SOCIALIST REPUBLIC OF VIET NAM

and

UNITED NATIONS DEVELOPMENT PROGRAMME

DETAILED OUTLINE OF UMBRELLA PROJECT

Support for in-depth assessment of urban poverty in Hanoi and Ho Chi Minh City

(Tracking Urban Poverty project)

Executing agency of umbrella project: People’s Committee of Hanoi
BASIC INFORMATION ON UMBRELLA PROJECT\(^1\)

1. Umbrella project title: Support for in-depth assessment of urban poverty in Hanoi and Ho Chi Minh City

2. Sector code of the project: U99000

3. Name of donor: United Nations Development Programme (UNDP)

4. Line (executing) agency: Hanoi People’s Committee

5. Expected participating executing agencies:
   - Hanoi People’s Committee
   - Ho Chi Minh City People’s Committee

6. Expected project owners:
   - Hanoi Statistics Office
   - Ho Chi Minh City Statistics Office

7. Estimated start and end dates of project:
   - 01/03/2009 – 31/12/2010 (22 months from the effective date of the umbrella project)

8. Project implementation location: Hanoi and Ho Chi Minh City

9. Total umbrella project budget: US$ 866,160

<table>
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<tr>
<th>9.1. Total ODA grant:</th>
<th>US$ 866,160</th>
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<tr>
<td>- UNDP resource:</td>
<td>US$ 408,200</td>
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<td>- One Plan Fund resource:</td>
<td>US$ 428,000</td>
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<td>+ Programmable fund:</td>
<td>US$ 29,960</td>
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<td>+ General Management Service (GMS):</td>
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<td>9.2. Government contribution:</td>
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<tr>
<td>- In kind:</td>
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Total budget US$ 866,160

10. Modality of ODA provision: grant aid

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1 PROJECT JUSTIFICATION

1.1 Brief situation analysis and assessment

Economic growth has been spectacular and poverty has been reducing fast in Viet Nam, especially in urban areas, over the past decade. According to the Vietnam Living Standard Survey (VLSS) 97-98 and the 2002 and 2004 Vietnam Household Living Standard Surveys (VHLSS), poverty levels in urban areas has fallen from 9.2% in 1997-1998 to 6.6% in 2001-2002 and to 3.6% in 2004. The transformation to the "industrialized" economy and associated economic growth has been among the key factors for the success. However, VHLSS 2006 reveals a sign of reverse trend in urban poverty where general urban poverty rate, urban food poverty rate and urban poverty gap all increased in 2006 in comparison with 2004. This trend could be amplified due to the recent trends in national and international prices resulting in high inflation rate in Vietnam, and disproportionally affect poor registered or unregistered households in urban areas.

Urbanization could create pockets of poverty when people living in peri-urban areas lose access to land or livelihoods as a result of the growth of cities. Farmers lose land to industrial zones or housing estates. Even when they are compensated, they lack the skills and qualifications needed to get jobs in the city. Moreover, levels of rural-urban migration will continue to increase as suggested by the 2004 Viet Nam Migration Survey carried out by the General Statistics Office (GSO) with support from UNFPA. This rural-urban migration provides additional low qualified labour force in the cities which is particularly exposed to environmental degradation, health risks, rising costs of living including costs for education and access to electricity and water, thus vulnerable.

The shift of labour from agricultural employment to higher value-added work in industry and services and migration from rural to urban areas such as Hanoi and Ho Chi Minh City are key components of this transformation to the ‘industrialized’ economy. While it is important to sustain the flow of labour to higher value-added sectors to ensure rapid economic growth, it is also very important to have appropriate strategy/policies for the successful absorption of migrant workers into urban society, to ensure both that they would not remain or become poor in the cities and they could make more contribution to the cities’ socio-economic progress.

The main source of poverty data in Vietnam is VHLSS which provides only general information at aggregate level on urban poverty trends, consequently little is known about composition, depth, gender-specific issues of the phenomena. VHLSS does not capture, for example, not-registered or seasonal migrants in the cities or in-family migrations (such as students, construction or industry workers, military, prisoners, house personnel, etc.). Most of these individuals are not recorded as household members in rural areas, or else whole households leave rural areas and are simply dropped from the lists thus not included in surveys samples. Early results of an on-going UNDP research comparing 1999 census and VHLSS sample, shows that some 30% of 15 to 28 years old are missing from VHLSS due to migration, thus poverty rate in urban areas could be in reality higher than the one currently reported.

As a result of limited information on poverty situation in urban areas, the social security system/social assistance (including under targeted poverty reduction programs), which is based on household registration, often misses poor migrants. In Ha Noi, for example, the social assistance under the city’s poverty reduction programme targets only the poor

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2 The general urban poverty rates, urban food poverty rates and urban poverty gaps in 2004 and 2006 are 3.6%, 3.9%; 0.8%, 1.2%; 0.7%, 3.2% respectively.
3 The 2004 Vietnam Migration Survey reports that roughly 13% of migrants have their working conditions remained the same, 4% worsened. Similar percentages are reported for income. 65% and 41% of migrants said that their education and professional skills respectively had remained the same. 37% of migrants said their housing situation had worsened and 2% said it was much worse.
households with residence registration (KT1 and KT2). On the other hand, the same social security system/social assistance provides low benefits that make little impact on the lives of the poor and the heavy reliance of financing of the public social services on out-of-pocket payments of the users often results in offsetting these little positive impacts of social assistance⁴.

The proposed project will assist Ha Noi and Ho Chi Minh cities in identifying the scope, depth, characteristics and issues of urban poverty, aiming at supporting the two cities’ governments in developing their own mechanisms for monitoring poverty situation as well as policy responses to the identified issues. As a follow up to this project, should the interest and commitment of involved parties remain high and based on the identified issues, support could be provided to strengthen capacity of the cities in developing and implementing their own strategies and plans on poverty reduction as well as accelerate the progress in achieving MDGs and VDGs.

1.2 Relevant government strategies, plans, programmes

The Government of Vietnam sets an objective to “eliminate the category of hungry households and reduce quickly the number of poor households”⁵ in the ten-year Socio-Economic Development Strategy (SEDS) for 2001-10. The five-year Socio-Economic Development Plan (2006-2010) puts poverty reduction as one of the highest priorities.

The Government commits to achieving MDGs and VDGs (with poverty reduction as the first and foremost goal) by 2015.

Specific targets for poverty reduction are also set out in the Hunger Eradication and Poverty Reduction (HEPR) Strategy 2001–10, namely (i) by 2005, eliminate chronic hunger and reduce the level of poverty to below 10 per cent according to the national poverty line; and (ii) by 2010, reduce the level of poverty to below 5 per cent according to the national poverty line. The National Target Programme for Poverty Reduction for the period 2006 - 2010 puts forward the target of reducing poverty at 2-3% per year.

The National Target Program on Employment Generation which was established in 1992 with a view to alleviating the negative impact of restructuring state enterprises aims to promote employment opportunities, and thus contribute to poverty reduction, through provision of severance payments, subsidised credit and training.

In Ho Chi Minh City, where the poverty reduction program was initiated and became the national programme, and in Ha Noi, there have been a number of poverty reduction and social assistance activities targeting the urban poor households, such as income generation schemes, provision of free health insurance cards, education fees exemption, support the repair and construction of poor household houses, etc. Through these programmes, mainly targeting the poor with resident registrations in the cities, and some pilot/small scale supports targeting the poor without resident registrations in Ho Chi Minh City, the cities have the ambition to eradicate poverty among resident households by 2010 and, more importantly, extend the poverty reduction programmes to cover also the poor women, men and children that live and work in the cities without the residence registration.

HCMC has also developed a new strategy to address urban governance issues trying to extensively engage people, especially, the most disadvantaged citizens. A new governance model is thus being developed with support from UNDP Public Administration Reform project, where 3 out 4 project components closely relate to Tracking Urban Poverty project, namely: Urban governance model; MIS/GIS and PPP-Private/Public Partnership.

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⁴ Research carried out by the University of Bath, supported by UNDP, found that poor people end up paying in user fees possibly more than what they receive from Government in the form of social assistance.

⁵ Socio-economic Development Strategy, p.6.
1.3 Building on lessons learned from previous cooperation

It has been shown that VHLSS misses an important proportion of potentially vulnerable households in the cities (unregistered migrants), partly due to inappropriate sampling techniques for urban areas. Ha Noi and Ho Chi Minh Cities have attempted to properly identify those poor households: Ha Noi Department of Labour War Invalids and Social Affairs conducted ‘reviews’ of the list of poor households among the households with regular residence registrations\(^6\) (KT1 and KT2) in concurrence to MOLISA guidelines and the city poverty line. In Ho Chi Minh City, attempts were made to capture not only household with regular residence, but also households with temporary residence registration (KT3). Nevertheless, none of these initiatives tried to identify seasonal workers (KT4) or simply unregistered short or long term migrants.

Difficulties in recruiting individual consultants and managing quality of their services had been a weakness in previous working experience with VHLSS project and still are in other UNDP-supported projects. Moreover, capacity transfer from the recruited consultants to their clients was also difficult in the past. Drawing on this lesson, this project, therefore, will work with institutions from the very beginning rather than short term consultants.

Experience in previous VHLSS projects teaches that raw data cleaning took significant amount of time and could be a bottleneck for the quantitative data treatment. This project will support GSO to train and technically backstop Ha Noi and Ho Chi Minh cities’ Statistics Offices to clean the raw data with appropriate techniques and database software to speed up the data cleaning process. Moreover, the independent nature of the survey should smooth data cleaning process as well.

Additionally, involving policy makers and researchers/research institutes from survey designing and during survey implementation will assure that the quality of data collection will meet researchers’ needs and policy makers’ expectations. The high technicality of this project requires early clarification between technical potential and political needs thus to early link researchers and policy makers, to avoid any unexpected misunderstanding.

Finally, management experience of other UNDP-supported project working with two parallel provinces suggests that cooperation and coordination between the two provinces as well as among the provinces, Government Aid Coordination Agencies (GACA), and UNDP are critical for effective implementation and hence success of the project. Thus, this project will set up a mechanism for and allow sufficient staff and time for coordination work.

1.4 Development cooperation with other donors / projects in related sector(s)

The present survey will provide disaggregate data and information on urban poor people in the two cities. Interest from donors international agencies / projects in related sectors have already been expressed, thus future projects and studies will use the newly generated data once made available.

In the past, there have been few attempts in generating data related to urban poverty in Vietnam.

The UNPFA-supported survey in eleven provinces (2004) provided some information about migration, difficulties faced by migrants, the effects of migrant status on housing conditions and labour market outcomes, and health-related issues of migrants. A first UNDP research paper followed this survey, discussing the limitation of VHLSS in comprehensively capturing the urban poor people and trying to extrapolate basic characteristics of VHLSS “missed poor”.

\(^6\) Vietnam’s household rules establish four categories of registration or ho khau: local residents (KT1), people registered in one province but living in a new district, people registered in one province with permission to reside permanently in an other (KT3) and seasonal workers and students residing temporarily in a different province from their registration (KT4).
The WB-supported “poverty mapping” is developing a technique to estimate poverty rates (based on the VHLSS and agricultural census) down to district level.

The International Labour Office has been carrying out in the last decade studies in major cities in China on urban poverty profile, issuing also proper identification techniques. Sampling techniques and research patterns of the Tracking Urban Poverty project will also be build on those experiences.

Oxfam GB and ActionAid are running a five-year project (2007 – 2011) on post WTO poverty monitoring in 9 provinces and 2 urban sites (tentatively Hai Phong and Ho Chi Minh City). The project will provide year-on-year qualitative monitoring reports on poverty situation and follow-up in-depth research pieces on issues detected from monitoring. These reports and research pieces will be complementary to the quantitative analysis and studies conducted under this project.

Vietnam Academy of Social Sciences (VASS), with support from Ford Foundation, is also conducting participatory poverty monitoring (quantitative studies) in four provinces, namely Lang Son, Kon Tum, Quang Ngai, An Giang, and will possibly expand the coverage to Hue and Da Nang cities. These monitoring exercises will provide supplementary qualitative elements to this project to draw a fuller picture of urban poverty in Vietnam.

MOLISA’s “identification of poor households” (under NTP-PR) could provide the list of poor households, but the method is hotly debated.

UNDP Public Administration Reform project in Ho Chi Minh City could offer a good opportunity to transfer the Urban Poverty survey experience into an institutionalised monitoring tool. Results from the survey as well as collaboration with the city authorities in the design and development of a research plan will provide evidence on the importance of an effective urban poverty monitoring for the development of appropriate social services response.

Finally, in the framework of One Plan 2, and related Programme Coordination Groups, different UN agencies will make good use of the newly collected data and promote further research and develop specific projects. Furthermore, as the information on migration/urban poverty is very limited, the survey data generated by this project would be very necessary for partners to make analysis. The cleaned data set generated by the project-supported survey will be made available widely and freely for all who are interested.

1.5 Comparative advantages of UNDP

UNDP’s neutrality nature will help ensure the objectivity of data collection and the fair supervision of data treatment. Furthermore, the neutral position of UNDP will secure the objectivity of policy advocacy and advice. UNDP has long been considered by the Government as a trusted partner in technical assistance, policy advice, and capacity building.

UNDP’ priority areas include supporting national initiatives on inequalities and poverty alleviation. UNDP’ core services comprise, among others, (i) policy advice and technical support; (ii) strengthening capacity of institutions and individuals; (iii) advocacy, communications, and public information; (iv) promoting and brokering dialogue; and (v) knowledge networking and sharing of good practices. The experience and expertise accumulated in these core service lines will allow UNDP to effectively support Hanoi and HCMC’s governments to develop their capacity in building up urban policies responding to poverty issues and reflected in the next Socio Economic Development Plan.

UNDP has started collaborating with the Government in general and General Statistics Office in particular on survey issues since the early 1990s. After the support of UNDP for VLSS 97-98 and VHLSS 2002, the survey was included as a key survey in the national survey.

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programme and has now been carrying out on a regular basis of every two years, producing
good quality, coherent and comprehensive data. Several studies (covering poverty issues)
based on VHLSS data have been published by the institution in the last decade. UNDP has
continued supporting the Government for monitoring the socio-economic development
process in the country (including supporting GSO for improving the National Statistical
UNDP has thus hoarded experience not only in (a) supporting sustainable survey systems,
but also in (b) poverty monitoring. Moreover, UNDP has today (c) extensive experience and
strong working relationship with not only GSO but also HCMC People’s Committee (since the
implementation HCMC Public Administration Reform project).

Finally, UNDP’s capacity on mobilising international recognised expertise through its well-
established network will facilitate the recruitment of the best expertise available and best
practice replication, thus at best advise policy makers and decision makers on current and
future challenges of urban poverty.

1.6 Statement of problems/issues to be addressed by the project

Firstly, there is a lack of disaggregated data on the characteristics, scope, depth and
composition of urban poverty in Ha Noi and HCMC. National surveys such as VHLSS do not
focus on the composition and characteristics of urban poverty and few other efforts in
collecting data and data analysis have been done.

As consequence, little is known about unregistered migrants/habitants in the cities, the
population strata most exposed to vulnerability. Preliminary studies show that those “missed
poor people” in urban areas are mostly women and young people. National surveys and the
other few attempts to track urban poverty lack appropriate and modern sampling techniques
to focus on the composition of urban poverty.

Thirdly, on-going socio-economic and other poverty-related plans/programs do not base on
good quality evidence and analysis thus may need improvement/revision in design, targeting,
and monitoring their implementation progress.

2 PROJECT OVERVIEW

Project Outcome

This project will contribute to the implementation of One Plan 2 through support to its
Outcome 1 “Social and economic development policies, plans and laws support equitable
and inclusive growth and conform to the values and goals of the Millennium Declaration and
other relevant international agreements and convention” and, more specifically, Output 1.3:
“Improved monitoring and evaluation of the progress in socio-economic development,
towards achieving VDGs/MDGs and meeting the commitments of Viet Nam under
international agreements, with special attention to situation of poor ethnic people, children,
and women” through production of the following three project outputs:

Project Output 1: New urban-poverty data generated, disaggregated by sex and age, and
allowing for good quality analysis on the characteristics, scope, depth and composition of
poverty situation in Ha Noi and Ho Chi Minh City.

Key indicative activities planned for Output 1a:

8 As (i) the survey will be based on/using the VHLSS methodologies, (ii) many similar activities have been
conducted and will be conducted again under VHLSS 2008 and (iii) HN and HCMC Statistics Offices already
obtained many relevant skills and techniques as well as master the VHLSS procedures, under this project, at the
inception stage and subject to the selected survey option, efforts will be made to further define and refine the
activities listed here to ensure (a) minimum overlap/duplication, (b) that the project supported activities would
build on VHLSS activities/results and (c) that the new activities supported by the project will only
defined/implemented as required to meet the specific (different from VHLSS) needs of the survey as well as to
Group of activities 1.1: The project is initiated: project board and steering committee are established and project personnel recruited

- Establish an Umbrella Project Steering Board consisting of leaders from two cities’ authority (e.g. People’s Committees), representatives from project owners (Hanoi and HCMC Statistics Offices) and co-implementing agencies (research institutes and GSO) as well as from UNDP to guide and supervise the survey, related research/studies, policy dialogues and advocacy activities;
- Recruit project personnel: PMs in HN and HCMC, Assistant in HN, Accountant in HN, Assistant cum Accountant in HCMC, Interpreters in HN and HCMC

Group of activities 1.2: Define survey objectives: design overall survey plan, including sampling techniques, methodologies and questionnaires; select survey options and prepare survey tools-resources for testing

- Develop sampling techniques and develop the survey sampling frame to ensure adequate representation of “missing” poor people and migrants. Detailed discussion of the options for sampling strategies and of the strategies to be employed, with supporting analysis and justification as well as a documentation of best international practices
- Design and discuss draft survey questionnaires and listing sheets with relevant stakeholders in Hanoi and Ho Chi Minh City
- Prepare preliminary plan for the survey tools testing, that includes budget, quality assurance standards and guidelines for training and recruit appropriate human resources (listers/numerators, supervisors)

Group of activities 1.3: Sampling methods, population listing techniques and questionnaires are tested in HN and HCMC, lessons from the pilot are drawn and survey tools finalised

- Recommend selection procedures / sampling of Enumeration Areas and test the complete listing of households and individual persons in the selected EAs in HN and HCMC
- Prepare workshop for listers/numerators and supervisors, and brief the recruited people
- Test population listing, sampling methodologies and survey questionnaire in selected Enumeration Areas in Hanoi and Ho Chi Minh City

Group of activities 1.4: Data is checked, cleaned, entered and analysed for the actual survey implementation. Experiences of the pilot are distributed

- Develop data entry programme check, clean and enter data of pilot test
- Analyse data of pilot surveys, draw lessons for the main survey and disseminate in consultative workshop
- Organize a consultative workshop with key policy makers from the two cities, and representatives from GSO and the two SOs to analyse the results of the pilot and finalise main research/survey hypotheses and plan for survey preparation and implementation

Group of activities 1.5: Preparation activities for the main survey implementation

- Finalise and print training manuals and guidelines on sampling strategies, listing and questionnaires, including finalisation (if necessary) and printing of EA maps
- Recruit and train listers/numerators and supervisors in HN and HCMC
- Finalise sampling strategy and field procedures, construct sampling frames that ensure adequate inclusion of unregistered poor people in the two cities

Support transfer of new techniques and skills to GSO, HN and HCMC Statistics Offices as well as from GSO to HN and HCMC Statistics Offices.
Group of activities 1.6: The surveys are organised and carried out in the best possible conditions; data are collected and checked.

- Carry out the main survey in HN and HCMC (select enumeration area, do listing and fill out questionnaires); enter data and perform immediate data checking.

Group of activities 1.7: Data are cleaned and entered/put together in an appropriate format; data list is generated for further analysis.

- GSO transfers software and technology for data cleaning, poverty line calculation including through training and hands-on support on data cleaning/poverty line calculation techniques and skills to HN and HCMC Statistics Offices;
- Clean data and develop database/data tabulation by cities’ Statistics Offices with support and coaching/ supervision of GSO experts;
- Prepare draft survey report and finalize raw data set to be ready for analysis.

Group of activities 1.8: Survey results are widely disseminated and measures for institutionalising the survey are put forward.

- Prepare data dissemination policy/plan;
- Finalise survey report; launch and disseminate the report as well as tabulated and raw dataset in a dissemination workshop (preliminary results are outlined and key topics for research/analysis suggested);
- Conduct assessment of the survey to draw lessons and make recommendations for institutionalisation of the survey into the poverty monitoring systems of Ha Noi and HCMC, as well as to GSO in terms of better sampling of VHLSS to ensure the minimal missing of the poor and migrants.

Project Output 2: Policy research conducted, providing good quality analysis of new data generated by the survey, and research results widely debated and disseminated.

Key indicative activities planned for Output 2:

Group of activities 2.1: Research topics are selected and a research plan is developed.

- Identify and develop partnerships with the international and national institutions involved in research;
- In collaboration with cities authorities and selected experts / research institutes, develop a plan for research, including 4-5 detailed research topics including disaggregated aspects (in addition to the poverty profile) using the new data generated by the survey (as well as some case studies, including Participatory Poverty Assessments) and related policy dialogues as well as plan for dissemination/publication of the research results/papers;
- Conduct policy research, draft research papers and organise a series of consultations on the draft papers;

Group of activities 2.2: Qualitative findings concerning urban poverty in HN and HCMC are launched, indicating possible short and long term policy responses to urban poverty issues toward achieving MDGs/VDGs.

- Organise a series of policy debates, seminars around the research paper findings and recommendations;
- Publish and widely disseminate the papers, including through mass media and other policy advocacy activities.
Project Output 3: Policy responses developed based on the evidences and results of the survey, policy research and debates

Key indicative activities planned for output 3:
Group of activities 3.1: Policy debates and advocacy activities are organised around the research findings and recommendations, and then policy responses to urban poverty issues are identified for the two cities in the context of formulating the next 5-year socio-economic development plan 2011-2015
- Organise a series of brainstorming and focused discussions on possible policy responses of the cities on issues identified by the research.
- Provide initial technical assistance to the cities in developing concrete policy responses in dealing with urban poverty.

Group of activities 3.2: Further Technical Assistance needs of city governments to respond and deal with urban poverty are identified
- Identify and formulate possible future UNDP longer-term support to city governments in developing their own strategy/plan and policy responses in dealing with urban poverty issues including the context of formulating next 5-year socio-economic development plans of cities.
- Identify and formulate possible future UNDP longer-term support to strengthening capacity of the city governments in implementing such strategy/plan.

See Annex 1 for Results Framework.

3 PROJECT APPROACHES AND IMPLEMENTATION STRATEGY

Complement information generated by VHLSS: VHLSS is a wide household survey designed to generate broad and reliable information at national level. It detains high international reputation and has been evolving over the years to improve coverage, reliability and quality of the data generated. The Urban Poverty Survey will be designed to generate new detailed information on a specific localised sub population group, thus complement VHLSS.

Ensure comparability with and contributing to improving VHLSS: The project-supported survey will be designed to ensure compatibility with VHLSS data sets that would allow comprehensive analysis. UPS will be implemented as a separate survey that will follow VHLSS 2008 methodology, organisation/management and the most up to date enumeration areas definition, that will be generated for the 2009 national census.

The key differences of the project-supported survey would be the sampling techniques, and therefore the sampling frame, as that will ensure the inclusion and representation of the migrants and “missed” poor in the survey’s samples,. The aim would be to obtain the necessary detailed information that is currently not available, such as sex disaggregated data on labour/employment (domestic labour, informal sector, construction workers, etc.), wages, progress toward achieving MDG’s/VDGs (education, health, water and sanitation, housing and environment etc.).

Ensuring systematic transfer of capacities: This project will go beyond the “traditional technical assistance provision” where consultants may work in isolation and/or just provide technical services to the national partners without enhancing the partners’ capacity.

During the implementation of this project, efforts will be made to ensure the transfer of capacity by exploring possibilities for partnership with international and national institutions in providing structured medium-term and systematic capacity development services. This would not only include transfer of traditional technical products such as reports, solutions to
complex problems etc. but also transfer of knowledge and technical know-how adapted to the local context and systems.

Key areas of capacity transfer and on-the-job coaching will include (i) improving knowledge and skills for cities’ Statistics Offices in cleaning data and calculate poverty line, (ii) adapting and institutionalising the new sampling techniques in the national and local systems and context, and (iii) learning and making the most of international bests practices in “inclusive sampling” in urban surveys.

Including policy makers (and even political leaders) in the process: The project intends to foster the involvement of policy makers in all steps of project implementation, including discussions of basic work hypothesis for the survey design. Collaboration between policy makers, data producers and national/domestic research institutions and researchers is seen as strategic not only for the smooth implementation of the project, but also for looking deeper inside specifics and agreed topics thus promote advocacy and police response.

Promoting evidence-based policy research, advocacy and policy formulation: The main rational and overarching approach of this project is to help the two cities in obtaining good quality and objective queries and in conducting pertinent analysis of data in order to define urban poverty issues and possible policy responses. This project will thus offer an example to the two cities leaders of a consistent, evidence based monitoring of urban poverty trends.

Ensuring the participation of wide ranges of stakeholders and gender mainstreaming: The project will, as mentioned above, engage policy makers, data producers and researchers in all stages of the project implementation and also advocate for gender balanced contractors, researchers and advisory teams recruited by the project as well as appropriate women’s participation in all project activities 9.

Due attention will thus be paid to gender perspectives when engaging these groups in the implementation process (not only in terms of gender-balanced engagement but also in terms of their gender-related practice/research areas). The project will also support the cities in defining and implementing gender-sensitive mechanisms for widely sharing and disseminating survey data and research results as well as engaging stakeholders in related policy debates/discussions, both women and men.

Furthermore, appropriate survey techniques will be adopted to ensure that both men and women will be in an appropriate setting during the interviews, thus ensure that disaggregate data will be of good quality.

4 BUDGET

Total budget of the Umbrella Project (including GMS): 866,160 USD
- General Management Service (GMS) charge: 29,960 USD

Total programmable budget of the Umbrella Project: 836,200 USD
- Regular resource of UNDP: 408,200 USD
- One Plan Fund: 428,000 USD
- Vietnamese government’s contribution: 0 USD

Programmable budget for Component Projects and co-implementing agency:

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9 A proportion of at least 30 % women’s participation is targeted in every activity organised by the project, including workshops, policy dialogues, trainings and study tours. All project contractors, trainers, advisors and researchers should be gender balanced as stated in the new gender mainstreaming UNDP’ guidelines
- Budget for Component Project in Hanoi: 415,720 USD
- Budget for Component Project in HCMC: 397,880 USD
- Budget for GSO: 22,600 USD

Programmable budget by year:
- Year 2009: 551,413 USD
- Year 2010: 284,787 USD

See Annex 2 for detailed budget allocation

5 PROJECT IMPLEMENTATION AND COORDINATION ARRANGEMENT

This project will be implemented following the modality of an umbrella project having two component projects in Ha Noi and Ho Chi Minh Cities.

People’s Committee of Hanoi will be, upon the agreement of People’s Committee of Ho Chi Minh City, acting as the Line (executing) Agency\textsuperscript{10} of the umbrella project and as such People’s Committee of Hanoi will, on behalf of People’s Committee of Ho Chi Minh City, submit the Detailed Project Outline to GOVN authority for appraisal and approval.

To ensure smooth implementation of the project activities, under the above-mentioned modality of umbrella project, two component projects in Ha Noi and HCMC will be operationally and administratively managed and implemented by two cities separately with strong technical coordination to ensure the surveys and analyses would be done consistently. Following are project organizational structure, implementation and coordination arrangements.

Project organizational structure and management and implementation mechanism:

An Umbrella Project Board, comprising leaders from Hanoi and HCMC People’s Committees, representatives of project owners (i.e. project implementing agencies) (Hanoi and HCMC Statistics Offices) and co-implementing agencies (Center for Analysis and Forecasting (CAF) under Viet Nam Academy of Social Sciences (VASS) and Institute for Development Studies(IDS)\textsuperscript{11}, GSO) as well as representatives of UNDP and Department of Labour, War Invalids and Social Affairs (DOLISA), will be established to guide and supervise the survey, related research/studies, policy dialogues and advocacy activities. The Board will endorse annual work plans/(biannual detailed work plans) of the project and possibly research topics if necessary. It will meet once or twice a year to discuss and agree on technical assistance work and key directions of the project.. Hanoi People’s Committee will be the executing agency of the umbrella project and hence, the Umbrella Project Board will be headed by a Vice chair of Hanoi People’s Committee. The executing agency of the umbrella project will assume overall responsibility for managing and implementing the whole project.

Under the umbrella project, there will be two component projects in Hanoi and HCMC. Hanoi People’s Committee will also be the executing agency of the component project in Hanoi.

\textsuperscript{10} As regulated by Decree No. 131/2006/ND-CP and its implementation Circulars, there should be only one national line agency for the “umbrella project”. Therefore, Hanoi People’s Committee is proposed to be the national line agency.

\textsuperscript{11} CAF under VASS and IDS are selected as research and policy advocacy focal points because (i) they have good track record of experience in conducting quantitative and in-depth research/studies on poverty, which will help ensure the quality of research/studies to be carried out under this project; (ii) they have long been tapping VHLSS data (which are similar to data to be produced from the surveys under this project) with different softwares and analytical skills for research/studies, therefore working with these research institutes will help the project save time and cost; (iii) they have broad networks with top-level researchers, academics, and policy makers in the two cities, which will facilitate the communication of research results to these groups of stakeholders; and (iv) as VASS and IDS are among key research institutes in the Government system, activities to develop capacity for these institutes under this project in research stage will contribute to improved research capacity of the Government.
HCMC People's Committee will be the executing agency of the component project in HCMC. Executing agencies of component projects will take overall charge of implementing respective component project and reporting to the executing agency of the umbrella project.

According to Circular 04/2007/TT-BKH, Hanoi People’s Committee, as the executing agency of the umbrella project, will make decision to assign an agency under it (Hanoi Statistics Office) to act, on its behalf, as project owner of the umbrella project and concurrently of the component project in Hanoi. HCMC People’s Committee, as the executing agency of the component project in HCMC, will make decision on project owner (HCMC Statistics Office) of the component project in HCMC. Project owners of component projects will be directly responsible for the implementation of component projects and report to respective executing agencies.

Component projects in Hanoi and HCMC will set up Component Project Management Unit to manage, implement, and monitor activities of each component project. Organizational structure of the Component Project Management Unit will be elaborated below. Component Project Management Unit in Hanoi will provide administrative support to the Umbrella Project Board (including, but not limited to, consolidating work plans (annual, biannual (if any), and quarterly), progress and financial reports (quarterly and annual), advance requests of the two component projects and GSO for the Board to endorse and send to UNDP, preparing minutes of annual joint review meeting of two components or consolidating minutes of annual review meetings of each component, and communicating with UNDP on behalf of the Board/umbrella project).

People’s Committees and Statistics Offices of Hanoi and HCMC will cooperate and coordinate closely with each other and ensure that a proper reporting line between component projects as well as between component projects and umbrella project is put in place and strictly adhered to by the two cities throughout the project implementation duration.

GSO will be the co-implementing partner in survey stage (together with Hanoi and HCMC Statistics Office) whilst CAF under VASS in Hanoi and IDS in HCMC will be the co-implementing partner in research stage of this project. Statistics Offices of Hanoi and HCMC will be in charge of implementing survey stage. GSO, as a co-implementing agency, will take responsibility for providing technical consultancy in survey implementation for two component projects. CAF under VASS in Hanoi and IDS in HCMC will be responsible for implementing research and policy advocacy stage of respective component project.

For these co-implementing partners, Letter of Agreement (LOA) will be signed by each component project owner with GSO and respective research institute. The two component projects may, depending on their agreement, sign an LOA with GSO either jointly or separately. The LOA will constitute a legal basis for implementing/co-implementing partners to implement project activities as agreed with the component projects in the approved AWP/(biannual detailed work plans). (See Annex 4 for sample of Letter of Agreement).

Since DOLISA is in charge of developing policies on poverty reduction in Hanoi and HCMC, the agency will be involved in the research and policy advocacy stage. Furthermore, as DOLISA has its own system of identifying the poor (with residence registration) in the two cities, it can provide information and inputs useful for designing survey sample in the survey stage. Therefore, DOLISA is considered a cooperating agency in this project.

Each component project will plan and implement activities in close cooperation with each other: annual component work plans (ACWP) (and even biannual detailed component work plans (if any)) of component projects in Hanoi and HCMC will be consolidated into an overall project work plan to foster coordination. ACWP/(biannual detailed component work plans) will be approved by component project owner and then submitted to project owner of the umbrella project. The umbrella project owner (with support from Hanoi Component Project Management Unit) will be in charge of consolidating ACWPs/(biannual detailed component work plans) to produce Overall Project AWPs/(biannual detailed project work plans) then
submit to the Umbrella Project Board and Government Aid Coordination Agency (GACA) for approval. Based on the approved Overall Project AWP (and biannual detailed work plans), the component projects will develop Quarterly Work Plans (QWP) and send to UNDP. *Terms of Reference (TOR) for identical activities in Hanoi and HCMC will be jointly developed by the two component projects*\(^\text{12}\).

Fund will be transferred from UNDP to two component projects based on approved Quarterly (detailed) Work Plan and Quarterly Advance Request sent to UNDP by the component projects. Each component project will then transfer fund to implementing/co-implementing agencies in respective city according to both LOA signed with these agencies and survey/research plan approved by the Umbrella Project Steering Board. UNDP, at the request of the two component projects and in compliance with (i) LOA(s) signed between the two component projects and GSO (including plan for activities to be undertaken by GSO) and (ii) TORs agreed by both component projects for activities to be implemented by GSO, will transfer fund directly to GSO.

Component projects and GSO will be directly responsible for the use of budget and subject to direct independent audit. They will have responsibility for following up and implementing audit findings and recommendations.

The above proposed mechanism and arrangement aims to allow necessary flexibility for the two cities in conducting surveys and research/analysis work. However, it should be noted that although two component projects are implemented separately in two cities, they are closely linked to each other because (i) the two surveys in Hanoi and HCMC should be considered as two integral part of a unified survey on urban poverty with identical design and methodology and (ii) the data analysing process in the two cities should share analytical frame, approach, etc. Therefore, the close coordination between two component projects will play a crucial role in the success of both the component projects and umbrella project and will be explained more in “Coordination arrangements” part below.

**PROJECT ORGANIZATION CHART**

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\(^{12}\) The workload relating to TORs for identical activity will be equally shared between the two component projects. However, for each TOR for an identical activity of the two component projects, one component project will take lead in developing the TOR and recruiting/procuring while the other will provide contribution.
Component Project Management Unit:

As part of the government contribution, the two City People’s Committees will assign staff to manage and operate the umbrella and component projects. Hanoi People’s Committee will assign a Vice chair to serve as the National Project Director (NPD) of the umbrella project and lead the Umbrella Project Steering Board. HCMC People’s Committee will delegate a leader or a designated officer to work as Deputy National Project Director (DNPD) of the umbrella project. Each Committee will also assign one Component Project Director (CPD) (preferably a leader of the City Statistics Office) to take charge of managing respective project component in each city and implementing the annual/(and bi-annual detailed work plans) as approved by Component Project Management Unit and then the Umbrella Project Steering Board. The two Committees may also assign Deputy Component Project Directors (DCPD) to support the CPDs if necessary. See in the budget details thereafter for further details concerning contribution of two City People’s Committees contributions.

Under each CPD, there will be (i) a full-time project manager (PM), (ii) a full-time project Assistant (Ass) and a full-time project Accountant (Acc) (for Hanoi project component) and a full time project Assistant cum Accountant (AA) (for HCMC project component)\(^{13}\), and (iii) an interpreter who all will be funded by the project budget and provide assistance to the CPD in implementing activities of each component project.

\(^{13}\) As Hanoi component project will support the Umbrella Project Steering Board, there will be two separate posts, one for Assistant and another for Accountant.
A United Nations Volunteer (UNV)\(^{14}\) will be recruited by UNDP and seconded to the project to help with coordination and operational support to the two cities in implementing the planned activities.

National Execution (NEX) guidelines will be applicable in project management. UNDP will provide, as needed and requested by the Umbrella Project Steering Board and component projects, (i) technical advice and inputs and (ii) support to project management to ensure smooth implementation of the project and the production of the intended outputs with good quality and in a timely manner.

**Coordination arrangements**

As mentioned in “Project organizational structure and management and implementation mechanism” part above, the coordination mechanism between two component projects as well as between component projects and umbrella project plays a key role in the success of the whole project.

In order to achieve Project Output 1, the two surveys in two cities have to be absolutely identical in terms of sample method, questionnaire, survey implementation arrangement, data entry, cleaning and processing, poverty line calculation, etc. They are two integral parts of a common survey. To attain Output 2 and 3 of the umbrella project, the data analysis frame, areas/issues/aspects of analysis, etc. used by the two component projects should be the same.

To ensure the consistence and identicalness mentioned above, it is necessary that activities before (i.e. preparation) and after (i.e. processing) the surveys, preparation activities for analysis/research be developed and/or designed in common for two component projects. Some activities will be implemented by GSO (e.g. sampling, developing questionnaire, planning and preparing training contents for enumerators, guiding method for data cleaning and processing, etc.). Some other activities (e.g. developing survey report outline, preparing analytical frame, identifying areas/aspects which can be analysed based on the survey data, outlining plan for analysis/research and research result dissemination, etc.) will be implemented based on the agreed “division of labour” between two component projects whereby for each common activity, one component project will take lead in implementation and another will make contribution to.

The Umbrella Project Steering Board will coordinate activities of the component projects through (i) guiding and supervising the survey, related research/studies, policy dialogues and advocacy activities and (ii) reviewing and approving Overall AWP/(biannual detailed work plans) of umbrella project. Identical/similar activities of the two component projects will be coordinated to ensure consistency. For survey part, the questionnaire, sampling methods and techniques, etc. will be identical for the two component projects. For research part, the research and analytical framework will be the same for both cities.

A UNV seconded by UNDP to the project will support the two City People’s Committees to ensure harmonization and coherence of the national and international technical support. In particular, the UNV will provide support in order to:

(a) Harmonize technical assistance in survey design and implementation. Questionnaires, sampling techniques, preparatory trainings, cleaning methodologies, support materials (such as manuals), poverty line calculation techniques etc. will be identical in the two cities.

(b) Put together the annuals and bi-annuals working plan, to ensure mirror/parallel implementation of the activities in the two cities, and consolidate monitoring on the implementation of the work plan.

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\(^{14}\) UNDP will recruit a fully-funded UNV and then second the person to work in the project. This arrangement, if successful, would mean that the UNV could work for the project without costs, except project-related travel costs.
(c) Promote and set up a single research plan and framework, to ensure comparability and timeline harmonization between studies, and monitor research advancement.

(d) Organize advocacy events, intra-city and inter-city policy debates and involving the central government and donors when necessary.

(e) Act as coordinating planner for project development responding to urban poverty related issues chosen by the city governments.

The UNV will have frequent communication with the Project Board, the two City People’s Committees, the two component projects in Ha Noi and HCMC, and UNDP.

6 PROJECT MONITORING AND EVALUATION

Project monitoring and evaluation will be conducted in accordance with established GOVN and UNDP NEX procedures and by the project team and the UNDP Country Office (UNDP-CO). The component projects are required to prepare quarterly component project reports and send umbrella project for consolidation, then send to UNDP. They are also required to prepare annual component project reports on the progress and lessons learned. Umbrella project will be responsible for consolidating annual component project reports into one Overall Project Progress Report and send to the Umbrella Project Steering Board, GACA, and UNDP. Furthermore, Annual Review/(biannual review) meetings will be organized by umbrella and/or component projects for thorough discussions on the annual work plan/(biannual detailed work plan) and progress, as well as to identify the areas for improving the implementation of the umbrella as well as component projects. The audit of project operation (especially financial performance) will be conducted annually either by the legally recognized auditor of the Government or an independent auditor engaged by UNDP.

7 OTHER CONSIDERATIONS

As the most vulnerable in poor urban settings are likely to be women and young people, the success in the implementation of this project will strongly depend on how gender will be mainstreamed in each and every activity planned.

In particular, strategic steps/activities where gender will be the main issue are (i) during the questionnaire design/finalisation, to include the right gender sensitive information; (ii) during the survey implementation, to create the appropriate environment to raise good quality data (iii) during discussion on projects for the development of policy papers and research, to look inside important issues (iv) during advocacy activities and policy response development in the last stage of the project and v) to enhance women’s participation in project activities.

8 LEGAL CONTEXT

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

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

a) Revision of, or addition to, any of the annexes to the Detailed Project Outline;
b) Revisions which do not involve significant changes in the immediate objectives, outputs or activities of the project, but are caused by the rearrangement of the inputs already agreed to or by cost increases due to inflation;

c) Mandatory annual revisions which re-phase the delivery of agreed project inputs or increased expert or other costs due to inflation or take into account agency expenditure flexibility; and

d) Inclusion of additional annexes and attachments only as set out here in this Project Document

National Professional Project Personnel: The Government agrees to the recruitment of nationally recruited project professional personnel (NPPP) required for the implementation of this project, in accordance with UNDP policies and procedures established within the United Nations system for this purpose. These services constitute an addition to the regular personnel resources to be provided by the Government and will be available for the duration of UNDP participation in the project. The remuneration of NPPP will be determined on a case-by-case basis in accordance with the policies and procedures of UNDP; it should exceed neither the prevailing compensation for comparable functions in the host country nor remuneration levels applicable within the United Nations system.
# ANNEX 1 – RESULTS FRAMEWORK

## Project objective, outputs, and key activities

<table>
<thead>
<tr>
<th>Related priority area in Decree 131: Institutional capacity strengthening and human resource development; technology transfer; enhancing the research and development capability.</th>
</tr>
</thead>
</table>

## Relevant Outcome and Output in One Plan II:

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

### Output 1.3:
Improved monitoring and evaluation of the progress in socio-economic development, towards achieving VDGs/MDGs and meeting the commitments of Viet Nam under international agreements, with special attention to situation of poor ethnic people, children, and women.

### Project Output 1:
New urban-poverty data generated, disaggregated by sex and age, and allowing for good quality analysis on the characteristics, scope, depth and composition of poverty situation in Ha Noi and Hochiminh City

### Key groups of activities:

#### Group of activities 1.1: The project is initiated: project board and steering committee are established and project personnel recruited

- Establish an Umbrella Project Steering Board consisting of leaders from two cities’ authority (e.g. People’s Committees), representatives from project owners (Hanoi and HCMC Statistics Offices) and co-implementing agencies (research institutes and GSO) as well as from UNDP to guide and supervise the survey, related research/studies, policy dialogues and advocacy activities;
- Recruit project personnel: PMs in HN and HCMC, Assistant in HN, Accountant in HN, Assistant cum Accountant in HCMC, Interpreters in HN and HCMC

### Overall output target:
Surveys tracking urban poverty in HN and HCMC are carried out and data are available in appropriate format.

#### Baseline:
VHLSS data do not provide quantitative and qualitative data on composition, depth and characteristics of urban poverty in HN and HCMC.

#### Output target 1.a: Collaboration between GSO, city governments, relevant national and international research institutes are set up (Quarter 2/2009)

#### Output target 1.b: Survey option is selected. The population samples in the 2 cities are selected with respect of statistical

### Critical risks of the project:
- Change in leadership of the two partner cities might affect the operation of the project
- Delay in project appraisal and approval process
- Coordination between two City People’s Committees as well as between

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15 This framework will be reviewed and detailed/added further after the project’s approval to become a complete Project Monitoring and Evaluation Framework.
## Project objective, outputs, and key activities

<table>
<thead>
<tr>
<th>Output targets (with baseline)</th>
<th>Indicators (with baseline and target)</th>
<th>Method of verification</th>
<th>Risks and assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Group of activities 1.2: Define survey objectives: design overall survey plan, including sampling techniques, methodologies and questionnaires; select survey options and prepare survey tools-resources for testing</td>
<td>consistence and innovative approaches. (Quarter 1/2009)</td>
<td>two project components, might require much time and could affect operations</td>
<td></td>
</tr>
<tr>
<td>o Develop sampling techniques and develop the survey sampling frame to ensure adequate representation of “missing” poor people and migrants. Detailed discussion of the options for sampling strategies and of the strategies to be employed, with supporting analysis and justification as well as a documentation of best international practices.</td>
<td>Output target 1.c: The surveys are organised and carried out in the best possible conditions; data are collected, cleaned and put together in an appropriate format for further analysis. (Q1-2/2009)</td>
<td>Lack of detailed guidance from MPI to the two cities on project organization and management</td>
<td></td>
</tr>
<tr>
<td>o Design and discuss draft survey questionnaires and listing sheets with relevant stakeholders in Hanoi and Ho Chi Minh City.</td>
<td>Output target 1.d: Survey results are widely disseminated and measures for institutionalizing the surveys are put forward (Q3/2009)</td>
<td>Difficulties in identifying and contracting quality consultants to design questionnaire and survey sample</td>
<td></td>
</tr>
<tr>
<td>o Prepare preliminary plan for the survey tools testing, that includes budget, quality assurance standards and guidelines for training and recruit appropriate human resources (listers/ enumerators, supervisors)</td>
<td></td>
<td>Difficulties in recruiting enumerators to carry out field surveys</td>
<td></td>
</tr>
<tr>
<td>Group of activities 1.3: Sampling methods, population listing techniques and questionnaires are tested in HN and HCMC, lessons from the pilot are drawn and survey tools finalised</td>
<td></td>
<td>Delays occurring to city statistical offices in frame construction, sample selection</td>
<td></td>
</tr>
<tr>
<td>o Recommend selection procedures / sampling of Enumeration Areas and test the complete listing of households and individual persons in the selected EAs in HN and HCMC</td>
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<tr>
<td>o Prepare workshop for listers/enumerators and supervisors, and brief the recruited people</td>
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<tr>
<td>o Test population listing, sampling methodologies and survey questionnaire in selected Enumeration Areas in Hanoi and Ho Chi Minh City.</td>
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<tr>
<td>Group of activities 1.4: Data is checked, cleaned, entered and analysed for the actual survey implementation. Experiences of the pilot are distributed</td>
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<tr>
<td>o Develop data entry programme check, clean and enter data of pilot test</td>
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<tr>
<td>o Analyse data of pilot surveys, draw lessons for the main survey and disseminate in consultative workshop.</td>
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</tr>
<tr>
<td>Project objective, outputs, and key activities</td>
<td>Output targets (with baseline)</td>
<td>Indicators (with baseline and target)</td>
<td>Method of verification</td>
</tr>
<tr>
<td>---</td>
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<tr>
<td>o Organize a consultative workshop with key policy makers from the two cities, and representatives from GSO and the two SOs to analyse the results of the pilot and finalise main research/survey hypotheses and plan for survey preparation and implementation</td>
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<tr>
<td>Group of activities 1.5: Preparation activities for the main survey implementation</td>
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<tr>
<td>o Finalise and print training manuals and guidelines on sampling strategies, listing and questionnaires, including finalisation (if necessary) and printing of EA maps</td>
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<tr>
<td>o Recruit and train listers/enumerators and supervisors in HN and HCMC.</td>
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<tr>
<td>o Finalise sampling strategy and field procedures, construct sampling frames that ensure adequate inclusion of unregistered poor people in the two cities</td>
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<tr>
<td>Group of activities 1.6: The surveys are organised and carried out in the best possible conditions; data are collected and checked.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>o Carry out the main survey in HN and HCMC (select enumeration area, do listing and fill out questionnaires); enter data and perform immediate data checking</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Group of activities 1.7: Data are cleaned and entered/put together in an appropriate format; data list is generated for further analysis</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>o GSO transfers software and technology for data cleaning, poverty line calculation including through training and hands-on support on data cleaning/poverty line calculation techniques and skills to HN and HCMC Statistics Offices;</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>o Clean data and develop database/data tabulation by cities’ Statistics Offices with support and coaching/supervision of GSO experts;</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>o Prepare draft survey report and finalize raw data set to be ready for analysis</td>
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<tr>
<td>Group of activities 1.8: Survey results are widely disseminated and</td>
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<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Project objective, outputs, and key activities

<table>
<thead>
<tr>
<th>Measures for institutionalising the survey are put forward</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Prepare data dissemination policy/plan;</td>
</tr>
<tr>
<td>- Finalise survey report; launch and disseminate the report as well as tabulated and raw dataset in a dissemination workshop (preliminary results are outlined and key topics for research/analysis suggested)</td>
</tr>
<tr>
<td>- Conduct assessment of the survey to draw lessons and make recommendations for institutionalisation of the survey into the poverty monitoring systems of Ha Noi and HCMC, as well as to GSO in terms of better sampling of VHLSS to ensure the minimal missing of the poor and migrants.</td>
</tr>
</tbody>
</table>

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## Project Output 2:

**Policy research conducted, providing good quality analysis of new data generated by the survey, and research results widely debated and disseminated**

### Key groups of activities:

**Group of activities 2.1: Research topics are selected and a research plan is developed**

- Identify and develop partnerships with the international and national institutions involved in research;
- Develop a plan for research, including 4-5 detailed research topics (in addition to the poverty profile) using the new data generated by the survey (as well as some case studies, including Participatory Poverty Assessments) and related policy dialogues as well as plan for dissemination/publication of the research results/papers;
- Conduct policy research, draft research papers and organise a series of consultations on the draft papers;

**Group of activities 2.2: Quantitative findings concerning urban poverty in HN and HCMC are launched, indicating possible short and long term policy responses to urban poverty issues toward achieving VDGs/MDGs**

### Output targets (with baseline)

**Overall output target:**
Policy research is carried out and good quality publications are available to the public.

**Baseline:**
Research institutes cannot provide policy papers and research due to lack of good quality data and collaboration frameworks.

**Output target 2.a:**
Research topics are selected and a research plan is developed. (Q3-4/2009)

**Output target 2.b:**
Data are analysed; and good quality qualitative findings concerning urban poverty in HN and HCMC are launched, indicating possible short and long term policy responses to urban poverty issues toward achieving MDGs/VDGs. (Q1-2/2010)

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## Risks and assumptions

- Project supported consultants’ reports
- Project progress reports
- Mid-term evaluation of the project
- UN evaluation
- Surveys
<table>
<thead>
<tr>
<th>Project objective, outputs, and key activities</th>
<th>Output targets (with baseline)</th>
<th>Indicators (with baseline and target)</th>
<th>Method of verification</th>
<th>Risks and assumptions</th>
</tr>
</thead>
</table>
| o Organise a series of policy debates, seminars around the research paper findings and recommendations;  
o Publish and widely disseminate the papers, including through mass media and other policy advocacy activities. | Output target 2.c: Reports are widely disseminated to national and city government officials, members of city people-elected bodies, the Party cadres at both national and city levels as well as the general public (Q1- 2/2010) | | | |
| **Project Output 3:** | | | | |
| Policy responses developed based on the evidences and results of the survey, policy research and debates. | Overall output target: Recommendations on policy responses are formulated and put forward based on research and consultation results. | | | |
| **Key groups of activities:** | | | | |
| Group of activities 3.1: Policy debates and advocacy activities are organised around the research findings and recommendations, and then policy responses to urban poverty issues are identified for the two cities in the context of formulating the next 5-year socio-economic development plan 2011-2015 | | | | |
| o Organise a series of brainstorming and focused discussions on possible policy responses of the cities on issues identified by the research.  
o Provide initial technical assistance to the cities in developing concrete policy responses in dealing with urban poverty. | | | | |
| Group of activities 3.2: Further Technical Assistance needs of city governments to respond and deal with urban poverty are identified | | | | |
| o Identify and formulate possible future UNDP longer-term support to city governments in developing their own strategy/plan and policy responses in dealing with urban poverty issues including the context of formulating next 5-year socio-economic development plans of cities.  
o Identify and formulate possible future UNDP longer-term support to strengthening capacity of the city governments in implementing such strategy/plan | | | |
# ANNEX 2 – DETAILED PROJECT BUDGET\(^{16}\)

<table>
<thead>
<tr>
<th>Output and activity</th>
<th>Inputs to be financed by UNDP</th>
<th>2009</th>
<th>2010</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>HN-GSO</td>
<td>HCMC</td>
<td>HN</td>
<td>HCMC</td>
</tr>
<tr>
<td><strong>Project management budget</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 x Project Manager</td>
<td>$1,000/m @ 22 months</td>
<td>10,000</td>
<td>10,000</td>
<td>12,000</td>
</tr>
<tr>
<td>1 x Assistant (Hanoi)</td>
<td>$400/m @ 22 months</td>
<td>4,000</td>
<td>4,000</td>
<td>8,000</td>
</tr>
<tr>
<td>1 x Accountant (Hanoi)</td>
<td>$550/m @ 22 months</td>
<td>5,500</td>
<td>6,600</td>
<td>12,100</td>
</tr>
<tr>
<td>1 x Assistant cum Accountant (HCMC)</td>
<td>$700/m @ 22 months</td>
<td>7,000</td>
<td>7,000</td>
<td>8,400</td>
</tr>
<tr>
<td>2 x Interpreter</td>
<td>$700/m @ 22 months</td>
<td>7,000</td>
<td>7,000</td>
<td>8,400</td>
</tr>
<tr>
<td>UN Volunteer(^{17})</td>
<td>(no cost required)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Office equipment</strong></td>
<td>$15,000</td>
<td></td>
<td>7,500</td>
<td>7,500</td>
</tr>
<tr>
<td><strong>Office supplies and operations</strong></td>
<td>$1,100/m @ 22 months</td>
<td>6,000</td>
<td>5,100</td>
<td>7,200</td>
</tr>
<tr>
<td>(HN: $600/m, HCMC: $500/m)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Communications &amp; reporting</strong></td>
<td>$900/m @ 22 months</td>
<td>5,000</td>
<td>4,000</td>
<td>6,000</td>
</tr>
<tr>
<td>(HN: $500/m; HCMC: $400/m)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Auditing</strong></td>
<td>2 years</td>
<td>1,600</td>
<td>1,000</td>
<td>1,000</td>
</tr>
<tr>
<td><strong>Monitoring visits</strong></td>
<td>2 years</td>
<td>1,300</td>
<td>1,200</td>
<td>1,400</td>
</tr>
<tr>
<td><strong>Miscellaneous</strong></td>
<td>$400/m @ 22 months</td>
<td>2,000</td>
<td>2,000</td>
<td>2,400</td>
</tr>
<tr>
<td>(HN: $200/m; HCMC: $200/m)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Sub Total</strong></td>
<td>49,900</td>
<td>44,800</td>
<td>49,800</td>
<td>44,400</td>
</tr>
</tbody>
</table>

Output 1: New urban-poverty data generated, disaggregated by sex and age, and allowing for good quality analysis on the characteristics, scope, depth and composition of poverty situation in Ha Noi and Hochiminh City

Group of activities 1.1: The Project is initiated; project board and steering committee are established, project personnel recruited

1.1.1 Temporary project implementation agreement reached, detailed work plan until Survey Implementation developed and endorsed by the parties

Discussion and agreement with two cities’ People’s Committees, GSO, and research institutes

\(^{16}\) Budget for comment activities of two component projects will be shared equally between the two projects. For activities implemented by GSO, fund will be transferred directly to GSO.

\(^{17}\) UNDP will recruit a fully-funded UNV. This arrangement, if successful, would mean that the UNV could work for the project without costs, except project-related travel costs
<table>
<thead>
<tr>
<th>Output and activity</th>
<th>Inputs to be financed by UNDP</th>
<th>2009</th>
<th>2010</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.2 Establish a Project Steering Board consisting of leaders from two cities’ authority (e.g. People’s Committees), representatives from project owners (Hanoi and HCMC Statistics Offices) and co-implementing agencies (research institutes and GSO), as well as from UNDP to guide and supervise the survey, related research/studies, policy dialogues and advocacy activities;</td>
<td>Initial workshop for discussion and agreement with two cities’ People’s Committees, GSO, and research institutes</td>
<td>2,000</td>
<td>2,000</td>
<td>4,000</td>
</tr>
<tr>
<td>1.1.3 Recruit Project Personnel: PMs in HN and HCMC, Assistant in HN, Accountant in HN, Assistant cum Accountant in HCMC, Interpreters in HN and HCMC</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Subtotal 1.1</strong></td>
<td></td>
<td>2,000</td>
<td>2,000</td>
<td>4,000</td>
</tr>
<tr>
<td><strong>Group of Activities 1.2:</strong> Define survey objectives; design overall survey plan, including sampling techniques, methodologies and questionnaires; select survey option and prepare survey tools/resources for testing</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2.1 Develop ToR and recruit consultant team for survey design (preparation), test and survey tools finalisation (International Survey specialist, International Sampling specialist, National Sampling expert, National Survey expert)</td>
<td>International (and national) experts</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2.2 Develop sampling techniques and develop the survey sampling frame to ensure adequate representation of “missing” poor people and migrants. Detailed discussion of the options for sampling strategies and of the strategies to be employed, with supporting analysis and justification as well as a documentation of best international practices</td>
<td>International and national experts / subcontact</td>
<td>12,500</td>
<td>10,000</td>
<td>22,500</td>
</tr>
<tr>
<td>1.2.3 Design and discuss draft survey questionnaires and listing sheets with relevant stakeholders in Hanoi and Ho Chi Minh City</td>
<td>Subcontract/ International and national experts</td>
<td>12,000</td>
<td>11,000</td>
<td>23,000</td>
</tr>
<tr>
<td>1.2.4 Prepare preliminary plan for the survey tools testing, that includes budget, quality assurance standards and guidelines for training and recruit appropriate human resources (listers/enumerators, supervisors)</td>
<td>National Expert(s)</td>
<td>1,850</td>
<td></td>
<td>1,850</td>
</tr>
<tr>
<td>1.2.5 Translate / print finalised listing sheets for testing, questionnaires, guidelines, instructions and forward to HN and HCMC Statistics Offices</td>
<td>Miscellaneous</td>
<td>1,650</td>
<td></td>
<td>1,650</td>
</tr>
<tr>
<td><strong>Sub total 1.2</strong></td>
<td></td>
<td>28,000</td>
<td>21,000</td>
<td>49,000</td>
</tr>
<tr>
<td><strong>Group of activities 1.3 Sampling methods, population listing techniques and questionnaires are tested in HN and HCMC, lessons from the pilot are drawn and survey tools finalised</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.3.1 Recommend selection procedures / sampling of Enumeration Areas and test the complete listing of households and individual persons in the selected EAs in HN and HCMC</td>
<td>Facilitator(s) and facilities</td>
<td>6,800</td>
<td>6,800</td>
<td>13,600</td>
</tr>
<tr>
<td>Output and activity</td>
<td>Inputs to be financed by UNDP</td>
<td>2009</td>
<td>2010</td>
<td>Total</td>
</tr>
<tr>
<td>------------------------------------------------------------------------------------</td>
<td>-----------------------------------------------</td>
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</tr>
<tr>
<td>1.3.2 Prepare workshop for listers/enumerators and supervisors, and brief the recruited people</td>
<td>Facilitator(s) and facilities</td>
<td>4,000</td>
<td>3,000</td>
<td>7,000</td>
</tr>
<tr>
<td>1.3.3 Test population listing, sampling methodologies and survey questionnaire in selected Enumeration Areas in Hanoi and Ho Chi Minh City</td>
<td>Subcontract/ National expert</td>
<td>7,600</td>
<td>7,600</td>
<td>15,200</td>
</tr>
<tr>
<td></td>
<td><strong>Subtotal 1.3</strong></td>
<td>18,400</td>
<td>17,400</td>
<td>35,800</td>
</tr>
</tbody>
</table>

**Group of activities 1.4** Data is checked, cleaned, entered and analysed for the actual survey implementation. Experiences of the pilot are distributed.

| 1.4.1 Develop data entry programme, check, clean and enter data of pilot test       | Subcontract (GSO), National Experts           | 6,530| 3,530| 10,060|
| 1.4.2 Analyse data of pilot surveys, draw lessons for the main survey and disseminate in consultative workshop | Subcontract (GSO)/ National expert            | 2,400| 2,400| 4,800 |
| 1.4.3 Organize a consultative workshop with key policy makers from the two cities, and representatives from GSO and the two SOs to analyse the results of the pilot and finalise main research/survey hypotheses and plan for survey preparation and implementation | Facilitator(s) and facilities                 | 2,300| 2,300| 4,600 |
|                                                                                     | **Sub total 1.4**                             | 11,230| 8,230| 19,460|

**Group of Activities 1.5** Preparation activities for the main survey implementation

| 1.5.1 Finalise and print training manuals and guidelines on sampling strategies, listing and questionnaires, including finalisation (if necessary) and printing of EA maps | Subcontract/ National-International expert | 8,000| 8,000| 16,000|
| 1.5.2 Recruit and train listers/enumerators and supervisors in HN and HCMC         | National Experts, facilities                 | 6,000| 6,000| 12,000|
| 1.5.3 Finalise sampling strategy and field procedures, construct sampling frame that ensure adequate inclusion of unregistered poor people in the two cities | Subcontract/ National-International Experts | 14,000| 14,000| 28,000|
|                                                                                     | **Subtotal 1.5**                             | 28,000| 28,000| 56,000|

**Group of Activities 1.6** The surveys are organised and carried out in the best possible conditions; data are collected and checked

| 1.6.1 Carry out the main survey in HN and HCMC (select enumeration area, do listing and fill out questionnaires); enter data and perform immediate data checking | National-International Experts, Facilitator(s) and facilities, miscellaneous | 68,500| 68,500| 137,000|
|                                                                                     | **Subtotal 1.6**                             | 68,500| 68,500| 137,000|

**Group of Activities 1.7** Data are cleaned and enter/put together in an appropriate format, and data list is generated for further analysis

<p>| 1.7.1 GSO transfers software and technology for data cleaning, poverty line calculation including through training and hands-on support on data cleaning/poverty line calculation techniques and skills to HN and HCMC Statistics Offices; | Subcontract (GSO), Facilitator(s) and facilities, | 20,000| 6,000| 26,000|</p>
<table>
<thead>
<tr>
<th>Output and activity</th>
<th>Inputs to be financed by UNDP</th>
<th>2009</th>
<th>2010</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.7.2 Clean data (sampling errors, confidence intervals) and develop database/data</td>
<td>Subcontract (GSO), Facilitator(s) and facilities, National Expert</td>
<td>10,000</td>
<td>5,000</td>
<td>15,000</td>
</tr>
<tr>
<td>tabulation by cities’ Statistics Offices with support and coaching/supervision of</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>GSO experts (final weights for data files)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.7.3 Prepare draft survey report and finalize raw data set to be ready for analysis</td>
<td>National-International Experts</td>
<td>11,000</td>
<td>11,000</td>
<td>22,000</td>
</tr>
</tbody>
</table>

**Subtotal 1.7** 41,000 22,000 63,000

**Group of Activities 1.8** Survey results are widely disseminated and measures for institutionalizing the surveys are put forward

| 1.8.1 Prepare options for research topics based on the newly generated data and     | National-International Experts, Facilitator(s) and facilities                                 | 10,400 | 10,400 | 20,800 |
| prepare data dissemination policy/plan.                                           |                                                                                               |      |      |       |
| 1.8.2 Finalise survey report; launch and disseminate the report as well as tabulated | National-International Experts, Facilitator(s) and facilities                                 | 7,853 | 8,000 | 15,853 |
| and raw dataset in a dissemination workshop (preliminary results are outlined and  |                                                                                               |      |      |       |
| key topics for research/analysis suggested)                                       |                                                                                               |      |      |       |
| 1.8.3 Conduct assessment of the survey to draw lessons and make recommendations    | National-International Experts                                                                | 5,000 | 5,000 | 10,000 |
| for institutionalisation of the survey into the poverty monitoring systems of HN   |                                                                                               |      |      |       |
| and HCMC, as well as to GSO in terms of better sampling of VHLSS to ensure the     |                                                                                               |      |      |       |
| minimal missing of the poor and migrants                                           |                                                                                               |      |      |       |

**Subtotal 1.8** 23,253 23,400 46,653

**Sub total Output 1** 220,383 190,530 410,913

**Output 2: Policy research conducted, providing good quality analysis of new data generated by the survey, and research results widely debated and disseminated**

**Group of activities 2.1** Research topics are selected and a research plan is developed

| 2.1.1. Identify and develop partnerships with the international and national institutions involved in research | National experts, workshops                                                                 | 4,400 | 4,400 | 8,800 |
| 2.1.2. Identify main topic / one or more research hypotheses in close collaboration with policy makers and technicians |                                                                                               |      |      |       |
| 2.1.3. Develop a plan for research, including 4-5 detailed research topics (in addition to the poverty profile) using the new data generated by the survey (as well as some case studies, including Participatory Poverty Assessments) and related policy dialogues as well as plan for dissemination/publication of the research results/papers | National experts                                                                              | 3,500 | 3,500 | 7,000 |
| 2.1.4. Conduct policy research, draft research papers and organise a series of consultations on the draft papers | Subcontract                                                                                   | 15,000 | 15,000 | 44,000 |

**Sub total 2.1** 22,900 22,900 44,000 44,000 118,000 133,800
<table>
<thead>
<tr>
<th>Output and activity</th>
<th>Inputs to be financed by UNDP</th>
<th>2009</th>
<th>2010</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Group of activities 2.2</strong> Quantitative findings concerning urban poverty in HN and HCMC are launched, indicating possible short and long term policy responses to urban poverty issues toward achieving MDGs/VDGs.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2.1. Organise a series of policy debates, seminars around the research paper findings and recommendations</td>
<td>Workshop/seminar</td>
<td>15,587</td>
<td>15,500</td>
<td>31,087</td>
</tr>
<tr>
<td>2.2.2. Publish and widely disseminate the papers, including through mass media and other policy advocacy activities</td>
<td>Subcontract</td>
<td>11,750</td>
<td>11,750</td>
<td>23,500</td>
</tr>
<tr>
<td><strong>Sub total 2.2</strong></td>
<td></td>
<td>27,337</td>
<td>27,250</td>
<td>54,587</td>
</tr>
<tr>
<td><strong>Sub total Output 2</strong></td>
<td></td>
<td>22,900</td>
<td>22,900</td>
<td>71,337</td>
</tr>
<tr>
<td><strong>Output 3: Policy responses developed based on the evidences and results of the survey, policy research and debates</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Group of activities 3.1</strong> Policy debates and advocacy activities are organised around the research findings and recommendations and then policy responses to urban poverty issues are identified for the 2 cities in the context of formulating the next 5-year socio-economic development plan 2011-2015</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1.1. Organise a series of brainstorming and focused discussions on possible policy responses of the cities on issues identified by the research</td>
<td>Workshop/seminar</td>
<td>4,000</td>
<td>4,000</td>
<td>8,000</td>
</tr>
<tr>
<td>3.1.2. Provide initial technical assistance to the cities in developing concrete policy responses in dealing with urban poverty</td>
<td></td>
<td>15,000</td>
<td>15,000</td>
<td>30,000</td>
</tr>
<tr>
<td><strong>Sub total 3.1</strong></td>
<td></td>
<td>19,000</td>
<td>19,000</td>
<td>38,000</td>
</tr>
<tr>
<td><strong>Group of activities 3.2</strong> Further Technical Assistance needs of city governments to respond and deal with urban poverty are identified</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.2.1. Identify and formulate possible future UNDP longer-term support to city governments in developing their own strategy/plan and policy responses in dealing with urban poverty issues including the context of formulating next 5-year socio-economic development plans of cities</td>
<td></td>
<td>2,500</td>
<td>2,500</td>
<td>5,000</td>
</tr>
<tr>
<td>3.2.2. Identify and formulate possible future UNDP longer-term support to strengthening capacity of the city governments in implementing such strategy/plan</td>
<td></td>
<td>2,500</td>
<td>2,500</td>
<td>5,000</td>
</tr>
<tr>
<td><strong>Sub total 3.2</strong></td>
<td></td>
<td>5,000</td>
<td>5,000</td>
<td>10,000</td>
</tr>
<tr>
<td><strong>Sub total Output 3</strong></td>
<td></td>
<td>24,000</td>
<td>24,000</td>
<td>48,000</td>
</tr>
<tr>
<td><strong>TOTAL PROJECT PROGRAMMABLE BUDGET:</strong></td>
<td></td>
<td>293,183</td>
<td>258,230</td>
<td>836,200</td>
</tr>
<tr>
<td>- Regular resource of UNDP:</td>
<td></td>
<td>145,137</td>
<td>139,650</td>
<td>408,200</td>
</tr>
<tr>
<td>- One Plan Fund:</td>
<td></td>
<td></td>
<td></td>
<td>428,000</td>
</tr>
<tr>
<td>Output and activity</td>
<td>Inputs to be financed by UNDP</td>
<td>2009</td>
<td>2010</td>
<td>Total</td>
</tr>
<tr>
<td>------------------------------------------</td>
<td>-------------------------------</td>
<td>------</td>
<td>------</td>
<td>-------</td>
</tr>
<tr>
<td>- City Government’s contribution</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>GMS of One Plan Fund (7% off the top)</td>
<td></td>
<td></td>
<td></td>
<td>29,960</td>
</tr>
<tr>
<td>TOTAL PROJECT BUDGET (including GMS)</td>
<td></td>
<td></td>
<td></td>
<td>866,160</td>
</tr>
</tbody>
</table>

- Total programmable budget for Hanoi component project: $415,720
- Total programmable budget for HCMC component project: $397,880
- Budget for GSO: $22,600
Dear (name)

1. Reference is made to consultations between officials of our Organisation with respect to the association of your Organisation in the implementation of United Nations Development Programme (hereinafter referred to as “UNDP”) assistance to project [ID and title of the project] for which the [name of agency] is executing.

2. In accordance with the Project Document and with the following terms and conditions, we confirm our acceptance of the services to be provided by your Organisation towards the implementation of this project.

3. (Name of agency) (hereinafter referred to as the “Responsible Party”) shall, under the general supervision of and in close cooperation with the [name of agency] (hereinafter referred to as the “Implementing Partner”) assume responsibility for providing those services and facilities as described in annex I of this letter and in accordance with the terms of reference included therein, as well as in accordance with the overall project work plan prepared by the [UNDP Resident Representative (hereinafter referred to as the “Resident Representative”), or, if applicable, the Project Coordinator/Manager] in consultation with the personnel assigned by the Responsible Party to the project.

4. The Implementing Partner shall retain the overall responsibility for the implementation of UNDP assistance to the project through its delegation of authority to [the Resident Representative, or, if applicable, the Project Coordinator/Manager] who shall be the representative of the Implementing Partner and of the Responsible Party vis-à-vis the Government.

5. The personnel assigned by the Responsible Party to the project shall work under the general supervision of the [Resident Representative or, if applicable to the Project Coordinator/Manager], with the technical supervision of the Responsible Party. The personnel assigned by the Responsible Party to the project shall be responsible for submitting an annual work plan to the [Resident Representative or, if applicable to the Project Coordinator/Manager], for his/her approval. This work plan may be revised in consultation with the [Resident Representative or, if applicable to the Project Coordinator/Manager]. In addition, the personnel assigned by the Responsible Party to the project shall be responsible for reporting to the [Resident Representative or, if applicable to the Project Coordinator/Manager] on their activities under the project on a regular basis. These project personnel shall participate in all coordination meetings called by the [Resident Representative or, if applicable, the Project Coordinator/Manager].

6. In the event of a disagreement between the Project Coordinator/Manager and the project personnel of the Responsible Party, the matter under dispute shall be referred by the Resident Representative to the Executive Director of the Implementing Partner, who shall consult with the Responsible Party for the purpose of finding a
satisfactory solution, In the meantime, in order to ensure the smooth working of the project, the decisions of the Resident Representative shall prevail,

7. Upon your acceptance of this letter and pursuant to the project Budget of the Project Document and the work, the Implementing Partner shall reserve funds in the amounts set out in Annex II, subject to the following:

(a) Expenditures for personnel services as may he provided in Section I of Annex II are limited to salaries, allowances and other emoluments including the reimbursement of travel costs on appointment to the project and duty travel within the project country or region, The Implementing Partner has budgeted for the cost of such personnel on the basis of estimated actual costs, The Implementing Partner shall reimburse the Responsible Party for the provision of such services on the basis of actual costs for category I cost elements and, where applicable, the Responsible Party average cost for category II cost elements effective at the time of provision of such services, Adjustments in the stipulated months of services, referred to in Annex II, may be made in consultation between the Implementing Partner and the Responsible Party, if this is found to be in the best interest of the project and if such adjustments are in keeping with the provisions of the Project Document;

(b) Expenditures for subcontracting as may be provided in Section II of Annex II are limited to those incurred in accordance with this Manual;

(c) Expenditures for fellowships, or other training, as may be provided in Section III of Annex II, are limited to those incurred in accordance with the fellowships or other relevant regulations of this Manual, Within such total allocation, adjustments with respect to the training component may be made in consultation between the Responsible Party and the Implementing Partner, if this is found to be in the best interest of the project and if such adjustments are in keeping with the provisions of the Project Document;

(d) Expenditures for procurement of equipment as may be provided in Section IV of Annex II, are limited to those incurred in accordance with the regulations of this Manual;

(e) Within the budgetary limitations of the Project Document, the Implementing Partner shall be responsible for providing miscellaneous services such as secretarial assistance, postage and cable services and transportation, as may be required by the Responsible Party personnel in carrying out their assignment, However, expenditures for these services may be incurred directly by the Responsible Party within such amounts as may be specified in Section V of Annex II;

8. A statement of expenditure shall be submitted by the Responsible Party to the Implementing Partner in accordance with the form attached hereto as Annex III, The statement covering the period 1 January to 30 June shall be submitted by 15 July and shall include only months served by experts and consultants and disbursements made during that period, The statement covering the period 1 July to 1 December shall be submitted by 15 January and shall include all man-months served through 31 December and unliquidated obligations as at that date and may include an estimate in respect of December, if actual amounts cannot be determined by the time the report is submitted, The Implementing Partner shall arrange to have the Responsible Party reimbursed upon receipt of these statements, it being understood that charges for expenditures outside the limitations set out in Paragraph 7 above
shall not be accepted if prior authorization by the Implementing Partner has not been obtained. Reimbursement to the Responsible Party shall then be handled centrally by the Accounts Section of UNDP on the basis of statements of expenditure (Annex III) as approved by the Implementing Partner; the Responsible Party’s Operating Fund shall be credited and the Implementing Partner’s Operating Fund debited accordingly,

9. The Responsible Party shall recost and rephase the Schedule of Services and Facilities (Annex II) as necessary when submitting the statement of expenditure referred to in Paragraph 8. The Implementing Partner shall review and, if found acceptable, approve the revision submitted by the Responsible Party and adjust its records accordingly,

10. The Responsible Party shall include in its expenditure statement to the Implementing Partner covering the first six months of the year (Annex III) an estimate of its projected expenditure for the next six months and, in its expenditure statement covering the second half of the year, it shall include an estimate of its projected expenditures for the next twelve months,

11. The Responsible Party shall submit such reports as may reasonably be required by the Implementing Partner in connection with its obligations to submit reports to the Government and to UNDP,

12. The Responsible Party shall provide the Implementing Partner at the end of each calendar year with a statement listing all equipment purchased for the project. Such equipment shall be included by the Implementing Partner in its main inventory for the project,

13. The Responsible Party shall provide the Implementing Partner with curricula vitae and job descriptions of the personnel assigned to the project,

14. The Responsible Party shall be responsible for obtaining clearance of the personnel assigned to the project by the Implementing Partner,

15. Any changes to the Project Document which would affect the work being performed by the Responsible Party, described in Annex I shall be considered only after consultation with the Responsible Party,

16. Any amendments to these arrangements shall be effected by mutual agreement through an appropriate supplementary letter of agreement,

17. For any matters not specifically covered by this agreement, the appropriate provisions of the Project Document and amendments or adjustments thereto, and the appropriate provisions of the UNDP Financial Rules shall apply, mutatis mutandis,

18. All further correspondence regarding the implementation of this agreement, other than the signed letter of this agreement and amendments thereto, should be addressed to:

Title
Ref.: (Project ID and title)

If you are in agreement with the above, please sign and return to this office two copies of this letter. Your acceptance shall thereby constitute the basis for your Organization in the execution of the project.

Yours sincerely,

National Project Director

Agreed on behalf of the (Responsible Party)

_____________________________  _______________________________  ____________________
(Name)                        (Title)                         (Date)

Enclosures include the following:
- Terms of reference
- Other supporting documentation as appropriate
