

**GOVERNMENT OF VIET NAM - COMMITTEE FOR ETHNIC MINORITY
AFFAIRS**

UNITED NATIONS DEVELOPMENT PROGRAMME

Title of the Project: --Support to Implementation and Dissemination of Baseline Survey 2011 for “Social-Economic Development Program for Most Hardship Communes in the Ethnic Minority and Mountainous Areas” (P135)--

Brief description of the project

The Republic of Finland and UNDP Viet Nam cooperation under this is to implement, and disseminate results of, the Baseline Survey 2011 for “Social-Economic Development Program for Most Hardship Communes in the Ethnic Minority and Mountainous Areas” (P135). Through the Baseline Survey 2011, this project aims to provide information and analysis necessary for assessing the progress and impacts of the 135P over the period of 2005-2010, as specified in the Memorandum of Understanding of the Partnership to Support P135 between the GOVN and International Partners. Concretely, this project will deliver two main outputs: (i) the Baseline Survey 2011 for P135 (BLS) successfully implemented to provide valuable information for assessing changes in the socio-economic and poverty situation of ethnic minorities in Viet Nam and changes in P135 communes, and as baseline for the GOVN new (2011-2015) poverty reduction support in the Most Hardship Communes in the Ethnic Minority and Mountainous Areas ; and (ii) the BLS analysis report and dataset widely disseminated and discussed among policy makers, researchers, and related partners for EM and Poverty Reduction policy formulation.

SIGNATURE PAGE

Country: Viet Nam

UNDAF Outcome I: Economic growth is more equitable, inclusive and sustainable

Expected Outcome: (OP Outcome 1) Social and economic development policies, plans and laws support equitable and inclusive growth and conform to the values and goals of the Millennium Declaration and other relevant international agreements and conventions.

Expected Output(s): (OPI, Output 1.1) Improved design and more effective implementation of national target programmes (NTPs) for poverty reduction and socioeconomic development of poorest communes.

Implementing Partner: UNDP Viet Nam

Funding Partner: Embassy of Finland, Viet Nam
Cooperating Agency: Committee for Ethnic Minority Affairs (CEMA);
Other partners: Other GOVN line ministries and international development partners - members of the Partnership to Support P135.

Programme Period: _2006-2011, 2012-2016
Programme Component: Social Economic Development Policies
Project Title: P135-2 BLS 2011
Project ID: 00079413
Project Duration: _2011-2012
Management Arrangement: DIM

Implementing Budget: EUR 315,000
General Management Support Fee: EUR 35,000
Total budget: EUR 350,000
Allocated resources:
• Finland: EUR 350,000

Agreed by UNDP Viet Nam:  _____

SECTION I – ELABORATION OF THE NARRATIVE

PART I. SITUATION ANALYSIS

The Program ‘Socio-economic development for most hardship communes in the ethnic minority and mountainous areas’ (Program 135 Phase II) is a key poverty reduction program focused on the poorest, most remote ethnic minority communes and villages. Phase II of the program (2006-2010) has finished and a new program (2011-2015) is being shaped in line with other poverty reduction programs under the Poverty Reduction Framework 2011-2020.

Within the overall framework of the Memorandum of Understanding between the GOVN and International Partners (annex 1), a partnership of eight international development partners and related Government agencies led by CEMA has been established and functioning since the Program phase II. The P135-II Partnership’s international development partners include: the WB, Finland, Ireland, EU, DFID as targeted budget support donors and UNDP, Finland, Ausaid and Irish Aid as technical assistance providers through their respective technical assistance projects. The partnership aims to jointly monitor the progress and impacts of the program P135-II and make policy recommendations for the improvements and achievements of the results as agreed by the GOVN and Development Partners in the “result matrix” (annex 3). To contribute to this aim, especially in assessing the impacts of the 135 program two baseline surveys were planned to be undertaken, one at the beginning of and the second upon the completion of the P135.

In 2007 the General Statistics Office of Viet Nam, on behalf of CEMA and with technical assistance and funding from the UNDP VIE/02/001 Project, completed a baseline survey for P135-II. The survey sampled 6,000 households in 400 communes overall, of which 4,000 households were a treatment group randomly selected from P135-II communes and 2,000 households a control group drawn from P135 Phase I communes not included in Phase II. Separate household and commune questionnaires were applied in the samples based on questionnaires used in the bi-annual Viet Nam Household Living Standards Survey (VHLSS), with additional questions introduced for elements of P135-II not covered by the VHLSS. A baseline survey report was subsequently published in December 2008 and the dataset is widely regarded to be the best and most comprehensive data source on the socio-economic status of ethnic minorities in Viet Nam currently available.

Phase II of the Programme was completed at the end of 2010 and UNDP, CEMA and Development Partners now intend to repeat the survey in 2011. This End of Program 135 Survey (BLS) is a critical activity in enabling the Committee for Ethnic Minority Affairs, the Government of Viet Nam, development partners and interested researchers to assess i) changes in the socio-economic and poverty situation of ethnic minorities in Viet Nam, ii) the access of P135 communes to infrastructure and social services and iii) the relative change in P135 communes by the end of the program compared to 2007, and to compare with a sample of similar communes that have not benefited from the Program in Phase II.

Data generated through the P135 BLS 2011 will provide the basis for an end of program evaluation of P135-II, 2006-10. It will also provide a baseline for the new program 135, with subsequent benchmark surveys enabling policy makers to assess change in ethnic minority areas over time. More importantly, the two complementary sets of data (BLS

2007 and BLS 2011) will create the richest dataset available in Viet Nam for ethnic minorities.

The second Baseline Survey was planned to be delivered through the Embassy of Finland's technical assistance project with CEMA, SM-P135, in 2011. However, the project will end in June 2011, which will not allow for the conduct of the survey as originally planned.

UNDP Viet Nam has accumulated rich technical and management experience in implementing objective and quality surveys and assessments such as the P135-II baseline survey in 2007, assessment studies under the mid-term review of the program 135 and other surveys to monitor poverty and vulnerability such as urban poverty survey, rapid impact monitoring assessment, etc. UNDP also supports the evidence-based EM policy making process via policy researches and policy discussions/dialogues on ethnic minority policies and ethnic minority development issues.

The cooperation between UNDP and Finland, in this project, which is based on the above-mentioned UNDP comparative advantages, aims to support the 'Socio-economic development Program for most hardship communes in the ethnic minority and mountainous areas' (Program 135-II) for ethnic minorities in Viet Nam. Specifically, the project will support the implementation of the survey and dissemination of the survey analysis report, as part of the evaluation the Programme 135 phase II. This will also create dialogues with contribution of a wide range of stakeholders including the government agencies, research institutes and development partners to discuss the survey results and contribute to more evidence-based EM poverty policies in Viet Nam.

PART II. STRATEGY

The project Support to Implementation and Dissemination of Baseline Survey 2011 for Program 135 "Social-Economic Development for Most Hardship Communes in the Ethnic Minority and Mountainous Areas", aiming at providing information and evidence-based analysis for assessing the progress and impacts of the 135P over the period of 2005-2010, as specified in the Memorandum of Understanding of the Partnership to Support P135 between the GOVN and International Partners, will include two main components as follows :

- a. *Implementation of the Baseline Survey 2011 for P135:* a series of activities to design, implement the survey and analysis of the BLS data as described in the attached work plan (annex 6). In order to assure the quality of data collected, a component of process supervision has been considered to add to the survey throughout the Baseline survey process;
- b. *Support to dissemination of the BLS analysis report:* Related technical discussions and dissemination activities of the BLS dataset and BLS report (targeting policy makers at CEMA and other national agencies, Ethnic Council/National Assembly representatives, academics, and development partners) will be conducted. The dissemination efforts aims at communicating and emphasizing the importance of policy issues to be addressed in the future PR programmes and policies to support EM areas.

The survey itself has the following overall objectives:

- 1) Benchmark progress in the poverty and socio-economic status of ethnic minority communities in mountainous, remote areas of Viet Nam;
- 2) Provide a quantitatively robust data set through which a rigorous analysis of progress in the socio-economic development of ethnic minority communities participating in Programme 135 Phase II can be made, as part of a final evaluation of the Programme for the period 2006-10;
- 3) Establish a clear quantitative baseline for the GOVN new (2012-2015) poverty reduction support in the Most Hardship Communes in the Ethnic Minority and Mountainous Areas, against which future progress can be periodically assessed.

To achieve its aims and deliver the outputs, the project will:

- Build on the results and experiences from UNDP - CEMA Project VIE/02/001 to support P135 phase 2 (2006-2010). Of which the precedent technical and coordination experiences obtained in conducting BLS 2007 will be maximized to assure good quality and timely delivery of the BLS 2011 to contribute to the end of program evaluation of P135-2 and to support the development of the monitoring and evaluation system of GOVN new (2011-2015) poverty reduction support in the Most Hardship Communes in the Ethnic Minority and Mountainous Areas.
- The project, as an SPI between Finland and UNDP, will be a vehicle to provide funding, implement the *Baseline Survey 2011 for P135 and disseminate the BLS analysis report*, which are the results committed by GOV and DPs as indicated in the MOU 2007.
- To ensure the timely delivery of good quality and objective results of the BLS and related analysis, UNDP, as the implementing agency, will conduct the activities of the project in close consultation with CEMA, other government agencies and development partners through the mechanism of the P135-2 Partnership.

PART III. MANAGEMENT ARRANGEMENTS

Subject to approval by the Regional Bureau Director before the initiation of the project activities, the project will be applying the Direct Implementation Modality of UNDP, to ensure the timely delivery of good quality and objective results of the BLS and related analysis. UNDP is responsible for planning, implementing, and providing quality assurance of, all project activities and delivering all project's outputs using its programme/project management rules and procedures.

The CEMA (cooperating agency of this project) and other partners (other GOVN agencies and International Development Partners involved in 135P-II partnership) are responsible for participating in the above mentioned consultation mechanisms and for realizing the benefits of the project outputs as required by their respective mandates and as stipulated in the joint GOVN-DP MoU on support 135P of 2007.

To maximize the application, and realize the benefit of the project outputs, by involved partners (members of the 135P-II partnership), UNDP, as the implementing agency, will conduct the activities of the project in close consultation with CEMA, other government

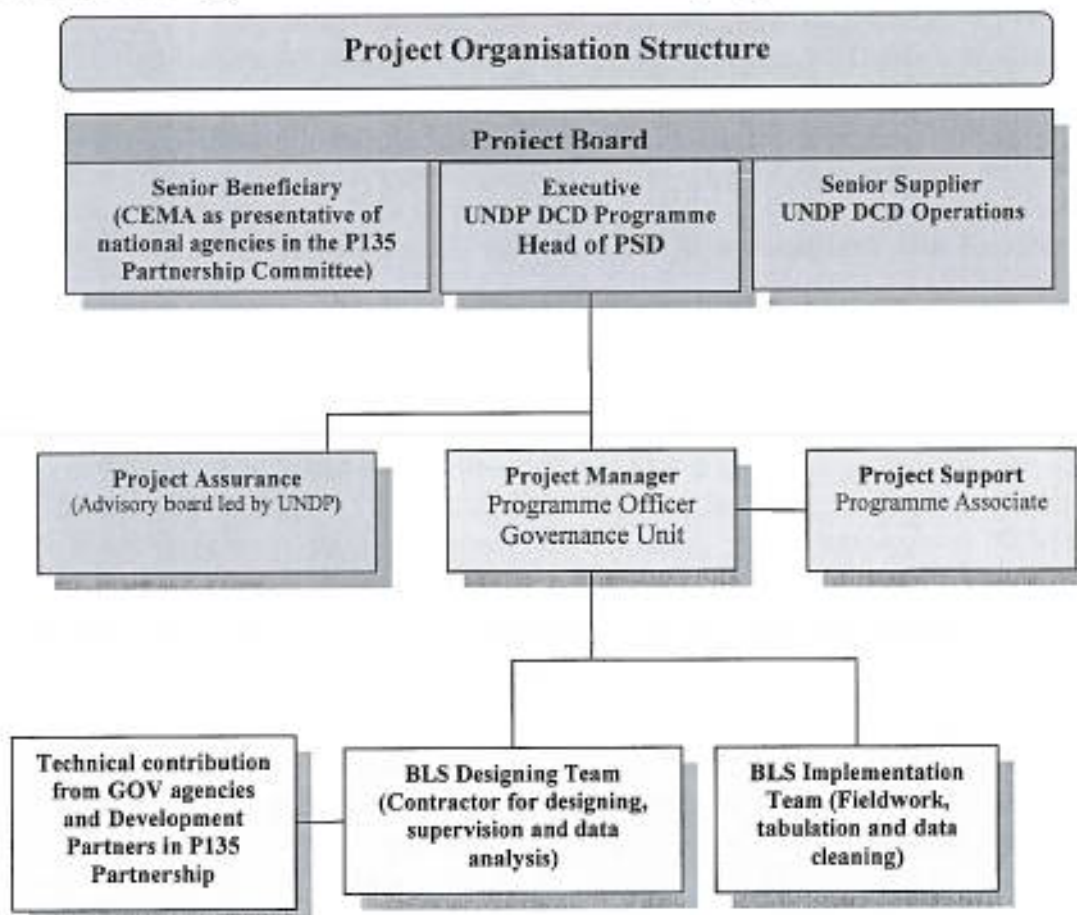
agencies and development partners through the mechanism of the P135-2 Partnership. Namely, the TOR for the BLS (annex 5) has been developed in close consultation of the involved partners; development partners will also be involved in selection of the provider(s) of project consultancy services, as relevant and necessary (whilst adhering to UNDP corporate policy on the matter); 135P-II partnership members will be involved in technical meetings for commenting on the survey design and plans, on the outline and draft of BSL report as well as the related dissemination activities.

The design and implementation of the BLS will be outsourced to high qualified consulting companies/national consultants as clearly mentioned in the TOR. Engagement of consultants and external personnel to carry out project activities as expressed in the Annual Work Plans will be procured in accordance with relevant UNDP rules and procedures.

A technical advisory team, will be set up, chaired by UNDP and including representatives of key stakeholders from the CEMA, national agencies, research institutes, and development partners of the P135 partnership. This advisory team will be involved at all stages of the BLS to ensure the relevance of the BLS design and methodology, and the BLS analysis report. Project management will be supported and assured by UNDP/PSD team.

As the partner of this project, Finland is responsible for providing the funding necessary for UNDP to implement the project as described in this project document.

The Project management structure is reflected in an Organigram:



PART IV. MONITORING AND EVALUATION:

The project implementation progress will be monitored regularly by UNDP using its own programme/project M&E procedures and systems, as well as by Finland and other GOVN agencies and international development partners through the 135P-II Partnership mechanisms as described in the section III above.

In addition, UNDP Viet Nam will provide a final report of the progress and results of the project, final analysis report and related products within six months after the date of completion or termination of this project.

Audit requirements for DIM project will be applied to ensure budget management and accountability.

Progress of implementation of the project will be monitored referring to the results and resources framework as a guide ensuring that outcomes and outputs are achieved as expected. Actions are taken for any unforeseen or unexpected external factors affecting the achievement of intended results. Risks have been identified and proper actions will be taken to mitigate the risks.

Risks analysis:

Risk	Level	Control Measure
Late approval and in turn late start of procurement process might delay implementation of the BLS to input to the End of Program Survey	Medium	All the related preparatory documents to support the procurement process to be compiled, consulted and ready upon the project is approved and initiated
Potential difficulties in implementation of DIM project due to current set-up of the UNDP Country Office	Low	Management arrangements to contain clear guidance in term of specific roles and duties for personnel in charge and respective authorization
Commitment of GOV (CEMA and related national agencies) to substantively contribute to the BLS design and implementation and to build capacity from participating the technical	Low	The project to pay attention to CEMA's commitment to assign staff to work closely with technical experts in receiving and applying capacity development support.

assistance activities		
Quality of consultant team to meet the complex requirements of the BLS	Medium	UNDP to search for qualify teams and manage the process to select the best possible contractor. Mobilization of expertise from GOV and development agencies will be maximized via the P135 Partnership to input to the BLS.

PART V. LEGAL CONTEXT:

This project document shall be the instrument referred to as such in Article I of the Standard Basic Assistance Agreement between the Socialist Republic of Viet Nam and the United Nations Development Programme signed by the parties on 21 March 1978. This document together with the CPAP signed by the Government and UNDP which is incorporated herein by reference, constitute together a Project Document as referred to in the Standard Basic Assistance Agreement (SBAA); as such all provisions of the CPAP apply to this document. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner", as such term is defined and used in the CPAP and this document.

UNDP as the Implementing Partner shall comply with the policies, procedures and practices of the United Nations safety and security management system.

UNDP will undertake all reasonable efforts to ensure that none of the project 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.

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

- (a) Revisions in, or addition to, any of the Annexes of the project document;
- (b) Revisions which 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 which rephase delivery of agreed project inputs, or reflect increased expert or other costs due to inflation, or take into account agency expenditure flexibility.

SECTION II - PROJECT RESULTS AND RESOURCES FRAMEWORK

Expected Outcome as stated in the Strategic Results Framework:		
(OP Outcome 1) Social and economic development policies, plans and laws support equitable and inclusive growth and conform to the values and goals of the Millennium Declaration and other relevant international agreements and conventions.		
Outcome indicators as stated in the CP's Results and Resources Framework: a quantitatively robust data set through which a rigorous analysis of progress in the socio-economic development of ethnic minority communities participating in Programme 135 Phase II can be made, as part of a final evaluation of the Programme for the period 2006-10		
Applicable MYFF Service Line: (OPI, Output 1.1) Improved design and more effective implementation of national target programmes (NTPs) for poverty reduction and socioeconomic development of poorest communes.		
Project title and ID (ATLAS Award ID): Support to Implementation and Dissemination of Baseline Survey 2011 for Program 135 "Social-Economic Development for Most Hardship Communes in the Ethnic Minority and Mountainous Areas" – P135 BLS 2011 - 00079413 (00062115)		
Expected Outputs	Indicative Activities	Inputs
1.1.1. The Baseline Survey 2011 for P135 successfully implemented to provide valuable information (i) for assessing changes in the socio-economic and poverty situation of ethnic minorities in Viet Nam; (ii) for assessing changes	1.1.1. BLS 2011 design: Revise and develop tools, methodology and sampling frame, manuals and training resources; test and adjust survey tool; 1.1.2. Organization of trainings for enumerators 1.1.3. Quality assurance of the survey implementation 1.1.4. Fieldtrip, data collection: Implement the survey	Outsourced to consulting companies/national consultants 9,000 EUR ¹ Trainings 15,000 EUR Outsourced to consulting companies/national consultants; 10,000 EUR Outsourced to consulting company/national

¹ The budget estimation use EUR as the currency unit to be aligned with the Standard Cost Sharing Agreement between UNDP and Finland. For practical implementation and reporting, UNDP will use USD as the currency in the accounting system.

<p>in P135 communes; and (iii) as baseline for the new program 135.</p>	<p>using the tools and sampling frame developed by the consultants</p> <p>1.1.5. Data tabulation and data cleaning: Check and clean survey database for data inputting; establish 'Clean' high quality data set for preliminary analysis</p> <p>1.1.6. Data analysis: Synthesize and analyze survey data; produce a descriptive report and data tables</p> <p>1.1.7. Organization of 3 technical discussions: Present survey data and findings to a technical workshop; revise and finalize report and data appendices after workshop.</p> <p>1.1.8. Peer reviewers to the analysis report</p>	<p>consultants, enumerators, supervisors, others 215,150 EUR</p> <p>Outsourced to consulting companies/national consultants 6,000 EUR</p> <p>Outsourced to consulting companies/national consultants 10,960 EUR</p> <p>Workshops 6,000 EUR</p>
<p><i>1.2. The BLS analysis report and dataset widely disseminated and discussed among policy makers, researchers, and related partners for EM and Poverty Reduction policy formulation</i></p>	<p>1.2.1. Organization of Launching Workshop</p> <p>1.2.2. Publications and dissemination (CDs of BLS dataset, printing of reports, leaflet, summary notes)</p>	<p>National Consultants 1,000 EUR</p> <p>Workshops 5,000 EUR</p> <p>Printings, others 10,000 EUR</p>

SECTION III – TOTAL WORK PLAN AND BUDGET²

Overall workplan and budget:

Activities	Breakdown items	Unit costs (EUR)	Estimated budget (EUR)	Timeline
BLS 2011 design	60 mandays	150	9,000	Sep 2011
3 regional trainings	140 trainees	5,000	15,000	Oct 2011
Quality assurance of the survey implementation	100 mandays for 3 months	100	10,000	Oct 2011-Jan 2012
Fieldtrip, data collection				Oct-Dec 2011
<i>Allowances for enumerators</i>	<i>140 enumerators, 25 days</i>	<i>20</i>	<i>70,000</i>	<i>Oct-Dec 2011</i>
<i>Travel costs for 22 teams to visit 6,000 household in 400 remote communes, 45 province, by air, cars</i>	<i>140 enumerators, 20 supervisors</i>	<i>600</i>	<i>80,000</i>	<i>Oct-Dec 2011</i>
<i>Daily stipends in the field</i>	<i>160 people in 25 days</i>	<i>18</i>	<i>63,000</i>	<i>Oct-Dec 2011</i>
<i>Costs for local EM speaking interpreters and guides</i>	<i>43 provinces</i>	<i>50</i>	<i>2,150</i>	<i>Oct-Dec 2011</i>
Data tabulation and data cleaning	60 mandays	100	6,000	Jan 2012
Data analysis	80 mandays	137	10,960	Jan-Feb 2012
Organization of 3 technical discussions	3 workshops	2,000	6,000	Dec 2011 - Mar 2012
Fee for senior technical persons as peer reviewers to the analysis report	10 experts, 2 days each	50	1,000	Dec 2011 - Mar 2012
Organization of Launching Workshop	with 100 participants	5,000	5,000	April 2012
Publications and dissemination (CDs of BLS dataset, printing of reports, leaflet, summary notes)			10,000	May 2012
Audit			1,500	May 2012
7% General Management Support (GMS) and 3% DIM support services (procurement, financial management, recruitment)			35,000	
Miscellaneous (simultaneous interpretation, translation)			3,890	
Contingency			21,500	
TOTAL			350,000	EUR

² The budget estimation use EUR as the currency unit to be aligned with the Standard Cost Sharing Agreement between UNDP and Finland. For practical implementation and reporting, UNDP will use USD as the currency in the accounting system.

Detail Annual Workplans:

2011 ANNUAL WORKPLAN

Expected outputs, indicators and quarterly targets	Planned Activities	Timeframe		Responsible Party	Estimated budget		Issues, Challenges and Solutions
		Q3	Q4		Funding source	Amount (USD) ³	
<p style="text-align: center;">Corresponding One Plan Output: One Plan 2, Output 1.1 (OPI 1.1): Improved design and more effective implementation of national target programmes (NTPs) for poverty reduction and socioeconomic development of poorest communes.</p>							
Results							
OP 2 - Results OPI 1.1.1, 1.1.2, 1.1.3, 1.1.4, 1.1.5							
Project management	GMS	x				32,757	
	Audit						
	ISS	x			FINLAND	15,021	
	Miscellaneous (simultaneous interpretation, translation)	x	x	UNDP		5,081	
	Contingencies	x	x			9,227	
SUB-TOTAL OF PROJECT MANAGEMENT						62,086	

³ Exchange rate for July 2011

Output 1. 1.1. The Baseline Survey 2011 for P135 successfully implemented to provide valuable information (i) for assessing changes in the socio-economic and poverty situation of ethnic minorities in Viet Nam; (ii) for assessing changes in P135 communes; and (iii) as baseline for the new program 135.

1.1.1. BLS 2011 design: Revise and develop tools, methodology and sampling frame, manuals and training resources; test and adjust survey tool; (outsourced to national consulting company)	x				10,300	
1.1.2. Organization of 3 trainings for enumerators		x			21,459	
1.1.3. Quality assurance of the survey implementation (outsourced to national contractor)		x			11,445	
1.1.4. Fieldtrip, data collection: Implement the survey using the tools and sampling frame developed by the consultants (outsourced to national contractor)		x			246,235	
1.1.5. Data tabulation and data cleaning: Check and clean survey database for data inputting; establish 'Clean' high quality data set for preliminary analysis (outsourced to national contractor)		x			6,867	
1.1.6. Data analysis: Synthesize and analyze survey data; produce a descriptive report and data tables (outsourced to national contractor)						
1.1.7. Organization of 3 technical discussions: Present survey data and findings to a technical workshop; revise and finalize report and data appendices after workshop.		x				
1.1.8. Peer reviewers to the analysis report		x				

SUB-TOTAL OF OUTPUT 1						296,306
Output 2. The BLS analysis report and dataset widely disseminated and discussed among policy makers, researchers, and related partners for EM and Poverty Reduction policy formulation	1.2.1. Organization of Launching Workshop 1.2.2. Publications and dissemination (CDs of BLS dataset, printing of reports, leaflet, summary notes)					
SUB-TOTAL OF OUTPUT 2						-
TOTAL of 2011						358,392

2012 ANNUAL WORKPLAN

Expected outputs, indicators and quarterly targets	Planned Activities	Timeframe		Responsible Party	Estimated budget		Issues, Challenges and Solutions
		Q1	Q2		Funding source	Amount (USD)	
<p>One Plan 2, Output 1.1 (OPI 1.1): Improved design and more effective implementation of national target programmes (NTPs) for poverty reduction and socioeconomic development of poorest communes.</p> <p style="text-align: center;">Corresponding One Plan Output:</p>							
Results							
OP 2 - Results OPI 1.1.1, 1.1.2, 1.1.3, 1.1.4, 1.1.5							
Project management	GMS	x					
	Audit		x			2,146	
	ISS	x			FINLAND	2,783	
	Miscellaneous (simultaneous interpretation, translation)					21,531	
	Contingencies	x					
SUB-TOTAL OF PROJECT MANAGEMENT							
Output 1. 1.1. The Baseline Survey 2011 for P135 successfully implemented to provide valuable information (i) for assessing changes in the socio-economic and poverty situation of ethnic minorities in Viet Nam; (ii) for assessing	1.1.1. BLS 2011 design: Revise and develop tools, methodology and sampling frame, manuals and training resources; test and adjust survey tool; (outsourced to national consulting company)	x				26,459	
	1.1.2. Organization of 3 trainings for enumerators					2,575	

changes in P135 communes; and (iii) as baseline for the new program 135.	1.1.3. Quality assurance of the survey implementation (outsourced to national contractor)	x			2,861
	1.1.4. Fieldtrip, data collection: Implement the survey using the tools and sampling frame developed by the consultants (outsourced to national contractor)	x			61,559
	1.1.5. Data tabulation and data cleaning: Check and clean survey database for data inputting; establish 'Clean' high quality data set for preliminary analysis (outsourced to national contractor)	x			1,717
	1.1.6. Data analysis: Synthesize and analyze survey data; produce a descriptive report and data tables (outsourced to national contractor)	x	x		15,679
	1.1.7. Organization of 3 technical discussions: Present survey data and findings to a technical workshop; revise and finalize report and data appendices after workshop.	x			8,584
	1.1.8. Peer reviewers to the analysis report		x		1,431
	SUB-TOTAL OF OUTPUT 1				94,405
	Output 2. The BLS analysis report and dataset widely		x		7,153
	1.2.1. Organization of Launching Workshop				

disseminated and discussed among policy makers, researchers, and related partners for EM and Poverty Reduction policy formulation	1.2.2. Publications and dissemination (CDs of BLS dataset, printing of reports, leaflet, summary notes)	x		14,306		
SUB-TOTAL OF OUTPUT 2				21,459		
TOTAL of 2012					142,323	

List of annexes:

Annex 1: MOU of the Partnership Framework for P135-2

Annex 2: TOR of P135-2 Partnership Committee

Annex 3: P135-2 Results Framework

Annex 4: Minutes of tripartite meeting of Finland, UNDP and CEMA on BLS 2011

Annex 5: Draft TOR for the design and implementation of BLS 2011

Annex 6: Tentative workplan of the BLS

Annex 1: MOU of the Partnership Framework for P135-2

I. Introduction

1.1 This Memorandum of Understanding (MOU) sets forth a Partnership Framework between the Government of Viet Nam (Government) and signatory development partners (Development Partners) for a common approach to budget support in regard to Program 135 Phase 2.

1.2 The purpose of the proposed budget support is to support policy and institutional actions to improve the results of one of Viet Nam's principal National Target Programs (NTPs) for poverty reduction: the Program for Socio-Economic Development in Communes Facing Extreme Hardship in Ethnic Minority and Mountainous Areas (2006-2010), also known as 'Program 135, Phase 2' (hereafter, P135-2). P135-2 provides basic infrastructure, production and livelihood support services, and capacity-building support to predominantly ethnic minority communities living in Viet Nam's poorest and most remote communes and villages.

II. Objectives

2.1 The main objective of the Partnership Framework is to harmonize Development Partners' budget support arrangements, reinforcing the cooperation between the Government and the Development Partners, to increase the effectiveness and efficiency of external aid while supporting the institutional development of Viet Nam. This includes: harmonizing, to the extent possible, Development Partners' processes and procedures so as to maximize the reliance on country systems and minimize transaction costs for the Government and Development Partners; enhancing dialogue between the Government and Development Partners in order to link funding commitments to the Government's development priorities as set out in P135-2; and increasing the predictability (both in timing and amount) of budget support/ donor aid flows.

III. Participants

3.1 The participants in the Partnership Framework include the Government of Viet Nam, represented by the Committee for Ethnic Minority Affairs and relevant ministries and government agencies, and the Development Partners listed in Attachment I as amended or supplemented from time to time by the Government's letters of acceptance referred to in paragraph 8.2 below.

3.2 Additional institutions who wish to join the Partnership Framework, must have the consent of the Government to do so, and must notify all signatories in writing. Participation in the Partnership Framework does not obligate the signatory Development Partners to confirm their commitment to provide financial resources, whether in the form of budget support or technical assistance but it requires an interest in supporting P135-2 implementation. The signatories to the MOU will respect the spirit of this Partnership Framework.

IV. Operating Principles

Precedence of Bilateral and Multilateral Agreements

4.1 This MOU will be supplemented by bilateral or multilateral financing agreements, which take legal precedence over the MOU. Ultimate approval of the provision of budget support, and the circumstances/conditions under which it is provided, rests with the respective Development Partner's parliament (in the case of a bilateral donor) or Board (in the case of a multilateral donor), and conditions may be subject to review and change up to the time of approval. With due regard to the separate accountability of each Development Partner, the Development Partners will, however, endeavour to establish financing agreements that are compatible with the spirit and provisions of the Partnership Framework.

Responsibilities of the Government

4.2 The Partnership Framework is based on the understanding that the Government will:

- Establish together with Development Partners a Partnership Committee for the purpose of reviewing and evaluating progress in the implementation of P 135-2 and assessing the needs for further support (see draft TOR in Attachment 2);
- Ensure that total expenditures and sector/ program allocations effectively reflect the country's budget in general, and the poverty reduction commitments set out in the Government's Socio-economic Development Plan for 2006-2010 (SEDP 2006-2010);
- Implement macroeconomic policies consistent with stabilization and growth, and meso-level policy objectives and priorities as captured in the common policy matrix known as the Results Framework (see Attachment 5);
- Monitor and report on the effective implementation of the budget and on progress in achieving performance indicators by providing the information and reports indicated in paragraph 4.9 below;
- Ensure resource transfers to the implementing entities for P135-2 are based on the submission of appropriate quality financial and technical reports;
- Ensure that, prior to embarking on budget preparation, stakeholders at each level update and/or make the necessary modifications to work plans and budgets to incorporate outcomes to be achieved in future years as outlined in the Results Framework;
- Take agreed steps aimed at strengthening of the country's systems (e.g., financial management, procurement) for greater development effectiveness of public expenditures and enhanced transparency and accountability as outlined in the Results Framework.

Responsibilities of Development Partners

4.3 The Development Partners are committed to working in partnership with the Government to facilitate the implementation of its P135-2, both through budget support and through complementary support provided through Development Partners' wider programs. To the extent possible within existing administrative and statutory provisions, including bilateral financing arrangements with the Government that ultimately govern decisions on commitments and disbursements, Development Partners commit to:

- Provide information on future budget support commitment levels as early as possible (preferably by September 15 Sept every yearannually) in the Government's budgeting and planning process for the following year to submit to a competent agency for approval;
- Base funding commitments on performance measures derived from P135-2 objectives and priorities, as captured in the Results Framework;
- Organize, in close collaboration with the representative Government agency, joint missions to review and assess implementation of objectives under P135-2; and
- Endeavour to coordinate through the Partnership Committee their programming and financing of technical assistance and capacity building necessary to support the implementation of reforms under P 135-2.

4.4 Development Partners also agree to adhere to a *Code of Conduct* among themselves to ensure smooth and efficient working relationships. This Code of Conduct shall include the following principles:

- Development Partners shall endeavour to develop *common positions* on issues pertaining to joint support of P135-2 and to speak with one voice when meeting with Government partners. Where differences of view persist, these shall be clearly indicated to the Government;
- Development Partners agree to share all *analytical work* that they prepare or commission that may be of relevance to P135-2, and share draft TOR for such analytical work to give other Development Partners an opportunity to provide comments;
- *Meetings* of Development Partners shall be announced not less than one week in advance, with a brief agenda and any necessary background documents attached. The role of Chair of such meetings shall rotate among Development Partners. Minutes shall be taken in all meetings and circulated to all Development Partners not more than three days following the meeting. Consultants and others may also be invited to attend meetings as observers; and
- Development Partners will strive to ensure an efficient *division of labour* among themselves, depending on the availability of technical specialists and other staff in each agency, and on the issues of most concern to their respective agencies.

Performance Assessment Framework

4.5 Based on the priority areas and sectors identified by the Government for P135-2, the Government and Development Partners have agreed on a set of performance indicators, expressed in the Results Framework. The Results Framework will inform the

policy dialogue between the Government and Development Partners, will be used as a basis for judging Government performance against the agreed criteria/indicators, and will be updated in the light of semi-annual P135-2 Progress Reports and other sector/ program reviews.

4.6 Development Partners will strive to make their bilateral agreements with the Government consistent with the Results Framework, but retain the flexibility to emphasize certain (but not all) aspects of the Results Framework. While the Government and Development Partners may have a continuing dialogue about progress based on the Results Framework, each Development Partner will base its respective budget support commitments and disbursements on its own assessment and evaluation of the Government's progress in implementing bilateral commitments in connection with the P135-2, or on other factors as agreed with the Government.

4.7 In defining and monitoring performance indicators and bilateral commitments, Development Partners will rely, to the greatest extent possible, on Viet Nam's own systems in terms of statistics, budget management, medium term expenditure framework (MTEF), fiduciary arrangements for financial management and procurement (including auditing), and monitoring and evaluation.

Reviews and Reporting

4.8 Regular dialogue between the Government and Development Partners to review progress in implementation of P135-2 and associated Results Framework, and the strengthening of the country's systems, is critical for the sustained provision of budget support. The Partnership Committee will serve as a primary forum for such dialogue. The proposed work program and associated review meetings of the Partnership Committee — based on the Government's budget preparation cycle—is attached (see Attachment 3). This calendar will be updated and revised as necessary based on experience and evolving circumstances. Draft TOR for such joint progress reviews are attached (Attachment 4) and shall be updated in light of experience and evolving circumstances.

4.9 The Government, with assistance from the Development Partners, will prepare the background information to inform the review, circulating the following documentation to all Development Partners so as to ensure a meaningful discussion. Such documentation and the schedule of distribution are expected to be as follows:

- By no later than 15 days prior to each of the April/September meetings, statements showing the budget and budget execution figures, as the case may be, including presentation of priority expenditures as defined in P135-2; a semi-annual P135-2 Progress Report prepared on the basis of the Government's Aligned Monitoring Tool as applied to P135-2.
- By no later than 15 days prior to each meeting, statistical and other relevant information relating to the Results Framework indicators (for further details see Attachment 4);
- As soon as it becomes available but no later than six (6) months after the end of each fiscal year, the State Audit of Viet Nam's annual audit report of P135-2 expenditures.

4.10 Development Partners will seek to base their bilateral assessment of performance under their respective agreements on the statistical and fiscal information provided to them by the representative Government agency (CEMA) per the above. If special

indicators are made available to one Development Partner, the Government will make such information available to all Development Partners. The review process will use information gathered through ongoing processes to ensure that Development Partners do not set up parallel and individual review processes. The review process should aim to minimize additional technical work. However, if the quality of regular information is not satisfactory to the donors' requirements, the Development Partners and the Government will establish a timeframe and the possible support to build the capacity needed to provide this information.

V. Audit

5.1 As part of the annual budget execution report, the State Audit of Viet Nam (SAV) will provide an audit of use of budget funds during the previous financial year as soon as it becomes available, but no later than six (6) months after the end of the financial year. Development Partners may, as requested by Government, provide additional support to enable SAV to commission additional external audits, including aspects relating to performance audit, to allow an overall assessment of compliance with financial management regulations. The additional support could also include provisions aimed at helping to build the audit capacity of the Government.

VI. Evaluation

6.1 The functioning of the Partnership Framework will be evaluated annually by signatories to this MOU with a view to improving it as necessary. This evaluation may be carried out at an informal meeting of a majority of the Development Partners at the end of each year with participation of a relevant representative government agency. The evaluation should focus on, *inter alia*, the quality of engagement between the Government and Development Partners, the review and reporting process, and the implementation of obligations spelled out under this MOU. An independent evaluation may be requested by a Development Partner at any time.

VII. Entry into Operation and Amendments

7.1 This MOU enters into operation on the date of signature by the Government and at least three Development Partners. Amendments to the Partnership and to this MOU may be made through an exchange of letters in terms accepted by all signatories. Any disagreement concerning the procedures of the Partnership Framework will be settled by dialogue and consultation between signatories. In some instances, it is recognized that Development Partners may be unable to reach mutual agreement. In case of disagreement, however, unless an amendment has come into effect as described above, the terms of this MOU remain in full force and effect.

7.2 Notwithstanding the entry into operation of this MOU, each Development Partner retains the full right to exercise any of its right, power or remedy pursuant to its bilateral or multilateral financing agreement with the Government, including the right to suspend commitments already made or to terminate its budget support to P135-2 in accordance with the provisions of such bilateral or multilateral financing agreement. To the extent possible, prior to exercising such right, the Development Partner will endeavour to give 3 month-notice to the other signatory Development Partners.

VIII. Accession; Withdrawal; Termination

8.1 The Government and Development Partners welcome the accession to the Partnership Framework and to this MOU by other Development Partners who wish to support the implementation of P135-2.

8.2 Upon a new Development Partner's written request and acceptance of the terms and conditions of this MOU, the Government may authorize in writing such Development Partner to accede to the Partnership Framework and to this MOU; the Government's letter of acceptance will be included as an amendment to the list of signatory Development Partners in Attachment 1. The Government will promptly inform the other signatory Development Partners and furnish them with a copy of the letter of acceptance.

8.3 (a) Unless the Government and the signatory Development Partners otherwise agree in writing, the arrangements set forth in this MOU will terminate upon the earlier of:

- (i) By December 31 Dec 2010], 2011; or
- (ii) the withdrawal of the Government from the Partnership Framework; or
- (iii) the withdrawal of one or more signatory Development Partners from the Partnership Framework so that the remaining signatory Development Partners number fewer than three.

(b) Notwithstanding the provisions of sub-paragraph (a) of this Section 8.3, individual signatory Development Partners may withdraw from the Partnership Framework and this MOU by giving the Government and other signatory Development Partners a three-month written notice.

AGREED at Hanoi, Viet Nam, on this day July 6, 2007.

Annex 2: TOR of P135-2 Partnership Committee

- Based on the Memorandum of Understanding on Partnership Framework for Budget Support for the Program 135 phase II (P135-II) between the Government of Viet Nam and Development Partners of 6/7/2007.

- Pursuant to the Decision 325/QĐ-UBDT dated 06/11/2007 by the Minister, Chairman of the Committee for Ethnic Minority Affairs (CEM) on establishment of the Partnership Committee for the Program 135 phase II and the Secretariat.

Upon agreement between the Chair, Co-chair and members of the Partnership Committee, stipulates regulations of the Partnership Committee as follows:

Chapter I GENERAL PRINCIPLES

Article 1. The regulations stipulates operation of the Partnership Committee for P135-II (Hereafter referred to as Partnership Committee (PC)).

Article 2. PC shall operate as an advisory board for the Minister, CEM's Chairman to advice the Government Steering Committee through all P135 implementing agencies and Development Partners (DPs) to: review and assess progress of P135 implementation against the agreed Result Framework; propose necessary actions to improve P135-II implementation; review and coordinate technical support for P135-II; report review results and recommendations to the Minister, CEM's Chairman to provide recommendations on NTP-PR and P135-II to the Government Steering Committee.

Article 3. PC shall be able to make decision to establish working groups on specific policies or P135-II implementation issues. Members of the working groups are representatives from ministries, government agencies and DPs. Meetings of the working groups shall not limit to Joint Review Mission (see Annex 3 of the Memorandum of Understanding (MOU)) but can be convened when the members deem needed.

Article 4. PC shall have shared and central direction; support and promote initiativeness and creativity of its members.

Chapter II RESPONSIBILITY DIVISION

Article 5. PC's tasks:

1. to implement the tasks specified in the Decision 325/QĐ-UBDT of 06/11/2007 by the Minister, CEM's Chairman and agreed Annex 2 Terms of Reference attached to the MOU between GoV and DPs on 6/7/2007.
2. to implement other tasks requested by National P135-II Steering Committee or proposed by any PC member that are agreed by PC.

Article 6. Responsibilities of Chairman of PC:

1. be responsible for overall operation of PC. Direct the development and implementation of PC programs, and workplan.
2. to convene and chair PC meetings.

3. to assign specific tasks for PC members; direct the coordination among PC members;
4. to direct the implementation of joint review mission and process of developing aide memoir and consolidated report after each joint progress review mission for P135-II.
5. to direct the development of and signing documents that are of PC power.
6. to promptly keep PC members informed of directions by Government Steering Committee.

Article 7. Responsibilities of PC members:

1. to participate in all PC activities; implement PC tasks and specific tasks assigned by PC chairman. If a PC member can not join a PC activity, he/she shall send replacement and be responsible for his/her authorization.
2. PC members who are government officers: consolidate and provide materials related to their areas of specialization as requested by PC for CEM to consolidate and report to NTP-PR and P135 Government Steering Committee; coordinate functional departments in implementing agencies to harmoniously implement recommendations from review missions.
3. PC members from DPs: Coordinate support for government agencies in areas of interest; share information with PC members; serve as a bridge connecting GoV and DPs in support for P135-II implementation.

Article 8. Responsibilities of the Secretariat:

Assist PC in implementing its tasks including those as specified in Article 5, 6 and 7 as follows:

1. the Secretariat shall elect a representative as the chair of the Secretariat who coordinates Secretariat activities.
2. to prepare necessary contents for regular and irregular PC meetings in line with the directions of PC chairman, including drafting contents, finding location, time and other relevant issues and preparing minutes of meetings.
3. to assist PC in organizing regular joint review and mid-term review, including preparing terms of reference, detailed plan and logistics for field visits, arrangement of meetings with ministries and agencies and organization of review workshops to present findings from review missions, assist PC in developing and finalizing Review Reports.
4. to prepare and systemize PC's minutes of meetings as well as reports/recommendations to government steering committee on NTP-PR and P135-II implementation.
5. to research, guide and advice PC concerning constraints in P135-II implementation.
6. to implement other tasks as requested by PC.

Chapter III OPERATING PRINCIPLES

Article 9. PC operate in cooperative manner in the fields of its responsibilities. Any issue that can not be solved properly in a PC meeting shall be further studied and sloved in following meetings.

Article 10. Regular information sharing between each DP and PC on issues directly related to P135-II shall be discussed by PC and implemented through the DP's representative and PC and vice-versa. Besides, PC members shall commit to sharing program information and experience and relevant ongoing plans and their own plans for better contribution to P135-II implementation.

Article 11. A PC member shall have right to request other members and be willing to provide his/her own materials and information related to tasks and responsibilities of other members as well as PC as the whole.

Article 12. At the request by PC member agencies, PC chairman shall present the list of members to CEM leaders for approval (for Government members), revision or replacement.

Article 13. Budget for PC operation:

1. The funding from P135-II management budget shall be used to cover expenses incurred by members representing government agencies in line with regulations of revised decree on cost norms and support for ODA by the Ministry of Finance.
2. DPs shall cover expenses: (i) related to nominating staff to attend PC activities and (ii) studies proposed by DPs;
3. UNDP shall provide support to PC through the Project VIE/02/001 until Finland's Technical Assistance Project officially operates. The support shall include: budget for PC meetings (printing, translation, interpreter, meeting room rental if needed); budget for joint progress reviews and the mid-term review.

Chapter IV EXECUTION PROVISION

Article 14. If any conflict arises in its operation, the Secretariat shall assist PC to combine propositions and recommendations for revisions to submit to PC chairman for consideration and decision./.

Annex 3: P135-2 Results Framework

Objectives	Lead agency	Prior Actions (DPC1)	Current status of PA	Indicative Future Triggers			Indicator
				2007	2008 (DPC2)	2009	
Policy Area I: Poverty Targeting							
I.A. Commune, Village and Household Selection							
Commune, village and household selection criteria under P135-2 are pro-poor and effectively applied	CEM	Decision 393/2005/QĐ-UBĐT incorporates revised, verifiable, poverty-based criteria for selection of communes and villages included in P135-2	Completed	Decision issued on list of communes to graduate from P135 in 2009	Actual P135-2 commune, village, and household selection reviewed at MTR, and commitment made to revise selection criteria in light of evidence	Efficacy of actual poverty-targeting in commune, village and household selection evaluated at end of P135-2	Selection criteria verified ex post using small-area estimation techniques to generate poverty maps based on data from VHLSS 2004 and 2006 Agricultural Census
I.B. Program Resource Allocation							
Program resource allocation favors poorer participating communes and villages	CEM (PPC)	Inter-ministerial circular 676/2006 requires that provinces allocate resources to participating communes and villages on a 'non-egalitarian', pro-poor basis	Completed	Provinces use explicit and objectively-verifiable criteria including poverty measures for allocating resources to participating communes & villages	Actual allocation of P135-2 resources from provinces to participating communes and villages reviewed at MTR, and allocation criteria revised in light of evidence	Poverty-targeting of actual P135-2 resource allocation reviewed at end of program	Resource allocation verified ex-post using disaggregated actual program expenditure data in comparison with poverty maps or other reliable sources of poverty data
I.C. Enhancing Sustainability of Program Investment							
Program infrastructure outputs are well maintained	CEM (MOF, PPC)		n/a	O&M groups with recognized legal status formed in participating communes and villages, and clear plan with monitorable actions formulated on measures to build their capacity. Assessment of O&M quality and adequacy of O&M funding from different sources as input to MTR	Provision of financing for O&M of public infrastructure in mountainous areas reviewed in light of MTR findings, and commitment made to increase as needed	Additional resources allocated as required from state budget (central, provincial or district level) to support periodic maintenance of basic infrastructure in P135-2 communes	Actual spending on periodic maintenance at provincial and district levels; technical audits of infrastructure O&M carried out at MTR and EOP
I.D. Pro-Poor Orientation of Production/ Livelihoods Support							

<p>Poor upland households increase incomes and diversify livelihoods in a sustainable, market-responsive manner</p>	<p>MAARD</p>	<p>Circular issued on strategy for providing support services in upland communes based on farmer demand and market orientation</p>	<p>Completed</p>	<p>Operational guidelines prepared for delivery of market-oriented, pro-poor production/livelihood support under P135-2, including the planned phase-out of input subsidies</p>	<p>MTR indicates which pro-poor, market-oriented production/livelihood support activities should be implemented more widely in participating provinces</p>	<p>End-of-program evaluation considers adoption of new practices by poor households and diffusion to poor households outside P135-2</p>	<p>MIS data, citizen report-card surveys and other PM&E results including reports of horizontal learning events</p>
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Objectives	Lead agency	Prior Actions (DPC1)	Current status of PA	Indicative Future Triggers			Indicator
				2007	2008 (DPC2)	2009	
Policy Area II: Decentralization, Participation and Empowerment							
II.A. Informed Public Participation in Program Planning and Management							
<p>Socially inclusive, active and informed participation in program planning, implementation and monitoring achieved, and NTPs and other forms of public action at commune level effectively coordinated</p>	<p>CEM</p>	<p>Communication Strategy formulated to guide the implementation of communication activities under P135-2 by CEM and by implementing agencies at the province, district, and commune levels</p>	<p>Completed</p>	<p>Specific indicators developed to measure progress in practice; user-friendly outreach materials are regularly disseminated in ethnic minority languages and audio-visual formats; and informed participation takes place in program planning and implementation at grassroots level</p>	<p>MTR determines progress towards improved vertical and horizontal communication goals</p>	<p>MIS data, citizen report-card surveys and other PM&E results including reports of horizontal learning events</p>	<p>MIS data, citizen report-card surveys and other PM&E results including reports of horizontal learning events</p>
II.B. Devolution of Investment Ownership							

All P135-2 communes act as investment owners for a significant share of all infrastructure investments, and communities apply acquired skills in activities beyond P135-2 alone	CEM (PFC)	Guidance drafted and circulated to relevant ministries, agencies and provinces on transparent criteria to be used to determine commune readiness to assume investment ownership responsibility	Completed	All P135-2 communes with prior experience in investment management under State or ODA-supported projects (>35% of total) are granted investment ownership responsibility for 2007, necessary legal framework covering administrative and financial procedures to ensure commune-level investment ownership	>60% of P135-2 communes are granted investment ownership responsibility for 2008	>90% of P135-2 communes are granted investment ownership responsibility for a significant share of total value of program investments	100% of P135-2 communes are investment owners for a significant share of total value of program investments; and communities apply acquired skills in activities beyond P135-2 alone	MIS data, citizen report-card surveys and other PM&E results including reports of horizontal learning events
II.C. Local Institutional Capacity Building Support								
Communities apply learned behaviors in grassroots democracy (e.g. supervision of investment) in activities beyond the scope of P135-2	CEM	≥ 7% total program cost allocated for capacity-building of all kinds at central, provincial, district and local levels	Completed	Institutional capacity-building plan adopted, tailored according to assessed levels of initial capacity, and initiated both at commune/village and higher levels in order to provide enabling environment for exercise of investment ownership and grassroots democracy	>60% of program communes and villages supported in preparation of participatory investment planning, coordinating investments from various sources, widespread evidence of community supervision of infrastructure investments in line with Decision 80	>90% of program communes and villages implement participatory investment plans; widespread evidence of community supervision of infrastructure investments in line with Decision 80	PM&E findings suggest widespread use of learned behaviors beyond P135-2 alone	Citizen report-card surveys and other PM&E results including reports of horizontal learning events

Objectives	Lead agency	Prior Actions (DPC1)	Current status of PA	Indicative Future Triggers			Indicator
				2007	2008 (DPC2)	2009	
Policy Area III: Fiduciary Transparency and Accountability							
III.A. Procurement for Small-Scale Infrastructure							

<p>Improved cost-effectiveness and quality of, and citizen satisfaction with, built infrastructure</p>	<p>CEM (MPT)</p>	<p>n/a</p>	<p>Supplementary regulation issued amending procurement requirements under P135-2 so as to: (i) require open competitive bidding to be the principal method for civil works under P135-2; (ii) provide guidance on Community Contracting; (iii) limit the use of Direct Contracting method to exceptional circumstances (which shall be clearly specified); and (iv) remove the value-based thresholds for use of Direct Contracting in Sub-Clause 2.8.1(a) of Circular 676/2006</p>	<p>≥ 50% of contracts awarded through open and competitive bidding, and/or other non-Direct community contracting and verified by SAV's performance audit reports</p>	<p>≥ 90% of contracts under P135-2 awarded through open and competitive bidding and/or other non-Direct Contracting methods, and verified by SAV's performance audit reports. 100% of program communes community contracting for 100% of commune/village-level works</p>	<p>All program provinces require use of open competitive bidding and/or other non-Direct Contracting methods; Direct Contracting allowed only under exceptional circumstances subject to detailed justification; outcomes verified by SAV's performance audit reports</p>	<p>EOP evaluation report including collated MIS and expenditure data, independent audit findings, findings of citizen report-card survey, interim assessments of results from provinces using and not using competitive procurement methods; SAV's performance audits</p>
<p>III.B. Public Financial Management</p>							
<p>Transparency and efficiency in public resource use achieved</p>	<p>MOF, CEM</p>	<p>Completed</p>	<p>(i) Quarterly financial reports and reconciliation of expenditures between spending agencies and STV produced program-wide; (ii) Quarterly statements of actual fund-flow down to investment-owner level prepared; (iii) Six-monthly reports on allocation, transfer and usage of P135 funds to provincial level publicly disclosed via MoF website</p>	<p>[Implementation of agreed actions (i)-(ii) continued and monitored]</p>	<p>[Implementation of agreed actions (i)-(ii) continued and monitored]</p>	<p>[Implementation of agreed actions (i)-(ii) continued and monitored]</p>	<p>(i) More reliable and timely information on provincial and commune financial reporting and fund-flow maps; (ii) Budget document published for P135-2</p>

III.B. Public Financial Management (cont.)

<p>Ensure adequate oversight over public funds through independent audits</p>	<p>SAV</p>	<p>Multi-year audit plan for Program 135-2 issued and shared with donors that provides for: (i) scope of annual audits, acceptable to donors, with a view to increasing the number of sample provinces by ≥ 20% each year; (ii) annual P135-2 audit reports submitted within 6 months of each year-end starting with 2007; (iii) the engagement of independent external auditors as may be necessary</p>	<p>Completed</p>	<p>(i) Annual audit plan acceptable to donors prepared by the start of the financial year; (ii) Annual audit conducted with sample coverage of ≥ 8 provinces; (iii) FY2006 Audit Report issued by June 30, 2007; (iv) Implementation of prior year's audit recommendations reviewed; (v) Audit reports publicly disclosed through the media and SAV website in accordance with the State Audit Law</p>	<p>(i) Annual audit plan acceptable to donors prepared by the start of the financial year; (ii) Annual audit conducted with sample coverage of ≥ 10 provinces; (iii) FY2007 Audit Report issued by June 30, 2008; (iv) Implementation of prior year's audit recommendations reviewed; (v) Audit reports publicly disclosed through the media and website in accordance with the State Audit Law</p>	<p>(ii) Annual audit plan acceptable to donors prepared by the start of the financial year; (iii) Annual audit conducted with sample coverage of ≥ 14 provinces; (iii) FY2008 Audit Report issued by June 30, 2009; (iv) Implementation of prior year's audit recommendations reviewed; (v) Audit reports publicly disclosed through the media and website in accordance with the State Audit Law</p>	<p>(i) Annual audit plan acceptable to donors prepared by the start of the financial year; (ii) Annual audit conducted with sample coverage of ≥ 18 provinces; (iii) FY2009 Audit Report issued by June 30, 2010; (iv) Implementation of prior years' audit recommendations reviewed; (v) Audit reports publicly disclosed through the media and website in accordance with the State Audit Law</p>	<p>(i) Multi-year audit plan produced and updated annually; (ii) Annual audit plans produced; (iii) Audits conducted with adequate and expanding audit coverage; (v) audit reports publicly disclosed through the media and on the SAV website</p>
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III.C. Community Contributions

<p>Local contributions are equitable; wage-earning opportunities in public works fully exploited for generation of local multiplier effects, especially for the poorest households</p>	<p>CEM (MDF)</p>	<p>Inter-ministerial circular 676/2006 stipulates that compulsory local contributions are affordable, the poorest households are exempted from compulsory cash contributions, and mechanisms are developed to promote paid local labor in civil works, with priority given to poor households in wage-earning opportunities</p>	<p>Completed</p>	<p>>50% of infrastructure investments include local labor; value of unpaid labor contributions captured in MIS and commune accounts</p>	<p>>75% of large investments include paid local labor; 100% of small investments include paid local labor; pro-poor rules applied for unpaid contributions and priority given to poor households in access to wage-earning opportunities</p>	<p>90% of all infrastructure investments include paid local labor; value of unpaid labor contributions captured in MIS & commune accounts</p>	<p>EOP evaluation reports on extent of paid labor created and value of unpaid labor contributions, and reports evidence of pro-poor rules applied in either case</p>	<p>MIS data, citizen report-card surveys</p>
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Objectives	Lead agency	Prior Actions (DPC1)	Current status of PA	Indicative Future Triggers			Indicator
				2007	2008 (DPC2)	2009	
Policy Area IV: Monitoring and Evaluation							
IV.A. Impact Evaluation							
Evaluation of program outcomes performed to high methodological standard including use of appropriate comparator data	CEM, GSO with TA support	Outcome indicators and overall M&E framework agreed and adopted; baseline survey designed including matched control group	Completed	Baseline survey completed including matched control group	Mid-term review of P135-2 includes mid-term impact evaluation against baseline and national goals	EOP evaluation of P135-2 includes final impact evaluation against baseline and national goals	Baseline, MTR and EOP surveys draw to the extent possible on existing data sources such as VHLSS, agricultural census (2006), and other GSO data as appropriate
IV.B. Process Monitoring							
Effective and reliable MIS is used to track progress towards agreed outcomes and identify/resolve program management issues	CEM (MPI) with TA support	Action Plan adopted to adapt Government's ODA portfolio monitoring tool to create an MIS for tracking and reporting on P135-2 inputs, outputs, and intermediate outcomes	Completed	MIS in place, used to track and report on inputs, outputs, and intermediate outcomes; participatory M&E approaches designed and mechanisms for cross-learning between participating localities introduced	Citizen report-card survey and regional "lessons-learned assessments" conducted to support program mid-term review	Citizen report-card survey conducted to support end of program evaluation; MIS data collated as appropriate as input to EOP evaluation	MIS data, citizen report-card surveys, other PM&E outputs

Annex 4: Minutes of tripartite meeting of Finland, UNDP and CEMA on BLS 2011 10 June 2011

Participants:

- CEMA: Ha Hung - CEMA Vice Minister, Vo Van Bay, Nguyen Van Tan - EM Policy Dept.
- UNDP: Nguyen Tien Phong, Vo Hoang Nga
- Finland Embassy: Le Dai Nghia

Key discussions and conclusions:

1. The three parties reached agreement of the importance to support the implementation of the BLS 2011, as one commitment of GoV and DPs as signed in the MOU2007.
2. Finland has, with support from CEMA and acceptance from UNDP, agreed to transfer the fund earmarked for the BLS to UNDP as an institution to manage and implement the activity.
3. To ensure the timing of the activity to get started, UNDP will need to manage the fund from the country office, not from any of its technical assistance projects at CEMA. This means the UNDP rules and regulations will be applied to the management of the fund, which will be reflected in an MOU between UNDP and CEMA.
4. UNDP will use the partnership mechanism to ensure the BLS process and products are well consulted, meet the requirements of the program, and able to mobilize contribution of GOV and DPs.
5. CEMA will designate focal point from EM Policy Department and P135-2 Coordination office to cooperate with UNDP in the preparation of the MOU, and in the BLS implementation process.
6. UNDP and Finland will proceed, after this meeting, a Strategic Partnership Agreement on the transfer of fund from Finland to UNDP. Finland, then, will officially inform CEMA of the agreement. CEMA will, in turn, officially inform other GOV agencies and development partners in the P135-2 partnership about UNDP's taking over the responsibility to support CEMA to implement the BLS, using the fund from Finland.
7. The scope of UNDP's support in this Agreement will :
 - a. include: Design, data collection, data cleaning, survey quality assurance, analysis of the BLS, technical discussions and consultation meetings, publications of BLS analysis report and related advocacy materials (leaflets, summary, CDs of dataset), and dissemination (other donors like IA can contribute to the dissemination process including the Launching event)
 - b. be limited to the BLS process, not to the whole End of Programme Evaluation (which will include some other important thematic studies that need commitment and contribution from others)
 - c. imply that the BLS data and findings/recommendations from the BLS analysis report might not be able to timely contribute to the design of the P135-3 by the time it's finalized, but rather to be able to contribute to the M&E of the new programme (as baseline) and to improve the programme implementation.

Annex 5: Draft TOR for the design and implementation of BLS 2011

1. Context

Programme 135 (P135) is a key Government of Viet Nam poverty reduction and socio-economic development programme focused upon the poorest, most remote ethnic minority and mountainous communes throughout Viet Nam. The Programme is managed by the State Committee for Ethnic Minority Affairs (CEMA) and has recently completed a second phase cycle, from 2006-2010. A third phase of the Programme is currently under negotiation and will run for another four years, from 2012-2015.⁴

P135-II delivered programme components in agricultural production support, infrastructure development, capacity building and improved socio-cultural livelihoods. The objectives of the Programme are to create a rapid change in production techniques, promote a shift in agricultural economies toward market oriented production, improve the livelihoods of ethnic minority people in the poorest communes and villages in a sustainable way, and reduce the development gaps between different ethnic groups and regions in the country. Programme targets state that by 2010 there will be almost no hungry households, the rate of poor households will be reduced to below 30%; and more than 70% of households will receive an average income per person of over 3.5 million VND per year. Primary responsibility for implementation of the Programme lies with districts and communes under the supervision of provincial steering committees, with CEMA the lead central agency responsible for managing the programme, coordinating with other ministries and agencies, monitoring the programme and creating an enabling environment through developing appropriate policies and guidelines.

Program 135-II is supported by seven international donors through Targeted Budget Support (TBS). Three donors have also established Technical Assistance (TA) projects; the Embassy of Finland (TA Support for Management of Program 135-II, the SM-P135 Project), Irish Aid and UNDP (VIE/02/001 SEDEMA project, Socio-Economic Development Program for Ethnic and Mountainous Areas).

In 2007 the General Statistics Office of Viet Nam, on behalf of CEMA and with technical assistance and funding from the UNDP VIE/02/001 Project, completed a baseline survey for P135-II. The survey sampled 6,000 households in 400 communes overall, of which 4,000 households were a treatment group randomly selected from P135-II communes and 2,000 households a control group drawn from P135 Phase I communes not included in Phase II. Separate household and commune questionnaires were applied in the samples based on questionnaires used in the bi-annual Viet Nam Household Living Standards Survey (VHLSS), with additional questions introduced for elements of P135-II not covered by the VHLSS. A baseline survey report was subsequently published in December 2008 and the dataset is widely regarded to be the best and most comprehensive data source on the socio-economic status of ethnic minorities in Viet Nam currently available.

Phase II of the Programme was completed at the end of 2010 and UNDP, CEMA and Development Partners now intend to repeat the survey in 2011, in order to assess progress under the programme through Phase II and as an input to a comprehensive final evaluation of P135-II. The survey will also provide a quantitative baseline for the proposed Phase III of the programme, 2012-2015. Successive benchmark surveys over time will enable CEMA to develop a comprehensive view of changes in ethnic minority wellbeing, and track progress in meeting P135 objectives in target communes.

⁴ As the third phase of P135 was not yet approved by the Government of Viet Nam (GoVN) by the beginning of 2011, the Programme was extended for another year in 2011 under the Phase II format.

In order to manage the 2011 survey process, UNDP (on behalf of CEMA and Development Partners funding the survey) is now seeking to recruit a consultant team to manage all aspects of the survey process, as detailed in the remainder of this Terms of Reference (ToR).

2. Objectives

The overall objectives of the survey are as follows:

- 4) Benchmark progress in the poverty and socio-economic status of ethnic minority communities in mountainous, remote areas of Viet Nam;
- 5) Provide a quantitatively robust data set through which a rigorous analysis of progress in the socio-economic development of ethnic minority communities participating in Programme 135 Phase II can be made, as part of a final evaluation of the Programme for the period 2006-10;
- 6) Establish a clear ‘beginning of programme’ quantitative baseline for the new Programme 135 for the period 2012-2015, against which future progress can be periodically benchmarked.

Specific objectives of the consultancy are as follows:

- 1) Design a high quality survey tool, survey methodology and implementation process that delivers quality data on ethnic minority well-being. The consultants are expected to devise an appropriate panel survey sampling frame and methodology to reach the survey objectives mentioned above. The design of the survey should:
 - Be comparable with the 2007 data set and be readily utilised for both an end of project evaluation, and new Programme 135 baseline.
 - Meet best international practice standards, and capture data which ensures an analysis of diversity (particularly gender differences) between and within ethnic minority groups.
 - Includes enquiries into the language and cultural norms and practices of ethnic minorities, and the quality of public services and basic infrastructure provision.
- 2) Train key staff of the survey data collection service provider who will train the survey enumerators, monitor and supervise the implementation of the survey and supervise data input and cleaning.
- 3) Carry out preliminary analysis of the dataset, including presenting data in tabular format, and complete a descriptive report of the survey data.

3. Deliverables

The Contractor will be evaluated against the following deliverables, which should be produced in both Viet Nameese and English:

- A work plan for the assignment submitted within 1 week of signing the contract;

- A survey design brief which outlines potential survey design options and recommends/justifies preferred design options. The recommended design options should reflect the need to ensure maximum alignment between the 2007 survey and the new survey, and take into consideration the budget available for the implementation of the survey;
- Draft list of survey indicators, questionnaires, sampling frame and survey manual;
- A survey implementation plan;
- Survey pre-test report after pilot testing;
- Revised (from 2007) training materials for the training of enumerator trainers of the survey data collection service provider;
- Delivery of training-of-trainers course on the survey methodology, questionnaires, survey manuals and data inputting;
- Regular weekly monitoring reports during the survey implementation phase and data input & cleaning phase;
- ‘Clean’ data set ready for analysis;
- Analysis report of the survey data;
- Presentation of report and key findings to a joint CEMA/ DP workshop.

4. Scope

This activity is intended to provide an objective and robust quantitative assessment of progress in socio-economic development in poor ethnic minority communes around the country. It is also intended to enable some analysis to take place of the impact and effectiveness of P135-II programme activities in facilitating improved access of communities to essential services and basic infrastructure. The survey will provide a benchmark through which changes from the 2008 survey can be estimated and will also serve as a baseline for the continued evaluation of ethnic minority poverty under the next phase of P135. The survey is expected to contribute significantly to the understanding of ethnic minority poverty and wellbeing in Viet Nam and provide a critical evidence base to future policy discussions on resolving ethnic minority poverty.

5. Methodology

The Contractor recruited to undertake this assignment will be expected to demonstrate the highest levels of competency in the design, implementation management and analysis of quantitative household surveys. They will be expected to deliver a quality process and product to international standards. The survey methodology should follow the steps indicated in the ‘deliverables’ section above with the design brief, in particular, expected to clearly outline the sampling frame and commune/ household selection criteria, as well as a sound methodology for identifying a control sample and for identifying households to be included in the survey ‘panel’. The methodology developed will be rigorously analysed by quantitative analysts from the World Bank and others, and recommendations from reviewers will need to be incorporated into a revised methodology by the consultants before the survey can proceed.

6. Implementation Plan

The Contractor should provide a consultant team (of two to three persons) and will be expected to undertake the following tasks, in close consultation with UNDP:

	Activity	Estimated Time Allocation (In total between the consultants)
1.	Prepare a detailed work plan for the assignment, including reviewing previous survey documents	3 days
2.	Review survey design options and document these in an initial survey design brief	5 days
3.	Propose and agree a list of indicators to be collected through the survey	3 days
4.	Finalize (based upon the 2007 survey), a questionnaire and prepare a table that matches specific questions from the questionnaire to the target indicators	14 days
5.	Develop the sampling frame for the survey (to include treatment and control groups, and a panel component)	4 days
6.	Pre-test questionnaires	15 days
7.	Prepare/ adapt the survey manual	10 days
8.	Prepare/ adapt training materials and train the trainers of the data collection service provider who will be responsible for training the survey enumerators	26 days
9.	Monitor and supervise the implementation of the baseline survey	35 days
10.	Develop a database for the survey data and monitor the process of data inputting and cleaning, so that data is ready for analysis	20 days
11.	Write the survey report (including tabulating survey results) and present to a technical meeting of CEMA and DP staff	55 days
	TOTAL	190 days

The Contractor will be expected to periodically present work in progress to UNDP, CEMA and other interested DPs. At least one technical meeting will be held to review and approve the list of indicators, questionnaire, sampling frame and survey manual for the survey, before training of trainers can take place. The final report will be presented to a technical workshop and the consultants will be expected to revise the report in light of comments received, before final payment is made.

All the deliverables (questionnaires, progress report, sampling report, survey manual, BLS analysis report) should be submitted in both Viet Nameese and English.

7. Timing, Duration and Location

The assignment will commence in September 2011. It is anticipated that the survey will be completed by the end of December 2011 and the write up of the report by the end of March 2012, so the consultant team will be required to provide intermittent inputs during this period. In particular, intensive input will be required in September and October in developing the survey tools and sampling frame, pilot testing the survey and in training enumerator trainers. Thereafter the team will be required to monitor the implementation of the survey and data inputting, and will be required to work intensively once the data is available to draft a survey report. The work will be carried out in Hanoi but with travel to the provinces to field test the tools and monitor implementation of the survey.

8. Reporting Line, Administrative Support and Reference Documents

The Contractor will be technically and contractually responsible to the Head of UNDP's Poverty and Social Development (PSD) cluster for all aspects of the assignment. They will be expected to work closely with the UNDP STA in the SEDEMA project, the responsible UNDP Programme Officer and other SEDEMA project technical staff at all times. The Contractor will also be expected to regularly brief CEMA and other interested parties on the progress of the survey.

UNDP and SEDEMA project will provide the Contractor with all materials relating to the 2007 survey, including questionnaires, survey manual and training materials, along with the STATA dataset from 2007. Documents related to P135-II, the new P135 document for 2012-2015 and other related materials will also be provided.

9. Qualifications and Work Experience

A Contractor is sought to undertake this assignment. Proposals submitted should clearly indicate exactly which activities and deliverables each consultant will be responsible for, and a team leader should be nominated. Each consultant should be able to demonstrate clearly the following skills and experience.

Required:

- Advanced degree (PhD) in statistics or economics plus strong background in econometrics and impact evaluation design;
- 8 years demonstrable experience in undertaking similar assignments;
- Experience developing data collection and assessment tools, survey design and implementation, and conducting statistical analysis for national surveys;
- Demonstrable knowledge of, and experience with socio-economic development of ethnic minorities;
- Familiarity with and understanding of project design and work plan development;
- Training, facilitation and presentation skills;
- Familiarity with quantitative and qualitative evaluation methodologies;
- Excellent written communication skills; ability to synthesize and present information in a clear and concise manner;
- Proficiency with computers and current computer software, especially statistical software (Microsoft Word, Excel, Access, STATA and SPSS) and with the Internet;
- Expressed excellent skills and experiences working in a high level of cultural sensitivity;
- Excellent English proficiency.

Highly desirable:

- Prior experience with the Viet Nam Household Living Standards Survey
- Previous experience of working with CEMA, and with Program 135 in particular

10. Review Time and Payment Term

The level of remuneration will correspond to the qualifications and work experience required for the assigned consultants as referred to in Part 9 of this ToR and the cost norms as provided for in the existing UN Cost Norms Guidelines.

The payment of other related expenses will follow the existing UN Cost Norms Guidelines and relevant provisions of the UN/ Government of Viet Nam 'Harmonised Programme and Project Management Guidelines' (HPPMG).

Payments to the consultants will be based on the number of person days and cost norms regulated by UNDP, depending the completion levels of the assignment and **submission of products with required quality and in timely manner** in three following milestones:

1. First instalment: maximum at 20% of the contract value will be transferred to the Contractor after they submit their technical proposals for assignment execution;
2. Second instalment: maximum at 50% of the contract value will be transferred to the Contractor after they submit the training manual, questionnaires, detail fieldwork plan, sampling report.
3. Third instalment: remaining 30% of the contract value will be disbursed after all final products (which are revised versions of the drafts according to written comments or those at meetings) are delivered by the Contractor and accepted by UNDP.

Annex 6: Tentative workplan of the BLS 2011

No.	Activity	Deliverables/Outputs	Timing	Main Responsibility
1.	Memorandum of Understanding drafted and agreed between UNDP and CEMA	<ul style="list-style-type: none"> • Signed MoU 	Early July	<ul style="list-style-type: none"> • UNDP
2.	Terms of Reference drafted for the recruitment of a consultant group to deliver support services to the baseline survey – circulated for comment by CEMA/ DPs and agreed	<ul style="list-style-type: none"> • Agreed ToR ready for procurement 	End of July	<ul style="list-style-type: none"> • UNDP STA to draft, circulate for comment and finalise
3.	Consultant group recruited	<ul style="list-style-type: none"> • Contract signed with consultancy organization, consultants mobilised 	End of August	<ul style="list-style-type: none"> • UNDP
4.	Contractor identified for delivery of the survey	<ul style="list-style-type: none"> • Contractor identified and agreement in principle made 	End of August	<ul style="list-style-type: none"> • UNDP
5.	Consultants revise BLS questionnaire tools, sampling frame and instruction manuals/ toolkits and training resources, survey plan	<ul style="list-style-type: none"> • Revised tools, methodology and sampling frame, manuals and training resources developed 	Mid September	<ul style="list-style-type: none"> • Consultants
6.	DPs and CEMA peer review the survey tools and revised sampling frame/ methodology and training resources/ survey implementation manual	<ul style="list-style-type: none"> • Materials peer reviewed and approved 	End of September	<ul style="list-style-type: none"> • DPs and CEMA (through UNDP)
7.	Contractor recruited for the delivery of the survey – contract signed	<ul style="list-style-type: none"> • Signed contract for delivery of the survey between UNDP and contractor, according to the survey plan developed 	Mid September	<ul style="list-style-type: none"> • UNDP

8.	Field testing of survey tools	<ul style="list-style-type: none"> Survey tool field tested and adjusted accordingly 	End of September	<ul style="list-style-type: none"> Consultants
9.	Training of investigators (supervisors and enumerators)	<ul style="list-style-type: none"> Investigators trained 	1 st week of October	<ul style="list-style-type: none"> Consultants and survey contractor
10.	Preliminary roll-out of surveys in select provinces	<ul style="list-style-type: none"> Trained investigators engaged in pilot survey (under close supervision by consultants); Survey questionnaires and field survey documents are field tested and finalized 	2 nd half of October	<ul style="list-style-type: none"> Consultants and survey contractor
11.	Data collection service provider conducts field survey according to an agreed schedule/ plan	<ul style="list-style-type: none"> Survey is implemented using the tools and sampling frame developed by the consultants 	November and December	<ul style="list-style-type: none"> Survey contractor (supervision by consultants)
12.	Consultants prepare survey database	<ul style="list-style-type: none"> Survey database checked and ready for data inputting 	End November	<ul style="list-style-type: none"> Consultants
13.	Collected survey data input and processing	<ul style="list-style-type: none"> 'Clean' high quality data set available and ready for preliminary analysis 	By end of January	<ul style="list-style-type: none"> Consultants
14.	Analysis of survey data	<ul style="list-style-type: none"> Survey data is synthesized and analyzed and a descriptive report, along with data tables, is produced 	Feb-Mar 2012	<ul style="list-style-type: none"> Consultants
15.	Consultation workshop and finalisation of survey report	<ul style="list-style-type: none"> Survey data and findings presented to a technical workshop Report and data appendices revised after workshop and finalized. 	March 2012	<ul style="list-style-type: none"> Consultants UNDO, CEMA and DPs