

**GOVERNMENT OF THE SOCIALIST REPUBLIC OF VIET NAM**

**UNITED NATIONS DEVELOPMENT PROGRAMME**

**"SUPPORT TO PAR IN HCMC 2007 - 2011"  
(SPAR HCMC, 2007 - 2010)**

*Brief description*

Cities are engines of economic, social and cultural development and critical to national prosperity. Yet rapid urbanisation is stretching the public administration capacities of Viet Nam's cities to efficiently control and harness inclusive and environmentally sustainable development. The objective of the project is to build the capacity of the Ho Chi Minh City Local Authority (HCMC People's Committee) in planning and management so that they are better able to achieve equitable and inclusive socio-economic growth and environmentally sustainable development.

To be implemented by HCM City People's Committee, the project will serve the purpose of *developing* and piloting a *new urban governance Model*.

In HCM City's endeavours to become a modern city and a key player in the region, the project will assist in pulling in and utilising international good practice. The lessons learned from HCM city as a "test bed" can be adjusted to local circumstances and adopted accordingly.

The project has a 48-month duration (2007-2011). The project's total budget is US \$ 3,652,000, including Government contribution.

## COVER PAGE

Country: Viet Nam

UNDAF Outcome(s): A system of governance based on the key principles of accountability, transparency, participation and equity, and consistent with the rule of law and democracy.

Expected Outcome(s): The capacity of the HCMC administration in planning and management is enhanced to better achieve equitable and inclusive socio-economic growth and environmentally sustainable development

Government priority area: Public Administration Reform

National Implementing Partner: HCMC People's Committee

Other Partners: Private Sector, Associations and NGOs.

Programme Period: 2007- 2011  
Project Title: 'Support to PAR in HCM City'  
Project ID: \_\_\_\_\_  
Project Duration: 4 years  
Management Arrangement: NEX

Budget  
General Management Support Fee US\$  
Total budget: US\$ 3,652,000 US\$  
Allocated resources:  
• TRAC **3,317,000 US\$**  
• Government 335,000 US\$  
• Regular \_\_\_\_\_  
• Other:  
○ Donor \_\_\_\_\_  
• In kind contributions US\$  
• Unfunded budget: 1,452,000 US\$

### **SIGNATURE**

**Agreed by (HCMC):** Nguyen Thanh Tai, Vice Chairman,  
HCM city People's Committee

Date:

**Agreed by (UNDP):** Setsuko Yamazaki, UNDP Country Director

Date:

## **PART 1: SITUATION ANALYSIS**

Since 2001 Viet Nam has initiated a thorough and long-lasting Public Administrative Reform (PAR) process, which has high importance to the national development. The Public Administration Reform (PAR) process, reflected in the PAR Master Programme 2001 – 2010, is being implemented in a phased approach with the support of the international community.

The National PAR Programme is covering four reform areas (institutional, organisational, human resource and financial). The Programme aims to build a robust and effective public administrative system operating on the basis of rule-of-law principles. The reforms are instrumental to a transition process towards a socialist market economy. They are, at the same time, a vital condition for the achievement of economic growth and poverty reduction targets, and for the country's further integration into regional and international markets.

With the largest population and economy in Viet Nam, Ho Chi Minh City is considered by the Government as one of the leading localities in public administration reform. Several pilot initiatives such as 'one stop shop', 'multi-departmental coordination team', 'public service delivery team', and the international quality management system ISO 9001:2000 have been introduced in the city. These reform initiatives have paid a considerable contribution to the rationalisation and performance efficiency of the city administrative agencies. They also contribute to improving service quality to business and the public in the context of socio-economic development and integration.

In the 2001-2005 period, economic growth rate of HCM city reached 11% per annum. The estimated average growth rate for 2006 – 2010 is over 12% per annum. Economic growth has brought about benefits but also generated challenging social and environmental problems. Therefore, investing in socio-economic development and ensuring competitive capacity of various economic sectors in the short and long term will be strategic goals for the City. At the same time, creating an effective, stable and sustainable governance environment in support of these goals is of considerable importance.

### **Key challenges**

#### **Urbanization and Urban Governance**

Cities in Viet Nam are growing fast<sup>1</sup>. The economic efficiency of urban areas is much higher than that in rural areas. The Ministry of Finance estimates that urban areas now contribute about 70 percent of the revenue and consume about 49 percent of the expenditures of the state. It is also estimated that HCMC contributes 30% to the country's GDP. It is estimated that by 2010 the urban population of Viet Nam will be 30 million (33% of the national population) and by 2020, between 45 and 50 million (45-50%). Since cities are the engines of economic, social and cultural development, inefficient management of cities can cause numerous problems that may adversely hinder economic growth and sustainable development. The challenge will be to manage cities in an efficient and sustainable manner.

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<sup>1</sup> Recently *Viet Nam News* reported that Viet Nam's urban centers are growing faster than any other country in the world causing serious "growing pains".

The speed of HCMC's accelerated economic growth is impressive but, at the same time, entails increasing challenges. Recent studies have shown that stratification between different social groups has increased, resulting in a growing polarization between the rich and poor. Despite significant economic improvements, HCM city is in face of many new difficulties in its urbanization process. They include the slow improvement in **education and health** care against the pace of economic development, problems in fresh water and sanitation facilities, acute housing and construction problems, a loss of architectural and spatial order, urban transport problems, and ineffective urban development planning and management. A recent study by UNEP among 22 Asian cities concluded that the concentration of PM10 (Fine Particulate matter which is a major threat to health and life) is "serious" in Beijing, Dhaka, Hanoi, Ho Chi Minh City, Jakarta, Kathmandu, Kolkata, New Delhi, and Shanghai.

To meet the needs for developing a metropolitan like Ho Chi Minh City, at the **City Party Congress VIII**, it was agreed to do research on and experiment a particular urban administration model for Ho Chi Minh City. Successfully experimenting this new urban administration model in Ho Chi Minh City will be a good example to replicate elsewhere in the country. The City is developing this scheme to submit to the Central Government, the National Assembly and the Politburo for their comments and approval. If ratified, this scheme will be supported by the new PAR Project to roll out pilot components with the adaptation of international knowledge and experiences.

Given the present status and role of HCMC in the overall development of Viet Nam but also considering the existing challenges faced by the city, the development of a system of governance based on the key principles of accountability, transparency, participation and equity, and in consistence with the rule of law and democracy is essential to achieve equitable and inclusive socio-economic growth and environmentally sustainable development.

### **"Socialisation" policy**

In recent years, HCM city has been active and innovative in the implementation of Government's "socialisation" policy with an aim to mobilise resources of non-public sectors into socio-economic development endeavour. Several departments have started "**socialisation**" initiatives in various sectors such as garbage collection, capital mobilisation for infrastructure development and maintenance services. However, most of them have **not widely expanded to other sectors and levels**. Moreover, there is an absence of a strategic policy and a clear rule to coordinate the implementation in this area.

The above context highlights the importance of developing HCMC's "soft infrastructure" of management that creates an enabling environment conducive to attracting private resources to finance HCMC's "hard infrastructure" of roads, public transport, power and communications as well as to provide other social development services.

### **Management Information Systems and City Marketing**

Improved quality of management decisions, better coordination and increased participation of **agencies and concerned partners** will largely depend on the systematic availability of adequate and easy accessible information. Several initiatives have already been developed within the different agencies in HCMC but not always in a

systematic manner. Additionally, much of the information required is yet available or outdated.

The fast urban and economic growth is demanding a constant update and smooth flow of information. The project, therefore, needs to support the city in enhancing capacity of a city wide information system, including updating missing or out of date information. Such a system, once developed, will provide the updated information for planning and decision making work. This system will also include the involvement of other stakeholders by the dissemination of information in a systematic manner. This will require an improvement and modernisation of the current computerized system that is used and updated by all agencies within the city.

In addition, modern cities not only have a service oriented attitude towards their citizens that make it easy to find information, making use and receiving services and filing complaints. A modern city is also constantly marketing itself to attract investors and improve their image.

### **Strengthening Performance Efficiency and Quality of the Administrative Machinery**

After the first phase of reform with innovative thinking, significant improvements of the local civil service have been made. However, HCMC administration still encounters numerous challenges. The administrative structures are not adequately developed to meet the accelerated urban and economic growth requirements. In some case there are still functional *overlaps* in management policies and coordination between departments. Administrative processes and procedures are considered inappropriate in the absence of a distinction between urban management and rural management. The PAR programme, therefore, needs to improve and rationalise the existing management structure, and establish a management modality to assist the city leadership to well manage the realisation of the stated objectives.

With UNDP support, in the past years HCMC has been the pioneer of deploying a Performance Management System (PMS) in Viet Nam. However, there are obstacles to move on with the system. They include, among other things, the lack of demand for application and mastering of PMS, weak bureaucratic cooperation and coordination, changes in position of highly placed champions, nonexistent central level policy frameworks, and an administrative culture that is not really conducive to PMS implementation. The challenge of designing and building a PMS in HCMC is big, and not to be underestimated. The construction of such a system is a serious undertaking, requiring strong effort and commitment and will not happen overnight. However, the PMS model piloted in HCM city should need a proper review and evaluation for further expansion.

### **Previous Support**

UNDP has been supporting the HCMC PAR process since 1998 with two consecutive project phases. The second project (2003 – 2005) completed almost all its outcomes in December 2006 and was extended to June 2007.

The two projects supported the city government in designing and implementing the decentralisation initiative under Decentralisation Decree. Tested in the four delegated functions (socio-economic investment and development planning; land and infrastructure management; budget management; and organization and personnel management) this initiative was seen as a driving force for change in the management

relationship the city administrative levels, providing good lessons to the central government in strategising its decentralisation policy.

Prominent among the support in strategic policy planning was the development of the "PAR Strategy and Sustainable Growth" paper. The document for the first time aligned the MDGs into the city's development strategy and outlined a more outcome oriented and pro-poor strategy for the PAR of the city in the 2005 - 2010 period.

Remarkable among the achievements in the second phase were the introduction of a series of new reform initiatives like PMS, Quality Management System (ISO), the deepening of One-Stop-Shop model and **Performance Management System (PMS)**. These experiments have contributed to enhancing accountability, transparency and local administrative and social service quality. On the other hand, they have been replicated in other locations and served as an input for national policy-making on PAR. The project has also set a good example in terms of Government commitment and leadership, and the substantive link between HCMC and the national PAR effort.

## **PART 2: STRATEGY**

### **1. Some issues of principle for the new project**

The proposed project 'Support to PAR in HCMC 2007-2011' reflects the strategic orientation given in Country Programme Action Plan (CPAP) agreed between UNDP and the Government of Viet Nam (GoV) which has been incorporated in the UN One Plan, as well as the priorities of the latter for the continued PAR process. The overall project goal is to increase the capacity of the HCMC administration and its partners in urban development planning and management so that they are better able to achieve equitable and inclusive socio-economic growth and environmentally sustainable development.

The CPAP focuses on: (a) Strengthening PAR steering and institutionalising tools for learning; (b) Developing alternative mechanisms for public service delivery including testing new tools for e-government and exploring opportunities in "**socialisation**" of public services; (c) Developing strategic management systems and quality standards including ISO and piloting public feedback.

The Government of Viet Nam has outlined National PAR Priorities and critical tasks for the second phase of the national PAR Master Plan (some of which are relevant to this project). They are listed below:<sup>2</sup>

- To renovate operational methods and strengthen the openness and transparency of the State's administrative agencies;
- To properly handle the stewardship-based relationship between administrative agencies and the citizens;
- Continue to reform the statutes on civil service and civil servants;
- Step up reform of organisation and operation of public service delivery agencies with focus on areas of education, healthcare, science & research, sports and games according to Resolution No. 8 of the GoV;
- Encourage the participation of people and society in the State management and public administration reform activities;

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<sup>2</sup> Presented by Dr. Thang Van Phuc, Vice Minister of MoHA and Secretary General of the national PAR SC at the international workshop 24-25 November 2006 in Hanoi.

- Strengthen the advocacy campaigns on public administrative reforms for civil servants, Party members, and enhance responsibility and awareness of each cadre and Party member in public administrative reform.

HCMC government has approved a PAR Action Plan for 2006-2010 in line with the above mentioned priorities, and also reflecting the specific reform needs for a mega city of 8 million people contributing 30% of Viet Nam's GDP. At the project completion workshop in January 2007, UNDP and the HCMC government agreed to continue cooperation in a new phase focused on further improving urban governance capacity and better promoting an enabling environment for public service delivery.

to achieve these targets, the new project shall provide support in the following interlinked areas: (i) Further streamlining of administrative procedures to meet public service requirements; (ii) Introducing modern civil service management systems (competitive recruitment, performance-based evaluation and pay, etc) to enhance the capacity and integrity of civil servants; (iii) Further expansion of "**socialization**" models; (iv) Expansion of Information and Communications Technology solutions in service areas, and; (v) Strengthening of PAR planning and management capacity and systems; and (vi) Further piloting and expansion of the Performance Management System (PMS) in socio-economic development urban development planning and management.

To ensure greater impact, it was also required that the new project should reflect the lessons of the previous phase and the requirements of new development context. They include, among others:

- a) the continued and stronger commitment for the HCMC government to the PAR process in general and the project in particular;
- b) the assurance of substantive and strategic links to strategic directions and goals. including those elaborated in the Country Document Action Plan (CPAP), national PAR Plans for the 2nd phase and the new donor support programme and to other (legal and judiciary, National Assembly and People's Council, anti-corruption, Gender Equality ) programmes;
- c) the maintenance of the double objective of responding to HCMC's reform requirements while promoting the replication of pilot initiatives in other locations and informing the national PAR process;
- d) the adherence to the Hanoi Core Statement on Aid Effectiveness and Decree 131 on ODA management, particularly with regard to the principles of result-orientation, national ownership and accountability in project design and implementation management; and
- e) the guarantee of the added-value of the project via the best utilisation of international comparative experience and advice that could provide options for reform and enhance the quality of ongoing efforts.

The terminal end-of-project evaluation<sup>3</sup> offered a number of Recommendations for Follow-Up Strategies & Actions:

- Continued use of HCMC as a pilot or incubator for introducing and implementing breakthrough reform initiatives;

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<sup>3</sup> Terminal Project evaluation report project VIE/02/010, Prepared by CeDRE. Malaysia

- Increased focus on using the expertise from HCMC PAR Project for replication of the successful pilot reforms in other provinces;
- Continued focus on competency-based human resource management and competitive or open recruitment (especially at the managerial levels), and other necessary support policies and systems;
- Use of HCMC as a role model for integrated urban development planning and urban renovation which will be a major focus area for Viet Nam in the coming years;
- Use of HCMC as a role model for the introduction and implementation of “socialisation” policies that serve socio-economic development goals; and
- Focus on project management and strategic macro planning capacity-building for top management in the HCMC People’s Committee (PC) and relevant departments.

## **Project Approach**

Based on lessons learned, the mentioned strategic orientations and the HCMC PAR Action Plan to 2010, a new approach regarding the PAR process in HCMC has been identified. The new phase of PAR reforms should be more outward-looking and incorporate also external drivers of change to ensure incremental realization of the long-term target to modernise HCM City and align HCMC to international best management practices.

The long-term outcome target for HCMC’s PAR plan, which at the same time also the direction for this new internationally supported PAR project, is as follows:

*The capacity of the HCMC administration and its partners in urban development planning and management is enhanced to better achieve equitable and inclusive socio-economic growth and environmental sustainable development.*

The implications of this outcome target are that:

- The governance system will become more effective and efficient to enable the local government authority to achieve transparent, efficient, effective and service-oriented standards;
- HCMC will introduce an integrated and forward looking urban development planning mechanism by improving coordination, plan making and decision making based on an efficient and newly introduced structure and modern management information systems;
- HCMC will become more demand-responsive and client-driven with respect to services to citizens and other service users.

The new phase of this project will be a substantial change from phase 1 and 2 and focus much more on Urban Governance rather than on the traditional PAR issues. Consequently, the strengthening of the civil service and its performance will be viewed as an integral part of a much broader local governance approach that includes also urban management and information for management. This will also mean that some of the achievements of Phase 1 and 2 will be further developed and institutionalized.

Phase 3, therefore, shall include tools and mechanisms to make further use of the pilots used in the previous phases and look at issues of city exchange, the development of manuals and dissemination of experiences.

The project should further promote innovation and a “test bed” role for HCMC city and Government PAR. Hence the project should prioritize the support that meets the change



requirements of HCMC. On the other hand, the project should also ensure that the achievable outputs are clearly linked to the outputs elaborated in the UN One Plan.

The project will also ensure that gender equity will be addressed throughout the implementation process.

The new project will have an inception period of six (6) months in which further details of the project will be agreed upon depending on the actual situation and within which a detailed M&E system will be developed.

## **Strategic Approaches**

The 'Support to PAR in HCMC 2007-2011' project represents a new approach that combines the strategic directions of the CPAP and PAR priorities of the city, the lessons learnt from phase 2 and the recommendation made at the end of phase 2.

The first and main result is therefore to assist the HCMC Government to further develop a New Urban Governance Model including the review of current rules and regulations, plans and plan making systems. The other 3 results are designed to support and supplement to achievement of the first one: **"Socialisation"** policy as an alternative to finance infrastructure and services; Management Information Systems (**MIS**) to ensure cross sectoral coordination, to improve service performance's efficiency and quality and to strategically link the work of the HCMC PC with the requirements of the People's Council.

Accordingly, the PAR HCMC project will support the HCMC PC in four different areas and will therefore achieve the following four results:

### **1. A new Urban Governance Model Developed**

In order to meet the needs for developing a fast growing metropolitan area like HCMC, the Politburo and Central Government have agreed with HCMC's recommendation (at the City Party Congress VIII) to use and research HCMC as an experimental model in urban administration. HCMC is presently developing this scheme to submit to Central Government, the National Assembly and the Politburo for their comments and approval. Implementation or piloting this model would include a change in the organizational structure, the development of new rules and regulations and related plans, and also a new financial system and legal framework. The model also aims to increase coordination among agencies (vertical and horizontal), encourage participation of major stakeholder groups and improve efficiency. The development of an Urban Governance Model will be the key result of this project and which the other results reviewed below will support.

In order to ensure enough capacity to adapt and implement the new structure in the HCMC PC, the project is proposing to develop an extensive Capacity Building (CB) programme. This PC wide CB programme will be developed with assistance of the project based on a city wide Training Needs Assessment (TNA). The project will also implement selected training courses of the city wide strategy mainly in the field of management and integrated urban development planning. Training courses will be practical and on the job, and will be supported by international experts in the related fields.

Finally, a pilot project on integrated urban development planning at local (commune or district) level will be designed and implemented.

2. **A framework for Socialisation developed and piloted in public services, infrastructure provision**

Several departments within the HCMC PC have started various forms of “socialisation”, but this has not been expanded to sectors and areas. Therefore, the development of a framework with clear rules and regulations that draws upon the experience from other countries would be helpful in guiding the staff involved in socialisation work. The project will support the PC to carry out an overall evaluation and analysis of the ongoing socialisation initiatives, and based on this, to develop a framework and a roadmap that guide the implementation in HCMC. This framework will be complemented by training programmes developed for PC staff and those working in the non-sector who similarly lack experience in counterpart relationship. It was therefore various departments of HCMC have suggested the development of a framework that supports the socialisation initiatives in the fields of:

- Public service delivery
- Infrastructure provision
- Services in cultural, educational, health and games and sports areas.

3. **A more efficient Management and Geographical Information System (MIS/GIS) developed for investors and entrepreneurs**

Adequate and easily accessible information is key to ensure proper urban development planning and decision-making in modern urban cities. Traditionally in fast growing cities, information is available but sometimes outdated, insufficient, and “hard to get”. An efficient Management Information System (MIS) and Geographical Information System (GIS), with up-to-date information, that is easily accessible by all would contribute to better coordination and provide a key resource in an improved government system at the local level.

Some departments and districts already have an operational MIS. Others have already introduced GIS as well. However, these systems are neither inter-connected nor available for all. This component will introduce a city wide computerized system that can be used by all departments and districts and, in some cases even, by the private and popular sector.

In support of implementation of the Law on Gender Equity, it is suggested that all MIS data should be sex-disaggregated.

In addition to make investors and residents aware of the changes and development of the city a marketing strategy should be developed. It should not only include promotional activities to the private sector but also include image building to explain to the general public that this local government is changing and trying to assist its citizens wherever possible within its capacity. The project will support HCMC in further developing its marketing strategy and a communication strategy to ensure that the activities of the city will be brought closer to its citizens. This will help in bringing the different parties closer together in the development process.

It is particularly important that the framework and structure, scope and scale, the user, the data and their connection with other systems of the city (GIS ..) and of the Govt. (UNDP-supported Portal of MIP on ODA ...) shall be carefully considered.

#### 4. **Improved performance efficiency and quality of administrative machinery and the PMS**

One of the HCMC PAR objectives for 2010 is to further build and develop high quality city staff with good conduct and integrity. As a basis for transparency and to provide guidance to civil servants, the first step is to develop a code of conduct (or a guide to service conduct) for the city's civil servants. A framework for selection, recruitment and promotion of some positions at district and department division was developed in phase II, but has yet to be implemented. A HCMC PAR task for 2010 is to establish an open and competitive personnel recruitment mechanism and develop satisfactory treatment policies to attract and retain highly qualified people.

There is a great opportunity to successfully expand the Performance Management System (PMS) in HCMC. The earlier phase's pilot schemes provided a base for review to build on and roll out this initiative in HCMC and to pioneer further components relating to quality performance management.

Only two components of PMS (Planning and Reporting) were piloted in the phase II. For the need for full development of the PMS that includes Output-Oriented Budgeting and Human Resource Management has already been discussed by some agencies. The project will therefore support further implementation of other components. The project will also further support the replication into other departments and districts in HCMC which will be done accordingly based on the overall and comprehensive evaluation of the PMS implementation in HCMC.

Performance assessment for public servants in HCMC is lacking a "right and suitable indicators systems". This is becoming a great challenge for implementing Government decrees 130/2005/ND-CP and 43/2006/ND-CP on implementing autonomous mechanisms respectively for administrative and public service agencies. The full PMS will help to develop performance indicators of the PC as a whole and set competency standards for public servants.

Moreover, the PMS approach will also be applied to assist the City government to strengthen capacity in managing the PAR programme. Prominent in this will be the development and functioning of a monitoring and evaluating (M&E) system. It is suggested to review the lessons learned during phase I and II regarding the introduction of PMS and the related activities undertaken by HCMC PC to serve that commencement of the new project.

The lessons learned from PMS implementation and the related civil service reform initiatives in HCMC will be very useful for other provinces in Viet Nam and should therefore be documented and disseminated.

#### **Gender**

In recent years HCM city has been active in the implementation of Government's gender-related policy as stated in the National Strategy for Advancement of Women till 2010 and the Action Plan till 2005 of the National Committee, resulting in the achievement of results in various national targets.

To date women representation in the local government system is relatively high (21 - 31% in the People's Council). At district and communal levels, 16.67 and 22.15% women take the leadership positions in the respective executive committees. At the city level, 21.7% of women take the management posts in departments and agencies.

However, constraints still exist in the awareness within the city government system as well as in the absence of action-oriented policies to promote gender equity in development. Hence, as a matter of fact women do not always have a real and increasing influence in decision-making processes<sup>4</sup>.

The project will assist the city government to further integrate gender balance and gender equality concern, as a cross-cutting issue, in the reform process. Accordingly, a number of mechanisms will be established to assure that this project will be gender responsive in all its actions and initiatives. These include:

1. Raising awareness of gender equality and women's empowerment issues. The project will continue to lend support to ensure that capacity is established within the HCMC PC to equip all managers with basic gender analysis skills;
2. Integrating gender equality considerations into project activities;
3. Prompting leadership of women through leadership training;
4. While increasing and enhancing the participation of women in all project activities as opportunities and conditions emerge, maintaining the floor of 30% women's participation in all activities;
5. Ensuring that all project contractors, trainers and advisory teams are gender-balanced; and,
6. Continuing the collection and management of sex disaggregated data, for monitoring and evaluation of activities to ensure that gender equality are fully addressed.

### **Other considerations**

The project framework should reflect and incorporate the importance of flexibility. PAR is a process, which should be able to adapt to and incorporate emerging needs recognising that it is not possible to predict all needs and the results of the strategies over the project implementation period. The project design should include one part, which is specified with goals and targets to the extent possible, and one part, which is reserved for the incorporation of emerging needs not yet identified or anticipated. Therefore it is suggested that the project have an inception period of six (6) months during which the project Log Frame and implementation arrangements can be fine tuned.

The UN system is being reformed under the comprehensive umbrella 'One UN' programme that covers also a harmonised project management system. The project will therefore reflect and respond to the adjustments in the One UN approach, especially in the area of project financial administration, project management and M&E.

In the same context, possible involvement of UN Habitat (the UN's specialised agency on urban development) will be considered during the inception phase and as part of the annual working plan process.

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<sup>4</sup> Report of HCM city on the Implementation of National Action Plan for Women Advancement – Period 2001 – 2005.

## **Main Beneficiaries**

The main beneficiaries of the project will be:

### Institutional:

- The HCMC People's Committee including departments, related districts and communes;
- The private sector participating in the "Socialisation" component and receiving better services; and
- Other non public sector participating in project activities or receiving better services;
- The HCMC People's Council (indirectly).

### Individual:

- Senior management in HCMC, through training and capacity building; and
- HCMC staff and entrepreneurs, participating in capacity development initiatives.

## **Major outcomes and outputs**

An overview of the intended outcome (as agreed in CPAP), the four project results and related outputs and output targets are presented in overview 1.1. This overview is further detailed in the Project Resources and Results Framework in Section II of this project outline. As illustrated in overview 1.1 the overall project outcome is specified in logically related intended outputs for each result and here further specified into achievable outputs or direct activities.

The PAR HCMC project is ambitious but is regarded realistic within a 4 year implementation period, given that HCMC's leadership continuously. This is based on the strong commitment of the HCMC government's leadership in the change process.

**Intended Outcome of the Agreed Country Programme between the Government of Viet Nam and UNDP**

**"A system of governance based on the key principles of accountability, transparency, participation and equity, and consistent with the rule of law and democracy"**

**PROJECT OUTCOME (OVERALL OBJECTIVE)**

**The capacity of the HCMC administration and its partners in urban development planning and management is enhanced to better achieve equitable and inclusive socio-economic growth and environmental sustainable development.**

Result 1

**Development of a new Urban Governance Model supported**

- 1.1 Urban management model further developed and implemented
- 1.2 CB Strategy for civil servants of various levels developed and implemented
- 1.3 Pilot project on integrated participatory (district, commune) urban development planning developed and implemented

Result 2

**A framework for Socialisation developed and piloted in public services, infrastructure provision**

- 2.1. "Socialisation" strategy framework for HCMC developed
- 2.2. CB programme on "Socialisation" developed and implemented
- 2.3. At least 3 pilot "Socialisation" models implemented

Result 3

**A more efficient Management and Geographical Information System (MIS/GIS) developed for investors & entrepreneurs**

- 3.1 City Wide MIS/GIS identified, designed and implemented
- 3.2 Awareness and marketing programme developed and implemented

Result 4

**Improved performance efficiency and quality of administrative machinery**

- 4.1. Performance of PC staff enhanced through PMS
- 4.2. PMS reviewed and evaluated

## **PART 3: MANAGEMENT ARRANGEMENTS**

In line with the principles of the Hanoi Core Statement on Aid Effectiveness, an important precondition for the success of the project is that the ownership and accountability is clearly vested with the HCMC government in project implementation. The support provided by UNDP is of supplementary character, bringing added value in the sense that it enables HCMC to implement the change process within a wider scope and more comprehensively than relying on existing capacities and resources. As such, it is anticipated that the project will benefit to a greater extent from comparative international best practice and the involvement of external expertise.

### **Counterpart Capacity Assessment**

HCMC has established a well-functioning and close partnership with UNDP and has been the executing agency for two previous PAR projects, generally rated successful. HCMC has demonstrated solid management capabilities on public administration reform and overall, has established a well experienced in-house staff on technical issues.

On the other hand, HCMC has little expertise and knowledge regarding new urban governance and management systems, integrated urban development planning and only limited expertise regarding new service delivery models and partnerships. The same is true when it comes to public participation and community involvement.

Lesson from Phase II also shows that experience of the city in result-based management is limited and it is therefore very important to mobilise adequate human resources and to ensure that management capacity and system for the Project Management Unit (PMU) are in place in the inception period. PMU members should also be the champions in the reform process and therefore not only be well qualified but also open minded and willing to change and adopt new approaches. They should be innovative, well connected (with the HCMC PC) and become 'change agents'.

To ensure the availability of the PMU's management capacity, staff will be trained with necessary skills in the inception period. It is also suggested that a capacity assessment of the PMU will be conducted at the end of the inception period.

In the first 6 months of project implementation, a scheduled audit will be conducted for Project financial management capacity. This audit will determine whether the "moderate risk" rating has been appropriate. Based on its findings, the audit recommendation will be made on necessary adjustments to the frequency/scope of assurance activities for the project.

### **International expertise**

Given the nature and scope of the SPAR HCMC project, which will align HCMC better to international practice and international integration, considerable international expertise is considered necessary to strengthen the already existing capacities. It include:

- Given the HCMC's experience in project implementation / project management, some but not full time international support is deemed necessary.

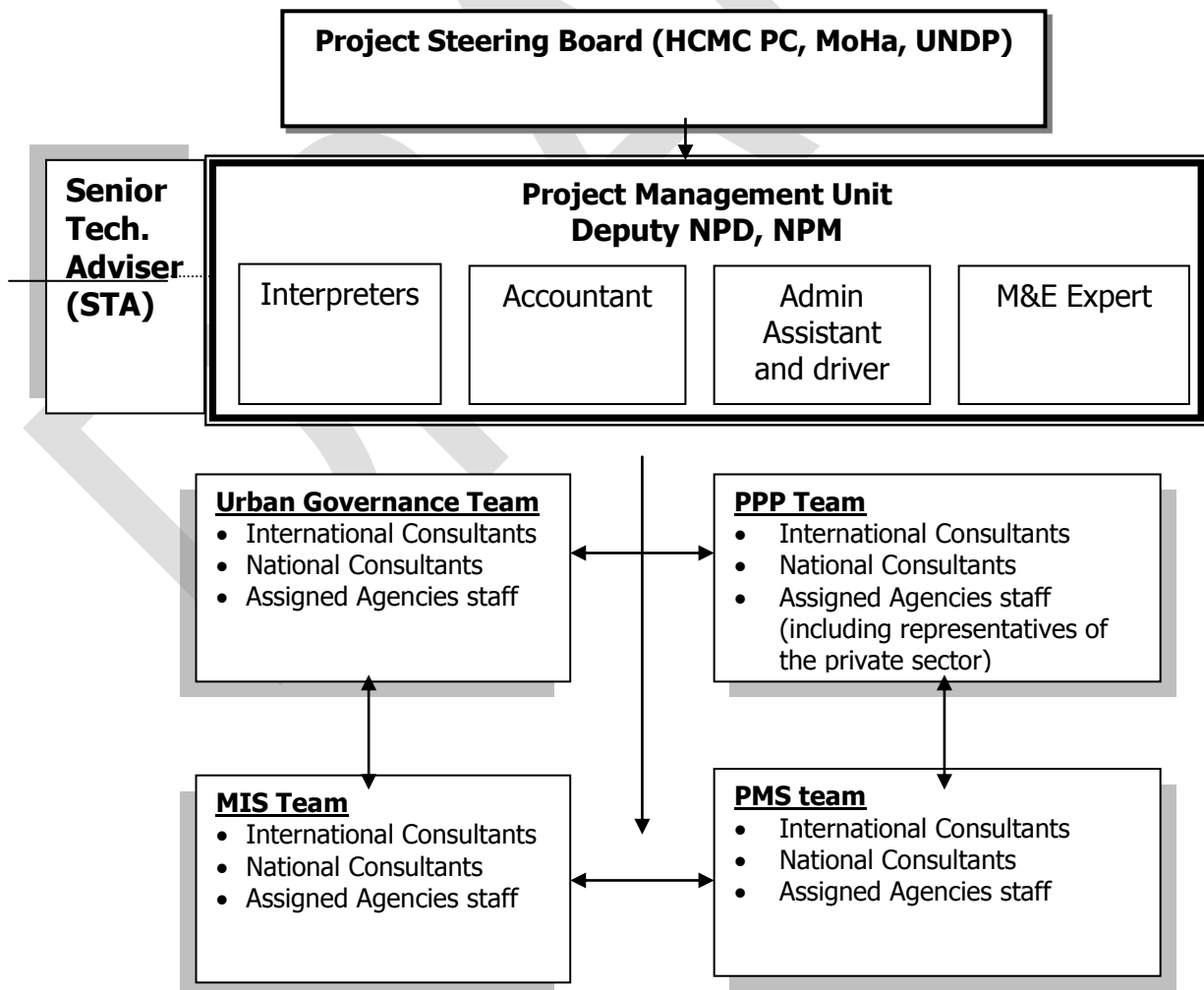
- Given the complexity and scope of the project it is believed that one part time resident Senior Technical Adviser (STA) could not cover all pertinent issues in a professionally satisfactory manner. .

## Management Arrangements

The project will be executed under the NEX modality. HCMC is the National Implementing Partner, with a Project Management Unit (PMU) being the Project focal point.

The Project Steering Board will allocate responsibility for day-to-day implementation and management to the PMU, comprising a part-time National Project Director (NPD), eventually also a Deputy National Project Director (DNPD), and a full-time National Project Manager (NPM). The later shall be recruited on a competitive basis according to NEX rules (see job description in Annex IV). The PMU will additionally be staffed by Project Interpreters, a Project Accountant (also responsible for procurement), a Project Administrative Assistant and an M&E expert.

For monitoring purpose, it is important that all correspondences and documentation are undertaken in English.





UNDP, via the National Programme Officer, will work closely with the PMU to ensure the timely planning of activities, the compliance of financial rules as well as the on time and quality implementation of project activities.

VIE/02/010 was basically completed by June 2006. To ensure that the new phase will be implemented on schedule, the following measures will be taken:

- Recruitment for all positions should take place immediately upon agreement and signature of the DPO document;
- The year one Annual Work Plan will include provisions to ensure that sound management conditions for the new project are put in place; and
- The facilities of the previous phase (VIE/02/010) will be kept operational.

As part of its in-kind contribution of the Government to the project, the HCMC PC will ensure the appointment of some designated staff and the allocation of office facilities.

### **Project Steering Board**

The PSB will include the Vice Chair of HCMC PC (NPD), (Deputy) Country Director of UNDP and representative of PAR Supporting Group of MoHA. The PSB will meet once or twice a year to decide on project strategic issues and linkages with the PAR Master Programme. UN Habitat and other agencies of the city may participate on request or at the invitation of HCMC PC.

The PSB will take decisions of strategic nature to facilitate the implementation of the project. Most importantly, the PSB will approve the Annual Work Plan, prepared by the PMU during the Annual Project Review, and take decisions on mid-year changes in project activities or financial allocations, if any.

A senior and experienced official of HCMC government shall be appointed as part-time National Project Director (NPD). The NPD, on behalf of the HCMC, will be accountable to the Government and to UNDP on the:

- Proper use of all resources assigned to the project;
- Substantive quality of outputs achieved;
- Timely implementation of agreed activities;
- Efficient use of inputs, including of international expertise; and
- Proper coordination of project stakeholders, external as well as internal.

### **Project Management Unit**

The capacity of the project to implement activities to ensure high quality and in line with agreed work plans directly linked to the presence of a strong project team and effectively managed project office. Therefore, a Project Management Unit (PMU) will be established and be comprised of a team of national staff, supported by national and international staff (See Job Descriptions of some positions in the Annex IV).

#### National Project Staff

- National Project Director (NPD) and his Deputy (DNPD), serving part-time (appointed by HCMC Government);
- National Project Manager (NPM), reporting to the NPD/DNPD and primary responsible for day-to-day implementation. This person will be recruited on a competitive basis responding to the job description (see annex IV);

- M&E expert responsible for setting up a proper internal monitoring system and supports the NPM in handling project progress reporting and monitoring work;
- Project Interpreter(s) and translator(s) (full time);
- Project Accountant, responsible for financial operations and procurement within the project;
- One Project Assistant, supporting the NPM in all pertinent aspects regarding administrative and other supporting works;
- Drivers and cleaning staff (will be provided in kind as part of Government contribution).

A Part time STA will be involved in the project (expected inputs will be 9 months a year in year 1 and 6 in the subsequent years). (S)He will connect with/bring in international experience, be involved in project management advice, setting up and implementing the M&E system. (S)he will assist in the identification and management of other anticipated national and international short term experts in the field of Integrated Urban development planning, Municipal Finance, Public Private Partnerships (PPP), Management Information Systems (MIS) and Performance Management Systems (PMS) .... (S)he will also be responsible for advisory support of the first result on urban governance model.

#### Additional international Project Staff

- An expert on Socialisation;
- An expert on Integrated and Strategic Urban development planning;
- An expert on Municipal Finance;
- An expert on Management Information Systems design and implementation;
- An expert on Performance Management Systems and Results-based M&E.
- Ad-hoc experts (to be decided to during inception phase).

It is envisioned that all international project staff will serve on part-time basis and be recruited separately either as individuals or as staff of international consulting companies. They will be selected and recruited in accordance with applicable NEX rules and procedures. Performance-based contracts will be issued for all staff to clarify lines of accountability, individual responsibilities and expected results.

Effectiveness will be ensured through the transfer of the office equipment, cars, photocopiers and other items acquired under the two previous phases/projects to the new project as per the NEX regulations. Additional procurement needs will be identified as part of the annual work planning process.

#### **Task Force Teams**

The Task Force approach has proven effective during previous PAR projects. This approach ensures full ownership and accountability that help delivery of result and participation of project's stakeholders.

Therefore, Task Force model will be introduced in this project. A Task Force will be allocated with responsibility for implementation of a specific target of the project and a respective part of the Annual Work Plan. Depending on the nature of support areas, a Task Force can be formed within a unit or across units. A typical Task Force will consist of key staff of the various departments and agencies, national and international consultants relevant for the thematic issues.

## **Annual Work Plans**

The allocation and expenditure of resources will be made in accordance with the Annual Work Plan. UNDP will provide funds to the project through a combination of quarterly advances and direct payments (upon request). Quarterly advances will be based on quarterly progress reports/financial reports and quarterly work plans/financial requests.

## **Intellectual Property Rights**

HCMC and UNDP have joint intellectual property rights for the outputs and products produced by the Project. When publishing papers and other material resulting from the project, the logos of the two organizations, as well as those of donors supporting the project must be included and attribution made to the project and the two organizations and donors.

## **Information, Education, Communication**

Information, education and communication (IEC activities) are essential elements of the project and a precondition for its success. The project will draw upon the information and communications efforts made in phase 2 and combine them in a more comprehensive MIS and PMS system that will be developed. The expansion will entail the provision of communication products in the Vietnamese language, innovative ICT solutions, and in an increase in the number of publications and their outreach. These activities will also serve the purpose of keeping project stakeholders – including national agencies and PAR donor partners – regularly informed about the progress and impact of the project. All activities are included under intended output 3.2.

## **UNDP Country Office Support**

Based on the previous experience in public administration and local governance reform in Viet Nam, the region and throughout the developing world, UNDP, with its neutrality and objectivity in support, is able to quickly identify and recruit national and international experts on an as-and-when required basis. In the context of the One UN reform programme, UNDP expands its extensive international network that could help HCM city to access internationally reputed experiences and practices in urban governance and project's other reform areas.

In practical terms, the HCMC may request support from the UNDP Country Office for implementation of project activities in addition to the regular support offered by UNDP. In addition UN Habitat could play an important role in providing support on technical urban development planning and urban governance issues. If such support is required, the HCMC will submit to the UNDP Country Office a standard request for support services, together with specific terms of reference, specifications or instructions as per the NEX regulations.

## **PART 4: MONITORING, EVALUATION AND REPORTING**

### **Monitoring and Reporting**

The project will be subject to monitoring and evaluation as outlined in the Provisional Guide for Project Management and the Harmonized Project Management Guide (HPMG) once approved by the UN and the Government of Viet Nam, and the legal provisions of Viet Nam related to the management and use of ODA in Decree 131/2006/ND-CP issued by the Government on 9 November 2006.

The following are the main monitoring instruments applicable for the project:

- Quarterly Project Progress Report
- Annual Project Progress Report
- Annual Project Review
- Project Visits or Field Visits
- Surveys for measuring impact of project on stakeholders perception
- Financial Reports.

Output targets are set out in the Project Results and Resources Framework in Annex II. They shall form the basis for a specific result-based monitoring system for the project, ensuring the best possible attainment of outputs and outcomes.

### **Evaluation and Audit**

The project will apply internal evaluations in relation to key outputs to systematically assess relevance and applicability of the applied approaches to ensure progress towards the achievements of outcomes. Specifically, the project will:

- Set up an internal monitoring and evaluation system to monitor project progress;
- The project will be subject to a mid-term review after two years of implementation, tentatively in mid 2009. The purpose of the review will be to assess the results achieved by the project by that date, but also to provide recommendations as required on the future focus, scope, exit strategy and implementation arrangements for the project;
- Subsequent to the mid-term review the PMU will initiate development of an exit strategy, assuming that HCMC shall be able to continue the PAR process and realisation of the outcome targets on its own funds after project end date;
- In second half of 2011 a terminal evaluation will be conducted. It is envisioned that the terminal evaluation should incorporate respective elements of UN/UNDP outcome evaluation. The purpose is to assess achievement of outcome targets and intended outputs, report lessons learned, feasibility of the exit strategy and provide recommendations for the future process towards the intended outcome.

The project will be subject to annual audits as per required in the Harmonized Project Management Guide (HPMG).

In addition, it is suggested that the project be subject to ad-hoc financial sport check during the Annual Work Plan implementation as per required.

## Risk Assessment

The project aims at fostering and stimulating development and implementation of a range of innovative approaches and ideas in HCMC. Also given the scope and scale of the project, it is important to consider potential risks that may impede progress and affect outcome achievement and strategy to mitigate them. An internal assessment made by the project formulation team based on output targets of the results framework indicated that although some of the intended outputs maybe difficult to achieve they are still worthwhile including in the project in order to stimulate an environment of change. Most of the expected problems were related to the risks indicated below.

<b>Risk</b>	<b>Risk Level</b>	<b>Mitigating Measures</b>
Changes in central Government machinery and structure	Medium	These changes have been approved before project's start; flexible design able to incorporate/respond to emerging needs; adjustment of approaches in the inception phase & in AWP process
Weak and uncommitted leadership	Medium	Visible leadership and commitment demonstrated via the PSB and participation in awareness activities Ad hoc and regular exchanges needed in project planning and implementation
Resentment among staff towards changes and reduction of benefits	Medium	Awareness activities systematically conducted; full transparency around the implementation process; international examples provided; strong and visible leadership support
Accessible international resource base too narrow for the project	High	Pool of well qualified international consultants will be supported by UN/UNDP regional and local network
Scope and magnitude of new approaches and requirement for behavioral change	Medium	Awareness activities and transparency in implementation process. International examples provided; possibility created to allow participation in decision making process; competent dynamic and flexible project management
HR and capacity limitations in Project Management Unit	Medium	NPD and NPM selected according to required qualifications and experience. Ensured adequate staff of PMU and management capacity
Overall risk assessment	Medium	Mitigating measures considered sufficient to reduce the overall risk assessment to an acceptable level.

## **PART 5: LEGAL CONTEXT**

This DPO 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. HCMC shall, for the purpose of the Standard Basic Assistance Agreement, refer to the Government Cooperating Agency described in that Agreement.

### **Project Revisions**

The following types of revision of this DPO document may be made with the signature of the UNDP Country Director only, provided s/he is assured that the other signatories of the DPO document have no objections to the proposed changes:

- (a) Revisions in, or addition to, any of the Annexes of the DPO document;
- (b) 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;
- (c) 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**

HCMC agrees to the recruitment of national project professional personnel (NPPP) required for the implementation of this project, in accordance with NEX rules and regulations. These services constitute an addition to the regular personnel resources to be provided by the HCMC 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.

### ***(1) ANNEX I Budget***

The total budget required for the project is US\$ 3,652,000. This amount include \$ 3,371,000 as ODA fund and \$ 335,000 as government contribution. In the first instance, UNDP will ensure \$ 2,000,000 as a core budget. UNDP and HCM city government will join responsibility to mobilise the remaining fund for the project.

#### **UNDP budget**

<b>Results</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Total</b>
<b><i>1. Development of UG model</i></b>	330,000	335,000	225,000	170,000	1,050,000
<b><i>2. Socialisation</i></b>	90,000	120,000	150,000	100,000	460,000
<b><i>3. MIS/GIS and marketing</i></b>	55,000	180,000	200,000	135,000	570,000
<b><i>4. Performance efficiency</i></b>	155,000	95,000	80,000	70,000	410,000
<b><i>5. Project Management</i></b>	328,000	184,000	160,000	130,000	827,000
<b>TOTAL</b>	958,000	914,000	815,000	605,000	3,317,000

## GOVERNMENT Contribution

The Government will provide a part-time National Project Director (NPD), part-time Deputy National Project Director (DNPD) and cover costs of office premises and facilities, and other running expenses. The value of the contributions of the Government are summarised in the following table.

**Table 2: Estimated Local Government Fund Contribution (10%)** *Currency: ,000 USD*

Description		Total Budget	Year 1	Year 2	Year 3	Year 4
<b>I</b>	<b>Government Commitments</b>					
<b>A</b>	<b>In cash</b>					
A2	Miscellaneous (costs for petrol, vehicle, electricity, water, telephones and faxes)	<b>60</b>	15	15	15	15
<b>B</b>	<b>In-kind</b>					
B1	Project office, meeting room, office facilities	<b>95</b>	25	25	25	20
B2	Project Personnel	<b>100</b>	25	25	25	25
<b>II</b>	<b>Cost-sharing</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>III</b>	<b>Other costs</b>	<b>80</b>	<b>20</b>	<b>20</b>	<b>20</b>	<b>20</b>
	<b>Total (I+II)</b>	<b>335</b>	<b>85</b>	<b>85</b>	<b>85</b>	<b>85</b>



***ANNEX II RESULTS BASED LOG FRAME***

***See separate file***

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**ANNEX III Work Plan Year 1**

No	Activity description	Input	US\$	Q I			Q II			Q III			Q IV			Status
				1	2	3	4	5	6	7	8	9	10	11	12	
<b>Specific result 1.</b> Urban Management Systems developed for more effective urban development planning and management of HCMC with active participation of all stakeholders groups in order to achieve a better socio economic and sustainable growth																
<b>Expected Output 1.1: Further development and improvement of the New Urban Governance Model for Ho Chi Minh City supported</b>																
1.1.1.1	Study tour for Management (to cover substantive issues of 1.1.1 -1.1.4)	Study tour	60,000													
1.1.1.2	Study tour for Urban Planning Staff ((to cover substantive issues of 1.1.1 -1.1.4)	Study tour	70,000													
1.1.1.3	Consultative international assistance to review and build UM model and work out modalities	Int./Nat. Consultant	20,000													
1.1.2.1	National assistance to provide an overview of existing plans, rules/regulation and analyze strengths and weaknesses	National Consultants	25,000													
1.1.2.2	Consultative international assistance to come up with a system for integrated plan preparation	Int/Nat. Consultant	20,000													
1.1.2.3	Consultative international assistance to come up	Int	15,000													

	with a revised rules system	Consultant																	
1.1.3.1	Analyze current level of revenue generation	National Consultants	15,000																
1.1.4.1	Yearly consultation on present status and future development direction on participatory urban planning and development	WS	10,000																
<b>TOTAL OUTPUT 1.1</b>			<b>235,000</b>																
<b>Expected Output 1.2: Capacity Building Strategy for HCMC authorities at all levels developed and implemented</b>																			
1.2.1.1	Consultative international assistance to design TNA	Int Cons.	15,000																
1.2.1.2	Prepare and implement TNA and present results	Int/Nat.Cons.	25,000																
		Workshop	10,000																
1.2.1.3	International assistance to prepare CB framework	Int./National Consultants	35,000																
1.2.1.4	Prepare City Wide CB Strategy	Workshop	10,000																
<b>Total Output Target 1.2.</b>			<b>95,000</b>																
<b>TOTAL OUTPUT RESULT 1</b>			<b>330,000</b>																
No	Activity description	Input	US\$	Q I			Q II			Q III			Q IV			Status			
				1	2	3	4	5	6	7	8	9	10	11	12				
<b>Specific result 2.</b> A framework for public private partnerships (PPP) developed and pilot PPP for public services, infrastructure provision and/or revenue generation (in some areas) implemented.																			
<b>Expected Output 2.1: A PPP Strategy framework for HCMC prepared</b>																			
2.1.1.1	Identify, analyze and map out on-going initiatives in the field of PPP in each department	Int./National consultant	30,000																
2.1.1.2	Document on going cases	Int./National consultant	20,000																
2.1.1.3	Workshop to present results	Workshop	10,000																
2.1.2.2	On the job international TA to develop PPP framework	Int/Nat. Consultant	30,000																
<b>TOTAL RESULT 2</b>			<b>90,000</b>																
<b>Specific result 3.</b> A more efficient MIS developed to provide more and better information to investors, entrepreneurs and citizens																			
<b>Expected Output 3.1:</b> A city wide Management Information System (MIS designed, establish and operational																			

3.1.1.1	Analyze the various systems that are currently operational within HCMC	Int Consultant	25,000																
3.1.1.2	Consultative international assistance to set up and implement the system	National + int. consultant	30,000																
<b>TOTAL OUTPUT RESULT 3</b>			<b>55,000</b>																
<b>Specific result 4.</b> Performance Efficiency of the civil service improved focusing on expanding and replicating PMS																			
<b>Expected Output 4.1: PMS reviewed and further replicated to other city departments and districts</b>																			
4.1.1.1	Evaluate the PMS implementation situation in 5 departments/districts and possibility to implement others PMS components.	national Consultant	15,000																
4.1.1.2	Consultative international assistance to develop PMS implementation Strategy (4.1-4.3)	International Consultant	15,000																
4.1.1.3	Organize review workshop on the way forward	Workshop	10,000																
4.1.2.1	On the job capacity building programme established on full scale PMS system	On the job training	15,000																
4.1.2.2	Establishment of task force team for PMS implementation	National Consultants	10,000																
<b>Total Output 4.1</b>			<b>65,000</b>																
<b>Expected Output 4.2: . Performance of the PC staffs are enhanced by integration with implementation of the PMS</b>																			
4.2.1.1	Training workshop on development of suitable performance indicators and set of competency standards for public servants	Int Consultant+ workshop	10,000																
4.2.1.2	TA for the development of performance indicators	National + int. Consultant	25,000																
4.2.1.4	Workshop to agree on the set of competency standards for public servants	Workshop	15,000																
4.2.2.1	TA for the development of conduct guidelines for HCMC	National/Int. consultant	30,000																
4.2.2.2	Undertake research on development of conduct guidliens for HCMC public servants	National Consultants	10,000																
<b>Total Output 4.2.</b>			<b>90,000</b>																

<b>TOTAL OUTPUT RESULT 4</b>				<b>155,000</b>												
No	Activity description	Input	US\$	Q I			Q II			Q III			Q IV			Status
				1	2	3	4	5	6	7	8	9	10	11	12	
<b>Expected Output 5.1 : Project Management</b>																
5.1.1.1	Recruitment and Appointments of PMU staff	Local staff	50,000													
5.1.1.2	Equipment /facilities procurements	Items	75,000													
5.1.1.3	Develop PMU management regulations	Workshops	10,000													
5.2.1.1	Training workshop on NEX execution	Int Consult.	15,000													
5.2.1.2	Training for PM on project management and project leadership	UNDP	10,000													
	Reporting and review workshops	WS	15,000													
	Senior technical Advisor	STA	135,000													
5.3.1.1	Prepare inception report to review progress and adjust DPO (Supported by STA)	On the job training	18,000													
5.3.1.2	Set- up M&E system implementation	National Consultants	10,000													
<b>TOTAL OUTPUT RESULT 5</b>			<b>328,000</b>													
<b>Grand total year 1</b>			<b>958,000</b>													

#### (4) **ANNEX IV Job Descriptions**

##### **Senior Technical Advisor**

Functional title: Senior Technical Advisor  
Duty station: HCM City  
Duration: 27 months over a period of 4 years

##### **Background**

UNDP has been supporting Ho Chi Minh City's PAR process since 1998 with two consecutive project phases. The second project (2003 – 2005) completed almost its outcomes in December 2006 and was extended to June 2007.

Remarkable among the achievements in the second phase was the introduction of a series of new reform initiatives (e.g. introduction of result-based management through piloting of a Performance Management System (PMS) in socio-economic development planning, the piloting and mass expansion of Quality Management Systems (ISO), the deepening of One-Stop-Shop model, etc.).

The 'HCMC Urban Governance' project represents a new approach to attain the defined outcome targets. It is still fully integrated into targets defined in the national PAR Master Plan, but rather than focusing on traditional Public Administration reform only the 'HCMC Urban Governance' project is also focusing on Urban Management Issues.

The present situation in which departments and districts operate often in isolation is considered key issues in this project. The first and main result is therefore to assist the HCM City Government to further develop a New Urban Governance Model including the review of current rules and regulations, plans and plan making and financial systems. The other 3 results are all designed to support the first one. PPP as an alternative to finance infrastructure and services, MIS to ensure cross sectoral coordination and PMS to improve the overall efficiency of the civil service. The 'HCMC Urban Governance' project will support the HCM City PC in four different areas and will therefore achieve the following four results:

1. Further development of the newly established Urban Governance Systems supported for more effective urban development planning and management of HCMC with active participation of all stakeholders groups in order to achieve better socio-economic and sustainable growth
2. A framework for Public Private Partnerships (PPP) developed and pilot PPP for public services, infrastructure provision and/or revenue generation implemented
3. A more efficient management information system developed to provide more and better information to investors, the private sector and the general public
4. Performance Efficiency of the civil service improved focusing on expanding and replicating the PMS

##### **2. Objective of the assignment**

The long-term outcome target for HCMC's PAR plan, which consequently also is the direction for a new internationally supported PAR project, has been formulated as:

*The capacity of the HCMC administration and its partners in urban development planning and management is enhanced to better achieve equitable and inclusive socio-economic growth and environmental sustainable development.*

## Task Summary

- The Senior Technical Advisor will work closely with the Project Manager and be collectively responsible for the overall strategy of the project.
- He/she will be responsible for advising the Project Manager on the overall coherence and integration of the four project components.
- He/she will supervise and coordinate substantive work of all international staff and support the Project Management in the supervision of all national experts.
- He/she will also take the lead on overseeing the design and implementation of Result 1 and the setting up of a Project related M&E system.
- The Senior Technical Advisor will be expected to bring best practices on urban governance and urban management

### 3. Reporting arrangements

The Senior Technical Advisor (STA) will implement his/her main functions and undertake specific duties under the direct supervision of the National Project Director and in close collaboration with the National Project Manager. The STA is also accountable to UNDP as the funding agency of the project.

### 4. Main functions

The STA will proactively engage and provide technical advice in the following key areas:

- Project planning
- Project management and implementation
- Project quality assurance
- Project coordination
- Project monitoring and evaluation
- Policy dialogue and advocacy
- Knowledge building and sharing

### 5. Specific duties

**Project planning:** Provide technical advice to the project in identifying priorities and capacity development needs to be addressed in quarterly and annual work plans, and facilitate a timely and participatory work planning process.

**Project management and implementation:** Provide technical advice to the project in the design, organisation and implementation of agreed activities, including by preparing and/or reviewing ToRs for specific activities and assisting in the identification of short-term experts on specific subject areas.

**Project quality assurance:** Provide technical advice to the project to ensure the overall relevance, performance and sustainability of the project, the effective realisation and quality of outputs, and adherence to applicable UNDP standards, rules and regulations.

**Project coordination:** Provide technical advice to the project to strengthen partnerships and coordination between the project and the HCMC PC, donors, and other stakeholders, including by facilitating communication and exchange of lessons learned and good practises.

**Project monitoring and evaluation:** Provide technical advice to the project in developing baselines and indicators for project monitoring and evaluation, as well as in

preparing project reports focused on capturing results, lessons learned and good practices for possible wider application.

***Policy dialogue and advocacy:*** Serve as an advocate for UN core values and UNDP's policies on democratic governance in the dialogue with the HCMC PC and facilitate the practical implementation of this dialogue through the project activities. Provide substantive inputs to the preparation of Government and UNDP policy notes, statements, etc., for important events (e.g. CG meetings, donor forums, international conferences)

***Knowledge building and sharing:*** Support the project in the identification of knowledge gaps among project staff, target groups and beneficiaries and suggest measures to address such gaps; actively support the sharing of project results and products, lessons learned and good practices with other projects, government agencies, donors, etc.; and participate in UNDP global knowledge networks.

The STA is also required to prepare an inception report as well as an end-of-assignment report, describing and analyzing key lessons learned and good practices, as well as identifying major substantive issues that have emerged and that would require further consideration by UNDP.

## **6. Competencies**

### **Corporate Competencies:**

- ❑ Demonstrates commitment to UNDP's mission, vision and values.
- ❑ Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability.

### **Functional Competencies:**

#### **Project Management**

- ❑ Has strong managerial competency with experience in results based management and results oriented approach to project implementation.

#### **Communications and Networking**

- ❑ Has excellent oral communication skills and conflict resolution competency to manage inter-group dynamics and mediate conflicting interests of varied actors.
- ❑ Has excellent written communication skills, with analytic capacity and ability to synthesize project outputs and relevant findings for the preparation of quality project reports.
- ❑ Has demonstrated knowledge and experience in working on improving access to justice and pro-poor justice sector reform and existing networks of experts and policy makers.
- ❑ Maturity and confidence in dealing with senior and high ranking members of national and international institutions, government and non-government

#### **Knowledge Management and Learning**

- ❑ Shares knowledge and experience
- ❑ Actively mentoring PMU staff under her/his supervision



### **Leadership and Self-Management**

- Focuses on result for the client and responds positively to feedback
- Consistently approaches work with energy and a positive, constructive attitude
- Remains calm, in control and good humored even under pressure
- Competent in leading team and creating team spirit, stimulating team members to produce quality outputs in a timely and transparent fashion

### **7. Qualifications**

- Post-graduate degree in Urban development planning , Public Administration, institutional/organisational development or related field;
- A minimum of 8 years working experience in the area of Urban Governance assistance and/or governance programme and projects;
- Knowledge and experience from working with countries in transition. Working experience in Viet Nam is an asset;
- Excellent project management skills and knowledge of donor policies and funding modalities. Knowledge of UNDP programming practices is an asset;
- Proven familiarity with gender analysis and concepts;
- Excellent spoken, report writing and presentation skills in the English language. Knowledge of Vietnamese is an asset.
- Strong inter-personal skills; results driven, ability to work under pressure and to meet strict deadlines. Ability to deal with politically sensitive and complex issues; Strong communication, networking and team-building skills.

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## Terms of Reference

### National Project Manager

**Contract:** One-year contract with possible extensions up to four years, based on performance

**Location:** HCMC

<b>Project:</b>	SPAR HCMC, UNDP project no. 00047036
<b>Position:</b>	National Project Manager-NPM
<b>Status:</b>	Full time
<b>Duty Station:</b>	Ho Chi Minh City with some travel to provinces (sometimes)
<b>Duration:</b>	End of 2007 to end 2011

#### 1. Background

UNDP has been supporting Ho Chi Minh City's PAR process since 1998 with two consecutive project phases. The second project (2003 – 2005) completed almost its outcomes in December 2006 and was extended to June 2007. The present new phase of the project will run for 4 years and start in the second half of 2007

Remarkable among the achievements in the second phase was the introduction of a series of new reform initiatives (e.g. introduction of result-based management through piloting of a Performance Management System (PMS) in socio-economic development planning, the piloting and mass expansion of Quality Management Systems (ISO), the deepening of One-Stop-Shop model, etc.).

The 'HCMC Urban Governance' project represents a new approach to attain the defined outcome targets. It is still fully integrated into targets defined in the national PAR Master Plan, but rather than focusing on traditional Public Administration reform only the 'HCMC Urban Governance' project is also focusing on Urban Management Issues.

The present situation in which departments and districts operate often in isolation is considered a key issue in this project. The first and main result is therefore to assist the HCM City Government to further develop a New Urban Governance Model including the review of current rules and regulations, plans and plan making and financial systems. The other 3 results are all designed to support the first one. PPP as an alternative to finance infrastructure and services, MIS to ensure cross sectoral coordination and PMS to improve the overall efficiency of the civil service. The 'HCMC Urban Governance' project will support the HCM City PC in four different areas and will therefore achieve the following four results:

1. Further development of the newly established Urban Governance Systems supported for more effective urban development planning and management of HCMC with active participation of all stakeholders groups in order to achieve better socio-economic and sustainable growth
2. A framework for Public Private Partnerships (PPP) developed and pilot PPP for public services, infrastructure provision and/or revenue generation implemented
3. A more efficient management information system developed to provide more and better information to investors, the private sector and the general public
4. Performance Efficiency of the civil service improved focusing on expanding and replicating the PMS

## **2. Objective of the assignment**

The long-term outcome target for HCMC's PAR plan, which consequently also is the direction for a new internationally supported PAR project, has been formulated as:

*The capacity of the HCMC administration and its partners in urban development planning and management is enhanced to better achieve equitable and inclusive socio-economic growth and environmental sustainable development.*

## **3. Main Tasks and reporting**

Under the overall guidance of the National Project Director and in close cooperation with the Senior Technical Advisor:

1. Co-ordinate with stakeholders to plan for the delivery of project inputs; including international experts, national experts, training, and equipment, and subcontracts. Prepare annual/quarterly work plans based on the inputs from stakeholders.
2. Coordinate the design and implementation of four project components, including monitoring and the delivery of inputs to achieve outputs according to NEX procedures
3. Work closely with NPD and STA on the technical aspects of project. Provide inputs/comments on the project reports/studies.
4. Manage the national execution of the project; provide staff management and staff training on NEX procedures
5. Supervise and guide project staff and experts working on the project including development of TOR for each position of the PMU
6. Manage all project accounting and financial reporting; and maintain the project budget.
7. Evaluate the need for quarterly financial advances; prepare and submit all necessary documentation for NPD's approval and submission to the UNDP.
8. Prepare draft of all reporting documentation required in the Project Document for NPD and STA clearance.
9. Manage and co-ordinate the planning and implementation of all project sponsored training.
10. Plan and implement the Project Management Boards, Project Quarterly technical review and annual project review meetings.
11. In close co-operation with the NPD and STA strengthen partnership arrangements with donors, disseminate information and help mobilise additional resources for the project.

**4. Qualifications:** A Masters degree in Urban Development planning and/or Urban Governance, Political Science, Public Administration, with a minimum of 5 years work experience in the administration and management of development assistance (ODA) projects. Working knowledge and experience with Government agencies and experience with integrated urban development planning . Familiarity with the HCMC's PC. Fluent in written and spoken English.

Female candidates are encouraged to apply.

**Experiences:**

1. Understanding the government's policy with respect to urban governance and public administration;
2. Technical knowledge and experience related to urban governance, public administration and integrated urban development planning
3. Knowledge about Ho Chi Minh City Authorities and its agencies
4. Being dynamic, energetic, flexible to changes, willingness to apply new approach
5. Having leadership skills, a champion for reform, communications and management experiences;
6. Full-time involvement in the project.

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## Job Description for SPAR HCMC Project M & E Specialist

<b>Project:</b>	SPAR HCMC, UNDP project no. 00047036
<b>Position:</b>	M&E specialist
<b>Status:</b>	Full time
<b>Duty Station:</b>	Ho Chi Minh City with some travel to provinces (sometimes)
<b>Duration:</b>	End of 2007 to end 2011

### 1. Background

UNDP has been supporting Ho Chi Minh City's PAR process since 1998 with two consecutive project phases. The second project (2003 – 2005) completed almost its outcomes in December 2006 and was extended to June 2007. The present new phase of the project will run for 4 years and start in the second half of 2007

Remarkable among the achievements in the second phase was the introduction of a series of new reform initiatives (e.g. introduction of result-based management through piloting of a Performance Management System (PMS) in socio-economic development planning, the piloting and mass expansion of Quality Management Systems (ISO), the deepening of One-Stop-Shop model, etc.).

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### 2. Objective of the assignment

The long-term outcome target for HCMC's PAR plan, which consequently also is the direction for a new internationally supported PAR project, has been formulated as:

*The capacity of the HCMC administration and its partners in urban development planning and management is enhanced to better achieve equitable and inclusive socio-economic growth and environmental sustainable development.*

The M & E specialist is requested to give advice on improving the capacity and effectiveness of the SPAR HCMC project to better monitoring project outcome, intended outputs and activities. The aim of the M & E specialist work is to provide a monitoring and evaluation of performance of the project outputs achieved during a 4 years period of time.

### **Assignment arrangements and duties**

The specialist is responsible to the National Project Director and will work in close co-operation with the National Project Manager, the STA and other key Vietnamese officers, the M & E Specialist will undertake the following duties:

1. Prepare a report reviewing outputs and success indicators proposed in the project document prepared (2007-2011).
2. Together with the STA and in close cooperation with the NPM, develop Inception report for the Project that includes an detailed M&E system for monitoring outputs targets and means of verification as stipulated in (revised) DPO
3. Develop and establish a specific indicators for result based monitoring and evaluation indicators/system for Project to ensuring the best possible attainment of outputs and outcomes
4. Produce M &E reports quarterly and provide inputs for the different project reports mentioned bellow.
5. Evaluate the performance of the project outputs achieved during a 4 years period of time with main monitoring instruments applicable for the project:
  - a. Quarterly Project Progress Report
  - b. Annual Project Progress Report
  - c. Annual Project Review
  - d. Project Visits or Field Visits
  - e. Financial Reports<sup>5</sup>
6. Working closely with specialist/consultant who develop quality indicator systems for HCMC PAR plan implementation and with PMS specialists

### **Qualifications and Experiences**

Masters degree in management with qualification in m&e or related field.

1. Experience in project monitoring and evaluation; institutional reorganization; survey design; information technology; project implementation and analysis.
2. At least 5 years of experience in E & M work and in PAR related projects
3. Knowledge and skills in statistical analysis and research
4. Good knowledge and skill in computer, especially in Ms.Excel
5. Fluent in written and spoken English
6. Understanding the government's policy with respect to urban governance and public administration
7. Knowledge about Ho Chi Minh City authorities and its agencies, urban governance and management issues and Public Administrative activities of HCMC.
8. Being dynamic, energetic, flexible to changes, willingness to apply new approach;
9. Full-time involvement in the project.

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<sup>5</sup> For more detailed information on these monitoring tools, see Government of Vietnam and UNDP (2005) Provincial Guidelines on Project Management: Implementation of Nationally Executed Projects, Ha Noi October 2005, pp. 75-79

## Job Description for SPAR HCMC Project Accountant

### 1. Background

<b>Project:</b>	SPAR HCMC, UNDP project no. 00047036
<b>Position:</b>	Project Account
<b>Status:</b>	Full time
<b>Duty Station:</b>	Ho Chi Minh City
<b>Duration:</b>	End of 2007 to end 2011

UNDP has been supporting Ho Chi Minh City's PAR process since 1998 with two consecutive project phases. The second project (2003 – 2005) completed almost its outcomes in December 2006 and was extended to June 2007. The present new phase of the project will run for 4 years and start in the second half of 2007.

### 2. Objective of the assignment

The long-term outcome target for HCMC's PAR plan, which consequently also is the direction for a new internationally supported PAR project, has been formulated as:

*The capacity of the HCMC administration and its partners in urban development planning and management is enhanced to better achieve equitable and inclusive socio-economic growth and environmental sustainable development.*

**Main Tasks and reporting:** Overall, the Project Accountant is mainly responsible for smooth project accounting and additional administrative support work, in line with the approved project document, policies and procedures for UNDP-supported nationally executed projects. In discharging these responsibilities, the Project Accountant is encouraged to work closely and consult with the concerned UNDP staff, especially the Finance Section and of the Service Centre.

### Specific tasks and responsibilities include

1. Assist the NPM in administration of project funds. This includes opening a project bank account; prepare quarterly documents for review by the NPM before submission to UNDP for the latter to endorse quarterly advance request and deposit money to the account, and administration of advanced funds in line with UNDP rules and regulations.
2. Prepare reports on project expenditures for NPM'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)
3. Keep project's books as per UNDP regulations including Cash Receipt and Disbursement Journal, Government Disbursement Ledger, UNDP Cash Advance Ledger, and UNDP Direct Payment Ledger (if any).
4. With necessary technical inputs and guidance from the NPM, prepare and update proposed project budget revisions for review by the NPM before submission to UNDP as inputs for the later to complete project budget revisions (two kinds: mandatory and regular)
5. Assist the NPM in meeting requirements for internal and external project audits.
6. Assist the NPM in all activities relating to project procurement and sub-contracting procedures to ensure the procurement is made in an efficient, open, transparent and competitive manner as specified in NEX Manual. This includes but not limits to preparation of

request for quotation, request for proposal, purchase order, receiving and inspection report, and documents required by UNDP Local Contract Committee

7. Administer project equipment and other facilities including maintaining Non-expandable Property Ledger as per NEX guidelines.

8. The Project Accountant will carry other duties as may be required by the NPM for the successful conclusion of the Project.

**Qualifications:**

- University degree in accountant or in finance
- Experience in project accounting and budget administration with minimum of three-year practical work,
- Experience and/or familiarity with UNDP financial rules and regulation and project financial management practice is an asset
- Computer literacy, especially with Microsoft Office is an obligation
- Be able to use English in work (for making financial report)
- Full time availability for project duties
- Hardworking, carefulness and team building work spirit

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## **Job Description for SPAR HCMC Project Interpreter/Translator**

**Contract:** One-year contract with possible extensions up to four years, based on performance

**Location:** HCMC

### **1. Background**

UNDP has been supporting Ho Chi Minh City's PAR process since 1998 with two consecutive project phases. The second project (2003 – 2005) completed almost its outcomes in December 2006 and was extended to June 2007. The present new phase of the project will run for 4 years and start in the second half of 2007

### **2. Objective of the assignment**

*The capacity of the HCMC administration and its partners in urban development planning and management is enhanced to better achieve equitable and inclusive socio-economic growth and environmental sustainable development.*

### **3. Main tasks.**

The Project Interpreter/Translator, under the direct supervision of the NPM, is responsible for the day-to-day facilitation of the exchange of information between Vietnamese experts and UNDP donors and international experts in order to properly implement the Project. He or she is reporting to the NPM.

#### **Specific tasks and responsibilities include:**

1. Undertake translate/ interpret work for the implementation of project activities in accordance with the procedures and practices outlines in the NEX Manual;
2. Assist the NPM and STA in preparing and updating work plans relating to translation/interpretation works
3. Translate documents from Vietnamese into English and from English into Vietnamese
4. Assist the NPM and STA in preparing agreements with designated cooperating agencies and sub-contractors
5. Provide translation/interpretation services to senior Project personnel and international consultants as needed. This may include:
  - At Project meetings participated in by foreign experts
  - Professional translation of all Project documents, correspondences and administrative and operational materials, including and professional inputs by international experts.

#### **Qualifications:**

- Excellent legal English speaking and writing skills. Preferably with a bachelor degree
- At least five years of relevant work experience
- Excellent translation and interpretation skills;
- good interpersonal and team building skills; demonstrated capacity to take initiatives and achieve results;
- Must possess excellent computer skills with good knowledge of relevant word processing, spreadsheet and project management programs;
- Full time availability for project duties.