**United Nations Development Programme**

**Country: Viet Nam**

**Annual Work Plan 2014**

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| **Project Title:** | **Capacity Building for Implementation of National Climate Change Strategy Project (CBICS)** |
| **Expected Output:** | **(OP Outcome 1.3)** The complement of institutions and policies on climate change reviewed, evaluated and proposed (to support the implementation of Task 1, 6 and 9 in the Strategy) |
| **Expected Output(s):** | **OP Output 1.3.1:** Planning and investment processes are climate proofed and specific programs have been formulated and operationalised for long-term adaptation to reduce climate change vulnerabilities.  **OP Output 1.3.2:** Resilience of at-risk and vulnerable groups to natural hazards is enhanced, and nationally relevant aspects of international agreements on disaster risk management are implemented  **OP Output 1.3.3:** A national system for Reduced Emissions from Deforestation and forest Degradation (REDD), and Nationally Appropriate Mitigation Actions (NAMAs) for a number of strategically chosen sectors and localities are formulated and operationalized with clear potential benefits  **OP Output 1.3.4:** National long-term climate change strategy and green economy/low carbon strategy operationalized, which are based on the national development vision (SEDS) while building on the National Target Programme results |
| **National Implementing Partner:**  **Co-Implementing Partners:** | Ministry of Natural Resources and Environment (MONRE)/ Department of Meteorology, Hydrology and Climate Change (DMHCC)  Ministry of Agriculture and Rural Development (MARD)/ Climate Change Office, Department of Science, Technology and Environment.  Ministry of Natural Resource and Environment (MONRE)/Institute for Meteorology, Hydrology and Environment |

**Brief Description**

This Project is developed base on the success of the MONRE/UNDP project “Strengthening national capacities to respond to Climate Change in Viet Nam, reducing vulnerability and controlling GHG emissions”- CBCC during 2009-2013. The Project aims to support the building of awareness, institutional, scientific and technical capacity for the effective implementation of the National Strategy on Climate Change (CC) at ministries and localities, making a contribution to the implementation of the Party Central Committee’s Resolution N0 24-NQ/TW on actively responding to climate change, strengthening resource management and environmental protection.

Through provision of technical assistance, capacity development support, international experience sharing, and facilitation of evidence-based researches and participatory policy dialogues, the Project will focus on achieving 03 Outputs: (i) Institutional capacity for responding to CC by the National Committee on CC and focal points at relevant ministries and localities will be improved; (ii) Scientific and technical capacity will be strengthened for the development and implementation of adaptation and mitigation activities; and (iii) Awareness, and capacity of implementing responses to CC at Central agencies, localities and the community will be raised.

***Expected Key Results to be achieved for 2014*** will be delivered through the implementation of the Annual Work Plan include:

1. National and International Peer-Reviews to support the completion of the Viet Nam's SREX and its summary report for policy maker;
2. Researches to support the development of the CC, SLR scenarios for Viet Nam;
3. Knowledge sharing and information exchange on climate change responses in agriculture and rural development sector;
4. To develop the draft proposal on establishment of Vietnam Panel on Climate change (VPCC) and working regulation and decision on establishment of VPCC; including support preparation process for Vietnam participation into the climate change international negotiation (COP20)
5. To prepare the initial plan for technical support and policy advisory on responding to climate change at central and provincial levels,
6. Support the development of the Law on Hydrometeorology.

2014 AWP budget: US$395,950

Total resources required US$ 4,747,000

Total allocated resources: US$4,600,000

* UNDP (TRAC) US$2,400,000
* Government:
  + In-kind: US$147,000
  + In cash: US$0
* Unfunded budget: US$2,200,000

Programme Period: 2014- 2018

Key Result Area (Strategic Plan):

Inclusive, Equitable and Sustainable Growth

Atlas Award ID: \_\_\_\_\_\_\_\_\_\_\_\_\_\_

Start date: June 2014

End Date June 2018

PAC Meeting Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_

Management Arrangements NIM

**Agreed by (Implementing Partner):**

**Agreed by UNDP:**

# Annual Work Plan 2014

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| **WORK PLAN 2014 (June - December)** | | | | | | | | | | |  |
| **Project code and title: 00060851 - Capacity Building for Implementation of National Climate Change Strategy Project - CBICS** | | | | | | | | |  |  |  |
| **National Implementing Agency: Department of Meteorology, Hydrology and Climate Change - MONRE  Co Implementing Agency: Department of Science, Technology and Environment - MARD;   Viet Nam Institute of Meteorology, Hydrology and Environment - MONRE** | | | | | | | | | |  |  |
|  | | | | | |  |  |  |  |  |  |
| **EXPECTED PROJECT OUTPUTS, INDICATORS AND ANNUAL TARGETS** | **PLANNED ACTIVITIES (List all the activities, including M & E activities, planned in the year in order to produce the project outputs)** | **TIMEFRAME** | | **RESPONSIBLE**  **PARTY** | **PLANNED BUDGET** | | | | | **Challenges solutions other issues** | **UNDP comments** |
| **Q3** | **Q4** | **Fund** | **Donor** | **Budget Description** | | **Amount (10)** |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | Total | 11 |  |
| **Relevant Output from the UN's One Plan  Outcome: 1.3: By 2016, key national and sub-national agencies, in partnership with the private sector and communities, have established and monitor multi-sectoral strategies, mechanisms and resources to support implementation of relevant multilateral agreements and effectively address climate change adaptation, mitigation and disaster risk management One Plan 2 Output 1.3.1: Planning and investment processes are climate proofed and specific programs have been formulated and operationalised for long-term adaptation to reduce climate change vulnerabilities OP 2 Output 1. 3.2: Resilience of at-risk and vulnerable groups to natural hazards is enhanced, and nationally relevant aspects of international agreements on disaster risk management are implemented OP2 Output 1.3.3: A national system for Reduced Emissions from Deforestation and forest Degradation (REDD), and Nationally Appropriate Mitigation Actions (NAMAs) for a number of strategically chosen sectors and localities are formulated and operationalized with clear potential benefits  OP2 Output 1.3.4: National long-term climate change strategy and green economy/low carbon strategy operationalized, which are based on the national development vision (SEDS) while building on the National Target Programme results** | | | | | | | | | | | |
| **OUTCOME 1. Institutional capacity for responding to climate change by the National Committee on Climate Change and focal points at relevant ministries and localities improved** | | | | | | | | | | | |
| **Output 1.1: Capacity for the Office of the National Committee on CC strengthend; Activities of the Vietnam Panel on Climate Change supported; Capacity building for OCCA under Ministry of Agriculture and rural Development supported (to support the implementation of Task 6 and 7 of the Strategy)** | | | | | | | | | | | |
| **Indicators:**   1.# of office equipment for NCCC office 2. Draft proposal on establishment of Vietnam Panel on CC submitted to PM for approval 3: Coordination workshops/Dialogue of MARD  **Baseline:** 1+2.NCCC and NCCC Office established in 2012 3. OCCA established in 2008  **Targets:** 1. 01 Laptop, 02 desktops; 02 printers 2 01 draft proposal of Vietnam Panel on CC submitted to Prime Minister for Approval; 3: 02 Climate change coordination workshops/dialogues of MARD  **MoV:** 1. Draft proposal on establishment of Vietnam Panel on CC submitted to PM for approval; 2. Drafted report on CC strategic orientation for Vietnam after 2015 3. Workshop minutes/reports | *Activities result 1.1.1: Procure office equipments for NCCC office* | x |  | MONRE (DMHCC) | 04000 | 00012 | 72200 | Office machinery | 5,000 |  |  |
| *1. Activities result 1.1.2: Activities of the Vietnam Panel on Climate Change (VPCC) supported* |  |  |  |  |  |  |  |  |  |  |
| - Action: Procure consultant group to implement the following tasks: +To develop the draft proposal on establishment of VPCC and working regulation and decision on establishment of VPCC;+ To prepare the initial plan for technical support and policy advisory on responding to climate change at central and provincial levels;+ To hold 02 consultation workshops on: (i) working regulations, decision on establishment of VPCC, (ii) Initial plan for technical support and policy advisory on responding to climate change at central and provincial levels | x | x | MONRE(DMHCC) | 04000 | 00012 | 71300 | 03 Local Consultants | 21,100 |  |  |
| - Action: Organize coordination workshops to share and update information on climate change response activities within MARD agencies | x | x | MARD | 04000 | 00012 | 75700 | Workshop | $10,000 |  |  |
| ***Sub Total 1.1*** |  |  |  |  |  |  |  |  | ***36,100*** |  |  |
| ***Output 1.2. Strengthening capacity in developing and implementing action prorammes to respond to climate change and integrating climate change issues into socio-economic development strategies and plans in two pilot provinces (Quang Ngai and Lai Chau)*** | | | | | | | | | | | |
| **Indicators:**A review of current action plan to respond to climate change in Lai Chau and Quang Ngai  **Baseline:** All provinces have provincial Action plan to respond to CC for the period 2016-2020  **Target:** A draft review on gaps and opportunity to increase provincial plan in allignement with National Climate Change Strategyand priorities **MoV:** Report of the consultant | *Activities result 1.2.2. Piloting capacity building and supporting the implementation of a number of responses to climate change in two provinces (Quang Ngai and Lai Chau)* |  |  |  |  |  |  |  |  |  |  |
| - Action: review the implementation of the Action plan and identify needs for advance action plan on climate change adaptation for 02 provinces (Quang Ngai and Lai Chau) | *x* | *x* | *MONRE (DMHCC)* | *04000* | *00012* | *75700* | *Workshops* | ***12000*** |  |  |
| ***Sub Total 1.2*** |  |  |  |  |  |  |  |  | ***12,000*** |  |  |
| ***Output 1.3.: the complement of institutions and policies on climate change reviewed, evaluated and proposed (to support the implementation of Task 1, 6 and 9 in the Strategy)*** | | | | | | | | | | | |
| **Indicator:**  CC issues integrated in the draft Law on Metorology and Hydrology; Draft of Climate change action plan of ARD sector for period 2016-2020 and vision to 2050   **Baseline:**  - First draft of Law on Metorology and Hydrology with integration of climate change issues. - Action Plan on Climate change iof agriculture and rural developmetn sector period 2011-2015 and vision to 2050   **Target:** Final draft of Law on Metorology and Hydrology  **MOV:**  Law on Metorology and Hydrology; 1st Draft of Climate change action plan of ARD sector for period 2016-2020 and vision to 2050 | *Activity result 1.3.2. New policies on climate change and supporting the implementation of the policies developed* |  |  |  |  |  |  |  |  |  |  |
| - Action: Report on the role and duties of the Hydrometeorological activities in response to climate change, and propose regulations on responses to climate change in the Law on Hydrometeorology in terms of technical issues | x | x | MONRE (DMHCC) | 04000 | 00012 | 71300 | Local Consultant | 5,000 |  |  |
| - Action: Report on State management and other legal requirements of Hydrometeorological sector to respond to climate change in the Law on Hydrometeorology in terms of legal issues | x | x | MONRE(DMHCC) | 04000 | 00012 | 71300 | Local Consultant | 5,000 |  |  |
| Regional consultation workshop on the draft Law on Hydrometeorology in the Southern region: Focus on the role of hydrometeological activities in responding to climate change, strengthening capacity for climate change monitoring and evaluation system. | x |  | MONRE (DMHCC) | 04000 | 00012 | 75700 | Workshop | 16,000 |  |  |
| 03 Writeshops on reviewing and completion of the draft Law, the supporting documents and reports for the development of the Law on Hydrometeorology and outlines of by-law guiding documents with focus on integration of climate change issues into the draft Law. | x | x | MONRE (DMHCC) | 04000 | 00012 | 75700 | Meetings | 14,000 |  |  |
| Review and update climate change action plan of agriculture and rural development sector for the period 2016-2020 and vision to 2050 | *x* | *x* | *MARD* | *04000* | *00012* | *71300* | *Local Consultant* | 10000 |  |  |
| ***Sub Total 1.3*** |  |  |  |  |  |  |  |  | **50,000** |  |  |
| ***Output 1.4.: The effectiveness of Viet Nam's international negotiations on climate change improved (to support the implementation of task 9 in Strategy)*** | | | | | | | | | | | |
| **Indicators:**   1. # of Workshop,  2. Programme on international CC negotiations for the 2014-2015 period ;  3. Viet Nam's annual negotiations scheme;  4. # of Negotiators participate in COP 20 and UN summit 5. # of office equipments  **Baseline:**  Vietnam Working Group on international cliamte change negotiations established in 2013; Programme on international climate change negotiations from COP 1 to COP 19  **Target:** 1. 01 Pre-COP workshop is organized ;  2. 01 Programme on international climate change negotiations for the 2014-2015 period and orientation to 2020; 3. 01 Viet Nam's annual negotiations scheme is developed; 4. (02) Negotiators from MONRE and (01) negotiator from MARD to participate in COP 20; 01 negotiator from MONRE to attend the UN summit 5. 1 laptop, 2 desk top and 1 printer  **MOV:**  1. Pre-COP workshop report 2. Programme on international CC negotiations for the 2014-2015 period;  3. Viet Nam's annual negotiations scheme is developed;  4. Oversea reports. | *Activity result 1.4.1. Updating information about pre-COP and post-COP international negotiations on climate change for Vietnamese negotiators* |  |  |  |  |  |  |  |  |  |  |
| - Action: Supporting the implementation of the Proposal on international climate change negotiations for the 2014-2015 period; Supporting the development of Vietnam's position at COP 20 | x | x | MONRE (DMHCC) | 04000 | 00012 | 71300 | Local Consultants | 8,000 |  |  |
| - Action: Consulation workshop on the implementation of the Proposal on international climate change negotiations for the 2014-2015 period |  | x | MONRE (DMHCC) | 04000 | 00012 | 75700 | Workshop | 5,000 |  |  |
| - Action: Oganizing Press Conference after COP 20 |  | x | MONRE, UNDP | 04000 | 00012 | 75700 | Workshop | 5,000 |  |  |
| Supporting (02) negotiators from MONRE to participate in COP 20 (29th Nov 2013 to 13th December 2014), 01 negotiator to UN climate summit (23rd September 2014, NewYork), ADP 6 (Bonn, Germany 8 days, Oct 2014) | x | x | MONRE (DMHCC) | 04000 | 00012 | 71600 | Travel | 18,110 |  |  |
| Supporting (01) negotiator from MARD to participate in COP 20 (29th Nov 2013 to 13th December 2014) and the other CC internal conference |  | x | MARD |  |  |  |  | 10,000 |  |  |
| *Activity result 1.4.2. Capacity for the Secretariat of the Viet Nam Working Group on international climate change negotiations is built.* |  |  |  |  |  |  |  |  |  |  |
| Procure office equipments for Secretariat of the Viet Nam Working Group on international climate change negotiations | x |  | MONRE (DMHCC) | 04000 | 00012 | 72200 | Office machinery | 5,000 |  |  |
| ***Sub Total 1.4*** |  |  |  |  |  |  |  |  | **51,110** |  |  |
| **Sub Total 1** |  |  |  |  |  |  |  |  | **149,210** |  |  |
| **OUTCOME 2. Scientific and technical capacity strengthened for the development and implementation of adaptation and mitigation activities** | | | | | | | | | | | |
| **Output 2.1: Updating researches and assessments on climate change (to support the implementation of task 8 in Strategy)** | | | | | | | | | | | |
| **Indicators:** 1. # writeshop on scenarios of climate change and sea level rise  2. SREX summary report **Baseline:** 1. IMHEN is developing the update CC&SLR for VN  2. Draft SREX for VN **Targets:** 1. First draft of the the update CC&SLR for VN 2. SREX summary report  **MOV.:** 1.the update CC&SLR for VN 2. SREX summary report | *Activity result 2.1.1. Scenarios of climate change, sea level rise for Viet Nam updated* |  |  |  |  |  |  |  |  |  |  |
| Cooperating with international partners (Hadley, CSIRO, MRI of Japan) to compute updates of scenarios of climate change and sea level rise for Viet Nam based on the IPCC's Fifth Assessment (AR5) | *x* | *x* | *MONRE (IMHEN), UNDP* |  |  |  |  | 0 | *UNDP procures* |  |
| Suport IMHEN expert to Japan for 2 months to run the MRI model for Viet Nam in colaboration with the Meteorological Research Institute in Japan and bring data to Viet Nam for analysis | *x* | *x* | *MONRE (IMHEN)* | 04000 | 00012 | 71600 | Travel | 15,000 |  |  |
| Organising writeshop on climate change and sea level rise scenarios | *x* |  | *MONRE (IMHEN)* | *04000* | *00012* | *75700* | *Workshop* | 10,000 |  |  |
| *Activity result 2.1.2. Viet Nam's SREX developed and disseminated* |  |  |  |  |  |  |  |  |  |  |
| Review the Viet Nam's SREX and its summary report for policy maker | x | x | MONRE (IMHEN) | 04000 | 00012 | 71300 | Local Consultant | 12,500 | Procurement takes a long time. |  |
| Write shop for the Summary report for making policies on natural disaster prevention and control, and climate change responses | x |  | MONRE (IMHEN) | 04000 | 00012 | 75700 | Workshop | 5,000 |  |  |
| Organize 02 Consultation Workshops on the Viet Nam's SREX report | x | x | MONRE (IMHEN) | 04000 | 00012 | 75700 | Workshop | 10000 |  |  |
| Design and print the Viet Nam's SREX and its summary report |  | x | MONRE (IMHEN) | 04000 | 00012 | 72100 | Contractual Ser-Companies | 10000 |  |  |
| Viet Nam's SREX Launching workshop |  | x | MONRE (IMHEN), UNDP | 04000 | 00012 | 75700 | Workshop | 3000 |  |  |
| ***Sub Total 2.1*** |  |  |  |  |  |  |  |  | ***75,500*** |  |  |
| **Sub total 2** |  |  |  |  |  |  |  |  | **75,500** |  |  |
| **3. Human Resources and Project Management** | | | | | | | | | | | |
| **Human Resources** | International Technical Advisor |  | x | UNDP | 04000 | 00012 | 71400 | Project Personnel | 0 | UNDP recruitment |  |
| Indicator: 1. Project staff 2. Kickoff workshop Targets: 1. Full occupation 2. 01 Kickoff workshop organized Base line: 1. DPO approved 2. Project approval Decision. MoV: 1. Project activities implemented  2. Kickoff workshop report. | Project Manager | x | x | MONRE | 04000 | 00012 | 71400 | Project Personnel | 10,000 |  |  |
| National Policy Advisor | x | x | MONRE | 04000 | 00012 | 71400 | Project Personnel | 16,800 |  |  |
| Project officer on communication cum technical Officer | x | x | MONRE | 04000 | 00012 | 71400 | Project Personnel | 10,200 |  |  |
| Accountant | x | x | MONRE | 04000 | 00012 | 71400 | Project Personnel | 5,700 |  |  |
| Procurement Officer cum Technical Officer | x | x | MONRE | 04000 | 00012 | 71400 | Project Personnel | 9,500 |  |  |
| Administration Officer cum Translator | x | x | MONRE | 04000 | 00012 | 71400 | Project Personnel | 5,700 |  |  |
| ***CIP-IMHEN*** |  |  |  |  |  |  |  |  |  |  |
| Project Coordinator (part-time) | x | x | MONRE (IMHEN) | 04000 | 00012 | 71400 | Project Personnel | 6000 |  |  |
| Technical Officer (part-time) | x | x | MONRE (IMHEN) | 04000 | 00012 | 71400 | Project Personnel | 5,100 |  |  |
| Accountant cum Administrator (part- time) | x | x | MONRE (IMHEN) | 04000 | 00012 | 71400 | Project Personnel | 2,490 |  |  |
| ***CIP-MARD*** |  |  |  |  |  |  |  |  |  |  |
| Project Coordinator | x | x | MARD | 04000 | 00012 | 71400 | Project Personnel | 10000 |  |  |
| Accountant cum admin | x | x | MARD | 04000 | 00012 | 71400 | Project Personnel | 4,500 |  |  |
| Technical Specialist (part-time) | x | x | MARD | 04000 | 00012 | 71400 | Project Personnel | 4250 |  |  |
| **Project management** | PMU Travel expenses | x | x | MONRE, MARD | 04000 | 00012 | 71600 | Travel | 1,500 |  |  |
|  | UNDP Support to Project development and Effectiveness - DPC | x | x | UNDP | 04000 | 00012 | 71400 | UNDP DPC | 15,000 |  |  |
|  | Procurement of car for VPCC | **x** |  | UNDP | 04000 | 00012 | 72200 | Transportation equipment | 35,000 | 7 seats, 4WD, new model 2014 |  |
|  | *Office equipment for PMU* | **x** |  |  |  |  |  |  |  |  |  |
|  | DMHCC (Laptop, PCs, printers, photocopier, scanner, fax, telephone, camera) | **x** |  | MONRE | 04000 | 00012 | 72800 | Computer equipment | 25,000 |  |  |
|  | CIP-IMHEN (Laptop, PCs) | **x** |  | UNDP | 04000 | 00012 | 72800 | Computer equipment | 2,500 | UNDP Procure |  |
|  | CIP-MARD (Laptop, PCs) | **x** |  | MARD | 04000 | 00012 | 72800 | Computer equipment | 2500 |  |  |
|  | Office expenses (stationary and Office supplies) |  |  |  |  |  |  |  |  |  |  |
|  | DMHCC | **x** | x | MONRE | 04000 | 00012 | 72500 | Office Expense | 1,500 |  |  |
|  | CIP-IMHEN | **x** | x | MONRE (IMHEN) | 04000 | 00012 | 72500 | Office Expense | 500 |  |  |
|  | CIP-MARD | **x** | x | MARD | 04000 | 00012 | 72500 | Office Expense | 500 |  |  |
|  | Misc. | **x** | x | MONRE | 04000 | 00012 | 74500 | Miscellaneous |  |  |  |
|  | DMHCC | **x** | x | MONRE | 04000 | 00012 | 72500 | Office Expense | 1,000 |  |  |
|  | CIP-IMHEN | **x** | x | MONRE (IMHEN) | 04000 | 00012 | 72500 | Office Expense | 500 |  |  |
|  | CIP-MARD | **x** | x | MARD | 04000 | 00012 | 72500 | Office Expense | 500 |  |  |
|  | *Organize project kick off workshop with all implementing agencies and partners* |  | x | MONRE, MARD, UNDP | 04000 | 00012 | 75700 | Workshop | 5,000 |  |  |
|  | *Preparation of project inception and finalization of LoA with MARD and IMHEN* | **~~x~~** |  | MONRE |  |  |  |  |  |  |  |
| **Sub Total 3** |  |  |  |  |  |  |  |  | **251,240** |  |  |
| **TOTAL AWP 2014** | | | | | | | | | **$395,950** |  |  |

# Management Arrangements

*Explain the roles and responsibilities of the parties involved in managing the project.*

*Please refer to the* Project *to complete this component of the template.*

*Use the diagram below for the composition of the Project Board.*

**Steering Committee**

**MONRE, MARD, UNDP**

**UNDP**

International Expert

UNDP Officer

**National Project Director**

**DMHCC**

**Project Management Unit**

**DMHCC**

- Project Manager;

- 02 National Policy Advisors;

- Communication Officer cum technical Officer;

- Accountant cum admin;

- Procurement Officer cum technical Officer;

- Translator cum admin.

**Component**

**IMHEN, MONRE**

**Component**

**OCCA, MARD**

*Suggested sub-headings in this component may include:*

* *results of capacity assessment of implementing partner*
* *UNDP Support Services (if any)*
* *collaborative arrangements with related projects (if any)*
* *prior obligations and prerequisites*
* *a brief description/summary of the inputs to be provided by all partners*
* *audit arrangements*
* *agreement on intellectual property rights and use of logo on the project’s deliverables*

# Monitoring Framework And Evaluation

Monitoring of project implementation and progress reporting will follow HPPMG. The approved Annual Work Plan as well as M&E Framework (with key results, baseline, output indicators, required data and means of data collection, etc.) will serve as the basis for monitoring and assessing the results of the project. The NIP will develop plan for monitoring and evaluation of the project in accordance to HPPMG. Key monitoring, overseeing, evaluation and reporting activities include:

***At project activity result/activity level:*** quarterly progress and financial reports of the NIP of project; NIP/PMU applying monitoring, overseeing and evaluating the quality of policy research products/TA products of the service providers; quality assurance and monitoring activities of UNDP (including micro-assessments and/or spot checks as well as regular monitoring visits), etc.

***At project result (target/output target) level:*** (i) Annual Review Meeting of the PMU with related partners, with the annual progress (including: progress toward achieving the project’s AWP results based on the set targets, indicators and baseline as well as the quality criteria, updates on issues and risks, implementation and management issues raised and recommended solutions) and financial reports of project to be provided by the NIP; (ii) Joint Review Missions and related reports of GACAs-UNDP; (iii) final project review meeting will be conducted just before project end to review the overall achievement of project implementation, fulfilment of outputs/results of the project against its set objectives/targets, impacts or future impacts of the project, its relevance in the country context and management efficiency and lessons learned, the end of project progress report to be prepared and submitted by the IP will be used as input for the final project review meeting.

The key activities are further specified with the following implementation framework:

|  |  |  |
| --- | --- | --- |
| **Monitoring and Evaluation Activities** | **Responsible Parties** | **Timeframe** |
| Quarterly Progress and Financial Reports | PMU and UNDP | Quarterly |
| Annual Progress and Financial Reports | PMU and UNDP | Annually |
| Annual Review Meeting | PMU and related partners | Annually |
| Quality monitoring and assurance of project products (researches, trainings, pilots, etc.) | PMU and UNDP | During project implementation |
| Regular Monitoring Visits | UNDP | As required, but at least twice per year; |
| Spot Checks | UNDP | To be determined based on the IP’s micro assessment results. |
| Joint Review Missions of GACAs-UNDP | GACAs and UNDP | During project implementation |
| Final Project Review | MONRE, GACAs, other related partners | One month prior to completion of project |

**Quality Management for Project Activity Results**

|  |  |  |  |
| --- | --- | --- | --- |
| **OUTPUT TARGET 1: Institutional capacity for responding to climate change by the National Committee on Climate Change and focal points at relevant ministries and localities will be improved** | | | |
| **Activity Result 1.1.** | *Strengthening capacity for the Office of the National Committee on Climate Change; supporting activities of the National Advisory Council on Climate Change; Supporting capacity building for OCCA under Ministry of Agriculture and rural Development* | | Start Date: Q3/2014  End Date: Q4/2017 |
| **Purpose** | Enhance capacity of national human resources of CC institutions and its effectiveness in providing technical public service  *Support the implementation of Task 6 and 7 of the Vietnam National Climate Change Strategy which was approved 2012* | | |
| **Description** | * + 1. Strengthening capacity for the Office of the National Committee on Climate Change.     2. Strengthening capacity for the National Advisory Council on Climate Change     3. Strengthening capacity and supporting coordination activities on climate change of MARD | | |
| **Quality Criteria** | | **Quality Method** | **Date of Assessment** |
| Increased technical inputs and effective policy and technical advisory of national CC institutions | | * Project’s quarterly and annual report * Annual reports by Office of NCCC | * Every quarter and annually |
| **Activity Result 1.2.** | *Strengthening capacity in developing and implementing action programmes to respond to climate change and integrating climate change issues into socio-economic development strategies and plans in two pilot provinces* | | Start Date: Q3/2014  End Date: Q4/2017 |
| **Purpose** | Demonstrated options for provinces in accelerating the implementation of prioritized climate change actions | | |
| **Description** | 1.2.1. Strengthening capacity in developing and implementing action programmes to respond to climate change in relevant cities  1.2.2.: Piloting capacity building and supporting the implementation of a number of responses to climate change in two province | | |
| **Quality Criteria**  Provinces have more options and demonstrated practices for implementation of CC prioritized interventions on the ground | | **Quality Method**   * Project visits * Project’s quarterly and annual report * Provincial reports | **Date of Assessment**   * Every quarter and annually |
| **Activity Result 1.3.** | *Reviewing, evaluating and proposing the complement of institutions and policies on climate change* | | Start Date: Q4/2014  End Date: Q4/2016 |
| **Purpose** | Comprehensive legal and policy framework for Vietnam on Climate change in preparedness for international/regional and bilateral cooperation  *Support the implementation of Task 6 and 9 of the Vietnam National Climate Change Strategy which was approved 2012* | | |
| **Description** | 1.3.1. Reviewing and evaluating institutions and policies on climate change  1.3.2. Developing new policies on climate change and supporting the implementation of the policies | | |
| **Quality Criteria**  Availability of related policies/legal document that conform to the Vietnam’s legal development plan, international good practices, and positive social-economic and environmental impacts. | | **Quality Method**   * Project’s quarter and annual report * Technical reports and inputs from national and international experts/peer-reviews/policy briefs | **Date of Assessment**   * Every quarter and annually |
| **Activity Result 1.4.** | *International CC negotiation activities of Viet Nam are enhanced* | | Start Date: Q4/2014  End Date: Q4/2017 |
| **Purpose** | Increase the effectiveness of Vietnam participation into global climate change negotiation  *Support the implementation of Task 9 of the Vietnam National Climate Change Strategy which was approved 2012* | | |
| **Description** | 1.4.1. Updating information about pre-COP and post-COP international negotiations on climate change for Vietnamese negotiators  1.4.2. Building capacity for the Secretariat of the Viet Nam Working Group on international climate change negotiations: | | |
| **Quality Criteria**  COP reports and technical reports of Vietnam delegation are well prepared and consulted with relevant stakeholders and UN high-level experts | | **Quality Method**   * Technical report/policy briefs * Annual report of CC negotiations | **Date of Assessment**  Annually |
| **OUTPUT TARGET 2: Scientific and technical capacity will be strengthened for the development and implementation of adaptation and mitigation activities** | | | |
| **Activity Result 2.1.** | *Updating researches and assessments on climate change* | | Start Date: Q3/2014  End Date: Q4/2017 |
| **Purpose** | Scientific knowledge and capacity in Vietnam are sufficiently supported to implement the priority task no. 8 of the National Climate Change Strategy | | |
| **Description** | 2.1.1. Scenarios of climate change, sea level rise for Viet Nam version of the year 2015  2.1.2. Developing and disseminating Viet Nam's Special report on Extreme Events  2.1.3. Report on information translator on climate change for Mekong Delta | | |
| **Quality Criteria**  Climate change scenarios, Mekong Delta CC information/plan and National reports received robust peer reviews from senior experts, both national and international, including relevant centres of excellence | | **Quality Method**   * Project’s quarterly and annual report * Engage qualified experts in peer reviews and their reports | **Date of Assessment**   * Every quarter and annually |
| **Activity Result 2.2.** | *Researching and applying some solutions and models for climate change adaptation and mitigation in the agriculture and rural development sector* | | Start Date: Q4/2014  End Date: Q4/2017 |
| **Purpose** | Identify effective mitigation measures for ARD sector and possibility for scale up  *Support the implementation of Task 5 of the Vietnam National Climate Change Strategy which was approved 2012* | | |
| **Description** | 2.2.1: Developing and implementing a pilot NAMA MRV for the agricultural sector  2.2.2. Research and review to eliminate inefficient climate unfriendly technologies in agriculture.  2.2.3. Developing and piloting some of green, sustainable and climate smart agricultural production models | | |
| **Quality Criteria**  Documented NAMA potential in the ARD sectors  Documented MRV in a sub-sector | | **Quality Method**   * Consultant reports * Annual project report and policy briefs | **Date of Assessment**  Annually |
| **OUTPUT TARGET 3: Statistical methods improved and conformed to international standards in all stages of data collection, processing, aggregation and analysis to provide timely and reliable statistical information for socio-economic development activities.** | | | |
| **Activity Result 3.1.** | *Developing and implementing a programme on training and communicating on climate change for target groups from the Central to local levels* | | Start Date: Q2/2013  End Date: Q4/2013 |
| **Purpose** | Increase the professional team of experts on climate change at all levels, particularly for the local level  *Support the implementation of Task 7 of the Vietnam National Climate Change Strategy which was approved 2012* | | |
| **Description** | 3.1.1. Training lectures and trainers on climate change for training facilities  3.1.2. Training materials on climate change | | |
| **Quality Criteria**  Training materials and curriculums are up to good practices international and regional  Gender, right-base approach will be mainstreamed | | **Quality Method**   * Project’s quarterly and annual report | **Date of Assessment**   * Every quarter and annually |
| **Activity Result 3.2** | *Raising community awareness and promoting the management of communication on climate change* | | Start Date: Q1/2013  End Date: Q4/2013 |
| **Purpose** | Accelerate Vietnam public awareness on Climate Change and social participation to respond to climate change at different level  *Support the implementation of Task 5 of the Vietnam National Climate Change Strategy which was approved 2012* | | |
| **Description** | 3.2.1. Raising community awareness and promoting the management of communication on climate change | | |
| **Quality Criteria**  Promote for multi-stakeholder participation into the awareness raising/training programme at different levels | | **Quality Method**   * Project’s quarterly and annual report * Training feedbacks | **Date of Assessment**   * Every quarter and annually |

# Legal Context

This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in the SBAA [or other appropriate governing agreement] and all CPAP provisions apply to this document.

Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP’s property in the implementing partner’s custody, rests with the implementing partner.

The implementing partner shall:

1. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
2. assume all risks and liabilities related to the implementing partner’s security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via<http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document”.

**ANNEXES**

1. Agreements: See attached draft LOA with 02 CIPs
2. Terms of Reference: TOR for key project personnel attached
3. Capacity Assessment: Results of capacity assessments of Implementing Partner (including HACT Micro Assessment) – See attached

**ANNEX 4. CAPACITY ASSESSMENT**

**Implementing Partner Checklist**

**Prepared by Department of Meteorology, Hydrology and Climate Change (DMHCC)**

**For formulating Capacity Building and support to the Implementation of the National Climate Change Strategy Project (CBICS)**

| **AREAS FOR ASSESSMENT** | **ASSESSMENT QUESTIONS** | **ANSWERS** | **REFERENCE DOCUMENTS AND INFORMATION SOURCES** |
| --- | --- | --- | --- |
| **PART I. BACKGROUND INFORMATION** | | |  |
| 1. History | Date of establishment of the organization: | The Department of Meteorology, Hydrology and Climate Change (DMHCC) under the Ministry of Natural resources and Environment was established in 2008 - at the Decision No. 997/QD-BTNMT dated 12 May 2008 of the Minister.  By 2013, Implementing Decree No. 21/2013/ND-CP March 4, 2013 of the Government defining the functions, tasks, powers and organizational structure of the Ministry of Natural Resources and Environment, Department of Meteorology, Hydrometeorology and climate Change to be re-defined functions, tasks, powers and organizational structure Decision No. 1269 / QD-BTNMT July 31, 2013 of the Minister of Natural Resources and Environment. | - Decision No.21/2013/ND-CP dated 4/3/2013 of the Prime Minister.  - Decision No. 997/QD-BTNMT dated 12 May 2008 of the Minister of Natural Resources and Environment.  - Decision No.1269/QĐ-BTNMT dated 31/7/2013 of the Minister of Natural Resources and Environment. |
| 2. Mandate and constituency | What is the current mandate or purpose of the organization?  Who is the organization’s primary constituency? | The Department of Meteorology, Hydrology and Climate Change (DMHCC) is an organization under the supervision of MONRE and has the functions of providing advising and assisting the Minister in managing and governing in the areas of meteorology, hydrology, monitoring of natural disaster forecasting/warning activities, coordination of activities related to climate change, and protection of ozone layer, which fall under the scope of MONRE’s responsibilities.  DMHCC is currently headed by Mr. Nguyen Van Tue as the General Director and Mr. Truong Duc Tri, Mr Nguyen Khac Hieu, Ms. Nguyen Binh Minh, Mr. Pham Van Tan, Deputy Director General. |  |
| 3. Legal status | What is the organization’s legal status?  Has it met the legal requirements for operation in the programme country? | - The Government Organisation Law dated 25 December 2001;  - Decree No. 21/2013/ND-CP dated 4/3/2013 of the Prime Minister.  - All these above mentioned legal basis has met the requirements of operation in the programme country. | - Government Organization Law;  - Decision No.21/2013/ND-CP dated 4/3/2013 of the Prime Minister.  - Decision No.1269/QĐ-BTNMT dated 31/7/2013 of the Minister of Natural Resources and Environment. |
| 4. Funding | What is the organization’s main source (s) of funds? | The Annual State Budget is the main source of funds of MONRE financing for DMHCC. | - Government Organization Law;  - Decision No.21/2013/ND-CP dated 4/3/2013 of the Prime Minister.  - Decision No.1269/QĐ-BTNMT dated 31/7/2013 of the Minister of Natural Resources and Environment. |
| 5. Certification | Is the organization certified in accordance with any international standards or certification procedure? | DMHCC is operating in accordance with the Government’s standards, rules and procedures |  |
| 6. Proscribed organizations | Is the organization listed in any UN reference list of proscribed organizations? | DMHCC hasn’t been listed in any UN reference list of proscribed organizations. | <http://www.un.org/sc/committees/1267/consolist.shtml> |
| **PART II. PROJECT MANAGEMENT CAPACITY** | | |  |
| **2.1 Managerial Capacity** | | |  |
| 1. Leadership Commitment | Are leaders of the organization ready and willing to implement the proposed project? | Commitments of leaders of DMHCC/MONRE have been shown through its leading role in developing the project’s CBICs to support the approval of the National target program to respond to Climate change. The project has been formulated under MONRE leaders’ direction. | Interviews |
| 2. Management experience and qualifications | Which managers in the organization would be concerned with the proposed project? What are their credentials and experience that relate to the proposed project? Do these managers have experience implementing UNDP or other donor-funded projects? | Deputy Director General of DMHCC would be expected to be the National Project Director. DMHCC was the National Implementing Partner.  Supporting the National Project Director will be leaders from divisions of DMHCC/MONRE who are experienced in managing many projects funded by different international organizations in support to the National Climate Change Strategy Project. | CVs of managers  Reports of past projects |
| 3. Planning and budgeting | Does the organization apply a results-based management methodology?  Are there measurable outputs or deliverables in the strategies, programmes and work plans?  Are budgets commensurate with intended results?  How do planners identify and accommodate risks? | Yes, DMHCC is the Organization does.  Annually, at the beginning of the year, DMHCC develop a work plan which consists of detail activities, strategy of DMHCC. The Annual work plan outlines objectives, outputs, targets and specific activities to be conducted in one year and to be submitted to MONRE. The work plan is an official document for DMHCC to direct its operation, to implement planned activities, and to monitor and evaluate progress during the year.  Yes, the budget commensurate with the intended results. Risks were normally identified in the AWPs or QWPs with highlighted key challenges and suggest measures to address the risks in the QWPs  In recent years, the Government has paid much attention to respond to Climate change, Climate change risk reduction activities and the implementation of the National program respond to Climate change as SPRCC, etc... | Quarterly, First and second 6- months report |
| 4. Supervision, review, and reporting | How do managers supervise the implementation of work plans? How do they measure progress against targets?  How does the organization document its performance, e.g., in annual or periodic reports? How are the organization’s plans and achievements presented to stakeholders?  Does the organization hold regular programme or project review meetings? Are such meetings open to all stakeholders?  Are the organization’s activities subject to external evaluation? How does the organization learn and adapt from its experience? | Project monitoring and evaluation (M&E) will be undertaken by the DMHCC (as the National Implementing Partner - NIP), by the three Co-implementing Partners (CIPs) with UNDP Technical Advisor and Programme Officer and independently recruited international and national consultants. A comprehensive M&E framework of the Project, based upon a draft M&E framework, will be developed further from Project inception.  Regular implementation reports will be prepared by the CIPs and submitted to the NIP who will compile and submit through the PMU to UNDP for inputs and agreements.  An anticipated reporting schedule will be in the form of bi-annual reports (according to an agreed timeframe and format requirements); a Mid-Term External Review (at the end of 2014); and a Final Independent Evaluation (at the end of 2016). Reports will be discussed extensively during frequent PMU meetings, coordination meetings with the CIPs and the annual Project Steering Committee meetings. The Project Steering Committee consists of representatives from relevant Departments in MONRE.  The PSC will meet once a year and make decisions and provide guidance for the implementation of Project activities, including approval of the AWP and project budget revisions. In case of disagreement, the MONRE appointed National Project Director (NPD) and UNDP can call for a meeting with the relevant parties.  The planned Mid-Term External Review and Final Independent Evaluation will assess the Project against internationally recognized evaluation criteria of relevance, efficiency, effectiveness, impact and sustainability. | Annual reports  Internal reports  Evaluation reports |
| 5. Networking | What other organizations are critical for the successful functioning of this organization? How does the organization conduct relations with these organizations? Is the organization a party to knowledge networks, coordinating bodies, and other fora? | DMHCC is responsible for co-operating with the Standing Office for the National target program to respond to climate change in implementing all its activities. Meanwhile, SPRCC is a system including relevant Ministerial Boards and Provincial Committee. SPRCC system would facilitate DMHCC to well implement its activities as assigned  Additionally, DMHCC has strong relationship with national and international NGOs, UN agencies and Social civil organizations. | Annual Reports |
| **2.2 Technical Capacity** | | | |
| 1. Technical knowledge and skills | Do the skills and experience of the organization’s technical professionals match those required for the project?  Would these professionals be available to the project?  Does the organization have the necessary technical infrastructure (e.g., laboratories, equipment, software, technical data bases, etc.) to support the implementation of the project?  How do staff members of the organization keep informed about the latest techniques and trends in their areas of expertise?  What external technical contacts and networks does the organization utilize?  What professional associations does the organization and/or its professional staff belong to? | DMHCC in coordination with relevant departments in MONRE own a system of officers and technical officers who are well educated with bachelor degrees and many of those have been receiving advanced technical trainings, international master degrees and doctorate degrees. Those officers will be mobilized to contribute to the project.  Officers of DMHCC are well trained in the latest techniques and trends in their areas of expertise and project development and management through participating in international, regional, national or local meetings and conferences, or learning via Internet, websites.  DMHCC works closely with international organizations as well as agencies from the central to local in National target program to respond to climate change. | CVs of technical officials  Annual reports  Reports from participation in international, regional, national or local meetings and conferences |
| **PART III. ADMINISTRATIVE AND FINANCIAL MANAGEMENT CAPACITIES** | | | |
| **3.1 Administrative capacity. Note: Answer only questions that are relevant to the proposed project.** | | | |
| 1. Facilities, infrastructure and equipment | Does the organization possess sufficient administrative facilities, infrastructure, equipment and budget to carry out its activities, particularly in relation to the requirements of the project?  Can the organization manage and maintain the administrative and technical equipment and infrastructure? | DMHCC will be provided an office by MONRE as well as basic equipment to support the project operation.  DMHCC is fully equipped with administrative facilities, equipment, furniture, IT equipment and a LAN network for its daily operation. There is an IT team who provide maintenance services for the whole office and almost problems related to IT in the office have been solved in-house by this team. DMHCC facilities, infrastructure and equipment are determined relatively good for implementing DMHCC tasks and duties.  DMHCC manages and maintains its administrative and technical equipment and infrastructure regularly |  |
| 2. Procurement and contracting | Does the organization have the legal authority to enter into contracts and agreements with other organizations? Does the organization have access to legal counsel to ensure that contracts are enforceable, meet performance standards, and protect the interests of the organization and UNDP?  Does the organization have dedicated procurement capacity? Do procurement personnel have skills and experience that are appropriate to the requirements of the project? Does the organization have written procurement procedures?  Is there evidence that the organization conducts procurement on the basis of best value for money, transparency, and effective international competition?  Does the organization have a system and procedures for asset management and inventory control? | DMHCC operates as an independent organization with its own accounts and seal. Hence, it has the legal authority to enter into contracts and agreements with suppliers and contractors.  Currently, procurement of DMHCC has been carrying out following the steps regulated in the Viet Nam bidding law and Decrees of the Government on guidance for bidding law implementation.  The whole procurement processes have been documented and recorded in the office documentation/filing system.  All original supporting documents and payment vouchers related to the procurements are maintained at the office.  DMHCC is fully capable in procurement and have staff with procurement certifications as per Procurement Regulations  The procurements have been undertaken on the basis of best value for money, transparency, and effective competition. All documentations are recorded for checking and reference and can be provided upon request.  DMHCC has a system and procedures of asset management and inventory control based on Vietnam law | Procurement manual  Standard contracts  Viet Nam Bidding Law  Decrees of the Government on guidance for Bidding Law implementation  Documentation on procurement professes, sampler contracts  Supplier data base  Audit reports  Interview with legal counsel  CVs of procurement personnel |
| 3. Recruitment and personnel management | Does the organization have the legal authority to enter into employment contracts with individuals  Does the organization have dedicated personnel capacity? Do recruitment personnel have skills and experience that are appropriate to the requirements of the project? Does the organization have written recruitment procedures?  Is there evidence that the organization conducts recruitment objectively on the basis of competition, fairness, and transparency?  Does the organization have a salary scale that would apply to project personnel? Would that scale inhibit the hiring of the best candidates? | DMHCC has its legal authority to enter into employment contracts with individuals labour contracts are signed directly between DMHCC and individuals.  DMHCC has dedicated personnel capacity. DMHCC has its Personnel & Administration Division in charge of recruitment and personnel.  Recruitment follows procedures of the Vietnamese government  The recruitment has been undertaken on the basis of competition, fairness and transparency.  Vacancy announcements have been posted widely on the newspapers for getting possible largest number of applicants for the vacant positions.  However, the job description consists of job requirements, qualifications and working experience.  The currently applied salary scale is the salary scale for government officer. | Personnel manual  Standard contracts and agreements  Audit reports  Job descriptions or terms of reference  Documentation of recruitment processes  Roster files of potential job candidates  CVs of recruitment personnel |
| **3.2 Financial Management Capacity** | | | |
| 1. Financial management organization and personnel | Does the organization have written rules and regulations for financial management that are consistent with international standards? Does the organization have a dedicated finance unit?  Do finance managers and personnel have skills and experience that are appropriate to the requirements of the project? Is the existing financial management capacity adequate to meets the additional requirements of the project?  Do finance personnel have experience managing donor resources? | DMHCC follows rules and regulations for financial management regulated by the Government. DMHCC has a dedicated division which is responsible for financial issues consisting of officers who have many experience years. Additionally, DMHCC has much experiences in managing a range of projects from different funds/resources.  Financial managers and personnel have skills and experience to meet requirements of the project. They have been trained and worked for different projects of UNDP and other donors.  The existing financial management capacity is adequate to meets the additional requirements of the project. We have a concrete system of financial management which follows rules and regulations and adequate human resource which has been trained to meet the requirements of the project.  DMHCC has done a series of projects funded by different resources as well as government budget. Therefore, finance staff has adequate experience in managing donor resources through their experience and trainings  DMHCC always ensured progress of annual work plan with high quality and disbursement ratio | CVs of financial personnel  A bank account or bank statements |
| 2. Financial position | Does the organization have a sustainable financial position?  What is the maximum amount of money the organization has ever managed? If the proposed project is implemented by this organization, what percentage of the organization’s total funding would the project comprise? | State budget is the main source of funding of MONRE/DMHCC and therefore, it has a very sustainable financial position. This shows that the government is paying more attention to climate change in Vietnam because of its increasing recognition of the importance of climate change sector and also one of the main reasons because of good and financial management and usage made by DMHCC.  MONRE/DMHCC has ever managed a significant proportion of fund that the Vietnamese government allocates to maintain the operation of the system under National climate change strategy. The resources would be different year by year depending on the situation of natural climate change. |  |
| 3. Internal control | Does the organization maintain a bank account? Does the organization have written rules and procedures on segregation of duties for receipt, handling and custody of funds? How does the organization ensure physical security of advances, cash and records?  Does the organization have clear written procedures and internal controls governing payments? How does the organization ensure that expenditures conform to their intended uses? Does the organization have a policy requiring two signatures for payments over a defined limit?  Is there any evidence of non-compliance with financial rules and procedures? | * DMHCC’s finance officials maintain the optional system for monitoring and recording receipts and disbursement of its activities. DMHCC’s funds are kept in 1 account in the State Treasury of Ba Dinh District. * The transactions are made through these accounts according to the policies, rules and regulations regulated by the Ministry of Finance. All original supporting documents and payment vouchers of DMHCC are maintained at DMHCC’ office. * The Internal Control system of DMHCC is compliant with the Viet Nam law on accounting and finance management in which the segregation of duties, 3 signatures are fully applied * With the projects funded by International Donors, DMHCC complied with Donor’s rules and regulations in managing and using the cash, advance and records for ensuring its physical security. * The expenditures were always matched to its intended uses and it was presented/recorded in the progress reports submitted and accepted by the Donors. * There is no evidence/finding of non-compliance with financial rules and procedures detected by the independence auditors. | Finance manual  Financial rules and regulations  Audit Reports |
| 4. Accounting and financial reporting | Are accounts established and maintained in accordance with national standards or requirements?  When and to whom does the organization provide its financial statements?  Can the organization track and report separately on the receipt and use of funds from individual donor organizations?  Is there any evidence of deficiencies in accounting or financial reporting? | * DMHCC bank accounts are established and maintained in accordance with national standards and the requirements of MOF and Viet Nam law on accounting and finance management. * DMHCC finance reports are submitted to MONRE * DMHCC tracks and reports are separately recorded in receipt and spendis of funds from individual/different donors. * There is no evidence/finding of non-compliance with financial rules and procedures detected by the independence auditors. | Description of accounting system and reporting arrangements  Financial reports  Audit Reports |
| 5. Audit | Is the organization subject regularly to external audit? Is audit conducted in accordance with international audit standards? Are audit findings public? If so, have the organization’s financial audits produced any significant recommendations for strengthening of financial systems and procedures? Have audits identified instances non-compliance with rules and procedures or misuse of financial resources? What has been done to carry out audit recommendations? | * State Audit Office conducts audit annually in compliant to the rules, charters regulated in the Viet Nam law on accounting and finance management. Audit findings are submitted to MONRE. Documents can be submitted upon request. Audit will be conducted according to Viet Nam law. Audit findings could be publicized as required, however, there has been no significant recommendations for strengthening of financial systems and procedures made by the financial audits. * With projects funded by International Donors, independent audits are defined by the Donors in accordance with international audit standards. DMHCC is always willing to work with the independent audit firms. * Audits have never identified instances non-compliance with rules and procedures or misuse of financial resources. * All follow-up actions were proposed by DMHCCC based on the audits’ recommendations and these follow-up actions have been carried out timely to improve the quality/progress in managing/implementing projects funded by international donors. | Audit reports  Audit follow up reports |