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**SAEMAUL INITIATIVE TOWARDS INCLUSIVE AND  
SUSTAINABLE NEW COMMUNITIES: IMPLEMENTATION  
GUIDANCE**





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# **Saemaul Initiative Towards Inclusive and Sustainable New Communities: Implementation Guidance**

**September 2015**

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**United Nations Development Programme**  
**Bureau for Policy and Programme Support**

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## ACRONYMS AND ABBREVIATIONS

ADB	Asian Development Bank
ASEAN	Association of Southeast Asian Nations
CBO	Community-based Organizations
CO	Country Office
CSO	Civil Society Organization
GDP	Gross Domestic Product
GNI	Good Neighbors- Republic of Korea
IPRCC	Poverty Reduction Centre in China
ISNC	Inclusive and Sustainable New Communities
KOICA	Korea International Cooperation Agency
LDC	Least Developed Countries
LGLD	Local Governance and Local Development
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MIC	Middle Income Country
NGO	Non-governmental Organization
ODA	Official Development Assistance
ROK	Republic of Korea
SDG	Sustainable Development Goals
SIDS	Small Island Developing States
SMU	Saemaul Undong
UNCDF	United Nations Capital Development Fund
UNDP	United Nations Development Programme
ART Initiative	Articulation of Territorial Networks for Sustainable Human Development- UNDP





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## FOREWORD

The year 2015 carries historic significance for the world. United Nations Member States, totaling 193 countries, will launch the new global development agenda and the Sustainable Development Goals (SDGs) in an unprecedented joint commitment for a poverty-free world. The SDGs reflect six essential elements defining what matters to us all: dignity, people, prosperity, the planet, justice and partnership. Such a global commitment will be ambitious, comprehensive and inclusive, but it will also be innovative, using new modalities of international cooperation to ensure sustainable development for the people and the earth.

No new global agenda can be achieved if it is not adopted at all levels of society. One of the key lessons we learned from the Millennium Development Goals (MDGs) is the importance of national and local actions for high-level impacts. By localizing the SDGs, we aim to reach women and youth as well as the poorest and most marginalized people. These groups often face additional burdens of discrimination – based on age, gender, ethnicity, indigenous status, disability, place of residence, HIV status or other factors. They typically have the least resources and remain the farthest behind. If development is not carried out locally, it will never benefit everyone.

Therefore, a local approach in pursuit of the proposed SDGs, involving communities in the transformation they want while empowering them to become transformative will universalize the development agenda as it localizes its implementation. Just as many local governments have helped to drive MDG implementation, their role in making the SDGs everyone's ambition in communities will be vital as we move ahead.

The Republic of Korea (ROK) laid the foundation of its growth in the 1970s through an initiative that mobilized communities to work with local authorities and the central government to foster progress. The Saemaul Undong (New Village Movement, or SMU) model of development is behind the country's remarkable evolution in less than a generation. This national movement was instrumental in bettering conditions in rural communities as it strengthened cohesion. It significantly reduced rural poverty by increasing household incomes, improving basic infrastructure and services, revitalizing local communities and empowering women.

Saemaul Undong embeds a series of lessons that are relevant to challenges that numerous communities across countries and regions experience as the new development agenda begins in 2016. The significant experience that the Republic of Korea and its people have gained in promoting Saemaul Undong constitutes valuable knowledge that UNDP can tailor to various contexts and make available through South-South Cooperation. With the support of the government of the Republic of Korea, we have launched the global project, titled 'Saemaul Initiative Towards Inclusive and Sustainable New Communities' (ISNC), aiming to unleash the power of this tested solution to benefit many more people around the world. By scaling up the SMU-inspired approach to community development, we enable the localization of the SDGs and create multidimensional progress-monitoring frameworks that jointly assess social transformation and economic development.



## FOREWORD

We prepared the 'Saemaul Initiative Towards Inclusive and Sustainable New Communities: Implementation Guidance' to assist development practitioners in identifying proven approaches and policy options for inclusive and sustainable local development, drawing on the expertise of SMU and other relevant solutions from development partners, including those from the South. While there are certainly no clear-cut answers to addressing the challenges of local development in our rapidly changing global system, feasible measures can be distilled from the SMU and other country examples in supporting local development planning and action.

I hope that the development practitioners will find this Implementation Guidance note inspiring and useful.

A handwritten signature in brown ink, reading 'Simona', is positioned above the printed name.

Simona Marinescu  
Director of Development Impact Group  
Bureau for Policy and Programme Support  
United Nations Development Programme



# I. BACKGROUND

## 1.1. What Is Saemaul Undong (SMU)?

The increasing recognition of widening disparities and inequalities calls for renewed efforts to implement interventions that are proven, cost-effective, scalable and sustainable to address development challenges at the local level. Many local development initiatives, both donor-initiated and Southern-driven, have therefore emerged. In this context, the remarkable economic growth of the Republic of Korea (ROK) in the 1970s has been a topic of interest by academia and development practitioners for many years. Research indicates that absolute rural poverty in ROK declined from 27.9 percent in 1970 to 10.8 percent in 1978. Many have attributed at least part of this transformation of rural ROK to the launching and implementation of the Saemaul Undong (SMU), an integrated local development programme that flourished between 1971 and 1979.<sup>1</sup> Translated from Korean, Saemaul Undong means New Village Movement. The overall achievements of the programme included the rehabilitation of village infrastructure, improvement in overall living conditions in rural areas and a significant increase in rural household incomes. Implementation usually took place in three stages, focusing on basic infrastructure (Stage 1), development (Stage 2) and dissemination (Stage 3).<sup>2</sup>

1. Soo-young Park (2009), "Analysis of Saemaul Undong: A Korean Rural Development Programme in the 1970s," *Asia-Pacific Development Journal* 16.2, p. 113.

2. Asian Development Bank (2012), "The Saemaul Undong Movement in the Republic of Korea: Sharing Knowledge on Community-Driven Development," Manila: Asian Development Bank, p. 8.



Other factors in the transformation are key societal features and major reforms that provided the context and, in some cases, necessary preconditions for the achievements of SMU. These include major land redistribution from 1948-1951 -- initially of the communal land confiscated by Japanese landlords during the colonization -- resulting in a relatively egalitarian rural sector characterized by small-farm owners and few landless households. Other important factors were the tight social bonds and traditions of cooperative work teams characterizing rural society in ROK as well as the existence of rural credit institutions, research and agricultural extension services introduced in the 1950s and 1960s.<sup>3</sup>

As an integrated local development programme that aimed to increase incomes of the rural poor through small-scale self-help projects, SMU featured strong government and systemwide support and was eventually scaled up beyond the community level and rural areas to “encompass the entire spectrum” of the government’s local development policies and programmes. According to a 2012 Asian Development Bank (ADB) report, the government also created an incentive system to which local communities responded, primarily because it was based on practical results that were publicly confirmed at village general meetings. This encouraged further self-assertion by members of the local community in formulating and implementing development initiatives, thus facilitating a cooperative relationship between the government and the local community. In short, “the SMU movement demonstrated that the best results occur when the government helps those communities that help themselves,” and also actively sought to scale up and expand the number of self-reliant villages through a number of approaches (e.g., following the designation of the SMU as a top government priority, the Saemaul Central Promotional Council as well as subcouncils for each level of local government administration were established, effectively creating an SMU movement interministerial policy coordination system at the national level).<sup>4</sup>

The SMU notion of a better life transcended microlevel development of rural villages by encouraging modernization through: (i) fulfilling the income-earning potential of each individual member of the community, (ii) improving the living conditions in the community overall, (iii) exploiting the community’s economic resources, and (iv) encouraging creativity in adapting to changing circumstances. The self-reliant aspect of the Saemaul spirit could be said to have encouraged community members to develop their potential to overcome challenges and creatively explore new economic resources and means of increasing productivity. The ADB report therefore concluded that this reliance on *diligence, self-help* and cooperation thus helped to prevent dependence on aid or government resources. In fact, effective community investment was a key factor in promoting active participation in the SMU movement. Over time, SMU projects became increasingly funded from community resources and financing instead of from the government budget. Community SMU investment, including self-support and public loans, grew and eventually exceeded government support to SMU projects by the late 1970s in both national and local budgets.<sup>5</sup>

What is also interesting regarding other countries learning from the SMU experience is the inspiration that the SMU derived from rural self-help development abroad (Denmark in 1800s, Moshavim and Kibbutz movements in Israel) through a young scholar who had studied rural development abroad and was invited by President Park Chung-hee to work in the Blue House in the early 1970s.<sup>6</sup>

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3. Edward P. Reed “Is Saemaul Undong a Model for Developing Countries Today”, Paper prepared for International Symposium in Commemoration of the 40th Anniversary of Saemaul Undong Center, September 30, 2010

4. *Ibid.*

5. *Ibid.*

6. Taeyoung You later became professor of rural sociology at Hankuk University where much of his scholarly work has been focusing on Saemaul Undong. Early on, he has also been part of the teaching of the spirit of SMU in a number of other countries through lectures and seminars in the Republic of Korea and abroad. The USPC is finalizing a brief video interview with Professor Taeyoung You.



Forty-five years later, ROK is now a donor committed to sharing its own experiences of growth and transformation in a world of rising inequalities and changing demographics that require sustainable human development pathways and take into account the distribution of populations across urban, peri-urban and rural areas. Several publications indicate that for ROK, the SMU provided a proven and effective approach for enhancing rural development, with strong potential for applicability and scalability in other rural contexts, given the right conditions. While ROK has already supported earlier applications of the SMU in other countries in Africa and Asia (including Cambodia, the Democratic Republic of Congo, Ethiopia, Lao People's Democratic Republic (Lao PDR), Mongolia, Nepal, the Philippines, Russia, Timor-Leste and Viet Nam), where significant results have been achieved at the local level, these implementations sometimes lacked policy linkages for sustainability and scaling up at a national level.

## 1.2. SMU Experience in ROK

In 1970, ROK launched the SMU movement, under the leadership of President Park Chung-hee, as a nationwide social movement aimed at overcoming rural poverty and modernizing rural villages, which eventually spread to urban areas, based on the principles of *diligence, self-help and cooperation*. The movement was initiated to address the growing gap in economic development between urban and rural areas. Sparked by the growing discontent of rural dwellers, the movement was initiated to address the growing development gaps between urban and rural living standards prior to industrialization.

The first objective of SMU intended to reform rural people's mentality by convincing them of the benefits of *diligence, self-help and cooperation*. Another objective was introducing changes in community organization towards a participatory approach among rural villagers and the fostering of community-based leadership. The third objective of SMU was to improve rural infrastructure and to increase economic returns for farmers. In short, the movement introduced an integrated programme to improve the livelihoods of local communities.

From 1970-1971, the government of ROK provided 335 bags of cement to 33,267 villages, which was used for the community's needs based on the villagers' consensus to refurbish their communities. The initiation phase produced impressive results, amounting to three times the government support.<sup>7</sup> In 1972, the government selected 16,600 successful villages from the total of 33,267, evaluating them as good performers and further supplied them with 500 bags of cement and one ton of steel rods. This competitive-based policy provided more incentive for better performance for lagging villages and stimulated a self-help development principle of "the better village the first support." This approach had a ripple effect of enticing more than 6,000 villages to provide their own resources in to the SMU movement. As a result, the government managed to have a return on its investment amounting to sevenfold.<sup>8</sup>

Besides providing free goods to the communities, the government also provided nationwide training and education programmes for poverty reduction and spiritual modernization. It offered nationwide training for politicians, government officials, village leaders and farmers to build their capacity in the SMU spirit. Village

7. Gbadebo Olusgen Odularu (2010), "Utilizing South-South Cooperation to Unlock African Rural Development Potentials: Lessons from the Korean New Village Movement," *Learning Publics Journal of Agriculture and Environmental Studies* Vol 1 (2), pg. 6.

8. Kun Goh (2010), *Saemaul (New Village) Undong in Korea- Factors of the Success and Their Transferability*, keynote speech at SMU 40th Anniversary International Symposium, 30 September.





leaders played a crucial role in inducing the villagers' participation in the movement, which helped in reducing and even eliminating poverty in numerous communities.<sup>9</sup>

Over time, the concept of SMU extended from rural to urban areas, where it expanded rapidly in scope of participation and range of activities, such as the “factory Saemaul,” “urban Saemaul” and “school Saemaul.”<sup>10</sup> As the SMU momentum took off, a total of 85,000 kilometres of roads were built across SMU communities and the country from 1971-1979, increasing mobility and trade between rural and urban areas. Additionally, farm household income increased from an average of 255,800 won in 1970 to 1,531,300 in 1979. This was a result of increased productivity of rice farming, the major livelihood of most rural families. Average rice yields increased from 3.1 metric tons per hectare in the period 1965–71 to 4.0 tons in the period 1972–78, and the price received by farmers for their rice increased as well.<sup>11</sup>

Below is a table elaborating the evolution of SMU and its progress from (1970-1998), derived from data provided by the National Council of SMU in ROK.

**Table 1. Evolution of SMU in ROK (1970-1998)**

Phase of SMU	Priority projects	Features	Increase of GNP per capita (in US\$)
Foundation and groundwork (1970 – 1973)	<ul style="list-style-type: none"> <li>Improving living environments: Expanding roads inside villages, constructing common laundry facilities, improving roofs, kitchens and fences.</li> <li>Increasing income: Expanding agricultural roads, improving farmland and seeds, division of labour.</li> <li>Attitude reform: Fostering diligence and frugality, and a cooperative atmosphere.</li> </ul>	<ul style="list-style-type: none"> <li>Launching and igniting the campaign.</li> <li>Government-initiated activities.</li> <li>Top priority on improving living environment.</li> </ul>	<ul style="list-style-type: none"> <li>257 in 1970</li> <li>375 in 1973</li> </ul>
Proliferation (1974 – 1976)	<ul style="list-style-type: none"> <li>Increasing income: straightening rice field ridges, consolidating creeks, encouraging combined farming, operating common working places, identifying non-agricultural income sources.</li> <li>Attitude reform: Attitude changes through Saemaul education and public relations activities.</li> <li>Improving living conditions: Improving housing and water supply systems, operating village centres.</li> </ul>	<ul style="list-style-type: none"> <li>Expanding programme scope and functions.</li> <li>Increasing income and changing attitudes.</li> <li>Earning national understanding and consensus.</li> </ul>	<ul style="list-style-type: none"> <li>402 in 1974</li> <li>765 in 1976</li> </ul>

9. Gbadebo Olusgen Odularu (2010), “Utilizing South-South Cooperation to Unlock African Rural Development Potentials: Lessons from the Korean New Village Movement,” *Learning Publics Journal of Agriculture and Environmental Studies* Vol 1 (2), pg. 6.

10. *Ibid*, pg.6.

11. Edward P. Reed (2010), “Is Saemaul Undong a Model for Developing Countries Today?,” *SMU 40th Anniversary International Symposium*.



Phase of SMU	Priority projects	Features	Increase of GNP per capita (in US\$)
Energetic Implementation (1977 – 79)	<ul style="list-style-type: none"> <li>Rural areas: construction of more modern housing, encouraging growth of special-purpose plants, running industrial facilities to combine agriculture and manufacturing.</li> <li>Urban areas: Paving alleys, cleaning, establishing order.</li> <li>Corporations and factories: Enhancing productivity, conserving materials, promoting sound labour-management relations.</li> </ul>	<ul style="list-style-type: none"> <li>Larger units of implementation by developing linkages among villages in the same region and urban areas.</li> <li>Economies of scale.</li> <li>Appearance of distinct unit characteristics.</li> </ul>	<ul style="list-style-type: none"> <li>966 in 1977</li> <li>1,394 in 1979</li> </ul>
Overhaul (1980 – 1989)	<ul style="list-style-type: none"> <li>Social atmosphere: Kindness, order, selflessness, cooperation.</li> <li>Economic development: Combined farming, distribution improvement, credit union activities.</li> <li>Environmental activities: Cleanliness, developing parks throughout the country, building better access roads.</li> </ul>	<ul style="list-style-type: none"> <li>Revitalization of the private sector-organization.</li> <li>Enhancing the role division between government and private sectors.</li> <li>Escaping from inactivity and contraction.</li> </ul>	<ul style="list-style-type: none"> <li>1,507 in 1980</li> <li>4,934 in 1989</li> </ul>
Autonomous Growth (1990 – 1998)	<ul style="list-style-type: none"> <li>Sound atmosphere: Developing traditional culture, emphasizing hard work and sound lifestyles.</li> <li>Economic stability: Economic recovery, urban-rural direct trade and linkages.</li> <li>Living environment: Cultivating better community environments, emphasizing autonomous living.</li> </ul>	<ul style="list-style-type: none"> <li>Reinforcing the basis of autonomy and self-reliance.</li> <li>Meeting the need for liberalization and localization.</li> <li>Efforts to overcome economic crisis.</li> </ul>	<ul style="list-style-type: none"> <li>5,503 in 1990</li> <li>10,548 in 1996</li> </ul>

**Source:** Utilizing South-South Cooperation to Unlock African Rural Development Potentials: Lessons from the Korean New Village Movement, Gbadebo Olusegun Odularu, (2010)

As highlighted by the achievements noted above, the key principles that contributed to the SMU success were based on the following:<sup>12</sup>

- **Creating the foundations for rural development**

This started by investing early and consistently in rural education, which enabled the building and strengthening of human capital capable of taking advantage of new economic opportunities. This included strengthening the capacity of local governance institutions to plan and administer national policies and programmes at the local level. SMU had the support of the national government, but was enforced for implementation at all government levels, especially locally. Capacity was strengthened by providing training to all politicians, government officials and even village leaders to ensure the proper implementation of the SMU movement.

12. Edward P. Reed (2010), "Is Saemaul Undong a Model for Developing Countries Today?," SMU 40th Anniversary International Symposium.





- **Cultivating strong leadership skills and training**

SMU's success was based on having a champion at the national level. It had the full support from the president, which committed to the continual improvements of the rural sector. Aside from the champion at the national level, SMU strengthened the capacity of village leaders by providing them with education and resources linked to the SMU movement. Practical and experience-based training was given to more than 811,000 people from 1972 to 1980, spreading to about 80 training institutes at government organizations, schools and industrial sites.<sup>13</sup> Aside from providing training on practical skills and technologies on project management and innovative tools and technologies in agriculture, SMU training was designed to increase the understanding of the moral aspect of the Saemaul spirit, how and why local community development takes place, and how Saemaul leadership is established.<sup>14</sup> Participants in training programmes were required to remain in a closed training camp for a period of one week or sometimes longer.

Training also provided participants with opportunities to share knowledge and exchange views on their challenges and successes while serving as channels communicating the suggestions and opinions of the participants to the government. Success stories of the SMU movement were also used in teaching process. Saemaul education changed the overall attitude of participants by leading them through a cycle of stimulus, reflection, resolution and practice. The ideological stance of Saemaul leaders was critical to the success of the SMU movement.

Practical knowledge gained from training programmes eventually facilitated the advancement of living standards, which in turn led the villagers to modify their traditional attitude.

- **Endorsing national policies that favour the rural sector**

The SMU movement ensured that rural development and later urban development were integrated into the national economic development plans. This was done by implementing mechanisms that create incentives for rural and local communities that raise production and incomes. For example, linking villagers' needs to central government priorities and policies. With the help of Saemaul leaders, it provided government services and support to rural villages and harmonized various kinds of government support to avoid any confusion, unnecessary duplication and conflicts. In each level of local government, a special committee for coordination was also created. Inclusive development plans for each village were managed by the relevant department congruent to their work and channelled up the relevant ministries in the central government, effectively covering all the issues concerned.<sup>15</sup> Thus, local government policies became more representative of their constituents and were linked to national policies and priorities.

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13. Asian Development Bank (2012), *"The Saemaul Undong Movement in the Republic of Korea: Sharing Knowledge on Community-Driven Development,"* Manila: Asian Development Bank, p. 43.

14. The ADB publication on *"The Saemaul Undong Movement in the Republic of Korea: Sharing Knowledge on Community-Driven Development"* provides an 11-day training programme sample on how the SMU training in ROK was provided during its implementation during the 1970s. Refer to p. 16.



### A STRONG VILLAGE LEADER

The village of Chulp-Ri, in the South Chungcheong Province, was a half-farming and half-fishing village, where residents long-desired to turn the coastline into farmland to increase their community income; however, they did not have the resources to start the land reclamation procedures. One of the village leaders attempted to do so, but his resources were not sufficient to go forward. When the SMU movement started, the villagers initiated the land reclamation project using the Saemaul spirit of self-reliance, independence and cooperation.

Under the leadership of Im Gwang-Muk, a village leader, the villagers began implementing the project in 1972. As a result of Im's leadership, 24 jeongbo and 8 ban of new rice paddies were created, an average of 0.3 jeongbo per household. Through his leadership, he mobilized 80 households out of 92 by promoting the SMU spirit. His leadership and skills were instrumental in making his village an SMU success.

**Source:** 2012 *Modularization of Korea's Development Experience: New Research on Saemaul Undong- Lessons and Insights from Korea's Development Experience*, Korea SaemaulUndong Center, KDI School, ROK Ministry of Strategy and Finance, (2013)

#### • Promoting the Saemaul spirit

From the inception of the SMU movement, the government sustained a national campaign that placed farmers at the centre of the movement for national strength and development. It promoted the universal conviction that “farmers are the foundation of the nation.” It actively engaged villagers in developing and executing community projects by giving them the free space to identify their priorities through a participatory consensus and supporting them with resources. However, to ensure its effective implementation, the SMU movement was promoted at different levels. For example, village development committees were created (the lowest level of village administration of the SMU implantation), implemented the SMU projects under the leadership of the village chief nominated by both the government and the Saemaul leaders, who were directly elected by villagers. The town implementation committee addressed SMU project implementation bottlenecks, as noted by community members in consultation with Saemaul leaders and local administrative officials. The county committee provided guidance to and coordinated the SMU movement at the regional community level, under guidance of the mayor and local administrative officials. The provincial committee created a comprehensive plan for the SMU movement in the province concerned under the guidance of the governor, the provincial administration and educational leaders, which included the deputy governor, superintendent, university professors, agricultural or fishery cooperative provincial managers and local broadcasting company managers.<sup>16</sup>

To incentivize rural communities further and to ignite the SMU spirit, the government rewarded successful rural communities with more resources and investment and even showcased their villages across the country as models to emulate. And to motivate local officials, the government rewarded them based on the evaluation and feedback received by villages in their jurisdictions.

15. Sooyoung Park (2009), “Analysis of Saemaul Undong: A Korean Rural Development Programme in the 1970s,” *Asia-Pacific Development Journal* Vol.16 No. 2, pg. 123.

16. Asian Development Bank (2012), “The Saemaul Undong Movement in the Republic of Korea: Sharing Knowledge on Community-Driven Development,” Manila: Asian Development Bank, p. 11.



## SELECTION AND TRAINING OF VILLAGE LEADERS

The selection process of the male and female Saemaul leaders at the village level was very important, and training was equally so in order to ensure proper implementation. Every village in the country had one male and one female Saemaul leader. These leaders were not appointed by the government but were elected directly by the villagers through participatory consensus. The male leaders were elected at village assemblies while the female leaders were elected at general meetings of the Association of Female Villagers (bunyeohoe).

Accordingly, village leaders were chosen based on their ability and skills to manage organizations and prepare and execute business plans. Leaders were also selected based on their ability to inspire and unite the villagers to fully cooperate to maximize utilization of village's resources. However, to cultivate them with the SMU spirit, village leaders were offered training at Saemaul Leaders Training Institutes. They were taught meditation, storytelling and sensitivity awareness to boost national commitment. People who received the trainings often described their experiences as a religious experience or as a deeply moving experience.

In addition to the spiritual trainings, village leaders and farmers were offered technical education and capacity building programmes. Each region in ROK had a Saemaul Education Centre for Saemaul education and Agricultural Extension Service Centre (nongchonjidoso) for agricultural technology training. All educational programmes were constructed around case studies and were practice-oriented.

*Source: 2012 Modularization of Korea's Development Experience: New Research on Saemaul Undong- Lessons and Insights from Korea's Development Experience, Korea SaemaulUndong Center, KDI School, ROK Ministry of Strategy and Finance, (2013).*

- **Empowerment of women**

Additionally, SMU ensured that women played a leadership role in improving the local economy. From the outset of SMU, women were eager about the movement and promoted programmes such as rice-saving campaigns, raising funds for women and running village consumers' co-ops and day-care centres. Thus, villages were encouraged to elect a woman Saemaul leader, and eventually each village had a female leader who worked to promote the socioeconomic status of women and to transform village customs and traditions. Inaugurating female leadership in every village in the country not only elevated women's standing in society but also provided the opportunity for female leaders to play an instrumental role in innovating villages by placing bans on gambling, creating village credit unions, increasing savings and improving living conditions. The Saemaul package also included the formation of Mothers' Clubs (Eomeoni-hoi) in every village. With the assistance and support of a special government unit, women were encouraged to initiate small-scale income generating projects, increase savings and contribute to village decision-making.



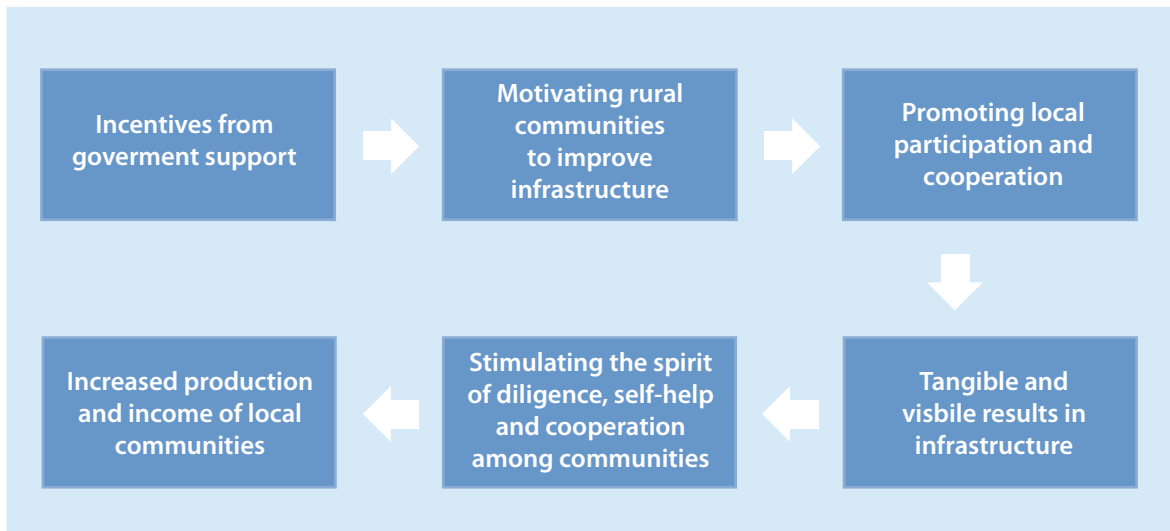
In 1973 a women leaders' training programme was added to the SMU training manual and became an integral part of the Saemaul leaders' training programme.

## WOMEN'S ORGANIZATIONS IN THE SAEMAUL UNDONG MOVEMENT

Twenty-two members of the Mothers' Club in Unsu 1-ri Village, Sudong-myon, Yangju-gun, Gyeonggi Province, raised club funds by saving rice, collecting wild vegetables and working as wage labourers on forestation projects to build a bridge in the village. They gained support for their initiative when their spouses became frustrated with the project's funding shortage. Encouraged by the Mothers' Club, the villagers completed the 60-metre-long, 4-metre-wide bridge. It was the Mothers' Club that provided labour for construction of the bridge, including handling sand and gravel.

**Source:** *The Saemaul Undong Movement in the Republic of Korea*, ADB (2012)

As such, the SMU movement became known as a virtuous cycle consisting of six steps that prompted its success in ROK





## 1.3. SMU Experience in Developing Countries

Due to the success SMU achieved in ROK during the 1970s, the Government of ROK began implementing it across Africa, Asia and Latin America. Elements of SMU have been adopted in more than 30 developing countries, with varied size and applications. However, according to Mike Douglass, as of 2011, ROK reported more than 70 countries that have adopted the SMU approach to development, including in rural and urban areas.<sup>17</sup> In 2015, Korea International Cooperation Agency (KOICA) implemented 18 SMU projects in 14 countries.<sup>18</sup>

SMU's roll-out in other developing countries focused on its core element of grassroots social cooperation by applying the village-based rejuvenation approach and boosting livelihood through mobilizing social cooperation under the fundamental principles of *diligence*, *self-help* and cooperation.

For example, in Mongolia, SMU projects were implemented since 2004, with the support of local businesses. Types of projects included roads paving, community wells, machinery banks, chicken farms, greenhouses, building bridges and new health centres, and establishing Saemaul libraries. The Saemaul Cooperative Project helped eradicate poverty and improve living conditions of 6,800 residents in Ulaanbaatar and Nalaikh. Mongolia Saemaul Centre was established to facilitate and expand the implementation of projects throughout the country.

In 2010, KOICA selected model villages in Lao PDR, Myanmar, Bangladesh, Ethiopia, DR Congo and Peru, and launched projects that improved rural living conditions, encouraged local participation and promoted the sense of ownership. By using the SMU approach, rural income surplus was reinvested in the rural community to upgrade the quality of life.

In Ethiopia, KOICA targeted a poverty-stricken area with extremely poor agricultural production due to low rainfall, inadequate technology and substandard infrastructure. KOICA conducted comprehensive rural development plans based on the SMU Movement to improve the overall environment and agricultural production. KOICA's aid projects involved improving stockbreeding and agriculture and establishing mills in order to raise funds and boost the village income; and building model houses, improving conventional residential environments and supporting networks for construction. In the process, KOICA encouraged voluntary participation and decision-making of local residents by fostering a resident organization and strengthening the human resource capacity for village leaders, related public officials and local farmers. The projects received positive responses for their stable transfer and enhanced sustainability of project effectiveness.

In Myanmar, Hlegu Township Agricultural and Rural Development Programme (2008-2010) was implemented in close cooperation with the Ministry of Agriculture and Irrigation. The project was based on the SMU model and engaged local people to work for improving living conditions, education facilities and income levels. All of the projects were led by local people, and the young people in the community voluntarily took turns and worked in the project to improve roads to the village. Participation by local

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17. Mike Douglass (2013), "The Saemaul Undong: South Korea's Rural Development Miracle in Historical Perspective," Asia Research Institute, Working Paper Series No. 197, pg. 28.

18. KOICA, SMART Saemaul Undong Story: Comprehensive Rural Development, 2015.

19. Mike Douglass (2013), "The Saemaul Undong: South Korea's Rural Development Miracle in Historical Perspective," Asia Research Institute, Working Paper Series No. 197, pg. 29.



people was stimulated by making three related villages compete for additional support. The project in Myanmar is currently recognized as a model rural development programme that brought benefits to the local villagers.

Even though the projects mentioned above were able to achieve small-scale successes, they did not have a vast geographic coverage and were mostly implemented in a few pilot areas. Few of them had the ambition to scale up to the national level, or influence or link to national policies and programmes. Additionally, national governments were not asked to contribute to rural development through subsidies or price support when rolling out SMU, and land reforms were not included as a prerequisite as done in the ROK experience. Moreover, national economic contexts were not considered as it was presented as a universal model applicable anywhere. These factors impacted SMU's scalability and sustainability in those countries.<sup>19</sup>

In **Cambodia** (2006–2008), SMU was initiated by the Cambodian Ministry of Rural Development (MRD). The project aimed at establishing and disseminating a new model for rural development through launching a pilot project that built on ROK's rural development success. However, the independent evaluation study conducted in 2011–12 revealed that the model was not introduced to the provincial level, and there was no evidence that MRD adopted the project results to the rural development policy of MRD. Consequently, one of the recommendations of this study is that “there must be an effective device to extend the project results to other rural areas through the policy channel of rural development of Cambodian government.”

**Source:** KOICA-MOFAFF Joint Evaluation Report on Rural Development in Cambodia, KOICA and World Friends Korea (2012)



A photograph showing two women in a rural setting, likely a field or garden. One woman, wearing a black top and a patterned skirt, is bending over and planting small green seedlings into the soil. Another woman, wearing a grey shirt, is also visible in the foreground, partially obscured, also engaged in planting. The background shows lush green vegetation and trees, suggesting a tropical or subtropical environment.

## II. INCLUSIVE AND SUSTAINABLE NEW COMMUNITIES (ISNC) MODEL

### 2.1 What Is the “Inclusive and Sustainable New Communities” Model?

The global Saemaul initiative towards Inclusive and Sustainable New Communities (ISNC) project, launched in 2014, aims to update, integrate and scale up elements of SMU and its application into an exemplary systematic approach and effective platform for development cooperation. It is intended to: (1) identify proven approaches and policy options for inclusive and sustainable local development, drawing on the expertise of SMU and other relevant solutions from development partners, including those from the South; (2) achieve impact of the integrated local development approaches known as Inclusive and Sustainable New Communities at both the local and national policy levels through its application to an initial set of countries; and (3) facilitate South-South and triangular cooperation and knowledge exchange through support to centres of excellence to disseminate evidence-based results and experiences from the initial applications to achieve impact at regional and global levels. Overall, this project will demonstrate how various development cooperation modalities, Official Development Assistance (ODA), domestic resource mobilization and South-South and triangular cooperation can complement one another within one development initiative; and it will provide substantive evidence to inform the implementation of the post-2015 development agenda at local level.





In this context, the United Nations Development Programme (UNDP) offers valuable programme and policy advisory support in building local-national and global linkages for scaling up and ensuring financial sustainability. Building on SMU application experiences along with other complementary development solutions, UNDP will help develop an integrated local development approach – inclusive and sustainable new communities – to apply to a select number of countries. Bearing in mind that the contexts to which this approach will be applied will be different from previous SMU applications, the project's design will have a forward-looking vision for scaling up and ensuring long-term financial sustainability to address the seemingly paradoxical objective of promoting self-reliance and decentralized cooperation through an ODA-funded project. This vision would include strategic interventions at national level with linkages to local and community levels, as well as a 2-3-5 model for financing, where 20 percent of ODA would be matched with 30 percent government cost-sharing and 50 percent in-kind contributions of labour and services mobilized by the communities.<sup>20</sup> Such model testing will provide concrete evidence on how ODA, domestic resource mobilization, South-South and triangular cooperation can be best complementing each other within one development initiative.

At the heart of the ISNC model are the three fundamental principles of the SMU approaches – Self-Help, Diligence and Cooperation. This means that community members will be encouraged to be proactive in improving their living conditions and economic situation, apply diligent effort towards the end goal and establish cooperation with other partners: local government, civil society organizations (CSOs) and private sector. A bottom-up approach will be used to evoke the *diligence, self-help* and cooperation spirit latent in people, and to seek the support of stakeholders at national and local levels. The self-reliant aspect of the Saemaul spirit encourages community members to develop their potential to overcome challenges and creatively explore new economic resources and means of increasing productivity. In addition, reliance on Saemaul spirit of *diligence, self-help* and cooperation helps to prevent dependence on aid or government resources.

The new elements that will be added to update the current SMU through the ISNC model are sustainability and inclusiveness. These include efforts to engage the participation of the local population into community activities, ensuring the inclusion of women, youth, the poorest strata and vulnerable groups as participants and beneficiaries of community projects. The unequal access to and control of productive resources by vulnerable groups, especially women and youth, continues to perpetuate exclusion from economic growth accruals. Amid sustainable development, the ISNC model will also reflect the integration of the three pillars of sustainable development – economic growth, social development and environmental sustainability. The ISNC model aims to promote sustainable productions that involve the community in economic activities that are environmental friendly and deliver social benefits.

The ISNC model emphasises the concept of communities, which go beyond rural villages to urban and peri-urban neighbourhoods in order to promote better commerce and transformation of agricultural production. This is responding to the development challenges that communities face in the fast urbanization process, whereby the wide prevalence of rural poverty forces young people to migrate to urban areas in search of better economic opportunities, thus leading to urban congestion and further decline of rural areas.

By 2020, developing countries in Africa, Asia and Latin America will be home to some 75 percent of urban dwellers. It is also expected that 85 percent of the poor in Latin America and approximately 40-45 percent of the poor in Africa and Asia will be concentrated in towns and cities<sup>21</sup>. In Least Developed Countries (LDCs),

20. This is adaptable based on local level context.



where the majority of people still live in rural areas, growth of urban populations has outpaced growth of rural populations. Local governments in urban settings face the challenge of responding to such population changes through policies and mechanisms that create employment opportunities for their rising urban populations, while simultaneously maximizing the positive benefits of urbanization to develop green economies. In this context, the role of urban and peri-urban agriculture, which are the main income of LDCs, in providing foundations for the expected rural-urban transition, is crucial. Therefore, the concept of community is expanding beyond the administrative boundaries. For example, it may also encompass groups of villages that have cross-border trade relations or cooperate along a local value chain linking rural and urban areas.

To operationalize this updated version of the SMU-ISNC model, UNDP has developed an implementation guidance note to guide programmes in the field to adapt the ISNC model to various development contexts.

### 2.2 Purpose of the Implementation Guidance Note

The implementation guidance note will identify proven approaches and policy options for inclusive and sustainable local development, drawing on the expertise of SMU and other relevant solutions from development partners, including from the South. It will not only provide practitioners with background knowledge of the SMU and its application, but more important, it will showcase examples of interventions, potential synergies with other initiatives, as well as a list of tools that can be used in programme design, monitoring and evaluation of the updated version of SMU towards ISNC. The note was prepared based on findings through an extensive desk review as well as field research visits to six countries (Bolivia, Lao PDR, Myanmar, Rwanda, Uganda and Viet Nam), which are currently rolling out the ISNC model.

Building on the experience of SMU, especially in terms of its self-help spirit and systemwide support to community initiative, this guidance note will also highlight inclusiveness and sustainability in the adaptation approach, with a proposed design strategy to link local, national, regional and global level efforts.

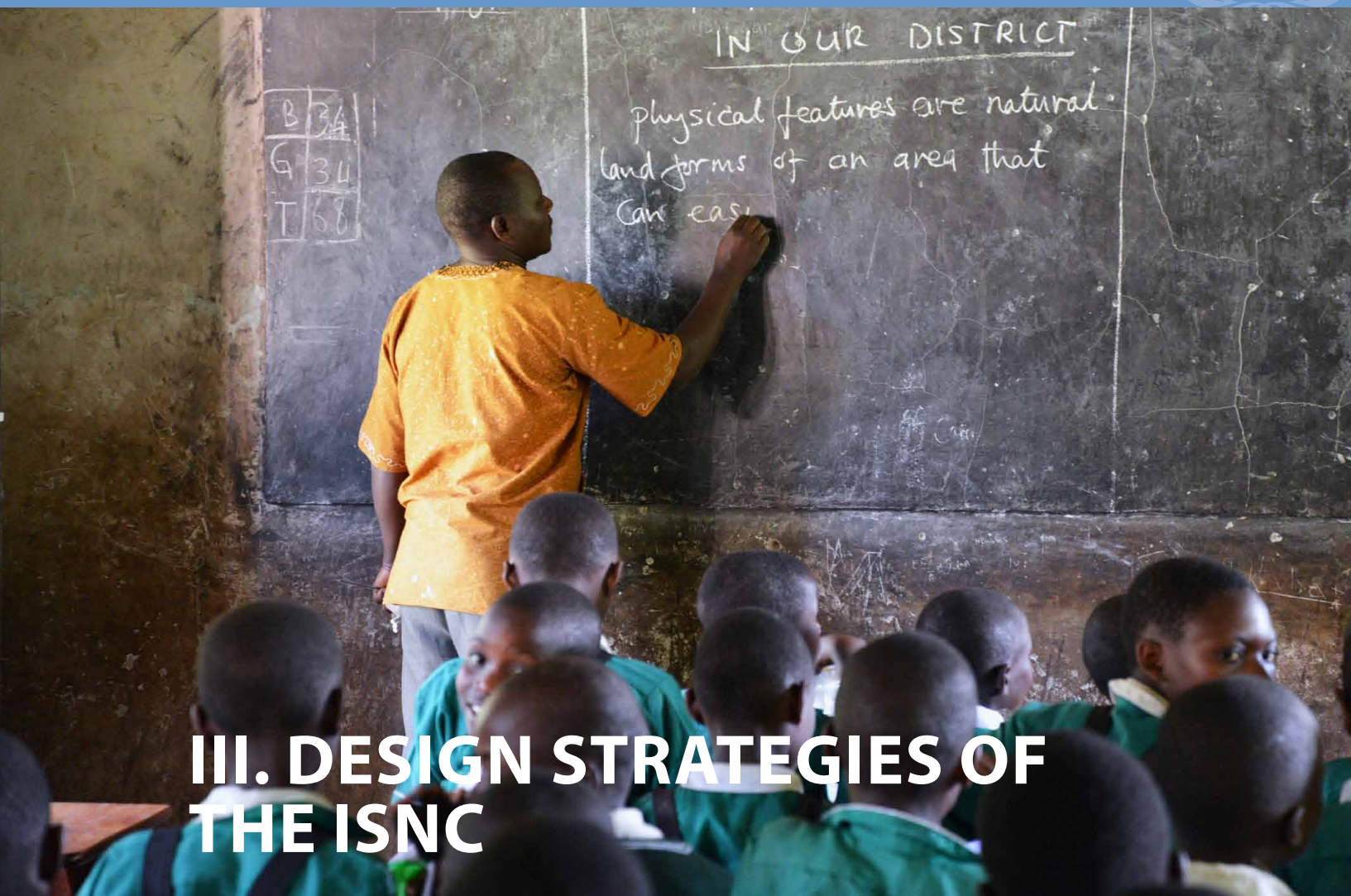
The note aims to identify several pilot countries for testing out the ISNC approach, which will lay substantive ground for potential scaling-up of inclusive and sustainable communities regionally and globally and provide guidance on how countries can build on existing programmes to develop policy advices, contribute knowledge to the model through centres of excellence and promote South-South cooperation. It will suggest site selection criteria and indicators of success to implement ISNCs in different country contexts.

The note will also offer guidance on how to facilitate triangular knowledge exchange and cooperation on proven solutions for local development by drawing on the experiences of ROK and country-level implementation of the approach, and ensure that the lessons learned from the SMU and the updated approach influence global and regional development discourses.

This Guidance Implementation is targeted towards UNDP programme management teams, development practitioners, local and rural development experts and policymakers, agricultural extension officers, community development officers and government officials at the national and local levels.

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21. UNDP (2013), *“Green Jobs for Women and Youth. What can Local Governments Do?”, UNDP Paper.*



### III. DESIGN STRATEGIES OF THE ISNC

ISNC intervention is designed to engage stakeholders at all levels, from local to global, to achieve sustainability and impact at scale.

At the local level, implementation will focus on strengthening productive capacity, sustainable livelihoods, social cohesion, enhancing social inclusion and protection and changing mind-set, as well as nurturing leadership and ownership. Capacity of local governments to efficiently deliver services is to be enhanced through direct engagement in managing local participatory planning, trainings and exposure visits. Co-operatives or community-based organizations and women's groups will be supported to strengthen the capacity of communities to better interact with governments in delivering on development initiatives.

At the national level, the system of planning and budgeting is to be enhanced to include and fund local priorities. Consequently, sector policies and programmes are to be adjusted to better respond to local needs. In the long-term, these changes should be reflected in the reform of local governance (or enhancement of the reformed local governance system).

At regional and subregional levels, experience and best practices of inclusive and sustainable local development will be disseminated through ISNC Centres of Excellence in Asia, Africa and Latin America. Additionally, neighbourhood and cross-border cooperation initiatives may serve as tools for wider dissemination and scaling up of the ISNC model.

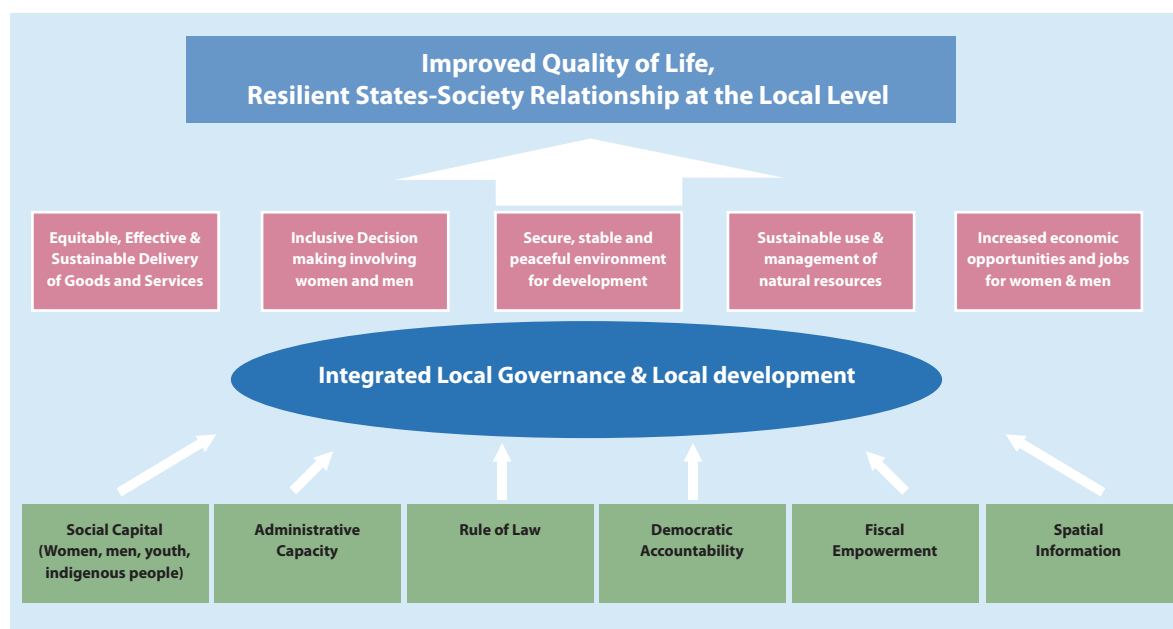


Globally, ISNC will contribute to localizing the post-2015 agenda and forge inclusive global partnerships. South-South and triangular cooperation mechanisms will be activated to share the lessons and best practices.

### 3.1. At the Local Level

UNDP currently supports a wide range of interventions to promote local governance and local development (LGLD), including local governance for improving service delivery and Millennium Development Goals (MDG) acceleration; improving HIV and health development outcomes; improving early recovery and resilience, for state and peacebuilding; enhancing democratic representation; and ensuring environmental sustainability. UNDP is the acknowledged multilateral system entry point for innovative territorial partnerships, including decentralised cooperation and local level South-South and triangular cooperation modalities. As such, the ISNC model will utilize UNDP's 'Strategy to Support Localisation of the Sustainable Development Goals (SDGs)',<sup>22</sup> which aims to improve the quality of life for local residents and building resilient state-society relationships at the local level.

**Figure 1: Framework for LGLD**



**Source :** *Integrated Local Governance and Local Development: A Strategy to Support Localising of the SDGs*, UNDP (2015).

22. UNDP (2015), *Integrated Local Governance and Local Development: A Strategy to Support Localizing of the SDGs*.





At the local level, the ISNC model will be applied to achieve the identified objectives noted below. The model encourages social participation and cooperation within a community and with local authorities. This methodology of social mobilisation employs established standards for assessing: (a) community participation and leadership to assure that all segments of the community are involved, including men, women, youth, vulnerable groups and the elderly; and (b) sustainability based on local ownership of the development process. The social mobilisation process is integral in developing self-governance among the communities. Participatory community development is a multistage process of building local knowledge and capacity to improving local living conditions. Within the project, each participating community will be guided through the following steps:

- Mobilisation of community through general meetings, trainings and exposure visits;
- Community self-organisation;
- Joint definition of development priorities, alignment with a local development plan;
- Project preparation and implementation; and
- Follow-up (community progress review mechanism established so that community members can codify past achievements and build on them; training and support provided to ensure that efforts are carried forward to implement community development plans; and promotion of dialogue between community organisations and with local authorities so that development priorities of individuals and communities are better integrated into sub-national development planning).

Additionally, the ISNC model will strongly contribute to forging local partnerships. An important element of the project methodology is to help all local actors discover the benefits and modalities of effective and continuing cooperation, linking communities with other public and private actors in the local and subnational arena. The SMU experience in ROK proves that the success of community-driven development relies on competent village leaders, active engagement of village residents to enhance and encourage local ownership, and allocation of government subsidies on a competitive basis.

**Other key elements of ISNC model are:**

- **Community participation and ownership** as a prerequisite for success and sustainability of the ISNC model implementation. Large local participation in general community meetings and in decision-making should be strongly encouraged and strengthened. Social inclusion should be promoted by engaging women, youth and disadvantaged groups (such as persons with disabilities).
- **Co-financing principle** for community projects: 20 percent of ISNC contribution would be matched with 30 percent government cost-sharing and 50 percent in-kind contributions of labour and services mobilized by the communities. However, this allocation should be adapted based on the current village context. Where possible, financing should be channelled through existing national mechanisms of local development financing, while always improving it to better respond to local priorities.
- **Performance-based incentives** may be introduced to stimulate the drive and agency of the pilot communities for demonstration effect. Financial or material incentives can be reinforced by regularly communicating project achievements through media.



### 3.2. At the National Level

National ownership is important for partner countries. This is reflected in their desire to define and lead change processes to deliver development to their people and expect development actors to support and facilitate this approach. In adopting and adapting the ISNC model, it is important that (a) it becomes part of the national development process; (b) that compatible goals and harmonized implementation are maintained among sectors and local government; (c) that the roles of national and sectorial institutions, as well as local actors, are properly defined; and (d) that the capacity support process is well targeted and provides for the entire development cycle.<sup>23</sup> UNDP's LGLD strategy highlights those approaches, while the ISNC model encompasses them to bridge national policies and programme with the ISNC model.

As such, at the national level, policy entry points will need to be identified for the ISNC implementation to influence policy changes. Partnership with national government, other development partners and active engagement of the Centres of excellence will play an important role in this process.

It is important to find policy entry points to inform change at the national level. For example, in Lao PDR, policy entry points were mapped that include the ongoing Sam Sang "three building blocks" decentralization policy, which focuses on improving delivery of public services at the local level. The policy aims to enhance government ownership and accountability in local governance and socioeconomic development, with the aim of improving local government capacity and public service delivery. This is implemented by delegating responsibilities to local authorities to enhance the capacity and potentials at local level, particularly those in the targeted provinces, districts and villages so as to create new paradigms for poverty eradication and improving livelihood for the rural poor. To date, the Sam Sang policy has been implemented in 51 districts covering 103 villages.

Another important policy entry point is the *Food Security and Nutrition Convergence Action Plan (2014-2020)*, which currently targets 11 districts and aims to expand in all 26 districts in 2015. This national plan developed by the government of Laos is to accelerate progress in reducing malnutrition with a primary focus on young children, women of reproductive age, adolescent girls and school children. The Plan, based on the principle of multisectoral nutrition prioritization and convergence, is implementing a range of high-priority interventions from the agriculture, education, health and WASH sectors in all villages of targeted vulnerable districts.

Additionally, UNDP is currently providing technical and policy advice on the development of the 8th National Socio-Economic Development Plan (NSED 2016-2020). UNDP's expertise on local development can help influence the government on the importance of allocating budgetary support to local government and shaping the forthcoming local development agenda for the country. These three national entry points can assist in making national-local linkages. Thus, finding converging entry points will not only help in selecting critical sites, but will also create policy impact and ownership at the national level that will be sustainable in the long run.

In countries with decentralised systems of governance and advanced local development policies and institutions (e.g. Uganda and Rwanda), ISNC will support strengthening of existing institutions, mechanisms and practices so as to reinforce their linkage with the local level and enable them to provide better services to communities and respond to their development needs.

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23. UNDP (2015), *Integrated Local Governance and Local Development: A Strategy to Support Localizing of the SDGs*.



For instance, Uganda has implemented ambitious decentralisation reform and delegated considerable political authority and significant control over resources to the district level. At the same time, local governments at lower levels (subdistricts, counties, subcounties, parishes and villages) remain weakly functional and poorly engaged in the local development process. The bottom-up planning process is to be reinforced through strengthening the district government capacity to mainstream local plans and connect them to resources. Additionally, capacities of local governments below district level are to be reinforced in planning, financing, implementation and monitoring of inclusive and sustainable local development with community participation. ISNC implementation will help identify the bottlenecks in the processes and help tackle them.

Additionally, finding a high-level political champion for the ISNC model is critical in changing the aptitude of government agencies and communities and making development projects sustainable. There are many lessons emerging as to the necessity of strong leadership/political backing, which have attributed to the success of many local development programmes in reducing disparities and to their sustainability and ownership by both national and local governments. Therefore, the identification and development of leadership capacities will pave the way for putting financial and natural resources in the hands of communities and local governments; developing well-designed projects and programmes; and promoting transparent and accountable organizations that can institutionalize the successful results achieved through pilots. Thus, fostering a high-level political champion for the ISNC model is important for long-term sustainability and national government ownership.

### 3.3. At the Regional Level

Existing mechanisms of regional cooperation may be used to help create a network to exchange best practices on integrated local development. For instance, in Africa, cooperation mechanisms of the African Union<sup>24</sup>, East African Community (EAC)<sup>25</sup>, Common Market for Eastern and Southern Africa (COMESA)<sup>26</sup>, Economic Community of Central African States (ECCAS)<sup>27</sup>, APDev (Africa Platform for Development Effectiveness) and the African Charter on the Values and Principles of Decentralisation, Local Governance and Local Development<sup>28</sup> may be used.

In Asia, the Association of Southeast Asian Nations (ASEAN)<sup>29</sup> is an important cooperation space among Asian countries in which they could use for knowledge sharing, training, cooperation and, most important, in providing collaboration more effectively for greater utilisation of their agriculture and industries and expanding trade. The implementation of cross-border ISNC projects can open the space between bordering countries to share knowledge with each other and in facilitating trade arrangements between bordering villages and districts. This will provide more impact on the ground.

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24. <http://www.au.int/en/>

25. <http://www.eac.int/>

26. <http://www.comesa.int/>

27. <http://www.uneca.org/oria/pages/eccas-economic-community-central-african-states-0>

28. <http://www.au.int/en/content/african-charter-values-and-principles-decentralisation-local-governance-and-local-developmen>

29. <http://www.asean.org/>





In Latin America, the networks of ART Initiative (Articulation of Territorial Networks for Sustainable Human Development)<sup>30</sup> will be used to disseminate the experience of ISNC model implementation in Bolivia.

UNDP, at the regional level, will utilize the ISNC centres of excellence to collect and disseminate best practices on local development in the region, with particular focus on the updated SMU model and experiences with the above-mentioned regional mechanisms.

### 3.4. At the Global Level

At the global level, implementation of the ISNC project will focus on advocating for the localization of the post-2015 agenda and SDGs, as well as the formation of inclusive partnerships.

One important aspect of the design strategies of the ISNC model is to ensure the localization of the post-2015 development agenda. Local and subnational governments are vital for promoting inclusive sustainable development within their territories and, consequently, are essential partners in the implementation of the post-2015 agenda. Additionally, advocating at the global level for effective local governance can ensure the inclusion of a diversity of local stakeholders, thereby creating broad-based ownership, commitment and accountability. When localizing the post-2015 agenda, which needs to be in line with the national development agenda, an integrated multilevel and multistakeholder approach is needed to promote transformative agendas locally. Thus, strong national commitment to provide adequate legal frameworks, institutional and financial capacity as well as sustainable financing mechanisms to local governments will be required.

In this regard, ISNC will be guided by the undg “MAPS” strategy for delivering effective support to countries for the implementation of the post-2015 development agenda. MAPS stand for “Mainstreaming, Acceleration and Policy Support”.<sup>31</sup>

- **Mainstreaming** refers to the landing of the post-2015 agenda at the national and local levels, and integrating the SDGs into national, subnational and local plans for development; and subsequently into budget allocations.
- **Acceleration** means targeting national and other resources for priority areas identified in the mainstreaming process, paying special attention to synergies and trade-offs across sectors (reflecting the integrated nature of the agenda), bottlenecks, financing and partnerships, and measurement.
- **Policy support** means making sure that the skills and expertise found in the UN development system are made available in a timely way and at the lowest cost possible.<sup>32</sup> Using the United Nations Development Assistance Frameworks as the channel, support for localizing post-2015 implementation adopts a process expressed by Figure 2, anchored in the undg MAPS strategy.

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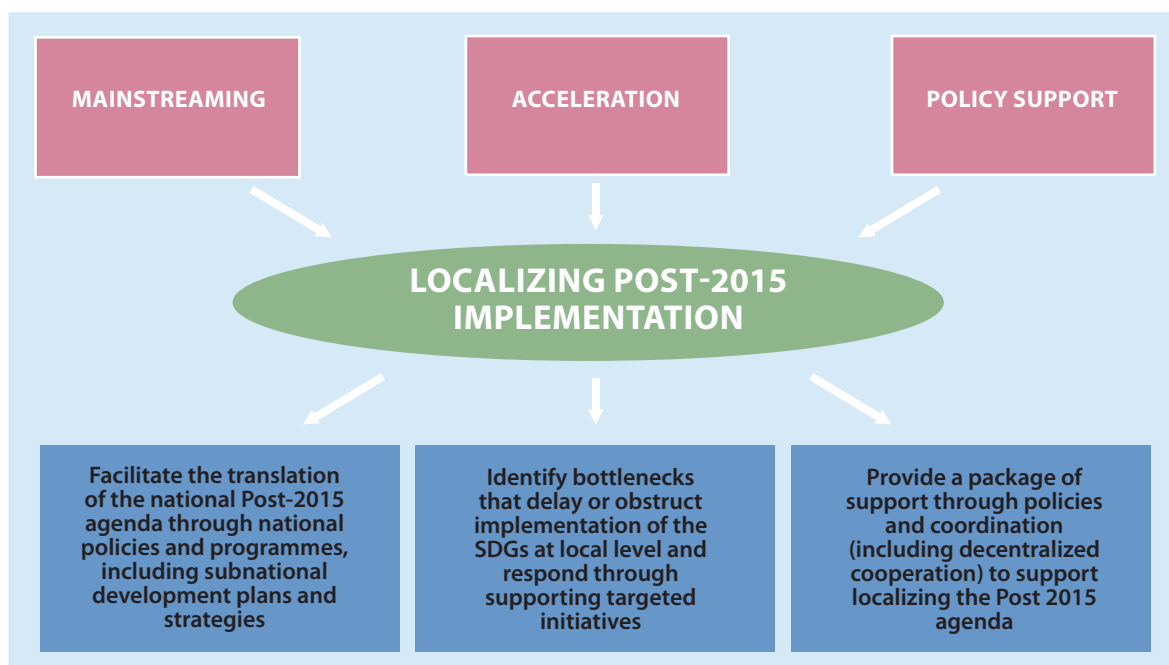
30. The ART initiative has been implemented in Bolivia since 2008. It aims at contributing to UNDP's global strategy by stimulating dialogue between territories as a strategy to face the global development challenges. UNDP ART Bolivia was designated as focal point for local economic development issues in Latin America.

31. UNDP (2015), *Integrated Local Governance and Local Development: A Strategy to Support Localizing of the SDGs*.

32. Defined by the United Nations Development Group; *Strategy for Post -2015 Implementation*.



**Figure 2: Localizing Post-2015 Agenda Implementation Under UNDG Strategy:**



Due to UNDP's advocacy role at the global level, it can play a convening role in advocating the importance of localizing the development agenda and at the same time assist national governments in localizing their own development plans.

Another important aspect of the ISNC design at the global level is the need to focus on inclusive partnerships through South-South and triangular cooperation and access to technology and innovation; and enhance knowledge sharing on mutually agreed terms, including through improved coordination among existing regional and global mechanisms, particularly at the UN level, and through a global technology facilitation mechanism.

UNDP, playing the convening role to empower the voices of developing countries and emerging economies, could advocate for enhancing global partnership for sustainable development complemented by multistakeholder partnerships that mobilize and share knowledge, expertise, technologies and financial resources to support the achievement of sustainable development goals. It could also stress the importance of encouraging and promoting effective public, public-private and civil society partnerships by building on the experience and resourcing strategies of partnerships.

A photograph of an elderly woman wearing a white woven hat and a blue patterned shawl, crouching in a field of green leafy plants, likely a vegetable garden. The background shows a rustic wooden fence and some trees.

# IV. COUNTRY SELECTION FOR POTENTIAL ISNC IMPLEMENTATION

Formulation and implementation of the ISNC model should be tailored to the specific needs of implementing countries. Therefore, at the outset of the ISNC rollout, a set of pilot countries was evaluated using the following criteria under the consultation of the UNDP expert panel:

- **Country demand** is an important factor for implementation of the SMU model, given that government-provided incentives and support are crucial for the success and sustainability of intervention. Country demand that is translated into government's support and cost-sharing of community projects is a necessary element for sustainability of an ISNC project. Factors under consideration also include the enabling policies and national programmes that could be aligned with the SMU approaches along with existing national finance mechanisms that could be utilized for the SMU implementation to ensure its sustainability in the long run.
- **Previous or current experience** in implementing SMU initiatives by KOICA/ROK were considered in studying the lessons learned and the gaps that the ISNC model could address. Additionally, having previous or current SMU implementation can pave the way in detecting the main stakeholders and identifying national champions or ministries that will be supportive of the approach to eventually lead to national ownership and possible policy impact/change. Additionally, examples of the SMU model that exist on the ground can be demonstration sites during implementation of ISNC projects.



- **Linkages with other local development projects and national policies and programmes** are important factors that can be linked to ISNC implementation and that can produce more impact at the local and national levels. Finding national policy entry points and synergies with other local development projects of UNDP and from other development partners and national authorities can benefit ISNC implementation in sharing knowledge, pooling resources and creating national-local linkages that will have policy impacts at the national level. Thus, finding converging entry points will not only help in selecting critical sites, but will also help in creating policy impact and ownership at the national level for sustainability.
- **Country typology:** a list of LDCs, small island developing states (SIDS), fragile states and middle income countries (MIC) from Asia, Africa and Latin America was compiled based on the desk review of country demands, national-local contexts and/or previous implementation of SMU projects. LDCs were given priority over MICs, given their lowest indicators of socioeconomic development and higher need for technical and financial support. However, low-middle income countries were also considered based on their low levels of per capita income and low levels of human development.
- **UNDP Country Office capacity** was also assessed to ensure availability of human resources and alignment with UNDP priorities in the country. UNDP partnerships with national counterparts were also examined, especially with Ministries that could influence policy and be a champion during the ISNC implementation.
- **Potential for hosting a Centre of Excellence** was also considered, including assessment of the number of completed/ongoing local development projects that could provide the knowledge base and experience, linkages with potential think tanks and academia. Additionally, local/national demand for knowledge products, country's involvement in regional cooperation and South-South exchanges were also assessed.
- **ROK priority countries** were also considered as a criterion in selecting pilot countries based on ROK's international ODA priorities. From the list of 15 countries that UNDP identified using the above criteria, ROK selected Bolivia, Lao PDR, Myanmar, Rwanda, Uganda and Viet Nam as priority countries for field study and potentially for the implementation of the ISNC project.
- **Gross domestic product (GDP) growth, the status of the agricultural sector and urbanization involvement in ROK selected priority countries.** Another criterion for country selection was analysing ROK between 1960-1989 in terms of its GDP growth, the status of the agricultural sector and its urbanization involvement and comparing them with the implementing countries current context. Such an analysis sheds light on whether ROK's past context is a predictable measure to make the SMU model applicable to the countries' current context.

The following data was analysed: GDP per capita, annual growth, agriculture as percent of GDP and urban and rural population shifts:



**Table 2.<sup>33</sup> Annual GDP and growth**

Country	Typology	GDP per capita (US\$)	Annual growth (%)
Bolivia	MIC	6,131.1	4.9 (since 2004)
Lao PDR	LDC	4,822.0	8
Myanmar	LDC/fragile	NA	8 (2013-2015)
Rwanda	LDC	1,473.6	8 (2001-2013)
Uganda	LDC	1,674.3	5 (2006-2013)
Viet Nam	MIC	5,294.4	6.4 (2004-2014)
ROK (1960-1989)	LDC (1960)	~156-5,860 (1960-1989)	~8 (1962-1989)

As can be seen in Table 2, all countries have experienced a steady GDP growth, which is similar to ROK's growth of approximately 8 percent annually between 1962-1989 due to industrialization. Since these countries are experiencing their own industrialization, their annual growth rate is expected to continue. Since most of the implementing countries are highly dependent on agriculture, more than a quarter of each country's total GDP is attributed to that sector, which is similar to ROK's agriculture contribution to GDP, or more than 50 percent in 1960 but that later declined to 25 percent in 1970 as the industrialization gained more momentum.

**Table 3.<sup>34</sup> Agriculture as percent of total GDP (2010-2013)**

Country	% of total GDP in 2010	% of total GDP in 2011	% of total GDP in 2012	% of total GDP in 2013	Change
Bolivia	12.9	12.5	13.0	13.3	upward
Lao PDR	32.7	29.5	28.1	26.5	downward
Myanmar	NA	NA	NA	NA	NA
Rwanda	32.6	32.3	33.4	33.4	steady
Uganda	25.7	24.7	25.9	24.5	downward
Viet Nam	18.9	20.1	19.7	18.4	downward

As can be seen in Table 3, most countries are experiencing a steady decrease in the agriculture sector. This is likely the effects of people migrating from rural to urban areas. Both Lao PDR and Rwanda saw a 23 percent increase in its urban population between 1990 and 2014, followed by Viet Nam and Bolivia, at 13 and 12 percent, respectively, as seen in Table 4. These figures are expected grow in the coming years, which will more or less create many socioeconomic challenges for all countries. As evident, ROK experienced such a shift in its urban population in 1960, which jumped from 39.2 percent to 50.2 percent in 1970, resulting in an 11 percent increase in the urban population.

33. World Bank, <http://data.worldbank.org/indicator/NY.GDP.MKTP.CD>

34. World Bank, <http://data.worldbank.org/indicator/NV.AGR.TOTL.ZS/countries>



**Table 4.<sup>35</sup> Urban and rural population, proportion urban and average annual rate of change of the proportion urban**

Country	Urban pop. (thousand)			Rural pop. (thousands)			Proportion urban (%)			Average annual rate of change (%) 2010-2015
	1990	2014	2050	1990	2014	2050	1990	2014	2050	
Bolivia	3,776	7,388	13,193	3,018	3,460	3,428	56	68	79	0.6
Lao PDR	655	2,589	6,435	3,589	4,305	4,144	15	38	61	3.1
Myanmar	10,350	18,032	32,206	31,773	35,696	26,439	25	34	55	1.6
Rwanda	391	3,369	13,349	6,824	8,731	12,029	5	28	53	3.7
Uganda	1,942	6,124	33,367	15,593	32,721	70,711	11	16	32	2.1
Viet Nam	13,958	30,496	55,739	54,952	62,053	47,958	20	33	54	2

Detailed analysis of country contexts were carried out, and scoping missions were organised in the following countries: Bolivia, Lao PDR, Myanmar, Rwanda, Uganda and Viet Nam, to explore potential for ISNC implementation in each. Programmes of country visits included meetings with key national stakeholders and developing partners, as well as field visits to explore the results of SMU and other local development projects. The main scope of these missions was to explore potentials for implementation of ISNC models in a sustainable and inclusive manner; and determine whether ISNC implementation can influence national policy dialogue. Another objective of the missions was to establish the countries' potential to host a centre of excellence for collecting, processing and dissemination of lessons learned from SMU and other local development approaches through South-South cooperation mechanisms.

35. United Nations, *World Urbanization Prospects, 2014*. <http://esa.un.org/unpd/wup/Highlights/WUP2014-Highlights.pdf>



# V. CRITERIA FOR SELECTING PILOT SITES FOR THE ISNC MODEL

The overall vision for selecting the pilot sites focuses on achieving maximum coverage, impact, local ownership and sustainability. Sites for implementation of the ISNC model were chosen based on the analysis of needs, feasibility and impact potential. To identify areas in need of support, MDG and post-2015 (or SDG) framework aligned with national priorities were used. Additionally, local economic and social conditions were analysed to identify sites with feasibility (e.g. access to markets, basic infrastructure). Relevant national policies, programmes and budgetary support areas as well as development partners' flagship initiatives were mapped to identify areas for intervention. Importantly, pilot areas should possess the highest potential for impact and policy change.

Based on the country field visits conducted by the Inclusive and Sustainable New Communities programme expert panel, the following criteria for selecting pilot sites for the ISNC Programme were identified:

**1. Using MDG and post-2015 (or SDG) framework aligning with national priorities to identify sites in need of support.** Local and regional governments are essential players in promoting inclusive and sustainable development. Thus, an integrated multilevel and multistakeholder approach is needed to promote transformative agendas at the local level. However, there must be a strong national commitment that aligns with the local needs. The pilot project objectives and targets must not be in contradiction with the longer term policy strategy of a country.





There should be a need for multilevel and multistakeholder approaches that will allow all relevant stakeholders to participate in implementing the new development agenda of their respective territories, since they are closer to the beneficiaries and more familiar with the socioeconomic contexts. This will also strengthen local ownership of the localization process. Additionally, specific importance should be put on inclusive and participatory processes that permit local and regional governments to engage with the private sector and civil society, including distinctive local cultures, predominantly of indigenous peoples, migrants, minorities, marginalized groups, as well as traditional institutions and authorities, in a meaningful, effective way. This allows for promotion of social cohesion. This will also promote pilot initiatives to establish the added value of local and regional governments in the monitoring and implementation of the SDGs and to scale up current good practices and innovations for localization.

**2. Analysing local economic and social conditions to identify sites with feasibility (e.g. access to markets, basic infrastructure).** Many projects and initiatives on local development do not conduct a careful analysis of the political, economic, institutional and sociocultural dynamics and how they affect people's livelihoods in a given locality. This often leads to the formulation of development outputs that isolate or narrow the focus of the project and do not correspond with the realities and needs on the ground.

Empowering communities and local governments to demand and address their own development priorities is very critical in identifying potential implementation sites (e.g. local development programmes that reflect the priorities identified by vulnerable groups, such as women and minority groups; or local budgets allocated in accordance with the priorities identified by the local population). Active participation in analysing and identifying local economic and social conditions creates ownership, which is vital for the projects effectiveness and success. This not only creates ownership of the project but also its sustainability.

Aside from the beneficiaries, local governments as well as relevant non-governmental organizations (NGOs) and CSOs have to be actively involved in identifying the needs of the communities. Thus, when conducting the socioeconomic analysis, it is important that it be done from a bottom-up approach.

**3. Mapping relevant national policies, programmes, budgetary supports and development partners' flagship initiatives.** To avoid isolated projects, it is important to conduct a mapping of current national policies and programmes or initiatives that provide budgetary support along with local development initiatives being implemented by development partners and locate where they converge and analyse their collective impact. This will also provide analysis of gaps that UNDP can fill while ensuring that an inclusive approach is used during the selection and implementation phases. Additionally, there exists a wealth of knowledge accumulated through various initiatives, but often there is weak or no underpinning knowledge management, communication and outreach systems that make the lessons learned readily available. By mapping out these policies and initiatives, it will assist in identifying potential sites for implementation that will have deep development impact.

Additionally, a feedback loop to national and subnational policy makers is essential to all pilot projects. Feedback of experiences, effectiveness and lessons learned of policymakers enables them to develop a policy strategy, and to adopt and fine-tune policy instruments and positively influence the policy implementation structure. The policy environment should allow replication and extension of the project's objective and envisaged results. This will provide an enabling environment to strengthen national-local linkages and improve accountability systems for services delivery and access to information. This will also create policy level impact and build on the local-level achievements already made by prior applications



of SMU and other local development experiences to create national and policy level linkages of the community level results or an already existing local development projects. This will also ensure coverage, impact, inclusiveness and sustainability of the project.

***Based on the mission findings, two groups of countries were identified for implementation:***

It is proposed that ISNC will rollout in parallel Type A and Type B countries with field activities in Type A countries, and policy, advocacy and knowledge management focus in Type B countries. Sections 5.1 and 5.2 will shed more light on the identification on Type A and Type B countries.

Advantages of this set-up are as follows:

- ISNC methodology and toolkit will be enriched with practical experiences from more countries and contexts;
- Knowledge products and policy recommendations produced by the Centres of Excellence will feed and reinforce the ongoing implementation of SMU in Type A countries by UNDP-MOFA project, as well as in all countries where KOICA SMU projects are being implemented;
- South-South exchanges on SMU-driven approaches will start from the outset of the project, rather than at its final stage;
- ISNC project will have more visibility and impact regionally and globally.

### **5.1. Country Implementation Type A– Implementation of the ISNC Model at Local Level, Linking with National Policies**

The ISNC rollout in Bolivia, Lao PDR and Uganda will focus on local implementation by linking up with national policies and programmes based on the criteria for selecting pilot sites mentioned above. Such implementation of ISNC is expected to produce impact at the local level and create national-local linkages that have the potential to impact policies at the national level, based on the country's policy environment. Converging entry points were analysed that will not only help in selecting critical sites, but also in creating policy impact and ownership at the national level, ensure long-term sustainability. Furthermore, relevant national policies may be improved, taking into account the lessons learned from ISNC implementation.

In Lao PDR, UNDP identified convergence entry points in current and ongoing national programmes and policies (Sam Sang decentralization policy, 8th National Socio-Economic Development Plan (NSED 2016-2020) and Multi-sectoral Food and Nutrition Security Action Plan, 2014-2020) and ongoing programmes by development partners. As such, the ISNC interventions in Lao PDR by UNDP together with ROK and in collaboration with other development partners will identify the scalable elements and solutions of the SMU and any other local development projects. They will be formulated into an updated and integrated local development model known as the ISNC approach for application and scaling up to the current country context by finding convergence entry points in current and on-going national programmes and policies (as identified above) and on-going programmes by development partners. This will allow UNDP to assess the gaps it can fill and bring added value through its technical expertise. By using the national programmes and policies with ongoing projects funded by development partners, UNDP can strengthen national-local linkages for opening the pathway for bigger development impact both at the local and national levels.



Using the above approach, UNDP will support Lao PDR through community-driven integrated and sustainable local development. The main objectives of this initiative are: improve food security and nutrition in rural villages (cross-border initiatives by utilizing the value-chain approach) by supporting agriculture biodiversity, women's livelihood and income generation for persons with disabilities; strengthen local capacity in accessing and managing District Revolving Fund by linking it to UNDP's District Development Fund (DDF); inform and advise on the development of national decentralization strategy (Sam Sang); and document, generate and disseminate knowledge and lessons learned by linkage with regional think tanks and relevant counterparts through SSC/TrC engagement.

With a view towards producing a policy level impact, intervention will be channelled through the existing/ forthcoming policies such as the Sam Sang Policy, NSEDP and Food Security and Nutrition Convergence Action Plan. The primary implementation partner in Lao PDR is the Women's Union (LWU), in partnership with Ministry of Home Affairs (MOHA) and Ministry of Planning and Investment (MPI) to achieve policy impact at both central and local levels. Additionally, ISNC Lao project will seek potential partnership with KOICA Lao PDR to further explore south-south and triangular cooperation within Lao PDR and across region.

In **Uganda**, ISNC interventions will utilize the current government's Peace, Recovery and Development Plan for Northern Uganda, phase 3 (2015–2020), which sets community empowerment as one of its goals and the Uganda Vision 2040, which promotes revival of collective community spirit to be used as a springboard for the development of the national agenda to inculcate national values and strengthen village level administration (local councils). These are enabling national policies that can create national-local linkages.

The ISNC interventions, therefore, will aim to strengthen the existing yet poorly functional institutional system of local development planning, budgeting, implementation and monitoring, with a focus on subcounty, parish, village development committee. The bottom-up planning process will be reinforced through strengthening the district government capacity to mainstream local plans and connect them to resources. Capacities of local governments below district level are to be reinforced in planning, financing, implementation and monitoring of inclusive and sustainable local development with community participation. Innovative and sustained financing of local development priorities will be applied to increase local resources and improve existing financing mechanisms.

With a view towards producing a policy level impact, intervention will be channelled through the existing system of local development planning, in partnership with Ministry of Local Government and other national stakeholders.

In **Bolivia**, UNDP will tap into national existing funds allocated for projects to create and redistribute productive resources to benefit micro and small enterprises to ensure the sustainability of the ISNC implementation along with existing enabling national policies. Additionally, UNDP will utilize the ART Initiative (Articulation of Territorial Networks for Sustainable Human Development), a UNDP initiative, which aims to contribute to UNDP's global strategy, by stimulating dialogue between territories to face the global development challenges.

The ISNC project will be implemented in the metropolitan area of the Department of Cochabamba, aiming to promote human development by creating synergies among the municipalities of urban and rural cities to reduce poverty. It is planned that about 40 percent of donor resources will be utilised for policy support and capacity development, and 60 percent will be allocated to projects to be developed in two municipalities of the metropolitan area of Cochabamba. Particular emphasis will be placed on development of organizational, productive and commercial capacities to benefit small organizations of community producer.



Key pillars for successful and sustainable project results are: participation of local governments and ownership, empowerment and capacity building of local organizations and communities and co-financing of community projects from ODA, national and local budgets, as well of local stakeholders and community members. Among others, US\$500,000 will be allocated by the producer organizations, and municipalities will allocate US\$400,000. Additional longer-term financing may be allocated from the national government for the amount of US\$38,678 million (2014 and 2018), which will be invested in programmes and projects for the creation and redistribution of productive resources in benefit of the micro and small enterprises in Bolivia. The ISNC will tap into this fund to ensure government commitment and ownership.

Implementation of community development initiatives in the **above-mentioned countries** will focus on mind-set change, decreasing the dependency syndrome and promoting the SMU principles of *diligence, self-help and cooperation*. The project will also focus on increasing citizens' participation and engaging women, youth, poorest, disadvantaged and marginalized population and reducing fragmentation of community based associations.

Knowledge management will be an integral component of ISNC intervention in **all three countries**. Knowledge generated in implementation will be documented and disseminated, and linkages with academia will be reinforced for continuous engagement. Scale up of proven sustainability innovations (including ICT, environment friendly technologies, social enterprises, agriculture biodiversity, and value-chain access) will be promoted through standardization, certification and dissemination.

The intervention in the three countries will aim to build on the local-level achievements to create national and policy level linkages of the community level results. Each country will be allocated US\$1,000,000, of which about US\$400,000 will be designated for policy support and capacity development and US\$600,000 will be provided to 15 communities (at US\$40,000 per community). Programme and policy advisory support necessary for country-level implementation will be provided by UNDP headquarters and regional centres to relevant country offices (COs), for building these local-national linkages and ensuring that results are measured through the predefined indicators for success. Additionally, support will be provided for knowledge and advocacy through the development of knowledge products with concrete policy options to guide scaling up and triangular knowledge sharing and exchange.

### 5.2. Country Implementation Type B, Centre of Excellence: Provide Policy Advice and Contribute to Knowledge Gathering and South-South Exchanges

Under Type B implementation, select countries (Myanmar, Rwanda and Viet Nam) will focus on policy advice and contribute knowledge to the centres of excellence. These are countries where numerous local development programmes have been conducted or are being planned. Given the small-scale investment from the ISNC programme, targeted village level implementation will not likely add critical value to the country. Instead, building on existing programmes to develop policy advice, contributing knowledge to the model through centres of excellence and promoting South-South cooperation will be comparative advantages of these countries. Additionally, UNDP, together with ROK and in collaboration with other development partners, will support the identification of scalable elements and solutions of previous and current applications of SMU projects in the country, as well as learn from the different local development projects by UNDP and partners to package them for application, scaling up, and dissemination of knowledge and lessons learned regionally and globally.



Thus, there is a need to systematize a wealth of experience of SMU and other relevant local development projects to feed national policies and enrich the final ISNC methodology and toolkit during phase III of the initiative. This can be achieved by establishing ISNC centres of excellence in Type B countries to collect a diverse wealth of knowledge, alongside the launch of ISNC implementation in Type A countries.

ISNC centres of excellence will be tasked to deliver the following project results:

- To identify proven approaches and policy options for inclusive, sustainable local development, drawing on the expertise of SMU and other relevant solutions from development partners, including those from the South;
- To achieve policy impact at national level;
- To share evidence-based results and experiences through South-South and triangular knowledge exchange and cooperation as well as global advocacy to achieve impact at the regional and global levels.

The project will scale up the impact of the SMU approach to neighbouring countries by supporting existing relevant institutions, such as policy centres or research institutes, to become centres of excellence on the sustainable new communities' approach and related subjects (Type B). These centres will facilitate South-South and triangular exchange and cooperation, particularly among ROK-supported countries where the new approach has been applied and other Southern partners with similar demand. Additionally, the centres of excellence will also accumulate substantive evidence from the developing countries and provide a platform for the countries to collectively advocate at regional and global levels to advance the implementation of the post-2015 agenda. With the project's support, they will also utilize and nurture greater networks of practitioners and policymakers in scaling up applications of this approach to a broader range of countries and communities.<sup>36</sup>

For example, in **Myanmar**, UNDP has had long-term engagement in local development projects. One of the most notable is the Human Development Initiative Programme (HDI). The programme, which operated from 1994 to 2012, consisted of five projects: Integrated Community Development Project (ICDP), Community Development in Remote Townships (CDRT), Integrated Household Living Conditions Assessment (IHLCA), HIV/AIDS and Micro Finance Project. The overall aim of HDI was to provide support to poor communities in areas of food security, primary health care, environment, HIV/AIDS, and training and education. To date, HDI covered about 8,000 villages in 63 townships in 11 states or regions. The two community development projects, ICDP and CDRT, covered 51 townships, 4,314 villages, 465,309 households and 2,333,087 people (49.8 percent male and 51.2 percent female).

HDI followed an integrated, multisectoral and demand-driven approach that strengthens the capacity of poor communities, addressing their basic needs. Village priorities were identified through a participatory appraisal/planning approach, which was revisited on an annual basis. UNDP connected livelihood support with a strong focus on social capital formation. Additionally, ICDP introduced the formation and operation of self-reliance groups (SRGs) to support community livelihoods, especially for the poor, based on a model developed by an Indian NGO. Beneficiary villages assisted in the formation and the capacity building of SRGs and community-based organizations (CBOs) as the principal instruments for community engagement and for improving livelihood. The groups jointly identify beneficiaries and oversaw the project implementation, including the management of revolving funds.

36. *Project Document of Saemaul Initiative Towards Inclusive and Sustainable New Communities*



The objective of working through the SRGs is twofold: providing access to credit to rural women and economically empowering them while developing their individual and group capacities to sustain and enhance their well-being. UNDP invested considerable resources into strengthening the capacity of the SRG members, especially women who have been provided knowledge and skills development.

According to the recent study conducted by UNDP Myanmar (SRG Case Studies, 2009), SRG members have gained economic well-being, social security and social development at household and community levels. In addition to the benefits gained at household level, cooperation and mutual help in the community have been increased through combinations of social mobilization and experiences of working together, ***encompassing approaches similar to the SMU methodology that promotes self-reliance and community engagement.*** Based on the success of the SRG concept, knowledge could be collected and shared with similar countries that have similar requirements. Such experiences could be integrated in the new SMU model to bring more development impact to other Southern countries.

Additionally, UNDP Myanmar is currently engaged in the 'Improved Livelihoods and Social Cohesion' programme, which aims to increase opportunities and capacities for social cohesion, sustainable livelihoods and peace. The programme covers 312 villages in 25 townships across seven states. The programme contributes to improving the socioeconomic conditions of Myanmar's conflict-affected areas and bridging the socioeconomic gap between the ethnic states and other parts of the country. Social cohesion is considered a priority area for the Government of Myanmar as is the case for many neighbouring countries. The knowledge gained on social cohesion through this programme will also be integrated into the new SMU model that KOICA plans to implement in Myanmar.

In **Rwanda**, numerous projects have incorporated the SMU model into their local development interventions, among them, building an Inclusive Financial Sector in Rwanda (BIFSIR) project implemented by UNDP and the United Nations Capital Development Fund (UNCDF); Saemaul Zero Hunger Communities Project, funded by KOICA and implemented by WFP and Good Neighbours International; several SMU community development projects implemented by KOICA and UNDP's Joint Support Project for the Rwanda Integrated Development Initiative (IDP)-Green Villages Project, which empowers communities to take a leading role in planning and implementing initiatives to improve living conditions and income generation. Alongside capacity building, people's mind-set is being changed to adopt proactive attitudes and can-do spirit. Community development focus is present in a number of planned initiatives by development partners, among them FAO's Sustainable Food and Agriculture Initiative and the One UN Green Economy Project (with focus on green villages' development).

In light of the above, there is a need to systematize a wealth of experience of various aspects of SMU model implementation in Rwanda, with the aim to feed national practices and policies and package and disseminate such knowledge products through South-South and triangular cooperation. This can be achieved by establishing a centre of excellence in partnership with a domestic institution engaged in integrated local development activities, well connected to the policy level and potentially a success case for other countries in the region.

The ISNC project in Rwanda will strengthen the capacity of the National Climate and Environment Fund (FONERWA)<sup>37</sup> to become a Centre of Excellence. In particular, the monitoring and evaluation system of FONERWA will be enhanced to focus on systematically tracking progress and assessing development impacts on local communities. It is expected that FONERWA capacity will be developed to scale up home-grown





solutions and technologies that have proven successful in local communities. National standardization, codification, inventory and dissemination of best practices will be organised in partnership with relevant national authorities. Additionally, the Centre of Excellence will aim to enhance local governments' access to innovation grants and mobilize other financial resources, including from private sector and South-South investors.

In **Viet Nam**, the National Target Programme on New Rural Development (NTP–NRD) implemented by the Ministry of Agricultural and Rural Development, aims to improve the incomes, livelihoods and living standards of the rural population by creating equitable, inclusive and sustainable growth. NTP–NRD contains several crucial Saemaul elements, among them the principle of self-help, and the requirement of village participation and internal resource mobilization to increase local ownership (e.g. 30 percent central government, 70 percent local resource mobilization requirement for village infrastructure). Despite some notable achievements, an enabling policy environment has yet to be created to translate practical experiences into policies. However, the success of the pilot implementation of this programme can be collected and disseminated to further improve the implementation within the country and provide policy advice to policymakers.

The ISNC project in Viet Nam will build on the local-level achievements by prior applications of SMU experiences to create national and policy level linkages with the community level results in synergy with UNDP Viet Nam's local development project and various government programmes for rural development.

The objective of the project is to facilitate “Vietnamization” of the SMU approaches and set up mechanisms for nationwide visionary leadership development. Primarily, ISNC will focus on development of effective tools and channels for social capital accumulation and leadership development based on SMU principles locally adapted to the Vietnamese context. In cooperation with the National Agency for Political Academy, a “vietnamized” training curriculum and public communication programme will be developed to focus on mobilizing social capital and visionary leadership development with the SMU principles of self-help, diligence and cooperation, using the best practices learned from Korea as well as within Viet Nam. Training of Trainers (ToT) will be organised for provincial government leaders and leaders of mass organizations, such as the Farmer's Union, Youth Union and Women's Union, which have nationwide networks down to the village levels.

Secondly, support will be provided to policy advocacy and policy reform to increase government coordination and investment in the development of social capital and leadership. It will be achieved through technical and advisory support to the revision of the rural development policies, coordination of a high-level inter-ministerial political dialogue on rural development and policy advocacy to the Government, National Assembly and the Communist Party.

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37. FONERWA is the National Climate and Environment Fund under Rwanda Environment Management authority and Rwanda Ministry of Local Government. It provides unheralded technical and financial support to the best public and private projects that align with Rwanda's commitment to a green economy. Through a formalized process of public Calls for Proposals (CFPs), projects on integrated local development are selected and supported every quarter. FONERWA aims to be the engine of green growth in Rwanda, while serving as a touchstone for Africa and the rest of the world.



The project will specifically target policymakers through policy advocacy activities for the government to integrate the communication strategies developed through this project into the government policies and programmes, and to allocate more funding and resources for training and development of local capacity and social capital in government rural development programmes. The SMU spirit and leadership programme can be used across the programme, to help the government address its underlying challenges of policy implementation in social capital, participation and ownership by people. The project will engage national champions to raise awareness of the importance of greater investment in social capital development and capacity development (i.e. the 'software' for rural development), going beyond the existing 'hardware' interventions, to mobilize political support to policy reforms.

As such, the Centres of Excellence to be developed in the above-mentioned countries will promote the dissemination of knowledge through existing channels domestically and internationally, including through other Centres of Excellence and knowledge networks of local development issues in Africa, Asia and Latin America.

A close-up photograph of a person's open palm holding a small pile of mixed beans, including red, black, and white varieties. The background is a blurred natural setting.

## VI. IMPLEMENTATION MECHANISMS FOR THE ISNC MODEL

With a view towards sustainability, implementation of the ISNC model will be anchored into national systems, involving national budgets and using existing channels of fund transfer and strengthening them as needed. In processes of cooperation, local institutional capacity should be strengthened to allow national systems to continually use this model. Implementation mechanisms for the ISNC model is applicable to both Type A and B. However, such mechanisms will need to be adapted to each type.

### 6.1. Delivering Community Support

- ***Community-based organizations, women support groups and schools***

One mechanism for the implementation of the ISNC model is the engagement CBOs and women support groups. There are numerous examples of CBOs that contributed to strengthening participatory governance, supported and developed local capacities for community-based development and facilitated a collaborative relationship between communities and local authorities.

Many CBOs and women support groups have a proven capacity for broad-based mobilization and creating bottom-up demand that fosters responsive governance and local development. Civil society advocacy



can facilitate the participation of poor and vulnerable populations in the design and implementation of development policies and programmes. This can enhance the delivery of basic social services, such as health and education. Civil society organizations also play a critical watchdog role in the public life. Last but not least, members of civil society organizations volunteer their time, skills and expertise to development, which can be a critical asset for the ISNC model implementation.

CBOs, which could also include NGOs, played a vital role in the SMU implementation in many countries. For example, in Nepal, Good Neighbors (GNI), an NGO, played a significant role in ensuring community participation. GNI invested a significant part of the initial stage of the programme implementation in community mobilization and forming a governance structure that could improve the quality of participation in all levels of the community, especially targeting women and youth. This was done through the creation of a decision-making body, the Village Development Committee. This committee included leaders from the villages, women's groups, local government officials and others. This committee conducted the needs-assessment survey and selected project priorities, planning and implementation. This inclusive participation generated ownership of the projects, leading to successful results.

In Myanmar, through UNDP's HDI, which provided support to poor communities in food security, primary health care, environment, HIV/AIDS, and training and education, self-reliance groups composed mainly of poor and marginalized women were developed and supported in tackling poverty, gaining access to credit and participating in local community-based activities that positively affected their livelihoods.

This work contributed to the formation and strengthening of 5,473 SRGs, of which 98 percent were women. Through their involvement in SRGs, women from poor households increased their financial and livelihood assets, acquired greater decision-making roles in both family and village affairs and became more aware of health and social concerns, enabling them to advance economically and find solutions to their problems. To date, about 84 percent of SRGs are sustainable (49 percent are self-reliant and 35 percent are functioning with support).

In Ukraine, for example, authorities and communities lacked the capacity to jointly plan, budget and implement local development strategies. Such limited capacities created a situation in which local development priorities were unable to attract sufficient focus and resources; poverty levels remained high; local living conditions continued to deteriorate; and negative social trends were often left unaddressed. Through the Community-Based Approach to Local Development project, supported by UNDP, sustainable socioeconomic development at the local level was promoted by strengthening participatory governance and encouraging community-based initiatives throughout Ukraine. The community-based approach supported communities in carrying out rehabilitation of basic social infrastructure and services in rural and semi-rural areas; enhanced professional skills and knowledge of community organizations and local authorities to identify their developmental priorities and strategies to complement national priorities; and empowered local communities by creating public dialogue mechanisms (Local Development Forums) for all citizens to play their role in participatory planning and community mobilization processes.

- **Schools**

In the current SMU implementation, large financial investments are being spent on building SMU training centres. However, in the ISNC model, local primary and secondary schools in local districts will be utilized for training and building the capacities of beneficiaries and local government officials, especially for communities that do not have access to SMU training centres. This will be effective in reducing costs and



mobilizing villagers from nearby communities. For example, during the later stages of SMU implementation in ROK, schools were used to promote the SMU movement and spirit among adults and children and eventually became an important component in educational programmes.<sup>38</sup> One day per month was designated for promoting the SMU spirit of diligence, self-help and cooperation.<sup>39</sup>

- **Engaging private sector in cooperation**

The private sector plays an important role as an engine of economic growth and job creation in developing countries. It provides goods and services, generates tax revenues to finance essential social and economic infrastructure, develops new, innovative solutions that help tackle development challenges and is a central actor in addressing climate change. As such, the private sector is an important strategic partner in helping countries to eradicate poverty and reduce inequalities and exclusion amid the broader pursuit of sustainable development.

The SMU implementation in many countries involved the private sector. For example, the Republic of Korea's steel giant, POSCO, is introducing a series of social responsibility activities to help local communities improve their quality of life and levels of self-reliance. In Viet Nam, POSCO Viet Nam, POSCO Special Steel and POSCO ICT have been working together to construct the 'Dream Village' in Bà Rịa-Vũng Tàu Province since 2011. Myanmar offers another example of successful public-private cooperation: POSCO donated materials for building roofs of village schools and computers for education purposes, while a Dressmakers' Association in Myanmar provided school uniforms, water purifiers and bicycles.

UNDP in the ISNC initiative aims to include the private sector to create "inclusive markets" – markets that work for the benefit of the poor by creating market value-chain access to empower local communities in accessing the global markets.

## 6.2. For Institutions and Capacity Development

- **Building capacity of national counterparts with a focus on local governments and policy banks**

The ISNC implementing countries have different local development policies, institutional structures and levels of decentralisation. ISNC will attempt to strengthen the capacity of these institutions to advance integrated local development with community participation.

Capacity building is an essential component of the SMU model: it fostered discipline among the rural population to change the mind-set and to raise awareness regarding the economic benefits of adopting modern agricultural and industrial technologies. The main target audiences are informal leaders from rural community elites as well as local and central government officials. The SMU education changed the overall attitude of participants by leading them through a cycle of stimulus, reflection, resolution and practice. Success stories of SMU were also used in teaching processes. The education programmes were designed to change the participants' mind-set and equip them with the basic knowledge needed to implement change. Thus, ROK's own experience of training mind-set changes produced enormous results in development and improved the people of ROK's abilities to execute thoughts into actions as well as transfer positive energy that theoretical school education or job training failed to do.

38. Asian Development Bank (2012), *"The Saemaul Undong Movement in the Republic of Korea: Sharing Knowledge on Community-Driven Development,"* Manila: Asian Development Bank, p. 28.

39. Asian Development Bank (2012), *"The Saemaul Undong Movement in the Republic of Korea: Sharing Knowledge on Community-Driven Development,"* Manila: Asian Development Bank, p. 27.





The ISNC model will also focus on strengthening local knowledge and the capacity needed for integrated local development in community participation. Primarily, local and national government officials will be familiarized with the SMU approach and practical aspects of community-based development. Additionally, trainings should be provided to local community leaders to enable them to mobilise their community for joint decision-making and action for improving living conditions and income generation activities within their communities.

For quality assurance purposes of both content and delivery, SMU training will be provided to local government technical officers, agricultural extension officers and local community leaders. UNDP and KOICA and local and national governments will prepare standard training curriculum along with relevant materials to guide the training of community instructors/extension agents. The curriculum and materials will also be jointly developed by all involved stakeholders to ensure its effective delivery and responsiveness to the needs of the communities. However, the training modules should be ultimately tailored to the needs of partners and focused on such areas as decentralization, sustainable local development, community-based approach, strategic planning, participatory planning process, innovative technology for energy saving, micro-project implementation and sustainable service delivery. In addition to training, study tours should be organised to communities/districts that are successfully implementing the SMU model.

In Uganda, ISNC will partner with National Farmers' Leadership Centre (NFLC) to provide capacity building for local government authorities and community leaders of pilot areas. The Centre was established by KOICA in partnership with the Ministry of Agriculture in 2014. It provides training to local leaders and government officials, agricultural extension officers and community development officers, aiming to become a regional hub for various aspects of local development. The NFLC team was coached in ROK's SMU Centre to provide training on SMU approaches with emphasis on mind-set change and new approaches on local community development. However, the new ISNC model will focus on using school facilities to conduct training and capacity building for communities that do not have access to SMU training centres.

In the implementation countries, the national development banks or policy banks often play an important role in delivering resources to local communities, providing families with financial aid and services for economic activities. The ISNC model will leverage the channels of such development banks, policy banks or agriculture banks. On the one hand, existing financial resources need to be better utilized by the communities. On the other hand, by managing additional resources brought by the ISNC projects and other development partners, the capacities of national policy banks can also be strengthened to serve the people in need.

Additionally, knowledge platforms of the regional and global development banks (e.g. African Development Bank, Asian Development Bank, Inter-American Development Bank, World Bank and the New Development Bank) can also be used to share SMU experiences in development.



### 6.3. For Policy and Advocacy Support

- **Partners: national ministries, think tanks and regional Centres of Excellence**

ISNC should aim to establish partnership with ministries that are influential at the policy level in local development (e.g. Ministry of Local Development, Ministry of Local Governance, Ministry of Agriculture, Ministry of Environment, Ministry of Rural Development and Land). Furthermore, a champion within that Ministry should be identified to advance the proposed model. To the extent possible, a national system of local development and budgeting support will be used to deliver support to communities (e.g. in the case of Lao PDR and Uganda). Thus, engaging influential ministries in piloting the ISNC model will help lay the foundation for further policy environment improvement.

Policy changes should be formulated and advocated in partnership with think tanks possessing national and regional expertise and able to guide ministries and development partners in policy and advocacy. In doing so, ISNC will contribute to strengthening the Southern think tanks and linking them with their counterparts from other continents. UNDP already has a roster of influential think tanks from developing and developed countries that have experience and knowledge in local development. They can be utilized to collect and disseminate knowledge and tapped for technical advice and expertise.

In today's world, mutual learning among developing countries in public policy reforms are very active. Many centres of excellence have been established and play important roles in collecting and sharing local knowledge and policy innovations to share with the world. A successful example of such centres is the International Poverty Reduction Centre in China (IPRCC), established with support from UNDP as a global hub of knowledge and information exchange on poverty reduction. It has accumulated a commendable track record as a centre for poverty reduction training, poverty policy dialogue and facilitation of high-level international meetings focusing on ways to scale up poverty reduction efforts. Through its efforts, policy dialogues and experience exchanges have been intensified to promote poverty reduction and achieving the MDGs. UNDP supported the IPRCC in becoming an international centre of excellence.

Similarly, in the ISNC model, regional centres of excellence will be established to collect and process local experiences to feed policy agenda. These are not new institutions, but rather build on existing institutions that have accumulated knowledge and network in the area of local development, poverty eradication and sustainable development. The ISNC field studies have identified institutions that have the potential to become centres of excellence in countries such as Rwanda, Myanmar and Viet Nam. In Bolivia, experience and networks of the UNDP-ART Bolivia project will be used to facilitate advocacy and policy dialogue at the national level, and disseminate the Bolivian experience in other Latin American countries.



## VII. MONITORING AND EVALUATION

The project will be subjected to UNDP's monitoring and evaluation procedures in accordance with the UNDP Programme Policies and Procedures. Monitoring of progress will be conducted on quarterly and annual bases, with engagement of pilot communities and local government counterparts. It will be supported by national institutions; and joint monitoring with ROK at milestones. When possible, monitoring mechanisms will be aligned with national monitoring frameworks to inform and enrich them.

### 7.1. Monitoring and Evaluation Mechanism

Monitoring and evaluation systems should be developed to enable practitioners to track development progress and results that could be valuable for scaling up the model. Among others, this system should attempt to measure the actual benefits, such as the development of leadership capacities, change in attitude or behaviour or change in development dynamics as a result of interventions that were introduced.

Monitoring mechanisms of the ISNC project will be built on existing national and local monitoring and evaluation (M&E) systems to effectively capture the results, especially in qualitative areas, and potential transformative changes (such as change in attitudes, incentive mechanisms, etc.). Progress updates should



be communicated precisely to national counterparts in a structured fashion. Nevertheless, M&E for the ISNC model has to be collaborative and take a stakeholder approach. This is not only to nurture ownership, but also to transform ownership into change championship for scaling up efforts.

At the initial stage, in type A countries, a baseline survey will be conducted in the selected pilot areas to assess the level of development and identify the context and needs (e.g. access, use of services by target groups, MDG/SDG data, political economy analysis, cultural context and more). This will enable the measurement of quantitative and qualitative progress and results, as well as impact of the ISNC project intervention in the pilot areas. Cross-checking should be conducted against existing data from national statistics and monitoring agencies and development partners. Once the quarterly, annual, midterm and final objectives and outputs are set, a menu of monitoring indicators should be developed, including qualitative and quantitative ones. Partnership should be established with a national/local agency to conduct monitoring of programme results; however due to low government capacities, capacity building on M&E mechanisms will be provided. Additionally, an internal M&E focal point should be appointed with enough abilities and resources to deliver the functions properly. At the outset, a mechanism should be established to ensure that the data generated through the baseline study and throughout programme implementation is integrated into local and national monitoring and statistics system.

During the implementation stage, progress data should be regularly collected and reported to local and national counterparts, communities/beneficiaries and partners. A targeted communication strategy will regularly highlight project implementation progress using the national and local media outlets. Monitoring visits to pilot areas should be regularly organised for key national and local partners. As necessary, the monitoring and evaluation frameworks should be adjusted in response to internal and external factors so actions for mitigating risks and managing trade-offs can be planned well ahead.

In accordance with UNDP's monitoring and evaluation procedures, the project will be monitored through the following:

## 1) Within the annual cycle:

- On a quarterly basis, a progress report assessing the completion of key results will be prepared, based on quality criteria and methods captured in the standard Quality Management procedures.
- An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted, a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, a Project Progress Report (PPR) shall be submitted by the Project Manager to the Project Board, using the standard report format available in the Executive Snapshot.
- Lessons learned will be continually shared and incorporated into the annual report to ensure ongoing learning and adaptation within the organization.
- A Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/ events.



- Periodic meetings will be held with the Mission of the Republic of Korea to the United Nations in order to follow up on the progress of the project and find synergies with other initiatives supported by ROK.

## 2) Annually:

- An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. As minimum requirement, the Report shall consist of the Atlas standard format for the quarterly progress report (QPR) covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.
- Annual Project Review: Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

At the final stage, the final data analysis should be collected and disseminated. Importantly, the final report data should show direct and spillover impacts. In a few years after project finalization/exit, a follow-up study should be conducted to document any intangible impacts and perceived changes by people (e.g. change in attitude and behaviour, formation of social and human capitals).

An independent evaluation of the project will be carried out at the end of the project to assess progress towards achievement of outcomes as well as document lessons learned and make recommendations for the way forward.

## 7.2. Indicators of Success

Progress and achievement of ISNC intervention will be assessed using a set of sample indicators that can be grouped according to the types of intervention and adapted to individual project:

### *At the Community level*

Outputs	Sample Indicators	Target
Improved living conditions, housing and consumption patterns (quality of food, improved clothing, access to medical care etc.)	Percentage in acquisition of household assets in the participating households	
	Number of infrastructure objects restored / constructed	
	Number of income-generating initiatives implemented, amounts generated	
	Number of beneficiaries (male and female, youth, vulnerable groups)	





Outputs	Sample Indicators	Target
Types of communal activities strengthened/perceptions of social cohesion	Number and percentage of local people engaged in community development activities	
	Number and percentage of local women, youth, disabled people participating in community activities	
Strengthened capacity of local community leaders for organising participatory decision-making and implementation of community initiatives	Proportion of community leaders ably organising participatory decision-making and implementation of community initiatives	
Increase of energy access	Number of households accessing energy sources (solar lighting) for the first time	
Strengthened engagement with CSO and CBOs	Number of partnerships with CSOs or CBOs that delivered results	
Partnerships created with private sector	Number of new technologies utilized (or new market channels opened) with private sector support	
	Number of private sector investments into rural development through their corporate social responsibility	

## At the National level

Outputs	Sample Indicators	Target
Improved policy environment to address current challenges of local development and better respond to local needs	Number and types of policy recommendations introduced and adopted	
Existence of a leading ministry or political figure championing the ISNC initiative in country		
Strengthened local governance system to efficiently engage communities in cooperation and provide them with better quality of services	Number of civil servants trained to apply ISNC model	
	Mechanisms in place for diversified and sustainable sources of funding for community priorities	
	Mechanisms in place for joint decision-making, with engagement of local communities	
Strengthened monitoring and evaluation systems	M&E framework in place	
	Number of personnel trained in M&E	
Codification and dissemination of knowledge and lessons learnt at national and regional levels	Number of publications, exchange visits etc.	
	Number of conferences or seminars organized	
	Number of local and national media coverage	
	Number of cases when the transferred knowledge was applied in other regions	



## *At the Regional and Global level:*

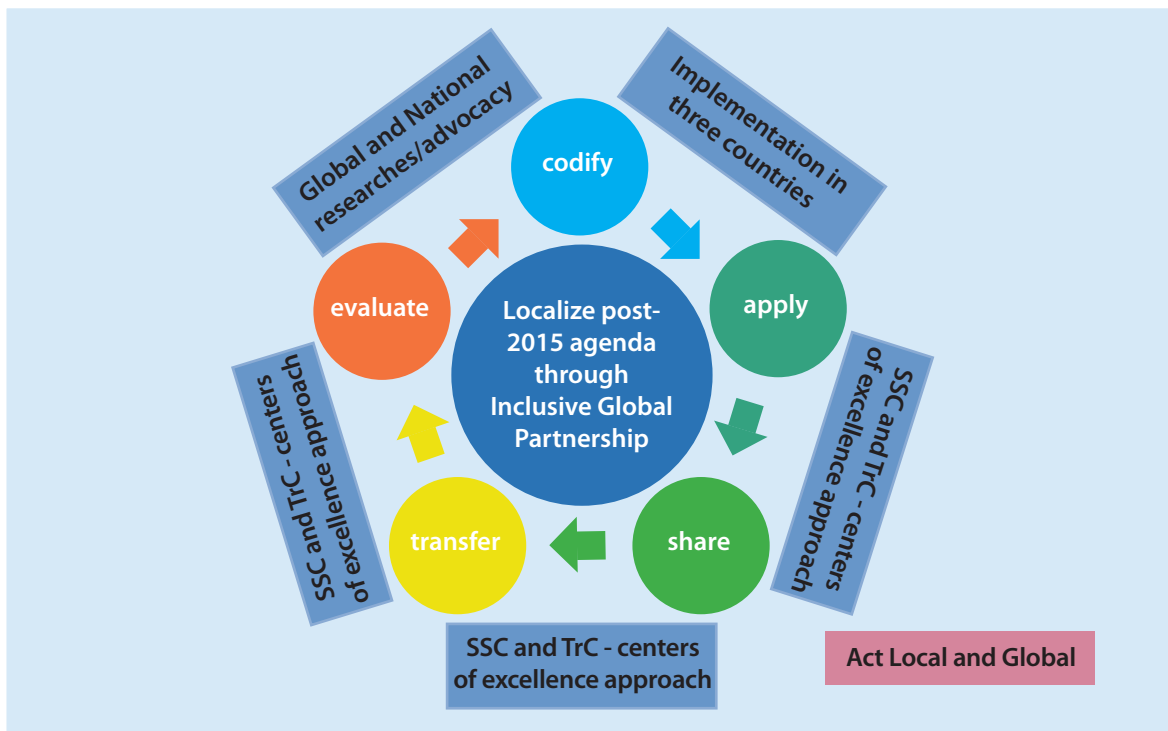
Outputs	Sample Indicators	Target
Codification and dissemination of knowledge	Number of centres of excellence actively accumulating substantive evidence from developing countries	
	Mechanisms in place to share knowledge and expertise and identify potential areas and partners for triangular cooperation	
	Number of new partnerships developed for sharing of lessons and application of the integrated local development model	
	Number of countries applying and integrating the ISNCs approach into development plans and budgets	
	Extent to which the ISNCs approach has contributed to ongoing global and regional development discourses (e.g. number of citations/downloads and site visits)	



## VIII. KNOWLEDGE MANAGEMENT AND GLOBAL ADVOCACY

While achieving success at the national and local levels in the Type A implementation countries, the project will also scale up the impact of the initiative to neighbouring countries and countries with similar political and cultural context. This will be achieved by supporting existing relevant institutions, such as policy centres or research institutes, to become centres of excellence on the sustainable new communities' approach and its related subjects. These centres will facilitate South-South and triangular exchange and cooperation, particularly among ROK-supported countries where the new approach has been applied and other Southern partners with similar demand, as seen in Figure 3.

Additionally, the centres of excellence will also accumulate substantive evidence from the developing countries and provide a platform for the countries to collectively advocate at regional and global levels to advance the implementation of the post-2015 agenda. Such a platform will provide examples of innovative local development interventions that have proved successful and can be emulated for scaling up. With the project's support, they will also utilize and nurture greater networks of practitioners and policymakers in expanding this approach to a broader range of countries and communities.



Knowledge management and global advocacy activities will focus on the following:

- 1-Systematic documentation of lessons learned for comparative analysis of application and results, as well as synthesis for integration into regional and global debates and enhanced discussions around triangular cooperation as part of implementation mechanisms for poverty eradication and achieving sustainable human development;
- 2-South-South and triangular knowledge exchange and cooperation through the support of the centres of excellence for the accumulation of substantive evidence from developing countries;
- 3-Global sharing and advocacy of evidence-based results and expertise at regional and global levels to advance the implementation of the post-2015 agenda; and
- 4-Inputs to global and regional discourses on scalable solutions for sustainable rural development to inform implementation mechanisms for the post-2015 development agenda.



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## IX. ANNEX

### ANNEX 1. RISK LOG

Risk Log #	Description	Category	Impact & Probability Level	Countermeasures / Management Response
1	Critics of <i>Saemaul Undong (SMU)</i> may perceive this initiative as a replication of both the strengths and weaknesses of prior implementations.	Political	Critics may vocalize their concerns through media and other outlets, hence causing wider misinterpretation of the project approach  P = 3 I = 2	<ul style="list-style-type: none"><li>- Proactive promotion of and advocacy around the results of the joint study/analysis and all evidence emerging from rollout sites.</li><li>- Implementation of branding strategy highlighting ISNCs (or Inclusive and Sustainable Saemaul in Korea), with communications materials and media campaigns.</li></ul>



Risk Log #	Description	Category	Impact & Probability Level	Countermeasures / Management Response
2	Since most project sites have previously applied the SMU only at village level, relevant stakeholders may try to implement the adapted approach with a localized bias, not seeing the importance of national linkages and scaling up.	Operational	Strong bias towards only localized village level interventions may limit project impact and weaken sustainability.  P = 3 I = 3	<ul style="list-style-type: none"> <li>- Capacity development on use of adaptable toolkit and how to measure against proposed indicators.</li> <li>- Programmatic and policy support for effective implementation according to adaptable toolkit.</li> <li>- Capacity development on linking local results with national policies.</li> <li>- Strong emphasis on triangular knowledge sharing and global advocacy.</li> </ul>
3	The initiative does not mobilize enough in-kind contributions at community level.	Financial	Not all planned activities can be implemented.  Sustainability of project can be weakened without strong community contribution.  P = 2 I = 2	<ul style="list-style-type: none"> <li>- Carefully select project sites where local mobilization potential is strong.</li> <li>- Awareness-raising campaign on the self-help and cooperation spirit.</li> <li>- Mobilizing local volunteerism</li> <li>- Strong emphasis on the project's 2-3-5 approach for structuring resources.</li> </ul>
4	Unexpected political instability undermines project implementation and achievement of intended results.	Political	Planned activities are slowed or even temporarily halted.  P = 2 I = 5	<ul style="list-style-type: none"> <li>- Careful monitoring of political instability and documentation of impact on project activities.</li> <li>- Documentation of lessons learned for implementation in unstable contexts.</li> <li>- Additional steps to adapt to context.</li> </ul>



## ANNEX 2. COUNTRY PROJECT DOCUMENTS

### COUNTRY: BOLIVIA

#### Project Document

#### I. SITUATION ANALYSIS

Bolivia has a population of more than 10 million and it is classified as the fourth-poorest country in Latin America, defined by low levels of per capita income, low levels of human development (HDI: 0.667, 113th ranking in the World Human Development Index (HDI) ranking) and lack of economic diversification. Since 2006 the Bolivian economy has experienced a significant up-growth, with a 6.78 percent real gross domestic product (GDP) growth rate. Bolivia then experienced macroeconomic stability for several years and a sustained economic growth higher than other Latin-American countries. Inflation is being controlled and there is improvement in tax revenue on royalties' from gas production and other sources. The government is fostering a new model of "plural economy," with a crucial role of the state in market regulation. The purpose of this "plural economy" is to develop a diversified and fair economy.

Nevertheless, there are still some economic challenges. Despite macroeconomic stability, the unemployment rate has not decreased as expected, and there were no substantial improvements in work quality. Fifty-one percent of Bolivian inhabitants still live in poverty and 26 percent live in extreme poverty. Women and children, particularly indigenous populations, are the most affected, mostly in rural areas (30 percent of the population lives in rural areas, characterized by low productivity).

However, progress in tackling poverty has been important: between 2007 and 2013 extreme poverty was reduced from 37.7 percent to 18.8 percent. This reduction was proportionally faster in rural areas than urban ones, due to new mechanisms of social protection such as social bonds (Juancito Pinto and Juana Azurduy and Renta Dignidad).

The political and economic changes that took place in Bolivia during the last few years have created new landscape, marked by important advances in social, political and economic levels. These positive transformations have been achieved through a new constitutional and regulatory framework, an updated Development Plan (2009) and, above all, a new socioeconomic reality. However, the level of poverty affecting the indigenous population is three times higher than that experienced by nonindigenous people (36.8 percent and 12.1 percent respectively). Furthermore, the gender-based poverty gap is even deeper, affecting mostly indigenous women.

Poverty is a more critical issue in rural areas, where around three million of Bolivians reside, of which 40 percent are suffering even deeper conditions of poverty and marginalization. Rural indigenous women and men are among the poorest people in the country and their condition is a cumulative result of complex, longstanding structural, cultural and institutional factors. The poverty of rural inhabitants is not only related to their limited income levels and caloric intake, but also to other factors like property status, access to necessary resources for production and lack of full exercise of their citizenship.



### MDG PROGRESS - Bolivia

	Baseline	Annual Data	MDM 2015	Gap 2015
MDG 1	Eradicate Extreme Poverty and Hunger			
Extreme Poverty	41,2 (1996)	18,8 (2013)	24,1	-5,3
MDG 2	Achieve Universal primary education			
Net enrolment rate at primary level	94,3 (2001)	90,0 (2008)	100	-10
MDG 3	Promote gender equality and empower women			
Gender gap in completion of primary schooling	2,8 (2001)	-1,8 (2008)	0	1,8
MDG 4	Reduce child mortality			
Infant mortality rate	129,4 (1989)	51 (2013)	43,1	7,9
MDG 5	Improve maternal health			
Coverage of institutional delivery	33 (1996)	71 (2014)	70	1
MDG 6	Combat HIV/AIDS, malaria and other diseases			
AIDS prevalence	2,5 (1996)	82,6 (2008)	13	69,6
MDG 7	Ensure environmental sustainability			
Percentage of the population with access to sanitation	28 (1992)	69,8 (2012)	64	5,8

Source: INE, UNDP Bolivia and other sources

The Bolivian government puts poverty reduction and improvement of economic living conditions of the population as top priorities on the agenda of the National Development Plan (NDP), intervening through four public policy instruments and programmatic interventions: Bank of Development; Social Protection Programme; Innovation, Technology and Development of Productive Complexes Programme; and the Programme of Productive Infrastructure.

In 2010, Bolivia adopted a framework law on autonomy and decentralization. This law establishes the bases for decentralization in Bolivia, regulating the roles of each actor: central, departmental, regional, indigenous and municipal, as it is defined in the Political Constitution of 2009.

Important competencies and resources have been transferred to subnational governments. The metropolitan areas are defined as conurbations, with more than 500,000 inhabitants, and have been created within this framework. The metropolitan area is a suitable space for planning and operational management, as it mobilizes a critical mass of financial and human resources, linking urban municipalities as well as rural ones.



Necessary interventions to reduce poverty, inequality and exclusion are increasingly complex. A review of the policy cycle and the most successful approaches in this field shows that the essential interventions are: (1) the expansion of economic opportunities for the poor, stimulating the overall growth, multiplying their assets (credit, technical assistance, housing, education) and raising its profitability; (2) an empowerment model that must encompass a wide variety of actions, such as institutional development with greater attention to the needs of the population in poverty, strengthening the participation of the poor population in political processes and local decision-making; elimination of structural and social obstacles arising from gender difference, ethnic affiliation, among others (PIO 2008); (3) vulnerability reduction and better risk management when facing critical economic cycles and natural disasters (World Bank, 2004; PIO, 2008).

## **II. RELEVANT INITIATIVES AND LINKAGES TO THE GLOBAL PROGRAMME “SAEMAUL INITIATIVE TOWARDS SUSTAINABLE AND INCLUSIVE NEW COMMUNITIES”**

The increasing recognition of widening disparities and inequalities in Bolivia, especially between rural and urban areas, calls for renewed efforts to apply interventions that are proven to address development challenges at the local and regional level and that are cost-effective, scalable and sustainable. Many local development initiatives, both from international cooperation and Bolivian public stakeholders, have emerged. In this context, it would be interesting to analyse the economic growth of the Republic of Korea in the 1970s, and how absolute rural and peri-urban poverty in Korea declined by the end of the decade. In this astonishing transformation, the implementation of the Saemaul Undong (New Village Movement), an integrated local development programme that flourished between 1971 and 1979, has certainly had a crucial responsibility.

The Korean experience and its remarkable achievements in the development of many communities, as well as in closing the gap between urban and rural areas, might be an interesting path for the communitarian and local development in Bolivia. The Saemaul Undong methodology might necessarily be adapted to the particularities and specific needs of the Bolivian reality, developing winning synergies and complementarities with existing projects and programmes in the governance and local development sector.

In this regard, strong complementarities can be found between the Saemaul Undong methodology and the UNDP-ART Initiative. The ART Initiative (Articulation of Territorial Networks for Sustainable Human Development) aims to contribute to UNDP's global strategy by stimulating dialogue between territories to contend with global development challenges. This programme, present in Bolivia since 2008, is mainly focused in two major areas:

First, promoting multilevel governance that allows for productive interaction and dialogue between public and private stakeholders, crucial for the establishment of coordinated and effective public policies.

Second, supporting local economic development processes and accompanying the territories in the definition of economic participatory development strategies based on the endogenous potentialities and resources as well as exogenous or opportunity factors. The aim is to endow the territories with local capacities and to generate decent employment opportunities and social equality, thus securing the welfare of the population.





On the other hand, specifically in Cochabamba, there are many policies and programmes by the Ministry of Rural Development and Land; the Ministry of Productive Development and Plural Economy and the Regional Government that could be connected with the metropolitan area. For example, the municipalities are jointly implementing four productive changes of species, tubers, maize, cereals and fruit, which are in the same line of priorities established by the national Ministries. Therefore, many potential projects and programmes can be linked from the national level to implement jointly.

Moreover, the national Employment Support Program and the Ministry of Autonomy programs could be articulated with the local actors to have a better impact and a wider coverage.

The ART Initiative is characterized by a specific methodology that combines the creation of local, national and global spaces and networks for articulation, with the promotion of the strategic and operational participation of multiple cooperation actors. The Initiative fosters the implementation of the principles of development effectiveness and improves the positive impact of human development processes.

The territorial approach to development has proven to be one of the most realistic, pragmatic and effective strategies to stimulate and consolidate governance and sustainable development in the medium and long term.

#### **Complementarities between ART and the SAEMAUL Initiative:**

On the one hand, the Saemaul initiative could bring a genuine communitarian-based integrated rural development approach with three different distinguished phases: basic infrastructure (Stage 1), development (Stage 2) and dissemination (Stage 3). At the same time, particular attention shall be paid to the creation of economic, social and attitudinal improvements.

On the other hand, UNDP-ART Bolivia's experience and networks might facilitate the scaling-up strategy beyond the rural and local level, impacting all government levels (local, regional, national) and public policies. This fact seems crucial in ensuring the sustainability of this initiative and probability of disseminating the Bolivian experience to other Latin American countries.

The limitations and advantages of each make them perfectly complementary: if UNDP-ART seems somehow less present at the community level, Saemaul Initiative might lack strategic impact at the national level.

In light of the above, UNDP, along with the ROK and in collaboration with other development partners in Bolivia, will identify the scalable elements and solutions of the SMU and other local development projects to formulate them into an updated, integrated local development model known as the Inclusive and Sustainable New Communities (ISNCs) approach for application and scaling up in Bolivia. In doing so, the project will also facilitate triangular knowledge exchange and cooperation on proven solutions for local development by drawing on the experiences of ROK and country-level implementation. This process will also ensure that the lessons learned from the SMU and the updated approach can influence global and regional development discourses.

UNDP Bolivia Country Office and the Representation of KOICA in Bolivia have started a dialogue to define a common approach for adaptation of the Saemaul Initiative in the country. Previous collaborations between both institutions guarantee the willingness of their working together again, taking into consideration the successful adaptation of the Korean experience in other countries.



## III. RESULTS AND STRATEGIES OF THE PROJECT IN BOLIVIA

### • Results to be achieved

The project will focus on the metropolitan area of Kanata in the Department of Cochabamba. This geographic and social area is composed of 7 municipalities: Cochabamba, Sacaba, Quillacollo, Colcapirhua, Tiquipaya, Sipe Sipe and Vinto. The territory recorded a considerable population growth between 2001 and 2012, according to 2012 Census results. In May 2015, total population increased to 1,141,094 inhabitants, compared with 880,927 recorded in the 2001 census.

Sixty percent of the metropolitan area of Cochabamba is an informal economy. The area represents 64 percent of the whole departmental population and produces 74 percent of the departmental GDP.

The main objectives of the metropolitan area are to promote an integrated urban and rural development; to create a plan for land management, land use and protection of aquifers and agricultural areas; and to find solutions to common problems and challenges in an integrated way.

Four of the seven municipalities concerned (Sacaba, Sipe Sipe, Vinto and Tiquipaya) are mostly rural and have fewer development capabilities. The population living below the poverty line is no less than 40 percent. Their average HDI is between 0.69 and 0.71, and their economy is based on agriculture, commerce and construction activities. Predominantly, they produce basic food (horticulture, agriculture and livestock farming) that feed the rest of the region and which is manufactured in the urban areas.

A food-value chain links the larger municipalities of the area to the smaller ones, thanks to large commercial and industrial activity.

***This project will be focused on two municipalities, Sacaba and Tiquipaya,*** linking them at the same time to the most developed and urban ones. These municipalities have been selected based on several factors. First, the metropolitan area is of great interest to both national and departmental government, since it represents more than half of the whole Cochabamba Departmental population.





Second, it responds to a national and departmental demand to the UNDP/ART and KOICA to in Cochabamba. Third, after a deep analysis, we found that the number and importance of the institutions (national, local, public, social and private) interested in the development of the metropolitan area is big, so it will guarantee better results.

In addition, this project is closely related to the government priorities, policies and strategies. The metropolitan area of Cochabamba, the first of its kind in Bolivia, is of great interest at the national level. National Ministries are making important efforts to develop the metropolitan area by implementing technical assistance and effective investments. These policy entry points will allow the initiative to have more potential for coverage, impact and sustainability.

The aim of this project will be to promote an integrated and sustainable development strategy for the region. Moreover, through the combination of the ART/UNDP and SMU methodology, a national and regional policy linkage will be promoted at the community level, coordinating with the existing UNDP local development projects. Working groups are the tool to achieve this goal by articulating multilevel stakeholders. The Ministry of Labour, the Ministry of Autonomies and the Ministry of Productive Development and Plural Economy are interested in taking part in a working group to coordinate all national initiatives with the local community.

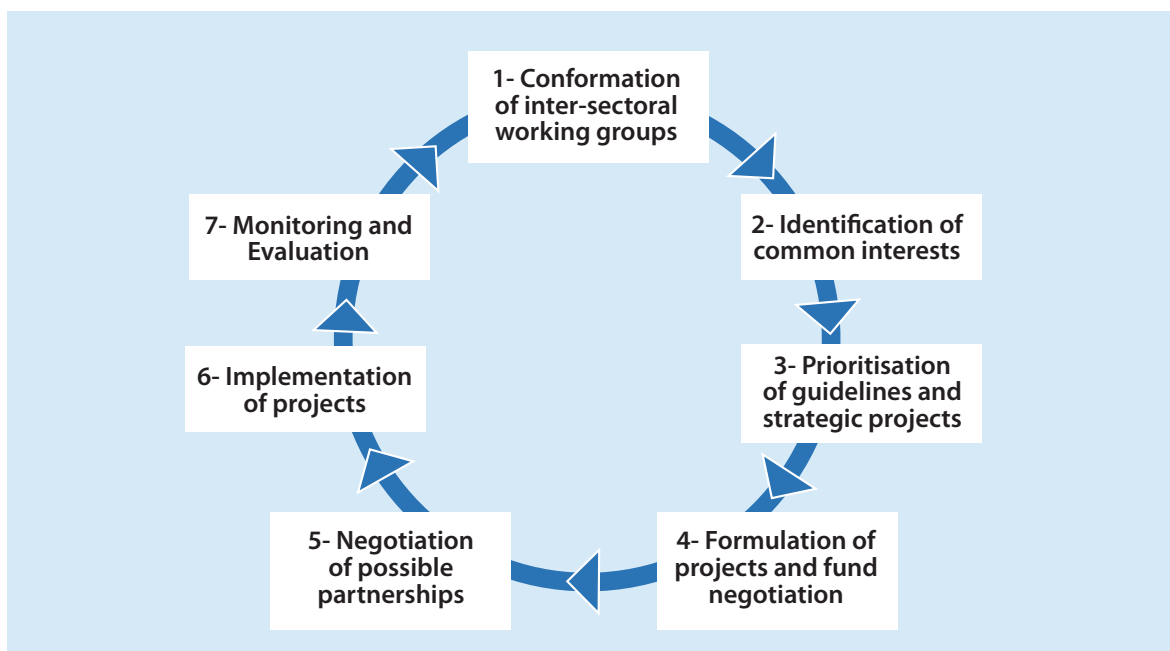
**The general objective of the project is to promote local human development in the metropolitan area of Cochabamba, by developing positive synergies between the municipalities of urban and rural cities to reduce poverty in the region.**

The purpose is to work with all the stakeholders involved in the territory (public, private, civil society, academic), taking into account their needs and their significant contribution to development. In this regard, working groups will be established locally as spaces where members can decide on the territory's orientations from a strategic and investment perspective, prioritizing, for instance, productive development. These are multilevel and cross-sectoral structures whose aim is to respond to the territory's needs and priorities. This process will focus on generating the institutional arrangements for co-funding impact projects in the field.

Small farmers, women, young and community institutions will be part of the working group. The methodology will focus on generating abilities to make decisions in the community for new investments and to motivate producers to improve themselves and learn from good examples from outside.

Special attention will be given to youth and women associations. Their active participation is considered a key element, as they are major players in communitarian and local development. Specific working groups might be created to better understand their needs and to identify suitable tools and empowerment mechanisms in a participatory way.

The following scheme details the implementation *local programming cycle* stages of the working group, a methodology developed with success by UNDP-ART in several Bolivian territories:



The seven stages are part of the process rather than chronological steps. This means that prioritisation can start again any time a new topic emerges or if some goals have been reached. Also, the whole action is based towards achieving the common interest to promote work for the well-being of all.

The three fundamental principles of the SMU approaches are Self-Help, Diligence and Cooperation. In this way, the working groups contribute to the empowerment of small actors by putting them at the same table as national and departmental institutions and community level actors. Also, the *local programming cycle* promotes faster decision-making to analyse the common interest, and prioritises some investment for the good of all. This is based on the articulation among multiple and diverse actors to generate endogenous development and motivate local population to overcome their poverty situation.

Finally, to generate a mind-set change and inspire the community, some successful examples of community development from the South (other Bolivian regions, Ecuador, Colombia, Uruguay, etc.) will be brought to the territory.

The main results to be achieved are:

1. Improvement of productive capacities of small farmers and businesspeople in the metropolitan region of Cochabamba.
2. Growth of joint planning between public and private stakeholders from different government levels by the prioritization of public/private investments.

- **A brief description/summary of the inputs to be provided by all partners**

The project will develop synergies with the results achieved by the UNDP-ART Programme at the local level, in order to create national and policy level linkages with the community level results.



The Ministry of Labour, the Ministry of Autonomies and the Ministry of Productive Development and Plural Economy are making important efforts to develop the metropolitan area by implementing technical assistance and effective investments.

The Planning Department of Cochabamba is already working on the metropolitan planning, focalizing its intervention on health, productive development, infrastructure and environment areas. Furthermore, there are other cooperation agencies that have made important efforts to support the development of this regional space.

Each institution will also contribute to the implementation of the project with technicians. The Departmental Government of Cochabamba will hire at least three full-time technicians; each Ministry will contribute with one part-time technician, and the communities and municipalities with one part-time technician, at least.

For the Bolivian government, those issues are aligned with the highest priorities expressed in the Constitution. In the 306th Article, paragraph II, it is stated that the rural economy is built on different forms of economy: community-based organizations, public government, private stakeholders and social cooperatives. These types of economy must be in accordance with the principles of complementarities, reciprocity, solidarity, redistribution, equality, legal security, sustainability, balance, fairness and transparency. Article 307 also mentions that the State shall recognize, respect, protect and promote the community economic organizations. This form of economy is a system of production and reproduction of social life. Additionally, Article 313 says that the eradication of poverty and social and economic exclusion, and the achievement of the well-being in its many dimensions require the production, distribution and fair redistribution of wealth and economic surpluses.

The National Development Plan proposes a variety of policies for the promotion of economic and social life, including the Productive Development Bank, social protection programmes and the development of productive complexes. Moreover, this project contributes directly to the following pillars and goals of the Bolivian Patriotic Agenda 2025: 1) Eradicate Extreme Poverty; 6) Sovereignty with Productive Diversification and Integral Development.

The Ministry of Productive Development and Plural Economy plans to invest between 2014 and 2018 more than US\$38.678.00 million in programmes and projects for the creation and redistribution of productive resources to benefit Bolivian micro and small enterprises. For this project, it is expected a direct contribution of no less than US\$800,000 from the national, local and departmental governments and producers' organizations. US\$300,000 would be provided just by the local governments concerned.

In the spirit of self-reliance and financial sustainability, a core principle of SMU, the project might be developed by the 2-3-5 approach to structure resources required for the project at local level, meaning 20 percent ODA matching with 30 percent government cost-sharing and 50 percent in-kind community mobilization of labour and services. This will ensure that the project and future rollouts of the ISNCs start with a self-reliance approach and become less aid dependent in the long run.

The ART Programme is currently working on the metropolitan area and the departmental prioritisation of productive value chains.





ART Methodology and policy advisory support necessary for country-level implementation will be provided by UNDP headquarters and regional centres to Bolivia Country Office for building these local-national links and ensuring that results are measured through the predefined indicators for success. Additionally, support will be provided through the development of knowledge products with concrete policy options to guide scaling up and triangular knowledge sharing and exchange.

In short, activities under this phase will primarily focus on the following:

- 1-Rollout of the ISNCs methodology in the metropolitan area of Cochabamba;<sup>40</sup>
- 2-Link the metropolitan strategy with the national, state and policy levels;
- 3-Monitoring and evaluating the progress and results;
- 4-Synthesis report produced on lessons learned for global scaling up and triangular cooperation (by the end of 2016) to inform and guide scaling up and global advocacy;
- 5-Exchange lessons learned and experiences with other countries and regions.

- **Collaborative arrangements with related projects**

At this stage, the current intervention identifies the following partners. This is not an exhaustive list and it might be extended:

**Public:**

Ministry of Labour, Employment and Social Protection  
 Ministry of Productive Development and Plural Economy  
 Ministry of Autonomy  
 Ministry of Rural Development and Land  
 Regional Government of Cochabamba (Gobernación)  
 2 municipalities of the metropolitan area

**Producers:**

Federación de productores de leche  
 Central Campesina  
 Federación avícola  
 Cadepia  
 Federación de empresarios privados  
 Women associations  
 Youth associations

**Others:**

University  
 Competitiveness Council  
 IDB  
 AECID  
 GIZ

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40. At the moment, 20 communities have been considered. But this number could be reduced with the final design of the project.



- **Results of capacity assessment of primary implementing partner and other partners**

UNDP Bolivia has experience working on issues regarding the metropolitan area of Cochabamba. There is a firm political commitment to promote the socioeconomic development of the area, hence strong local leadership is expected in the process.

Different ministries might pool efforts in this initiative, particularly the Ministry of Productive Development and Plural Economy, with enough funding to support the initiative and with which UNDP has built a very important working relationship.

Associative social networks are characteristic of Bolivian society, which are key for the success of the replication of the Saemaul Initiative in Bolivia. In this regard, there will be a strong focus on the integration of women's and youth associations.

#### **IV. SCALING-UP STRATEGY IN THE COUNTRY AND SSC PROSPECT WITH OTHER COUNTRIES**

- **How to achieve coverage, sustainability and impact within the country?**

To guarantee long-term sustainability of this initiative, we have considered factors and methodologies pertaining to different levels (national, departmental and community). Here is a summary of the key elements to ensure project sustainability:

1. Participation of local levels of the government and ownership: The key actors are the poorest urban and rural municipalities of the Cochabamba metropolitan area. Since the current proposal has arisen from the need of local institutions and is perfectly compatible with the local strategic planning, these entities along with the departmental and national government have committed to counterpart the project, demonstrating their ownership and leadership. The leadership of the municipal governments and the active participation of a national ministry in the process guarantee the alignment, coherence, sustainability and ownership of this intervention. The impact might be scaled up by choosing a region where several national policies and programmes are implemented.
2. As the Saemaul methodology suggests, a co-financing procedure will be established, including funds of ODA, national, departmental and local funds as well local stakeholders and community members who have guaranteed specific funds for this project. These amounts will complement other programmes and projects that are already in process or planned to be implemented for complementary issues. The sustainability of this intervention includes the identification and formulation of new projects using public and international cooperation funds that would allow for the consolidation of accomplishments to influence public policies. An approximate counterpart of at least US\$500,000 from the producer organizations is also considered.
3. Empowerment and capacity building of local organizations and communities: Particular emphasis will be placed on specific activities for the development of organizational, productive and commercial capacities to benefit small organizations of community producers. Moreover, in the case of public institutions, it is planned to develop capacity building on policy elaboration, programmes and projects of public investment, with civic participation and the implication of civil society's organizations.



Also, the presentation of successful examples from other regions and countries that have worked hard to overcome their poverty situation will be a tool to motivate a change in the mind-set of the community population. To help them understand that they are the leaders of their development and their contribution to the selected projects should be the biggest part of them.

4. Long-term financing might be developed from the national counterpart: the national government, through the Ministry of Productive Development and Plural Economy, plans to invest between 2014 and 2018 more than US\$38,678 million in programmes and projects for the creation and redistribution of productive resources to benefit micro and small enterprises in Bolivia. The public resources will be committed through the working group, which is part of the territorial work process. This group is formed by national, departmental and community actors as well as private actors, allowing a forum of horizontal dialogue where they decide the orientation, the compromise and the formalization of the resources. In this space it is essential that it operate on a political level and technical level to assure a real investment of the public institutions. In the political level there are the main authorities with the power to mobilise resources. Further, this level interacts with the technical level, which offers the necessary elements to make decisions. This network ensures the sustainability of the project, the mobilization of public funds and their effective local distribution.

- **Assess potential for SSC to support other countries and influence regional/global policy agenda**

UNDP is known for its strength and ability to promote international exchanges and best practices, to take stock of lessons learned that could be replicable in other countries once they are contextualized. The ART Initiative of UNDP is currently active in 22 countries all over the world, nine of them in Latin America. Moreover, UNDP ART Bolivia has been designated as a focal point for local economic development issues in Latin America. It is widely expected to share the results and achievements of the Saemaul Initiative implementation in Bolivia as well as in other country offices in Latin America, particularly those where ART is present (Colombia, Cuba, Dominican Republic, Ecuador, El Salvador, Nicaragua, Uruguay; and Brazil, Mexico and Paraguay in the near future).

Nonetheless, the ART Initiative not only seeks to promote exchanges at the international level, but also at national and regional levels, between and within territories. Briefly, ART might promote the dissemination of lessons learned of the Saemaul Initiative, which have the potential of being replicated in other territories. One of the main characteristics of ART is its adaptability to the territory's realities and particularities. In this respect, there is no magic recipe that can be uniformly applied to all countries. ART has been able to adapt its methodology to the specificities of each and every case. This capacity reveals the relevance of ART's methodology to support the development of the countries from a territorial perspective.

UNDP-ART has recently signed a strategic agreement with the Inter-American Development Bank (IDB), to promote synergies between the initiatives of both institutions. The results expected from this initiative would be mainstreaming and scaling-up through the IDB and its presence in all the Latin-American countries.

It is important to stress that the research team of the Human Development Report in Bolivia will actively participate in this process. It is considered to be a particularly relevant contribution in terms of research analysis about the region selected. At the same time, it is considered that the results achieved by this initiative could provide interesting inputs for the current reflection held in Bolivia about the Post-2015 Development Agenda. More specifically, the initiative could make an interesting contribution to Goal 1. End poverty



in all its forms everywhere; Goal 5. Achieve gender equality and empower all women and girls; and Goal 8. Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all.

Moreover, the initiative will integrate other programmes and areas of UNDP Bolivia, such as governance or environment to ensure a multidisciplinary approach.

Additionally, Bolivia is building an innovative development approach, from the concept of “Vivir Bien” (Living Well), based on ancestors’ knowledge and life in harmony with Mother Earth. This approach was presented during the G77+China world forum, held on June 2014 in Santa Cruz, Bolivia. The Saemaul Initiative could be linked with this approach to reach the national political agenda.

The important work of articulation of this initiative with national and local public policies also guarantees the possibility of sharing the Bolivian experience with other Southern countries. Significant efforts could be developed to systematize the experience, highlighting the key successful factors and general recommendations. Bolivia could establish a centre of excellence on research and action in local development that could be a regional reference in these issues. Replicability of the lessons learned and successful projects could be shared and implemented in similar contexts in Latin America (Ecuador, Colombia, Paraguay, others) or other continents, such as Africa, using the current UNDP ART networks in more than 22 countries with more than 600 partners. These networks facilitate the exchange of best practices and lessons learned, which is so important in territorial innovation.

## COUNTRY: LAO PDR

### Project Document

#### I. SITUATION ANALYSIS

Lao People’s Democratic Republic (Lao PDR) is landlocked, mostly mountainous and forested. It consists of 18 provinces, including the capital, Vientiane, and a new province called Xaysomboun. The country has a population of approximately 6.5 million and is classified as a “least developed country” (LDC), defined by low per capita income, medium level of human development and limited economic diversification. The growth has been primarily based on natural resources, such as hydropower and mining. The vast majority of the population live in rural areas with over 70 percent of the population engaged in subsistence agriculture. Building on achievements under the current five-year plan period, GDP growth has continued to be robust despite the fiscal constraint that occurred in recent years. The country’s growth reached 7.5 percent for fiscal year 2014 -15 against a target of 8 percent p.a as per the current National Socio-economic Development Plan (7th NSEDP 2011-15). The growth rate of Lao’s economy is considered the highest in the region and faster than the average growth rate of other developing Asian countries, which is around 6.9 percent in 2015 (source: UNESCAP).

Although Lao PDR is ranked 139th out of 187 countries on the Human Development Index (HDI)<sup>41</sup>, it has made significant progress in improving human development and is cited as one of the 10 Top Movers in the UNDP Human Development Report 2010, having reduced the proportion of people living below the

41. UNDP, *Human Development Report 2014*.



poverty line to 23.25 percent in 2012-13. There has been an increase in the number of primary schools across the country and the enrolment rate has risen to 95.2 percent (2011-12). Around 70 percent (2011) of the population has access to clean drinking water and 57 percent (2011) to sanitation. Consequently, Lao PDR has seen steady improvement in its HDI value over time, making it one of the HDI growth leaders in the medium human development category.

Graduation from the LDC status remains a priority of the government, which set the vision to do so by 2020. Lao PDR was the first country to voluntarily set a date and outline such a vision. In its 2015 assessment, after the 17th session of the Committee Development Policy, 23-27 March 2015, in New York, the early finding reported that Lao PDR was close to threshold but not yet eligible for this first round of review. Lao PDR had achieved only US\$1,232 per capital (GNI); while the graduation threshold is > US\$1,242. The Human Asset Index (HAI) is currently at 60.8 (graduation threshold: > 66) and the Economic Vulnerability Index (EVI) is at 36.2 (graduation threshold: < 32).<sup>42</sup> Lao PDR is in the process of finalising its next five-year national socio-economic development plan (8<sup>th</sup> NSEDP 2016-2020) as well as preparing to enter the ASEAN Economic Community (AEC) by the end of 2015. Thus, it will be essential to ensure the country's balanced growth and awareness of the potential impacts of these key events, especially regarding how this can be translated meaningfully to the development of the poor.

Despite the rapid economic growth in Lao PDR, the pace of poverty reduction has been slower – for every 1 percent increase in GDP, poverty has fallen by approximately 0.47 percent. The rate of economic growth in Lao PDR averaged 5.9 percent per annum between 2007/8 and 2012/13. The Gini coefficient marginally increased from 35.0 in 2007/8 to 36.2 in 2012/13. These increases were driven by rising inequality in urban areas as inequality remained flat in rural areas. Poverty reduction and welfare improvement in general have also been uneven across regions and socioeconomic groups. Poverty remains substantially higher in rural areas, at 28.6 percent, compared with 10.0 percent in urban areas. Over the past five years, this pattern has become more marked, as poverty declined faster in urban areas. Poverty is higher among households headed by persons with lower levels of education, a disproportionate share of them ethnic groups, and those whose primary employment is in agriculture or who are unemployed. Poverty in Lao PDR is geographically concentrated. Nationally, an overwhelming majority of poor people reside in rural areas, accounting for 87.6 percent of all poor people in Lao PDR, despite accounting only for 71.2 percent of the population.

Moreover, Lao PDR is significantly off track on nutrition, having a higher stunting rate than many countries with lower income, such as Uganda and Togo. In Lao PDR, 44 percent of children under 5 years old (around 417,000) are stunted, and 27 percent are underweight. Since the early 1990s, stunting has declined at an average annual rate of 0.8 percent, less than the average population growth rate, which means that if present trends continue, the number of stunted children will likely increase. In November 2014, the Chief Executives Board of the UN System and the World Bank conducted a joint review on accelerating the MDGs and have endorsed several recommendations aimed at reducing the impact of those seriously off track targets and foster its results. Furthermore, Lao PDR is one of 16 countries among 120 that still have “extremely alarming” or “alarming” levels of hunger. Undernutrition accounts for around 45 percent of young child deaths and for at least 20 percent of maternal mortality. Moreover, undernutrition during pregnancy and the first two years of life (“*The First 1,000 Days*”) affects physical growth, impairs cognitive development and affects educational performance and future earning potential. Childhood anaemia alone is associated with a 2.5 percent drop in adult wages. The economic costs of undernutrition for Lao are an estimated 2 to 3 percent of GDP; or US\$200 million to US\$300 million a year.

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42. United Nations, Committee for Development Policy: Report of the Seventeenth Session, E/2015/33.





## II. RELEVANT INITIATIVES AND LINKAGES TO THE GLOBAL PROGRAMME “SAEMAUL INITIATIVE TOWARDS SUSTAINABLE AND INCLUSIVE NEW COMMUNITIES”

The increasing recognition of widening disparities and inequalities in Lao PDR, especially in rural areas, calls for renewed efforts to implement interventions that have been proven to addressing development challenges at the local level and that are more integrated, innovative, cost-effective, scalable and sustainable. Many local development initiatives, both donor-initiated and nationally and locally driven, have therefore emerged. In this context, the remarkable economic growth of the Republic of Korea (ROK) in the 1970s has been a topic of interest by academia and development practitioners for many years. Research indicates that absolute rural poverty in ROK declined from 27.9 percent in 1970 to 10.8 percent in 1978. Many experts have at least in part attributed this transformation of rural ROK to the launching and implementation of the Saemaul Undong (SMU – New Village Movement), an integrated local development programme that flourished between 1971 and 1979. The overall achievements of the programme included the rehabilitation of village infrastructure, improvement in overall living conditions in rural areas and a significant increase in rural household incomes. Implementation usually took place in three stages, focusing on basic infrastructure (Stage 1), development (Stage 2) and dissemination (Stage 3).

As an integrated local development programme that aimed to increase incomes of the rural poor through small-scale self-help projects, the SMU featured strong government and systemwide support that could be scaled up beyond the community level and rural areas to “encompass the entire spectrum” of the government’s local development policies and programmes. According to a 2012 Asian Development Bank (ADB) report, the government also created an incentive system to which local communities responded, primarily because it was based on practical results that were publicly confirmed at village general meetings. This encouraged further self-assertion by members of the local community in formulating and implementing development initiatives, thus facilitating a cooperative relationship between the government and the local community. In short, “the SMU movement demonstrated that the best results occur when the government helps those communities that help themselves,” and also actively sought to scale up and expand the number of self-reliant villages through a number of approaches. For example, following the designation of the SMU as a top government priority, the Saemaul Central Promotional Council as well as subcouncils for each level of local government administration were established, effectively creating an SMU movement interministerial policy coordination system at the national level.

Some initiatives to promote the SMU concept were implemented in Lao PDR by KOICA in Veunkabao, Xienglaena, Xienglaetha and Nong villages of Savannakhet Province and in a few more villages in Vientiane Province, which focused on community asset creation, health and sanitation programmes, infrastructure, training and advisory services. SMU achieved success by encouraging the paradigm shift from government to governance and by building a governance system at the village level to empower villagers to improve their living conditions in the SMU spirit of self-reliance and initiation. To build on this success, in November 2014, ROK and the government of Lao PDR jointly launched the Integrated Rural Development with the Saemaul Undong Participatory Approach project (2014-2019) with funding of US\$14.5 million. The project aims to restructure rural development plans and build the capacity of farmers not only by improving physical infrastructure but also by changing people’s attitude, and demonstrating appropriate technology for income generation. The project will be implemented in Vientiane Capital and Vientiane and Savannakhet provinces, covering 30-50 villages.



In addition, the Lao PDR government in 2012 launched the Sam Sang “three building blocks” decentralization policy, which focuses on improving delivery of public services at the local level. The policy aims to enhance government ownership and accountability in governance and socioeconomic management of local administration, resulting in improved public service delivery. This is implemented by delegating responsibilities to local authorities and enhancing the capacity and potentials at local level, particularly those in the targeted provinces, districts and villages, to create a new paradigm for poverty eradication and improve livelihoods for the rural poor. To date the Sam Sang policy has been implemented in 51 districts covering 103 villages. Midterm evaluation of the Sam Sang pilot was completed and the government of Lao PDR is awaiting the approval from the National Assembly (NA), expecting to continue the implementation in the next year. In this context, there is a possibility to synergise the success of the SU implementation and help to contribute to the “Sam Sang” in terms of ownership and localization of development initiatives.

As to empowering local districts, UNDP and the UN Capital Development Fund (UNCDF), with support from ROK, launched the Governance and Public Administration Reform Programme. Through this programme, the District Development Fund (DDF)—an intergovernmental and district performance-based grants mechanism that aims to boost local development—was established to improve the local administration and local communities to manage and implement small-scale infrastructure projects and local service delivery through the collaborative spirit. DDF is active in 53 districts, providing financial and capacity support for locally prioritised service interventions. Additionally, the project is helping to define a more coherent approach to expand district One Door Services, and a further 15 government offices have benefited from support for strategic innovations in public administration reforms. DDF provides not only rural livelihoods’ support but simultaneously is building up the local authorities and communities in how to manage their own solutions to their problems in a sustainable manner. To date, the DDF has benefited over one million recipients. Both Sam Sang pilot villages and DDF overlap in 21 districts.

The government, with support from development partners, has coordinated efforts to accelerate the implementation of existing policies and strategies: 7th National Socio-Economic Development Plan, the National Nutrition Policy (2008) and the National Nutrition Strategy and Plan of Action (2010-2015). And, in particular, the Multisectoral (Convergence) Food and Nutrition Security (FNS) Action Plan. The national Round Table Process helps to bring on board key development stakeholders to consult and exchange ways to address major development issues. During the Round Table Implementation Meeting (RTIM) held in November 2014, the achievements of the implementation of the annual National Socio-Economic Development Plan and lesson learned, and the preparation of the 8th NSEDP (2016-2020) were discussed. The focus was also on accelerating the progress of MDGs, especially the complicated ones, such as the MDG1 target on reduction of malnutrition.

### III. RESULTS AND STRATEGIES OF THE PROJECT IN LAO PDR

In light of the above, UNDP, together with the government of Korea, has identified the scalable elements and solutions of the SMU and any other local development projects by UNDP to formulate them into an updated, integrated local development model known as the Inclusive and Sustainable New Communities (ISNC) approach for application and scaling up in Lao PDR. This will be done by identifying convergence entry points in the above-mentioned programmes and policies (see Table 1), while putting an emphasis on enhancing impact to the implementation of the Multisectoral Food and Nutrition Security Action Plan



(2014-2020), which currently targets 11 districts and will be expanded to a total of 26 districts in 2015. This will allow UNDP to assess the gaps to fill and offer its technical expertise. By using the national programmes and policies along with ongoing projects funded by development partners, UNDP can strengthen national-local linkages, thus opening the pathway for bigger development impact both at the local and national levels.

In doing so, the project will also facilitate triangular knowledge exchange and cooperation on proven solutions for local development by drawing on the experiences of ROK and country-level implementation of the approach, and ensure that the lessons learned of the SMU and the updated approach influence global and regional development discourses.

**Project Objective:**

The main aim of the ISNC is to promote a mind-set shift from heavy dependency on external support to a more community self-reliance and self-help approach for planning and implementation of local development activities. This can be done through ensuring community awareness, effective participation and ownership, achieving the desired results and sustainability. Through this initiative, UNDP will support Lao PDR transformation towards community-driven, integrated and sustainable local development.

The focus areas of this ISNC initiative are to:

- 1-Help communities in 10 rural (targeted) villages to have better nutrition and access to food security by promoting agro-biodiversity, sustainable livelihood, self-employment and income generation for the poor, especially women
- 2-Assist communities to strengthen their capacity in planning their development activities, as well as the capacity to identify needs, access and manage local financing and planning mechanism, including District Revolving Fund (DRF), District Development Fund (DDF) and more
- 3-Promote and disseminate knowledge and lessons learned by linking with think tanks and relevant counterparts, such as knowledge holders through South-South and triangular cooperation (SSC/TrC) engagement and among the community themselves



**Table. 1 – Mapping the existing and relevant initiatives to the ISNC**

Province	Government National Programme			UNDP Existing Programmes		Proposed ISNC Implementation sites (TBC)	KOICA project site
	Multisectoral Food and Nutrition Security Action Plan 2014-2020 (2014-2015)	Sam Sang Pilot (2011-2014)	District Revolving Fund (supported by WB)	(DDF)	IRAS		
Attapeu		(Samakkeixay, Saysetha, Sanamxay)	Phouvong, Sanxai				
Bokeo		Huayxai, Pha Udom, Meung	Huayxai, Tonpheuang, Meung, Pha Udom, Phaktha				
Bolikhamxay		Paksan, Bolikhan, Viengthong	Bolikhan, Khamkeut, Viengthong, Xaichamphone				
Champasack		Pakse, Paksong, Mounlapamok	Sukhoumma, Bachieng				
Houaphan	Xiengkhor, Viengthong, Huameuang, Xamtay, Sobbao	Sobbao, Viengxay, Huameuang	Huameuang, Viengthong, Xiengkho, Xamneua, Add, Viengxai, Xamtai, Sobbao	Xamneua, Xidngkhor, Hiem, Viengthong, Viengxay, Huameuang, Xamtai, Sobbao, Add, Kuan, Xone			
Khammouan		Thakhek, Nongbok, Bualapha	Nakai, Bualapha				
Luang Namtha	Sing, Long, Viengphouka, Nalae	Luang Namtha, Sing, Nalae	Long, Viengphoukha, Nalae	Luang Namtha, Sing, Long, Viengphoukha, Nalae			
Luang Prabang		Luang Prabang, Nambak, Phonxay	Pakseng, Phonxai, Phoukoun, Viengkham	Luang Prabang, Xieng Ngeun, Nane, Pak Ou, Nambak, Ngoy, Pakxeng, Phonexai, Chomphet, Viengkham, Phoukoun, Phonthong			
Oudomxay	Nga, Beng, Houn, Pakbeng	Xay, Beng, Nga	Namo, Nga, Beng, Houn, Pakbeng	Xay, La, Namor, Nga, Houn, Beng, Pakbeng		Houn (Ban Phonesavanh; Ban Naxiengdy; Ban Houy Hok) Xai (Ban Viengsa, Ban Phonhom; Ban Namheng)	
Phongsaly	May, Samphan, Nhot Ou	Boun Neua, Bountai, May	Nhot Ou, Samphan				
Saravane	TaOi, Lao Ngam, Samuoi	Lao Ngam, TaOi, Saravane	Ta Oi, Samouay	Saravane, TaOi, Toumlane, Lakhonpheng, Vapi, Khongse-done, LaoNgam, Samouay		<b>LaoNgam</b> (Ban Eeleung; Ban Hokong; Ban Thong Ko) <b>Saravane</b> (Ban Senvang; Ban Buengxai; Ban Beng Oudom)	



Province	Government National Programme			UNDP Existing Programmes		Proposed ISNC Implementation sites (TBC)	KOICA project site
	Multisectoral Food and Nutrition Security Action Plan 2014-2020 (2014-2015)	Sam Sang Pilot (2011-2014)	District Revolving Fund (supported by WB)	(DDF)	IRAS		
Savannakhet		Kaysone, Champhone, Xepone	Phin, Xepon, Nong, Vilabouly	Out-houmphone, Champhone			
Vientiane Prefecture and Vientiane Capital (municipality)		Chanthabouly, Sisattanak, Sangthong	Sangthong				
Vientiane Province		Vangvieng, Meuane, Home	Hom, Xaisomboun				Toulakhom
Sayabouly		Sayabouly, Paklai, Hongsa	Sayabouly, Xienghoun, Xaisathan	Phieng, Paklai			
Xaysomboun (Province was created in the late 2013)							
Sekong	Lamam, Kalum, Dakchung	Lamam, Thateng, Dakchung	Dakchung, Kalum	Lamam, Kalum, Dakchung, Thateng			
Xiengkouang	Kham, Nonghet, Khoun, Phoukout	Paek, Kham, Nonghet	Nonghet, Khoun, Thathom	Pek, Kham, Nonghet, Khoun, Mok, Phoukout, Phaxay			
	<b>26 districts</b>	<b>51 districts</b>	<b>54 districts</b>	<b>53 districts</b>	<b>4 districts</b>	<b>10 communities within 4 districts</b>	<b>30-50 Villages</b>

### Expected outputs:

The ISNC project is expected to generate the following outputs:

- **Output 1:** Enhanced community participation and ownership, with both in-kind and cash contributions provided by targeted communities. This output is specifically to generate innovative and value-added agriculture productions that help promote income generation for the women and village groups in order to address food insecurity and increase food diversity for better nutrition;
- **Output 2:** Strengthened technical knowledge and capacity of community leaders in areas of implementation and management of ISNC project and its activities;
- **Output 3:** Knowledge exchanged and generated, including local wisdom, by documenting and disseminating among the target villages and through SSC with other developing countries.





These outputs will be delivered to enhance five capitals of sustainable livelihoods:

- Human capacity (with focus on gender equality and empowerment)
- Financial capital (innovative financing, predictable, sustainable)
- Natural capital (environmental sustainability opportunities through agro-biodiversity biodiversity)
- Social capital (social cohesion, associations, community-based organisations and potentially, private sector)
- Physical capital (small-scale and climate-resilient community infrastructure)

### **Approach:**

The ISNC project aims to build on the local-level achievements produced by prior applications of SMU and other local development experiences to create national and policy level linkages of community level results or existing UNDP local development projects. UNDP Lao PDR will be allocated US\$1,000,000, of which about US\$550,000 will be designated for policy support and capacity development, and US\$450,000 will be provided to 10 communities (approximately \$45,000 per community). In the spirit of self-reliance and financial sustainability, a core principle of SMU, the project will attempt to advocate for a 2-3-5 approach to structure resources required for the project at local level, meaning 20 percent ODA matching with 30 percent government cost-sharing and 50 percent in-kind forms of community mobilization of labour and services, etc. This is to ensure that the project and future rollouts of the ISNC start with self-reliance (self-starting approach) and become less dependent on foreign aid in the long run. However, depending on individual context, this contribution will be adjustable based on community needs, goals and levels of in-kind or cash contributions.

### **Implementation and coordination arrangement:**

The ISNC is a UNDP global programme implemented by four pilot countries: Bolivia, Lao PDR, Uganda and Viet Nam. During this pilot phase, the UNDP Lao PDR is therefore responsible for the programme monitoring and implementation while remaining constantly engaged with both the government of Lao PDR and communities.

As one ISNC focus is on empowering women's participation in the development process, the project is expected to work closely with the Lao Women's Union (LWU) at central and provincial levels, in particular in the pilot provinces. The LWU will be responsible for delivering services and supporting the communities to prepare and implement their development activities in selected communities. In addition, the ISNC is expected to link to the existing mechanism of the District Development Fund (DDF); therefore the project is to ensure linkage with the Ministry of Home Affairs (MoHA) and the provincial department of Home Affairs in Oudomxay and Saravane provinces. During the implementation of ISNC, the work will be done in coordination with National Committee for Rural Development and Poverty Eradication (NCRDPE), Ministry of Planning and Investment (MPI), Ministry of Agriculture and Forestry (MAF), Youth Union and local authorities in select villages.



To reinforce community-driven development activities in Lao PDR, synergies will be explored and established with the following initiatives / national policies and programmes:

1. KOICA: capacity building, sharing agricultural technologies, changing mind-set for transformation
2. The District Development Fund: Governance and Public Administration Reform Programme. Through this programme, District Development Fund (DDF)—a mechanism that aims to boost local development is currently active in 53 districts
4. Sam Sang Policy: National decentralization policy to strengthen ownership and localization
5. Food and Nutrition Security Convergence Action Plan: currently targets 11 districts
6. Other relevant poverty reduction and rural development initiatives implemented by national authorities as well as other bilateral and multilateral donors

**Planned activities:**

ISNC's activities will primarily focus on the following:

**1- Rollout of the ISNC in Lao PDR in 10 communities**

- Human capacity development: attitude change, local inclusive development, social cohesion, women empowerment and engagement
- Reinforce a participatory and end-user oriented service delivery, with emphasis on transparency, accountability, participation and local ownership
- Promote and scale up of new and locally appropriate agriculture biodiversity technology to address food insecurity and enhance diversity for better nutrition in the community

**2- Provide advocacy and technical support for linking impact at national and local levels**

- Support dissemination and awareness raising of the existing directives and policy on local empowerment and policy planning, including Sam Sang, the NSEDP (7th and 8th), Food and Nutrition Security Convergence Action and the new SMU implementation by KOICA
- Link the principle of these policies to the ISNC project activities and initiatives

**3- Strengthen the local development monitoring and evaluation system for rigorous tracking and review of progress and results and local government performance assessment on sustainable community development in Lao PDR.**

**4- Knowledge exchange among the implementing communities in Lao PDR and neighbouring countries implementing the SMU as a way of realising South-South and triangular cooperation.**

**5- Synthesis report produced on lessons learned for global scaling up and triangular cooperation (by end of 2016) to inform the next phase planning.**



Programme and policy advisory support necessary for country-level implementation will be provided by UNDP headquarters and regional centres to Lao PDR Country Office, for building these local-national linkages and ensuring that results are measured through the predefined indicators for success. Through this project, the country office will be equipped with a technical officer to keep track and monitor the progress of the community funding contribution and report to the UNHQ on a quarterly basis. Additionally, support will be provided for knowledge and advocacy through the development of knowledge products with concrete policy options to guide scaling up and South-South and triangular knowledge sharing and exchange.

## IV. SCALING-UP STRATEGY IN THE COUNTRY AND SSC PROSPECT WITH OTHER COUNTRIES

Lao PDR is engaged in South-South exchanges through various ministries and institutions in Cambodia, China, Viet Nam and Thailand, among others, related to rural development. Also as an ASEAN member, Lao PDR in the spirit of the ASEAN Economic Community (AEC), it is expected that there will be a decrease in the development divide and acceleration of integration of Cambodia, Lao PDR, Myanmar and Viet Nam through the Initiative for ASEAN Integration. In this regard, the cross-border initiative between the neighbouring countries could contribute to trade by enhancing access to value-chain mechanisms. Additionally, existing channels will be used to disseminate the experience of ISNC project and influence regional policy agenda on integrated local development. Additionally, linkage with the ISNC Centre of Excellence and the UNDP Regional Service Centre provide an opportunity to cooperate with many Asian countries in the region.

### COUNTRY: UGANDA

#### Project Document

## I. SITUATION ANALYSIS

Uganda has a population 34.9 million and one of the highest population growth rates in the world. It is classified as a “least developed country” (LDC), defined by low per capita income, low levels of human resource development and lack of economic diversification. Following a period of remarkable economic growth, since 2011 the Ugandan economy experienced a notable slowdown, with a 4.1 percent real GDP growth rate. Up to 85 percent of the population is engaged in subsistence agriculture, characterized by low productivity.

### Progress in achieving the MDGs:

Uganda is ranked 164 out of 187 countries on the Human Development Index (HDI)<sup>43</sup> and belongs to the low human development category. It has made significant progress over the years in improving human development and achieving the MDGs. Most notably, the first MDG target – halving the proportion of people below the national poverty line -- has been achieved well ahead of the 2015 deadline.<sup>44</sup> There has also been a substantial reduction in hunger and undernutrition. Uganda is also on track to achieve MDG goals on gen-

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43. UNDP, *Human Development Report 2014*.

44. Government of Uganda, *Millennium Development Goals Report for Uganda, 2013*.



der equality and women empowerment, reducing child mortality, and sustainable access to safe drinking water and basic sanitation. Despite these successes, progress remains slow in areas of maternal mortality and HIV/AIDS.

### **Challenges to development:**

Despite the positive achievements, a number of development constraints still exist. First, the population of 34.9 million, growing at 3 percent, will continue to thwart development efforts. Already, 75 percent of the population is below 31 years old.<sup>45</sup> This puts additional pressure on the government to provide, in part, social services such as education, health and housing and environmental protection,<sup>46</sup> but also to expand the economy to create good jobs to accommodate youth entering the labour market. Furthermore, there is increasing pressure on land use. Poverty is 14 percentage points higher in rural locations than in urban areas (Uganda Bureau of Statistic 2013), and is highest in the northern and eastern regions, estimated at 44 percent and 24.5 percent, respectively. In the northeast (Karamoja subregion), poverty is estimated at 74 percent. The central and western parts of the country perform better, with only 5 percent and 9 percent, respectively, falling below the poverty line, above the national average of 19.7 percent. Further, 43 percent of the insecure nonincome poor are bound to regress into poverty in the event of any shock. The unequal access to and control of productive resources, by the vulnerable groups, especially women and youth, continues to perpetuate exclusion from economic growth accruals. Uganda is also faced with the challenge of making rural areas more attractive to the populace. The wide prevalence of rural poverty forces young people to migrate to urban areas in search of better economic opportunities, leading to urban congestion.

Other concerns include weak public sector management and administration, poor public service delivery and inadequate quality and quantity of human resources. Most policies, laws and standards are up-to-date, but implementation and enforcement remain weak. Social services, especially health and education, continue to be functionally weak; social protection is fragmented, with large vulnerable population groups not covered. Sound governance, including transparency and accountability, are not yet a universal norm. Capacity building is instrumental in addressing these issues, in particular the capacity at the local government level to deliver services. Weak coordination and supervision mechanisms at central and local government levels, coupled with declining local revenues, remain key challenges in a wider governance context of the country.

Uganda has implemented extensive decentralisation reform and devolved considerable political authority and significant control over resources to the district level. The policy led to the realignment of the relationship between central and local governments in fiscal and institutional arrangements. As such, local governments play a key role in implementing government policies and programmes, including supporting efforts to achieve the MDGs and other regional and international protocols and development frameworks.

In 2006, Uganda adopted its First Decentralisation Policy Strategic Framework (DPSF), which expanded the mandate of the local government sector beyond service delivery by adding a sixth objective of Local Economic Development (LED). The government, to further stimulate local economic development and enhance household incomes, formulated a National LED Strategy and a National Local Economic Development Policy. The ISNC project will directly contribute to the implementation of the National Local Economic Development Policy. The comprehensive implementation of this policy is still at the national and higher local government levels.

45. *National population and housing census, 2014*

46. *Source: Uganda Bureau of Statistics, 2012*



Local governments at lower levels (subcounties, parishes and villages) remain poorly functioning and have little engagement in the local development process. Capacities of local governments below district level are to be reinforced in planning, financing, implementation and monitoring of inclusive and sustainable local development with community participation. Additionally, the bottom-up planning process is to be reinforced through strengthening the district government capacity to mainstream local plans and connect them to resources.

Limited access to and high-energy costs constrain economic growth and competitiveness. The overall access to electricity is 14 percent, with significantly lower rates in the northern region, estimated at 4 percent. This constrains productivity and the value addition. Biomass meets over 90 percent of primary energy needs, mostly consumed as raw firewood and charcoal. Environmental sustainability is a major challenge, where forests and woodlands are being depleted at an alarming rate, while the effects of climate change make the country susceptible to droughts and flooding. Additionally, Uganda remains highly vulnerable to natural disasters and climate-related risks.

Uganda has a favourable legal and policy framework for gender equality and the promotion of women's rights. Women's representation in decision-making is increasing: 35 percent of parliamentary seats are held by women. Female participation in the labour market is 76 percent compared with 79.5 for men. While women dominate the workforce in agriculture and constitute 51 percent of the population, their status in society is low.

## **II. RELEVANT INITIATIVES AND LINKAGES TO THE GLOBAL PROGRAMME "SAEMAUL INITIATIVE TOWARDS SUSTAINABLE AND INCLUSIVE NEW COMMUNITIES"**

The Saemaul Undong (New Village Movement) is an integrated rural community development movement for the betterment of living conditions of people through income enhancement, Infrastructure development, improving living environment and community building. Its goal is to build better, sound communities through self-help efforts.

The increasing recognition of widening disparities and inequalities in Uganda, especially in rural areas, calls for renewed efforts to implement interventions that are proven to address development challenges locally and that are cost-effective, scalable and sustainable. Many local development initiatives, both donor-initiated and Southern-driven, have therefore emerged. In this context, the remarkable economic growth of the Republic of Korea (ROK) in the 1970s has been a topic of interest by academia and development practitioners for many years. Research indicates that absolute rural poverty in ROK declined from 27.9 percent in 1970 to 10.8 percent in 1978. Many experts have at least in part attributed this transformation of rural ROK to the launching and implementation of the Saemaul Undong, an integrated local development programme that flourished between 1971 and 1979.<sup>47</sup> The overall achievements included the rehabilitation of village infrastructure, improvement in overall living conditions in rural areas and a significant increase in rural household incomes. Implementation usually took place in three stages focusing on basic infrastructure (Stage 1), development (Stage 2) and dissemination (Stage 3).

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47. Soo-young Park (2009), "Analysis of SaemaulUndong: A Korean Rural Development Programme in the 1970s," *Asia-Pacific Development Journal* 16.2, p. 113.





As an integrated local development programme that aimed to increase incomes of the rural poor through small-scale self-help projects, the Saemaul Undong (SU) featured strong government and systemwide support to be scaled up beyond the community level and rural areas to “encompass the entire spectrum” of the government’s local development policies and programmes. According to a 2012 Asian Development Bank (ADB) report, the government also created an incentive system to which local communities responded, primarily because it was based on practical results that were publicly confirmed at village general meetings. This encouraged further self-assertion by members of the local community in formulating and implementing development initiatives, thus facilitating a cooperative relationship between the government and the local community.” In short, “the SU movement demonstrated that the best results occur when the government helps those communities that help themselves,” and also actively sought to scale up and expand the number of self-reliant villages through a number of approaches. For example, following the designation of the SU as a top government priority, the Saemaul Central Promotional Council as well as subcouncils for each level of local government administration were established, effectively creating an SU movement interministerial policy coordination system at the national level.

In this context, the SU approach to community development has been applied in Uganda since 2009. It was implemented in several villages and helped improve the financial situation and local economy by establishing sustainable endeavors, including poultry farming, pig rearing and bread baking. One success case in Uganda is the SU-based Indigenous Micro-organism (IMO) Pig Farming to Improve Small Scale Farmers Livelihood and Welfare project, which aimed at helping small-scale piggery farmers and to create a strong self-help association based on the spirit of Saemaul Undong in Mbarara. As a result, three IMO model pig farms were established; farmers were trained and sensitized regarding IMO pig natural farming and the SMU, farmers’ ownership and leadership were strengthened and a Piggery Farmers’ Association was founded. UNDP has also generated considerable experience in direct engagement with communities through numerous projects, including the district development programme III, which piloted local economic development; and projects on wetlands management, land management, local environmental governance support and clean energy (including UNCDF’s Clean Start project).

In 2014, KOICA launched a National Farmers’ Leadership Centre, in partnership with the Ministry of Agriculture. The Centre will provide training to local leaders and government officials, with a view towards promoting new approaches to local community development.

The World Bank’s Northern Uganda Social Action Fund (implemented since 2003) achieved considerable success in community-driven development, engaging beneficiaries in managing the funds (including procurement and accountability), which are directly disbursed to the subproject community account. This framework was piloted by government as a model to build the capacities of communities to manage and monitor government-funded projects.

The government of Uganda, to promote demand-driven governance over the years, has used the Community-Driven Development (CDD) modality to redirect and target resources to the lowest service delivery points – the communities. These grants piloted using financing from the government and the World Bank, and have since become one source of financing for local governments in Uganda. The grants have caused significant transformation in the communities.



Additionally, various government programmes channel central budget resources to support local farmers' associations and community-based organisations. This support is mostly based on priorities defined at the national level. Local communities mostly get organised to respond to these priorities and obtain available resources, rather than defining and pursuing their own priorities through a bottom-up process. These calls for strengthening the community development function to enable local communities develop their own agenda.

At the same time, national policies highlight the need to empower and engage communities into development processes. The government's Peace, Recovery and Development Plan for Northern Uganda, phase 2 (2012 – 2015), sets community empowerment as one of its goals.<sup>48</sup> Also, Uganda Vision 2040<sup>49</sup> promotes the revival of collective community spirit to be used as a springboard for the development of the national agenda to inculcate national values and strengthen village level administration (local councils).

In light of the above, UNDP, together with ROK and in collaboration with other development partners in Uganda, have joined efforts to strengthen the local development system to organise a bottom-up planning process and link pilot communities to resources. In doing so, the project will also aim to scale up proven sustainability innovations, including ICT, environment friendly technologies and social enterprises. The project will also facilitate triangular knowledge exchange and cooperation on proven solutions for local development by drawing on the experiences of ROK and country-level implementation. This is to ensure that the lessons learned from the SU and the updated approach influence global and regional development discourses.

This project will be anchored within UNDP Uganda's Governance Portfolio, with strong linkages to and synergies with the Sustainable Inclusive & Economic Development Portfolio. Strategic policy advice will be provided on forming cooperatives and leveraging public-private partnerships for sustainable district local government financial opportunities. The lessons learned from integration of proven sustainable innovations in natural resource management and livelihood interventions (e.g. environmentally friendly technologies and social enterprises) will be applied in this project. Furthermore, best practices and lessons from Local Development and Social Cohesion in Northern Uganda Project, including utilization of visioning approach for communities to determine their needs by themselves will also be incorporated. UNDP Kampala and appropriate Area Field Offices will play a leading role in monitoring ISNC implementation in the pilot districts, as appropriate.

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48. Government of Uganda, *Peace, Recovery and Development Plan for Northern Uganda, phase 2 (2012 – 2015)*, 2011.

49. Government of Uganda, *Uganda Vision 2040*, 2013



### III. RESULTS AND STRATEGIES OF THE PROJECT IN UGANDA

Objective: To support Uganda's transformation through community-driven integrated and sustainable local development.

- **Results to be achieved:**

**Output 1:** Strengthened institutional systems for local development planning, budgeting, implementation and monitoring, with focus on subcounty, parish, village development committees, in order to address the dependency syndrome on central government and donors.

**Output 2:** Enhanced cohesiveness and inclusiveness of community development at local level, increasing participation and engaging women, youth, poorest, disadvantaged and marginalized population and reducing fragmentation of community based associations.

**Output 3:** Local resources increased and financing mechanisms improved to ensure that they reach community level through innovative and sustained financing of local development priorities identified by community-based organizations and village development committees.

**Output 4:** Scale up of proven sustainability innovations, including ICT, environmentally friendly technologies, social enterprises through standardization, certification, dissemination and incentives.

**Output 5:** Generated knowledge is documented and disseminated nationally and globally through South-South Cooperation mechanisms, while linkage with academia is reinforced for continuous engagement.

These outputs will be delivered to enhance five capitals of sustainable livelihoods:

- i. **Human capital** (focused on youth, women, marginalized groups and community leaders)
- ii. **Financial capital** (innovative financing, predictable, sustainable)
- iii. **Natural capital** (environmental sustainability opportunities)
- iv. **Social capital** (social cohesion, associations, community based organizations, private sector, ICT innovations)
- v. **Physical capital** (community infrastructure)

With a view towards producing a policy level impact, intervention will be channelled through the existing system of local development planning. The Implementing Partner (IP) is the Ministry of Local Government, in partnership with the three District Local governments of Maracha, Luuka and Kabarole as Responsible Parties (RPs). Additionally, cooperation with the National Farmers' Learning Centre will be established in capacity building for mind-set transformation and sharing best practices and technologies for local community leaders. The need for mind-set change is especially strong in the post-conflict areas where long-lasting donor support has created a dependency syndrome. Saemaul model will aim to change them through its self-reliance and self-help approach. Through such change, community participation and ownership will be promoted to achieve sustainability of project intervention.



## • Integration of crosscutting themes

Crosscutting issues like environment and gender equality are relevant to all aspects of development and will be integrated in the project. Environment and development is being handled in the project as one and the same thing. Sustainable long-term development is not possible if the project does not take care of pollution of water bodies, climate change, soil depletion and maintenance and conservation of biodiversity. On the other hand, communities cannot be expected to care about the environment as long as their families live in poverty. The project will therefore support sustainable exploitation of natural resources, while conserving biodiversity along all value chains and project interventions. The project will ensure that interventions are environmentally friendly, based on effective and prudent management of local natural resources, and contribute to the improvement of the local environment.

Gender equality for the project is a goal in itself. Communities cannot attain their full potential and exploit their prospects, promote self-help and social cohesion if both male and female labour force, talent and ingenuity are not utilized. The project will therefore ensure that both female and male actors have access to land, technology, financial services, education and markets. The criteria for ensuring gender equity will be embedded in the tools and implementation guide for the project. The project will also focus on increasing women's participation as active members within the project's institutional arrangements. The project will also ensure that interventions increase women's access to productive resources and improve working conditions for women. The other crosscutting themes that will be considered include HIV/AIDS, hygiene and sanitation.

## • Brief description/summary of inputs to be provided by all partners

The ISNC project will aim to build on the government of Uganda and development partners' achievements in local development and decentralisation. By promoting community-based development through the Saemaul Undong model, the project will also attempt to create national and policy level linkages to community level results. Uganda will be allocated US\$1,000,000, of which about US\$400,000 will be designated for policy support and capacity development, and US\$600,000 will be provided to 15 communities (at \$40,000 per community)<sup>50</sup>. In the spirit of core SU principles of self-reliance and financial sustainability, the project will take a suggested 2-3-5 approach to structure resources required for the project locally, meaning 20 percent ODA, matched with 30 percent government cost-sharing and 50 percent in-kind community mobilization of labour and services. The co-financing pattern may be adjusted to fit the country context. This will ensure that the project and future rollouts of the ISNCs start with a self-reliance approach and become less aid dependent in the long run.

In short, activities under this phase will primarily focus on the following:

- i) Rollout of the ISNCs in Uganda in 15 communities with a particular focus on sustainability, including:
  - Human capital development: mind-set change, local leadership development, social cohesion, women and youth engagement.
  - Reinforcing a participatory and inclusive local service delivery, with emphasis on transparency, accountability, participation and local ownership.

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50. A community is a homogenous group of people, clan or subclan occupying a given locality. For the case of SMU in Uganda, a community could also refer to a group of people living in the same village.



- Scale up of new and locally appropriate technology: ICT, sustainable agriculture, clean energy, etc., through national assessment, codification, certification and dissemination systems.
- Piloting innovative financing mechanisms to ensure that the funds reach communities and generate sustainable sources of financing.

ii) Overall policy support for impact at national and policy levels, including:

- Achieving impact of scale by linking project activities to existing national policy/programmes and planning.
- Creation of a science policy interface for local development through engagement of a network of research institutions and CSO.

iii) Strengthen the local development monitoring and evaluation system for rigorous tracking and review of progress and results and local government performance assessment on sustainable community development in Uganda.

iv) Synthesis report on lessons learned produced and shared for global scaling up through South-South and triangular cooperation (by end of May 2017).

Fifteen pilot communities will be selected in three districts across regions. The community interventions will be implemented through UNDP's Governance Unit's existing portfolio, using MDG and SDG framework aligning with national priorities. The selection process will take into account local economic and social conditions to identify sites with feasibility, following clear and systematic criteria.

Programme and policy advisory support necessary for country-level implementation will be provided by UNDP headquarters and Regional Service Centres to the Uganda Country Office, for building local-national linkages and ensuring that results are measured through the predefined indicators for success. Additionally, support will be provided for knowledge and advocacy through the development of knowledge products to be shared through South-South Cooperation mechanisms regionally and globally.

#### • Collaborative arrangements with related projects

To reinforce community-driven development activities in Uganda, synergies may be explored and established with the following initiatives / development partners:

1. **KOICA:** National Farmers' Leadership Centre (capacity building, sharing agricultural technologies, changing mind-set for transformation);
2. **World Bank:** Northern Uganda Social Action Fund, phase II and III (scaling up best practices in innovative financing mechanisms for community projects);
3. **UN Agencies' initiatives:** Clean Start Programme of UNCDF (clean energy microenterprise development); SWITCH Africa Green Programme of UNEP (promotion of small and micro-enterprise development in green sector); UNDP's projects working on wetlands, climate smart agriculture and sustainable land management, value chains as well as local development and social cohesion.





**4. Ministry of Local Government:** The overall aim of Local Economic Development (LED) policy is to improve livelihoods and reduce poverty. In pursuit of this policy, the Ministry is supporting the local governments, the private sector and communities to improve living conditions, business environment as well as household incomes through numerous projects, including the Millennium Villages Project and District Livelihoods Support Programme. These projects employ the integrated approach to local development with interventions in agriculture, health, education and others.

**5. Operation Wealth Creation:** This programme is currently being implemented under the Office of the President and Ministry of Agriculture, Animal Industries and Fisheries. It distributes agricultural inputs to communities for increased production.

## IV. SCALING-UP STRATEGY IN THE COUNTRY AND SSC PROSPECT WITH OTHER COUNTRIES

- **Coverage sustainability and impact within the country**

To ensure sustainability of project results and create conditions for scaling up, the project will be anchored to the Ministry of Local Government and linked to the local development system. Existing government financial mechanisms will be used to channel resources to communities, with involvement of social enterprise and local village savings group at the local level (using the mechanisms piloted by NUSAF). Additionally, promotion of innovative mechanisms and environment- and climate-friendly technologies are expected to generate demand for further scaling up.

- **Potential for SSC to support other countries to influence regional/global policy agenda (e.g. post-2015 implementation)**

Uganda is engaged in various South-South exchanges through the African Union and the East African Community, among others. Decentralised South-South cooperation is taking place between regions of Uganda and other African countries; for example, through the East Africa Local Governments Forums, the Africities Forums, the Conference of City Mayors from the South and the Common Wealth Local Governments Forum, among others.

Existing channels will be used to disseminate the experience of INSC project and influence regional policy agenda on integrated local development. Additionally, linkage with ISNC Centre of Excellence and UNDP Regional Service Centre provide an opportunity to cooperate with 45 African countries. This means the project will have a strong documentation and policy briefs component built into all the operations.

Additionally, the Ministry of Local Government will ensure all the developed policy briefs, best practices and lessons generated are published on the Ministry website as well as in national and regional media through participation in development of topical development supplements<sup>51</sup> and publications.

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<sup>51</sup> The Ministry annually produces development supplements published in national and regional print media as well as books during the commemoration of Africa Day of Decentralization, celebrated 10 August annually.



## COUNTRY: VIET NAM

### Project Document

## I. SITUATION ANALYSIS

### General Socioeconomic Situation

Viet Nam has a population of about 92 million with a great diversity of culture and socioeconomic development situation with 54 ethnic groups. Since 2010 Viet Nam reached the low-level middle-income country (MIC) status. Over the past two decades, Viet Nam has achieved rapid economic growth, thereby raising the living standards of the population and making remarkable progress in poverty reduction and other MDGs.

Viet Nam's Human Development Index (HDI) value for 2013 was 0.638 — which is in the medium human development category — positioning the country at 121 out of 187 countries and territories.<sup>52</sup> Using the new poverty line for the period 2011-2015, the rate also decreased considerably from 14.2 percent in 2010 to 9.6 percent in 2012. Viet Nam has completed the MDG 1, eradicate extreme poverty and hunger.

Viet Nam has also achieved a number of other MDGs, such as MDG 2 in universal primary education, MDG 3 in gender equality in education as well as the health-related goals, such as reducing child mortality and maternal mortality ratios and improving malaria and tuberculosis control. Viet Nam is determined to achieve targets in universal access to reproductive health services, improving maternal health and combating HIV/AIDS combat by the end of 2015. Much effort is required to complete MDG 7, ensuring environmental sustainability, and MDG 8, achieving global partnerships for development.

However, it is important to underline that all these national level results foster disparities. Chronic poverty persists in Ethnic Minority (EM) areas. While EM people consist of around 15 percent of the total population, they account for 50 percent of the total poor households in Viet Nam. In some EM groups, the poverty rate is as high as 60-70 percent. EM groups also lag far behind the national averages in many MDGs, such as education, health, water and sanitation.

Since 2011, Viet Nam has been experiencing an economic slowdown and macroeconomic problems such as high inflation, bad debt from commercial banks and the inefficient operation of state-owned companies. Even though the economy has stabilized recently, Viet Nam still encounters many difficulties due to lower growth rates and debt management issues. The poverty reduction rate has slowed and poverty incidence in remote and mountainous areas remains high. Inequality in income and socioeconomic development among different geographic and ethnic groups is significant. The impact of climate change on the community illustrated through escalating frequency of extreme weather events, as well as rising sea levels, has had an increasing effect on the livelihoods of the poor. These problems pose huge challenges for Viet Nam in its efforts to boost economic growth, ensure sustainable social development and achieve the MDGs.

If left unchecked, these mounting challenges and growing disparities will severely compromise the country's sustainable development. While there has been an eye-catching drop in the rate of poverty, it is not reflected in ethnic minority and rural populations, as more people are vulnerable to falling back below the threshold.<sup>53</sup>

52. UNDP, *Human Development Report 2014*.

53. In 2008, the poverty rate among ethnic minorities was 50.3 percent, compared with 8.9 percent for the Kinh/Hoa majority.



While Viet Nam has achieved most MDGs ahead of the 2015 deadline, more progress is needed to achieve MDG 6 on HIV/AIDS and MDG 7 on environmental sustainability. Unlocking the door to a more equitable and prosperous society will depend on success in regulating economic growth in environmentally sustainable ways, improving governance and distributing wealth and social services more evenly across society.

The Socioeconomic Development Strategy 2011-2020 calls for “breakthroughs” in structural reforms, environmental sustainability, social equity and macroeconomic stability to allow Viet Nam to lay the foundations for a modern, industrialized society by 2020.

### **Specific Opportunities and Challenges Related to Rural Development**

The Vietnamese government introduced in 2010 the National Target Programme on New Rural Development (NTP-NRD), implemented by the Ministry of Agricultural and Rural Development (MARD), which aims to improve the incomes, livelihoods and living standards of the rural population by creating equitable, inclusive and sustainable growth. Thanks to inputs by policy think tanks influenced by Korea’s Saemaul Undong (SMU) during its policy development process, the NTP-NRD actually has several elements of Korea’s SU, particularly the principle of self-help, and the requirement of village participation and internal resource mobilization to increase local ownership (e.g. 30 percent from central government and 70 percent from local resource mobilization requirement for village infrastructure).

While the NTP-NRD has made notable achievements in its first phase (2010-2015), it is widely perceived that enabling policy environment has yet to be created to translate what is on paper into real actions and results. Key challenges commonly identified include: lack of coordinated support from the central government, fragmentation due to overlapping government programmes, lack of trust among people at local level, absence of strong local governance despite accelerated decentralization and lack of social capital, human resources and leadership. Furthermore, policymakers are struggling with the problem of dependency on government support—i.e. poor people have been found to prefer to stay poor so that they can continue to receive a range of targeted government assistance. Government officials repeatedly note that generating motivation and leadership are the key challenges in their implementation of the NTP-NRD programme, which requires “people’s participation” in its infrastructure development yet faces difficulty on the ground due to the absence of an enabling environment for implementation.

Rural development experts and progressive policymakers agree that the next phase of the NPT-NRD must concentrate on social capital, education and training (the “software” of development), rather than continue with the input-output “hardware” focus. In this context, policymakers and researchers find Korea’s Saemaul approach attractive because of its emphasis on mental transformation, can-do spirit and voluntarism, mobilization of social cohesion and cooperation, and villager-led development with institutionalized and coordinated government support.



## II. RELEVANT INITIATIVES AND LINKAGES TO THE GLOBAL PROGRAMME “SAEMAUL INITIATIVE TOWARDS SUSTAINABLE AND INCLUSIVE NEW COMMUNITIES”

### Korea’s Saemaul Undong

The increasing recognition of disparities and inequalities in Viet Nam, especially in remote and mountainous areas, calls for renewed efforts to implement interventions that are proven to address development challenges at the local level and that are cost-effective, scalable and sustainable. Many local development initiatives, both donor-initiated and Southern-driven, have therefore emerged. In this context, the remarkable economic growth of ROK in the 1970s has been a topic of interest by academia and development practitioners for many years. Research indicates that absolute rural poverty in ROK declined from 27.9 percent in 1970 to 10.8 percent in 1978. Many have at least in part attributed this transformation of rural ROK to the launching and implementation of the Saemaul Undong (New Village Movement), an integrated local development programme that flourished between 1971 and 1979. The overall achievements included the rehabilitation of village infrastructure, improvement in overall living conditions in rural areas and a significant increase in rural household incomes. Implementation usually took place in three stages focusing on basic infrastructure (Stage 1), development (Stage 2) and dissemination (Stage 3).

As an integrated local development programme that aimed to increase incomes of the rural poor through small-scale self-help projects, SMU featured strong government and systemwide support to be scaled up beyond the community level and rural areas to “encompass the entire spectrum” of the government’s local development policies and programmes. According to a 2012 Asian Development Bank (ADB) report, the government also created an incentive system to which local communities responded, primarily because it was based on practical results that were publicly confirmed at village general meetings. This encouraged further self-assertion by members of the local community in forming and implementing development initiatives, thus facilitating a cooperative relationship between the government and the local community. In short, “the SMU movement demonstrated that the best results occur when the government helps those communities that help themselves,” and also actively sought to scale up and expand the number of self-reliant villages through a number of approaches (e.g. following the designation of the SMU as a top government priority, the Saemaul Central Promotional Council as well as sub-councils for each level of local government administration were established, effectively creating an SMU movement inter-ministerial policy coordination system at the national level).

### Implementation Experiences and Lessons Learned from Prior Saemaul Initiatives

The SMU programme has been implemented in Viet Nam in Quang Tri, Bac Giang and Phu Tho provinces, and the government has shown willingness to scale up the SMU approach nationally based on the successful implementation of SMU in the country. The SMU initiatives in Viet Nam, thus far, have mainly focused on community-asset creation, health and sanitation programmes, infrastructure, training and advisory services. SMU achieved success by encouraging a paradigm shift from government to governance and by building a governance system at the village level to empower villagers to improve their living conditions following the SMU spirit of self-reliance.

KOICA implemented short-term SMU-inspired projects in 2000-2001 in Quang Tri and Thai Nguyen provinces, and the Korean Provincial Government of Gyeongsangbukdo implemented a village-level SMU project in 2006-2007 in the La Vang commune in the Thai Nguyen Province. Stakeholders noted that the KOICA



project in Quang Tri and the Gyeongsangbukdo project in La Vang were successful in increasing motivation, participation and cooperation among the villagers and the local government leaders.

In La Vang, a former village secretary noted that the self-help principle they learned from the SMU project in 2000-2001 helped them to take a more active part in the national NTP-NRD programme introduced later by the government, and that the SMU inspired the villagers to share their expertise in green tea production and contribute their internal resources (time and money) to village road construction. The SMU project in a village in the Quang Tri province was so successful that it led to neighbouring villagers replicating similar initiatives with their internal resources.

Many government officials (100 from Thai Nguyen Province alone) have attended SMU training in Korea and very much appreciated it; they noted that the trainings inspired them and helped change their own mind-set. However, they found it difficult, once back in Viet Nam, to train others and to make concrete follow-up actions because the training in Korea was generic (for participants from all around the world) while the enabling environment in Viet Nam differs from Korea, and because there was no skills training.

Furthermore, best practices and success stories of SMU (particularly in La Vang commune) were not widely shared, while the commune leader and the provincial government authorities wanted to inspire other communes and districts. Thus, they recommended and requested more systematic training in Viet Nam, with nationally adapted curricula to be provided at the local level, targeting the local government leaders and potential village-level champions, combined with technical components that meet the demand in target areas.

## **Local Development Programmes by UNDP and Other Development Partners**

There are several community-based development projects that have been implemented in the country that used similar approaches to SMU, providing lessons learned from those initiatives.

In 2009, for instance, UNDP sought to consolidate practices and lessons in its Strengthening Local Government Project (SLGP), and provided a template for other donors/projects to contribute their practices/lessons on local planning reform. The final evaluation report that came out in 2010<sup>54</sup> presented the experiences gained in planning reform through written reports of different projects, namely the UNDP-funded SLGP project operating in four provinces: Bac Kan, Vinh Phuc, Quang Nam and Tra Vinh; JICA's Hoa Binh Planning Reform Project (HPRP) in Hoa Binh, SIDA's Viet Nam-Sweden Poverty Reduction Program (Chia Se), UNICEF's Provincial Child Friendly Program (PCFP) in Ninh Thuan, Dien Bien and Dong Thap, Oxfam Great Britain's Pro-poor Planning Support Program (PPSP) in Ninh Thuan, and NORAD's Supporting Public Administration Reform Project (SPAR-NB) in Ninh Binh.

Among many things, the report found that piloting is a necessary step before getting local acceptance to new planning approaches, since they must be proved effective, doable and useful management tools for local governments. Once usefulness of the new tools is confirmed, the advocacy and commitment to institutionalizing action of local governments and citizens can be generated. The report also found it was important to develop the link between projects and academic and training institutions so that project approaches can be introduced to a wider audience and in a more routine manner. Furthermore, it noted that to make pilot effort most effective, training should go hand in hand with practicing in real work for local

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54. UNDP Viet Nam (2010), "Taking stock of good practices and lessons on local planning reform."





officers to really translate the knowledge delivered by lecturers through training into their own knowledge and skills. In addition, the report noted the good practice of some provinces that attempted to build such skills and techniques into curricula of local personnel training institutions. This way, new skills and techniques became internal assets of the provinces rather than imports. Hoa Binh (in HPRP) and Quang Nam (in SLGP) were two pioneers in incorporating key contents of project training materials into the syllabus of provincial/district Political-Public Administration training schools. This was seen as a major development to help sustain the results of the project after completion of activities.

On the UN side, the UN Country Team in Viet Nam (with FAO in the lead) has been providing technical and policy coordination support to the implementation of NTP-NRD. UNDP Viet Nam also has a project (Support Poverty Reduction Policies and Programme, PRPP, 2012-2016) in support of the implementation of the GOVN Resolution 80/NQ-CP on directions of sustainable poverty reduction and the National Target Programme on Sustainable Policy Reduction, which focus on the poorest ethnic minority areas, in partnership with the Ministry of Labour, War Invalids and Social Affairs (MOLISA) and the Committee on Ethnic Minority Affairs (CEMA). The PRPP project promotes the application of the key community development and empowerment elements similar to SMU.

Today, UNDP Country Office shares the sentiment with Vietnamese policymakers that the great opportunities for furthering rural development in Viet Nam are promotion of strengthening social capital, visionary leadership and greater coordination among government agencies and levels, and local capacity. UNDP Viet Nam expressed its strong interest to continue to integrate the community empowerment and mobilization approach and principles introduced by SMU and other international and Viet Nam's initiatives into its country office's programming to strengthen efforts to help Viet Nam address the challenges in poverty reduction and rural development.

In November 2014, in UNRC's meeting with the Korean ambassador, both sides agreed to hold Korea-UN dialogues on collaboration in Viet Nam. In the UNDP Viet Nam Country Director's meeting with KOICA, both sides agreed to explore opportunities for cooperation and partnership on SMU as an entry point for the development of the partnership between UNDP and Korea in Viet Nam.

### **Policy Reform Opportunities**

The Vietnamese government is seeking to consolidate and integrate a large number of individual national targeted programmes (NTPs) into two programmes (NTP on New Rural Development and NTP Sustainable Poverty Reduction), both of which are providing support at the village/commune levels. In both programmes, the government of Viet Nam shows renewed commitments and concrete actions towards community empowerment through introduction of funding and implementation methods, such as community ownership, block grants and participatory planning, among others.

In particular, there is a window of opportunity for UNDP Global Saemaul Initiative, in partnership with the Vietnamese government, think tanks and UNCT in 2015 and 2016 to provide strategic policy advice and evidence-based inspiration to forming NTP-NRD's and NTPSPR's new phase of 2016-2020.

Experts and policymakers noted that while the results from the NPT-NRD and NTPSPR in the past years were quite good, a new approach is necessary to improve the effectiveness and impact of the programme by addressing the core determinant of the success of the programme—leadership, both at the local and central



government level, for promoting greater empowerment, helping local people adopt a new mind-set of self-reliance and community mobilisation in their own community development.

Since KOICA is preparing to launch its US\$26 million SMU programme next year in two provinces (Quang Tri in the centre and Lo Kai in the north), there are also opportunities for mutual learning and synergies, particularly given that KOICA's programme is more focused on project implementation and participatory development of community socioeconomic infrastructure, while UNDP has a comparative advantage in high-level policy advocacy, systematic capacity development and localization of development approaches for scaling up and institutionalisation, based on strong existing partnership and networks with the government at central and provincial levels.

In conclusion, Viet Nam truly has all the elements of being the perfect place for the global Saemaul project pilot: high demand for SMU approaches in the country, commitment from the government leadership for reform, highly knowledgeable and enthusiastic UNDP CO and relevant programming already in place, strong Korean diplomatic and development cooperation presence with partnership opportunities with UNDP, as well as capable and visionary policymakers and think tanks who desire to partner with UNDP on this project.

### III. RESULTS AND STRATEGIES OF THE PROJECT IN VIET NAM

- **Overall results to be achieved**

Viet Nam needs very tailored and strategic support, led and owned by the national champions in each stakeholder group, in order to fill the gaps identified and to connect the dots in translation of the SMU spirit and existing efforts into a real social movement and social capital accumulation for sustainable and inclusive rural development.

Although with great potential, it seems to be too early for Viet Nam to immediately serve as a centre of excellence country at this stage, because past pilot initiatives have not been replicated, and interlocutors stressed the need to put into practice what has been learned from the SMU through a more systematic local adaptation and scaled-up initiatives. Once Viet Nam goes through this process with the UNDP Global project support to develop capacity, knowledge and policy advices, the country will accumulate the know-how and lessons learned to inform other countries.

Based on the feasibility study and discussions with national champions and partners, a three-component project design is recommended for Viet Nam, with the following objective:

*To facilitate Vietnamization of the Saemaul approaches and set up mechanisms for nationwide visionary leadership development, through political advocacy, sharing of best practices and the development and pilot implementation of a tailored training and public communication programme based on the SMU principles, aimed at social capital accumulation and generation of social movement for self-reliant and sustainable rural development in Viet Nam.*



- **Description/summary of the outputs and strategies (including inputs to be provided by all partners)**

The Inclusive and Sustainable New Communities (ISNC) project will aim to build on the local-level achievements already made by prior applications of SMU experiences to create national and policy level linkages of the community level results in synergy with UNDP Viet Nam's local development project and various government programmes on rural development.

Viet Nam will be allocated US\$400,000 to be designated for policy support and capacity development. In the spirit of self-reliance and financial sustainability, the project will work from the very beginning to get the government to integrate the training and leadership development programme we engender into its government trainings and to implement them with its own budget later.

In short, global project activities under Phase I will primarily focus on the following:

- 1-Rollout of the ISNCs in Viet Nam through activities of the two expected outputs
- 2-Monitoring and evaluation framework established for rigorous tracking and review of progress and results in Viet Nam;
- 3-Synthesis report produced on lessons learned for global scaling up and triangular cooperation (by end of 2016) to inform and guide scaling up and global advocacy.

Programme and policy advisory support necessary for country-level implementation will be provided by UNDP headquarters and regional centres to the Viet Nam Country office for building these local-national linkages and ensuring that results are measured through the predefined indicators for success. Additionally, support will be provided for knowledge and advocacy through the development of knowledge products with concrete policy options to guide scaling up and triangular knowledge sharing and exchange.

#### **Expected Outputs:**

- **Output 1. Policy advocacy and policy reform support to enhance government commitment, coordination and investment in promoting social movement for self-reliant and sustainable rural development and poverty reduction in Viet Nam.**

**Activity 1.1:** Coordination of a high-level ministerial dialogue on the importance of and strategy for promoting self-reliance, community mobilization and leadership in rural development and poverty reduction.

**Activity 1.2:** Policy advocacy targeted to the high-level policymakers in the government, National Assembly and the Communist Party aiming to secure political commitment and support for initiation and institutionalization of a social movement for self-reliance and community mobilization in the national targeted programmes for sustainable poverty reduction and new rural development.

**Activity 1.3:** Technical and advisory support to mainstreaming self-reliance and community mobilization (and inclusion of related concrete targets, actions and budgets) in the national targeted programmes for sustainable poverty reduction and new rural development (both current and 2016-2020 phase).



## ***Rationale of Output 1***

The importance of people's roles, mobilizing people and strengthening social capital has always been highly recognized by Vietnamese leaders and emphasized in Viet Nam's development strategies. Despite the fact that initiatives and efforts to promote self-reliance, community mobilization and empowerment for local people to take an active role and to look for creative opportunities and solutions in their own development have been piloted in many community development projects in Viet Nam, it seems that such recognition has not been sufficiently translated in concrete focus and actions in national rural development and poverty reduction policies, plans and programmes. During the study mission, the stakeholders highlighted the need for (i) raising the awareness and understanding on how to translate such recognition into concrete actions in the context of transition to the market economy and local governance reform for rural development and poverty reduction, (ii) improving cross-sectoral government coordination in promoting self-reliance, community mobilization and empowerment during formulation, management and implementation of national and local rural development and poverty reduction policies, plans and programmes. The stakeholders also recognized the important policy advocacy, convening, facilitating and support coordination roles of UNDP in enhancing the government commitment, coordination and investment in promoting social movement for self-reliant and sustainable rural development and poverty reduction in Viet Nam.

## ***Implementation Strategy of Output 1***

Under the leadership and coordination of the UNRC and UNDP, this project will be based on the Deliver as One principle and work closely with other interested UN agencies and relevant Viet Nam's stakeholders to facilitate a high-level policy dialogue. The dialogue will involve all relevant line ministries, Party's committees for education and advocacy and mobilizing people, stakeholders from local levels, mass and community-based organizations to discuss the importance of and strategy for promoting self-reliance, community mobilization and leadership in rural development and poverty reduction. Experience of SMU and other Viet Nam's initiatives in promoting self-reliance, community mobilization and leadership, and interministerial and cross-sectoral approaches within the systematic framework of local governance reform and rural development will be shared at the dialogue.

The project will also specifically target policymakers through advocacy activities targeting the high-level policymakers in the government, National Assembly and the Communist Party, with the aim to secure political commitment and support for initiation and institutionalization of a social movement for self-reliance and community mobilization in the national targeted programmes for sustainable poverty reduction and new rural development.

The project will provide technical and advisory support for the government to mainstream the self-reliance and community mobilization and integrate the "software" elements, concrete targets, actions and budgets on communication strategy and training programmes for strengthening local leadership capacity for community mobilization (to be developed by the project under the below output 2) in the national targeted programmes for sustainable poverty reduction and new rural development both current and new 2016-2020 phases.

The consultative, participatory and coordinated approach (that involves a wide range of stakeholders from both central and local levels and ensures the close linkages between the project activities under its two outputs as well as between the project activities and the efforts of the two national targeted programmes) will be the project's key implementation strategy of the activities under this output.



- **Output 2. Development of effective tools and channels for strengthening leadership capacity at different levels for adaptation, scaling up and institutionalization of the SMU self-help and community mobilisation principles and best practices in the national targeted programmes for sustainable poverty reduction and new rural development**

**Activity 2.1.** Development of a training curriculum and public communication programme on leadership development for promoting and realisation of the SMU principles of self-help, community mobilisation and cooperation, based on the best practices learned from ROK and within Viet Nam.

**Activity 2.2.** Provision of Training of Trainers (ToTs) and trainings to select leaders of national and local government institutions, mass and community organizations with potential to adopt and implement the trainings and the communication strategy throughout the locations of national targeted programmes for poverty reduction and new rural development as well as through their own channels.

### ***Rationale of Output 2***

SMU was a comprehensive framework of and approach to rural development in ROK, and covered a whole range of initiatives across sectors, which worked in a particular political-economic context of RoK in the 1970s. The SMU principles emphasis and impact on people's awareness, inspiration and empowerment to take an active role and to look for creative opportunities and solutions in their own development have been recognized as "making transformational changes in strengthening social capital and enhancing rural development" by Vietnamese stakeholders (including central and local government officials, researchers, and village leaders) who attended Korea's SMU training and who have experiences with SMU-inspired and other similar community development projects in Viet Nam.

The stakeholders consulted during the study mission at the same time noted the changes that happened since SMU was launched in ROK and some specific features of rural development in Viet Nam's context today. While recognizing that the core value of SMU's principles remains, the stakeholders emphasized the need for adaptation of SMU's approaches, communication "messaging" and steps in generating a social movement to Viet Nam's broader rural development framework and cultural diversity context.

It was noted that trainings provided in ROK could not be administered to a large number of leaders in Viet Nam not only due to high costs but also the limitations of such adaptation and the lack of follow-up leadership skills training and scaling up such training that would enable the trainees to become the trainers for many other to become change-makers in their sphere of influence and "movement" leaders in their own communities. This was identified as a key obstacle to scaling up the impact of SMU inspiration in the country, despite that many government officials have been introduced to SMU in the past.

During the study mission, Vietnamese and Korean stakeholders agreed that the future success in mobilizing local people will be based on (i) the simple, clear, inspiring messages that villagers could readily understand and adopt, (ii) different innovative, systematic and effective means and channels through which messages would be disseminated nationwide such as through the media, public education, peer-learning, learning by doing, government recognition and rewards programme. They recognize that such effective communication strategies, tools and channels also need to be developed in Viet Nam, in order to address the underlying challenges in rural development, and asked for UNDP's support in this regard.





Therefore, along with the training curriculum, the project will develop a public communication and education strategy and tools to systematically package and effectively disseminate the key messages on SMU's self-help and community mobilization spirit and principles, as adapted to the Vietnamese context not only through the trainings to be organized in this project but broadly through existing mechanisms of public communication, civil servants training and the media using the best practices learned from ROK as well as within Viet Nam.

## ***Implementation Strategy of Output 2***

One important lesson from various rural development and community-based development projects in Viet Nam is the importance of development and institutionalization of initiatives through existing channels of government and social institutions. Therefore, the communication strategy and training curriculum will be developed in partnership with such institutions as the Institute of Policies and Strategies of Agriculture and Rural Development (IPSARD), the National Institute of Agricultural Planning and Projection (NIAPP) and under Ministry of Agriculture and Rural Development (MARD), and the Committee on Education and Propaganda and Committee for mobilization of people of the Communist Party. IPSARD and NIAPP are selected based on their rich engagement and experiences with SMU approaches for many years in the country and as think tanks of MARD, the key government institution, in formulating and managing the national targeted programme for new rural development and key player in the national targeted programme for sustainable poverty reduction. The Committee on Education and Propaganda and Committee for mobilization of people of the Communist Party are selected based on their roles, rich experiences and extended networks (throughout the countries at all levels) in communication political messages and mobilization of people.

Once the curriculum is developed and tested, ToTs will be administered to provincial leaders (possibly through the Ho Chi Minh Political Academy for possible adoption of community mobilization as the regular training topic of the Academy), leaders of mass organizations such as the Farmer's Union, Youth Union and Women's Union (which have nationwide networks down to the village levels) and key staff in the Party's Mobilizing People and Education and Propaganda networks in selected provinces. By working with the above institutions/networks, facilitating cooperation with the national targeted programmes for sustainable poverty reduction and new rural development, the project aims at enhancing the scalability, sustainability and possibility for institutionalization of the trainings (by trained trainers) throughout the countries - locations of the national targeted programmes for sustainable poverty reduction and new rural development.

Specific methods of administrating the ToTs will be also developed in consultation with the key partner institutions who participated in the curriculum development and pilot ToTs, so that these institutions can best tailor the trainings for their spheres of influence. Rather than trying to reach everyone by itself, the project will specifically target the existing networks, so that they can internalize, implement and scale up the training and public communication programme. The project will seek to get the finalized curriculum endorsed by the government from the highest level possible (possibly by the Minister of MARD).

In addition to classroom trainings, effective mechanisms (such as local study visits/exchanges, pilot practical application of communication strategy and skills obtained in trainings, community service recognition & rewards programmes) for sharing and promoting best practices will be developed so that good practices of community mobilization, including from the SMU initiative in La Vang commune and many other community development projects in Viet Nam, can be shared across the provinces.



## IV- SCALING UP STRATEGY IN THE COUNTRY AND SSC PROSPECT WITH OTHER COUNTRIES

- **How to achieve coverage, sustainability and impact within the country?**

Enhancing political commitment and support, institutionalization in the government-funded targeted programmes for sustainable poverty reduction and new rural development and relying on and support strengthening capacity of the existing national institutions and networks are key elements of the project strategy in ensuring scaling up and sustainability of its results.

The policy dialogue and advocacy will generate necessary political commitment and enable support for mainstreaming the self-reliance and community mobilization principles not only in the country's poverty reduction and rural development strategic policies and plans, but also in the national targeted programmes for sustainable poverty reduction and new rural development. The technical and advisory support for the government to integrate the "software" -- self-reliance and community mobilization elements with concrete targets, actions and budgets for the implementation of the two national targeted programmes will provide the enabling action and budget frameworks for scaling up and sustain the implementation of the communication strategy and training programmes to be initiated and developed by the project.

Together with the above, the development of the communication strategy and training curriculum, the pilot implementation of communication strategy and ToTs in partnership with existing institutions and organizations and networks will ensure that the communication and training will reach a wide scale of people at subnational levels, from the provincial down to the villages. The implementation of this project as an integral part of the existing UNDP-supported PRPP project and KOICA-supported SMU project in two provinces (starting 2015) will also be used to initiate communication work and trainings (by trained trainers and using the project developed communication strategy and training materials) at subnational levels, and the subsequent wider scale implementation under the national programmes for sustainable poverty reduction and new rural development.

The project collaboration with and support to existing national institutions such as IPSARD, NIAPP and Ho Chi Minh Political Academy will not only contribute to strengthening national capacity – training hubs and centres of excellence -- for scaling up self-help and community mobilization in Viet Nam, but also potentially contribute to the future establishment of a Viet Nam SMU Centre, which can act as the source of sharing knowledge, experiences and lessons learned from Viet Nam with other countries through South-South Co-operation. UNDP can act as a broker between ROK and Viet Nam in such institutional development, given the possible interests on both sides.

- **Assess potential for SSC to support other countries and influence regional/global policy agenda (e.g. post-2015 implementation)**

Inspired by Viet Nam's successful transition to market economy and remarkable achievements in socio-economic development, poverty reduction and other MDGs, countries such as Myanmar, Lao PDR, Cambodia and others in Asia and Pacific Region as well as in Africa have been already asking for Viet Nam's development experiences to be shared, including in rural development, poverty reduction and community development.



This project in the first stage aims to provide the support for creating the enabling policy environment and national capacity for integration and scaling up implementation of SMU's self-reliance and community mobilization principles in national poverty reduction and rural development policies and programmes in Viet Nam. As a result of the project's successful implementation, the substantial accumulation of the rich and diverse (from both cultural and socio-economic development perspectives given Viet Nam's diversity in ethnicity, cultural and socioeconomic context) lessons learned and strengthened capacity of Vietnamese centres of excellence/training hubs will tremendously improve Viet Nam's great potential to meet the requests from other countries in the region and beyond for help in formulating and implementing suitable development solutions in their pursuit of realization of the post-2015 Development Agenda, including the third phase of the RoK-UNDP global Saemaul initiative.

## COUNTRY: MYANMAR

### Project Document

#### I. SITUATION ANALYSIS

Myanmar's population is estimated at 51.4 million, consisting of diverse ethnic groups speaking over 100 languages and dialects. The country is ranked 150th out of 187 countries on the 2014 Human Development Index (HDI),<sup>55</sup> although scores have been improving in recent years. Economic growth has averaged 5 percent in the last few years with a per capita income of US\$702. The economy largely depends on natural resources and agriculture. Inadequate infrastructure, limited access to finance and access to agricultural, and off-farm know-how as well as administrative constraints have stifled the economy outside the main urban areas.

##### **Achievements and issues:**

Myanmar has made notable progress in poverty reduction. The government's target to reduce poverty from 26 percent in 2010 to 16 percent by 2015 appears to be achievable because of good performance in recent years, accelerated reforms in economy and assistance from development partners. Myanmar has done well to stabilize the HIV/AIDS epidemic, and the prevalence among the general population (15-49 years old) is below 1 percent. Similarly, Myanmar has achieved the goal of a 50 percent reduction in malaria morbidity and mortality since 2007. The TB incidence rate has declined since 1995, and the target of halving TB mortality compared with 1990 levels was met in 2010. The TB-related MDG is likely to be achieved by 2015.

Despite the achievements, Myanmar faces many challenges. There are large, widening regional inequalities in human development and MDG indicators. Poverty levels are currently high, at an estimated 26 percent of the population. Poverty is twice as high in rural areas, where 70 percent of the population lives. Poverty incidence is highest in Chin, where three-quarters of the people are poor, and lowest in Kayah, where one in 10 is poor.

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55. UNDP, *Human Development Report 2014*.



Poverty varies not only across regions/states but also within a region/state, suggesting that there are pockets of extreme poverty even in moderately poor regions/states. The remote border areas, mainly populated by Myanmar's minority ethnic groups, and areas emerging from conflict are particularly poor. The reintegration of returning ethnic groups has raised expectations for a "peace dividend," which would require a greater extent of tangible benefits for these people, particularly through meaningful jobs. The most significant factors for vulnerable populations to descend into poverty are illness, followed by accidents, crop failure and damage to house and property.

Access to electricity is limited to only 26 percent of the population, and firewood is a major source of energy for the population. Additionally, the country is highly vulnerable to climate change and extreme weather events, such as the devastating Cyclone Nargis of 2008. This heightens the risks and vulnerabilities for the rural poor, particularly women, children and other vulnerable groups, a challenge for which local communities are still unprepared.

The local economic development potential of Myanmar also remains to be unleashed. The current framework for regional economic development prioritizes the industrial development of Special Economic Zones (SEZ) and rural development through the Eight Task Agenda of the Rural Development and Poverty Reduction Plan. As to some of the key determinants of inclusive growth, such as enhancing access to finance, skills and information, there is significant scope of development. Likewise the national institutional framework for employable skill development is fragmented, with vocational training institutions housed within unconnected governmental institutions with limited links to the private sector, and few public-private partnerships. There are also significant information asymmetries in market dynamics, hampering local entrepreneurs from developing their businesses. On-farm and off-farm extension services are fragmented by departments, sector and locations, and local media and outreach are underdeveloped, unable to serve as information sources for local entrepreneurship. With adequate understanding and connections to emerging businesses and local market dynamics, local livelihood and market institutions have the potential of becoming incubators of local entrepreneurship.

## II. RELEVANT INITIATIVES AND LINKAGES TO THE GLOBAL PROGRAMME "SAEMAUL INITIATIVE TOWARDS SUSTAINABLE AND INCLUSIVE NEW COMMUNITIES"

The increasing recognition of widening disparities and inequalities in Myanmar, especially in rural areas, calls for renewed efforts to implement interventions that are proven to address development challenges at the local level and that are cost-effective, scalable and sustainable. Many local development initiatives, both donor-initiated and Southern-driven, have therefore emerged. In this context, the remarkable economic growth of ROK in the 1970s has been a topic of interest by academia and development practitioners for many years. Research indicates that absolute rural poverty in ROK declined from 27.9 percent in 1970 to 10.8 percent in 1978. Many have at least in part attributed this transformation of rural ROK to the launching and implementation of the Saemaul Undong (New Village Movement), an integrated local development programme that flourished between 1971 and 1979.<sup>56</sup> The overall achievements of the programme included the rehabilitation of village infrastructure, improvement in overall living conditions in rural areas and a sig-

56. Soo-young Park (2009), "Analysis of Saemaul Undong: A Korean Rural Development Programme in the 1970s," *Asia-Pacific Development Journal* 16.2, p. 113.



nificant increase in rural household incomes. Implementation usually took place in three stages focusing on basic infrastructure (Stage 1), development (Stage 2) and dissemination (Stage 3).

As an integrated local development programme that aimed to increase incomes of the rural poor through small-scale self-help projects, the Saemaul Undong (SMU) featured strong government and systemwide support to be scaled up beyond the community level and rural areas to “encompass the entire spectrum” of the government’s local development policies and programmes. According to a 2012 Asian Development Bank (ADB) report, the government also created an incentive system to which local communities responded, primarily because it was based on practical results that were publicly confirmed at village general meetings. This encouraged further self-assertion by members of the local community in formulating and implementing development initiatives, thus facilitating a cooperative relationship between the government and the local community.” In short, “the SMU movement demonstrated that the best results occur when the government helps those communities that help themselves,” and also actively sought to scale up and expand the number of self-reliant villages through a number of approaches (e.g. following the designation of the SMU as a top government priority, the Saemaul Central Promotional Council as well as sub-councils for each level of local government administration were established, effectively creating an SMU movement inter-ministerial policy coordination system at the national level).

In this context, the SMU programme in Myanmar is in the planning phase, with the launching of this US\$22 million programme organized for the first week of December 2014 with high-level participation from the government (possibly the President and Union Minister of Agriculture and others) and the Korean government (including the former Prime Minister who initiated SMU in ROK). Overall, the SMU programme in Myanmar has secure high-level support from the President’s office, and the Minister of Agriculture has been assigned as the lead person of the SMU programme for the government in Myanmar. There is a strong high-level government buy-in, including the President of Myanmar.

SMU in Myanmar will focus on income-generating activities, infrastructure, living environment, capacity building, health and education, training and advisory services. SMU aims to achieve success by encouraging the paradigm shift from government to governance and building a governance system at the village level to empower local villagers to improve their living conditions following the SMU spirit of self-reliance and cooperation.

The SMU programme, under the consultation of KOICA, will select 100 villages in close consultation with the government from the following agro-ecological zones. The recommended villages are as follows:

- Plain: Nay Pyi Taw (10 villages) and Bago and Yangon Division (20 villages)
- Hilly: Shan State (20 villages)
- Seashore: Mon State and Thahnintharyi Division (10 villages)
- Delta: Ayawaddy Division (20 villages)
- Dry Zone: Mandalay or Sagaing Division (20 villages)

In addition to the above, UNDP Myanmar has had long-term engagement in local development projects. One of the most notable is the Human Development Initiative Programme (HDI). The programme, which operated from 1994 till 2012, had five projects: Integrated Community Development Project (ICDP), Com-





munity Development in Remote Townships (CDRT), Integrated Household Living Conditions Assessment (IHLCA), HIV/AIDS and Micro Finance. The overall aim of HDI was to provide support to poor communities in food security, primary health care, environment, HIV/AIDS, and training and education. To date, HDI covered about 8,000 villages in 63 townships across 11 states/regions. The two community development projects, ICDP and CDRT, covered 51 townships, 4,314 villages, 465,309 households and 2,333,087 people (49.8 percent male and 51.2 percent female).

HDI followed an integrated, multisectoral and demand-driven approach that strengthened the capacity of poor communities, addressing their basic needs. Village priorities were identified through participatory appraisal/planning approaches that were revisited on an annual basis. UNDP connected livelihood support with a strong focus on social capital formation. Additionally, ICDP introduced the formation and operation of self-reliance groups (SRGs) to support community livelihoods, especially for the poor, based on a model developed by an Indian NGO. Beneficiary village assisted for the formation and capacity building of SRGs and CBOs as the principal instruments for community engagement and for improving livelihood. The groups jointly identify beneficiaries and oversaw the project implementation including the management of revolving funds. Through their involvement in SRGs, poor households, especially women, gained increased financial and livelihood assets, acquired greater decision-making roles in both family and village affairs, became more aware of health and social concerns, thereby enabling them to advance economically and find solutions to their problems. In addition to the benefits gained at household level, cooperation and mutual help among the community have been increased through combinations of social mobilization and experiences from working together, which encompasses approaches similar to the SMU methodology that promotes self-reliance and community engagement.

At the end of the programme, 5,503 SRGs were formed and supported with accrued membership of about 78,000, of which 99 percent are women. About 84 percent of SRGs are considered sustainable. Over 22,000 women members are directly participating and benefiting from 1,979 SRGs, which are federated into 112 CLGs and 31 TLGs in 8 regions/states. Additionally, 167 SRGs were registered with the Cooperatives Department of the government. Currently, SRGs are being supported so they can become significant players in local development processes and at the national level.

Additionally, UNDP Myanmar is currently engaged in the Improved Livelihoods and Social Cohesion programme, which aims to increase opportunities and capacities for social cohesion, sustainable livelihoods and peace. The programme covers 312 villages in 25 townships across seven states. The programme currently contributes to improving the socioeconomic conditions of Myanmar's conflict-affected areas and bridging the socioeconomic gap between the ethnic states and other parts of the country. Social cohesion is considered a priority for the government, as it is for many neighbouring countries. The knowledge gained on social cohesion through this programme will be integrated into the new Saemaul model, creating more of an inclusive approach that can contribute to strengthening the SMU rollout in Myanmar.

Moreover, UNDP and UNCDF are currently implementing the Local Governance Programme. Through this, an integrated package of development assistance for local governance in rural areas of Myanmar with high-poverty incidence and post-conflict settings are being provided. This assistance will strengthen and nurture institutional capacities of government, civil society and media to work in synergy to support human development and national integration.



### III. RESULTS AND STRATEGIES OF THE PROJECT IN MYANMAR

UNDP, together with ROK and in collaboration with other development partners in Myanmar, will support to identify the scalable elements and solutions of different local development projects by UNDP and partners and package them for application, scaling up and dissemination of knowledge and lessons learned regionally and globally. Additionally, UNDP can draw upon past experience with HDI, which has similar aspects of the SMU approach via the SRGs, relating to setting up community governance mechanisms, inclusive village planning and strengthening women's socioeconomic development. The social cohesion angle related to using livelihoods as the entry point for reducing socioeconomic disparities and strengthening community relations and trust can also contribute to strengthening the SMU implementation in Myanmar. This approach was welcomed by the Korean officials and government counterparts during the high-level launch of SMU in December 2014.

Results to be achieved through this initiative are:

- 1-Building national capacities for measuring and strengthening social cohesion at the local level
- 2-Facilitating local, regional, national and international knowledge-sharing and on local development for social cohesion
- 3-Establishing exchange networks through existing channels domestically and internationally, including through other Centres of Excellence of ISNC projects in Africa and Latin America

- **Brief description/summary of the inputs to be provided by all partners**

The ISNC project will aim to collect lessons learned on the local-level achievements already made by prior applications of local development experiences, already existing UNDP local development projects and national programmes. Myanmar will be allocated US\$200,000, which will be designated for policy support, capacity development and knowledge development.

Programme and policy advisory support for country-level implementation will be provided by UNDP headquarters and regional centres to the Myanmar Country office for building these local-national linkages and ensuring that results are measured through the predefined indicators for success. UNDP HQ, along with the Asia Regional Service centre, with the support of the CO will provide capacity strengthening to government institutions for measuring and strengthening social cohesion at the local level to support evidence-based planning and policymaking. These measures for strengthening social cohesion will also be shared with KOICA to assist during the SMU implementation. UNDP will work with the Ministry of Border Affairs to provide capacity strengthening and technical know-how at the village level.

Additionally, support will be provided primarily by CO with support from HQ for knowledge and advocacy through the development of knowledge products with concrete policy options to guide scaling up and triangular knowledge sharing and exchange. International learning and knowledge exchange will focus on social cohesion and local development with other countries, integrating the main principles of the SMU approach.



Activities under this phase will primarily focus on the following:

Output	Indicative activities
<b>1. Building national capacities for measuring and strengthening social cohesion at the local level</b>	<p>1.1. Confirm the interest of the Ministry of Border Affairs (given its mandate for border area development and association with UNDP on the improved livelihoods and social cohesion initiative) to both lead and convene other key government institutions around this work. Engage the services of a technical adviser and team to support the Ministry in this work;</p> <p>1.2. Review ongoing work (if any) in this area;</p> <p>1.3. Design and lead a consultative process with government, civil society and citizens, including in the border areas, towards developing an indicator framework for social cohesion specific to Myanmar's national and local contexts;</p> <p>1.4. Validate the draft indicator framework through multistakeholder consultations;</p> <p>1.5. Engage with development stakeholders (including DRD, CDD and SU implementers) to adopt the indicator framework into their policies and programmes; and</p> <p>1.6. Engage with UNDP regional centres, HQ and other Country Offices to identify opportunities for knowledge-sharing, particularly through SS&amp;TC.</p>
<b>2. Facilitate local, regional, national and international knowledge-sharing on local development for social cohesion</b>	<p>2.1. Engage in broad-based consultations and fieldwork with key government institutions and development agencies to collect evidence-based information on facilitating social cohesion through local development in Myanmar;</p> <p>2.2. Develop a knowledge-management product that collects models, best practices and lessons on facilitating social cohesion through local development in Myanmar;</p> <p>2.3. Convene a series of knowledge-sharing events at national and local level;</p> <p>2.4. Engage in 1-2 regional or international exchanges aimed at exchanging knowledge between different countries, particularly through SSTC; and</p> <p>2.5. Establish exchange networks through existing channels domestically and internationally, including through other Centres of Excellence of ISNC projects in Africa and Latin America.</p>



## IV. SSC PROSPECTS WITH OTHER COUNTRIES

- **Assess potential for SSC to support other countries and influence regional/global policy agenda (e.g. post-2015 implementation)**

Partnership with national counterparts such as the Ministry of Border Affairs, given its mandate for border area development and association with UNDP on the improved livelihoods and social cohesion initiative, will enable national coverage in collecting and disseminating best practices on integrated local development and social cohesion. The Ministry also can both lead and convene other key government institutions around this work. Reinforcing existing processes of generation and dissemination of knowledge will ensure sustainable results. Exchange networks will be created through existing channels domestically as well as internationally.

Drawing on UNDP's extensive experience in the implementation of local development and social cohesion programmes, it has the knowledge base and technical know-how to share with other countries such as Thailand, Viet Nam, China, Singapore and Indonesia.

### COUNTRY: RWANDA

#### Project Document

## I. SITUATION ANALYSIS

With a population of over 10 million people, Rwanda has one of highest population densities in the world. It is classified as a least-developed country (LDC), defined by low per capita income, low levels of human resource development and lack of economic diversification. Since 1996, Rwanda has experienced steady economic recovery, thanks to government commitment to socioeconomic reforms, support for private sector investment and steady foreign aid. In recent years, the services sector gained importance relative to agriculture, while employing around 80 percent of the population. Rwanda's macroeconomic stability has been strengthened, and important steps have been made in establishing a base for sustained growth and further poverty reduction.

#### **Achievements and issues:**

Rwanda's development success over the last decade includes high growth, rapid poverty reduction and reduced inequality. Between 2001 and 2012, real GDP growth averaged 8.1 percent per year.<sup>57</sup> The population living below US\$1 per day dropped by almost 12 percent, from 56.7 percent in 2006 to 44.9 percent in 2011. The regional inequality index has also declined. Despite the high economic growth, poverty rate still remains high, at 44.9 percent. Thus, achieving MDG 1 will require a focus on increasing rural incomes and agricultural output. Poverty reduction is an important goal of the government in order to meet its long-term development objective of building a middle-income country founded on a knowledge-based economy by 2020.

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57. UNDP, *Human Development Report 2014*.



The 2013 MDG Report notes that Rwanda is also making impressive progress on a number of targets, including gender parity in school, life expectancy, infant and maternal mortality, access to antiretroviral therapy and reduction of malaria incidence/admission.

One of the biggest challenges facing Rwanda is insufficient investment in infrastructure for energy, water and sanitation and transportation coupled with the combined pressures of agricultural production, high population, economic expansion and rising energy needs that are increasing environmental stress. Consequently, there is a need for adequate financing and capacity strengthening so the government can deliver the necessary services. Promoting shared economic growth and poverty reduction are important priorities as well.

Other challenges include high population growth at about 2.2 percent per annum; high maternal mortality rates; and high levels of malnutrition among children. The combination of high population growth rates and poverty impose a lot of pressure on the limited natural resource base, particularly land, resulting in incidences of food insecurity in some parts of the country.

At the same time, Rwanda has succeeded in establishing a well-organised and viable development process, supported by a decentralized and functional system of local governance, defined sector strategies and a comprehensive Economic Development and Poverty Reduction Strategy (EDPRS-2). Additionally, several targeted strategies addressing local development are:

- *National Strategy for Community Development and Local Economic Development* (2013 – 2018) aiming to mobilize efforts of all actors in a coordinated, inclusive and planned manner in the pursuit of Community Development (CD) and Local Economic Development (LED). The three pillars of this strategy are: Community Development, Local Economic Development and Support Systems for CD and LED.
- A crosscutting Climate Resilience and Green Growth Strategy setting a framework for mainstreaming climate change and the green growth approach in national socioeconomic planning. The strategy is guided by five principles that relate to Rwanda's broader development approach to reach middle-income status by 2020 and achieve the Millennium Development Goals: (i) economic growth and poverty reduction; (ii) welfare and wellness of all citizens in a growing population; (iii) gender equality and equity; (iv) sustainability of the environment and natural resources; and (v) good regional and global citizenship.

## II. RELEVANT INITIATIVES AND LINKAGES TO THE GLOBAL PROGRAMME “SAEMAUL INITIATIVE TOWARDS SUSTAINABLE AND INCLUSIVE NEW COMMUNITIES”

A range of initiatives on community development and local economic development were undertaken in Rwanda by the development partners as well as the national government. Past initiatives include UNDP's Support to the Five-Year Decentralization Implementation Programme (2005 – 2009), UNDP Decentralisation and Environment Management Project (2004 – 2013), UNDP-UNEP Poverty and Environment Initiative (PEI) and One UN Joint Support Project for the Rwanda Integrated Development Initiative (IDP)-Green Villages Project. Additionally, KOICA plans to launch an \$11 million Rural Community Support Programme.



Numerous projects in Rwanda have incorporated the Saemaul model into their local development interventions, among them: Building an Inclusive Financial Sector in Rwanda (BIFSIR) project implemented by UNDP and UNCDF; Saemaul Zero Hunger Communities Project, funded by KOICA and implemented by WFP and Good Neighbours International; several Saemaul Undong community development projects implemented by KOICA, and UNDP's Joint Support Project for the Rwanda Integrated Development Initiative (IDP)-Green Villages Project, which empowers communities to take a leading role in planning and implementing initiatives to improve living conditions and income generation. Alongside capacity building, people's mind-set is being changed to adopt proactive attitudes and can-do spirits. Community development focus is present in a number of planned initiatives by development partners, among them: FAO's Sustainable Food and Agriculture Initiative; and One UN Green Economy Project (with a focus on green villages' development).

Scaling up, sustainability and knowledge systematization are among the key challenges of these interventions. Scaling up of existing pilots requires substantial funding from development partners, government, private sector and communities. At the same time, institutional sustainability and self-organization practices need to be strengthened for resilience. The use of technology for community development is dispersed and not standardized. Access to knowledge on technology, innovation and home-grown solutions is to be improved to ensure its transfer to future generations without intervention of development partners.

In light of the above, there is a need to systematize a wealth of experience of various aspects of SMU model implementation in Rwanda, to feed national practices and policies and package and disseminate its knowledge products through SSC and TrC. This can be achieved by establishing a centre of excellence in partnership with a domestic institution engaged in integrated local development activities, well connected to the policy level and potentially be a success case for other countries in the region.

### III. RESULTS AND STRATEGIES OF THE PROJECT IN RWANDA

The project will support the ongoing community development process in Rwanda to strengthen the national development agenda and provide support to relevant UN and ROK interventions in the country, reinforcing the key principles of SMU approach: self-reliance, cooperation and can-do spirit. The overall objective is to establish a centre of excellence to collect and share the best practices of the Saemaul model for integrated local development in Rwanda, as well as regionally and globally, through South-South cooperation. The intervention will be delivered through the ongoing One UN project, Capacity Building Support to National Environment and Climate Change Fund FONERWA (2014-2018).

- **Results to be achieved: increased sustainability and scale up of innovative local community development efforts through strengthened financing mechanisms and information management system:**
  - Strengthen FONERWA's knowledge management component to package and disseminate knowledge on practical aspects of Saemaul and similar models' implementation in various areas and contexts;
  - Increase local communities' access to the codified knowledge on technologies and home-grown solutions to local development challenges that proved successful in local communities;





- Strengthen FONERWA's monitoring and evaluation system with a focus on systematically tracking progress and assessing development impacts on local communities (including youth, women's organisations and more);
- Enhance participation of local governments in accessing innovation grants and mobilizing other financial resources including from private sector and South-South investors; and
- Establish exchange networks through existing channels to disseminate knowledge domestically and internationally through South-South and triangular cooperation, including through other Centres of Excellence of ISNC project in Asia and Latin America.
- **Brief description/summary of the inputs to be provided by all partners/collaborative arrangements with related projects**

To implement this vision, Rwanda will be allocated US\$200,000. Specifically, support will be provided to FONERWA for knowledge and advocacy through the development of knowledge products to guide scaling up and South-South and triangular knowledge sharing and exchange. In this context, FONERWA is envisioned to become a thematic centre of excellence, reinforcing local governments and communities with environment-specific knowledge for local development. It is expected that Saemaul pilot areas will also benefit from this knowledge. The intervention will be delivered through the ongoing One UN project, Capacity Building Support to National Environment and Climate Change Fund. Programme and policy advisory support necessary for country-level implementation will be provided by UNDP headquarters and regional centres to the Rwanda Country Office for building local-national linkages and ensuring that results are measured through the predefined indicators for success.

A monitoring and evaluation framework will be established for rigorous tracking and review of progress and results in Rwanda. A synthesis report will be produced on lessons learned for global scaling up and triangular cooperation (by end of 2016) to inform and guide scaling up and global advocacy.

- **Results of capacity assessment of primary implementing partner and other partners**

The main partner for implementation of this activity will be the National Climate and Environment Fund (FONERWA), under REMA and the Ministry of Local Government and Rwanda Association of Local Government Authorities.

#### IV. SCALING UP STRATEGY IN THE COUNTRY AND SSC PROSPECT WITH OTHER COUNTRIES

- **How to achieve coverage, sustainability and impact within the country? Assess potential for SSC to support other countries and influence regional/global policy agenda (e.g. post-2015 implementation)**

Partnership with national counterparts Ministry of Natural Resources and REMA will allow achieving national coverage in collecting and disseminating best practices on integrated local development. Reinforcing existing process of generation and dissemination of knowledge will ensure sustainable results. Exchange networks will be created through existing channels domestically as well as internationally, through linkages with other Centres of Excellence of ISNC project in Asia and Latin America.







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