

**CEMA - UNDP**

**CAPACITY STRENGTHENING  
FOR ETHNIC MINORITY POLICY FORMULATION,  
IMPLEMENTATION AND MONITORING**

**Detailed Project Outline**

**(Final version)**

**Period: 2008-2012**

## **EXECUTIVE SUMMARY**

In line with the Government of Vietnam's priority for addressing the remaining "pockets of poverty" in the country and UNDP's priority to promote pro-poor policies, this project will strengthen the capacities of the Committee on Ethnic Minority Affairs (CEMA) and 3 selected provincial Departments on Ethnic Minority Affairs (DEMA). A recent capacity assessment of CEMA and its provincial representations confirmed the existence of several capacity constraints that prevent the agency from performing its tasks efficiently and effectively. This project will address the following areas of capacity constraints that were identified in the assessment:

- a. Institutional Development:* this relates to the introduction of improved systems, mechanisms and processes in support of all the outputs of the project;
- b. Leadership development:* This consists of exposing current leaders and emerging leaders at both national and provincial levels to new approaches for ethnic minority development, long-term strategic planning and budgeting, "best practices" in organisational management, including staff development and motivation, negotiating skills for mobilising increased support/resources and advocacy skills for ethnic minority development.
- c. Enhancing human resource capacities:* to support proper function of the systems, support under this will aim at developing the individual capacities of CEMA/DEMA staff through skills training and knowledge enhancement, to perform their priority functions identified within the systems/organisations.

The project will also address cross-cutting issues such as gender, the rights-based approach and EM people's participation, through all the outputs and relevant activities.

The project will be funded by UNDP and UN One Plan Fund up to US\$ 1, 711,000 and with the Government's contributions both in kind and cash of the value up to US\$342,000 for the period of 5 years (January 2008-December 2012). The project will be (i) nationally executed by CEMA as the National Implementing Partner (NIP); (ii) be placed under a single management structure for assistance provided to CEMA by UNDP, (iii) implemented as complementary to and in close coordination with the ethnic minority policy related interventions of UN and other donors

**Project Name:** Capacity Strengthening for Ethnic Minority policy formulation, implementation and monitoring

**National Implementing Partner:** Committee for Ethnic Minority Affairs (CEMA)

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**Project Focal Point:** Department of Ethnic Minority Policy, CEMA;

Dr. Tran Van Thuat, Director

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**Other Participating Agencies:** Departments of Ethnic Minority Affairs (DEMA) in three selected provinces

**Start and End Dates:** January 2008 to December 2012

**Estimated Budget:**

Total ODA grant (committed): US\$ 1,711,000

UNDP committed contribution (TRAC): US\$1,000,000

To be mobilized from One Plan Fund: US\$711,000 (including 46,000 GMS)

Government Contribution

(in kind and cash): US\$ 342,000 (50% in kind and 50% in cash)

**Project Implementation Sites:** CEMA Hanoi,  
DEMAs at provincial/district/commune levels in three selected provinces

**Government Priority Areas to be addressed:**

Capacity development of state management bodies and institutional development

Social development issues, including ethnic minority development

## ACRONYMS

135P-II: National Programme to support socio-economic development of mountainous and ethnic minority areas facing extreme difficulties, phase 2 (2006-2010); commonly known as the programme 135 phase 2.

APR: Annual Project Review

AUSAID: Australian Agency for International Development

CB: Capacity Building

CD: Capacity Development

CEMA: Committee on Ethnic Minority Affairs

CIDA: Canadian International Development Agency

CPAP: Country Programme Action Plan

CPD: Country Programme Document

DEMA: Department on Ethnic Minority Affairs

DFID: Department for International Development (UK)

EM: Ethnic Minority

GOVN: Government of Viet Nam

GSO: General Statistical Office

IMR: Infant Mortality Rate

IFAD: International Fund for Agriculture Development

M&E: Monitoring and Evaluation

MDG: Millennium Development Goal

MIS: Management Information System

MMR: Maternal Mortality Rate

MOLISA: Ministry of Labour, War Invalid and Social Affairs

MOH: Ministry of Health

NEX: National Execution

NGO: Non-Governmental Organisation

NIP: National Implementing Partner

NPD: National Project Director

NPM: National Project Manager

SDC: Swiss Development Co-operation

Sida: Swedish International Development Agency

TA: Technical Assistance

TOR: Terms of Reference

UN: United Nations

UNDAF: United Nations Development Assistance Framework

UNDP: United Nations Development Programme

UNICEF: United Nations Children's Fund

UNRC: United Nations Resident Coordinator

VDG: Viet Nam Development Goals

VHLSS: Viet Nam Household Living Standards Survey

WB: the World Bank

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## **I. Project Justification**

### **I.1 Situation Analysis**

The Government of Vietnam has long been committed to pro-poor economic growth and poverty reduction as its top development priorities. Since the *Doi moi* “renovation and reform” policies of the mid-1980s, the country has witnessed unprecedented economic growth with real GDP growing at 7.3 % annually during 1995-2005 and annual per capita income (in USD terms) rising impressively from 260\$ in 1995 to 715\$ in 2005. This broad-based growth, accompanied by a range of social development policies, has had a significant impact on poverty reduction and human development indicators. Data collected from the Vietnam Household Living Standards Surveys (VHLSS) shows that the percentage of Vietnam’s population living below the poverty line has fallen from 58.1% in 1993 to 19.5% in 2004 with nearly 60% of poor households having emerged from poverty in this period.

There are 54 recognised ethnic groups in Vietnam out of which the Kinh majority makes up approximately 86% of the population whilst the remaining ethnic minority groups make up 14%. The majority of ethnic minorities lives in the rural and mountainous regions, while a smaller proportion lives in the lowland and coastal regions. The size of each ethnic minority group varies greatly with 5 groups having a population of over a million people (Tay, Thai, Khmer, Muong, Hoa) while many others range from 10,000 to less than 1,000. This diversity in size, location and development levels clearly poses a difficult development challenge for Vietnamese policy-makers and the donor agencies that support them.

Although the living standards of ethnic minorities have generally improved, according to the Ministry of Labour and Social Affairs (MOLISA) they still constituted 36% of the total poor in 2005. Furthermore, in 2004 the poverty rate for ethnic minorities was 4.5 times higher than for the Kinh majority ethnic group whereas in 1993, the poverty rate was only 1.6 times higher. In terms of social development there are also many disparities. For example, net enrolment rates for ethnic minority children vary widely from 41.5% (Hmong) to 95% (Tay) whilst the national average is 90%. Ethnic minorities are also lagging behind in infant mortality (IMR) and maternal mortality (MMR): for example, the IMR of the Gia-Rai ethnic group was 70 deaths per 1,000 live births whereas the national average was 30-35 per 1,000 live births in 2002, and the MMR in Cao Bang was 411 per 100,000 live births whereas the national average was 165 according to the recent MOH survey. Literacy rates among ethnic minority women of 40 years and below stands at 75% whereas the national average is an impressive 94%.<sup>1</sup>

As with many other developing countries, Vietnam now faces the challenge of focussing its poverty reduction efforts on the most vulnerable groups or what are sometimes referred to as “pockets of poverty”. There is also a gender aspect to this remaining poverty, which relates to women’s access and rights to land, credit, education and health services, and political participation.

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<sup>1</sup> Vietnam Report on Achieving the MDGs, August 2005

There are many complex and inter-related reasons why ethnic minorities remain among Vietnam's most vulnerable groups. Most live in remote, isolated and disaster-prone areas where it is difficult for government programmes to reach. Their level of literacy and education, according to national standards, is very low and therefore they cannot fully participate and take advantage of the enabling environment e.g. markets, credit facilities, extension and training services and consultative fora. Government programmes and policies have largely focussed on subsidised services and inputs (education, health, land, housing, credit etc) while there are needs to take more adequately into account the traditional knowledge and customs (for example in agriculture and animal raising, in community and family affairs, in their local governance systems) of ethnic minority people to ensure greater positive impacts of such programmes and policies. The other major reason is the limited awareness about, and capacities to understand and analyse, the situation and problems of ethnic minorities and to develop and implement effective policies and programmes that will eventually bring them out of poverty.

## **I.2 Relevant Government Strategies/Plans/Programmes**

This project is guided by the overall development priorities of the Government's national Socio-Economic Development Strategy for the period 2001-2010 and the Socio-Economic Development Plan (SEDP) for 2001-2006, and the related Vietnam's Development Goals (VDGs) and the Millennium Development Goals. It is also in line with the newly issued Ordinance of the Standing Committee of the National Assembly on Grassroots Democracy which calls for the increased participation of grassroots communities and vulnerable groups in the country's socio-economic-cultural-political development.

Since 2003 the Government has enacted a series of resolutions which have been institutionalised into decrees and policies on ethnic minority affairs. The most recent Decision 1277/QD-TTg of 7 December 2005 has significantly enhanced the mandate and position of CEMA within the government structure to develop and implement more effective policies for ethnic minority development. This decision is accompanied by Decision 216/QD-UBDT of 9 August 2006 which is an "actions plan on key contents of tasks of state management and working approaches on ethnic minority affairs between 2006 and 2010". Section II of this document describes clearly the priority tasks for CEMA in the coming years up to 2010 and several of these reflect the capacity constraints arising out of the capacity assessment exercise. These decisions, especially the "actions plan", will be guiding the project as its aim is to provide support to strengthening CEMA's capacity for effectively implement the actions plan.

The Government is also supporting many programmes for improving the development situation of ethnic minorities; the National Target Programmes for Poverty Reduction (NTP-PR); Programme 134 "support for production land, land for housing, housing and water for poor ethnic minority households"; Programme 135 on socio-economic development of Communes Facing Extreme Hardship in Ethnic Minority and Mountainous Areas; 5-million Hectare Re-Afforestation Programme; and several investment programmes targeted at the "most difficult areas". The General Statistical Office (GSO) has been collecting good quality data on ethnic minorities through its Vietnam Living Standards Household Surveys (VLSHS) since 1993. In addition, as part of the wider Public Administration Reform (PAR) of the Government, CEMA participated in the Office of Government's (OOG) Project 112 which has since been terminated. Under this project, CEMA's Information Technology Centre together with the Institutes of Information Technology and Science and Technology carried out a detailed study on the feasibility of developing a computerised database and network for

ethnic minorities<sup>2</sup>. These programmes and policies will be used for defining technical and capacity strengthening support of the project.

### **I.3 Lessons Learned from Previous UNDP Cooperation**

UNDP supported a capacity development project for CEMA from 1996 to 1999. Although this project produced some good work in the form of research studies, pilot-testing of participatory and community based models of service delivery to ethnic minorities and the introduction of an ethnic development database and monitoring system, these were not institutionalised nor had lasting impact for the following reasons.

Firstly, at that time CEMA did not have a clearly defined development agenda with clearly defined priorities. Secondly, there was also not a structured and evidence-based approach to capacity development as there is now. Thirdly, most of the components of the project, including the pilot models, were fully funded by UNDP and therefore there was little incentive for the government partners to be fully involved, to institutionalise and expand them. Fourthly, the systems that were introduced were over-sophisticated, did not build on existing systems and were not fully based on user needs. Finally, the transfer of capacity was limited by the fact that the partner agency, lacking of the above-mentioned clearly defined development priorities and plans/programme, could not provide staff who were responsible for managing and utilizing the technical and capacity strengthening support of the project to improve the implementation of the Government own development policies, plans and programmes.

The lessons learned from the previous project have been taken into account in the ongoing UNDP supported project in “support to the implementation of NTP-PR and Programme 135” (VIE/02/001). For example, in this project CEMA has developed Government own 135P’s roadmap with clearly defined annualised targets and results. This roadmap is then used as the basis to define needs for and articulate plans for mobilizing and utilizing technical assistance inputs necessary for CEMA and other involved stakeholders to achieve Government own results/targets.

This redefined approach aims at (i) decentralising the implementation and management of relevant project activities to co-implementing partners (different CEMA’s departments and other Government agencies) based on their mandates and responsibilities as defined in the 135P roadmap, and (ii) tailoring TA and capacity support, including training programmes or development of systems such as M&E, so that these would not only build on the existing systems but also meet the real needs and support the implementation of Government own programme to ensure the optimal use of national resources allocated to the programme.

### **I.4 Development Cooperation with other UN Agencies and Donors**

UNDP ongoing project initiated in 2002 has been supporting the development of 135P’s implementation guidelines, M&E and management systems, and capacity building at the local levels. UNICEF is providing technical support to CEMA/135P in implementing the component 4 (livelihood policies) of 135P. Under the VIE/02/001 project, some capacities of CEMA and local levels are being strengthened for implementation of 135P, notably capacities of CEMA for guiding the management and implementation of 135P and for programme

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<sup>2</sup> Report on Project on Feasibility Solutions to Developing Database on Ethnic Minorities, Hanoi, April 2006



M&E. This project will build on the results of VIE/02/001 in providing support to strengthening capacity for wider EM development policy topics. Support was provided to CEMA and MPI in organising a Forum on Ethnic Minority Policies in 2006 and a plan for organising annual Forum Meetings is being developed by CEMA in close consultations with relevant line ministries and other stakeholders. Upon the agreement between CEMA Minister and UNRC, UN will continue to provide support to CEMA in organising Forum that will serve as a platform for GOVN-international community consultation mechanism on wider topics of EM development policies. The Forum, with a wide representation of EM agencies in National Assembly and Party, relevant government agencies, UN and donor agencies, NGOs and research institutes, could also be a catalyst for an exchange of ideas, approaches, best practices and information, as well as identifying and coordinating support required to improve the formulation and implementation of the EM development policies.

Within the UNDAF and as part of One Plan, UN interventions on social policy (including Ethnic Minority development policy) are being developed through which relevant UN agencies will work together to assist the Government in areas of policy research, analysis and advocacy. The present project, with its focus on strengthening CEMA's/DEMA's capacity for ethnic minority development policy formulation, implementation and monitoring, is designed to complement such UN policy interventions..

In line with the One UN Initiative, a joint annual work plan of, and joint annual review mechanisms for, support from UN agencies working with CEMA on the EM topics should be developed from 2008 to ensure (i) the maximum complementarity and coordination of implementation of UN supported activities, and (ii) the most effective achievement of the common results as set out in the One Plan.

The UNDP regional programme on Indigenous Peoples, which has already supported CEMA in carrying out a study in December 2006 on Land Use Rights of Mountainous and Ethnic Minorities, will be complementing this project by bringing the regional perspectives.

Interaction will continue to be developed with other donors involved in the ethnic minority issues. This includes the group of 7 donors (World Bank, DFID, Finland, Ireland, AUSAID, SIDA and IFAD) that are finalising negotiations for a targeted budget support of about USD330 million to Programme 135 and a Partnership Committee for targeted budget support to 135P-II is being established as a mechanism for donor coordination and Government – Donor dialogues on and reviews of 135P progress. A smaller group of donors (Finland, AUSAID, the WB etc.) is discussing the provision of technical assistance to 135P, mainly at local levels, parallel to the targeted budget support to 135P-II.

In the framework of the human rights dialogue between Switzerland and Viet Nam, SDC is currently discussing with CEM the possibility to support (i) translation and dissemination of relevant UN documents on international standards for ethnic minorities rights into Vietnamese/ethnic minority languages and (ii) awareness-raising through CEMA's participation in a seminar on international standards for ethnic minority rights held in Switzerland and organisation of other seminars in EM regions. International NGOs have a long experience and substantive expertise in implementing "grassroots" projects for as well as in carrying out policy research on ethnic minority development. There also exists an NGO working group on ethnic minorities with the main objectives of sharing information, lessons learned and experience, as well as policy advocacy.

With a focus on institutional capacity development, this project will be building on existing mechanisms and develop synergies with the UN and other donor interventions related to Ethnic Minority policy to ensure efficient use of resources and effectiveness of aid provided.

### **I.5 Comparative Advantages of UNDP**

UNDP is a long-trusted partner of the Government of Vietnam and is a neutral development agency that has the capacity and expertise to work with the Government and in this case, CEMA, on sensitive issues, such as ethnic minority policies.

UNDP also has long and substantive experience of working at both the national and sub-national levels on capacity development for poverty reduction, including for ethnic minority development policy and has supported a vast range of projects in different aspects of poverty reduction. UNDP has the ability and physical capacity to bring together government and donor agencies to dialogues and develop a common approach on ethnic minority development issues. UNDP has access to a wide network of agencies, research institutions and international experience and expertise on ethnic minority development topics that can be useful for the project partners. These advantages are to be leveraged for the implementation of the project and more broadly for the work of the UN system, under the framework of the One Plan, in addressing ethnic minority issues in Viet Nam.

### **I.6 Problems/Issues to be addressed by the Project**

Following Decision 1277/QD-TTG of December 2005 by the Prime Minister, CEMA formulated Decision 216/QD-UBDT, an “action plan” for Decision 1277 which identifies clearly its priority tasks for the state management of and working approaches for ethnic minority development from 2006-2010. These tasks generally reflect the capacity constraints arising from the capacity assessment, which was carried prior to and as a part of the formulation of this project, and therefore these two documents together constitute a good basis for the project design.

The capacity assessment identified the following capacity problems affecting CEMA’s and DEMA’s ability for effective policy development, implementation and monitoring:

- Limited understanding of the *traditional* socio-economic-cultural practices of ethnic minorities (especially the smaller groups) and their development priorities and expectations and how to take these into account in policy formulation, programme implementation and monitoring and evaluation
- Limited availability of and access to quantitative data and qualitative information on ethnic minority groups and limited capacity to analyse and present data in such a way that it can be used for policy/programme formulation.
- Insufficient access to information and knowledge of new approaches to address the poverty problems of ethnic minorities in policy/programme development (e.g. rights-based approach, participatory approach, anthropological approach etc.)
- Limited capacities and mechanisms for engaging ethnic minority people’s participation (i) in communicating their needs to policy makers, (ii) in various phases of policy development, implementation, monitoring, (iii) in giving their feedback on policies and programmes/two-ways communication on policies/programmes that affect the EM people’s lives. These resulted in overall limited participation of EM people in policy/program formulation, implementation, monitoring and providing feedbacks.

- Limited capacity of CEMA leadership at national and provincial levels to set/develop, provide advises on, clear objectives and a long-term strategy supported by realistic resource projections (as opposed to spontaneous responses to suddenly emerging problems) for ethnic minority development.
- Limited knowledge and skills of CEMA/DEMA staff to carry out the above functions i.e. data analysis and qualitative studies on ethnic minorities, policy formulation, programme implementation, management and monitoring, coordination, engaging the participation of ethnic minorities, in ethnic minority languages and ethnic minority development issues.
- Limited horizontal coordination and communication (i.e. between ministries and other agencies at national level) and vertical coordination (between national and local levels) on ethnic minority policies and programmes that are multi-sectoral in nature.
- Limited organisational capacities (especially at local levels) in policy and programme implementation, budgeting, managing implementation and results-based monitoring. In this area there appears to be some lack of clarity in roles and responsibilities between the national and provincial levels.

Additionally, constraints exist in the environment:

- Policy and legal framework for the future development of ethnic minorities, to be set by a law on ethnic minorities, which should create a positive enabling environment for ethnic minority development.
- Limited decentralisation of making decisions on policies and programmes as well as of funding and management/implementation responsibilities to the sub-national/sub-provincial levels as a result of concerns about implementation and management capacities at district and commune levels.
- Lack of financial resources to recruit additional staff, to motivate existing staff with incentives (in cash and kind) for good performance, to provide suitable office facilities and supporting equipment and to fund operation and maintenance costs<sup>3</sup>.

During the course of the capacity assessment conducted, the wide range of capacity constraints listed above at environment, institutional and individual levels was identified by all stakeholders and consensus was reached as to the priorities for action. It is to be stressed that this project does not address every one of these constraints but rather the priority constraints identified by, and agreed upon with CEMA and the involved stakeholders including provincial DEMAs. In particular, this project will provide support to the GOVN's/CEMA's commitments and efforts in addressing the following areas of capacity constraints:

- (i) Limited mechanisms and skills for policy advocacy, awareness raising, communication and policies consultation, targeting both policy makers and Government officials and wider public, on Ethnic Minority policy topics such as: (a) ethnic minority people's situation, their traditions and customary systems, (b) legislations and policies related to ethnic minorities, and their impacts on different aspects of EM people's lives, (c) Viet Nam's international commitments and

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<sup>3</sup> This constraint is largely outside of the scope of this project. The project's contribution to addressing this constraint mainly consists of raising awareness and support in defining roles and responsibilities of CEMA departments/DEMA staff.

- international standards related to Indigenous People, and (d) new approaches and best practices in ethnic minority development<sup>4</sup>.
- (ii) Limited capacity for policy research, EM development data (both quantitative and qualitative), identification, collection, analysis and dissemination, policy M&E and policy impact assessments
  - (iii) Limited capacity for policy formulation and implementation, including coordination.

This project will (i) build on, and support institutionalisation of different UN interventions related to EM policy and (ii) focus on addressing these capacity constraints in EM policy formulation, implementation and monitoring, in a systematic and comprehensive manner from the institutional and organisational perspectives, and with special attention to adaptation and institutionalisation of the rights based, participatory and decentralisation, gender and EM people's tradition/culture sensitive approaches.

## **II. Project Overview**

This project will contribute to development outcome 1 of the United Nations Development Assistance Framework (UNDAF) 2006-2010 which refers to "making economic growth more equitable, inclusive and sustainable". It will address Outcome 1 of the One Plan: "*Social and economic development policies, plans and laws support equitable and inclusive growth and conform to the values and goals of the Millennium Declaration and other relevant international agreements and conventions*". It will directly contribute to achieving the One Plan's output "*Strengthened policies on ethnic minorities, that promote rights of ethnic minority people, with particular attention to children and women*"; One Plan's output target 1.5.1 "*Increased knowledge and understanding among decision and policy makers on the situation of children and women from different EM groups and their rights to access to basic social services for more appropriate policies for EMs*", and mainly, One Plan's output target 1.5.2. "*Strengthened national capacities for development, implementation, monitoring and evaluation of improved socio-economic development plans targeted at ethnic minorities, and policies and standards that promote minority children's rights to access basic social services and women's rights to economic opportunities and social and legal services*".

The project will aim at strengthening CEMA/DEMA's capacities in the following inter-related functions:

### **Output 1: Strengthened CEMA's and selected DEMA's capacity for policy advocacy, awareness raising, communication and policies consultation process.**

Institutional capacity building support will be focusing on Ethnic Minority policy related topics such as (a) ethnic minority people's situation, their rights and status of realisation of those to access to basic social services and economic/development opportunities; (b) ethnic minority people's traditions and customary systems, practices and coping strategies, and relations between such and the policies and programmes aiming at/affecting life of ethnic minority people; (c) legislations and policies, and their impacts on different aspects of EM people's lives, (d) Viet Nam's international commitments/ international standards related to

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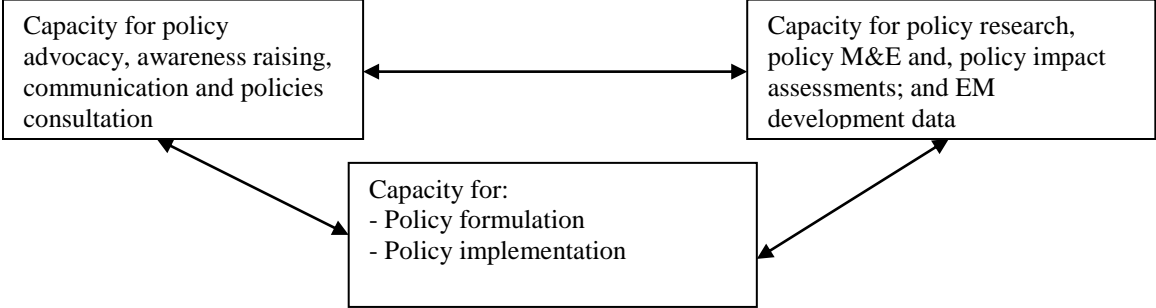
<sup>4</sup> The constraints in "limited awareness and knowledge" on the above areas would be likely addressed in the UN interventions related to EM policy.

Indigenous People, and (e) new approaches and best practices in ethnic minority development.

**Output 2: Improved organisational capacity for policy research, policy M&E, policy impact assessments and EM development data (both quantitative and qualitative) identification, collection, management, analysis and dissemination,** that is needed for informing participatory and evidence based policy formulation and implementation as well as policy communication, advocacy and consultation.

**Output 3: Improved organisational capacity in Ethnic Minority development policy formulation, and implementation** for improved effectiveness and efficiency in terms of impacts on the lives of poor ethnic minority women and men as well as of their equal access to basic social services. .

It is important to note that the above CEMA’s functions and outputs are inter-related in a full cycle of policy development needs identification, policy research/data analysis, policy formulation, communication, implementation, M&E and impact assessments.



For example, the capacity, mechanisms and systems to be strengthened/developed under the output 1 will be applied for policy advocacy, communication and consultation on (i) the knowledge and information generated by the policy research, policy monitoring and policy impact assessments under the output 2, (ii) new policies to be formulated/improved and information about the implementation of such policies to be generated under the output 3. The mechanisms for policy consultation workshops could also be used for consultations and coordination in policy formulation and implementation. The improved results of the policy advocacy, communication and dialogues would also help creating favourable environment and support needed for CEMA and DEMAs in researching/addressing new policy issues/topics, and introducing and adopting new approaches, mechanisms and systems, which will be supported under the output 2 and 3. The enhanced capacity in policy research, policy M&E, policy impact assessments, and in EM development data will contribute to the quality and results of the work in policy formulation and implementation; as well as to enriching the policy dialogues and advocacy. Information and lessons gained from policy implementation would enrich and inform the policy research, assessments and reviews.

See annex 1 for the Results and Resources Framework of the project

### **III. Project Approach and Strategy**

#### **Overall Approach**

The overall approach of the project is the **strengthening of the institutional capacities** of CEMA and selected DEMAs for enhanced organisational effectiveness to support improvements in the formulation and implementation of ethnic minority policies.

*In terms of content and process the project will adhere to:*

a. *The 'programme approach'*. Namely, the project capacity development support will be guided by, and to assist CEMA and selected DEMAs in the implementation of Government Decision 1277/QD-TTg of 7 December 2005 and CEMA's Decision 216/QD-UBDT of 9 August 2006 which is an "action plan on key contents of tasks of state management and working approaches on ethnic minority affairs between 2006 and 2010". The capacity development support activities and inputs are therefore designed to provide support to the implementation of these Decisions and consequently CEMA's/DEMA's own plan/priorities for policy formulation, review, monitoring and implementation. To maximise the quality of the project, capacity development support for enhanced CEMA's organisational effectiveness and systems will be tailored to build on CEMA's existing efforts and own target results.

c. In line with the GOVN's *decentralisation and participatory approaches*, the project will promote *significant* improvements in institutionalisation and practical application of decentralisation and participatory approaches in EM policy formulation, implementation and monitoring. Namely:

- As the 'limited local capacity' is defined as the key "concern" for decentralisation in management and implementation of policies and programmes, especially to sub-provincial levels, the project will, in the selected provinces, provide necessary capacity development support<sup>5</sup> to DEMAs, selected districts, communes and villages so that local levels could effectively (i) carry out tasks/fulfil responsibilities already delegated to them by central level in refining, implementing and monitoring national EM policies and programmes; (ii) formulate, implement and monitor their own/local policy and programme initiatives; with the special attention in ensuring empowerment and meaningful participation of EM people in communicating their real needs to government officials/policy makers and in making decisions in policies and programmes that affect their life.
- Support development and institutionalisation of mechanisms for identifying and sharing best practices/models both horizontally among local levels and vertically to central level for wider replication in formulation, implementation and monitoring national and local policies and programmes.
- At the central level, the project will support CEMA and relevant stakeholders in studying international and national experience and practices on decentralisation and participation as well as conducting debates/discussions to promote further

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<sup>5</sup> A good practice on this is identified in 135P-II. Namely, criteria for communes to become 'investment/project owners' in 135P-II have been developed and a capacity building component is attached to 135P-II to help communes in meeting such criteria as well as achieving a clear target of the 135P-II in having 100% poorest communes participating in the programme becoming 'investment/project owners'. The project will support adaptation and replication of this practice (namely, setting clear targets on decentralisation, capacity criteria/requirements and attaching the capacity development support to help meeting the capacity criteria/requirements) on this, in the selected provinces,

decentralisation and more meaningful participation of EM people in policy formulation, implementation and monitoring. This will also include providing support to CEMA and other central agencies in (i) designing and conducting few ‘experiments’, in selected provinces, on *greater decentralisation and empowering EM people in policy/program formulation, implementation and monitoring*; and (ii) assessing the results of the ‘experiments’ and defining ways to institutionalise and replicate the best practices/results.

c. *The not “to re-invent the wheel” principle*: The capacity assessment showed that a vast amount of work has already been carried out on this subject by the Government, national institutes, donor agencies and NGOs. Many studies and models have been undertaken and tested in various locations, addressing different aspects of ethnic minority development policies in Viet Nam, including such as decentralised and participatory approaches, databases, baseline indicators and monitoring and evaluation systems. As a result, a wealth of knowledge, experience and systems has been built up in several agencies at different levels. Internationally, many policy models developed and tested in for example, Central America, India and New Zealand; as well as tools developed for EM policy work such as evidence based policy making, policy engagement, policy impact assessment, policy dissemination and communication to different target groups, etc. This project will, therefore, build on these existing results as well as provide support in adapting them to CEMA’s/DEMA’s needs. As importantly, the project will support cooperation, sharing, and partnership between CEMA/DEMA and other partner agencies, such as between CEMA and international and national research institutions on evidence based policy research and advocacy<sup>6</sup>. This is a key element to building up the image of CEMA/DEMA as a central player in ethnic minority development policy within the broader framework of the national Socio-Economic Development Strategy and Plans and related VDGs/MDGs.

d. *“Ensuring systematic transfer of capacities to CEMA and DEMAs”*: This project, with the focus on capacity development, will go beyond the ‘traditional Technical Assistance provision’ where consultants may work in ‘isolation’ and/or just provide technical “services” to the national partners without enhancing the partners’ capacity. Namely, during the implementation of this project, efforts will be made to ensure transfer of capacity by exploring possibilities for (i) partnership with and mobilisation of international and national institutions in providing relatively longer-term (than normal individual consultancy missions) and systematic capacity development service including transfer of (not only technical products/solutions/reports but also) knowledge and technical know-how adapted to the local context and systems, trainings and hands-on mentoring and coaching during the application, etc.; (ii) learning by doing for national partners to work in close cooperation with technical experts in finding feasible and practical ways for adapting/institutionalising these to national and local systems and context. This approach would require CEMA and DEMAs clearly defining their *own* desired capacity improvements/results and plan to achieve the results as well as allocating its own resources and staff to implement such plan (which, the project’s capacity development support activities would be integrated and contribute to). Meeting of these requirements would ensure the effective implementation of the above mentioned

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<sup>6</sup> Currently, with UNDP support, VASS is working with ODI on conducting a needs assessment on evidence based policy research and advocacy. This work will be leading to the formulation of new program on VASS’s capacity building for evidence based policy research and advocacy. Close cooperation and partnership between CEMA and VASS on this would be sought to ensure the synergy of UNDP support to CEMA and VASS, as well as mutual benefits for CEMA and VASS.

“programme approach” and “systematic transfer of capacity”, and therefore would enhance national ownership and sustainable results of capacity development support.

Furthermore, as mentioned in the I.4 section, this project will be complementary to the UN interventions related to EM policy, VIE/02/001 and other donor/NGO-supported activities in this area, with a distinctive focus on *capacity development*.

## **Strategy**

The project will focus its capacity development interventions on CEMA and DEMAs in three selected provinces. The criteria for selection of these provinces are: (i) a high percentage of ethnic minorities (including the smaller groups) living in poverty, (ii) strong commitments for improving capacities for formulation and implementation of improved policies/programmes/basic services delivery aiming at improving the situation of poor ethnic minority women and men, (iii) each province representing one of the following three regions: northern mountains, central highlands and Mekong delta, and (iv) preferably are the same provinces which have been receiving the TA and capacity strengthening support on 135P under VIE/02/001 SEDEMA component and/or UNDP-MPI project “Support strengthening capacity of local governments” (SLGP).

The overall strategy for the project is to implement the following capacity development interventions to generate improvements in CEMA’s enabling environment, institutional processes and staff development related to all three outputs described in section II above.

*a. At the “enabling environment” level:* This includes advocacy, involvement of leaders and policy makers in relevant project activities (such as mentioned in point c below) and tailored roundtables/discussions. This aims at enhancing the “environment” (including adequate resources allocation) that enables CEMA and DEMAs in carrying out their tasks and functions, especially in promoting decentralisation and development of mechanisms for EM women and men to communicate their needs and concerns to the government agencies/policy makers on the policies and programmes that affect their life. This may also include support to the process of preparation and consultations of the law on ethnic minority.

*b. Institutional Development:* this relates to the introduction of improved systems, mechanisms and processes in support of all the outputs of the project

*c. Leadership development:* This consists of exposing current leaders and emerging leaders at both national and provincial levels to new approaches for ethnic minority development, long-term strategic planning and budgeting, “best practices” in organisational management, including staff development and motivation, negotiating skills for mobilising increased support/resources and advocacy skills for ethnic minority development.

*d. Enhancing human resource capacities:* to support proper function of the systems, support under this will aim at developing the individual capacities of CEMA/DEMA staff through skills training and knowledge enhancement, to perform their priority functions identified within the systems/organisations.

These interventions will be benefiting from, and reinforcing the results of other UN interventions on EM policy research and advocacy, and on awareness raising and sensitisation of CEMA/DEMA staff such as on new approaches to ethnic minority development and advocacy on international commitments.



To ensure the practicability and applicability of its capacity development support, this project will provide such support within the context of CEMA’s/DEMA’s work on reviewing, formulating, monitoring and implementing some selected concrete EM development policies and legal documents that CEMA/DEMA identified as their own priorities in its own plans/agenda. This strategy, in line with the above mentioned “programme approach” and approach of “systematic transfer of capacity”, will also allow both (i) tailoring the TA and capacity development support to meet the real needs, and (ii) the practical application of improved processes, procedures and systems, newly acquired skills and knowledge, in reviewing, formulating, monitoring and implementing some selected concrete EM development polices; and thus would also contribute to enhancing the effective utilisation and sustainability of the results/products of project TA and capacity development support.

**Cross-cutting Issues**

There are three cross-cutting issues relevant to this project – gender equality, participation of ethnic minorities and sustainability - and these will be addressed in all the project’s 3 outputs as elaborated in the project results resources framework. Capacity development is itself a cross-cutting and cross-sectoral process, with several donor agencies implementing their own assessments. As a forerunner in carrying out a capacity assessment leading up to a project design, this project can contribute to the process of documenting “lessons learned” on the capacity assessment process as well as to the establishment of a “baseline” for a wider capacity development process led by the GOVN/CEMA.

**IV. Indicative Budget Structure**

Total Project Budget:	US\$ 1,711,000, including:
UNDP committed contribution (TRAC):	US\$ 1,000,000
<u>To be mobilised from One Plan Fund:</u>	<u>US\$ 711,000 (including 46,000</u>
<u>GMS)</u>	
Government contribution (50% in kind and 50% in cash):	US\$324,000

Annex 2 provides 2008 AWP and budget of UNDP contribution.

**Budget Structure**

The summaries below give *approximate* breakdowns by (i) amount and percentage of the budget by different categories/types of support to be provided by the project and (ii) by components/outputs and years.

**Project budget structure**

Category	Total	Percentage
<b>Personnel (long-term national and international)</b>		28%
<b>Subcontracts and short-term consultants (international and national)</b>		38%

<b>Training<sup>7</sup>/workshop/study tour (external and in-country)</b>		23%
<b>Supplies/Equipment</b>		4%
<b>Travel</b>		2%
<b>Miscellaneous (including \$46,000 GMS for OPF)</b>		2%
<b>Project formulation</b>		4%
<b>Total</b>		100%

#### **Summary Project Budget by components and years**

<b>Outputs</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>Totals</b>
<b>Output 1</b>	\$47,000	\$80,000	\$70,000	\$60,000	\$40,000	<b><u>\$297,000</u></b>
<b>Output 2</b>	\$49,000	\$150,000	\$130,000	\$120,000	\$81,000	<b><u>\$530,000</u></b>
<b>Output 3</b>	\$44,000	\$120,000	\$110,000	\$100,000	\$60,000	<b><u>\$434,000</u></b>
<b>Project management and GMS</b>	\$160,000	\$80,000	\$80,000	\$80,000	\$50,000	<b><u>\$450,000</u></b>
<b>TOTAL</b>	<b><u>\$300,000</u></b>	<b><u>\$430,000</u></b>	<b><u>\$390,000</u></b>	<b><u>\$360,000</u></b>	<b><u>\$231,000</u></b>	<b><u>\$1,711,000</u></b>

## ***V. Project Management and Implementation Arrangements***

### **Project Management**

The project will be nationally executed with CEMA as the National Implementing Partner (NIP). This implementation modality is based on the experience and skills CEMA gained from implementing past and current UNDP-supported projects. Furthermore, as CEMA is NIP for both this project and the ongoing VIE/02/001 SEDEMA component, it is envisaged that a single management structure/system within CEMA will be set up for implementation of these two projects and to the extent possible other EM policy related UN interventions. This is meant to ensure the coherence of interventions and aid effectiveness, while reducing transaction cost for the implementing partners. This consolidation would translate into the production of a *single annual work plan* that would guide the implementation of all UNDP (and to the extent possible all UN) supported assistance to CEMA.

A steering committee, co-chaired by of CEMA and UNDP with participation of co-implementing partners of the Project and VIE/02/001 SEDEMA component, will be established to ensure the strategic directions and and effective coordination for acheiving the results of all UNDP-supported assistance to CEMA. The steering committee will discharge this function through annual (or bi-annual) meetings for reviewing the past year's progress toward achievement of the results and key lessons learned, making recommendations on strategic directions and approving the single Annual Work Plan of all UNDP supported assistance to CEMA of the coming year.

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<sup>7</sup> Only costs of training courses included, costs for trainers/sub-contracts for training course designs, training material development and delivering training, etc are not included here (but in the category of 'sub-contracts and short-term consultants).

The Implementing Partner is the lead Government agency for the management of the project and VIE/02/001 SEDEMA component, and is accountable to the Government and UNDP for the substantive quality achievements of the results of the Project and VIE/02/001 SEDEMA component, as well as for the proper use of all resources assigned to the Project and VIE/02/001 SEDEMA component, regardless of whether it directly implements activities or other partners are assigned to do so.

The Implementing Partner is responsible for continuously reviewing, documenting and analysing Project progress, for ensuring that the planned outputs are produced with timelines and contribute to identified outcomes. To this end, the Implementing Partner may rely on its own assessments of Project performance based on effective coordination, monitoring, evaluation and reporting mechanism, as well as drawing on assessments made by the other Partners.

The Implementing Partner is responsible for reviewing, consolidating and finalizing quarterly and annual work plans (*of all UNDP supported activities where CEMA is the NIP*) for approval, including submission of consolidated AWP for approval by steering committee through its annual review meetings. It is also responsible for ensuring that review, monitoring, evaluation and reporting requirements, for all UNDP-supported activities with CEMA as NIP, are fully met, that coordination among project parties is effective, and that the steering committee's decisions and recommendations are properly implemented. The Implementing Partner is responsible for managing the Project budget, including those budget components which are implemented by the other (co-implementing) Partners and sub-contractors. Implementation arrangements with other Partners are through approved work plans and Letters of Agreements on co-implementation.

As all UNDP-supported activities with CEMA as NIP will be with one management structure within NIP/CEMA, the so-called Project management unit. CEMA assigned NPD of this project will also act as the NPD of the VIE/02/001 – SEDEMA component (as well as UNDP-supported part of other EM policy related UN interventions). In the implementation of all UNDP supported activities NPD will ensure the close collaboration (i) between involved departments within CEMA, particularly the departments of Ethnic Minority Policies, Organisation and Personnel, Planning and Finance, International Cooperation, Legal Affairs, Propaganda, Informatics Center, and the Institute of Ethnic Minority Affairs; (ii) between CEMA/NIP and the 3 selected DEMAs (as co-implementing partners/other partners) and with other involved Government agencies; and coordination of all UNDP supported activities with CEMA<sup>8</sup>.

The NPD will be supported by a single project support office with a single team of support staff in managing and implementing all UNDP supported activities with CEMA. Full-time members of the team funded by this and VIE/02/001 projects will include:

- a project manager,
- an accountant-cum-administrative assistant,
- and interpreter-cum-secretary.

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<sup>8</sup> The coordination could be done through working group of relevant senior/technical staff of CEMA, DEMAs and other GOVN co-implementing agencies. Such group could meet both ‘physically’ or ‘virtually’ once every quarter or regularly share information, experiences and lessons on implementation and management of UNDP supported assistance, and conduct joint work planning as well as coordinate their activities through a simple mechanism to be developed during the inception phase of the project.

A Senior Technical Adviser and a project technical coordinator will be attached to the project team to provide policy and strategic advice to CEMA, NPD, and UNDP.

As part of Government contribution, CEMA will assign on a part-time basis its staff from the departments to support the project implementation, mainly to work as the focal points of the departments/CEMA to ensure the relevance, quality and effective utilisation of capacity development support under the project. Such staff could be a policy specialist, a social development specialist, 2 experts in data management/statistics and policy research/assessments, and 1 expert in policy communication and advocacy.

Indicative TORs for the key posts are provided in the annex 3.

### **Co-Implementing Partners**

The DEMAs in the three provinces will be recipients and responsible for implementation of local components of the project and therefore be acting as co-implementing partners.

Following the ‘decentralised’ project management and implementation arrangement at sub-national levels, the heads of the DEMAs, in close cooperation with CEMA, will be responsible for the implementation of project’s component in the selected provinces. This includes: work planning and budgeting, implementation of approved work plans, management of the project inputs/resources allocated to the provincial component, and providing progress and financial reports. As Government in kind contribution, the head of DEMA in each selected province will be supported by a part-time (50%) DEMA-assigned staff member to perform those responsibilities. The Head of DEMA and this staff member will be supported by one administrative support staff and a part-time or short-term national consultant for the substantive work, such as work planning, TOR development and quality control. These two staffs will be funded by the project and located in the DEMA offices.

### **Other Participating National Agencies**

The project will also closely collaborate with other partners such as GSO and relevant sectoral ministries, national research institutions, the Council on Nationalities of the National Assembly, and relevant Party’s institutions. The roles of these partners vary depending on the project outputs/activities, for example as (i) target groups for policy advocacy and communication, (ii) partners in policy dialogues on ‘enabling environment’ and policy research/impact assessments and data collection/M&E system development. These partners will be invited to participate in relevant activities of the project.

### **Coordination with other relevant UN and donor supported initiatives/interventions**

CEMA/ NPD, with support from UNDP, will be responsible for ensuring the coordination of this project’s activities with other related projects/activities supported by other donor agencies. Mechanisms to foster greater coordination and cohesion of efforts of both Government and development partners in improving policies and programmes aiming at EM development will build on the existing mechanisms, such as the EM Policy Forum and the Partnership Committee for budget support to 135P.

As mentioned in section I.4. above, the coordination between UNDP supported projects (the present and VIE/02/001) and other UN interventions related to EM policy will be done

through (i) joint annual work planning and reviews of all UN supported activities with CEMA, and (ii) through other harmonisation efforts being implemented under the One UN Initiative.

### **Monitoring, Evaluation and Reporting**

The capacity assessment carried out before the formulation of this project has not only helped identifying the areas of capacity constraints, based on which the outputs and activities of the project are defined, it also helped obtaining the baseline information and formulating some indicators/benchmarks needed for monitoring and evaluation of the contributions of the project to the achievement of the outputs and outcomes. In the first/inception stage of the project, (i) if necessary a more indepth 'diagnostic capacity study'/functional and task analysis will be conducted<sup>9</sup> to help further refine and systematise the indicators/benchmarks and related baselines, and (ii) based on the study results, a project results based M&E framework will be developed, the project's interventions, related strategies and first year AWP will be refined, and the risks will be updated.

*Monitoring and Reporting:* The project is subject to an Annual Project Review (APR), which will be the single review mechanism for all UNDP supported activities with CEMA as NIP<sup>10</sup>, every calendar year with the first being held in December 2007 (Year 1). It is proposed that the review be combined with that of other UNDP and UN supported interventions and consolidated into one single review.

For the APR, the NPD prepares and circulates to the participants at least three weeks in advance, a brief Progress Report, an updated Results and Resources Framework (RRF), an updated work plan for the next year and a year-end financial report covering all UNDP supported activities with CEMA as NIP. Within two weeks after the APR, a summary of the assessments, conclusions and decisions of the meeting, as well as the work plan for the following year, with updated risks and refined project interventions/strategies will be prepared and circulated to all participants.

It is also contemplated that one consolidated quarterly reports be prepared by the NPD including a brief description of progress and results, an updated RRF, draft work plan of the next quarter and financial report.

Towards the end of the project, a terminal APR will be held. The NPD prepares a descriptive Project Terminal Report, an updated RRF, work plan and financial report. The terminal APR focuses on analysing project results and drawing lessons for future programming. The NPD thereafter finalises the Terminal Report, incorporating the analytical inputs from the meeting and circulates it to all parties within four weeks.

*Auditing:* As all nationally-executed (NEX) UNDP-funded projects, all UNDP supported activities with CEMA as NIP will be externally audited on a yearly basis<sup>11</sup>.

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<sup>9</sup> The study could be led by the STA and project team/CEMA and DEMA assigned staff.

<sup>10</sup> Depending on the progress of the implementation of the One UN Initiative, annual review meetings for a cluster of UN supported projects (by themes or by NIPs) will be organized, instead of the review meetings for individual UN supported projects.

<sup>11</sup> Depending on the progress of the implementation of One UN initiatives, such audits could be organised for all UN support to CEMA.

*Evaluation:* The project is subject to one in-depth, external evaluation. The purpose of the evaluation will be to: assess the project's overall performance; achievement of the outputs; its impact; its relevance to the national development context; and its management effectiveness and efficiency. The recommendations from the evaluation will be used to improve the project's performance for the rest of its duration and the evaluation will also extract lessons for future programming. Hence, preference is given to a mid-term evaluation, an/or around 2010 (preferably to be combined with the planned poverty outcome evaluation), to ensure that such lessons and recommendations are incorporated in the work plans of the Project during the rest of its life and used for informing the new UN/DP country action programme of 2011-2015.

Consideration should also be given to support the GOVN/CEMA in carrying out a simplified capacity assessment in conjunction with the in-depth evaluation as a way to measure the progress toward achieving the results of the CEMA's capacity development action plan and the project results against the baseline information obtained from the first capacity assessment and/or updated by the in-depth 'diagnostic capacity study'/functional analysis that would be conducted during the inception phase of the project.

The evaluation and possible follow-up capacity assessment reports will be prepared and shared to all relevant partners in this projects for follow-up in implementing the project during the rest of its life and for programming of UN/DP support during the new cycle (2011-2015)

## **VI. Other Considerations**

### **1. Social and gender equality:**

The project promotes the increased participation and rights to equal access to quality basic social services of poor ethnic minority women and men, who are one of Vietnam's most vulnerable groups, in the policy development, monitoring and implementation processes. The project will also promote gender sensitive and rights based approaches in its capacity development strategies. Therefore, the Project is anticipated to have positive impact on social and gender equity.

### **2. Environmental impact:**

Since the project interventions are mostly aimed at strengthening institutions and individuals in these institutions i.e. CEMA and DEMA, there are no foreseen negative impacts on the environment. Furthermore, if environment related EM policies (such as on forestry and land) would be selected as "experimental bases" for capacity development activities, and project will provide support in raising awareness of policy makers and relevant GOVN officials on ethnic minority people's traditions and customary systems, practices and coping strategies, and related environmental considerations, it is expected that the project will make a positive impact on environment.

### **3. Sustainability:**

CEMA has stated that it is highly committed to this project and that it will take the necessary steps to raise higher-level commitments and the resources to ensure that new approaches, systems and skills to be introduced and obtained through this project would be sustained and institutionalised. In order to ensure the sustainability of the project products, as mentioned above, the project has adopted the programme approach and project activities have been designed in such a way and to the extent possible, that the project will provide assistance and

support to those activities/results that are in CEMA's plans and backed up with GOVN/CEMA's resources for institutionalisation/implementation. For example, regarding the EM development database/monitoring and evaluation system the support on system design and selection of software, training and piloting will be provided by the project and CEMA will contribute for hardware as well as operation and maintenance of the database/system.

#### 4. Risk analysis

RISK	RISK RATING	RISK REDUCTION MEASURES
Decision 1277 and the allocation of Programme 135 have elevated CEMAs position in ethnic minority development. This has created new opportunities but also serious challenges. <i>CEMA's absorptive and management capacity is facing a constraint in relation to the large donor funds it is now receiving and responsible for implementing under 135P.</i>	Medium to High	This project's approach is different in that its entry point is capacity development and it will play a more facilitating/supporting than implementing role. Therefore there is a risk that the project will move slowly, especially at the start. During the life of the project activities should be planned and implemented in a phased and realistic way. Since capacity development is a long-term process, the project life is designed as 5 years. CEMA gained a lot of experience and strengthened its absorptive and management capacity through handling the TA and budget support to 135P.
The project builds on awareness raising and policy communication and advocacy done in the past and other UN interventions related to EM policy. However, changing attitudes and perceptions takes a long time.	Medium	This project will contribute to the process of changing attitudes and perceptions in a sense that it will help creating mechanisms and systems based on new approaches and requiring the changes.
From the capacity assessment, there emerged a huge demand for training of CEMA staff at national and local levels in numerous areas. There is a tendency in equating training with capacity development which is not the case. In order for training to have a lasting impact systems must be in place, and the working environment conducive to using the skills gained.	Medium	One of the key strategies of the project is on applying the skills acquired on practical work of reviewing, formulating, monitoring and implementing concrete EM development policies. Secondly most CEMA/DEMA staff expressed eagerness to learn new things and given their limited capacity, at the very least training will increase their individual knowledge and skills (still an asset to an organisation) . Within its own action plan, there will be in CEMA a system of rewards and incentives for using acquired skills effectively.
Long-term sustainability after the project is a concern although CEMA has strongly committed itself to the project and institutionalisation of the new approaches and systems that it will introduce. One of key conditions for sustainability is increased government resources for ethnic minority policies and programmes and the related package of operational inputs needed: qualified staff, office facilities and supporting equipment, funds for operational costs such as for field visits, maintenance of equipment etc.	High to Medium	In some of the key project activities it is intended that these will be implemented if CEMA has clearly planned the follow-up actions (based on/using the TA/CD support results) in their own plans with GOVN funding commitments. For example: CEMA's plan fo establishing and operationalising a policy M&E system based on/using the project's support in design/software, technical assistance and training. The systems, procedures and mechanisms and approaches to be introduced in the project will need to be practical and feasible for CEMA to adopt/use within the GOVN/CEMA systems. The roles of CEMA and its relevant departments on ensuring this is very important and among the key project strategies..

<p>Coordination among different national and international agencies has always been a point of discussion in Viet Nam. Information sharing is not carried out spontaneously but usually requires some kind of official procedures and mechanisms. Compartmentalizing in implementation of different policies, programmes, donor-supported projects is another bottleneck. The project will support setting up coordination mechanisms but the concern is that such would face difficulties in getting adhered to/ 'institutionalised', especially after the duration of the project.</p>	<p>Medium</p>	<p>Firstly, the Hanoi Core Statement implementation, and related to it, the alignment of donor support along the GOVN own policies, plans and programmes would contribute to addressing the coordination problems. Secondly, CEMA has gained rich experience in and considerable capacity for coordinating a high number of different GOVN and donor agencies in 135P. Thirdly, the coordination mechanisms to be supported by the project will be building in existing and promoting the mechanisms that would be Joint between GOVN-donor, GOVN-led/owned and meeting the GOVN needs. Last, the One UN initiative and related efforts in harmonisation of UN programme and operation would contribute to improving coordination between different UN agencies and different GOVN partners.</p>
<p>Traditional approach of TA provision may result in work 'in isolation' of the individual consultants and their provision of technical solutions, products without transferring/ enhancing national capacity.</p>	<p>Medium</p>	<p>The project will pay attention to</p> <ul style="list-style-type: none"> <li>(i) Mobilisation of international and national institutions in providing relatively longer-term and systematic capacity development service including transfer of knowledge and technical know-how adapted to the local context and systems, trainings and hands-on mentoring and coaching during the application, etc.;</li> <li>(ii) Providing opportunities for learning by doing to national partners to work in close cooperation with technical experts in finding feasible and practical ways for adapting/institutionalising these to national and local systems and context.</li> <li>(iii) CEMA and DEMAs commit to use the project's capacity development as integrated inputs to implementation of CEMA and DEMAs' own capacity development plan/achievement of their <i>own</i> desired capacity improvements/ results.</li> <li>(iv) CEMA and DEMAs commit to assign staff to work closely with technical experts in receiving and applying capacity development support.</li> </ul>

## 5. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article I of the Standard Basic Assistance Agreement between the Socialist Republic of Viet Nam and the United Nations Development Programme signed by the parties on 21 March 1978. CEMA shall, for the purpose of the Standard Basic Assistance Agreement, be referred to as the Government Cooperating Agency described in that Agreement.

*Project Revisions:* The following types of revision of this project document may be made with the signature of the UNDP Resident Representative only, provided s/he is assured that the other signatories of the project document have no objections to the proposed changes:

- Revisions in, or addition to, any of the Annexes of the project document;
- Revisions that do not involve significant changes in the outputs or activities of the project, but are caused by rearrangements of inputs already agreed to, or by cost increases due to inflation;
- Mandatory annual revisions that re-phase delivery of agreed project inputs, or reflect increased expert or other costs due to inflation, or take into account agency expenditure flexibility.



*National Professional Project Personnel:* NIP agrees to the recruitment of national project professional personnel (NPPP) required for the implementation of this project, in accordance with UNDP policies and procedures established within the United Nations system for this purpose. These services constitute an addition to the regular personnel resources to be provided by the NIP and will be available for the duration of UNDP participation in the Project. The remuneration of NPPP will be determined on a case-by-case basis in accordance with the policies and procedures of UNDP.

## Annex 1: PROJECT RESULTS AND RESOURCES MATRIX

<b>Related UNDAF Outcome:</b> Economic growth is more equitable, inclusive and sustainable
<b>Priority Area in Decree 131:</b> Institutional capacity strengthening and human resources development; social issues including ethnic minorities
<b>Related One Plan's/CPAP's outcome:</b> National pro-poor policies and interventions that support more equitable and inclusive growth
<b>CPAP/UN One Plan's Output:</b> “ <i>Strengthened policies on ethnic minorities, that promote rights of ethnic minority people, with particular attention to children and women</i> ”

Outputs	Output Indicators and Means of Verification	Output Baseline	Output Targets	Indicative Activities <sup>12</sup>	Inputs
<b>Output 1:</b> Strengthened CEMA's and selected DEMA's capacity for policy advocacy, awareness raising, communication and policies consultation.	<ul style="list-style-type: none"> <li>- Number of improved mechanisms for EM people to voice their needs and concerns to CEMA/DEMAS, policy communication, advocacy and consultation.</li> <li>- Skills for conducting and facilitating policy communication, advocacy and consultation obtained and used by relevant CEMA/DEMA staff</li> <li>- Number and quality of policy communication, advocacy, awareness raising and consultancy workshops conducted</li> <li>- Number of EM people's needs and policy concerns raised to and taken into the account by CEMA/ DEMAs.</li> </ul> <p><u>Means of verification:</u></p> <ul style="list-style-type: none"> <li>- Stock-taking report</li> <li>- Project quarterly and annual</li> </ul>	Limited skills, ad hoc GOVN/ CEMA's mechanisms and activities for EM people to voice their needs and concerns to CEMA/DEMAS, policy advocacy, awareness raising, communication and policies consultation.	<p>1.1. User-friendly/ user needs based mechanisms for EM people to voice their needs and concerns to CEMA/DEMAS, policy advocacy, communication and policies consultation workshops designed and pilot-operationalised</p> <p>1.2. Relevant staff of CEMA/ DEMA obtained and applied new/ advanced skills for conducting and facilitating policy advocacy, communication and policies consultation workshops.</p> <p>1.3. EM policy consultation process is organized by CEM under the mechanism of annual Ethnic Minority Policy Forum.</p>	<ul style="list-style-type: none"> <li>- Stock-taking and analysing the existing mechanisms, best (tested in Viet Nam) practises/ models<sup>13</sup>. Exposure to best national and international models (in-country and int. study/ exposure tours/workshops/conferences)</li> <li>- Support in defining needs for and designing user-friendly/user needs based mechanisms that are building on the existing/best practice/models, and feasible for CEMA/DEMA to operationalise;</li> <li>- Transfer suitable tools for policy dissemination and communication to different target groups and training relevant CEMA's/DEMA's staff on application of new tools and new/advanced skills on conducting and facilitating policy advocacy, communication and policies consultation process;</li> <li>-Support CEMA/DEMAS in developing annual and medium term plans for EM policy communication, advocacy, awareness raising and consultation;</li> <li>- Providing technical support needed for piloting/ operationalising the mechanisms and (learning-by-doing with coaching and mentoring of</li> </ul>	<ul style="list-style-type: none"> <li>- Int. sub.cont. in dev. mechanisms, training and support operationalization of plans/mechanisms;</li> <li>- Nat. consults and/or sub-contract in mechanisms, support plan dev, piloting.&amp; oper</li> </ul>

<sup>12</sup> The activities would be complementary to, building on and helping institutionalizing the results of UN interventions related to EM policy, focusing on organizational capacity, including also on institutionalization of mechanisms, procedures and systems, and utilization of skills CEMA/DEMA staff will be obtaining.

<sup>13</sup> This study could be a part of a indepth capacity diagnostic study/functional and task analysis.

	<p>progress reports and reviews</p> <ul style="list-style-type: none"> <li>- Training assessments</li> <li>- Reports/information on policy communication, advocacy and consultation activities conducted.</li> </ul>			<p>technical experts) opportunities for CEMA/DEMA staff to apply the newly obtained skills and knowledge in communicating on some selected concrete EM development polices/topics to be defined as the results of UN interventions related to EM policy and /or VIE/02001.</p> <ul style="list-style-type: none"> <li>- Support organisation of regular EM Policy Forum meetings/high level discussions/ roundtables with special attention to decentralisation and participation of EM people in formulating, implementing and monitoring EM policies and programmes.</li> </ul>	
<p><b>Output 2</b> Improved organisational capacity for policy research, policy M&amp;E and policy impact assessments; and EM development data identification, collection, management, analysis and dissemination;</p>	<ul style="list-style-type: none"> <li>- Operation, quality and usage of the EM development database and its links to other national databases.</li> <li>- Establishment and operation of the Procedures for evidence based and participatory policy monitoring and evaluation, policy research and impact assessments.</li> <li>- Operation, quality and usage of the EM development policy M&amp;E system building on the systems being developed for monitoring 135P.</li> <li>- Number of training/skills obtained and used by relevant CEMA/DEMA staff.</li> <li>- Number of policy research and assessments including obtaining feedback from EM people conducted, systematically</li> </ul>	<ul style="list-style-type: none"> <li>- EM data are scattered, limited quality &amp; dissaggregations, gaps in data.</li> <li>- Limited use of data/evidences and feedback from EM people</li> <li>- Lack of clear processes and procedures</li> <li>- M&amp;E and MIS systems for 135P are being developed</li> <li>-limited capacity of CEMA/DEMA staff in managing evidence based and participatory</li> </ul>	<p>2.1. EM development database/system of storing and, disseminating EM policy research, established and operational contributing to policy formulation, monitoring and implementation</p> <p>2.1. Procedures for evidence based and participatory policy monitoring and evaluation, policy research and impact assessments established and operational</p> <p>2.2. Policy M&amp;E system including participatory models developed and operational at different</p>	<ul style="list-style-type: none"> <li>- Support conducting studies<sup>14</sup> and organising a series of roundtables (including with int. experts/academicians/policy makers, through int. study tours/conferences/workshops) on (i) current approaches, mechanisms and status of evidence-based and EM people's feedback based EM development policy formulation and implementation, (ii) gaps/ "barriers" for CEMA/DEMA in adopting the evidence-based approaches; and (iii) best national and int. practices and models on evidence based EM policy formulation and implementation..</li> <li>- Identification of socio-economic/EM development quantitative and qualitative indicators, building on the results of UN interventions related to EM policy/on disaggregations of data as well as on SED M&amp;E project on SEDP M&amp;E Framework and NSIS;</li> <li>- Stock-taking of existing databases and sources of data, identifying the data gaps (building on and deepening results of SED M&amp;E project);</li> <li>- Support development of plans to close the data</li> </ul>	<p>Int. subcontract/ consultants: studies, EM development indicators; procedures, dev. of M&amp;E/MIS systems, funding mechanisms and training - \$</p> <p>Nat. sub-contracts/ consultants: studies, EM development indicators; procedures, M&amp;E systems and training; <u>int., in-country study tours</u> . Training: TA for piloting and operationalising procedures and system: int. subcontracts/consts: \$150,000, nat. sub-</p>

<sup>14</sup> Relevant studies could be parts of a indepth capacity diagnostic study/functional and task analysis

	<p>stored/ disseminated and used for policy formulation and implementation.</p> <p><u>Means of verification:</u></p> <ul style="list-style-type: none"> <li>- Project quarterly and annual progress reports and reviews</li> <li>- Training assessments</li> <li>- Reports/information on function of the procedures and systems.</li> <li>- Reports of policy research and assessments.</li> <li>- Report/information from policy reviews, improved policies.</li> </ul>	<p>policy research and assessments, and using the results for policy formulation and implementation</p> <ul style="list-style-type: none"> <li>- Limited knowledge and application of new/advanced approaches in policy studies/ research.</li> <li>- Lack of systematic storage, wide dissemination and usage of EM policy research, assessments for policy and programme development.</li> </ul>	<p>levels</p> <p>2.3. Relevant staff of CEMA/DEMAs have enhanced and utilise their skills and knowledge on management of evidence based and participatory policy research and assessment, knowledge management, advanced data analysis and participatory policy research methodologies.</p> <p>2.4. 4-5 evidence based, participatory policy research/ impact assessments conducted, 2-3 reports on analysing EM development data, as well as information from M&amp;E and MIS systems prepared and used for policy/legal framework formulation and implementation.</p>	<p>gaps (building on results of SED M&amp;E project);</p> <ul style="list-style-type: none"> <li>- Support development of a feasible and suitable EM development database<sup>15</sup> that would be coordinated with/linked to other national databases e.g. at GSO, MOLISA, MARD, etc. based on the established protocols and procedures for the database management and dissemination and building on results of SED M&amp;E project.</li> <li>- Support development of, and training relevant CEMA/DEMA staff in managing/applying, procedures for participatory and evidence based policy monitoring and evaluation, policy research and impact assessments as the part of the process/procedures for policy formulation, communication and advocacy and implementation;</li> <li>- Support development of participatory policy M&amp;E system including MIS and mechanisms for EM people to provide their feedbacks, building on the M&amp;E system and MIS for 135P being developed with support of VIE/02/001;</li> <li>- identifying the responsibilities/needs and providing skills training for relevant CEMA and DEMAs staff in identifying topics for, and management of as well as building partnerships with national research institutions for conducting, the policy research, policy impact assessments, and management of knowledge (including lessons learned) generated by the policy research, policy impact assessments and policy M&amp;E systems;</li> <li>- support development of strategy and mechanisms for CEMA to (i) obtain adequate funding from GOVN and other sources and (ii)</li> </ul>	<p>contracts/consults: ; and workshops; Travel; <u>STA</u>; <u>Nat. consts in provinces</u></p>
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<sup>15</sup> Close cooperation with UNICEF supported activities on VIETINFO software would be needed as VIETINFO software could be used for the EM development database. In addition, cooperation and dialogues between CEMA/DEMAs and key national data collectors, linkages between CEMA EM development database and the other national databases would also be building on the mechanisms and benefiting from results of the work of UNDP and UNICEF on SEDP M&E.

				<p>finance and developing partnerships with national research institutions and civil organisations for conducting objective/ independent policy monitoring and evaluation, policy research and impact assessments;</p> <ul style="list-style-type: none"> <li>- Provide (i) technical assistance needed for piloting and operationalising the systems, procedures and processes, (ii) transfer and application of suitable tools for evidence based policy making and policy impact assessments and (iii) opportunities for CEMA/DEMA staff to apply the newly obtained skills and knowledge (as the part of learning-by-doing with hands on coaching and mentoring of experts) on these.</li> </ul>	
<p><b>Output 3:</b> Improved organisational capacity in Ethnic Minority development policy formulation and implementation</p>	<ul style="list-style-type: none"> <li>- Law on EM promotes for greater decentralisation and meaningful participation of EM people in formulation and implementation of policies and programs that affect their life.</li> <li>- Establishment and operation of the Procedures for policy formulation and implementation, that promote for decentralisation and participation of EM people in all stages.</li> <li>- Operation of mechanisms for policy consultations, obtaining views and feedbacks from EM people, engaging EM people and coordination in policy formulation and implementation.</li> <li>- Prioritised plan for policy formulation.</li> <li>- Number of training/skills obtained and used by relevant</li> </ul>	<ul style="list-style-type: none"> <li>- Policy formulation is centralised, implementation responsibility and authority are being decentralised.</li> <li>- Lack of clear procedures for evidences based, participatory policy formulation and implementation</li> <li>- policy discussions and consultations, obtaining feedback and views from EM people are on</li> </ul>	<p>3.1. Support provided for preparing and wide consultations on law on EM.</p> <p>3.2. Procedures established and functioning for evidences based, participatory/decentralised policy formulation and implementation.</p> <p>3.2. Mechanism for regular for policy discussion, obtaining views and feedbacks from EM people, engaging EM people, consultations, and coordination established and functioning.</p> <p>3.3. Plan for policy</p>	<ul style="list-style-type: none"> <li>- Support the process of preparing and wide consultations on law on EM.</li> <li>- Support conducting studies/stocktaking<sup>16</sup> best national and international best practices and a series of roundtables on ‘participation’/‘decentralisation’ ; current mechanisms and best national practices in participatory and decentralised policy formulation and implementation; “barriers” for institutionalising more participatory and decentralised approaches/best practices in EM development policy formulation and implementation.</li> <li>- Conduct a ”capacity diagnosis study”/functional and task analysis of the staff in the CEMA and DEMAs on policy formulation, M&amp;E, implementation and coordination.</li> <li>- Exposure of leaders/policy-makers to international experiences on decentralisation and engagement of EM people in policy formulation and implementation and leadership skills development;</li> </ul>	<p>Nat. consultants EM law: 10 w/m; EM law consultations: w/s and roundtables: \$15,000, experts’ reviews</p> <p>Nat. subcontract for functional analysis .</p> <p>Int. study/exposures/ leadership training (incl. in country training.</p> <p>Int. subcontracts/ constns in studies, procedures, mechanisms, training and support</p> <p>Nat. subcontracts/ constns in procedures, mechanisms, training and support</p> <p>Training workshops.</p>

<sup>16</sup> This study could be a part of a indepth capacity diagnostic study/functional and task analysis

	<p>CEMA/DEMA staff.</p> <ul style="list-style-type: none"> <li>- Number of policies reviewed and improved/new policies formulated and implemented.</li> </ul> <p><u>Means of verification:</u></p> <ul style="list-style-type: none"> <li>- Project quarterly and annual progress reports and reviews</li> <li>- Training assessments</li> <li>- Reports/information on function of the procedures and systems.</li> <li>- Report/information from policy reviews, improved policies.</li> <li>- information on realisation of CEMA's plan for policy reviews/improvement and formulation.</li> </ul>	<p>ad-hoc basis</p> <ul style="list-style-type: none"> <li>- limited policy coordination and mechanisms for engaging EM people in all stages of policy formulation and implementation.</li> <li>- Limited skills of CEMA/DEMA staff</li> </ul>	<p>development prepared</p> <p>3.4. Knowledge and skills of relevant CEMA staff enhanced and applied for policy formulation and implementation.</p> <p>3.4. 3-4 policies reviewed and improved/new policies developed &amp; implemented that are based on evidence, participatory, decentralisation and rights based approached, with enhanced coordination.</p>	<ul style="list-style-type: none"> <li>- Development of procedures for evidences based, participatory policy formulation and implementation, building on the results of UN interventions related to EM policy.</li> <li>- Establishment of a regular mechanism for discussing policy options within CEMA and other related central ministries;</li> <li>- Improved coordination mechanisms for formulating and implementing multi-sectoral policies/programmes;</li> <li>- Transfer and adapt suitable tools and provide <i>technical training</i> to relevant CEMA/DEMA staff on skills for analyzing and translating policy research/impact assessment into action and work planning; inclusive/participatory policy formulation and implementation processes and facilitation skills; identifying and prioritizing policy issues, solutions and actions; policy costing/pro-EM budgeting/policy implementation budgeting; policy formulation and implementation coordination; evidence and results based management of implementation; gender mainstreaming, environmental consideration;</li> <li>- Provide (i) technical assistance needed for piloting and operationalising the procedures and processes, coordination mechanisms and (ii) opportunities for CEMA/DEMA staff to apply obtained knowledge and skills on policy formulation and implementation of some selected concrete EM development polices to be defined as the results of other UN interventions related to EM policy and /or VIE/02/001.</li> </ul>	<p>Workshops.</p> <p>TA to piloting and operationalisation:</p> <p>Nat. consts/ sub-contract.</p> <p>Int. sub-contracts: \$30,000</p> <p>Workshops.</p> <p>Travels.</p> <p>Misc.</p>
4. Project management				<ul style="list-style-type: none"> <li>- Gender mainstreaming into project activities</li> <li>- Project management training</li> <li>- NPM (shared with VIE/02/002 – SEDEMA component): 42w/mx\$1,350 per month</li> <li>- Coordinator: 30 w/m x \$1,200 per month</li> <li>- Project accountant cum admin assistant (shared</li> </ul>	

				<p>with VIE/02/002 – SEDEMA component) – 42 w/m x \$600 per month</p> <ul style="list-style-type: none"> <li>- Project interpreter cum secretary: (shared with VIE/02/002 – SEDEMA component) – 42 w/m x 600 per month</li> <li>- Admin. support staff at local DEMAs – 60 w/m x 3 provinces x \$300/month</li> <li>- One vehicle</li> <li>- Office equipment<sup>17</sup> x 4 (CEMA and 3 provinces):</li> <li>- Office equipment maintenance and operation (\$500 per year x 5 years x 4 locations)</li> <li>- In-depth evaluation</li> <li>- Reviews</li> <li>- M&amp;E travel CEMA</li> <li>- M&amp;E travel UNDP/GACA</li> <li>- Auditing</li> <li>- Public information</li> <li>- Project formulation</li> <li>- GMS:</li> </ul>	

<sup>17</sup> Standard NEX package of office equipment, taking into the account equipmenmt already provided to CEMA under VIE/02001, plus possible needs for other equipment to support high number of activities on training (such as projectors) and EM development data bases/analysis (such as computer server and database softwares) to be conducted under the project.

## Annex 2 - 2008 ANNUAL WORKPLAN AND BUDGET<sup>18</sup>

Outputs	Indicative Activities	Dec. 2007	Q1 2008	Q2, 2008	Q3, 2008	Q4, 2008	Totals 2008 <sup>19</sup>
<b>Output 1</b>	- Stock-taking and analysing the existing mechanisms, best (tested in Viet Nam) practises/ models ( <i>this study could be a part of a indepth capacity diagnostic study/functional and task analysis</i> ).	x	X	x			
	- Exposure to best national and international models (in-country and int. study/exposure tours)			x	x		
	- Support in defining needs for and designing user-friendly/user needs based mechanisms that are building on the existing/best practice/models, and feasible for CEMA/DEMA to operationalise;			x	x	x	
	- Identifying suitable tools for policy dissemination and communication to different target groups and design plan for transfer of the tools and training relevant CEMA's/DEMA's staff on application of new tools and new/advanced skills on conducting and facilitating policy advocacy, communication and policies consultation;		x	x	x		
	-Support CEMA/DEMAs in developing annual and medium term plans for EM policy communication, advocacy, awareness raising and consultation, including under the current mechanisms such as Policy Forum and 135P target budget support;			x	x		
	- Support organisation of an annual EM Policy Forum meeting with special attention to decentralisation and participation of EM people.				x	x	
	- National consultants in 3 DEMAs (12 months/shared by 3 outputs)		x	x	x	x	
	- STA (shared by 3 outputs and with vie02001)		x	x	x	x	
					Subtotal		

<sup>18</sup> Depending on the GOVN appraisal process, some preparatory/start-up activities could be implemented as soon as the DPO is approved (in last months of 2007) so that the project could be fully operational in from January 2008. These may include: CEMA assigning the NPD, DEMAs assigning focal points, development of the single management structure and work processes of the VIE/02/001 and this project as well as necessary coordination mechanisms (including SC), start planning and initiating the in-depth capacity diagnostic study/functional analysis, further refinement of the project strategy and 2008 annual work plan, start the process of recruitment of project staff and procurement of equipment and vehicle, preparation of TORs for key int. and national sub-contracts/consultants, etc.

<sup>19</sup> In line with teh proeject overall approach (c) mentioned abvoe, relevant CD/technical services could be combined in same longer-term sub-contracts, which may also include services in organising arranging exposure/study tours as part of a long-term/consistent training and capacity transfer process.



<b>Output 2</b>	- Support conducting studies <sup>20</sup> and organising a series of roundtables.		x	x	x	
	- Identification of socio-economic/EM development quantitative and qualitative indicators	x	x	x		
	- Stock-taking of existing databases and sources of data, identifying the data gaps; workshops/seminars, publication.	x	x	x		
	- Support development of plans to close the data gaps;				x	x
	- Explore the options for feasible and suitable EM development databases with linkages to other national databases based on established protocols and procedures for data dissemination and sharing.			x	x	
	- Identifying suitable tools for participatory and evidence based policy monitoring and evaluation, policy research and impact assessments and design plan for transfer of the tools to CEMA/DEMA.		x	x		
	- Support the development of procedures for participatory and evidence based policy monitoring and evaluation, policy research and impact assessments ( <i>as the part of the process/procedures for policy formulation, communication and advocacy and implementation</i> );			x	x	x
	- Support development of participatory policy M&E system including MIS and mechanisms for EM people to provide their feedbacks, based on the best int. and national tested models;				x	x
	- Identify the responsibilities and needs of relevant CEMA and DEMA staff in management, and building partnerships with national research institutions for, conducting the policy research, policy impact assessments.			x	x	x
	- Identify best suitable options for management and wide dissemination of knowledge (including lessons learned) generated by the policy research, policy impact assessments and policy M&E systems;				x	x
	- Conduct a situation analysis of “financing” independent policy monitoring and evaluation, policy research and impact assessments;				x	x
	- National consultants in 3 DEMAs (1 months/shared by 3 outputs)				x	
STA (shared)						
					subtotal	

<sup>20</sup> Relevant studies could be parts of a indepth capacity diagnostic study/functional and task analysis

<b>Output 3</b>	<ul style="list-style-type: none"> <li>- Support process of preparing and wide consultations on law on EM.</li> <li>- A functional and task analysis of the staff in the CEMA and DEMAs</li> <li>- Support conducting studies/stocktaking best national and international best practices and a series of roundtables on ‘participation’/’decentralisation’; current mechanisms and best national practices in participatory and decentralised policy formulation and implementation; “barriers” for institutionalising more participatory and decentralised approaches/best practices in EM development policy formulation and implementation.</li> <li>- Leadership training needs assessment and training programme designing</li> <li>- Exposure of leaders/policy-makers to international experiences on decentralisation and engagement of EM people in policy formulation and implementation and leadership skills development;</li> <li>- Development of procedures for evidences based, participatory policy formulation and implementation, building on the results of UN interventions related to EM policy.</li> <li>- Establishment of a regular mechanism for discussing policy options within CEMA and other related central ministries;</li> <li>- Improved coordination mechanisms for formulating and implementing multi-sectoral policies/programmes;</li> <li>- Identify suitable tools and make plan for transfer of such to CEMA/DEMAs.</li> </ul>		x	x			
	- National consultants in 3 DEMAs (1 months/shared by 3 outputs)				x		
	- STA (shared by 3 outputs and with vie02001)		x	x	x		
						subtotal	
<b>Project management</b>	<ul style="list-style-type: none"> <li>- Gender mainstreaming into project activities</li> <li>- Project management training</li> <li>- NPM (6 months – shared with vie02001)</li> <li>- Coordinator – 12 months</li> <li>- Project accountant cum admin assistant (6 months shared)</li> <li>- Project interpreter cum secretary (6 Months shared with vie02001)</li> <li>- Admin. support staff at local DEMAs</li> <li>- Office equipment x 4 (CEMA and 3 provinces)</li> <li>- Office equipment maintenance and operation</li> <li>- Vehicle</li> <li>- M&amp;E travel CEMA</li> <li>- M&amp;E travel UNDP/GACA</li> <li>- Project formulation</li> </ul>						

						subtotal	

## ***Annex 3: DRAFT TORs of key posts***

### **A. National Project Director (NPD)**

#### **Background**

The NPD is the focal point for responsibility and accountability in the National Implementing Partner for all UNDP supported activities with CEMA as the NIP. The NPD must be a leading official of the NEX Agency whose primary responsibility will be to make major policy decisions and to supervise and guide the work of the STA and National Project Manager-cum-Coordinator.

#### **Duties and Responsibilities**

- Assumes overall responsibility for the execution of all UNDP supported activities with CEMA as the NIP towards achieving the agreed objectives/outputs and accountability to UNDP and the Government for the proper and effective use of UNDP-supported resources.
- Serves as a focal point for the coordination of all UNDP supported activities with CEMA as the NIP with implementing agencies, UNDP and other Government agencies.
- Ensures that all Government inputs committed are made available.
- Works with UNDP in selecting and arranging for the appointment of the Project Manager cum Coordinator.
- Supervises the work of the NPMC, and ensures that the NPMC are empowered to effectively manage the all UNDP supported activities with CEMA as the NIP, and other support staff in performing their duties.
- Ensures that work plans covering all UNDP supported activities with CEMA as the NIP are prepared and updated, in consultation with UNDP, and distributed to the Government and other relevant agencies.
- Undertakes the recruitment of UNDP financed professional and support staff using agreed procedures.
- Supports the gender mainstreaming activities in the project.
- Opens and operates a separate bank account in the name of the NIA, and serves as the Approving Officer for the recruitment, training, sub-contracting, and financial operations of all UNDP supported activities with CEMA as the NIP.
- Represents the NIA and the Project at formal meetings of the Project parties.

**Duration:** Part-time input over the full life of the Project. The NPD can nominate a Deputy NPD to act on his/her behalf during any absence.

## **B. National Project Manager (NPM) - (shared with SEDEMA component of VIE02001)**

### **Background**

The NPM has responsibility for the daily operational management of all UNDP supported activities with CEMA as the NIP including this project activities. S/he will initiate and manage all UNDP supported activities with CEMA as the NIP and also be involved in substantive support in realizing the related targets. The NPM will be recruited by the NPD in consultation with UNDP and/or other independent advisors nominated by UNDP. The NPM will be partly funded by this project and VIE02001.

### **Duties and Responsibilities.**

- Assumes operational responsibility for the management of all UNDP supported activities with CEMA as the NIP in accordance with procedures and practices outlines in the NEX manual.
- Ensure the quality of overall work plans and budgets (covering all UNDP supported activities with CEMA as the NIP) and conformity of these within the agreed cooperation frameworks for submission to the NPD.
- Prepares and facilitates scheduled meetings in review of all UNDP supported activities with CEMA as the NIP.
- Ensures that all agreements with co- implementing agencies and sub-contractors are prepared, negotiated and agreed. Supervise their implementation.
- Initiates and administers the mobilization of UNDP-supported inputs under the responsibility of the NIP.
- Initiates and executes necessary field trips and workshops in support of the work programme of NIP.
- Supports NPD in assuming responsibility for managing the work plan and budget on behalf of the NPD to ensure that: Funds are made available as needed and are disbursed properly; Accounting records and supporting documents are kept, Financial reports are prepared; Financial operations are transparent and comply with NEX rules; and Records are in order for auditing at any time; Manage physical resources (equipment, etc.) financed by UNDP; Organise the implementation of planned corrective actions as recommended by auditors.
- Supervises and guides support staff and monitors the work of experts working for NIP in all UNDP supported activities with CEMA as the NIP.
- Drafts and/or organizing the drafting of all management reports, including quarterly, annual, and terminal reports and organize tripartite reviews and Evaluation Missions (covering all UNDP supported activities with CEMA as the NIP) in coordination with the Government and UNDP.
- Organises monitoring and evaluation systems and regularly update the NPD on progress, issues and constraints to implementation, and advises NPD on possible solutions.
- Performs any other task assigned by the NPD.

**Qualifications:** University level training in economics, development studies or related fields; Past experience (at least 2 years) in Project management; Good inter-personal and team building skills; Good spoken and writing skills in both Vietnamese and English; Available to assist with Project implementation on a regular basis as required; Familiarity with UNDP financed technical assistance projects and NEX.

**Duration:** An initial year (full time – shared with VIE02001), with the possibility of extension for another 4 years.

## C. Technical Coordinator

### Background

The TC has responsibility for the technical coordination of all UNDP supported activities with CEMA as the NIP including between these and support provided to CEMA by other international partners on the topics of EM policy. Consequently the NPC is responsible for the day to day coordination. S/he will (i) support NIP and co-implementing partners in planning and (ii) coordinate the implementation of, UNDP supported activities with CEMA as the NIP and also be involved in substantive technical support in realizing the related targets. The TC will be recruited by the NPD in consultation with UNDP and/or other independent advisors nominated by UNDP, and report to the NPM. The TC will be funded by this project.

### Duties and Responsibilities.

- Assumes responsibility for the technical coordination of all UNDP supported activities with CEMA as the NIP in accordance with approved WPs and related project document/DPO, letters of agreement (LOAs) between NIP and co-implementing partners and sub-contracts.
- Prepares and updates work plans, including supports the co-implementing partners in preparing and submitting work plans, consolidating these into the overall work plans (covering all UNDP supported activities with CEMA as the NIP) for submission to the NPD. To the extent possible, supports the initiation and preparation of joint annual workplans and coordination of implementation of all UN supported activities with CEMA on EM policy.
- Develop and provide support in operationalising mechanisms for coordination of the implementation of all UNDP supported activities with CEMA as the NIP, as well as between these activities and activities supported by other international partners/UN agencies.
- Supervise and coordinates the implementation of all agreements with co-implementing agencies and sub-contractors.
- Provides technical support to co-implementing partners in implementation of activities under their responsibility.
- Provides quality assurance of the activities under the responsibility of co-implementing partners.
- Supports NPM/NPD in monitoring the work of co-implementing partners and sub-contractors/consultants.
- Supports co-implementing partners in drafting management reports, including quarterly, annual, and terminal reports.
- Performs any other technical coordination task assigned by the NPD/NPM.

**Qualifications:** University level training in economics, development studies or related fields; Past experience (at least 2 years): in Project management, coordination, networking; Good coordination, partnership building and inter-personal skills; Sound technical knowledge on EM policy/capacity development; Good spoken and writing skills in both Vietnamese and English; Familiarity with UN and donor support on the areas of EM policy/ capacity development.

**Duration:** An initial year (full time), with the possibility of extension for another 4 years.

## **D. Interpreter/Admin Assistant**

### **Background**

The Interpreter/Admin Assistant will work at CEMA's Project Office under the direct supervision of the Deputy National Project Manager (D-NPM). The Interpreter/Admin Assistant will interpret for project meetings, translate the documents and assist the D-NPM in the daily project management and implementation in accordance with regulations of Vietnam and UNDP.

### **Duties and Responsibilities.**

- Translate relevant project documents and correspondence from Vietnamese into English and vice versa.
- Provide direct interpretation from Vietnamese into English and vice versa in meetings, workshops, seminars, etc. for the CEM Deputy National Project Director, Programme Management Advisor, and other national and international consultants, as required.
- Assist the D-NPM in arranging simultaneous interpretation service for project workshops, seminars and trainings and help to ensure that such service be of high quality.
- Assist the D-NPM in the project management and implementation in accordance with regulations of Vietnam and UNDP;
- Assist the D-NPM in all activities related to procurement and subcontract procedures;
- Manage the project equipment and other assets, and monitor use of fixed assets in accordance with regulations of UNDP;
- Undertake other activities as required by the D-NPM.

### **Qualifications:**

- University degree majoring in the English language.
- High level of proficiency in both spoken and written English and Vietnamese.
- At least 3-year working experience as interpreter, translator and administrative assistant in donors-funded projects and/or international organization.
- Good knowledge and understanding of development and poverty reduction issues;
- Knowledgeable about Vietnam and donors-funded procedures and regulations. Experienced with UN funded projects and regulations would be an advantage.
- Ability to work in a team and be open for learning,
- Able to travel to ethnic minority and mountainous areas and work under high-pressure;
- Good command of common computer software (Word, Excel and Power Point, etc.);

**Duration:** An initial year (full time), with the possibility of extension for another 4 years.

## **E. Project Accountant**

### **Background**

The Project Accountant will be overall responsible for project accounting in line with regulations and procedures of both Vietnam and UNDP - supported nationally executed (NEX) projects. In addition, the Project Accountant may be given additional administrative tasks as per assigned by the Project Management, if necessary.

### **Duties and Responsibilities.**

- Assist the Project Manager (PM) in administration of project funds, both from UNDP and CEM. This includes budgeting for annual and quarterly workplan, preparing quarterly and annual documents for review by the PM, administration of advanced funds in line with Vietnam and UNDP rules and regulations, monitoring rate of delivery, cash management and disbursements, claim VAT input, filing and payment of PIT, monitoring expenses of responsible parties, supporting documents for disbursements, non-expendable equipments etc.
- Prepare reports (for both UNDP fund and counterpart fund) on project expenditures for PM's review including Government Disbursement Report (GDR) (both in hard copy and electronically) in line with UNDP procedures; the quarterly Reconciliation of Outstanding Advance/status of funds (ROA), and other reports according to accounting regulations of Vietnam.
- Keep the project's books as per MOF and UNDP regulations including Cash Receipt and Disbursement Journal, Government Disbursement Ledger, UNDP Cash Advance Ledger, and UNDP Direct Payment Ledger, (if any) and other accounting books according to accounting regulations of Vietnam.
- With necessary technical inputs and guidance from the PM, prepare and update proposed project budget revisions for review by the PM before submission to UNDP..
- Assist the PM in meeting requirements for internal and external project audits.
- Assist the PM in all activities relating to project procurement and sub-contracting procedures.. This includes but not limits to preparation of request for quotation, request for proposal, purchase order, receiving and inspection report, and documents required by the UNDP Local Contracts Committee.
- Administer project equipment and other facilities including maintaining Non-expandable Property Ledger as per NEX guidelines.
- Carry any other duties as per the requirements of the PM for the successful implementation of the Project.

### **Qualifications:**

- University degree in Finance and Accountancy;
- Experience in project accounting and budget administration with a minimum of one year hands-on experience;
- Good command of English, both orally and in writing;
- Experience and/or familiarity with UNDP financial rules and regulations and project financial management practices would be an asset;
- Excellent computer skills, especially Excel, Word, and PowerPoint;
- Able to work under work and time pressure.



**Duration:** An initial year (full time), with the possibility of extension for another 4 years.

#### **F. STA - same as of vie02001**

##### **Job aims:**

The Senior Technical Advisor (STA) primary aim is to help assure the quality of implementation and outputs of all UNDP supported activities with CEMA as the NIP. The STA also supports the UNDP in achieving its programme Outcomes and Outputs.

##### **Main tasks and specific duties:**

###### To advise NPD and Project Management Team (PMT) on Management

1. **Work planning:** Provide advice on annual work plans, and especially emerging issues that should be incorporated into work plans of all UNDP supported activities with CEMA as the NIP.
2. **Monitoring, review and evaluation:** Guide the process of monitoring, review and evaluation, and reporting of key results including lessons learnt covering all UNDP supported activities with CEMA as the NIP. This includes direct inputs and also pre-approval review of annual reports, work plans, technical reports and Completion reports.
3. **Coordination:** Support PMT to coordinate expert inputs, consisting of international and national consultants for specific tasks, for conducting research, workshops/seminars, project reviews/evaluations, and information exchange in relation to all UNDP supported activities with CEMA as the NIP.

###### To build project management and technical capacities of national partners

4. **Capacity assessment and enabling of capacity building:** Assist the identification of capacity gaps in the NIP and co-implementing partners and recommend capacity building interventions; review TORs for study tours/fellowships and trainings; assist in identifying appropriate host institutions/organisations
5. **Capacity building:** Lead, deliver and provide on-the-job training on project management to PMT including of the co-implementing partners.

###### To advise NPDs and other project partners on relevant policy and technical matters

6. **Technical advice:** Provide substantive technical inputs to the NIPs and other partners in the preparation and implementation of the capacity development activities for EM development policy and 135P implementation.
7. **Policy advice:** Provide substantive inputs to the NIP and other partners, and UNDP in the areas of EM development policies and poverty reduction programmes targeting EM people, and related best international practices, experiences and knowledge.
8. **Knowledge generation and sharing:** Assist the preparation and strengthening of knowledge & information sharing strategy; knowledge networking with development partners; and facilitate international and national inputs into research, review and sharing forum.

###### To advise UNDP on strategic program development and technical issues

9. **UNDP programme development:** Assist the UNDP in identifying emerging needs and new development themes, and support strategy formulation and portfolio development in the areas of EM development policy and poverty programmes targeting EM people, including gender issues.
10. **Partnership development:** Assist the UNDP in developing new partnerships and deepen

relations with existing partners (including UN, under One UN initiative), on EM development policy and 135P as well as emerging, prioritised development themes.

To advocate for the primary values and aims of the UN and the UNDP

11. **Advocacy:** Provide advocacy support to the UNDP, including preparation of policy research and writing of public statements by the UNDP on EM development policy, and advocate for the achievement of MDGs and other UNDP values, Outcomes and Outputs in appropriate forums / occasions.

**Required qualifications and experience:**

- PhD or Masters in Development, Social sciences or related fields (essential)
- Ten years experience in EM development policies and large poverty reduction programs/projects targeting poor/EM people (essential)
- Five years work experience in a developing country context (essential)
- Team leader/project or program management experience (essential)
- Experience in working with donor agencies or in foreign direct investment (essential)
- Experience in multi-cultural teams (essential)
- Full proficiency in both spoken and written English (essential)
- Relevant work experience in South East Asia, and Viet Nam (desirable)
- Experience in partnership development and/or resource mobilization (highly desirable)
- Basic knowledge of Vietnamese (desirable)
- Familiarity with UN or UNDP procedures (desirable)

**Required competencies:**

- MS Word and Excel literate (essential)
- Ability to coordinate processes and people (essential)
- Effective writing and communication skills (essential)
- Ability to work in a team (essential)
- Commitment to the MDGs (essential)
- MS Project Management (desirable)

**Performance Indicators**

- Inputs into project progress reports and work plans, and review-comments of high quality and relevance (assist the preparation of the half yearly and annual progress reports)
- Management advice of high quality and relevance (provide x number of proposals relating to management and organization)
- Policy and technical advice of high quality and relevance (provide x number of proposals relating to policy and technical nature)
- Strategy and portfolio development advice of high quality and relevance (provide x number of proposals relating to project strategy and portfolio development)
- Appropriate international and national consultants recruited and effectively coordinated and used in project implementation (provide selection criteria to the recruitment)
- Provide effective communication styles in different situations
- Provide effective training delivery skills and styles
- Exercise excellent facilitation skills
- Effective and active networking
- At least one new initiative or project is formulated by / with the UNDP based primarily on Adviser's suggestions and facilitation;
- At least 2-3 articles published on EM development policies, poverty reduction projects targeting EM/poor people.

**Annex4: LIST OF EQUIPMENT 2008**

	<b>Equipments</b>	<b>Quantity</b>	<b>DEMAs</b>	<b>CEM</b>	<b>Total Cost (USD)</b>
1	Desktop computer	4	1	3	
2	Printer	3	0	3	
3	Laptop	4	1	3	
4	Photocopier	3	0	3	
5	Fax machine	3	0	3	
6	Desk telephone	3	0	3	
7	Digital camera	3	0	3	
8	Car	1	1	0	
9	Overhead projector	3	0	3	
10	Misc.				
	<b>Total</b>				