provision and payment for education and health services has largely been decentralised. The stated aims of these policies are to allow service delivery units to mobilise economic resources, to expand the range and improve the quality of services and increase responsiveness to public needs. The way the policy has been applied at the local level is very different.

- What has been the impact of decentralization on public service delivery (in terms of coverage, access and quality)?
- While there is quite a lot of information on education and health, what about water and other areas? Where are the gaps in knowledge?

3. Impact on Vulnerable Groups and Inequality

Access to education and health services, especially beyond the basic level, are increasingly contingent on households' ability to mount out-of-pocket payments. The poor spend bigger shares of their incomes on health and education.

- What quantitative evidence is available on the impact of socialisation? This should provide a quick overview of available studies on the impact of socialisation on vulnerable groups (poor, near poor, etc.). Where are the research gaps?
- How is socialisation contributing to inequality? This should look at various dimensions of inequality.

Future Options

- Additional research?
- What are potential policy options in light of recent discussions about the social protection system? This should provide lessons learnt from other countries.

6) PROVISION OF MONITORING AND PROGRESS CONTROLS

The overall dialogue process will be managed by the Policy Advisory Team (PAT) of UNDP.

The PAT Policy Advisor on Economics will:

- a) convene and facilitate various meetings with national and UN/international stakeholders;
- b) provide inputs into the research methodology and review drafts of the report.

Overall facilitation of workshops will be by UNDP-Viet Nam (PAT) and the national research organisations. They will make several resource people available as peer reviewers of draft results and participants in various dialogues.

7) EXPERTISE AND QUALIFICATIONS

The consultant will have:

- a. At least 10 years experience in social policy research;
- b. In-depth knowledge of social policy and in particular socialisation policies in Viet Nam;
- c. Familiarity with social policy issues in China and/ or other relevant countries;
- d. Strong publication record in the above areas; and
- e. Proven excellent English, writing skills and communication skills;

8) ADMIN SUPPORT AND REFERENCE DOCUMENTS

Administrative support will be provided by the Policy Advisory Team (PAT)/ Economics of UNDP Viet Nam.

9) REVIEW TIME REQUIRED AND PAYMENT TERM

1st payment: 30% of total contract value will be paid after contract signing and satisfactory work planning.

2nd payment: 20% of total contract value will be paid after the first mission to Vietnam (timing to be determined); submission and UNDP's acceptance of a summary of discussions/ mission report

3rd and final payment: 50% of total contract value will be paid upon satisfactory completion of the assignment and upon approval of the final report by the UNDP Viet Nam Policy Advisory Team.

10) CONSULTANT PRESENCE REQUIRED ON DUTY STATION/UNDP PREMISES

NONE X PARTIAL INTERMITTENT FULL-TIME

Annex VI

GUIDELINES FOR PREPARING CV

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.

Please ensure the following statement is included in the resume and that it is signed and dated:

I CERTIFY THAT ALL INFORMATION STATED IN THIS RESUME IS TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE. I AUTHORIZE UNDP/UNOPS OR ITS AGENT TO VERIFY THE INFORMATION PROVIDED IN THIS RESUME.

(Signature)

Annex VII

FINANCIAL OFFER

Having examined the Solicitation Documents, I, the undersigned, offer to provide all the services in the TOR for the sum of USD

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

Cost breakdown:

No.	Description	Number of days	Rate (USD)	Total
1	Remuneration			
1.1	Services in Home office			
1.2	Services in field			
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 62 years of age and involve travel – (required before issuing contract). *			
2.5	Others (pls. specify).....			
	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.

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