



GOVERNMENT READINESS CHECKLIST

A tool for preparing for social contracting implementation



INTRODUCTION

Following the Ministry of Health (MOH) approval of a national social contracting pilot in November 2021, EpiC Vietnam developed a checklist to assist with the preparations for the implementation of the pilot. This checklist aims to assist provincial government health authorities to assess the extent to which they are ready to implement social contracting while identifying gaps that need to be addressed to prepare for implementation.

The checklist assesses readiness across eight domains:

1. **General and Legal Awareness on Social Contracting**
2. **Financial Management**
3. **Procurement and Supply Chain**
4. **Partnerships**
5. **Human Resources**
6. **Monitoring and Evaluation**
7. **Gender and Inclusiveness**
8. **Funding Mobilization and Commitment**

Each domain contains several criteria for review.

This checklist has been used to support several provinces engaged in the social contracting pilot in Vietnam.

INSTRUCTIONS FOR USING THE CHECKLIST

To complete the checklist, representatives from provincial leadership and relevant departments should gather for a facilitated group discussion. The facilitator and participants review the statements within each domain to determine the extent of readiness. The facilitator asks open-ended, probing questions around each sub-domain/criteria and encourages group discussion before scoring. Facilitators also take notes on the discussion to further inform technical assistance planning efforts.

Following the discussion, participants calculate their scores using the scoring sheet for each criterion on a scale of 0 – 3:

0: Not in place, no previous action or experience

1: Somewhat in place, requires substantial improvement

2: Mostly in place, will benefit from some improvement

3: In place, example of good practice

Following the facilitated session, scores for each domain are calculated as an average of the scores by criteria. An analysis of the results of the checklist is used to develop a technical assistance action plan.

ACKNOWLEDGEMENTS

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- Vietnam Administration of HIV/AIDS Control (VAAC)
- United States Agency for International Development (USAID)
- United States Centers for Disease Control (USCDC)
- The Joint United Nations Programme on HIV/AIDS (UNAIDS)
- The USAID-supported Local Health System Sustainability Project (LHSS)
- The USAID-supported Local Assistance to Develop and Deliver Excellence, Resilience, and Sustainability in Vietnam (LADDERS)

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SOCIAL CONTRACTING GOVERNMENT READINESS SCORING SHEET

		Score			
		0	1	2	3
I. General and Legal Awareness					
1.1	Understanding of Law No. 71/2020/QH14 dated 16 Nov. 2020 amending Law on HIV/AIDS Prevention and Control No. 64/2006/QH11.				
1.2	Understanding of the 2015 Law on State Budget and Decree No. 163/2016/ND-CP dated December 21, 2016 on guidelines for the Law on State Budget				
1.3	Understanding of Decree No. 32/2019/ND-CP dated April 10, 2019 on prescribing the assignment of tasks, placement of orders, or bidding for provision of public products and services using regular expenditure of State Budget				
1.4	Understanding of the National Strategy to end the AIDS epidemic by 2030				
1.5	Understanding of Pilot Project on Social Contracting under Decision No. 5466/QD-BYT dated 29 Nov. 2021				
1.6	Understanding of the concepts of social contracting and steps of social contracting implementation				
1.7	Understanding of the important role of civil society organizations (CSOs) / social enterprises (SEs) in providing HIV services				
II. Financial Management					
2.1	There are financial policies and guidelines in place for the management of HIV service providers (for example financial guidelines, financial reports, procurement guidelines...)				
2.2	There is an operational internal control system to safeguard assets, manage internal risks, and ensure the accuracy and reliability of accounting data				
2.3	There are sufficient and experienced staff members who understood the system				
2.4	There are sufficient and experienced staff members with strong experience in contract management				
III. Procurement and Supply Chain					
3.1	Staff fully understand the Bidding Law 2013 amended in 2019 and implementation guidelines				
3.2	Staff have experience in public bidding and restricted bidding in line with the Government of Vietnam (GVN)'s regulations and guidelines with transparent procedures				
3.3	There are established procurement policies and processes and staff understand how to follow them				
IV. Partnerships					

		Score			
		0	1	2	3
4.1	Staff have experience working with private sectors, SEs, and community-based organizations (CBOs) in project implementation/service delivery				
4.2	A regular mechanism for inter-departmental collaboration between health sector and Department of Planning and Investment and Department of Finance and other relevant departments				
V. Human Resources					
5.1	There is at least one full time staff who will commit sufficient level of efforts (LOE) for social contracting implementation				
5.2	There are sufficient staff who have technical capacity to support SEs/CBOs in service delivery quality				
VI. Monitoring and Evaluation (M&E)					
6.1	There is an M&E system or information management system (tools, forms, activity tracking table, data collection and analysis tools, etc.)				
6.2	Assigned staff are familiar with the technical reporting/data system; there is an M&E system or information management system (tools, forms, activity tracking table, data collection and analysis tools, etc.)				
6.3	There is a mechanism in place to collect feedback from beneficiaries during project implementation/service delivery				
6.4	There is a system in place to analyze client feedback and other relevant data to inform program pivots				
6.5	Results of analyzed data are taken into account in decision making processes (data-driven decision making)				
6.6	Lessons learned are documented and contribute to inform policy and adjustments				
6.7	There is an M&E system or information management system (tools, forms, activity tracking table, data collection and analysis tools, etc.)				
VII. Gender and Inclusiveness					
7.1	Awareness of concepts of gender and inclusiveness (gender and sexuality, equity and equality, stigma and discrimination, and other concepts critical to working with key populations (KPs) include gender-based violence)				
7.2	There is a policy (or articles) for reporting rights abuses, and demonstrating a commitment to anti-discrimination actions and equitable access to service for all KPs				
VIII. Funding Mobilization and Commitment					
8.1	Province has a clearly defined provincial sustainability plan that identifies needs and resources for HIV epidemic control				
8.2	There is a commitment to mobilize domestic resources (from government, private sector, etc.) to support social contracting efforts				

SCORING RUBRIC

Benchmarks for scoring for each criterion are described below.

		0	1	2	3	Score	Discussion topics
I. General and Legal Awareness							
1.1	Understanding of Law No. 71/2020/QH14 dated 16 Nov. 2020 amending Law on HIV/AIDS Prevention and Control No. 64/2006/QH11.	<i>Never heard about the Law</i>	<i>Know about the Law but not sure about its content</i>	Understanding of: <ul style="list-style-type: none"> • Scope of regulation and how it is applied • State policies on HIV prevention and control • Responsibilities of government agencies in HIV prevention and control 	Understanding of the items under number 2 and: <ul style="list-style-type: none"> • Conditions for guaranteeing the implementation of HIV prevention and control measures • Integration of HIV prevention and control activities into socio-economic development programs 		How is the Law disseminated in the local system?
1.2	Understanding of the 2015 Law on State Budget and Decree No. 163/2016/ND-CP dated December 21, 2016 on guidelines for the Law on State Budget	<i>Never heard about the Law</i>	<i>Know about the Law but not sure about its content</i>	Understanding of: <ul style="list-style-type: none"> • State budget system • Duties and entitlement of regulatory agencies, responsibilities and obligations of organizations and individuals to the state budget • Mechanism of preparing State Budget plan 	Understanding of the items under number 2 and: <ul style="list-style-type: none"> • Mechanism of State Budget allocation from central to provincial level 		What is the current practice of preparing State Budget Plan for approval?
1.3	Understanding of Decree No. 32/2019/ND-CP dated April 10, 2019 on prescribing the assignment of tasks, placement of orders, or bidding for provision of public products and services using regular expenditure of State Budget	<i>Never heard about the Decree</i>	<i>Know about the Decree but not sure about its content</i>	Understanding of: <ul style="list-style-type: none"> • Mechanism of assignment of tasks, placement of orders or bidding for provision of public products and services using regular expenditure of State Budget 	Understanding of the items under number 2 and: <ul style="list-style-type: none"> • Some public services related to HIV prevention and control listed in the approved list 		What do they have experience in relation to implementation of assignment of tasks, placement of orders or bidding for provision of public products and services using State Budget?

		0	I	2	3	Score	Discussion topics
1.4	Understanding of the National Strategy to end the AIDS epidemic by 2030	Never heard about the National Strategy	Know about the National Strategy but not sure about its content	Understanding of: <ul style="list-style-type: none"> Targets and solutions 	Understanding of the items under number 2 and: <ul style="list-style-type: none"> Current local progress to achieve targets 		Strategic plan on HIV prevention and control at provincial level Level of support of provincial authority with the plan
1.5	Understanding of Pilot Project on Social Contracting under Decision No. 5466/QD-BYT dated 29 Nov. 2021	Never heard of the Pilot Project	Know about the Pilot Project but not sure about the relevant content	Understanding of: <ul style="list-style-type: none"> Four service packages Technical procedures and estimated cost of each package Procurement methods 	Understanding of the items under number 2 and: <ul style="list-style-type: none"> Responsibilities of provincial health authorities (center for disease control and/or department of health) Pilot Implementation 		
1.6	Understanding of the concepts of social contracting and steps of social contracting implementation	Do not know about the concept and steps of social contracting	Know about the concept but not the steps	Understanding of: <ul style="list-style-type: none"> Social contracting is about government having contracts with community organizations using State Budget Some steps required to implement social contracting 	Understanding of the items under number 2 and: <ul style="list-style-type: none"> Social contracting is about government having contracts with community organizations using the State Budget All steps required to implement social contracting 		What are concerns about social contracting needs to be further explained? Which steps they think they may face difficulties in implementing social contracting What support do they think they would have from provincial authority?
1.7	Understanding of the important role of community organizations in providing HIV services	Do not know about the role of SEs/CBOs	Not sure about the role of SEs/CBOs	Understanding of: <ul style="list-style-type: none"> The number of advantages of using community organizations to provide HIV services 	Understanding of the items under number 2 and: <ul style="list-style-type: none"> Current HIV services provided by community organizations 		

Score:

Average score for General and Legal Awareness:

II. Financial Management

2.1	There are financial policies and guidelines in place for the management of HIV service providers (for example financial guidelines, financial reports, procurement guidelines...)	No financial policies and guidelines for any partner	There are financial policies and guidelines but very general, without forms / templates	There are financial policies and guidelines with forms/templates in general	There are financial policies and guidelines with detailed instructions and forms/templates		Collect forms/template that already exist
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		0	1	2	3	Score	Discussion topics
2.2	There is an operational internal control system to safeguard assets, manage internal risks, and ensure the accuracy and reliability of accounting data	No operational internal control system	There is an incomplete internal control system	There is a documented internal control system in which: <ul style="list-style-type: none"> Segregation of duties is clear Having procedures of asset inventory and logbook with periodic inventory. However, there is no process for reviewing or updating internal control system or assessing financial risk	There is a completely documented internal control system that includes all elements under number two and: <ul style="list-style-type: none"> Clear process for reviewing and updating internal control systems and assessing financial risk with management plan 		Current practices in internal control system including asset inventory and management and financial risk assessment and management
2.3	There are sufficient and experienced staff members who understood the financial monitoring system	Does not have sufficient staff for financial monitoring	Have at least one staff with ≤2 years' experience who can dedicate 1 – 2 days / month for financial monitoring	Have at least one staff member with 2 – 4 years' experience who can dedicate 1 – 2 days per month for financial monitoring	Have at least one staff with ≥4 years' experience who can dedicate 1 – 2 days per month for financial monitoring		
2.4	There are sufficient and experienced staff members with strong experience in contract management	Does not have sufficient staff for contract management	Have at least one staff with ≤2 years' experience who can manage contract with community organizations and provide support	Have at least one staff member with 2-4 years' experience who can manage contract with community organizations and provide support	Have at least one staff with ≥4 years' experience who can manage contract with community organizations and provide support		

Score:

Average score for Financial Management:

III. Procurement and Supply Chain

3.1	Staff fully understand the Bidding Law 2013 amended in 2019 and implementation guidelines	Never heard about the Law and guidelines	Know about the Law and guidelines but not sure about the content	Understanding of: <ul style="list-style-type: none"> Forms of selection of contractors, investors Methods of selection of contractors, investors Plan and process of tenderer selection Methods to assess bidding dossier 	Understanding of the items under number 2 and: <ul style="list-style-type: none"> Purchase of drugs and medical supplies Provision of public products and services 		
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		0	1	2	3	Score	Discussion topics
3.2	Staff have experience in public bidding and restricted bidding in line with GVN's regulations and guidelines with transparent procedures	No experience in public bidding and restricted bidding	Assigned staff: <ul style="list-style-type: none"> Have organized 1 – 2 public biddings and 1 – 2 restricted biddings Familiar with the bidding process 	Assigned staff: <ul style="list-style-type: none"> Have organized 3 – 4 public biddings and 3 – 4 restricted biddings Familiar with the bidding process 	Assigned staff: <ul style="list-style-type: none"> Have organized ≥5 public biddings and ≥ 5 restricted biddings Familiar with the bidding process 		
3.3	There are established procurement policies and processes and staff understand how to follow them	No procurement policies and procedures	<ul style="list-style-type: none"> There are procurement policies and guidelines but very general, without forms, templates, or thresholds Few staff understand and follow the policies and guidelines 	<ul style="list-style-type: none"> There are procurement policies and guidelines with general forms, templates, or thresholds Staff are trained on and follow the policies and guidelines 	<ul style="list-style-type: none"> There are procurement policies and guidelines with detailed instruction and forms, templates, or thresholds Staff are trained on and follow the policies and guidelines 		Collect existing forms and templates Document current procurement practices

Score:

Average score for Procurement and Supply Chain:

IV. Partnerships

4.1	Staff have experience working with the private sectors, SEs, and CBOs in project implementation and/or service delivery	Assigned staff do not have experience working with private sectors, SEs, CBOs	Have at least one staff with ≤2 years' experience working with SEs and CBOs in project implementation and/or service delivery	Have at least one staff with 2-4 years' experience working with SEs and CBOs in project implementation and / or service delivery	Have at least one staff with ≥4 years' experience working with SEs and CBOs in project implementation and/or service delivery		
4.2	A regular mechanism for inter-departmental collaboration between health sector and finance/planning departments	No regular mechanism for inter-department collaboration between health sector and finance and planning departments	There is a connection between health sector planning and finance departments and other relevant departments as needed	There is an informal mechanism for inter-department collaboration between health sector and planning, finance, and other relevant departments	There is a formal mechanism for inter-department collaboration between health sector and planning, finance, and other relevant departments		Procedures of communication between the health sector and other relevant departments Information flows

Score:

Average score for Partnerships:

		0	1	2	3	Score	Discussion topics
V. Human resources							
5.1	There is at least one full time staff who will commit sufficient LOE for social contracting implementation	No staff	Have one staff who is focal point and can commit five days/month for social contracting implementation	Have one staff who is focal point and can commit ten days/month for social contracting implementation	Have one full time staff whose primary responsibility is social contracting implementation		Staffing plan for social contracting implementation
5.2	There are sufficient staff who have technical capacity to support SEs/CBOs in service delivery quality	No staff	Have at least one staff with ≤ 2 years' experience working who can provide technical support to SEs/CBOs	Have at least one staff with 2-4 years' experience working who can provide technical support to SEs/CBOs	Have at least one staff with ≥ 4 years' experience working who can provide technical support to SEs/CBOs		
Score:							
Average score for Human Resources:							
VI. Monitoring and Evaluation							
6.1	There is a clear M&E framework for HIV programming	No M&E framework for HIV programming	Have a separate M&E framework for each project	Have a basic M&E framework for HIV programming	Have a well-defined M&E framework for HIV programming		Theory of change, result framework, budget for M&E
6.2	There is an M&E system or information management system (tools, forms, activity tracking table, data collection and analysis tools, ...)	No M&E system or information management system	Have tools and forms but no system for regular data collecting, analyzing, and reporting data	<ul style="list-style-type: none"> Have tools and forms, and process for data collecting, using data/findings for follow-up monitoring, Support or planning and reporting against targets 	<ul style="list-style-type: none"> Have tools and forms, and process for data collecting, using data/findings for follow-up monitoring, Support or planning and reporting against targets and plan for communication with stakeholders 		
6.3	Assigned staff are familiar with the technical reporting/data system	Assigned staff have no experience with technical reporting/data system	Assigned staff are trained with the technical reporting / data system	Assigned staff have 1–3-years' experience with the technical reporting / data system	Assigned staff have ≥ 3 years' experience with the technical reporting / data system		

		0	1	2	3	Score	Discussion topics
6.4	There is a mechanism in place to collect feedback from beneficiaries during project implementation /service delivery	No mechanism to collect feedback from beneficiaries	Have a comment box to collect written feedback from beneficiaries	Have a comment box and a hotline number to collect both written feedback from beneficiaries	Have a comment box, a hotline number and an online form to collect feedback from beneficiaries		
6.5	There is a system in place to analyze client feedback and other relevant data to inform program pivots	No system to analyze client feedback and other relevant data	Have a system to analyze client feedback without response plan	Have a system to analyze client feedback with reflection on a regular basis	Have a system to analyze client feedback with reflection and response in a timely and safe manner		
6.6	Results of analyzed data are taken into account in decision making processes (data-driven decision making)	Results of analyzed data are not reported to managers	Results of analyzed data are reported to managers	Results of analyzed data are reflected to relevant managers and insights are taken into account in meetings	Results of analyzed data and insights are used for decision making		
6.7	Lessons learned are documented and contribute to inform policy and adjustments	Lessons learned are not documented	Lessons learned are documented in a scattered manner and disseminated internally	<ul style="list-style-type: none"> Lessons learned are documented in a systematic approach. Good practices are identified Both are disseminated internally 	<ul style="list-style-type: none"> Lessons learned are documented in a systematic approach Good practices are identified, analyzed, and shared with other stakeholders 		Current practice in sharing and learning knowledge

Score:

Average score for Monitoring and Evaluation:

VII. Gender and Inclusiveness

7.1	Awareness of concepts of gender and inclusiveness (gender and sexuality, equity and equality, stigma and discrimination, and other concepts critical to working with KPs include gender-based violence)	No awareness of concepts of gender and inclusiveness	Have heard about concepts of gender and inclusiveness but cannot explain the definitions or the terms	Understand definitions and terms of gender and inclusiveness	Understand definitions and terms of gender and inclusiveness and point out key messages toward gender and inclusiveness		Key messages in terms of Dignity, Access, Participation, Safety
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		0	1	2	3	Score	Discussion topics
7.2	There is a policy (or articles) for reporting rights abuses, and demonstrating a commitment to anti-discrimination actions and equitable access to service for all KPs	No policy (or articles) for reporting	Have a policy (or articles) for reporting rights abuses but still lack of mechanism of response	<ul style="list-style-type: none"> Have a policy (or articles) for reporting right abuses and there is a mechanism of response in place Leaders sometimes show their concerns about equality and equitable access to service for all KPs 	<ul style="list-style-type: none"> Have a policy (or articles) for reporting right abuses and there is a mechanism of response in place. Leaders have solutions for right abuses and discrimination to ensure equality and equitable access to service for all KPs 		

Score:

Average score for Gender and Inclusiveness:

VIII. Funding Mobilization and Commitment

8.1	Province has a clearly defined provincial sustainability plan that identifies needs and resources for HIV epidemic control	No sustainability plan	Have a sustainable plan in general but not specifically for HIV epidemic control	Have a sustainable plan with identified needs but no mentioned resources for HIV epidemic control	Have a sustainable plan with identified needs and resources for HIV epidemic control		How is budget for HIV allocated in provincial Socio-economic development plan (SEDP) (approval procedures)?
8.2	There is a commitment to mobilize domestic resources (from government, private sector) to support social contracting efforts	No commitment to mobilize domestic resources to support social contracting efforts	Have a plan to mobilize domestic resources to support social contracting	Have an amount of budget to pilot social contracting	An annual fixed amount of money has been allocated from the provincial budget for social contracting		

Score:

Average score for Funding Mobilization and Commitment:

TOTAL OVERALL AVERAGE SCORE:

AFTER COMPLETING THE CHECKLIST

After scoring and discussion, participants identify gaps based on the notes and develop an action plan with the support of the facilitator.

SUMMARY TABLE

This summary table provides a snapshot of the results of the Government Checklist.

NO	DOMAIN	SCORE
I	General and Legal Awareness	
I.1	Understanding of Law No. 71/2020/QH14 dated 16 Nov. 2020 amending Law on HIV/AIDS Prevention and Control No. 64/2006/QH11.	
I.2	Understanding of the 2015 Law on State Budget and Decree No. 163/2016/ND-CP dated December 21, 2016 on guidelines for the Law on State Budget	
I.3	Understanding of Decree No. 32/2019/ND-CP dated April 10, 2019 on prescribing the assignment of tasks, placement of orders, or bidding for provision of public products and services using regular expenditure of State Budget	
I.4	Understanding of the National Strategy to end the AIDS epidemic by 2030	
I.5	Understanding of Pilot Project on Social Contracting under Decision No. 5466/QD-BYT dated 29 Nov. 2021	
I.6	Understanding of the concepts of social contracting and steps of social contracting implementation	
I.7	Understanding of the important role of CSOs/SEs in providing HIV services	
II	Financial Management	
2.1	There are financial policies and guidelines in place for the management of HIV service providers (for example financial guidelines, financial reports, procurement guidelines...)	
2.2	There is an operational internal control system to safeguard assets, manage internal risks, and ensure the accuracy and reliability of accounting data	
2.3	There are sufficient and experienced staff members who understood the system	
2.4	There are sufficient and experienced staff members with strong experience in contract management	
III	Procurement and Supply Chain	
3.1	Staff fully understand the Bidding Law 2013 amended in 2019 and implementation guidelines	

NO	DOMAIN	SCORE
3.2	Staff have experience in public bidding and restricted bidding in line with GVN's regulations and guidelines with transparent procedures	
3.3	There are established procurement policies and processes and staff understand how to follow them	
IV	Partnerships	
4.1	Staff have experience working with private sectors, SEs, and CBOs in project implementation/service delivery	
4.2	A regular mechanism for inter-departmental collaboration between health sector and Department of Planning and Investment and Department of Finance and other relevant departments	
V	Human resources	
5.1	There is at least one full time staff who will commit sufficient LOE for social contracting implementation	
5.2	There are sufficient staff who have technical capacity to support SEs/CBOs in service delivery quality	
VI	Monitoring and Evaluation	
6.2	There is an M&E system or information management system (tools, forms, activity tracking table, data collection and analysis tools, ...)	
6.3	Assigned staff are familiar with the technical reporting/data system	
6.4	There is a mechanism in place to collect feedback from beneficiaries during project implementation/service delivery	
6.5	There is a system in place to analyze client feedback and other relevant data to inform program pivots	
6.6	Results of analyzed data are taken into account in decision making processes (data-driven decision making)	
6.7	Lessons learned are documented and contribute to inform policy and adjustments	
VII	Gender and Inclusiveness	
7.1	Awareness of concepts of gender and inclusiveness (gender and sexuality, equity and equality, stigma and discrimination, and other concepts critical to working with KPs include gender-based violence)	
7.2	There is a policy (or articles) for reporting rights abuses, and demonstrating a commitment to anti-discrimination actions and equitable access to service for all KPs	
VIII	Funding Mobilization and Commitment	
8.1	Province has a clearly defined provincial sustainability plan that identifies needs and resources for HIV epidemic control	
8.2	There is a commitment to mobilize domestic resources (from government, private sector...) to support social contracting efforts	