

**MINISTRY OF AGRICULTURE AND RURAL DEVELOPMENT
DIRECTORATE OF WATER RESOURCES
DISASTER MANAGEMENT CENTER**

PROJECT DOCUMENT

**TECHNICAL ASSISTANCE PROJECT
SUPPORTED BY THE
UNITED NATIONS DEVELOPMENT PROGRAM**

**STRENGTHENING INSTITUTIONAL CAPACITY FOR DISASTER RISK MANAGEMENT IN VIETNAM,
INCLUDING CLIMATE CHANGE RELATED RISKS**

PHASE II

Implemented by the Disaster Management Center (DMC)

**Hanoi
*December 2012***

GENERAL INFORMATION ABOUT THE PROJECT

1. **Project title and code:** *Strengthening institutional capacity for disaster risk management in Viet Nam including climate change related risks (Phase II)*
2. **Name of the UN Agency supporting the project:** United Nations Development Program (UNDP)
3. **Name of the Line Agency – National Partner:** Ministry of Agriculture and Rural Development (MARD)
 Contact address: 2 Ngoc Ha Street, Ba Dinh District, Hanoi, Vietnam
 Phone/Fax number: 37335686/37336647
4. **Name of the Agency proposing the project:** Ministry of Agriculture and Rural Development (MARD)
5. **National Implementing Partner:** Directorate for Water Resources (WRD)/ Disaster Management Center (DMC)
 Contact address: Room 407, A9 building, 2 Ngoc Ha Street, Ba Dinh District, Hanoi
 Phone/Fax number: 37335686/37336647
6. **Name of the Co-Implementing Partner(s):**
Vietnam Red Cross Society (VNRC)
 Contact address: 82 Nguyen Du, Hai Ba Trung District, Hanoi
 Phone/Fax number: 3822 4030 – 3826 3703 / 3942 4285
Vietnam Women's Union (VWU)
 Contact address: 39 Hang Chuoi, Hai Ba Trung District, Hanoi
 Phone/Fax number: 3971 3436 / 3971 3143
Oxfam
 Contact address: 22 Le Dai Hanh, Hai Ba Trung District, Hanoi
 Phone/Fax number: 3945 4362 / 3945 4365
7. **Estimated Project duration:** 2012-2016
8. **Project location** (identify down to the district level, if applicable):
 - a) At national and sub-national levels
 - b) Two focus provinces
 - c) Five priority provinces
 - d) 15 selected communes in provinces selected
 - e) 20 of the most disaster prone provinces¹

See the list of the provinces in Annex VIII.
9. **Total project budget: 4,950,000 US\$, including:**

| | |
|-------------------------|---|
| a) Total grant ODA: | US\$4,700,000 USD |
| • Committed grant: | US\$3,200,000 USD |
| • To be mobilized: | US\$1,500,000 USD |
| b) Counterpart funding: | 5,267,000,000 VND (≈US\$250,000) |
| • In-cash: | 3,994,000,000 VND (≈US\$190,000) |
| • In-kind: | 1,273,000,000 VND (≈US\$60,000) |

See detailed estimate for counterpart funding in Annex VII.
10. **ODA provision modalities**

| | |
|--------------------------|---------------|
| a) Grant ODA: | US\$4,700,000 |
| b) Soft loan: | US\$0 |
| c) Mixed grant and loan: | US\$0 |

¹Based on historical data on disaster exposure and risk by the Central Committee for Flood and Storm Control (CCFSC)

United Nations Development Programme

Country: Viet Nam

PROJECT DOCUMENT

| | |
|---------------------------------------|---|
| Project Title: | Strengthening institutional capacity for disaster risk management in Viet Nam, including climate change related risks (Phase II) |
| Expected One Plan Outcome(s): | Outcome 1.3: By 2016, key national and sub-national agencies, in partnership with the private sector and communities, have established and monitor multi-sectoral strategies, mechanisms and resources to support implementation of relevant multilateral agreements and effectively address climate change adaptation, mitigation and disaster risk management |
| Expected One Plan Output(s): | Output 1.3.2: Resilience of at-risk and vulnerable groups to natural hazards is enhanced, and nationally relevant aspects of international agreements on disaster risk management are implemented |
| National Implementing Partner: | Disaster Management Centre (DMC), Directorate for Water Resources (WRD), Ministry of Agriculture and Rural Development (MARD) |

Brief Project Description

Viet Nam faces significant exposure to disasters. The country lost, on average, 1-1.5% of its GDP (based on PPP) over the last 20 years. Viet Nam ranks fifth globally in terms of overall material losses and mortality from climatic disasters (1990-2009).

The Government has promulgated a Decision on community-based disaster risk management (CBDRM) and has asked for UN assistance in the operationalization of this program. The UN has worked since the mid-1990s on disaster risk reduction and has developed distinct competencies in this area. Given the importance and need to strengthen capacity, the emphasis for the next period is now on support to the implementation of the Government's CBDRM strategy.

The UN, working in close partnership with MARD, INGOs and the Red Cross, is engaged with the development of implementation guidelines, an M&E framework, training materials and financial implementation modalities. These all benefit from unique support by the UN. The UN, in addition, has taken a lead in providing support to the Government with the drafting of a law on disaster risk management through activities implemented with MARD. The Government is working on a law on disaster risk management (with UN support) which will embed international commitments, such as the Hyogo Framework for Action and the ASEAN Agreement on Disaster Management and Emergency Response, to address the needs of those at risk.

Summary of the outputs envisaged in the AWP and key activities that will be implemented during the planning year to produce the planned output(s):

This Project will deliver three main outputs over the period 2012 to 2016:

- Enhanced national and sub-national institutional capacities of Central and Provincial Committees for Flood and Storm Control (CCFSC) members and main stakeholders to consolidate the disaster risk reduction (DRR) legislative, policy and strategic framework.
- Improved capacity of the DMC and CFSC members to effectively and efficiently plan, implement, monitor and evaluate the CBDRM programme, ensuring gender sensitivity and participation of vulnerable groups (e.g. migrants, particular ethnic minorities, etc.), in both rural and urban areas.
- Evidence based action research on DRR and CCA utilized to improve policy and strategy and plans developed and implemented at national, regional and international level.

Key results for 2012

This is a first Annual Workplan (AWP) for SCDM Phase II from October to December 2012 to prepare for the full project implementation. In the first three months, the Project aims to kick-off activity for full office operation, which includes the finalization of the Letter of Agreements with all three Co-implementing Partners and development of a full AWP for 2013.

During the period, the Project will support a revision of the five year plan for the national programme for community based disaster risk management through a consultation workshop and a meeting with relevant provinces and INGOs and donor communities.

| | | | |
|-----------------------------------|---|--------------------------------------|---------------|
| Programme Period: | 2012-2016 | 2012 AWP budget (AusAid): | US\$106,171 |
| Key Result Area (Strategic Plan): | Inclusive, Equitable and Sustainable Growth | | |
| Atlas Award ID: | _____ | Total resources required (2012-2016) | US\$4,950,000 |
| Start date: | 1 st October, 2012 | Total allocated resources: | US\$3,450,000 |
| End date : | 31 st December, 2016 | • AusAid | US\$2,900,000 |
| PAC Meeting Date | 4 Dec 2012 | • UNDP (TRAC) | US\$300,000 |
| Management Arrangements | NIM/HPPMG | • Government: | |
| | | ○ In-cash | US\$190,000 |
| | | ○ In-kind Contributions: | US\$60,000 |
| | | Unfunded budget: | US\$1,500,000 |

Agreed by (MARD): _____

Agreed by UNDP: _____

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I. ANNUAL WORK PLAN

Year: 2012 (1stOctober 2012 – 31st December 2012)
 Project Code & Title: 00083794 - *Strengthening institutional capacity for disaster risk management in Viet Nam, including climate change related disasters*
 Responsible Officer: Nguyen Huu Phuc, NPD
 National Implementing Partner: Disaster Management Centre, Ministry of Agriculture and Rural Development (MARD)
 Co-Implementing Partner: Viet Nam Red Cross, Viet Nam Women's Union, Oxfam

| EXPECTED OUTPUTS <i>and baseline, associated indicators and annual targets</i> | PLANNED ACTIVITIES <i>Activity results and associated actions</i> | TIMEFRAME | | | RESP. PARTY | PLANNED BUDGET | | |
|---|--|--|------|------|-------------|----------------|--------------------|--------------|
| | | Oct | Nov. | Dec. | | Funding source | Budget Description | Amount (USD) |
| <i>OP Output 1.3.2: Resilience of at-risk and vulnerable groups to natural hazards is enhanced, and nationally relevant aspects of international agreements on disaster risk management are implemented</i> | | | | | | | | |
| Project specific Output 1: Enhanced national and sub-national institutional capacities of Central and Provincial Committees for Flood and Storm Control (CCFSC) members and main stakeholders to consolidate the disaster risk reduction (DRR) legislative, policy and strategic framework | | Activity Result 1.4: Successful establishment and operation of a National Platform for Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA) | | | | | | 1,000 |
| Indicator: Number of people who participated in the Annual Forum 2012 Baseline: By mid-2011, the proposal for the National Platform for DRR and CCA was submitted to the Government Target: An Annual Forum for DRR and CCA | 1.4.2 | Co-facilitate with the GoV Annual Forums, multi-stakeholder workshops, policy dialogue and information sharing (including with the private sector), in line with an annual National Platform action plan | | | | | | |

| EXPECTED OUTPUTS <i>and baseline, associated indicators and annual targets</i> | PLANNED ACTIVITIES <i>Activity results and associated actions</i> | | TIMEFRAME | | | RESP. PARTY | PLANNED BUDGET | | |
|--|--|---|-----------|------|------|-------------|----------------|--------------------|---------------|
| | | | Oct | Nov. | Dec. | | Funding source | Budget Description | Amount (USD) |
| organized with multi-stakeholder engagement MoV: Annual Forum report. | 1.4.2.1 | Support to Annual International Day for Disaster Risk Reduction | X | | X | DMC | 30000 | Workshops | 1,000 |
| Project specific Output 2: Improved capacity of the DMC and CFSC members to effectively and efficiently plan, implement, monitor and evaluate the CBDRM programme, ensuring gender sensitivity and participation of vulnerable groups (e.g. migrants, particular ethnic minorities, etc.), in both rural and urban areas | | Activity Result 2.1: Capacity of the GoV Disaster Management Centre (DMC) enhanced to ensure coordinated and effective planning, management, implementation and M&E of the national CBDRM Programme | | | | | | | 15,000 |
| Indicator: Three comprehensive LoA signed between the NIP and each CIP at the national level Baseline: The Government approved the list of projects funded by UNDP Target: Three LoAs are signed between the CIP and NIP implementation facilitated by UNDP MoV: Signed LoA between each CIP and the NIP. | 2.1.2 | Development of comprehensive tripartite partnerships between the DMC (the NIP), with the three CIPs (Viet Nam Red Cross Society, the Viet Nam Women's Union and Oxfam) at the national level covering all project activities for the period 2012-2016 | X | X | X | | | | 0 |
| | 2.1.3 | Support the GoV in the implementation of the CBDRM programme at national and sub-national levels through "tailored" orientation and training (e.g. on the Implementation Guidelines, gender and DRR/CCA, Vulnerability Capacity Assessment, M&E, CBDRM in an urban setting, etc.) | | | X | | | | 0 |
| Indicator: Number of participants who participated in the workshop. Baseline: Directorate for Water Resources has | 2.1.3.1 | Workshop to review progress of CBDRM programme implementation to date and develop a detailed plan for | | | X | DMC | 30000 | Workshops | 15,000 |

| EXPECTED OUTPUTS <i>and baseline, associated indicators and annual targets</i> | PLANNED ACTIVITIES <i>Activity results and associated actions</i> | | TIMEFRAME | | | RESP. PARTY | PLANNED BUDGET | | |
|--|--|------------------------------------|-----------|------|------|----------------|----------------|---------------------|---------------------|
| | | | Oct | Nov. | Dec. | | Funding source | Budget Description | Amount (USD) |
| approved the plan for implementation of CBDRM programme in 2012. Target: Workshop organized with participants from selected provinces to provide contributions to the Progress Report and Detailed Implementation Plan for coming years, to the draft M&E framework and to the Guidelines for the management and use of state budget for CBDRM programme MoV: Workshop report; revised Progress Report, Detailed Implementation Plan draft M&E framework and Guidelines for the management and use of state budget | | implementation in the coming years | | | | | | | |
| Project Management costs | | | | | | | | | 83,225 |
| | | Project manager | | | X | DMC | 30000 | PMU staff | 1,554 |
| | | Accountant | | | X | DMC | 30000 | PMU staff | 893 |
| | | Secretary/Interpreter | | | X | DMC | 30000 | PMU staff | 778 |
| | | UNDP Technical Specialist | X | X | X | UNDP | 30000 | PMU staff | 80.000 ² |
| Total Operational costs | | | | | | | | | 99,225 |
| UNDP GMS 7% | | | X | X | X | UNDP | 30000 | Facilities & Admin. | 6,946 |
| | | TOTAL AWP 2012 | | | | | | | 106,17 |

² The budget is to cover the ITS contract in transition period and preparatory for new project from August to December 2012

| EXPECTED OUTPUTS <i>and baseline, associated indicators and annual targets</i> | PLANNED ACTIVITIES <i>Activity results and associated actions</i> | TIMEFRAME | | | RESP. PARTY | PLANNED BUDGET | | |
|---|--|-----------|------|------|----------------|----------------|--------------------|--------------|
| | | Oct | Nov. | Dec. | | Funding source | Budget Description | Amount (USD) |
| | | | | | | | | 1 |

II. MANAGEMENT AND IMPLEMENTATION ARRANGEMENTS

1. Organizational structure

The Disaster Management Center (DMC) is assigned as the National Implementing Partner (NIP), under the Directorate for Water Resources (WRD) of the Ministry of Agriculture and Rural Development (MARD).

The DMC, as the NIP, will be accountable to the Government of Viet Nam (GoV) and UNDP for ensuring the:

- Substantive quality of the Project;
- Effective use of allocated resources from both the GoV and UNDP;
- Timeliness of MARD support to the Co-Implementing Parties (CIPs); and
- Proper coordination among the responsible parties and among all project stakeholders.

The DMC will be responsible for the day to day management and implementation of Project activities and will oversee the implementation of activities by the CIPs.

The DMC will appraise the annual work plans (AWP) and the quarterly narrative and financial reports of the CIPs (the Viet Nam Red Cross Society, VNRC, the Viet Nam Women's Union, VWU and Oxfam) before forwarding these plans and reports for approval by MARD and UNDP.

Co-Implementing Parties (CIP)

The Co-Implementing Parties - CIPS - are the Viet Nam Red Cross Society (VNRC), the Viet Nam Women's Union (VWU) and Oxfam. The DMC will delegate the implementation of a number of activities to these CIPs in accordance with the Annual and Quarterly Workplans and as agreed in the bilateral Letter of Agreement (LoA) signed between the NIP and each of the CIPs before Project inception (See Annex IV).

The CIPs are responsible for the implementation of the Project activities as described in the Annual and Quarterly Workplans according to agreements with NIP based on their identical strengths and experience. In addition, the CIPs are responsible for ensuring that the implementation of the Project activities contributes to the achievement of the Outcomes and Objectives in a coordinated, efficient and coherent manner with the other parties, per roles in the implementation as outlined in the Annual and Quarterly Workplans.

The DMC and UNDP are responsible for ensuring that all activities are coordinated efficiently and lead towards the achievements of the overall SCDM Project Annual and Quarterly Workplans Activity Results and Outputs.

The Viet Nam Red Cross Society

The VNRC is a member of the International Red Cross and Red Crescent Movement and is one of the leading humanitarian organizations in Viet Nam. The national society has chapter offices in all cities in the provinces and representatives in all districts and in most communes and wards.

The VNRC has more than 60 years' experience in disaster response and built up extensive experience in DRR and particularly in community based approaches. Since 1998, the national society has developed a national network of 18 'master trainers' and 120 provincially based trainers, trained in DRR and training methodologies. These trainers have delivered training on DRR to the VNRC, INGOs and to Committee for Flood and Storm Control (C/CFSC) members at national and provincial levels. Recently

this network has been trained further by Participating National Red Cross Societies (PNS) on CBDRM and in conducting vulnerability and capacity assessment (VCA).

The VNRC and the MARD recently agreed a Memorandum of Understanding (December 2011) stipulating collaboration modalities for the CBDRM programme on training, IEC materials, utilization of human and other resources, M&E, VCA and others. The Project will help to facilitate the implementation of this Memorandum of Understanding.

The VNRC, with its nationwide infrastructure and volunteer base, could also play a more prominent role in needs assessment (utilizing the improved DANA system), enhancing humanitarian response and early recovery actions.

The Viet Nam Women's Union

The VWU has a network at all four administration levels, with a membership of an estimated 13million women. It is the foremost national women's organization in the country and advocates for gender equality and gender mainstreaming, having wide experience in this area.

Gender equality and mainstreaming are crucial at all levels and the role of women in decision taking needs to be enhanced. The knowledge and skills to promote gender equality and mainstreaming in DRR and CCA is still limited among most C/CFSC members, including amongst the VNRC provincial and district staff, and amongst women in senior positions. By strengthening and mobilizing the knowledge and skills that the VWU has the understanding and practice of gender equality of C/CFSC and VNRC staff will be increased.

Both the VNRC and VWU are members of the umbrella organization, the Fatherland Front. Both have established partnerships with the DMC. Similarly to VNRC, MARD is currently drafting a Memorandum of Understanding with the VWU. The VWU also has a long established relationship with Oxfam and with various UN agencies.

Oxfam

Oxfam has been present in the country since 1989 and is considered to be one of the leading development and relief agencies. It has significant experience in disaster response operations and has provided substantial support on DRR in selected provinces, including with AusAID support under several phases of Viet Nam-Australia NGO Cooperation Agreements³ from 2006 to 2012.

The organization has built-up extensive experience in CBDRM and in conducting VCA in communes, using an innovative approach that promotes the inclusion of vulnerable households and gender equality. Oxfam has established experience in mainstreaming DRR into the Socio-Economic Development Plans (SEDP) at sub-national levels.

Oxfam staff has knowledge and skills on the application of the international Sphere standards – as one of the original global sponsors of the Sphere Project, and is a full member of HAP. Through its network, Oxfam has access to international experience and relevant training materials, toolkits, manuals and IEC materials.

Oxfam has a well-established relationship with the DMC and the VWU and is actively engaged in the work of the national CBDRM TWG.

³ Oxfam was supported under VANGOCA from 2006-2010 (Dong Thap and Tien Giang) and Phase II from 2010-2012 (a regional and national programme)

2. Management and implementation arrangements

Project implementation structure

The Project will utilize and develop further the existing Project Steering Committee (PSC) and the PMU of the SCDM Project Phase I, which will be extended until the end of 2016.

See Project implementation structure in Annex II.

Project Steering Committee

The Project Steering Committee (PSC) is formed of managers from MARD and its relevant departments, such as the DMC, DDMFSC, the International Cooperation Department and the UNDP. Representatives of the CSFC from some selected provinces will also be part of the PSC.

The established PSC will be strengthened further by presence, as observers, of the Secretary General (or the Director of the Disaster Management Department of the VNRC); the President (or Vice-President) or the Director of the Administration Department of the VWU; the Country Representative of Oxfam and a representative from the major donor (AusAID). The MARD representative will be the chairperson of the PSC.

The PSC meets once a year and makes decisions and provides guidance for the implementation of Project activities, including approval of the AWP and project budget revisions. In case of disagreement, the MARD appointed National Project Director (NPD) and UNDP can call for a meeting with the relevant parties.

Project Management Unit

MARD will assign a senior official at Department Director level to be the NPD. The NPD is accountable to MARD for the use of SCDM Project resources and to deliver the Project Outcomes. Specifically the NPD will be responsible for the overall management and implementation of the Project activities. The NPD will delegate certain responsibilities to a Project Coordinator as required for day-to-day management and coordination with GoV activities related to Project interventions. The Project Director will supervise a PMU, which will be composed of a:

- Project Manager: responsible for day-to-day management of the Project resources
- National Technical Specialist – provides technical advice and support to the NIP and CIPs on aspects of the GoV DRM programme
- Project Officer – mainly responsible for coordination of the activities delegated to the CIPs in support to the GoV DRM programme
- Project Accountant: financial management and accounting.
- Office Secretary/Interpreter: administrative, organisational and translation support.

In addition, a UNDP Technical Specialist and an International Facilitator (UNV) will also be based in the PMU office and work with PMU on a daily basis to provide timely and regular technical support to the DMC, PMU and to CIP staff in the implementation of Project activities and provide quality control over the Project results.

The PMU will be hosted by the DMC in MARD and undertake the following roles and responsibilities:

- Prepare Annual and Quarterly Workplans and reports for the DMC on activities
- Finalise the bilateral LoAs between MARD, the VNRC, VWU and Oxfam for Project implementation

- Support the PSC and translate their guidance into day-to-day Project coordination and management
- Provide technical support to MARD, the provincial authorities, the VNRC, the VWU and Oxfam for implementation of Project activities
- Provide technical support to the VNRC, the VWU and Oxfam on the financial management, reporting and M&E requirements of the Project
- Appraise and approve the AWP and Quarterly Work Plans (QWP), narrative and financial reports of the VNRC, the VWU and Oxfam
- Organize regular coordination meetings among the four Project parties
- Monitor the project progress of the VNRC, the VWU and Oxfam.

See ToRs for main personnel in Annex III.

Implementation strategy

The Project will achieve the objective through the following strategic interventions:

- Creating innovative partnerships between the DMC and the VNRC, the VWU and Oxfam, building on the partners' strengths and comparative advantages, enhancing their capacities in line with their respective mandates and where possible creating synergies;
- Linking national and sub-national level disaster risk management actions through a demonstrated CBDRM implementation, improvement of humanitarian response and early recovery through capacity building;
- Evidence-based risk informed policy process through applied research and multi-stakeholder policy dialogue; and
- Focus on gender equality and mainstreaming and cultural appropriate programming.

Good practices will be captured to ensure replication and sustainability. Coherent technical support will be provided to the DMC and CFSC to enhance the quality of policy dialogue by relevant multi-level stakeholders under the National Platform.

3. The working relationships between the parties concerned

Coordination mechanisms

UNDP will work with the DMC (as the NIP) and the Department of Dyke Management and Flood and Storm Control (DDMFSC) under the DWR as well as Department for Science, Technology and Environment and other departments of MARD.

UNDP will build on its existing partnerships with the two MassOrganisations - the VNRC and the VWU - and with Oxfam (which has a well-established relationship with AusAID, the DMC and UNDP) to help build the capacity of the DMC and of the C/CFSC at national and provincial level. In addition, UNDP will work on certain Actions with other UN agencies, notably IOM, UNWOMEN, UNICEF and UNHabitat.

The Project will closely coordinate with other programs/projects being carried out on disaster risk management (DRM), notably by the World Bank, and supported by AusAID, New Zealand Aid and the European Commission. to enhance efficiency, save resources and avoid duplication of activities.

Primary partnerships

The DMC, DDMFSC, other departments within the DWR and other Directorates in MARD at the national level and provincial departments in selected provinces; the National Assembly; regular non-Government partners of UNDP (particularly aiming to bridge tripartite partnerships of the Government with Mass Organizations, e.g. the VNRC and VWU Oxfam and other I/NGOs) with the established, informal non-government networks of the Disaster Management and Climate Change Working Groups

Collaboration

Provincial People's Committees and other CFSC members, notably the Ministry of Natural Resources and Environment (MoNRE) for the establishment and development of a National Platform, including the Mass Organizations (VNRC and VWU); I/NGOs; specific research/academic institutions. Stronger collaboration will be forged with UNDP regional/global Bureau for Crisis Prevention and Recovery, UNISDR and other UNDP offices in the region.

Coordinators of Co-implementing Parties

The VNRC, the VWU and Oxfam will each assign from their staff, or externally appoint, a full time national Project Coordinator (PC), responsible for implementation of the Project. In the VNRC, the Project Coordinator will report directly to the Director of the Disaster Management Department. In the VWU the Project Coordinator will report directly to the Department of General Administration and in Oxfam, to the Country Representative.

The VNRC, the VWU and Oxfam will each appoint a part-time Accountant, in their respective financial departments, who will be responsible for the financial management of the Project in accordance with the Viet Nam United Nations Harmonized Programme and Project Management Guidelines (HPPMG).

UNDP roles and responsibilities in Project Implementation

Monitoring and managing project

Upon the designation of the UNDP Country Director, the UNDP Programme Officer for DRM will act as a focal point of the UNDP Country Office in assuring the implementation of Project activities in accordance with UNDP programme management rules and regulations and in compliance with the SCDM RRF, the Project documents, the AWP and the HPPMG.

The UNDP Programme Officer will help to maintain the partnership with MARD, the NIP and the CIPs in the Project. In liaison with the DMC and PMU, the UNDP Programme Officer will ensure regular quality assurance; participate in all PSC meetings, work/budget planning meetings; provide clearance of Project related ToRs and reports and support other activities as deemed necessary.

The UNDP Programme Officer will appraise and clear the AWP, QWP and progress reports developed by the PMU with the CIP, prior to approval by the UNDP Head of Sustainable Development Cluster/Assistant Country Director and finally the Country Director.

Technical assistance

Overall technical assistance to the Project will be provided by a UNDP international Technical Specialist for DRR/CCA who will be based in the PMU. The Technical Specialist will provide technical advice and support to MARD/DMC and the for the three CIP and will ensure that relevant Government policy making processes benefit from UNDP's global, regional and national expertise.

The Technical Specialist will provide regular recommendations to the DMC of the linkages and synergies with other DRR/CCA actors, development projects and opportunities for collaboration, e.g. in capacity development, at national, regional and global levels.

The Technical Specialist will also encourage regular contact, information exchange and collaboration with other UNDP projects.

A National Technical Specialist will support the NPD and the ITS in the provision of TA to the NIP and the CIPs in the implementation of the Project activities and for the GoV DRM programme.

In addition, an international facilitator, also based in the PMU, will provide technical and administrative support to the UNDP Programme Officer and Technical Specialist for the implementation of all Project activities.

In addition, a significant proportion of the TA will be geared towards support of evidence based research that will be conducted by local and internationally recruited consultancy teams. Recommendations from such research will ultimately help inform DRM policies.

The VNRC will utilize the International Federation of Red Cross and Red Crescent Societies (IFRC) in coordinating Participating National Society (PNS)⁴ involvement in the Project actions as required.

Collaboration with other organizations

The Project has been planned in consultation with the IFRC and selected PNS and collaboration will continue to ensure coherence and synergy.

Other stakeholders working in DRR/CCA, such as the Disaster Management and Climate Change Working Groups core group members, active donors in DRR (e.g. AusAid, The World Bank, USAID, ADB, JICA, EU, New Zealand, etc.) and UN agencies, e.g. IOM, FAO, UNICEF, UNWOMEN, UNESCO, will be invited to consultation meetings, regular coordination workshops and policy dialogue events. Once established, the National Platform for DRR and CCA will be the main mechanism for coordination and information exchange among all relevant stakeholders.

4. The main mechanisms to develop and implement project work plans and manage its financial resources

The DMC, through the PMU, will maintain overall accountability for the proper financial management of the resources that are directly managed by DMC and the resources delegated to the three CIP. The DMC, with support from the PMU, will be responsible for consolidating the financial reports submitted to it from the CIPs (as regulated by the LoAs and the HPPMG) and reports to the UNDP on the use of Project resources. The CIPs will forward their financial reports in a timely manner to the PMU with a copy to UNDP according to the LoAs.

The PMU will be responsible for ensuring that an annual audit of the Project is carried out in line with the guidance from UNDP for the resources made available to them and for the resources delegated to each CIP.

UNDP will be responsible for transferring Project funds for the DMC inputs directly to the DMC via the Project account according to HPPMG guidelines.

UNDP will transfer Project funds for the VNRC, the VWU and Oxfam directly to the respective accounts of these CIPs, following their LoA terms and upon approval of Annual and Quarterly Workplans agreed with the DMC, the PMU and UNDP.

⁴Which have provided technical and financial support to VNRC in the area of DRM over a long period and will play a significant role in 'backstopping' the VNRC in all Project related activities, particularly on VCA and PDRT training.

5. Project financial management and procurement regulations

The Project implementation complies with regulations stipulated in the Viet Nam - United Nations Harmonised Programme and Project Management Guidelines(HPPMG) and the current regulations on ODA project management.

Cost norms

- Policies, standards and cost norms are applied in accordance with the HPPMG
- The counterpart fund will be executed under the cost norm regulations stated at the Circular No. 219/2009/TT-BTC, dated 19/11/2009 of the MoF.

III. MONITORING, OVERSEEING, EVALUATION AND REPORTING REQUIREMENTS

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.
- An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted (See Annex I) a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, a Project Progress Reports (PPR) shall be submitted by the Project Manager to the Project Board through Project Assurance, using the standard report format available in the UNDP Executive Snapshot.
- A project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- A Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events

Annually

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

Project monitoring and evaluation (M&E) will be undertaken by the DMC (as the NIP), by the three CIPs with UNDP TA and independently recruited international and national consultants as needed by the

donors (e.g. AusAid). A comprehensive M&E framework for the Project, based upon a draft M&E framework, will be developed further from Project inception.

At the start of the Project, an institutional capacity assessment of the C/CFSC at national level and in selected Project provinces will be carried out utilizing the established regional UNDP Capacity Assessment Methodology and through a number of field visits. Other important hazard and socio-economic baseline data will be collected from the CBDRM Risk Assessment, carried out under UNDP support, and secondary data sources. The results of the assessments will be discussed extensively with the NIP and the CIPs and shared with other partners. For CBDRM related activities in a selected number of at-risk communes, a VCA process will produce significant baseline data.

Regular implementation reports will be prepared by the CIPs and submitted to the NIP who will compile and submit through the PMU to UNDP. A reporting format from the HPPMG will be used from the start of the Project (including sex disaggregated data and reporting on cross-cutting issues - gender, culturally appropriate programming, vulnerable groups, etc. and on criteria of relevance, efficiency, effectiveness, impact and sustainability). An anticipated reporting schedule will be in the form of bi-annual reports (according to an agreed timeframe and format requirements); a Mid-Term External Review (at the end of 2014); and a Final Independent Evaluation (at the end of 2016). Reports will be discussed extensively during frequent PMU meetings, coordination meetings with the CIPs and the annual PSC meetings.

At the start of the Project, a number of orientation sessions on M&E will be organised for PMU staff, NIP and CIP staff responsible for M&E. Besides the UNDP TA, the dedicated Project Officer - DRM in the PMU will provide day-to-day technical support and guidance on M&E if required.

M&E at the sub-national level will be carried out by the NIP and CIPs, in coordination with the CBDRM TWG under the Provincial CFSC. Through the regular reporting, the results will feed back into the national M&E process.

Lessons learnt and recommendations derived through the implementation of Project activities in the selected provinces will allow for modification and continual improvement of output activities and project methodologies. This will then be further developed and documented in clear recommendations for replication in other provinces.

Other development partners will be informed about the Project results, good practice and lessons learnt through the CBDRM TWG, DMWG, and the UN inter-agency coordination mechanism, under the National Platform.

Sustainability will be ensured through extensive documentation, regular information and lessons learnt sharing with other development partners, utilization of existing coordination mechanisms, including the CBDRM TWG and the DMWG, maximum use of GoV human resources, capacities, systems and procedures and a large focus on capacity building on program implementation, M&E, training, etc.

The role of the UNDP Technical Specialist will ensure that Project results are fed into high-level evidence-based policy development and dialogue in the DRM/CCA and other sectors.

A 'sustainability checklist' will be developed and agreed upon at the start of the Project for the NIP and CIPs to utilize during activity implementation.

The planned Mid-Term External Review and Final Independent Evaluation will assess the Project against internationally recognized evaluation criteria of relevance, efficiency, effectiveness, impact and sustainability. Furthermore, the Project will be assessed on issues of gender mainstreaming, inclusiveness, culturally appropriate programming and addressing issues of vulnerable groups. The

results of the mid-term external review will allow for necessary adjustments to be made to the Project activities and implementation modalities through agreement of the NIP and all partners.

A separate budget allocation of 4% for M&E has been included in the Project budget.

Quality Management for Project Activity Results

| | | |
|--|--|---|
| OUTPUT 1: Enhanced national and sub-national institutional capacities of Central and Provincial Committees for Flood and Storm Control (CCFSC) members and main stakeholders to consolidate the disaster risk reduction (DRR) legislative, policy and strategic framework | | |
| Activity Result 1.1 (Atlas Activity ID) | Institutional development and capacity building of the CCFSC | Start Date: October 2012 End Date: December 2012 |
| Purpose | To expand the technical knowledge and capacity of GoV officials and agencies mainly responsible for DRM, on DRR and CCA at national and sub-national levels | |
| Description | Comprehensive capacity assessment of the C/CFSC at the national level and in a number of selected provinces (also serving as a baseline for further monitoring and evaluation) | |
| Quality Criteria | Quality Method | Date of Assessment |
| Rate of technical and functional capacity improvement in all components of DRM of the CCFSC and CFSC in selected high-risk provinces as compared to the baseline. (<i>'Capacity improvement' according to the indicators identified in the CFSC capacity assessment undertaken at the start of the project.</i>) | Final capacity assessment report conducted in second half of 2012 compared to initial capacity assessment conducted at the start of the project. | July 2012 and November 2012 |
| Number of capacity assessment report | Recruitment documentation and Annual Progress Report | January 2013 |
| Number of hard copies of additional modules of the <i>Guidelines on Emergency Response and Early Recovery</i> | Annual Progress Report | January 2013 |
| Activity Result 1.3 (Atlas Activity ID) | Enhanced capacity of the National Assembly to finalize formulation and promulgation of the Disaster Risk Management Law. | Start Date: October 2012 End Date: December 2012 |
| Purpose | Provide support to enhance capacity of National Assembly's Committee of Science, Technology and Environment (CSTE) and GoV Drafting/Editorial Committee(s) to finalize effectively the formulation and promulgation of the Disaster Risk Management Law and accompanying Decrees | |
| Description | Support the completion of the next draft of the DRM Law and the initial drafting of the supporting Decrees for the DRM Law Provide technical assistance on DRR and CCA to National Assembly members in the process of verification and development of the DRM Law | |
| Quality Criteria | Quality Method | Date of Assessment |
| Level of progress made towards the promulgation of a Disaster Risk Management (DRM) Law with its accompanying Decrees | Revised draft of the DRM Law and supporting Decrees | January 2013 |
| Activity Result 1.4 (Atlas Activity ID) | Successful establishment and operation of a National Platform for Disaster Risk Reduction and Climate Change Adaptation. | Start Date: October 2012 End Date: December 2012 |
| Purpose | Initial establishment of a National Platform for Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA) under the auspices of the National Climate Change Committee | |
| Description | Support an Annual Forum organized under the National Platform for DRR and CCA | |

| Quality Criteria | Quality Method | Date of Assessment |
|---|--|---|
| Number of participants participating the forum MARD and MoNRE co-chair the Annual Forum | Establishment of the National Platform for DRR and CCA under the auspices of the National Climate Change Committee, officially approved Minutes of Annual Forum | December 2013 |
| OUTPUT 2: Improved capacity of the DMC and CFSC members to effectively and efficiently plan, implement, monitor and evaluate the CBDRM programme, ensuring gender sensitivity and participation of vulnerable groups (e.g. migrants, particular ethnic minorities, etc.), in both rural and urban areas. | | |
| Activity Result 2.1 (Atlas Activity ID) | Coordinated and effective Implementation of the CBDRM Programme by the Disaster Management Centre. | Start Date: October 2012 End Date: December 2012 |
| Purpose | Capacity of the GoV Disaster Management Centre (DMC) enhanced to ensure coordinated and effective planning, management, implementation and M&E of the national CBDRM Programme | |
| Description | Develop tripartite partnerships between the DMC (as NIP), with the Viet Nam Red Cross Society, the Viet Nam Women's Union and Oxfam (CIPs) | |
| Quality Criteria | Quality Method | Date of Assessment |
| Signed LoA Agreed common project cost norms | Signed LoAs Common project cost norms | October 2013 |

IV. LEGAL CONTEXT

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

Consistent with the Article III of the SBAA, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner.

The implementing partner shall:

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

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

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

V. OBJECTIVES AND MAJOR INDICATORS

1. Long-term objectives and main success indicators

Intended Outcome as stated in the Country Programme Results and Resource Framework

Outcome 1.3: By 2016, key national and sub-national agencies, in partnership with the private sector and communities, have established and monitor multi-sectoral strategies, mechanisms and resources to support implementation of relevant multilateral agreements and effectively address climate change adaptation, mitigation and disaster risk management

Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:

OP3 Outcome 1.3 indicators

- **Indicator 1:** CO₂ emissions, total, per capita and per \$1 GDP (PPP)
Baseline (2008/2010): 113.1 million CO₂e/year (2010); 1.4 MT CO₂e/capita (2010); 0.5732 kg/USD (PPP) (2008)⁵
Target (2016): Based on low carbon development strategy and MDG 7, at least GHG is stabilized
Mov: MoNRE GHG emission registry report/GSO economic data (MPI)
- **Indicator 2:** Percentage of GDP loss due to weather-related disasters
Baseline (1989-2008): Between 1989 and 2008, the CCFSC reported total natural disaster losses in Viet Nam of VND 91 trillion (USD 6.4 billion) in nominal terms or an annual average of VND 4.547 billion (USD 332 million), equivalent to 1% of GDP. The estimated damage of natural disasters was much higher in the final 3 years of the analysis, peaking at VND 18.6 trillion (USD 1.2 billion)⁶ in 2006
Target (2016): over the period 2010-2015 the reported total damage level as % of GDP to decline to 0.8%
Mov: CCFSC data processed using the same methodology as the World Bank report

Applicable Key Result Area:

From the One Plan 3 (2012-2016): Focus Areas 1. Inclusive, Equitable and Sustainable Growth

From UNDP Global Focus Area: c). Crisis Prevention and Recovery and d). Environmental sustainability development

2. Immediate objectives

Objectives: By the end of 2016, the Standing Office of the Central Committee for Flood and Storm Control (CCFSC), provincial Committees for Flood and Storm Control and partners in selected provinces, would have enhanced capacities for disaster risk management, specifically to undertake improved humanitarian response and utilise a range of early recovery options, that address weather related disasters in the context of a changing climate.

⁵2012-2016 One Plan Results Matrix – Focus Area 1: Inclusive, Equitable and Sustainable Growth

⁶ World Bank/GF-DRR, 2010. Weathering the Storm: Options for Disaster Risk Financing in Viet Nam. Washington: World Bank

3. Outputs

Project specific Output 1: Enhanced national and sub-national institutional capacities of Central and Provincial Committees for Flood and Storm Control (CCFSC) members and main stakeholders to consolidate the disaster risk reduction (DRR) legislative, policy and strategic framework.

Project specific Output 2: Improved capacity of the DMC and CFSC members to effectively and efficiently plan, implement, monitor and evaluate the CBDRM programme, ensuring gender sensitivity and participation of vulnerable groups (e.g. migrants, particular ethnic minorities, etc.), in both rural and urban areas.

Project specific Output 3: Evidence based action research on DRR and CCA utilized to improve policy and strategy and plans developed and implemented at national, regional and international level.

VI. PRELIMINARY ANALYSIS OF PROJECT FEASIBILITY

1. Finance

For years, UNDP has been working closely with the GoV, local communities and international partners to help prepare and respond to disasters, as well as bridge the gap between emergency relief and long-term development. UNDP is committed to continue supporting the Government for DRM.

UNDP has just completed support to the first phase offunding for the SCDM Project, which was considered as being effective as mentioned above. UNDP has supported the preparation of the next phase of the Project by mobilizing funding as well as development of the Project proposal.

AusAID has already committed the equivalent of AS\$2,800,000 (approximately US\$2,900,000) towards the overall cost of the proposed project. In addition, (although not confirmed at the time of development of this Project Document) the Japan-UNDP Partnership Fund is considering an allocation of approximately US\$300, 000 to cover certain of the activities.

Remaining finances will likely come from the One Plan Fund of the UN system in Viet Nam and also be drawn from UNDP internal funding sources (both yet tbc). There is reasonable level of confidence that these funding sources will provide additional financial support to meet the aspirations of the Project.

The Government is implementing the National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020 and the program of Community Awareness Raising And Community-Based Disaster Risk Management. Line ministries are assigned to arrange, allocate and mobilize resources to implement activities under these. Therefore, the contribution of the Government will be certainly feasible for this Project.

2. Capacity to implement

MARD has implementing the first phase of the SCDM Project over the past three years. This is not the first project implemented by MARD with UNDP. Several projects on DRM and other fields have been implemented over more than a decade and almost all outcomes have been achieved as expected.

Experience in project management and international technical support will help to ensure the success of the proposed Project.

ANNEXES

| | |
|-------------------|---|
| ANNEX I | RISK ANALYSIS |
| ANNEX II | PROJECT IMPLEMENTATION STRUCTURE |
| ANNEX III | TORS FOR MAIN PERSONNEL |
| ANNEX IV | DRAFT LETTERS OF AGREEMENT |
| ANNEX V | MONITORING AND EVALUATION FRAMEWORK |
| ANNEX VI | CAPACITY ASSESSMENT |
| ANNEX VII | ODA FINANCING AND GOVERNMENT CONTRIBUTION |
| ANNEX VIII | LIST OF PROPOSED PROJECT PROVINCES |

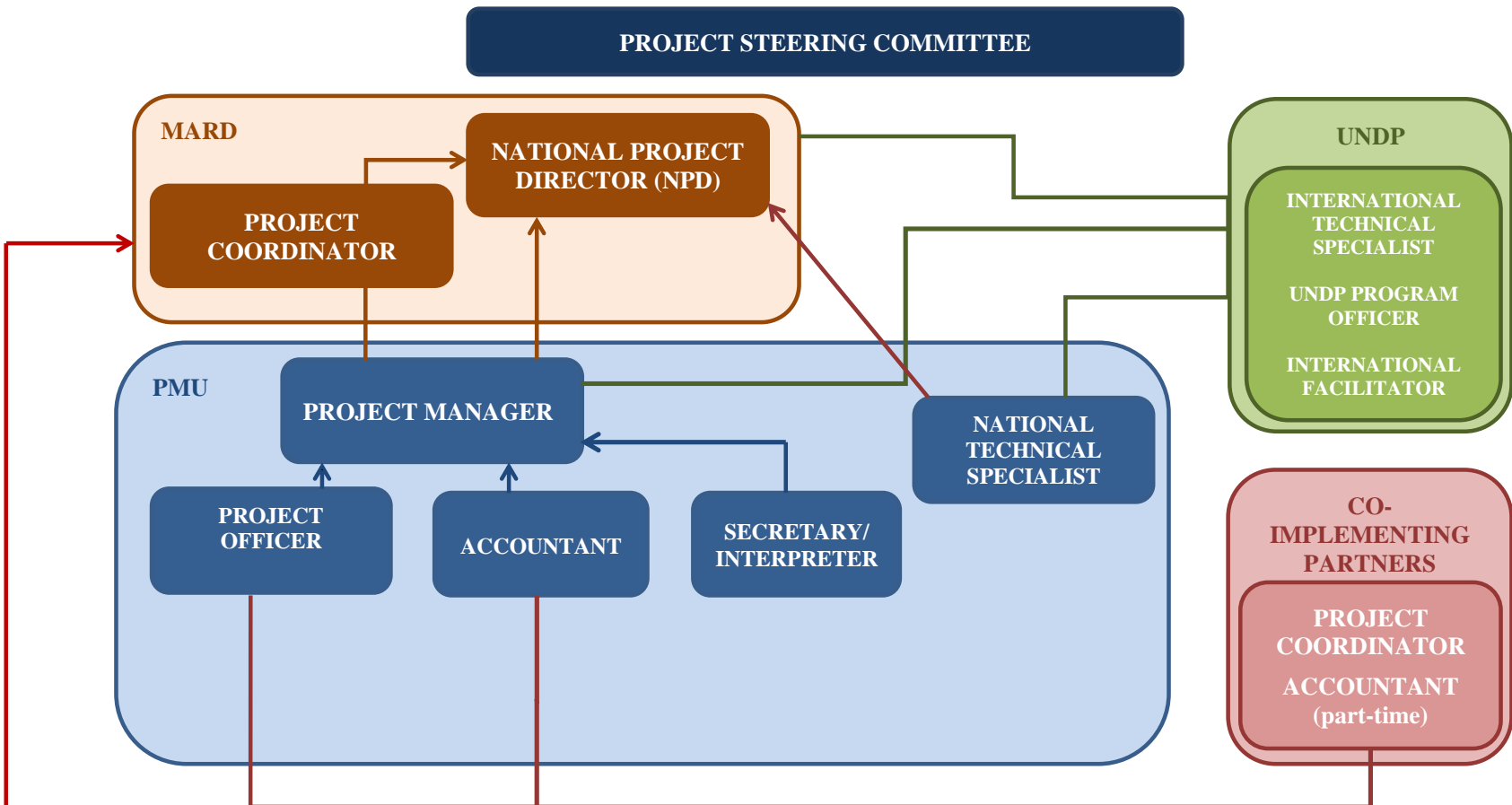
ANNEX IRISK ANALYSIS

| # | Description | Date identified | Type | Impact and Probability | Countermeasures and management response | Owner | Submitted, update by | Last update | Status |
|---|--|------------------|----------------------------|---|--|----------------------|----------------------|------------------|-----------|
| 1 | <i>Capacity of DMC to absorb:</i> the capacity of DMC to deliver as planned, given other pressures, including State budget allocation for CBDRM, management and delivery of other programmes and projects, new and inexperienced staff and insufficient equipment. | 27 February 2012 | Operational Organizational | Potential effects are delay in project implementation or inefficient implementation. - Probability (1 to 5 scale) = 3 - Impact (1 to 5 scale) = 3 | - Delegation of Project activities to co-implementing partners, who will work directly with provincial partners - Strengthening capacity of DMC by UNDP | SCDM Project Manager | UNDP PO | 27 February 2012 | No change |
| 2 | <i>Capacity of VNRC Disaster Management Department to absorb:</i> the VNRC Disaster Management Department is understaffed and may face challenges in absorbing the labour intensive capacity building activities for the provinces. | 27 February 2012 | Organizational | Potential effects are delay in project implementation or inefficient implementation. - Probability (1 to 5 scale) = 2 - Impact (1 to 5 scale) = 3 | - VNRC recruits one capable senior provincial staff member to work at the Disaster Management Department at the VNRC headquarters in Hanoi or recruits externally for the period of the Project. | Project Officer DRM | UNDP PO | 27 February 2012 | No change |
| 3 | <i>Disasters:</i> most staff members involved in Project activities, as well as those in the DMC has disaster response and recovery responsibilities. Therefore, disasters could adversely affect the timeliness of Project implementation. However, some activities can only be implemented when disasters happen (e.g. EMMA) | 27 February 2012 | Environmental | Potential effects are delay in project implementation or staff unavailability. - Probability (1 to 5 scale) = 4 - Impact (1 to 5 scale) = 3 | - Most activities are planned in the first 3 years giving some flexibility to complete all activities within the total Project time-frame. - UNDP will monitor the situation and urge co-implementing parties to employ additional staff for response operations rather than using Project staff, if delays become significant. | SCDM Project Manager | UNDP PO | 27 February 2012 | No change |
| 4 | <i>Complexity in coordination and communication:</i> many of | 27 February | Operational | Potential effects are inefficient implementation | - Roles and responsibilities between partners clearly | SCDM Project | UNDP PO | 27 February | No change |

| # | Description | Date Identified | Type | Impact and Probability | Countermeasures and management response | Owner | Submitted, update by | Last update | Status |
|---|--|------------------|-------------|--|--|--|----------------------|------------------|-----------|
| | the activities will involve more than one partner, which require regular coordination and frequent communication among the NIP and CIPs. | 2012 | | of activities and limited creation of synergies between partners. - Probability (1 to 5 scale) = 2 - Impact (1 to 5 scale) = 3 | specified in matrix, with lead partner responsible for budget and coordination/communication with other partners. - Project Officer DRM in PMU specifically responsible for Project implementation, coordination and M&ENPD and UNDP will monitor the Project implementation and if necessary will provide technical assistance to improve coordination/communication. - Monthly coordination meeting with all national project coordinators organized by PMU. | Manager | | 2012 | |
| 5 | <i>Limited understanding of UNDP financial administration systems: the co-implementing partners VNRC, VWU and Oxfam are unfamiliar with the UNDP financial and other administration systems.</i> | 27 February 2012 | Operational | Potential effects are delay in project implementation. - Probability (1 to 5 scale) = 2 - Impact (1 to 5 scale) = 3 | - Organize induction course for finance and administration staff of the partners to provide an overall understanding of the procedures - Coaching and technical assistance during Project implementation. | SCDM Project Manager - SCDM Project Accountant | UNDP PO | 27 February 2012 | No change |
| 6 | <i>Completion of Letters of Agreement between NIP and three CIP and of a common set of agreed Project cost norms</i> | 9 September 2012 | Operational | Potential effects are delay in project implementation. - Probability (1 to 5 scale) = 3 Impact (1 to 5 scale) = 4 | - UNDP catalyses process through support to drafting of LoAs and facilitation of meetings between CIPs and NIP to discuss and finalise LoAs and a set of agreed common cost norms - DMC to expedite issue of official agreement and | DMC (assisted by SCDM TS/UNDP PO; SCDM Project Manager and Accountant) | DMC PM | 9 September 2012 | No change |

| # | Description | Date Identified | Type | Impact and Probability | Countermeasures and management response | Owner | Submitted, update by | Last update | Status |
|---|--|------------------|----------------------------|--|--|--|----------------------|------------------|-----------|
| | | | | | approval of LoA and of common set of cost norms within DMC/WRD | | | | |
| 7 | <i>Ineffective implementation of M&E, including reporting.</i> | 27 February 2012 | Operational | Potential effects are ineffective and inefficient project implementation, inaccurate reporting and limited sustainability - Probability (1 to 5 scale) = 2 - Impact (1 to 5 scale) = 3 | - At the start of the project, tailored orientation sessions and training for all national and sub-national staff involved in M&E will be organised - Project Officer in PMU specifically responsible for Project M&E providing day-to-day guidance and technical support - Sufficient budget and budget source for M&E will be agreed at the start of the Project | SCDM Project Manager | UNDP PO | 27 February 2012 | No change |
| 8 | <i>Misappropriation of funds or corruption.</i> | 27 February 2012 | Operational Organizational | Potential effects are lack of resources and reputational risk for donor, NIP, CIPs and UNDP. - Probability (1 to 5 scale) = 2 - Impact (1 to 5 scale) = 5 | - Application of UNDP standards and systems of accountability and transparency through orientation sessions, trainings, regular communication, effective project management and regular M&E by PM and UNDP | SCDM Project Manager - SCDM Project Accountant - UNDP PO | UNDP PO | 27 February 2012 | No change |

ANNEX II PROJECT IMPLEMENTATION STRUCTURE



Reporting line

ANNEX III ToR FOR MAIN PERSONNEL

1. Project Steering Committee
2. National Project Director
3. Project Coordinator
4. Project Manager
5. National Technical Specialist
6. Project Accountant
7. Project Officer
8. Project Secretary-Interpreter
9. International Technical Specialist
10. Partnership Project Coordinator

ToR FOR PROJECT STEERING COMMITTEE

The Project Steering Committee (PSC) will be formed of:

- Managers from relevant departments in MARD, including the Director of the WRD, Director/Deputy Directors of DMC, DDMFSC and the International Cooperation Department;
- UNDP Country Director/or Deputy Country Director; Head of Sustainable Development Cluster;
- CFSC representatives, at Director or Deputy Director level, from two focus provinces.

The following will have observer status:

- The Secretary General (or the Director of the Disaster Management Department of the VNRC);
- The President (or Vice-President) or the Director of the Administration Department of the VWU;
- The Country Representative of Oxfam; and
- A senior representative from AusAid.

The Vice Minister of MARD or the Director of the WRD, MARD will be the chairperson of the PSC.

The PSC meets at least once a year to make decisions and provide guidance for the development and implementation of the MARD-UNDP SCDM Project activities, including approval of the Annual Work Plans (AWP) and Project budget revisions.

The PSC is responsible for the following:

1. Make all necessary and timely decisions for Project management and implementation of the Project, including review and approve Project overall work-plans and budget revisions;
2. Review and approve annual reports and audit reports;
3. The PSC will meet once a year and on an *ad hoc* basis as deemed necessary to review Project progress made towards planned outputs. In the event that progress is not consistent with the Project Annual Work Plan, the PSC will determine what actions, if any, should be undertaken to rectify the situation;
4. The PSC may not alter Project objectives or outputs. The PSC may alter Project activities and/or implementation arrangements but only if there is clear and consistent evidence that the Project activities are failing to deliver Project outputs, based on progress reports against Project output indicators. Changes to Project activities and/or implementation arrangements will require the consent of the UNDP-CO.
5. In case of any major disagreement, the MARD appointed National Project Director (NPD) and the Head of Sustainable Development Cluster, UNDP can call for a meeting with the relevant parties.

ToR FOR NATIONAL PROJECT DIRECTOR

Background

The NPD is the focal point within MARD for the SCDM Project Phase II and has responsibility and accountability in the National Implementing Partner (NIP) for the UNDP funded Project.

The NPD must be a leading official of the NIP whose primary responsibility will be to make major Project policy decisions and to supervise and guide the work of the national Project Manager (PM).

The position requires only part-time direct involvement in the Project.

Duties and Responsibilities

- Assumes overall responsibility for the execution of the Project towards achieving Project objectives and accountability to UNDP and the Government for the proper and effective use of Project resources.
- Serves as a focal point for the coordination of the Project with implementing agencies, UNDP and other Government agencies.
- Ensures that all Government inputs committed to the Project are made available.
- Works with UNDP in selecting and arranging for the appointment of the Project Manager.
- Supervises the work of the PM, and ensures that the PM is empowered to effectively manage the Project, and other Project staff in performing their duties.
- Ensures that work plans are prepared and updated, in consultation with UNDP, and distributed to the Government and other relevant agencies.
- Oversees the recruitment, selection and contracting of UNDP financed Project professional and support staff using agreed procedures.
- Opens and operates a separate bank account in the name of the NIP, and serves as the Approving Officer for the recruitment, training, sub-contracting and financial operations of the Project.
- Represents the NIP and the Project at formal meetings of the Project parties.

Duration

Part-time input over the full life of the Project.

ToR FOR PROJECT COORDINATOR

Background

The Project Coordinator (PC) supports the National Project Director to supervise and guide the work of the Project Manager (PM).

The PC must be an official of the NIP. The position requires only part-time direct involvement in the Project.

Duties and Responsibilities

- Oversee Project activities to achieve the objectives of the Project and effectively control the use of Project resources;
- Focal point to coordinate the activities of the PMU and DMC;
- Assist the NPD in making decisions over the signing of Project related documents and ensures quality control on the contents of such documentation before submitting to the NPD for his approval;
- Support the NPD in monitoring the work of the PM and ensure that she/he is empowered to manage effectively the Projects and to manage other designated Project personnel in implementing their tasks according to their respective ToR;
- Track progress and disbursement activities of the Project, exchange periodically with UNDP to make any adaptations to the Project work plans;
- Participate along with senior UNDP representatives in the recruitment and selection of suitable staff for the Project in accordance with the HPPMG regulations;
- Along with the NPD and PMU staff, participate in official meetings related to the Project activities;
- Perform other duties as authorized by the NPD.

Duration

Part-time input over the full life of the Project.

TO R FOR PROJECT MANAGER

TITLE: Project Manager

PROJECT: *Strengthening Institutional capacity for disaster risk management in Viet Nam, including climate change related disasters (SCDM)*

REPORTING TO: National Project Director

STAFF REPORTING TO: Project Accountant, Project Officer DRM and Project Officer Policy Development

STARTING DATE: October 2012

DURATION: 12 months (full time), with the possibility of extension

DUTY STATION: Ha Noi, Viet Nam

CONTEXT

From December 2008 till June 2012, with the support of UNDP, the Ministry of Agriculture and Rural Development (MARD) has been implementing the project: "*Strengthening Institutional capacity for disaster risk management in Viet Nam, including climate change related disasters*". The main project results achieved were, among others:⁷

- Drafting of the DRM Law;
- Institutional capacity building at the national and sub-national level through a disaster risk reduction (DRR) and climate change adaptation (CCA) training programme;
- Revised damage and needs assessment (DANA) methodologies and Disaster Management Information System (DMIS);
- Development of Central Committee for Flood and Storm Control (CCFSC) Emergency Response and Early Recovery Guidelines;
- Provision of technical support to the Government of Viet Nam (GoV) Community Based Disaster Risk Management (CBDRM) programme;
- Finalising the Interim Review of the Hyogo Framework for Action (HFA) and the GoV National Strategy for Disaster Prevention, Response and Mitigation to 2020; and
- Support to the establishment of a National Platform for DRR and CCA.

Building on the achievements and strengths of the first phase and aiming to address identified challenges and include new emerging issues, a four year, second phase of the SCDM Project will start in August 2012 with the following main outcome: *By 2016, key national and sub-national agencies, in partnership with the private sector and communities, have established and monitor multi-sectoral strategies, mechanisms and*

⁷ A six months extension from January till June 2012 allowed the Project to finalize work on the DRM Law, upgraded Early Warning System (EWS), research on migration, relocation and resettlement, review of the implementation of the National Strategy to 2020, CCFSC website upgrade, DMIS and GIS mapping.

resources to support implementation of relevant multilateral agreements and effectively address climate change adaptation, mitigation and disaster risk management.

This outcome will be achieved through the following main interventions, among others:

- Finalization and promulgation of the DRM Law;
- Institutional development and capacity building of the C/CFSC;
- Support to the development of a comprehensive M&E system for the National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020 and the CBDRM programme;
- Support to the process for the establishment and operation of the National Platform for DRR and CCA;
- Improved *'building back better'* and early recovery programming and risk-informed policy development processes and promotion of global standards on humanitarian response and beneficiary accountability;
- Support to ASEAN-AADMER implementation and Viet Nam's involvement in the post-HFA discussions;
- Demonstration of a complete CBDRM programme implementation process and further technical support to national implementation;
- Mainstreaming gender and increasing gender equality and in DRR/CCA and the promotion of culturally appropriate DRM programming;
- Development of a comprehensive reservoir management system and multi-hazard EWS; and
- Support to the undertaking of applied research and the forging of partnerships among academic bodies in Viet Nam and abroad.

The SCDM Project is aligned to the GoV "National Strategy for Disaster Prevention, Response and Mitigation to 2020" and will contribute substantially to the achievement of some of the Outcomes and Outputs of the United Nations One Plan 3 for 2012-2016, under Focus Area 1 – Inclusive, Equitable and Sustainable Growth.⁸

SCOPE

The Project Manager has the responsibility for ensuring the effective and efficient operational management of the project under the overall guidance of the National Project Director (NPD). Consequently the Project Manager is responsible for day to day project and personnel management. S/he will plan, initiate, delegate and manage project activities and also be involved in substantive support in realizing project targets.

TASKS AND RESPONSIBILITIES

Under the direct supervision of the MARD National Project Director and with advice from the UNDP international technical specialist and the national Project Officer for disaster risk management, the Project Manager will:

⁸ Specifically to One Plan Outcome 1.3 on CCA, mitigation and DRM, Output 1.3.2: Resilience of at-risk and vulnerable groups to natural hazards is enhanced, and nationally relevant aspects of international agreements on disaster risk management are implemented.

6. Assume operational responsibility for the execution of the Project in accordance with procedures and practices outlined in the Harmonized Programme and Project Management Guidelines (HPPMG).
7. Prepare and update in a timely manner quarterly and annual work plans and the annual procurement plan for submission to the NPD.
8. Prepare and facilitate annual Project Steering Committee meetings.
9. Ensure that all agreements with designated Co-Implementing Partners (CIP), consultants and sub-contractors are properly prepared, negotiated and agreed. Supervise and coordinate their implementation.
10. Assume direct responsibility for managing the Project budget on behalf of the NPD to ensure that:
 - a. Project funds are made available as needed and are disbursed in a timely and appropriate manner;
 - b. Accounting records and supporting documents are kept;
 - c. Annual and Quarterly financial and reports are prepared and of high quality;
 - d. Financial operations are transparent and comply with HPPMG rules; and
 - e. Records are in order for auditing at any time.
11. Manage Project physical resources (equipment, etc.) financed by UNDP.
12. Supervise and guide project staff and experts working for the Project ensuring a balanced workload and clear task division.
13. Organize monthly PMU staff meetings with the NPD and ensure follow-up on agreed action points;
14. Draft and/or organize the drafting of all project management reports, including quarterly, annual, and terminal reports; organize tripartite reviews and Evaluation Missions in coordination with the Government and UNDP;
15. Organise project monitoring and evaluation systems and regularly update the NPD on progress, issues and constraints to Project implementation;
16. Ensure gender equality and gender mainstreaming in all aspects of the Project activities and operation.

QUALIFICATIONS

- Master or postgraduate degree in development economics, business administration, natural resources management or a related field.
- At least 5 years of experience in managing development projects.
- Additional skills in result-based planning, risk management, quality control, monitoring and evaluation and human resources management.
- Familiarity with the HPPMG.
- Familiarity with GoV administrative and other procedures.

- A background in gender equality and gender mainstreaming is an asset.
- Good inter-personal and team building skills.
- Excellent spoken and writing skills in both Vietnamese and English.

REMUNERATION CONDITIONS

- The level of remuneration corresponds with the qualifications and work experiences required for the post as referred to in this ToR and the cost norms as provided for in the existing UN-EU Cost Norms Guidelines (2012).
- The payment of other related expenses follows the existing UN-EU Cost Norms Guidelines and relevant provisions of the HPPMG.

The recruitment of this position will comply with the principles of competition, openness and transparency, information sharing and compliance.

ToR FOR PROJECT ACCOUNTANT

TITLE: Project Accountant

PROJECT: *Strengthening Institutional capacity for disaster risk management in Viet Nam, including climate change related disasters (SCDM)*

REPORTING TO: Project Manager

STAFF REPORTING TO: Project Secretary - Interpreter

STARTING DATE: October 2012

DURATION: 12 months (full time), with the possibility of extension

DUTY STATION: Ha Noi, Viet Nam

CONTEXT

From December 2008 till June 2012, with the support of UNDP, the Ministry of Agriculture and Rural Development (MARD) has been implementing the project: "*Strengthening Institutional capacity for disaster risk management in Viet Nam, including climate change related disasters*".

The main project results achieved were, among others,⁹

- Drafting of the DRM Law;
- Institutional capacity building at the national and sub-national level through a disaster risk reduction (DRR) and climate change adaptation (CCA) training programme;
- Revised damage and needs assessment (DANA) methodologies and Disaster Management Information System (DMIS);
- Development of Central Committee for Flood and Storm Control (CCFSC) Emergency Response and Early Recovery Guidelines;
- Provision of technical support to the Government of Viet Nam (GoV) Community Based Disaster Risk Management (CBDRM) programme;
- Finalising the Interim Review of the Hyogo Framework for Action (HFA) and the GoV National Strategy for Disaster Prevention, Response and Mitigation to 2020; and
- Support to the establishment of a National Platform for DRR and CCA.

Building on the achievements and strengths of the first phase and aiming to address identified challenges and include new emerging issues, a four year second phase of the SCDM Project will start in August 2012 with the following main outcome: *By 2016, key national and sub-national agencies, in partnership with the private sector and communities, have established and monitor multi-sectoral strategies, mechanisms and resources to support implementation of relevant multilateral agreements and effectively address climate change adaptation, mitigation and disaster risk management.*

⁹ A six months extension from January till June 2012 allowed the Project to finalize work on the DRM Law, upgraded Early Warning System (EWS), research on migration, relocation and resettlement, review of the implementation of the National Strategy to 2020, CCFSC website upgrade, DMIS and GIS mapping.

This outcome will be achieved through the following main interventions, among others:

- Finalization and promulgation of the DRM Law;
- Institutional development and capacity building of the C/CFSC;
- Support to the development of a comprehensive M&E system for the National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020 and the CBDRM programme;
- Support to the process for the establishment and operation of the National Platform for DRR and CCA;
- Improved *'building back better'* and early recovery programming and risk-informed policy development processes and promotion of global standards on humanitarian response and beneficiary accountability;
- Support to ASEAN-AADMER implementation and Viet Nam's involvement in the post-HFA discussions;
- Demonstration of a complete CBDRM programme implementation process and further technical support to national implementation;
- Mainstreaming gender and increasing gender equality and in DRR/CCA and the promotion of culturally appropriate DRM programming;
- Development of a comprehensive reservoir management system and multi-hazard EWS; and
- Support to the undertaking of applied research and the forging of partnerships among academic bodies in Viet Nam and abroad.

The SCDM Project is aligned to the GoV "National Strategy for Disaster Prevention, Response and Mitigation to 2020" and will contribute substantially to the achievement of some of the Outcomes and Outputs of the United Nations One Plan 3 for 2012-2016, under Focus Area 1 – Inclusive, Equitable and Sustainable Growth.¹⁰

SCOPE

The Project Accountant is responsible for recording and reflecting fully, accurately, clearly and in a timely manner the funds that are allocated and the disbursements made to support project implementation, in accordance with the approved documents and the liquidation of expenditures on an annual and quarterly basis as well as upon project termination. He or she will ensure the use of standard financial and accounting procedures in line with the Harmonized Programme and Project Management Guidelines (HPPMG) and the EU-UN Cost Norms (2012).

TASKS AND RESPONSIBILITIES

¹⁰ Specifically to One Plan Outcome 1.3 on CCA, mitigation and DRM, Output 1.3.2: *Resilience of at-risk and vulnerable groups to natural hazards is enhanced, and nationally relevant aspects of international agreements on disaster risk management are implemented.*

Under the direct supervision of the SCDM Project Manager (PM), the Project Accountant will:

1. Prepare quarterly advance requests to get advance funds from UNDP following the agreed format;
2. Assist the PM and National Project Director (NPD) in project budget monitoring and project budget revision;
3. Set up accounting system, including reporting forms and filing system for the project, in accordance with the project document and HPPMG procedures;
4. Maintain petty cash transactions. This includes writing of receipts, preparation of payment request forms, receipt and disbursement of cash and clearance of advances;
5. Prepare cheques and withdraw money from the bank;
6. Prepare project financial reports and submit to PM and NPD for clearance and furnish to UNDP as required;
7. Enter financial transactions into the computerised accounting system;
8. Reconcile all balance sheet accounts and keep a file of all completed reconciliation;
9. Check and ensure that all expenditures of projects are in accordance with HPPMG procedures. This includes ensuring receipts to be obtained for all payments;
10. Check budget lines to ensure that all transactions are booked to the correct budget lines;
11. Ensure documentation relating to payments are duly approved by the NPD;
12. Bring any actual and potential problems to the attention of the NPD and UNDP;
13. Follow up bank transfers. This includes preparing the bank transfer requests, submitting them to the bank and keeping track of the transfers;
14. Ensure Petty Cash to be reviewed and updated ensuring that there are up-to-date records;
15. Continuously improve system and procedures to enhance internal controls to satisfy audit requirements;
16. Ensure that bank statements are collected from the banks on the 2nd working day of each month;
17. Ensure that bank accounts are reconciled and reported on or before the 3rd of each month;
18. Prepare monthly bank reconciliation statement, including computation of interests gained to be included into reports;
19. Maintain an inventory file to support purchases of all equipment/assets;
20. Assist with preparation of contracts for consultants for project activities;

21. Monitor the budget funded by the Government. Assist the National Implementation Party (NIP) to obtain funding from the Government and to spend such allocated budget. Ensure that the process and expenditure of budget is in accordance with the Law on State Budget and related legal documents.
22. Provide technical support and daily guidance to part-time accountants of Co-Implementing Partners (CIP) on the HPPMG and other financial procedures. If required, provide support to training or orientation events on financial management for the CIPs and other project partners;
23. Collect and record financial information from CIP accountants on Project activities implemented by CIPs
24. Undertake other relevant matters assigned by the NPD.

QUALIFICATIONS AND REQUIREMENTS

- University graduation in accounting, finance or a related field;
- Chief accountant certificate;
- At least 5 years of experience in accounting and financial management, preferably of development projects;
- Solid experience in budgeting and planning and reporting of ODA funded projects;
- Good secretarial skills and good organizational capacity;
- Knowledge in administrative and accounting procedures of the Government;
- Familiarity with UNDP HPPMG;
- Very good computer skills in word processing (MS Word), spread sheet (MS Excel), and accounting software;
- Good inter-personal and team building skills;
- Experience as a trainer or facilitator is an asset;
- Very good spoken and writing skills in both Vietnamese and English.

REMUNERATION CONDITIONS

- The level of remuneration corresponds with the qualifications and work experiences required for the post as referred to in this ToR and the cost norms as provided for in the existing UN-EU Cost Norms Guidelines (2012).
- The payment of other related expenses follows the existing UN-EU Cost Norms Guidelines and relevant provisions of the HPPMG.

The recruitment of this position will comply with the principles of competition, openness and transparency, information sharing and compliance.

ToR FOR PROJECT OFFICER

TITLE: Project Officer

PROJECT: *Strengthening institutional capacity for disaster risk management in Viet Nam, including climate change related disasters (SCDM)*

REPORTING TO: Project Manager

STAFF REPORTING TO: None

STARTING DATE: December 2012

DURATION: 12 months (full time), with the possibility of extension

DUTY STATION: Ha Noi, Viet Nam, with possible travel to the project provinces

CONTEXT

From December 2008 till June 2012, with the support of UNDP, the Ministry of Agriculture and Rural Development (MARD) has been implementing the project: “*Strengthening Institutional capacity for disaster risk management in Viet Nam, including climate change related disasters*”. The main project results achieved were, among others;

- Drafting of the DRM Law;
- Institutional capacity building at the national and sub-national level through a disaster risk reduction (DRR) and climate change adaptation (CCA) training programme;
- Revised damage and needs assessment (DANA) methodologies and Disaster Management Information System (DMIS);
- Development of Central Committee for Flood and Storm Control (CCFSC) Emergency Response and Early Recovery Guidelines;
- Provision of technical support to the Government of Viet Nam (GoV) Community Based Disaster Risk Management (CBDRM) programme;
- Finalising the Interim Review of the Hyogo Framework for Action (HFA) and the GoV National Strategy for Disaster Prevention, Response and Mitigation to 2020; and
- Support to the establishment of a National Platform for DRR and CCA.

Building on the achievements and strengths of the first phase and aiming to address identified challenges and include new emerging issues, a USD4.7million four year second phase of the SCDM Project will start in August 2012 with the following main outcome: *By 2016, key national and sub-national agencies, in partnership with the private sector and communities, have established and monitor multi-sectoral strategies, mechanisms and resources to support implementation of relevant multilateral agreements and effectively address climate change adaptation, mitigation and disaster risk management.*

This outcome will be achieved through the following main interventions, among others:

- Finalization and promulgation of the DRM Law;
- Institutional development and capacity building of the C/CFSC;

- Support to the development of a comprehensive M&E system for the National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020 and the CBDRM programme;
- Support to the process for the establishment and operation of the National Platform for DRR and CCA;
- Improved *'building back better'* and early recovery programming and risk-informed policy development processes and promotion of global standards on humanitarian response and beneficiary accountability;
- Support to ASEAN-AADMER implementation and Viet Nam's involvement in the post-HFA discussions;
- Demonstration of a complete CBDRM programme implementation process and further technical support to national implementation;
- Mainstreaming gender and increasing gender equality and in DRR/CCA and the promotion of culturally appropriate DRM programming;
- Development of a comprehensive reservoir management system and multi-hazard EWS; and
- Support to the undertaking of applied research and the forging of partnerships among academic bodies in Viet Nam and abroad.

Around 60% of the SCDM Project will be funded under AusAid's Enhanced Humanitarian Response Initiative (EHRI). This sub-project called: *'Partnership for enhanced disaster risk management in Viet Nam'* will focus on the following strategic interventions:

- Creating innovative partnerships between the Disaster Management Centre (DMC) and the Viet Nam Red Cross (VNRC), the Viet Nam Women's Union (VWU) and Oxfam, building on the partners' strengths and comparative advantages, enhancing their capacities in line with their respective mandates and where possible creating synergies;
- Linking national and sub-national level disaster risk management actions through a demonstrated CBDRM implementation, improvement of humanitarian response and early recovery through capacity building;
- Undertaking applied research and multi-stakeholder policy dialogue to inform evidence-based policy process development; and
- Focusing on gender equality and mainstreaming and cultural appropriate programming.

Activities within the Partnership project form an integral part of the SCDM Project¹¹ and will as such contribute to achieving the overall output of the larger SCDM Project.

The overall SCDM Project is aligned with the GoV *"National Strategy for Disaster Prevention, Response and Mitigation to 2020"* and will contribute substantially to the

¹¹ Specifically to One Plan Outcome 1.3 on CCA, mitigation and DRM, Output 1.3.2: *Resilience of at-risk and vulnerable groups to natural hazards is enhanced, and nationally relevant aspects of international agreements on disaster risk management are implemented*

achievement of some of the Outcomes and Outputs of the United Nations One Plan 3 for 2012-2016, under Focus Area 1 – Inclusive, Equitable and Sustainable Growth

SCOPE

The Project Officer, under the supervision of the Project Manager (PM) and overall guidance of the National Project Director has the responsibility for ensuring the effective and efficient implementation of the SCDM activities.

In addition, the PO will act as a 'bridge' and focal point for the PMU between the Implementing Partner (NIP) - through the PMU - with the Co-Implementing Partners (CIPs) as well as support technical cooperation with INGOs and external consultants involved with DRM programme work in the country and elsewhere.

TASKS AND RESPONSIBILITIES

Under the direct supervision of the SCDM Project Manager and overall guidance and orientation of the National Project Director, and with advice from the UNDP International Technical Specialist and UNDP Project Officer for DRM, the Project Officer will provide support to:

1. Guide, as the main focal point for the CIPs, the quality and effective implementation of SCDM activities - as stipulated in the conditions of the agreed bi-lateral Letters of Agreement (LoAs) between the National Implementing Partner (NIP) and the designated CIPs - through the M&E system;
2. Guide the CIPs on HPPMG, M&E and overall project implementation issues. If required, provide training or orientation on these topics/issues arising for the CIPs and other project partners;
3. Assess and propose technical solutions (if needed) for the NIP to ensure quality of the results (as stated in the Detailed Project Outline (DPO) and in the respective LoA for the CIPs on CBDRM, early recovery, humanitarian support, gender equality and DRR/CCA training events;
4. Guide the PM regarding SCDM supported research topics undertaken on DRR and CCA;
5. Assist in the coordination mechanism and cooperation contents between academic institutions in Viet Nam and abroad to collaborate and undertake (joint) research;
6. Facilitate with the PM, monthly coordination meetings between the NIP, the PMU and the CIPs to track progress on the implementation of the activities and to address issues that may arise. In addition, in support of the Project Manager, facilitate regular quarterly meetings between the NPD, NIP and CIPs and UNDP;
7. Prepare and update in a timely manner and through a consultative process with the NIP the PMU and the CIPs, quarterly and annual work plans for the SCDM activities for submission to the PM;
8. Prepare timely contributions for the SCDM quarterly, annual and terminal reports on the SCDM activities, through a consultative process with the NIP and PMU and related CIPs;

9. Ensure regular documentation and information sharing of the Project experiences and lessons learnt from activities through publications and contributions to newsletters, news articles, reports, etc.;
10. Participate, on behalf of the SCDM PMU, in monthly coordination meetings with the Disaster Management Working Group and Climate Change Working Group, as well as in the CBDRM Technical Working Group meetings; in addition, act as a point of contact with the Joint Advocacy Network Initiative (JANI);
11. Assist in the organization of regular SCDM M&E activities, in line with the agreed M&E framework;
12. Ensure gender equality and gender mainstreaming in all aspects of the activities;
13. Based on the approved Annual and Quarterly Workplans, submit a personal work plan for month, quarter and year to the National Project Director.

QUALIFICATIONS

- Master or postgraduate degree in development, economics, business administration, natural resources management or any related field.
- At least 5 years of experience in project management support.
- Additional experience in M&E, community based disaster risk management, reservoir management, early warning, disaster management information systems, early recovery and humanitarian accountability.
- Familiarity with UNDP HPPMG.
- Familiarity with Government of Viet Nam administrative and other procedures.
- A strong background in gender equality and gender mainstreaming is an asset.
- Strong analytical and research skills. Proven research experience is an asset.
- Good inter-personal and team building skills.
- Training or facilitation skills are an asset.
- Willingness to travel.
- Excellent spoken and writing skills in both Vietnamese and English.

REMUNERATION CONDITIONS

- The level of remuneration corresponds with the qualifications and work experiences required for the post as referred to in this ToR and the cost norms as provided for in the existing UN-EU Cost Norms Guidelines (2012).
- Personal workplans should be submitted to the NPD prior to the end of each calendar month for approval.
- The payment of other related expenses follows the existing UN-EU Cost Norms Guidelines and relevant provisions of the HPPMG.

ToR FOR NATIONAL TECHNICAL SPECIALIST (DRM)

| | |
|----------------------------|---|
| Title: | National Technical Specialist (DRM) |
| Reporting to: | National Programme Director |
| Staff reporting to: | None |
| Starting date: | December 2012 |
| Duration: | 12 Months (Full Time) with the possibility of extension |
| Duty station: | Ha Noi, Viet Nam, with regular travel to provinces |

I. GENERAL BACKGROUND

From December 2008 till June 2012, with the support of UNDP, the Ministry of Agriculture and Rural Development (MARD) has implemented the Project: “*Strengthening institutional capacity for disaster risk management in Viet Nam, including climate change related disasters*”. The main project results achieved were, among others:

- Drafting of the DRM Law;
- Institutional capacity building at the national and sub-national level through a disaster risk reduction (DRR) and climate change adaptation (CCA) training programme;
- Revised damage and needs assessment (DANA) methodologies and Disaster Management Information System (DMIS);
- Development of Central Committee for Flood and Storm Control (CCFSC) Emergency Response and Early Recovery Guidelines;
- Provision of technical support to the Government of Viet Nam (GoV) Community Based Disaster Risk Management (CBDRM) programme;
- Finalising the Interim Review of the Hyogo Framework for Action (HFA) and the GoV National Strategy for Disaster Prevention, Response and Mitigation to 2020; and
- Support to the establishment of a National Platform for DRR and CCA.

Building on the achievements and strengths of the first phase and aiming to address identified challenges and include new emerging issues, a USD4.7million four year second phase of the SCDM Project will start in August 2012 with the following main outcome: *By 2016, key national and sub-national agencies, in partnership with the private sector and communities, have established and monitor multi-sectoral strategies, mechanisms and resources to support implementation of relevant multilateral agreements and effectively address climate change adaptation, mitigation and disaster risk management.*

This outcome will be achieved through the following main interventions, among others:

- Finalization and promulgation of the DRM Law;
- Institutional development and capacity building of the C/CFSC;
- Support to the development of a comprehensive M&E system for the National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020 and the CBDRM programme;

- Support to the process for the establishment and operation of the National Platform for DRR and CCA;
- Improved *'building back better'* and early recovery programming and risk-informed policy development processes and promotion of global standards on humanitarian response and beneficiary accountability;
- Support to ASEAN-AADMER implementation and Viet Nam's involvement in the post-HFA discussions;
- Demonstration of a complete CBDRM programme implementation process and further technical support to national implementation;
- Mainstreaming gender and increasing gender equality and in DRR/CCA and the promotion of culturally appropriate DRM programming;
- Development of a comprehensive reservoir management system and multi-hazard EWS; and
- Support to the undertaking of applied research and the forging of partnerships among academic bodies in Viet Nam and abroad.

Around 60% of the SCDM Project will be funded under AusAid's Enhanced Humanitarian Response Initiative (EHRI). This sub-project called: *'Partnership for enhanced disaster risk management in Viet Nam'* will focus on the following strategic interventions:

- Creating innovative partnerships between the Disaster Management Centre (DMC) and the Viet Nam Red Cross (VNRC), the Viet Nam Women's Union (VWU) and Oxfam, building on the partners' strengths and comparative advantages, enhancing their capacities in line with their respective mandates and where possible creating synergies;
- Linking national and sub-national level disaster risk management actions through a demonstrated CBDRM implementation, improvement of humanitarian response and early recovery through capacity building;
- Undertaking applied research and multi-stakeholder policy dialogue to inform evidence-based policy process development; and
- Focusing on gender equality and mainstreaming and cultural appropriate programming.

Activities within the Partnership project form an integral part of the SCDM Project¹² and will as such contribute to achieving the overall output of the larger SCDM Project.

The overall SCDM Project is aligned with the GoV "*National Strategy for Disaster Prevention, Response and Mitigation to 2020*" and will contribute substantially to the achievement of some of the Outcomes and Outputs of the United Nations One Plan 3 for 2012-2016, under Focus Area 1 – Inclusive, Equitable and Sustainable Growth.¹³

Specifically to One Plan Outcome 1.3 on CCA, mitigation and DRM, Output 1.3.2: Resilience of at-risk and vulnerable groups to natural hazards is enhanced, and nationally relevant aspects of international agreements on disaster risk management are implemented.

II. SCOPE OF WORK

The NTS will work under the direct management of the National Project Director, to support the SCDM Project Manager and Project Officer, in close cooperation with the UNDP International Technical Specialist, to ensure quality technical support and advice to the NIP and CIPs on all aspects of the SCDM activities, particularly on CBDRM, to ensure effective and efficient Project implementation.

III. TASKS AND RESPONSIBILITIES

Under the direct supervision and overall guidance of the National Project Director (NPD) and in close cooperation and with advice from the UNDP International Technical Specialist (ITS) and national Project Officer for DRM, the NTS will provide advisory support and guidance to the NIP, the NPD, PM and CIPs to undertake the following specific duties:

1. Implementation of the Government CBDRM programme

14. Support the NIP in the implementation of the GoV CBDRM programme, specifically:

- Preparing for and implementing CBDRM related training events at national and provincial levels;
- Facilitating certain training sessions, if required;
- Undertaking quality assurance of teaching events, schedules, materials, etc. and providing technical advice and support to trainers involved in these events;
- Supporting the M&E of the national programme, in accordance with the agreed M&E guidelines and matrix.

2. Project implementation

15. Advise the SCDM PM and PO on technical solutions for the NIP and CIPs to ensure the quality of results (*as stated in the Detailed Project Outline and in the respective LoA for the CIPs*), specifically by:

- Supporting the UNDP ITS in providing technical advice on DRR and CCA to the NIP, the NPD, the SCDM PM and the CIPs and in guiding external consultants;
- Supporting the UNDP ITS in the preparation of ToRs for external consultants to be approved by the PM, the NPD and the UNDP PO;
- Reviewing, with the UNDP ITS, technical reports/products submitted to the Project from the CIPs/and external consultants and working with the CIPs and PO to ensure that these reports/products meet standards specified in the respective LoA and ToRs;
- Providing, with the guidance of the UNDP ITS, technical inputs and advice for the CIPs and Government CBDRM TWG, specifically at the commune/village level in two focus provinces (as well as other selected provinces) in accordance with the LoA activities;

16. Provide, with advice from the UNDP ITS, technical support and guidance to the NIP and CIPs on SCDM Project implementation and other technical issues. If required,

provide support to training or orientation on these topics for the CIPs and other Project partners;

17. Provide, with the guidance of the UNDP ITS, technical support to SCDM-financed research on DRR and CCA;
18. Assist the UNDP ITS, the NIP and SCDM PM with the coordination and cooperation between academic institutions in Viet Nam and abroad to collaborate and undertake (joint) research and helping to ensure that such research influenced DRR/CCA policy;
19. Attend monthly coordination meetings between the PMU and the CIPs to track progress on the implementation of the activities and to address technical issues that may arise. In support of the PM and PO assist in the facilitation of regular quarterly meetings between the NPD, NIP, CIPs and UNDP;
20. Advise on the preparation of quarterly and annual work plans for the SCDM activities for submission to the NPD;
21. Prepare timely contributions to the SCDM quarterly, annual and terminal reports on the SCDM activities through a consultative process with the NIP, PMU and CIPs;

3. Promotion of Project success and achievements

22. Support the NIP in their role as co-chair of the CBDRM TWG, with meeting preparation, facilitation, follow up and learning;
23. Ensure regular documentation and information sharing of the Project experiences and lessons learnt from activities through publications and contributions to newsletters, news articles, reports, etc.;
24. Support the DMC in their networking and advocacy work within MARD (e.g. amongst other departments in the General Directorate of Water Resources) and also with relevant departments in the Ministry of Natural Resources and Environment, to improve partnership/coordination in DRR and CCA related issues;
25. Attend and participate actively in SCDM Project workshops, meetings and seminars to share technical knowhow, lessons learnt and information on the progress of implementation of the SCDM Project activities;
26. Support the UNDP ITS with preparations for the NPD, staff from the NIP or other MARD officials with their participation in national, regional and global seminars, meetings and forums, attending these if requested by the NPD;
27. Support the SCDM PM in preparation for the SCDM Project Steering Committee meetings and take an active role in these meetings.

4. Project monitoring and evaluation

- Utilize the Project M&E framework to assist the UNDP ITS, the NIP/PMU and CIPs in the overall monitoring of the Project and progress toward outputs and outcomes;
- Refine and develop further with the UNDP ITS, the Project M&E framework;
- Support the the UNDP ITS in strengthening the NIP, PMU, CIPs and local Government capacity in M&E, through advisory support during the implementation of Project activities.

IV. QUALIFICATIONS AND EXPERIENCE

- Postgraduate degree (MSc. or PhD.) development, economics, business administration, natural resource management, environmental sciences or a related field.
- At least ten years working experience in the development field.
- Experience on disaster risk reduction and climate change adaptation in Viet Nam is essential.
- Familiarity with Government of Viet Nam.
- Additional experience in M&E, community based disaster risk management, reservoir management, early warning, disaster management information systems, early recovery and humanitarian accountability.
- Excellent project management skills and knowledge of donor policies and funding modalities.
- Knowledge of UNDP programming practices. Familiarity with UNDP HPPMG is an asset.
- Experience in gender equality and gender mainstreaming is an asset.
- Results driven, ability to work under pressure and to meet strict deadlines.
- Ability to deal with politically sensitive and complex issues.
- Good inter-personal skills. Strong communication, networking and team-building skills.
- Strong analytical and research skills. Proven research experience is an asset.
 - Training or facilitation skills are an asset.
 - Willingness to travel.
 - Excellent spoken and writing skills in both Vietnamese and English.

V. REMUNERATION CONDITIONS

- The level of remuneration corresponds with the qualifications and work experiences required for the post as referred to in this ToR and the cost norms as provided for in the existing UN-EU Cost Norms Guidelines (2012).
- Personal workplans should be submitted to the NPD prior to the end of each calendar month for approval.
- The payment of other related expenses follows the existing UN-EU Cost Norms Guidelines and relevant provisions of the HPPMG.

TO R FOR PROJECT SECRETARY – INTERPRETER

TITLE: Project Secretary – Interpreter

PROJECT: *Strengthening institutional capacity for disaster risk management in Viet Nam, including climate change related disasters (SCDM)*

REPORTING TO: Project Accountant

STAFF REPORTING TO: None

STARTING DATE: October 2012

DURATION: 12 months (full time), with the possibility of extension

DUTY STATION: Ha Noi, Viet Nam, with possible travel to selected provinces

CONTEXT

From December 2008 till June 2012, with the support of UNDP, the Ministry of Agriculture and Rural Development (MARD) has been implementing the project: “*Strengthening Institutional capacity for disaster risk management in Viet Nam, including climate change related disasters*”. The main project results achieved were, among others;¹⁴

- Drafting of the DRM Law;
- Institutional capacity building at the national and sub-national level through a disaster risk reduction (DRR) and climate change adaptation (CCA) training programme;
- Revised damage and needs assessment (DANA) methodologies and Disaster Management Information System (DMIS);
- Development of Central Committee for Flood and Storm Control (CCFSC) Emergency Response and Early Recovery Guidelines;
- Provision of technical support to the Government of Viet Nam (GoV) Community Based Disaster Risk Management (CBDRM) programme;
- Finalising the Interim Review of the Hyogo Framework for Action (HFA) and the GoV National Strategy for Disaster Prevention, Response and Mitigation to 2020; and
- Support to the establishment of a National Platform for DRR and CCA.

Building on the achievements and strengths of the first phase and aiming to address identified challenges and include new emerging issues, a four year second phase of the SCDM Project will start in August 2012 with the following main outcome: *By 2016, key national and sub-national agencies, in partnership with the private sector and*

¹⁴ A six months extension from January till June 2012 allowed the Project to finalize work on the DRM Law, upgraded Early Warning System (EWS), research on migration, relocation and resettlement, review of the implementation of the National Strategy to 2020, CCFSC website upgrade, DMIS and GIS mapping.

communities, have established and monitor multi-sectoral strategies, mechanisms and resources to support implementation of relevant multilateral agreements and effectively address climate change adaptation, mitigation and disaster risk management.

This outcome will be achieved through the following main interventions, among others:

- Finalization and promulgation of the DRM Law;
- Institutional development and capacity building of the C/CFSC;
- Support to the development of a comprehensive M&E system for the National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020 and the CBDRM programme;
- Support to the process for the establishment and operation of the National Platform for DRR and CCA;
- Improved *'building back better'* and early recovery programming and risk-informed policy development processes and promotion of global standards on humanitarian response and beneficiary accountability;
- Support to ASEAN-AADMER implementation and Viet Nam's involvement in the post-HFA discussions;
- Demonstration of a complete CBDRM programme implementation process and further technical support to national implementation;
- Mainstreaming gender and increasing gender equality and in DRR/CCA and the promotion of culturally appropriate DRM programming;
- Development of a comprehensive reservoir management system and multi-hazard EWS; and
- Support to the undertaking of applied research and the forging of partnerships among academic bodies in Viet Nam and abroad.

The SCDM Project is aligned to the GoV "National Strategy for Disaster Prevention, Response and Mitigation to 2020" and will contribute substantially to the achievement of some of the Outcomes and Outputs of the United Nations One Plan 3 for 2012-2016, under Focus Area 1 – Inclusive, Equitable and Sustainable Growth.¹⁵

SCOPE

The Project Secretary-Interpreter will provide administrative and interpreting support to the Project Manager to ensure the overall effective and efficient operational management of the day-to-day activities of the SCDM project.

He or she will also provide similar support to the National Programme Director (NPD), PMU staff – including the UNDP Technical Specialist for DRM and other international and national consultants recruited under the project, as required.

¹⁵ Specifically to One Plan Outcome 1.3 on CCA, mitigation and DRM, Output 1.3.2: Resilience of at-risk and vulnerable groups to natural hazards is enhanced, and nationally relevant aspects of international agreements on disaster risk management are implemented.

TASKS AND RESPONSIBILITIES

Under the direct supervision of the Project Manager and in line with the Harmonized Programme and Project Management Guidelines (HPPMG), the Project Secretary-Interpreter will:

As a Secretary

1. Provide required administrative support to the operational management of the project;
2. Prepare correspondence on administrative and programme matters pertaining to the SCDM Project Office responsibilities. Take care of all office equipment: project telephone, fax, and email system, ensuring proper recording and archiving;
3. Be responsible for the project filing system. This includes setting up the filing, numbering and archiving of all incoming and outgoing correspondence and documents, publications, etc. produced under the Project;
4. Take minutes of monthly PMU staff meetings and other regular meetings (Project Steering Committee, etc.), and ensure proper dissemination and archiving;
5. Undertake all preparatory work for procurement of office equipment, stationery and support facilities as required; maintain check on all office supplies, equipment maintenance contracts, virus/other software updates, etc.;
6. Provide support in preparing project events, including workshops, meetings (monthly, quarterly and annual), training events, M&E activities, etc. This also includes preparation of background materials for use in discussions and briefing sessions on project matters with technical support from other PMU staff;
7. Logistical and travel arrangements, including visa, transportation, hotel bookings, etc. for project staff, and national and international consultants required for executing project activities;
8. Prepare on a quarterly basis a list of events (workshops, training events, meetings, etc.) on disaster risk management and other topics relevant for the SCDM Project for information sharing within the project and outside;
9. Provide administrative support to the advertisement of international and national consultant positions;
10. Assist with carrying out project communication activities in accordance with the SCDM communication plan, ensuring effective communication of project results to the Government, the DRM partners and others.

b. As an Interpreter

1. Provide professional and high quality interpretation services during Project activities, including meetings, small-scale workshops, and relevant events;
2. Provide interpretation for the NPD, international consultants, the international PMU staff - the UNDP Technical Specialist/others - as required;
3. Translate project documents, letters, materials, papers, etc. from Vietnamese into English and vice versa.
4. Assist with project communication activities, including publications, newsletters, etc.;

QUALIFICATIONS

- University degree in English language, administration or a related field;
- At least 2 years of relevant working experience in the position of a secretary and/or interpreter, preferably with donor- funded projects;
- Good secretarial skills and organizational capacity;
- Ability to work independently or with minimal supervision under multidisciplinary team, ability to handle multiple functions, work under pressure and shoulder heavy workload;
- Familiarity with Government of Viet Nam administrative and other procedures;
- Good computer skills in word processing (MS Word), spread sheet (MS Excel), Vietnamese software Unikey and other relevant software;
- Experience in working with UN agencies, especially UNDP, and an international organization is an advantage;
- Excellent spoken and writing skills in both Vietnamese and English.

REMUNERATION CONDITIONS

- The level of remuneration corresponds with the qualifications and work experiences required for the post as referred to in this ToR and the cost norms as provided for in the existing UN-EU Cost Norms Guidelines (2012).
- The payment of other related expenses follows the existing UN-EU Cost Norms Guidelines and relevant provisions of the HPPMG.

The recruitment of this position will comply with the principles of competition, openness and transparency, information sharing and compliance.

TO R FOR TECHNICAL SPECIALIST – DISASTER RISK MANAGEMENT

TITLE: Technical Specialist (Disaster Risk Management)
PROJECT: *Strengthening institutional capacity for disaster risk management in Viet Nam, including climate change related disasters (SCDM)*
REPORTING TO: UNDP Deputy Country Director; UNDP Head of Sustainable Development Cluster and the National Project Director
STAFF REPORTING TO: International Facilitator (UNV)/equivalent
STARTING DATE: October 2012
DURATION: 12 months (full time), with the possibility of extension
DUTY STATION: Ha Noi, Viet Nam, with possible travel to the project provinces

Background

The Technical Specialist (TS) will implement his/her main functions under the supervision of the Head of Sustainable Development Cluster. The TS will be based in the project: “Strengthening institutional capacity for disaster risk management in Viet Nam, including climate change related disasters”. Specific tasks will be agreed with the National Project Director (NPD) in the National Disaster Management Centre of the General Department of Water Resources, Ministry of Agriculture and Rural Development (MARD).

In line with UNDP Staff rules, the TS’s annual performance will be measured by a full Results and Competency Assessment (RCA). The RCA by the Supervisor, with self-assessment of the TS, will be based on inputs from the NPD, and will be reviewed by UNDP’s Competency Review Group set up by the UNDP Resident Representative. As such, the TS is fully accountable to UNDP as the funding agency for the project.

The TS supports the building of capacities of the Government of Viet Nam MARD and its relevant departments – principally the National Disaster Management Centre and other departments of the General Department of Water Resources - as well other members of the central and provincial Committee for Storm and Flood Control (CFSC), training institutions and of agencies and communities in pilot provinces, and advises on appropriate institutional arrangements, especially based on international experience and (national and international) research; plays an important role in formulation of research, partnerships and other activities under the project as well as monitoring and conclusion thereof; and is an important advisor to MARD and other project partners as well as the UNDP on technical and policy aspects of disaster risk reduction, including the effects of climate change.

In exercising his/her role, the incumbent supports the planning, management and monitoring of the project. He/she works in close collaboration with national counterparts as well as with the programme Staff in the UNDP Country Office and relevant HQs units, ensuring knowledge sharing and the highest possible quality of project outputs. He/she ensures the alignment of the project outputs with intended outcomes, benefits and impacts of the UNDP’s Sustainable Development Programme (SDP) in Viet Nam. He/she also contributes to capacity building for

Country Office Staff in the area of disaster risk reduction and climate change adaptation.

Duties and Responsibilities

Key Functions

1. Support and advise on the: strengthening of capacities of MARD - principally the National Disaster Management Centre and other departments of the General Department of Water Resources - as well other members of the central and provincial CFSC; Project planning, management and quality assurance, and documentation of project results and lesson learned for sharing; and implementation of the Prime Minister's decision on the national Community Based Disaster Risk Management Programme (CBDRM).
2. Undertake and support further analysis of the DRM institutional framework and make recommendations for adjustments and areas for improvements of the current coordinating bodies for DRM in Viet Nam, building on available analyses on strengths and in close dialogue with proponents working on climate change adaptation. Promote institutional innovations for DRM, both at central and in pilot provinces including the development and strengthening of the National DRM Centre and DRM centres in three provinces. Based on the Hyogo Framework for Action (HFA), other international agreements, related global policy frameworks and the application in Viet Nam of international lessons learned. Support activities relevant to UNDP as outlined in the five priority areas of the HFA – particularly the establishment of a National Platform for disaster risk reduction (DRR). Advocate for a multi-hazard approach and for incorporated DRM concepts, the mainstreaming of DRR and integration of climate change adaptation (CCA) in Viet Nam.
3. Work and advise on DRM legislation and policy formulation and integration of DRM concerns into the Social Economic Development plans for 2011-2015 and full implementation of the National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020. Support to the formulation of disaster risk management (DRM) legislation and policies for (DRM); Support the improvement and issuance of guidelines for emergency response and early recovery standards.
4. Contribute to the development and implementation of the UNDP's SDP in Viet Nam. This includes ensuring the alignment of the project outputs with intended outcomes of the SDP. Support UNDP's lead role as convener of the Programme Coordination Group (6) on Natural Disasters and Emergencies (PCG NDE) and as co-lead of the Early Recovery cluster (in the event of a major disaster).

Expected Results

1. **Undertake and advise on and inputs into capacity building and project management quality assurance.**
 - *Capacity assessment and training:* Provide advice in addressing capacity and knowledge gaps on DRM that exist in MARD, other Government agencies, members of the Committee for Storm and Flood Control and within UNDP; suggest measures to mainstream lessons and best practices learned elsewhere into capacity building activities under the project and give guidance in organizing

such capacity building activities. Draft and facilitate the development of ToRs (including for study tours/fellowships), review implementation plans, training curricula and materials for capacity building and training events; assist in identifying appropriate training partners/organisations; and as required lead, deliver and provide on-the-job training on relevant aspects of DRM.

- Project management, monitoring and evaluation: Provide advice to the National Project Director (NPD), the National Disaster Management Centre and to the MARD/UNDP Project Management Unit (PMU) on the preparation of high quality annual and quarterly project work plans and budgets, and provide comments on the substantive aspects before approval of work plans by the NPD and UNDP. Provide guidance in developing a project M&E framework, including indicators and baseline as well as inputs in preparing (quarterly and annual progress) project reports - focusing on results, learning lessons and documenting best practices in order to improve project performance. Provide comments on the substantive aspects of those reports before approval by the NPD and UNDP. Prepare an end-of-assignment report which focuses on lessons learned and best practices drawn from project management and capacity building processes as well as major substantive issues that have merged and that would require further assistance from UNDP in the future.

2. Undertake and support analysis and make recommendations regarding institutional development in DRM

- DRM Centres: based on existing analysis, international experience, and needs assessment in Viet Nam and specifically pilot provinces, make recommendations for adjustments and areas for improvements of the current DRM coordination and information management and sharing bodies, in dialogue with national, sub-national and international proponents working on DRM and on climate change adaptation. Support the development and strengthening of capacities of the National DRM Centre and of DRM Centres in the pilot provinces.
- Support to international-national coordination: The TS is expected to work closely with the National DMC and other departments within the General Department of Water Resources within MARD and with colleagues involved with UNDP supported projects within the Ministries of Natural Resources and the Environment (MoNRE) and in Planning and Investment as well as with CFSC members at provincial level. Advise UNDP, MARD, and Provincial People's Committees (PPCs) through the NPD, on opportunities to enhance partnership with donors, INGOs and the Red Cross Movement; help ensuring that donors with interest in the area of DRM - notably the World Bank, AusAID, the European Commission and embassies - are kept informed of the programme/projects progress, results and lessons learned and endeavour to ensure synergy, coherence and complementarities in programme activities; advise the Government and UNDP on areas of possible cooperation with other donors in the field of DRM, community based disaster risk management and climate change adaptation. Support to the establishment and operation of National Platform for disaster risk reduction (DRR).

3. Work and advise on DRM policy and guideline formulation

- *Policy advice*: Proactively engage in policy discussions and work on the formulation of concrete (nation-wide) legislations, policies and guidelines on DRM and CBDRM (Government, ministerial, provincial and local levels; national-international forums). Provide substantive inputs to the Government and provinces in order to prepare statements for important events (e.g. national conferences) and help formulate UNDP's policy positions on substantive issues (e.g. for Consultative Group Meetings, donor forums). Provide pro-active policy and practice briefs on themes addressed by the DRM programme to the Government (MARD/PPC) and UNDP, focusing on learning from experiences elsewhere with applicability in Viet Nam. Serve as an advocate for UNDP's policy sustainable development and human development concepts in the areas of crisis prevention and recovery/DRM.
- *Technical advice*: Facilitate the provision of specialized technical inputs and advising services for some project areas and review technical reports submitted to the project by the experts/agencies and sub-contracts and work with NPD/PMU/UNDP to ensure that these reports meet standards specified in the respective ToRs.
- *Knowledge sharing*: Participate in events to share knowledge/information acquired from the project and join UNDP and other international knowledge networks to extract good practices learned elsewhere in DRM, CBDRM, DRR and CCA and share those in Viet Nam.

4. Advise UNDP's SDP development and impacts and support the role of UNDP as convener of PCG NDE and as Early Recovery cluster co-lead

- *Technical inputs*: Actively contribute to the development and implementation of the UNDP's SDP in Viet Nam. Ensure synergies and coherence between the responsible project and other projects and related activities in order to materialize benefits and impacts of the UNDP's Sustainable Development Programme in Viet Nam. Provide inputs to the preparation of the one UN Programme 3 in Viet Nam, through PCGNDE.
- *Coordination inputs*: Support the role of UNDP as convener of PCG NDE, through active participation in PCG NDE meetings/other activities that promote synergies and harmonization of UN One Programme activities amongst UN system member agencies; particularly ensure that MARD DMC are engaged fully as co-chair through briefing and support and as co-lead of the Early Recovery cluster (following activation in the aftermath of a major disaster).

Impact of Results

Overall performance/impact of the TS will be assessed based on the following criteria:

- Provided high quality advice on capacity building needs and plans
- Provided effective training, with excellent facilitation skills and appropriate delivery skills and styles
- High quality inputs into project progress reports and work plans, and review-comments of high quality and relevance

- Project management advice (planning, monitoring, evaluation) of high quality and relevance
- Appropriate international and national consultants recruited and research-partnerships established by the project, and effectively coordinated and used in project implementation
- Appropriate and high quality research proposals formulated and implemented and assured high quality of research results
- Provided effective communication, with appropriate styles in different situations
- Policy and technical advice of high quality and relevance
- Significant contributions to the development and operation of the UNDP's SDP in Viet Nam.
- Effective and active (knowledge, coordination relevant) networking.

Competencies

- Demonstrated knowledge and experience in working on policy development and capacity building. This includes setting technical methods to maximize performance for the Disaster Risk Management in Viet Nam.
- Strong knowledge/experience in results based management and results oriented approach to project implementation.
- Strong inter-personal skills, communication, networking and team-building skills; competent in leading teams and creating team spirit, management of inter-group dynamics and conflicting interests of various actors, stimulating team members to produce quality outputs in a timely and transparent fashion.
- Excellent oral communication skills and excellent written communication skills, with analytic capacity and ability to synthesize project outputs and relevant findings for the preparation of quality papers and reports.
- Maturity and confidence in dealing with senior and high ranking members of national and international institutions, government and non-government; ability to deal with politically sensitive issues
- Results driven, ability to work under pressure and to meet strict deadlines; remains calm and in control under pressure.
- Consistently approaches work with energy and a positive, constructive attitude.
- Shares knowledge and experience actively, mentors project staff.
- Focuses on result for the client and responds positively to feedback.
- Demonstrates commitment to UNDP's mission, vision and values.
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability.

CriticalSuccessFactors

Whether the TS will be successful depends partly on external factors, such as the progress with overall implementation of the project by the national partners including recruitment of project personnel and procurement of equipment as per the project document. It is also important that the project and its potential results on disaster risk reduction continue to be fully supported by the national leadership. Success factors that depend directly on the TS include whether the incumbent manages to fully use his/her skills and competencies as per the above, including appropriate self-management and effective daily work planning as well as the effective use of practical tools including IT (see also Qualifications, below).

Required Skills and Experience
Education

- Advanced university degree (Masters or equivalent) in crisis prevention and recovery/disaster risk management, natural resource management, environmental sciences, or a related field.
- Understanding challenges in development work. Be able to adapt to local environment.

Experience and Skills

- At least seven (7) years working experience in the development field, especially in disaster management.
- Excellent project management skills (management of human and financial resources, team building, and ensure quality of project results as well as strict application of rules, policies and procedures)
- Knowledge of donor policies and funding modalities.
- Relevant work experience in developing countries. Previous work experience in Viet Nam or neighboring countries an important asset.
- Knowledge of UNDP programming practices is an asset;
- Experience in gender mainstreaming in policies and programmes is an asset
- Excellent skills in Standard software (Word processing, spreadsheets) are expected
- Knowledge of GIS and/or experience with the use of relational databases is an asset.

Language Requirements

- Proficiency in both spoken and written English is a must, including excellent writing skills.

ToR FOR PARTNERSHIP PROJECT COORDINATOR

| | |
|----------------------------|--|
| TITLE: | Partnership Project Coordinator (PC) |
| PROJECT: | <i>Strengthening Institutional capacity for disaster risk management in Viet Nam, including climate change related disasters (SCDM)</i> |
| REPORTING TO: | Respective line manager in CIP |
| STAFF REPORTING TO: | None |
| STARTING DATE: | September 2012 |
| DURATION: | 12 months (full time), with the possibility of extension until 31 st December 2015 |
| DUTY STATION: | Ha Noi, Viet Nam |

BACKGROUND

The UNDP/MARD Enhanced Humanitarian Response Initiative (EHRI) project funded by the Australian Government is one of the main projects designed to achieve the Outcome and Outputs under the UN One Plan: *By 2016, key national and sub-national agencies, in partnership with the private sector and communities, have established and monitor multi-sectoral strategies, mechanisms and resources to support implementation of relevant multilateral agreements and effectively address climate change adaptation, mitigation and disaster risk management (UN OP3 outcome 1.3). Resilience of at-risk and vulnerable groups to natural hazards is enhanced, and nationally relevant aspects of international agreements on disaster risk management are implemented (UN OP3 - Output 1.3.2)*

The Disaster Management Centre (DMC) of the Ministry of Agriculture and Rural Development (MARD) will be the National Implementing Partner (NIP) for the Project and will have overall responsibility for achieving the project Outcome. The implementation of a part of the Project activities will be delegated to three Co-Implementing Partners (CIPs): the Viet Nam Red Cross Society (VNRC) the Viet Nam Women's Union (VWU) and Oxfam. The aim is to create synergy among the four Project partners through a concerted effort to achieve common Outcome and Outputs and to develop innovative long-term partnerships.

The Project activities implemented by the three CIPs will focus on the institutional capacity building of the provincial Committee of Flood and Storm Control (CFSC) by rolling-out the MARD approved Training Material on disaster risk reduction (DRR) and climate change adaptation (CCA) and the *Guidelines for Emergency Response and Early Recovery*. Other focus areas are the support the Government Community Based Disaster Risk Management (CBDRM) programme, gender equality and mainstreaming, the nation-wide introduction of the improved Damage and Needs Assessment (DANA) and initiatives to improve the quality of disaster response and evidence based field research.

The VNRC, the VWU and Oxfam will each assign one PC who will be responsible for the implementation and monitoring of the Project activities within their organisation and the coordination with the other three Project partners.

REPORTING ARRANGEMENTS

The Partnership PC is a full time position. The PC will implement his/her functions and undertake specific duties under the direct supervision of the Director of Disaster Management for the VNRC or the Director of General Administration for the VWU, or the Country Representative for Oxfam.

The PCs will report to the Project Management Unit (PMU) within the DMC according to the project reporting system and keep the PMU updated on the project progress in regular meetings.

DUTIES AND RESPONSIBILITIES

- Assumes operational responsibilities for the implementation of the Project activities of his/her organisation as described in the project proposal and the Project Letter of Agreement
- Ensure the quality of the implementation by providing technical support to national staff and provincial staff of his organisation and to other organisations as specified in the project proposal.
- Coordinate and liaise regular with the PC of the other CIPs to achieve synergy
- Prepare and participate as resource persons in the training and workshops organised under the Project
- Undertake regular field trips to monitor the project progress and up-date the management of the organisation and PMU/DMC on the progress and issues of concern
- Supervise the CIP Project support staff and consultants engaged in the Project implementation
- Assume direct responsibility for managing the Project budget of the organisations and ensure the financial management and administration comply with MARD and UNDP rules
- Draft and/or organize the drafting of all project reports, including quarterly, annual and terminal reports and ensure timely submission to DMC and UNDP

QUALIFICATIONS for VNRC

- University degree (BSc. or MSc.) in environmental or natural sciences, social sciences or management
- At least five years working experience in DRR/CCA in Viet Nam, preferably obtained within the Red Cross
- Experience in gender mainstreaming

QUALIFICATION for VWU

- University degree (BSc. or MSc.) in environmental or natural sciences, social sciences, management or gender studies
- At least five years working experience in gender equality and gender mainstreaming in development. Knowledge of gender issues in DRR/CCA in Viet Nam is favoured

- Experience in the development and implementation of gender training and advocating on gender equality
- Previous experience with working with the VWU is favoured.

QUALIFICATIONS for OXFAM GB

- Advanced University degree (MSc. or PhD.) in environmental or natural sciences, social sciences or management, or natural resource management
- At least five years working experience in DRR/CCA preferably obtained in Viet Nam
- Experience with working with national and local governments. Red Cross and INGO experience in favoured
- Experience in training and the provision of technical assistance for development

QUALIFICATIONS FOR ALL ORGANISATIONS

- Excellent project management skills
- Knowledge of UNDP programming practice is an asset
- Proficiency in both spoken and written English and Vietnamese is a must, including excellent writing skills
- Willing to travel frequently to the project provinces
- Strong inter-personal skills; results driven, ability to work under pressure and to meet strict deadlines, ability to deal with complex issues; strong communication, networking and team-building skills.

ANNEX IV LETTERS OF AGREEMENTS

(NB. draft working versions only – to be finalised)

1. **LoA between the NIP and the VWU**
2. **LoA between the NIP and the VNRC**
3. **LoA between the NIP and Oxfam.**

LETTER OF AGREEMENT

Between
**The National Implementing Partner (NIP), the Disaster Management Centre,
of the Ministry of Agriculture and Rural Development**
and
the Co-Implementing Partner (CIP): the Vietnam Women's Union

for the implementation of the Project:
**'Strengthening institutional capacity for disaster risk management in Vietnam,
including climate change related risks' (#####)**

I. GENERAL INFORMATION ON THE PROJECT

Title and code of the Project: Strengthening institutional capacity for disaster risk management in Vietnam, including climate change related risks' – Phase 2.

Duration of the Project: From 1st October 2012 to June 30th 2016.

Overall and specific objectives of the Project: By the end of 2016, the Standing Office of the Central Committee for Flood and Storm Control (CCFSC), provincial Committees for Flood and Storm Control and partners in selected provinces, would have enhanced capacities for disaster risk management, specifically to undertake improved humanitarian response and utilize a range of early recovery options, that address weather related disasters in the context of a changing climate.

The Project will achieve this objective through the following strategic interventions:

Specific objectives:

- Creating innovative partnerships between the Disaster Management Centre and the Viet Nam Red Cross, the Viet Nam Women's Union and Oxfam, building on the partners' strengths and comparative advantages, enhancing their capacities in line with their respective mandates and where possible creating synergies;
- Linking national and sub-national level disaster risk management actions through a demonstrated community based disaster risk management (CBDRM) implementation, improvement of humanitarian response and early recovery through capacity building;
- Evidence-based risk informed policy process through applied research and multi-stakeholder policy dialogue; and
- Focus on gender equality and mainstreaming and cultural appropriate programming.

Major success criteria of the Project:

- The Disaster Management Centre and the three selected partners have collectively implemented a number of activities that are sustainable, gender sensitive and benefiting the most vulnerable people in the project areas. The

partnership is durable and continues after the SCDM Project has finished through a negotiated collaboration modality.

- Due to the Project activities, the NIP and CIPs have increased human resources and institutional capacity in their respective areas of expertise and generally on disaster risk reduction (DRR) and climate change adaptation (CCA).
- Increased understanding of NIP and CIP staff on gender equality and mainstreaming and culturally appropriate programming in DRR and CCA
- The Project's demonstrated Government of Viet Nam (GoV) managed CBDRM implementation in two provinces is documented and replicated in other provinces under the national CBDRM Program.
- The Government applies innovative mechanisms and tools in their disaster response and recovery operations
- New GoV policy, strategies and action plans are based on research findings and recommendations conducted under the Project
- Through a number of policy dialogue meetings and related events, the Project has influenced the DRR/CCA agenda in Viet Nam.

II. GENERAL INFORMATION ON THE NIP AND CIP

a) **National Implementation Partner: Disaster Management Centre**, General Directorate of Water Resources, Ministry of Agriculture and Rural Development

b) **Address:** 2 Ngoc Ha Street, Ba Dinh District, Hanoi, Vietnam

c) **Project Director:** Dr. Nguyen HuuPhuc

Phone/Fax number: 3 733 5686/3 733 6647

Email: nguyen.huu.phuc@ccfsc.gov.vn

d) **Account number**[.....]

1. Co-Implementing Partner: Vietnam Women's Union

a) **Address:** 39 Hang Chuoi Street, Hanoi, Viet Nam.

b) **Representative:** Ms. Hoang Thi Ai Nhien, Vice-president of the Vietnam Women's Union.

Tel: 84 4 3971 9910.

Fax: 04 3971 3143

Email: ainhienqb@yahoo.com

c) **Account:**

CIP Bank Account Details:

| | | |
|--------------------------|------------------------|--|
| Bank Account | Name of Account | <i>Dự án tăng cường hợp tác cúng phò vóithiêntai cấpquốcgia vàđịa phương</i> |
| | Currency | USD |
| | Number | 1240202012950 |
| | Currency | VND |
| | Number | 1240202012944 |
| Bank | Name | <i>Ngân hàng Nông nghiệp và Phát triển Nông thôn (Agribank)</i> |
| Branch | Name of Branch | <i>Chi nhánh Hoàng Mai</i> |
| | Address | Hà Nội |
| Code | Country | Vietnam |
| | Swift Code | 3. |
| Payment Reference | | <i>(will provide the donor code later)</i> |

III. PURPOSE AND PRINCIPLES OF THE LETTER OF AGREEMENT**1. Purpose**

The purpose of this Agreement is to detail the roles and responsibilities of the CIP to undertake a set of agreed activities for which the CIP is the designated lead agency (under section 4 The Annual and Quarterly Workplans, pages 19-24 of the Project Proposal *see attached*) to ensure that the objective of contributing to the successful implementation of the entire Project is attained and that the capacity of the CIP itself is strengthened.

2. Principles

- a) The CIP is the Implementing Partner of a component of the Project and, at the same time, may be one of its beneficiary institutions. Therefore, the CIP is both accountable to the NIP and other Implementing Partners (if any) for the success of the Project.
- b) In its capacity as a co-implementing partner, the CIP is responsible for contributing to and utilizing the inputs of the Project to support the implementation of the activity(s) assigned to it in accordance with the provisions agreed with the NIP and other CIP(s) if any, and is allowed to use the results for the benefit of its own Organization/Unit.
- c) The CIP is directly responsible for implementing the activity(s) described in this Agreement and is accountable to the NIP for the successful implementation of such activity(s). In this spirit, the CIP works in partnership and with the overall guidance of the NIP and in close cooperation with the UNDP Country Office, while the NIP assumes the overall responsibility for the implementation of the entire UNDP-supported Project.

- d) The Harmonized Programme and Project Management Guidelines (HPPMG) of May 2010 will specifically guide the management and implementation of this UNDP-supported project under the National Implementation Modality (NIM) as well as the coordination responsibilities of parties involved in other implementation modalities, including the National Implementing Partner, the Co-Implementing Partners (CIP's), the Project Management Unit (PMU) and the Country Office of the UNDP.
- e) The Project NIP and CIP will strive to ensure that the principles of gender equality, non-discrimination, fair treatment, transparency and accountability are upheld in conducting all project activities.
- f) All activities undertaken by the CIP will be in accordance with the Detailed Project Outline (to which this LoA is appended).

3. Success criteria for the expected outputs of the Project

- a) Become a member of the Central Committee for Flood and Storm Control.
- b) All selected communes to have their own annual gender sensitive action plans for disaster risk reduction (DRR).
- c) All selected communes can develop the socio-economic development plans that ensure gender perspectives.
- d) Selected communes have some models for DRR with gender –responsiveness.
- e) Gender advocacy undertaken at policy levels through the use of models, realistic experiences and information from project results.

4. Success criteria for the stated activities of the Project

- a) 200 trainers receive knowledge of gender issues in DRR and climate change adaptation (CCA).
- b) Local Government officers and members of the CFSCs in the selected communes receive training and are aware of gender issues and women's contributions in DRR.
- c) Members of the CFSCs in the selected communes know how to integrate and show concern for women's and children's matters/needs when designing the actions plans for DRR in their own communes.
- d) Local Government officers in the selected communes know how to integrate gender issues into socio-economic development plans in their communes.
- e) Each selected commune has at least one model of DRR targeted towards women.
- f) There are a series of training and communication messages/materials produced for Training of Trainers and for local use.

IV. SCOPE OF THE LETTER OF AGREEMENT

1. Beneficiaries

- The Women's Union staff from the Central to the commune levels;
- Members of the Women's Union;
- Local women, and
- Local government officers in the selected project sites.

2. Location

- a) At national and sub-national levels
- b) Two focus provinces
- c) 5 communes in selected provinces determined by the Women's Union
- d) 20 of the most disaster prone provinces¹⁶

3. Duration

From 1stDecember 2012 to 31stDecember 2016.

V. CONTENTS AND RESULTS OF THE LETTER OF AGREEMENT

The Viet Nam Women's Union

The CIP, the VWU is the lead agency for the following activities:

Activity 1.2.1.1

Sharing of lessons learned and good practices in relevant Consultative Group meetings under the National Platform for DRR and CCA (with other CIPs and UNDP)

Activity 2.1.1.2

Advocate and apply for full membership of the VWU in the C/CFSC at national and all sub-national level.

Activity 2.1.2.1

Conduct specialized training event for 200 'Provincial Trainers' each on (with other CIPs): Gender equality in DRR/CAA (2 days)

Activity 2.1.3.1

VCA in 5 communes in the 2 focus provinces facilitated by 'Provincial Trainers'

Activity 2.1.3.2

Facilitate the development of commune CBDRM action plans in 5 communes in the 2 focus provinces

Activity 2.1.3.3

Support and finance the development and implementation of small-scale structural or non-structural measures, some specifically targeted to women, in 5 communes in the 2 focus provinces, in line with local CBDRM action plans

Activity 2.2.2.1

Develop and implement public awareness programmes on gender equality in DRR/CCA, nationwide and specifically in 5 priority provinces

¹⁶Based on historical data on disaster exposure and risk by the Central Committee for Flood and Storm Control (CCFSC)

Activity 3.1.2.1

Facilitate the mainstreaming of 15 CBDRM plans into the commune and district Socio-Economic Development Plans in 2 focus provinces

VI. TOTAL BUDGET FOR THE LETTER OF AGREEMENT

Total budget [State the budget amount allocated to the Implementation of the Agreement, in both numbers and words, using the US Dollar and the Vietnamese Dong as appropriate]

| | |
|------------------------------|---------------------------------|
| Total project budget: | USD4,950,000, including: |
| c) Total grant ODA: | USD4,700,000 |
| • Committed grant: | USD3,200,000 |
| • To be mobilized: | USD1,500,000 |
| d) Counterpart funding: | VND5,267,000,000 (≈USD250,000) |
| • In-cash: | VND3,994,000,000 (≈USD190,000) |
| • In-kind: | VND1,273,000,000 (≈USD60,000) |

The total activity budget for **VWU** is USD#####.

VII. IMPLEMENTATION MEASURES

1. Work planning

Annual and quarterly work plans (AWP and QWP) will be prepared by the NIP with the support from the Project Management Unit (PMU) and with input from the CIP.

The CIP will provide their annual and quarterly work plans to the NIP via the PMU based on an agreed time schedule and format.

The NIP will appraise the AWP/QWP and the bi-annual narrative and financial reports of the CIP before forwarding these plans and reports for approval by MARD and UNDP and incorporation into the final AWP/QWP.

Based upon approved work plans, budgets per annum will be directly provided by UNDP to the CIP.

2. Coordination arrangements

National Implementing Partner

The NIP will be responsible for the day to day management and implementation of the Project activities through the PMU and will oversee and coordinate the implementation of activities by the CIP in line with this LoA.

The Project Management Unit (PMU)

The PMU will be hosted by the DMC in MARD and undertake the following roles and responsibilities:

- Prepare work plans and reports for the DMC on Project activities

- Support the Project Steering Committee and translate their guidance into day-to-day Project management
- Provide technical support to MARD, the provincial authorities, the CIP for implementation of Project activities
- Provide technical support to the CIP on the financial management, reporting and M&E requirements of the Project
- Appraise the Annual Work Plans (AWP) and Quarterly Work Plans (QWP), narrative and financial reports of the CIP
- Organize regular coordination meetings among the four Project parties (NIP and the three CIP)
- Monitor the Project progress of the CIP.

Co-implementing Party

The NIP will delegate the implementation of a number of activities to the CIP in accordance with the Annual and Quarterly Workplans and as agreed in Section V of this Letter of Agreement (LoA).

The CIP is responsible for the implementation of the Project activities as described in the Annual and Quarterly Workplans. In addition, the CIP is responsible for ensuring that the implementation of the Project activities delegated to them contributes to the achievement of the Project Outcomes and Objectives in a coordinated, efficient and coherent manner with the other parties, per roles in the implementation as outlined in the Annual and Quarterly Workplans.

UNDP

Administration

Upon the designation of the UNDP Country Director, the UNDP Programme Officer for DRM will act as a focal point of the UNDP Country Office in assuring the implementation of Project activities in accordance with UNDP programme management rules and regulations and in compliance with the overarching MARD/UNDP project Detailed Project Outline, the AWP and the HPPMG.

The Programme Officer will help to maintain the partnership with MARD, the NIP and the CIP in the Project.

In liaison with the DMC and PMU, the UNDP Programme Officer will ensure regular quality assurance; participate in all PSC meetings, work/budget planning meetings; provide clearance of Project related ToRs and reports and support other activities as deemed necessary.

The Programme Officer also will appraise and clear the AWP, QWP and progress reports developed by the PMU with the CIP, prior to approval by the UNDP Head of

Sustainable Development Cluster/Assistant Country Director and finally the Country Director.

Technical Assistance

Overall technical assistance to the Project will be provided by a UNDP international Technical Specialist for disaster risk management.

The Technical Specialist will provide technical advice and support to MARD/DMC and the CIP and will ensure that relevant Government policy making processes benefit from UNDP's global, regional and national expertise.

The Technical Specialist will provide regular recommendations to the DMC of the linkages and synergies with other disaster risk management and climate change actors, development projects and opportunities for collaboration, e.g. in capacity development, at national, regional and global levels.

The Technical Specialist will also encourage regular contact, information exchange and collaboration with other UNDP projects.

Project Steering Committee (PSC)

The MARD representative will be the chairperson of the PSC.

The PSC is formed of managers from MARD and its relevant departments, such as the DMC, Department of Dyke Management Flood and Storm Control, the International Cooperation Department and UNDP.

Committee for Flood and Storm Control (CFSC) representatives from selected provinces will also be part of the PSC.

The established PSC will be strengthened further by the presence, as observers, of senior representatives from each of the three CIP:

- the Secretary General (or the Director of the Disaster Management Department of the VNRC);
- the President (or Vice-President) or the Director of the Administration Department of the VWU;
- the Country Representative of Oxfam, and
- one representative from AusAid.

The PSC meets annually, makes decisions and provides guidance for the implementation of Project activities, including approval of the AWP and Project budget revisions.

Provincial management arrangements

The provincial CSFC will be the main Government (GoV) partner for Project implementation in the two Project focus provinces and the priority provinces.

The CIP will work through the Provincial CFSC to build the capacity of the Provincial Community Based Disaster Risk Management (CBDRM) Technical Working Group, chaired by the head of Standing Office of the Provincial CFSC. Project implementation of CBDRM activities will be in close alignment with the GoV approved National Implementation Guidelines for the implementation of the CBDRM Programme.

Regular coordination meetings at the provincial level will be chaired by the head of the Standing Office of the provincial CFSC with technical support from the CIP if required.

Participatory M&E will be carried out by the three CIPs with involvement of the CFSC and M&E staff of the CIP, the UN and others as deemed appropriate.

MARD, through the NIP will communicate clear instructions to the provincial CFSCs involved on Project activities and Project implementation modalities.

3. Management arrangements (including financial management)

3.1 Compliance with ODA management regulations of the Government, the UN Agency and detailed procedures of the IP

The Project implementation complies with regulations stipulated in the Viet Nam - United Nations Harmonised Programme and Project Management Guidelines (HPPMG) and the current regulations on ODA project management.

The Project implementation complies with regulations stipulated in the Viet Nam - United Nations Harmonised Programme and Project Management Guidelines (HPPMG) and the current regulations on ODA project management.

Cost norms

- Policies, standards and cost norms are applied in accordance with HPPMG regulations.

3.2 CIP's internal arrangements and personnel for Project management

Hiring of national or international specialists

The CIP, with the consent of the NIP and UNDP, may independently hire national or international specialists to assist with the implementation of different Project activities.

3.3 Authorities and division of responsibilities

Project Manager: Ms. Tran Thu Thuy, Director of General Office of the Vietnam Women's Union: in charge of all activities of Women's Union site and budget.

- Deputy Project Manager:* Ms. Pham Thi Huong Giang, Deputy Director of General Office: activities in priority communes and provinces, communication activity.
- Project Coordinator:* (to be recruited and salaried from project): in charge of coordinating project activities within Women's Union system and with UNDP, DMC and CIPs; preparing all project reports; project monitoring when required; project administration; finalizing project training materials.
- Project Officer 1:* Ms. Nguyen Thi Hien: in charge of the rest of activities for other provinces; training materials and activities.
- Project Officer 2:* Ms. Nguyen Thi Thanh Thuy acts as Accountant for project and other assigned activities.

3.4 Reporting requirements

The NIP, through the PMU will be responsible for the day to day management and implementation of the Project activities and will oversee the implementation of activities by the CIPs.

The NIP will appraise the annual work plans (AWP) and the bi-annual narrative and financial reports of the CIP before forwarding these plans and reports for approval by MARD and UNDP.

Project monitoring and evaluation (M&E) will be undertaken by the NIP with UNDP TA, by the CIP (and the other two CIP) and independently recruited international and national consultants.

A comprehensive M&E framework for the Project, based upon a Results and Resources Framework will be developed from Project inception. Regular implementation reports will be prepared by the CIPs and submitted to the NIP who will compile and submit through the PMU to UNDP.

An anticipated reporting schedule will be in the form of bi-annual reports (according to an agreed timeframe and format requirements); a Mid-Term External Review (at the end of 2014); and a Final Independent Evaluation (at the end of 2016).

A participatory approach to M&E will be utilized to assess progress and measure efficiency of the Project inputs, jointly with the CIP. Data collected, good practice and lessons learned will be shared with a broad range of stakeholders through reports and workshops, under the National Platform.

Budget for the Project M&E is held by the NIP who will ensure full participation of the CIP in M&E (in accordance with the DPO M&E Framework). Utilization of the M&E budget will be agreed by the NIP with the CIP and PMU on an annual and quarterly basis and incorporated into the respective work plans.

Lessons learnt and recommendations derived through the implementation of Project activities in the selected provinces and within sectors, will allow for modification and continual improvement of output activities. This will then be further developed for implementation in other provinces and sectors. Project methodologies and outcomes

will be replicated elsewhere, and the Project benefits to be disseminated throughout the country through the annual National Forum organized under the Platform.

3.5 Financial management

The NIP

Annual and quarterly work plans (AWP and QWP) will be approved by the NIP.

The NIP, through the PMU, will maintain overall accountability for the proper financial management of the resources that are directly managed by the NIP and the resources delegated to the CIP.

The NIP, with support from the PMU, will be responsible for consolidating the financial reports submitted to it from the CIP (as regulated by this LoA and the HPPMG) and reports to the UNDP on the use of Project resources.

The PMU

The PMU will be responsible for ensuring that an annual audit of the Project is carried out in line with the guidance from UNDP for the resources made available to them and for the resources delegated to the CIP.

The CIP

The CIP will forward their bi-annual financial reports in a timely manner to the PMU with a copy to UNDP.

The UNDP

UNDP will be responsible for transferring Project funds for the NIP inputs directly to the NIP via the Project account according to HPPMG guidelines.

Upon approval of AWP and QWP agreed with the NIP, the PMU and UNDP, the UNDP will transfer Project funds to the CIP directly to the respective account of this CIP, in accordance with the detail provided in this LoA.

a) Bank account and seal

As above. In principle, in accordance with the HPPMG.

b) Provisions on advances, payment, liquidation, cost norms

To be completed. In principle, in accordance with the HPPMG.

c) Management and archiving of books, supporting documents

To be completed. In principle, in accordance with the HPPMG.

d) Management and use of equipment

To be completed. In principle, in accordance with the HPPMG.

e) Tax provisions

To be completed. In principle, in accordance with the HPPMG

VIII. OTHER PROVISIONS

Resolution of disputes

In case of disagreement, the MARD appointed National Project Director (NPD) and UNDP can call for a meeting with the relevant parties.

Amendments

Amendments can be made to this LoA after the Project inception with thorough justification and by mutual agreement of the NIP, the CIP and UNDP.

Withdrawal from LoA

The CIP reserves the right to withdraw from this LoA at any time by providing written notification three months in advance to the NIP and UNDP.

IX. COMMITMENTS

Commitment to fully implement the activity(s) described and responsibilities stated in the Agreement;

Commitment to work with the relevant parties in the spirit of partnership, in order to satisfactorily solve all the problems/issues that might arise during the implementation of the Agreement;

Commitment to be accountable before the prevailing legislation of the Socialist Republic of Viet Nam.

**Representative of the Disaster
Management Centre**

**Representative of the Viet Nam
Women's Union**

**Nguyen HuuPhuc
Director
(Signed and sealed)**

**Ms Hoang Thi Ai Nhien,
Vice-president of the Vietnam
Women's Union
(Signed and sealed)**

LETTER OF AGREEMENT

Between
The National Implementing Partner (NIP), the Disaster Management Centre,
of the Ministry of Agriculture and Rural Development
and
the Co-Implementing Partner (CIP), Vietnam Red Cross Society

for the implementation of the Project:

***'Strengthening institutional capacity for disaster risk management in Vietnam,
including climate change related risks – Phase 2' (#####)***

I. GENERAL INFORMATION ON THE PROJECT

Title and code of the Project: Strengthening institutional capacity for disaster risk management in Vietnam, including climate change related risks' – Phase 2.

Duration of the Project: From 1st December 2012 to 31st December 2016.

Overall and specific objectives of the Project: *By the end of 2016, the Standing Office of the Central Committee for Flood and Storm Control (CCFSC), provincial Committees for Flood and Storm Control and partners in selected provinces, would have enhanced capacities for disaster risk management, specifically to undertake improved humanitarian response and utilise a range of early recovery options, that address weather related disasters in the context of a changing climate.*

The Project will achieve this objective through the following strategic interventions:

Specific objectives:

- Creating innovative partnerships between the Disaster Management Centre and the Viet Nam Red Cross, the Viet Nam Women's Union and Oxfam, building on the partners' strengths and comparative advantages, enhancing their capacities in line with their respective mandates and where possible creating synergies;
- Linking national and sub-national level disaster risk management actions through a demonstrated community based disaster risk management (CBDRM) implementation, improvement of humanitarian response and early recovery through capacity building;
- Evidence-based risk informed policy process through applied research and multi-stakeholder policy dialogue; and
- Focus on gender equality and mainstreaming and cultural appropriate programming.

Major success criteria of the Project

- The Disaster Management Centre and the three selected partners have collectively implemented a number of activities that are sustainable, gender

sensitive and benefiting the most vulnerable people in the project areas. The partnership is durable and continues after the SCDM Project has finished through a negotiated collaboration modality.

- Due to the Project activities, the NIP and CIPs have increased human resources and institutional capacity in their respective areas of expertise and generally on disaster risk reduction (DRR) and climate change adaptation (CCA).
- Increased understanding of NIP and CIP staff on gender equality and mainstreaming and culturally appropriate programming in DRR and CCA
- The Project's demonstrated Government of Viet Nam (GoV) managed CBDRM implementation in two provinces is documented and replicated in other provinces under the national CBDRM Program.
- The Government applies innovative mechanisms and tools in their disaster response and recovery operations
- New GoV policy, strategies and action plans are based on research findings and recommendations conducted under the Project
- Through a number of policy dialogue meetings and related events, the Project has influenced the DRR/CCA agenda in Viet Nam.

II. GENERAL INFORMATION ON THE NIP AND CIP

1. National Implementation Partner [*Disaster Management Centre, General Directorate of Water Resources, Ministry of Agriculture and Rural Development, 2 Ngoc Ha Street, Ba Dinh District, Hanoi*]

a) **Address:** 2 Ngoc Ha Street, Ba Dinh District, Hanoi, Vietnam

b) **Project Director** Dr. Nguyen HuuPhuc

Phone/Fax number: 3 733 5686/3 733 6647

Email: nguyen.huu.phuc@ccfsc.gov.vn

2. Co-Implementing Partner: Viet Nam Red Cross Society

a) **Address:** 82 Nguyen Du Street, Hai Ba Trung District, Ha Noi

b) **Representative:** Mr. Doan Van Thai, Vice Chairman, General Secretary

c) **Account:**

Name Account: Head Quarter Office of the Vietnam Red Cross Society

Number: 124 02 02 012836

Bank: Viet Nam Bank for Agriculture and Rural Development

Address: 813 GiaiPhong Street, Hoang Mai District, Ha Noi.

III. PURPOSE AND PRINCIPLES OF THE LETTER OF AGREEMENT

1. Purpose

The purpose of this Agreement is to detail the roles and responsibilities of the CIP to undertake a set of agreed activities for which the CIP is the designated lead agency

(under the Project's Results and Resources Framework, see attached) to ensure that the objective of contributing to the successful implementation of the entire Project is attained and that the capacity of the CIP itself is strengthened.

2. Principles

- a) The CIP is the Implementing Partner of a component of the Project and, at the same time, may be one of its beneficiary institutions. Therefore, the CIP is both accountable to the NIP and other Implementing Partners (if any) for the success of the Project.
- b) In its capacity as a co-implementing partner, the CIP is responsible for contributing to and utilizing the inputs of the Project to support the implementation of the activity(s) assigned to it in accordance with the provisions agreed with the NIP and other CIP(s) if any, and is allowed to use the results for the benefit of its own Organization/Unit.
- c) The CIP is directly responsible for implementing the activity(s) described in this Agreement and is accountable to the NIP for the successful implementation of such activity(s). In this spirit, the CIP works in partnership and with the overall guidance of the NIP and in close cooperation with the UNDP Country Office, while the NIP assumes the overall responsibility for the implementation of the entire UNDP-supported Project.
- d) The Harmonized Programme and Project Management Guidelines (HPPMG) of May 2010 will specifically guide the management and implementation of this UNDP-supported project under the National Implementation Modality (NIM) as well as the coordination responsibilities of parties involved in other implementation modalities, including the National Implementing Partner, the Co-Implementing Partners (CIP's), the Project Management Unit (PMU) and the Country Office of the UNDP.
- e) The Project NIP and CIP will strive to ensure that the principles of gender equality, non-discrimination, fair treatment, transparency and accountability are upheld in conducting all project activities.
- f) All activities undertaken by the CIP will be in accordance with the Detailed Project Outline (to which this LoA is appended).

3. Success criteria for the expected outputs of the Project

- The VNRC has increased visibility and participation in partnership and networks concerned with DRR and CC.
- The VNRC's achievements have been recognized as a member of the Central Committee for Flood and Storm Control

- All selected communes to have their own annual disaster preparedness plans for CBRDM that include risk reduction and adaptation
- The VNRC at all levels has strengthened capacity in DRR and CCA.

4. Success criteria for the stated activities of the Project

- Local Government officers and members of the CFSCs in the selected communes receive DRR/CCA training
- Guidelines for disaster response, early recovery and the CBRDM training manual for ethnic minority groups will ensure cultural appropriateness
- The pilot of PDRT will be established and trained in targeted Red Cross Chapters
- Small-scale structural or non-structural measures will be developed and implemented.

IV. SCOPE OF THE LETTER OF AGREEMENT

1. Beneficiaries

- The VNRC at all levels (Headquarters, provincial, district and communal levels) of 20 target provinces
- All PDRT's are members of Red Cross at provincial levels
- Members of CFSC at provincial levels in 20 target provinces
- Ethnic minority groups in 2 focus provinces
- Local people of 5 communes, where the VNRC supports the development of socio-economic development plans

2. Location

- 2 focus provinces and 2 other provinces
- 4 Red Cross chapters (PDRT)
- 5 communes, where the VNRC will support the development of socio-economic development plans (after VCA)
- 18 other provinces

3. Duration

From 1stDecember2012 to 31stDecember 2016.

V. CONTENTS AND RESULTS OF THE LETTER OF AGREEMENT

The Viet Nam Red Cross Society is the lead agency for the following activities:

Activity 1.1.2.1

Develop additional modules for the GoV DRR/CCA Training Materials on:

Activity 1.1.2.4

Training of four Provincial Disaster Response Teams (PDRT) in selected Project provinces

Activity 1.2.1.1

Sharing of lessons learned and good practices in relevant Consultative Group meetings under the National Platform for DRR and CCA¹⁷

Activity 1.3.2.4

Develop culturally appropriate guidelines for disaster response and early recovery for ethnic minority groups in the two focus provinces

Activity 1.3.3.1

Conduct a 2 day training event in two focus provinces for the VWU and the VNRC (National and Provincial Disaster Response Teams) in:

Activity 2.1.2.1

VCA materials¹⁸ (5days combined with piloting in activity 2.1.3.1)

Activity 192.1.3.1

VCA in 5 communes in the 2 focus provinces²⁰ facilitated by 'Provincial Trainers'

Activity 2.1.3.2

Facilitate the development of commune CBDRM action plans in 5 communes in the 2 focus provinces

Activity 2.1.3.3

Support and finance the development and implementation of small-scale structural or non-structural measures, some specifically targeted to women, in 5 communes in the 2 focus provinces, in line with local CBDRM action plans

Activity 2.1.5.1

Develop culturally appropriate CBDRM training materials for ethnic minorities in the 5 priority province.

VI. TOTAL BUDGET FOR THE LETTER OF AGREEMENT

Total budget [State the budget amount allocated to the Implementation of the Agreement, in both numbers and words, using the US Dollar and the Vietnamese Dong as appropriate]

| | |
|------------------------------|----------------------------------|
| Total project budget: | USD4, 950,000, including: |
| e) Total grant ODA: | USD4,700,000 |
| • Committed grant: | USD3,200,000 |

¹⁷Each CIP will co-chair with the NIP a minimum of two Consultative Group meetings over a period of four years, on topics specifically related to the Partnership activities.

¹⁸DMC will work closely with MARD to have the existing VNRC VCA materials officially recognized as the standard training materials to be utilized for the GoV CBDRM Programme nationwide.

¹⁹These activities will be carried out in close collaboration with the sub-national CFSCs and CBDRM TWGs to maximize GoV ownership and accountability but also ensure quality control through strong technical support in combination with capacity building

²⁰ See Management Arrangements in the Detailed Project Outline for further details

- To be mobilized: USD1,500,000
- f) Counterpart funding: VND5,267,000,000 (**≈USD250,000**)
 - In-cash: VND3,994,000,000 (≈USD190,000)
 - In-kind: VND1,273,000,000 (≈USD60,000)

The total activity budget for the **VNRC** is USD#####.

VII. IMPLEMENTATION MEASURES

1. Work planning

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The CIP will provide their annual and quarterly work plans to the NIP via the PMU based on an agreed time schedule and format.

The NIP will appraise the AWP/QWP and the bi-annual narrative and financial reports of the CIP before forwarding these plans and reports for approval by MARD and UNDP and incorporation into the final AWP/QWP.

Based upon approved work plans, budgets per annum will be directly provided by UNDP to the CIP.

2. Coordination arrangements

National Implementing Partner

The NIP will be responsible for the day to day management and implementation of the Project activities through the PMU and will oversee and coordinate the implementation of activities by the CIP in line with this LoA.

The Project Management Unit (PMU)

The PMU will be hosted by the DMC in MARD and undertake the following roles and responsibilities:

- Prepare work plans and reports for the DMC on Project activities
- Support the Project Steering Committee and translate their guidance into day-to-day Project management
- Provide technical support to MARD, the provincial authorities, the CIP for implementation of Project activities
- Provide technical support to the CIP on the financial management, reporting and M&E requirements of the Project
- Appraise the Annual Work Plans (AWP) and Quarterly Work Plans (QWP), narrative and financial reports of the CIP

- Organize regular coordination meetings among the four Project parties (NIP and the three CIP)
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The CIP is responsible for the implementation of the Project activities as described in the Annual and Quarterly Workplans. In addition, the CIP is responsible for ensuring that the implementation of the Project activities delegated to them contributes to the achievement of the Project Outcomes and Objectives in a coordinated, efficient and coherent manner with the other parties, per roles in the implementation as outlined in the Annual and Quarterly Workplans.

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Administration

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The Programme Officer will help to maintain the partnership with MARD, the NIP and the CIP in the Project.

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The Programme Officer also will appraise and clear the AWP, QWP and progress reports developed by the PMU with the CIP, prior to approval by the UNDP Head of Sustainable Development Cluster/Assistant Country Director and finally the Country Director.

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The Technical Specialist will provide regular recommendations to the DMC of the linkages and synergies with other disaster risk management and climate change actors, development projects and opportunities for collaboration, e.g. in capacity development, at national, regional and global levels.

The Technical Specialist will also encourage regular contact, information exchange and collaboration with other UNDP projects.

Project Steering Committee (PSC)

The MARD representative will be the chairperson of the PSC.

The PSC is formed of managers from MARD and its relevant departments, such as the DMC, Department of Dyke Management Flood and Storm Control, the International Cooperation Department and UNDP.

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The established PSC will be strengthened further by the presence, as observers, of senior representatives from each of the three CIP:

- the Secretary General (or the Director of the Disaster Management Department of the VNRC);
- the President (or Vice-President) or the Director of the Administration Department of the VWU;
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Regular coordination meetings at the provincial level will be chaired by the head of the Standing Office of the provincial CFSC with technical support from the CIP if required.

Participatory M&E will be carried out by the three CIPs with involvement of the CFSC and M&E staff of the CIP, the UN and others as deemed appropriate.

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The Project implementation complies with regulations stipulated in the Viet Nam - United Nations Harmonised Programme and Project Management Guidelines (HPPMG) and the current regulations on ODA project management.

The Project implementation complies with regulations stipulated in the Viet Nam - United Nations Harmonised Programme and Project Management Guidelines (HPPMG) and the current regulations on ODA project management.

Cost norms

- Policies, standards and cost norms are applied in accordance with HPPMG regulations

3.2 CIP's internal arrangements and personnel for Project management

Coordination staff of VNRC: Ms Vu Thi Phuong, Program Officer of Disaster Management Division.

3.3 Authorities and division of responsibilities

Coordination staff of VNRC responsible for implementation of VNRCs activities: Ms Vu Thi Phuong, Program Officer of Disaster Management Division.

3.4 Reporting requirements

The NIP, through the PMU will be responsible for the day to day management and implementation of the Project activities and will oversee the implementation of activities by the CIPs.

The NIP will appraise the annual work plans (AWP) and the bi-annual narrative and financial reports of the CIP before forwarding these plans and reports for approval by MARD and UNDP.

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A participatory approach to M&E will be utilized to assess progress and measure efficiency of the Project inputs, jointly with the CIP. Data collected, good practice and lessons learned will be shared with a broad range of stakeholders through reports and workshops, under the National Platform.

Budget for the Project M&E is held by the NIP who will ensure full participation of the CIP in M&E (in accordance with the DPO M&E Framework). Utilization of the M&E budget will be agreed by the NIP with the CIP and PMU on an annual and quarterly basis and incorporated into the respective work plans.

Lessons learnt and recommendations derived through the implementation of Project activities in the selected provinces and within sectors, will allow for modification and continual improvement of output activities. This will then be further developed for implementation in other provinces and sectors. Project methodologies and outcomes will be replicated elsewhere, and the Project benefits to be disseminated throughout the country through the annual National Forum organized under the Platform.

3.5 Financial management

The NIP

Annual and quarterly work plans (AWP and QWP) will be approved by the NIP.

The NIP, through the PMU, will maintain overall accountability for the proper financial management of the resources that are directly managed by the NIP and the resources delegated to the CIP.

The NIP, with support from the PMU, will be responsible for consolidating the financial reports submitted to it from the CIP (as regulated by this LoA and the HPPMG) and reports to the UNDP on the use of Project resources.

The PMU

The PMU will be responsible for ensuring that an annual audit of the Project is carried out in line with the guidance from UNDP for the resources made available to them and for the resources delegated to the CIP.

The CIP

The CIP will forward their bi-annual financial reports in a timely manner to the PMU with a copy to UNDP.

The UNDP

UNDP will be responsible for transferring Project funds for the NIP inputs directly to the NIP via the Project account according to HPPMG guidelines.

Upon approval of AWP and QWP agreed with the NIP, the PMU and UNDP, the UNDP will transfer Project funds to the CIP directly to the respective account of this CIP, in accordance with the detail provided in this LoA.

f) Bank account and seal

As above. In principle, in accordance with the HPPMG.

g) Provisions on advances, payment, liquidation, cost norms

To be completed. In principle, in accordance with HPPMG.

h) Management and archiving of books, supporting documents

To be completed. In principle, in accordance with HPPMG.

i) Management and use of equipment

To be completed. In principle, in accordance with HPPMG.

j) Tax provisions

To be completed. In principle, in accordance with HPPMG.

X. OTHER PROVISIONS

Resolution of disputes

In case of disagreement, the MARD appointed National Project Director (NPD) and UNDP can call for a meeting with the relevant parties.

Amendments

Amendments can be made to this LoA after the Project inception with thorough justification and by mutual agreement of the NIP, the CIP and UNDP.

Withdrawal from LoA

The CIP reserves the right to withdraw from this LoA at any time by providing written notification three months in advance to the NIP and UNDP.

COMMITMENTS

Commitment to fully implement the activity(s) described and responsibilities stated in the Agreement;

Commitment to work with the relevant parties in the spirit of partnership, in order to satisfactorily solve all the problems/issues that might arise during the implementation of the Agreement;

Commitment to be accountable before the prevailing legislation of the Socialist Republic of Viet Nam.

| | |
|---|---|
| Representative of the Disaster Management Centre | Representative of the Viet Nam Red Cross Society |
|---|---|

**Nguyen HuuPhuc
Director
And
National Project Director**

**Mr. Doan Van Thai, Vice Chairman,
General Secretary
Viet Nam Red Cross Society**

(Signed and sealed)

(Signed and sealed)

LETTER OF AGREEMENT

Between

the

National Implementing Partner (NIP) the Disaster Management Centre, of the
Ministry of Agriculture and Rural Development

and the

Co-Implementing Partner (CIP) Oxfam GB in Viet Nam

for the implementation of the Project:

***'Strengthening institutional capacity for disaster risk management in Vietnam,
including climate change related risks' (#####)***

I. GENERAL INFORMATION ON THE PROJECT

Title and code of the Project: Strengthening institutional capacity for disaster risk management in Vietnam, including climate change related risks' – Phase 2.

Duration of the Project: From 1st December 2012 to December 31st 2016.

Overall and specific objectives of the Project²¹:By the end of 2016, the Standing Office of the Central Committee for Flood and Storm Control (CCFSC), provincial Committees for Flood and Storm Control and partners in selected provinces, would have enhanced capacities for disaster risk management, specifically to undertake improved humanitarian response and utilise a range of early recovery options, that address weather related disasters in the context of a changing climate.

The Project²² will achieve this objective through the following strategic interventions:

Specific objectives:

- Creating innovative partnerships between the Disaster Management Centre and the Viet Nam Red Cross, the Viet Nam Women's Union and Oxfam, building on the partners' strengths and comparative advantages, enhancing their capacities in line with their respective mandates and where possible creating synergies;
- Linking national and sub-national level disaster risk management actions through a demonstrated community based disaster risk management (CBDRM) implementation, improvement of humanitarian response and early recovery through capacity building;
- Evidence-based risk informed policy process through applied research and multi-stakeholder policy dialogue; and

²¹ This refers to the Objective of the overarching MARD/UNDP project

²²The proposed Project is in line with objectives set out in Government of Viet Nam DRM and climate change strategies, Australia's Strategic Approach to Aid in Viet Nam 2010–2015 and the United Nations One Plan 3 for 2012-2016.

- Focus on gender equality and mainstreaming and cultural appropriate programming.

Major success criteria of the Project

- The Disaster Management Centre and the three selected partners have collectively implemented a number of activities that are sustainable, gender sensitive and benefiting the most vulnerable people in the project areas. The partnership is durable and continues after the SCDM Project has finished through a negotiated collaboration modality.
- Due to the Project activities, the NIP and CIPs have increased human resources and institutional capacity in their respective areas of expertise and generally on disaster risk reduction (DRR) and climate change adaptation (CCA).
- Increased understanding of NIP and CIP staff on gender equality and mainstreaming and culturally appropriate programming in DRR and CCA
- The Project's demonstrated Government of Viet Nam (GoV) managed CBDRM implementation in two provinces is documented and replicated in other provinces under the national CBDRM Program.
- The Government applies innovative mechanisms and tools in their disaster response and recovery operations
- New GoV policy, strategies and action plans are based on research findings and recommendations conducted under the Project
- Through a number of policy dialogue meetings and related events, the Project has influenced the DRR/CCA agenda in Viet Nam.

II. GENERAL INFORMATION ON THE NIP AND CIP

1. National Implementation Partner, the Disaster Management Centre, General Directorate of Water Resources, Ministry of Agriculture and Rural Development

a) **Address:** 2 Ngoc Ha Street, Ba Dinh District, Hanoi, Vietnam

b) **Project Director** Dr. Nguyen HuuPhuc

Phone/Fax number: 3 733 5686/3 733 6647

Email: nguyen.huu.phuc@ccfsc.gov.vn

c) **Account number**[.....]

2. Co-Implementing Partner: Oxfam GB in Viet Nam

a) **Address:** 22 Le Dai Hanh Street, Hai Ba Trung District, Ha Noi.

b) **Representative:** Ms Le Kim Dung, Associate Country Director – Oxfam Great Britain in Viet Nam

Tel: 84 4 3945 4362 - Ext.141

Fax: 84 4 3945 4365

Email: lkdung@oxfam.org.uk

c) Account

Oxfam Bank Account Details

| | | |
|--------------------------|--------------------------------------|--|
| Bank Account | Name of Account | Oxfam GB |
| | Currency | |
| | Number | |
| Bank | Name | |
| Branch | Name of Branch | |
| | Address | |
| | Country | |
| Code | Swift Code | |
| | IBAN | |
| | [Specify other code required] | |
| Payment Reference | | <i>(will provide the donor code later)</i> |

III. PURPOSE AND PRINCIPLES OF THE LETTER OF AGEEMENT

1. Purpose

The purpose of this Agreement is to detail the roles and responsibilities of the CIP to undertake a set of agreed activities for which the CIP is the designated lead agency (under section 4 The Annual and Quarterly Workplans, pages 19-24 of the Project Proposal see *attached*) to ensure that the objective of contributing to the successful implementation of the entire Project is attained and that the capacity of the CIP itself is strengthened.

2. Principles

- a) The CIP is the Implementing Partner of a component of the Project and, at the same time, may be one of its beneficiary institutions. Therefore, the CIP is both accountable to the NIP and other Implementing Partners (if any) for the success of the Project.
- b) In its capacity as a co-implementing partner, the CIP is responsible for contributing to and utilizing the inputs of the Project to support the implementation of the activity(s) assigned to it in accordance with the provisions agreed with the

NIP and other CIP(s) if any, and is allowed to use the results for the benefit of its own Organization/Unit.

- c) The CIP is directly responsible for implementing the activity(s) described in this Agreement and is accountable to the NIP for the successful implementation of such activity(s). In this spirit, the CIP works in partnership and with the overall guidance of the NIP and in close cooperation with the UNDP Country Office, while the NIP assumes the overall responsibility for the implementation of the entire UNDP-supported Project.
- d) The Harmonized Programme and Project Management Guidelines (HPPMG) of May 2010 will specifically guide the management and implementation of this UNDP-supported project under the National Implementation Modality (NIM) as well as the coordination responsibilities of parties involved in other implementation modalities, including the National Implementing Partner, the Co-Implementing Partners (CIP's), the Project Management Unit (PMU) and the Country Office of the UNDP.
- e) The Project NIP and CIP will strive to ensure that the principles of gender equality, non-discrimination, fair treatment, transparency and accountability are upheld in conducting all project activities.
- f) All activities undertaken by the CIP will be in accordance with the Detailed Project Outline (to which this LoA is appended).

3. Success criteria for the expected outputs of the Project

- CCFSC and CFSC officials at different levels are more conscious in getting the involvement of main mass organisations such as the VNRC and VWU and other concerned organisations in their programme planning and implementation processes.
- The CBDRM approach with gender sensitivity and cultural diversity is understood and practised by selected communes with the clear guidance of DMC and CFSC officials in charge
- A clear mechanism for sharing of related information, experience and good practices is established and used by all partners
- Research is coordinated amongst CIPs and NIP and their results are used by DMC, CCFSC and CFSC to inform their policies, strategies and plans

4. Success criteria for the stated activities of the Project

- A list of trained trainers and trainees with a clear indication of their areas of expertise in different aspects of DRR/CCA such as Sphere, Humanitarian Accountability Programme (HAP), Emergency Market Mapping and Analysis (EMMA), CBDRM, and vulnerability, capacity assessment (VCA) is made, updated and shared with others for mobilisation
- Essential materials for reference, awareness raising and advocacy, such as Sphere and HAP handbooks, beneficiary accountability in emergency, good practices in DRR/CCA/CBDRM and research studies are produced in Vietnamese and available for sharing

- CBDRM activities are implemented in 5 communes by Oxfam in coordination and consistent with the NIP and CIPs. Implementation process, learning and good practices are documented and shared with wider audiences
- Gender sensitivity with a focus on women's rights is made an integral part of all project activities
- Coordination meetings are organised regularly.

IV. SCOPE OF THE LETTER OF AGREEMENT

1. Beneficiaries: See details in Section V.

2. Location:

- a) At national and sub-national levels
- b) Two focus provinces
- c) 20 of the most disaster prone provinces²³

3. Duration: From 1st December 2012 to December 31st 2016.

V. CONTENTS AND RESULTS OF THE LETTER OF AGREEMENT

The CIP, Oxfam is the lead agency for the following activities:

Activity 1.2.1.1

Sharing of lessons learned and good practices in relevant Consultative Group meetings under the National Platform for disaster risk reduction (DRR) and climate change adaptation (CCA)²⁴

Activity 1.3.2.1

Translate into Vietnamese, publish, print and disseminate the Humanitarian Accountability Partnership (HAP) Principles and Standards in Accountability and Quality Management, (2010), and the Sphere Humanitarian Charter and Minimum Standards in Humanitarian Response (2011)

Activity 1.3.2.2

Organize one workshop on the HAP Principles and the Sphere Standards

Activity 1.3.2.3

Develop a CFSC beneficiary accountability system adapted to the Vietnamese context and publish and disseminate an accompanying booklet

Activity 1.3.4.1

Undertake a 5 day training event for DMWG members and CCFSC staff in Emergency Market Mapping and Analysis (EMMA)

Activity 1.3.4.2

²³Based on historical data on disaster exposure and risk by the Central Committee for Flood and Storm Control (CCFSC)

²⁴The CIP will co-chair with the NIP a minimum of two Consultative Group meetings over a period of four years, on topics specifically related to the Partnership activities.

Undertake a 5 day training event in EMMA for CFSC staff selected from the 5 provinces

Activity 1.3.4.3

Lead a joint EMMA in response to floods/or other disasters with participation of the provincial CFSC, VNRC, VWU and Oxfam

Activity 2.1.2.1

Conduct 8 specialized training events for 200 ‘Provincial Trainers’²⁵ on GoV approved CBDRM (3 days/course)

Activity 2.1.4.1

Collect good practices, including recommendations, for ‘*build back better*’ designs, operation and maintenance of small-scale structural and non-structural community based DRR/CCA actions

Activity 3.1.1.1

Conduct research on the cost-effectiveness of mainstreaming CBDRM in socio-economic development

Activity 3.1.1.3

Conduct evidence based research on gender mainstreaming in DRR/CCA.

VI. TOTAL BUDGET FOR THE LETTER OF AGREEMENT

Total budget [State the budget amount allocated to the Implementation of the Agreement, in both numbers and words, using the US Dollar and the Vietnamese Dong as appropriate]

| | |
|------------------------------|---|
| Total project budget: | USD4, 950,000, including: |
| g) Total grant ODA: | USD4,700,000 |
| • Committed grant: | USD3,300,000 |
| • To be mobilized: | USD1,400,000 |
| h) Counterpart funding: | VND5,267,000,000 (≈ USD250,000) |
| • In-cash: | VND3,994,000,000 (≈USD190,000) |
| • In-kind: | VND1,273,000,000 (≈USD60,000) |

The total activity budget for **Oxfam** is XXXXXXXX.

VII. IMPLEMENTATION MEASURES

1. Work planning

Annual and quarterly work plans (AWP and QWP) will be prepared by the NIP with the support from the Project Management Unit (PMU) and with input from the CIP.

The CIP will provide their annual and quarterly work plans to the NIP via the PMU based on an agreed time schedule and format.

²⁵ This activity follows after activity 1.1.2.2.

The NIP will appraise the AWP/QWP and the bi-annual narrative and financial reports of the CIP before forwarding these plans and reports for approval by MARD and UNDP and incorporation into the final AWP/QWP.

Based upon approved work plans, budgets per annum will be directly provided by UNDP to the CIP.

2. Coordination arrangements

National Implementing Partner

The NIP will be responsible for the day to day management and implementation of the Project activities through the PMU and will oversee and coordinate the implementation of activities by the CIP in line with this LoA.

The Project Management Unit (PMU)

The PMU will be hosted by the DMC in MARD and undertake the following roles and responsibilities:

- Prepare work plans and reports for the DMC on Project activities
- Support the Project Steering Committee and translate their guidance into day-to-day Project management
- Provide technical support to MARD, the provincial authorities, the CIP for implementation of Project activities
- Provide technical support to the CIP on the financial management, reporting and M&E requirements of the Project
- Appraise the Annual Work Plans (AWP) and Quarterly Work Plans (QWP), narrative and financial reports of the CIP
- Organize regular coordination meetings among the four Project parties (NIP and the three CIP²⁶)
- Monitor the Project progress of the CIP.

Co-implementing Party

The NIP will delegate the implementation of a number of activities to the CIP in accordance with the Annual and Quarterly Workplans²⁷ and as agreed in Section V of this Letter of Agreement (LoA).

The CIP is responsible for the implementation of the Project activities as described in the Annual and Quarterly Workplans. In addition, the CIP is responsible for ensuring that the implementation of the Project activities delegated to them contributes to the achievement of the Project Outcomes and Objectives in a coordinated, efficient and coherent manner with the other parties, per roles in the implementation as outlined in the Annual and Quarterly Workplans.

²⁶ The other two CIPs are the Viet Nam Women's Union (VWU) and the Viet Nam Red Cross Society (VNRC)

²⁷ Where the CIP is indicated to have the lead role

UNDP

Administration

Upon the designation of the UNDP Country Director, the UNDP Programme Officer for DRM will act as a focal point of the UNDP Country Office in assuring the implementation of Project activities in accordance with UNDP programme management rules and regulations and in compliance with the overarching MARD/UNDP project Detailed Project Outline, the AWP and the HPPMG.

The Programme Officer will help to maintain the partnership with MARD, the NIP and the CIP in the Project.

In liaison with the DMC and PMU, the UNDP Programme Officer will ensure regular quality assurance; participate in all PSC meetings, work/budget planning meetings; provide clearance of Project related ToRs and reports and support other activities as deemed necessary.

The Programme Officer also will appraise and clear the AWP, QWP and progress reports developed by the PMU with the CIP, prior to approval by the UNDP Head of Sustainable Development Cluster/Assistant Country Director and finally the Country Director.

Technical Assistance

Overall technical assistance to the Project will be provided by a UNDP international Technical Specialist for disaster risk management.

The Technical Specialist will provide technical advice and support to MARD/DMC and the CIP and will ensure that relevant Government policy making processes benefit from UNDP's global, regional and national expertise.

The Technical Specialist will provide regular recommendations to the DMC of the linkages and synergies with other disaster risk management and climate change actors, development projects and opportunities for collaboration, e.g. in capacity development, at national, regional and global levels.

The Technical Specialist will also encourage regular contact, information exchange and collaboration with other UNDP projects.

Project Steering Committee (PSC)

The MARD representative will be the chairperson of the PSC.

The PSC is formed of managers from MARD and its relevant departments, such as the DMC, Department of Dyke Management Flood and Storm Control, the International Cooperation Department and UNDP.

Committee for Flood and Storm Control (CFSC) representatives from selected provinces will also be part of the PSC.

The established PSC will be strengthened further by the presence, as observers, of senior representatives from each of the three CIP:

- the Secretary General (or the Director of the Disaster Management Department of the VNRC);
- the President (or Vice-President) or the Director of the Administration Department of the VWU;
- the Country Representative of Oxfam, and
- one representative from AusAid.

The PSC meets annually, makes decisions and provides guidance for the implementation of Project activities, including approval of the AWP and Project budget revisions.

Provincial management arrangements

The provincial CSFC will be the main Government (GoV) partner for Project implementation in the two Project focus provinces and the priority provinces.

The CIP will work through the Provincial CFSC to build the capacity of the Provincial Community Based Disaster Risk Management (CBDRM) Technical Working Group, chaired by the head of Standing Office of the Provincial CFSC. Project implementation of CBDRM activities will be in close alignment with the GoV approved National Implementation Guidelines for the implementation of the CBDRM Programme.

Regular coordination meetings at the provincial level will be chaired by the head of the Standing Office of the provincial CFSC with technical support from the CIP if required.

Participatory M&E will be carried out by the three CIPs with involvement of the CFSC and M&E staff of the CIP, the UN and others as deemed appropriate.

MARD, through the NIP will communicate clear instructions to the provincial CFSCs involved on Project activities and Project implementation modalities.

3. Management arrangements (including financial management)

3.1 Compliance with ODA management regulations of the Government, the UN Agency and detailed procedures of the IP

The Project implementation complies with regulations stipulated in the Viet Nam - United Nations Harmonised Programme and Project Management Guidelines (HPPMG) and the current regulations on ODA project management.

The Project implementation complies with regulations stipulated in the Viet Nam - United Nations Harmonised Programme and Project Management Guidelines(HPPMG) and the current regulations on ODA project management.

Cost norms

- Policies, standards and cost norms are applied in accordance with HPPMG regulations.

3.2 CIP's internal arrangements and personnel for Project management

Staffing

Senior Technical Adviser

Oxfam will recruit a full time Programme Officer²⁸ and assign time of an Oxfam Senior Technical Advisorto support the implementation of Oxfam's activities under this Agreement.

Hiring of national or international specialists

The CIP, with the consent of the NIP and UNDP, may independently hire national or international specialists to assist with the implementation of different Project activities.

3.3 Authorities and division of responsibilities

- a) Associate Country Director
 - Overall management and administration of Oxfam programmes in Viet Nam
- b) Humanitarian Programme Coordinator
- c) Senior Technical Adviser
- d) Programme Officer
- e) Emergency Manager

3.4 Reporting requirements

The NIP, through the PMU will be responsible for the day to day management and implementation of the Project activities and will oversee the implementation of activities by the CIPs.

The NIP will appraise the annual work plans (AWP) and the bi-annual narrative and financial reports of the CIP before forwarding these plans and reports for approval by MARD and UNDP.

Project monitoring and evaluation (M&E) will be undertaken by the NIP with UNDP TA, by the CIP (and the other two CIP) and independently recruited international and national consultants.

²⁸As per HPPMG, Chapter 5, 2. Recruitment principles, 2.2.5c following the regulations and procedures of Oxfam as agreed with UNDP

A comprehensive M&E framework for the Project, based upon a Results and Resources Framework will be developed from Project inception. Regular implementation reports will be prepared by the CIPs and submitted to the NIP who will compile and submit through the PMU to UNDP.

An anticipated reporting schedule will be in the form of bi-annual reports (according to an agreed timeframe and format requirements); a Mid-Term External Review (at the end of 2014); and a Final Independent Evaluation (at the end of 2016).

A participatory approach to M&E will be utilized to assess progress and measure efficiency of the Project inputs, jointly with the CIP. Data collected, good practice and lessons learned will be shared with a broad range of stakeholders through reports and workshops, under the National Platform.

Budget for the Project M&E is held by the NIP who will ensure full participation of the CIP in M&E (in accordance with the DPO M&E Framework). Utilization of the M&E budget will be agreed by the NIP with the CIP and PMU on an annual and quarterly basis and incorporated into the respective work plans.

Lessons learnt and recommendations derived through the implementation of Project activities in the selected provinces and within sectors, will allow for modification and continual improvement of output activities. This will then be further developed for implementation in other provinces and sectors. Project methodologies and outcomes will be replicated elsewhere, and the Project benefits to be disseminated throughout the country through the annual National Forum organized under the Platform.

3.5 Financial management

The NIP

Annual and quarterly work plans (AWP and QWP) will be approved by the NIP.

The NIP, through the PMU, will maintain overall accountability for the proper financial management of the resources that are directly managed by the NIP and the resources delegated to the CIP.

The NIP, with support from the PMU, will be responsible for consolidating the financial reports submitted to it from the CIP (as regulated by this LoA and the HPPMG and reports to the UNDP on the use of Project resources.

The PMU

The PMU will be responsible for ensuring that an annual audit of the Project is carried out in line with the guidance from UNDP for the resources made available to them and for the resources delegated to the CIP.

The CIP

The CIP will forward their bi-annual financial reports in a timely manner to the PMU with a copy to UNDP.

The UNDP

UNDP will be responsible for transferring Project funds for the NIP inputs directly to the NIP via the Project account according to HPPMG guidelines.

Upon approval of AWP and QWP agreed with the NIP, the PMU and UNDP, the UNDP will transfer Project funds to the CIP directly to the respective account of this CIP, in accordance with the detail provided in this LoA.

a) Bank account and seal

As above. In principle, in accordance with the HPPMG.

b) Provisions on advances, payment, liquidation, cost norms

To be completed. In principle, in accordance with the HPPMG.

c) Management and archiving of books, supporting documents

To be completed. In principle, in accordance with the HPPMG.

d) Management and use of equipment

To be completed. In principle, in accordance with the HPPMG.

e) Tax provisions

To be completed. In principle, in accordance with the HPPMG.

VIII. OTHER PROVISIONS

Resolution of disputes

In case of disagreement, the MARD appointed National Project Director (NPD) and UNDP can call for a meeting with the relevant parties.

Amendments

Amendments can be made to this LoA after the Project inception with thorough justification and by mutual agreement of the NIP, the CIP and UNDP.

Withdrawal from LoA

The CIP reserves the right to withdraw from this LoA at any time by providing written notification three months in advance to the NIP and UNDP.

IX. COMMITMENTS

Commitment to fully implement the activity(s) described and responsibilities stated in the Agreement;

Commitment to work with the relevant parties in the spirit of partnership, in order to satisfactorily solve all the problems/issues that might arise during the implementation of the Agreement;

Commitment to be accountable before the prevailing legislation of the Socialist Republic of Viet Nam.

**Representative of the Disaster
Management Centre**

**Representative of Oxfam GB in Viet
Nam**

**Nguyen HuuPhuc
Director
And
National Project Director**

**Le Kim Dung
Associate Country Director
Oxfam GB**

(Signed and sealed)

(Signed and sealed)

ANNEX V MONITORING AND EVALUATION FRAMEWORK

| PROJECT EXPECTED OUTPUTS | INDICATORS (I), BASELINES (B) AND TARGETS (T) | M&E EVENT/ ACTION | TIME SCHEDULE/ FREQUENCY | RESPONSIBILITY | MEANS OF VERIFICATION | RESOURCES | RISKS |
|--|--|--|--|--|---|---|---|
| <p>Project specific Output 1: Enhanced national and sub-national institutional capacities of Central and Provincial Committees for Flood and Storm Control (CCFSC) members and main stakeholders to consolidate the disaster risk reduction (DRR) legislative, policy and strategic framework</p> <p>Activity Result 1.1: Institutional development and capacity building of the national Standing Office of the CCFSC, CCFSC members and of provincial CFSC</p> <p>Activity Result 1.2: A M&E system</p> | <p>Indicator 1.1: Level of progress made towards the promulgation of a Disaster Risk Management (DRM) Law with its accompanying Decree</p> <p>B.1.1 (2011): By the end of 2011, Version 3 of the DRM Law was circulated to Ministries and for public consultation. A first draft of the accompanying Decree was produced</p> <p>T.1.1 (2013): Final version of the DRM Law and accompanying Decrees are completed and approved by the National Assembly</p> <p>Indicator 1.2: Rate of technical and functional capacity improvement in all components of DRM of the CCFSC and CFSC in selected high-risk provinces as compared to the baseline</p> <p>B.1.2 (2011): Results from capacity assessment of CCFSC membership.</p> <p>T.1.2 (2012): Technical and</p> | <p>Review of primary data</p> <p>Capacity assessment through key informant interviews and questionnaires</p> <p>Literature review, and</p> | <p>Annually (December 2012 and 2013)</p> <p>Beginning and end of the project</p> <p>Annually (discussion</p> | <p>Project Manager</p> <p>Consultant with TA from UNDP</p> <p>Project Manager with quality control</p> | <p>The Viet Nam Government Legal Gazette. The DRM Law and the accompanying Decree</p> <p>Initial and final capacity assessment report</p> <p>Main DRR and CCA policies,</p> | <p>Action part of APR process so no additional resources required besides time of PM</p> <p>10,000 (met by project resources)</p> <p>Action part of APR process</p> | <p>Data sources not available</p> <p>Capacity assessment does not meet UNDP quality standards of assessment</p> |

| PROJECT EXPECTED OUTPUTS | INDICATORS (I), BASELINES (B) AND TARGETS (T) | M&E EVENT/ ACTION | TIME SCHEDULE/ FREQUENCY | RESPONSIBILITY | MEANS OF VERIFICATION | RESOURCES | RISKS |
|---|--|--|--|--|---|--|--|
| <p>in place for the nationwide implementation of the National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020 and Action Plan</p> <p>Activity Result 1.3: Enhanced capacity of National Assembly's Committee of Science, Technology and Environment and GoV Drafting/Editorial Committee(s) to finalize effectively the formulation and promulgation of the Disaster Risk Management Law and accompanying Decree(s)</p> <p>Activity Result 1.4: Successful establishment and operation of a National Platform for Disaster Risk</p> | <p>functional capacities of CCFSC and the CFSC in selected high-risk provinces are improved on average by 10% and the DMC by 20% as compared to the baseline.</p> <p>T.1.2 (2016): Technical and functional capacities of CCFSC and the CFSC in selected high-risk provinces are improved on average by 35% and the DMC by 65% as compared to the baseline</p> <p>Indicator 1.3: % of new or revised DRR and CCA policies, strategies and legislation that address all components of DRM and that keep track of the changing dynamics of DRR and CCA and of climate change impacts</p> <p>B.1.3 (2011): A comprehensive overall DRR and CCA framework exists, however, the dynamic national, regional and international context and impacts of climate change requires Viet Nam to adjust the framework to this fast changing context</p> | <p>expert/policy maker discussion on review results</p> <p>Literature review, and expert/policy maker discussion on review results</p> | <p>during PSC meeting)</p> <p>Annually (discussion during PSC meeting)</p> | <p>from UNDP PO and UNDP TS</p> <p>Project Manager with quality control from UNDP PO and UNDP TS</p> | <p>strategies and legislation in Viet Nam, CCFSC annual reports, interim and final report on Hyogo Framework for Action (2010 and 2016); National Strategy 2020 (2011 and 2015) review reports.</p> <p>Main DRR and CCA policies, strategies and legislation in Viet Nam, CCFSC annual reports, interim and final report on Hyogo Framework for Action (2010 and 2016); National Strategy 2020 (2011 and 2015) review</p> | <p>so no additional resources required besides time of PO, TS and PM. PSC meeting costs (5,000 per year) met by the project.</p> <p>Action part of APR process so no additional resources required besides time of PO, TS and PM. PSC meeting costs (5,000 per year) met by the project.</p> | <p>Reluctance of GoV partners to accept assessment results</p> <p>Work overload of PMU and UNDP staff at the end of the year</p> |

| PROJECT EXPECTED OUTPUTS | INDICATORS (I), BASELINES (B) AND TARGETS (T) | M&E EVENT/ ACTION | TIME SCHEDULE/ FREQUENCY | RESPONSIBILITY | MEANS OF VERIFICATION | RESOURCES | RISKS |
|---|---|-------------------|--------------------------|----------------|-----------------------|-----------|--|
| <p>Reduction and Climate Change Adaptation</p> <p>Activity Result 1.5: Improved technical and operational systems, policies and strategies for pre- and post-disaster decision-making processes between national and sub-national levels to ensure evidence-based “building back better” early recovery and DRM programming</p> <p>Activity Result 1.6: Implementation of commitments made internationally (under the Hyogo Framework for Action) and regionally (e.g. ASEAN Agreement on Disaster Management and Emergency Response)</p> | <p>T.1.3 (2013): 25% of new or revised DRR and CCA policies, strategies and legislation addresses all components of DRM and ensures a multi-hazard approach</p> <p>T.1.3 (2016): 60% of new or revised DRR and CCA policies, strategies and legislation addresses all components of DRM and ensures a multi-hazard approach</p> <p>Indicator 1.4: % of new or revised DRR and CCA policies, strategies and legislation that take significant account of disaster risk and climate change challenges; integrate issues of gender equality and the differing needs of vulnerable groups</p> <p>B.1.4 (2011): A comprehensive overall DRR and CCA framework exists, however, the dynamic national, regional and international context and impacts of climate change requires Viet Nam to adjust the framework to this fast changing context and ensure</p> | | | | reports. | | Work overload of PMU and UNDP staff at the end of the year |

| PROJECT EXPECTED OUTPUTS | INDICATORS (I), BASELINES (B) AND TARGETS (T) | M&E EVENT/ ACTION | TIME SCHEDULE/ FREQUENCY | RESPONSIBILITY | MEANS OF VERIFICATION | RESOURCES | RISKS |
|---|---|-----------------------|--------------------------|-----------------|--|---|---|
| <p>Activity Result 1.7: Development of a comprehensive hydro-power/irrigation reservoir management system</p> <p>Activity Result 1.8: Improvement of multi-hazard integrated early warning systems in selected high risk provinces</p> | <p>that gender equality and the differing needs of the vulnerable groups are consistently addressed</p> <p>T.1.3 (2012): 50% of new or revised DRR and CCA policies, strategies and legislation take significant account of disaster risk and climate change challenges; integrate issues of gender equality and the differing needs of vulnerable groups</p> <p>T.1.3 (2016): 75% of new or revised DRR and CCA policies, strategies and legislation take significant account of disaster risk and climate change challenges; integrate issues of gender equality and the differing needs of vulnerable groups</p> | | | | | | |
| <p>Project specific Output 2: Improved capacity of the DMC and CFSC members to effectively and efficiently plan, implement, monitor and evaluate the CBDRM programme, ensuring gender sensitivity and participation of vulnerable groups (e.g.</p> | <p>Indicator 2.1: % of the targeted 6,000 vulnerable communes/wards that conduct CBDRM activities according to their locally developed plans, under the CBDRM Programme</p> <p>B.2.1 (2011): The Program has focused on developing “building blocks” and has not yet been implemented in the provinces. The 6,000 targeted communes are currently being identified</p> | Secondary data review | Annually | Project Manager | List of 6,000 vulnerable communes from CBDRM risk assessment. Annual DMC reports, provincial CFSC reports, CBDRM M&E reports, CBDRM programme mid-term review report | Action part of APR process so no additional resources required besides time of PM | <p>M&E system for CBDRM Programme not in place or fully operational</p> <p>C/CFSC and DMC reports do not adequately reflect</p> |

| PROJECT EXPECTED OUTPUTS | INDICATORS (I), BASELINES (B) AND TARGETS (T) | M&E EVENT/ ACTION | TIME SCHEDULE/ FREQUENCY | RESPONSIBILITY | MEANS OF VERIFICATION | RESOURCES | RISKS |
|---|--|--|---|---|--|---|--|
| <p>migrants, particular ethnic minorities, etc.), in both rural and urban areas</p> <p>Activity Result 2.1: Capacity of the GoV Disaster Management Centre enhanced to ensure coordinated and effective planning, management, implementation and M&E of the national CBDRM Programme</p> <p>Activity Result 2.2: Enhanced capacities of city, district, ward and commune level CFSC members to plan, implement, monitor and evaluate the GoV CBDRM program ensuring broad stakeholder participation, and aiming to improve city/commune/ward/village/household resilience to disasters and climate change</p> | <p>T.2.1 (2012): 5% of the targeted 6,000 vulnerable communes/wards that have conducted CBDRM activities according to their locally developed plans under the CBDRM Programme</p> <p>T.2.1 (2016): 40% of targeted 6,000 vulnerable communes have conduct CBDRM activities as their plan in the CBDRM Programme</p> <p>Indicator 2.2: Rate of knowledge and capacity improvement of DMC staff and CFSC staff in all provinces as compared to the baseline</p> <p>B.2.2 (2011): Current capacity of the DMC in CBDRM needs improving while staffing levels are due to increase during 2012-15. Provincial CFSC members generally have limited knowledge, skills and experience in CBDRM and require capacity development</p> <p>T.2.2 (2012): 30% of DMC staff and CFSC staff in all provinces involved with the CBDRM programme are trained and show competence in implementing the programme</p> <p>T.2.2 (2016): 100% of DMC staff and CFSC staff in all provinces</p> | <p>1.Capacity assessment through key informant interviews and questionnaires</p> <p>2. Test or questionnaire at end of the trainings</p> <p>Secondary data review and expert/policy maker discussion on review results</p> | <p>1.Beginning and end of the project</p> <p>2.When training occurs</p> <p>Annually (discussion during regular EHRI coordination meeting)</p> | <p>1.Consultancy team with TA from UNDP</p> <p>2.NIP and CIP Project Officer</p> <p>Project Manager with quality control from UNDP PO and UNDP TS</p> | <p>1. Initial and final capacity assessment report</p> <p>2. Training evaluation and post training evaluation report</p> <p>The “building blocks”; annual DMC reports; CBDRM M&E reports; CBDRM programme mid-term review report</p> | <p>1.10,000 (met by project resources)</p> <p>2.Action included in training activity resources</p> <p>Action part of APR process so no additional resources required besides time of PO, TS and PM. No added costs for EHRI coordination meetings</p> | <p>situation in the communes</p> <p>Capacity assessment does not meet UNDP quality standards of assessment</p> <p>Test or questionnaire not well developed or systemized for all trainings</p> <p>M&E system for CBDRM Programme not in place or fully operational</p> |

| PROJECT EXPECTED OUTPUTS | INDICATORS (I), BASELINES (B) AND TARGETS (T) | M&E EVENT/ ACTION | TIME SCHEDULE/ FREQUENCY | RESPONSIBILITY | MEANS OF VERIFICATION | RESOURCES | RISKS |
|--|--|-------------------|--------------------------|-----------------|---------------------------------------|---|--|
| | <p>involved with the CBDRM programme are trained and show competence in implementing the programme</p> <p>Indicator 2.3: % of “building blocks” for the CBDRM programme approved, regularly reviewed and disseminated, with wide participation</p> <p>B. 2.3 (2011): “Building blocks” for the CBDRM programme are in the final stage of development but have not been rolled out, implemented or revised. New ones are also planned to be developed.</p> <p>T. 2.3 (2012): 50% of the “building blocks” have been approved, revised and disseminated, ensuring wide stakeholder participation</p> <p>T. 2.3 (2016): 100% of the “building blocks” materials are approved and disseminated with regular revision being undertaken, ensuring wide participation and disseminated in all provinces</p> | | | | | | |
| <p>Project specific Output 3: Evidence based action research on DRR and CCA utilized to improve policy and strategy and plans developed and</p> | <p>Indicator 3.1: Number of pieces of action research on DRR and CCA undertaken. B.3.1 (2011): Recently completed research studies on: gender, climate change, migration, etc. T.3.1 (2012): A minimum of two</p> | Literature review | Annually | Project Manager | Research documentation on DRR and CCA | Action part of APR process so no additional resources required besides time of PM | Different interpretation of “action research” by reviewers |

| PROJECT EXPECTED OUTPUTS | INDICATORS (I), BASELINES (B) AND TARGETS (T) | M&E EVENT/ ACTION | TIME SCHEDULE/ FREQUENCY | RESPONSIBILITY | MEANS OF VERIFICATION | RESOURCES | RISKS |
|---|--|---|---|---|---|---|---|
| <p>implemented at national, regional and international level</p> <p>Activity Result 3.1: Applied research undertaken in DRR and CCA including the nexus with poverty, resilience and migration that informs policy, strategy and plans developed at national, regional and international level</p> <p>Activity Result 3.2: Institutional arrangements between Vietnamese and external academic bodies to undertake research and facilitate appropriate courses in DRR and CCA</p> | <p>pieces of action research on DRR and CCA undertaken.</p> <p>T.3.1 (2016): At least eight pieces of action research have been undertaken on DRR and CCA.</p> <p>Indicator 3.2: % of (the recommendations made in) the research reports that are referenced in new or revised DRR and CCA policies, strategies and plans at the national, regional and international level.</p> <p>B.3.2 (2011): Current DRR and CCA policies and strategies at the national, regional and international level are insufficiently grounded on evidence based action research undertaken.</p> <p>T.3.2 (2012): At least 50% of (the recommendations made in) the research reports (2012) are referenced in new or revised DRR and CCA policies, strategies and plans at the national, regional and international level.</p> <p>T.3.2 (2016): At least 75% of (the recommendations made in) the research reports (2012-2016) are referenced in new or revised DRR and CCA policies, strategies and plans at the national, regional and</p> | <p>Literature review, and expert/policy maker discussion on review results</p> <p>Secondary data review</p> | <p>Annually (discussion during PSC meeting)</p> <p>Annually</p> | <p>Project Manager with quality control from UNDP PO and UNDP TS</p> <p>Project Manager</p> | <p>Reference lists in new or revised DRR and CCA policies, strategies and plans developed and implemented at the national, regional and international level.</p> <p>MoUs or other formal agreements between Vietnamese and external academic bodies</p> | <p>Action part of APR process so no additional resources required besides time of PO, TS and PM. PSC meeting costs (5,000 per year) met by the project.</p> <p>Action part of APR process so no additional resources required</p> | <p>Literature review does not include most of the available revised DRR and CCA policies, strategies and plans developed at national, regional and international level</p> <p>MoUs or other agreements not available.</p> |

| PROJECT EXPECTED OUTPUTS | INDICATORS (I), BASELINES (B) AND TARGETS (T) | M&E EVENT/ ACTION | TIME SCHEDULE/ FREQUENCY | RESPONSIBILITY | MEANS OF VERIFICATION | RESOURCES | RISKS |
|--------------------------|---|-------------------|--------------------------|----------------|-----------------------|-----------|-------|
| | <p>international level.</p> <p>Indicator 3.3: Number of Memorandum of Understanding (MoU) or other formal agreements signed between Vietnamese and external academic bodies.</p> <p>B.3.3 (2011): agreement between Hanoi Water Resources University (CTIC) and the ICCCAD, Bangladesh</p> <p>T.3.3 (2012): Two MoU/equivalent developed between Vietnamese and external academic body/institutes</p> <p>T.3.3 (2016): Two MoU/equivalent developed between Vietnamese and external academic body/institutes.</p> | | | | | | |

ANNEX VI CAPACITY ASSESSMENT

**Implementing Partner Checklist
Prepared by Disaster Management Center (DMC)**

For formulating Strengthening institutional capacity for disaster risk management in Viet Nam including climate change related risks (Phase II)

| AREAS FOR ASSESSMENT | ASSESSMENT QUESTIONS | ANSWERS | REFERENCE DOCUMENTS AND INFORMATION SOURCES |
|---------------------------------------|---|--|---|
| PART I. BACKGROUND INFORMATION | | | |
| 1. History | Date of establishment of the organization: | <p>The Disaster Management Center (DMC) under the Directorate of Water Resources was established in 2010 – at the Decision No.03/2010/QĐ-TTg dated 25/1/2010 of the Prime Minister.</p> <p>DMC was previously established in 1997, under the Department of Dike Management and Flood Control, Ministry of Water Resources.</p> | |
| 2. Mandate and constituency | What is the current mandate or purpose of the organization? Who is the organization's primary constituency? | <p>The Disaster Management Center (DMC) under the Directorate of Water Resources, is responsible for co-operating with the Department of Dyke Management, Flood and Storm Control ensuring the operation of the Standing Office for the Central Committee for Flood and Storm Control (CCFSC), consults CCFSC in implementing all activities indicated at the Decision No.14/2010/ND-CP dated 27/2/2010 of the Prime Minister.</p> <p>DMC consults the Directorate of Water Resources undertaking state management functions on natural disaster reduction and climate change</p> <p>DMC is currently headed by Dr. Nguyen Huu Phuc, Director and Mr. Dang Quang Minh, Deputy Director</p> | <p>- Decision No.03/2010/QĐ-TTg dated 25/1/2010 of the Prime Minister</p> <p>- Decision No. 14 /QĐ-TCTL dated 31/3/2010 of the General Director of Directorate of Water Resources</p> |
| 3. Legal status | What is the organization's legal status? Has it met the legal requirements for operation in the programme country? | <p>- The Government Organisation Law dated 25 December 2001;</p> <p>- Decision No.03/2010/QĐ-TTg dated 25/1/2010 of the Prime Minister.</p> <p>- Decision No.14/2010/ND-CP dated 27/2/2010 of the Prime Minister</p> <p>- Decision No. 14 /QĐ-TCTL dated 31/3/2010 of the General Director of Directorate of Water Resources</p> | <p>- Government Organisation Law;</p> <p>- Decision No.03/2010/QĐ-TTg dated 25/1/2010 of the Prime Minister.</p> |

| AREAS FOR ASSESSMENT | ASSESSMENT QUESTIONS | ANSWERS | REFERENCE DOCUMENTS AND INFORMATION SOURCES |
|---|--|---|---|
| | | - All these above mentioned legal basis have met the requirements for operation in the programme country. | - Decision No.14/2010/ND-CP dated 27/2/2010 of the Prime Minister. - Decision No.14/QĐ-TCTL dated 31/3/2010 of the General Director of Directorate of Water Resources. |
| 4. Funding | What is the organization's main source (s) of funds? | The Annual State Budget is the main source of funds of DMC | - Decision No.14/2010/ND-CP dated 27/2/2010 of the Prime Minister. |
| 5. Certification | Is the organization certified in accordance with any international standards or certification procedure? | DMC is operating in accordance with the Government's standards, rules and procedures | |
| 6. Proscribed organizations | Is the organization listed in any UN reference list of proscribed organizations? | DMC is not listed in any UN reference list of proscribed organizations | http://www.un.org/sc/committees/1267/consolist.shtml |
| PART II. PROJECT MANAGEMENT CAPACITY | | | |
| 2.1 Managerial Capacity | | | |
| 1. Leadership Commitment | Are leaders of the organization ready and willing to implement the proposed project? | Commitments of leaders of DMC/Directorate of Water Resources (WRD)/Ministry of Agriculture and Rural Development (MARD) have been shown through its leading role in developing the project's DPO to support the approval of the Law of Disaster Risk Management and the implementation of the National Strategy on Disaster Reduction and the National program on Community-Based Disaster Risk Reduction. The project has been formulated under MARD leaders' direction inheriting the results of the Phase 1 of the project "Strengthening Institutional Capacity for DRM, including Climate Change Related Risks". The Project phase 1 | Interviews |

| AREAS FOR ASSESSMENT | ASSESSMENT QUESTIONS | ANSWERS | REFERENCE DOCUMENTS AND INFORMATION SOURCES |
|---|--|--|--|
| | | was directly led and managed by the Director of DMC. | |
| 2. Management experience and qualifications | Which managers in the organization would be concerned with the proposed project? What are their credentials and experience that relate to the proposed project? Do these managers have experience implementing UNDP or other donor-funded projects? | <p>Director of DMC would be expected to be the National Project Director. Director of DMC was the National Project Director of Phase 1 of the Project “Strengthening Institutional Capacity for Disaster Risk Management in Viet Nam, Including Climate Change Related Disasters Project (SCDM, 2008-2012) which was funded by UNDP and implemented by MARD from 12/2008 to 06/2012. DMC was the National Implementing Partner.</p> <p>Supporting the National Project Director will be leaders from relevant departments of WRD/MARD who are experienced in managing many projects funded by different international organizations in term of disaster risk reduction.</p> | <p>CVs of managers</p> <p>Reports of past projects</p> |
| 3. Planning and budgeting | <p>Does the organization apply a results-based management methodology?</p> <p>Are there measurable outputs or deliverables in the strategies, programmes and work plans?</p> <p>Are budgets commensurate with intended results?</p> <p>How do planners identify and accommodate risks?</p> | <p>DMC is applying a results-based management methodology.</p> <p>Annually, at the beginning of the year, DMC develops a work plan which consists of detail activities, strategy of DMC. Quarterly, First and second 6- month reports are also submitted to WRD. The Annual work plan outlines objectives, outputs, targets and specific activities to be conducted in the year. The work plan is an official document for DMC to direct its operation, to implement planned activities, and to monitor and evaluate progress during the year.</p> <p>The budget commensurate with the intended results. Risks were normally identified in the AWP or QWP with highlighted of the key challenges and suggest measures to address the risks in the QWPs</p> <p>In recent years, the Government has paid much attention to disaster risk reduction activities with the development of the Law of Disaster Risk</p> | Quarterly, First and second 6-months report |

| AREAS FOR ASSESSMENT | ASSESSMENT QUESTIONS | ANSWERS | REFERENCE DOCUMENTS AND INFORMATION SOURCES |
|---------------------------------------|--|--|---|
| | | Reduction and the implementation of the National program CBDRM. The current project SCDM Phase 2 has directly planned to support this priorities. | |
| 4. Supervision, review, and reporting | <p>How do managers supervise the implementation of work plans? How do they measure progress against targets? How does the organization document its performance, e.g., in annual or periodic reports? How are the organization's plans and achievements presented to stakeholders? Does the organization hold regular programme or project review meetings? Are such meetings open to all stakeholders? Are the organization's activities subject to external evaluation? How does the organization learn and adapt from its experience?</p> | <p>Project monitoring and evaluation (M&E) will be undertaken by the DMC (as the National Implementing Partner - NIP), by the three Co-implementing Partners (CIPs) with UNDP Technical Advisor and Programme Officer and independently recruited international and national consultants. A comprehensive M&E framework for the Project, based upon a draft M&E framework, will be developed further from Project inception.</p> <p>Regular implementation reports will be prepared by the CIPs and submitted to the NIP who will compile and submit through the PMU to UNDP for inputs and agreements.</p> <p>An anticipated reporting schedule will be in the form of bi-annual reports (according to an agreed timeframe and format requirements); a Mid-Term External Review (at the end of 2014); and a Final Independent Evaluation (at the end of 2016). Reports will be discussed extensively during frequent PMU meetings, coordination meetings with the CIPs and the annual Project Steering Committee meetings. The Project Steering Committee consists of representatives from relevant units in MARD. Representatives of the Committees for Flood and Storm Control from some selected provinces will also be part of the PSC.</p> <p>The PSC meets once a year and makes decisions and provides guidance for the implementation of Project activities, including approval of the AWP and project budget revisions. In case of disagreement, the MARD appointed National Project Director (NPD) and UNDP can call for a meeting with the relevant parties.</p> | <p>Annual reports Internal reports Evaluation reports</p> |

| AREAS FOR ASSESSMENT | ASSESSMENT QUESTIONS | ANSWERS | REFERENCE DOCUMENTS AND INFORMATION SOURCES |
|-----------------------------------|---|---|--|
| | | <p>M&E at the sub-national level will be carried out by the NIP and CIPs, in coordination with the CBDRM TWG under the Provincial CFSC. Through the regular reporting, the results will feed back into the national M&E process</p> <p>The planned Mid-Term External Review and Final Independent Evaluation will assess the Project against internationally recognized evaluation criteria of relevance, efficiency, effectiveness, impact and sustainability.</p> | |
| 5. Networking | <p>What other organizations are critical for the successful functioning of this organization? How does the organization conduct relations with these organizations? Is the organization a party to knowledge networks, coordinating bodies, and other fora?</p> | <p>DMC is responsible for co-operating with the Department of Dyke Management, Flood and Storm Control ensuring the operation of the Standing Office for the Central Committee for Flood and Storm Control (CCFSC), consults CCFSC in implementing all its activities. Meanwhile, CCFSC is a system including relevant Ministerial Boards of Flood and Storm Control and Provincial Committee for Flood and Storm Controls. CCFSC system would facilitate DMC to implement well its activities as assigned</p> <p>Additionally, DMC has broad relationships with national and international NGOs, UN agencies and Social civil organizations.</p> | Annual Reports |
| 2.2 Technical Capacity | | | |
| 1. Technical knowledge and skills | <p>Do the skills and experience of the organization's technical professionals match those required for the project? Would these professionals be available to the project? Does the organization have the necessary technical infrastructure (e.g.,</p> | <p>DMC in coordination with relevant departments in MARD own a system of officers and technical officers who are well educated with bachelor degrees and many of those have been receiving advanced technical trainings, master degrees and doctorate degrees abroad. Those officers will be mobilized to contribute to the project.</p> <p>Officers of DMC are well trained in the latest techniques and trends in their areas of expertise and project development and management through participating in international, regional, national or local meetings</p> | <p>CVs of technical officials Annual reports Reports from participation in international, regional, national or local meetings and conferences</p> |

| AREAS FOR ASSESSMENT | ASSESSMENT QUESTIONS | ANSWERS | REFERENCE DOCUMENTS AND INFORMATION SOURCES |
|--|--|---|---|
| | <p>laboratories, equipment, software, technical data bases, etc.) to support the implementation of the project?</p> <p>How do staff members of the organization keep informed about the latest techniques and trends in their areas of expertise?</p> <p>What external technical contacts and networks does the organization utilize?</p> <p>What professional associations does the organization and/or its professional staff belong to?</p> | <p>and conferences, or learning via Internet, websites.</p> <p>DMC work closely with international organizations as well as agencies from the central to local level in term of disaster risk reduction.</p> <p>Apart from consulting CCFSC system in implementing all its activities as assigned by MARD, DMC plays as a focal point in different networks of disaster risk reduction in Viet Nam such as Disaster Management Working Group, CBDRM Technical working Group and Joint Advocacy Network Initiative (JANI) for CBDRM in Vietnam. Together with Standing Office for CCFSC, DMC plays an important role in the co-operation between Vietnam and other countries in ASEAN, Asia region and in the world in term of disaster management.</p> <p>The Director of DMC, Dr. Nguyen Huu Phuc is playing as a co-chair of Emergency Preparedness Working Group (EPWG) of APEC.</p> | |
| PART III. ADMINISTRATIVE AND FINANCIAL MANAGEMENT CAPACITIES | | | |
| 3.1 Administrative capacity. Note: Answer only questions that are relevant to the proposed project. | | | |
| 1. Facilities, infrastructure and equipment | <p>Does the organization possess sufficient administrative facilities, infrastructure, equipment and budget to carry out its activities, particularly in relation to the requirements of the project?</p> <p>Can the organization manage and maintain the administrative and technical equipment and infrastructure?</p> | <p>Similar to the Project Phase 1, DMC will be provided an office space by MARD as well as basic equipment to support the project operation.</p> <p>DMC is fully equipped with administrative facilities, equipment, furniture, IT equipment and a LAN network for its daily operation. There is an IT team who provide maintenance services for the whole office and almost problems related to IT in the office have been solved in-house by this team. DMC facilities, infrastructure and equipment are determined relatively good for implementing DMC tasks and duties.</p> <p>DMC manages and maintains its administrative and technical equipment</p> | |

| AREAS FOR ASSESSMENT | ASSESSMENT QUESTIONS | ANSWERS | REFERENCE DOCUMENTS AND INFORMATION SOURCES |
|--------------------------------|---|--|--|
| 2. Procurement and contracting | <p>Does the organization have the legal authority to enter into contracts and agreements with other organizations? Does the organization have access to legal counsel to ensure that contracts are enforceable, meet performance standards, and protect the interests of the organization and UNDP?</p> <p>Does the organization have dedicated procurement capacity? Do procurement personnel have skills and experience that are appropriate to the requirements of the project?</p> <p>Does the organization have written procurement procedures?</p> <p>Is there evidence that the organization conducts procurement on the basis of best value for money, transparency, and effective international competition?</p> <p>Does the organization have a system and procedures for asset management and inventory control?</p> | <p>and infrastructure regularly</p> <p>DMC operates as an independent organization with its own accounts and seal. Hence, it has the legal authority to enter into contracts and agreements with suppliers and contractors.</p> <p>Currently, procurement of DMC has been carrying out following the steps regulated in the Viet Nam bidding law and Decrees of the Government on guidance for bidding law implementation.</p> <p>The whole procurement processes have been documented and recorded in the office documentation/filing system.</p> <p>All original supporting documents and payment vouchers related to the procurements are maintained at the office.</p> <p>DMC is fully capable in procurement and have staff with procurement certifications as per Procurement Regulations</p> <p>The procurements have been undertaken on the basis of best value for money, transparency, and effective competition. All documentations are recorded for checking and reference and can be provided upon request.</p> <p>DMC have a system and procedures for asset management and inventory control based on Vietnam law</p> <p>Assets of GSO are inventoried yearly and the inventory lists are maintained systematically for asset management and inventory control.</p> | <p>Procurement manual</p> <p>Standard contracts</p> <p>Viet Nam Bidding Law</p> <p>Decrees of the Government on guidance for Bidding Law implementation</p> <p>Documentation on procurement processes, sample contracts</p> <p>Supplier data base</p> <p>Audit reports</p> <p>Interview with legal counsel</p> <p>CVs of procurement personnel</p> |

| AREAS FOR ASSESSMENT | ASSESSMENT QUESTIONS | ANSWERS | REFERENCE DOCUMENTS AND INFORMATION SOURCES |
|--|---|---|---|
| 3. Recruitment and personnel management | <p>Does the organization have the legal authority to enter into employment contracts with individuals</p> <p>Does the organization have dedicated personnel capacity? Do recruitment personnel have skills and experience that are appropriate to the requirements of the project?</p> <p>Does the organization have written recruitment procedures?</p> <p>Is there evidence that the organization conducts recruitment objectively on the basis of competition, fairness, and transparency?</p> <p>Does the organization have a salary scale that would apply to project personnel? Would that scale inhibit the hiring of the best candidates?</p> | <p>DMC has its legal authority to enter into employment contracts with individuals. The labour contracts are signed directly between DMC and individuals.</p> <p>DMC has dedicated personnel capacity. DMC has its Personnel & Administration Division in charge of recruitment and personnel. Recruitment follows procedures of the Vietnamese government</p> <p>The recruitment has been undertaken on the basis of competition, fairness and transparency.</p> <p>Vacancy announcements have been posted widely on the newspapers for getting possible largest number of applicants for the vacant positions. However, the job description consists of job requirements, qualifications and working experience.</p> <p>The salary scale being applied currently is the salary scale for government officer</p> | <p>Personnel manual</p> <p>Standard contracts and agreements</p> <p>Audit reports</p> <p>Job descriptions or terms of reference</p> <p>Documentation of recruitment processes</p> <p>Roster files of potential job candidates</p> <p>CVs of recruitment personnel</p> |
| 3.2 Financial Management Capacity | | | |
| 1. Financial management organization and personnel | <p>Does the organization have written rules and regulations for financial management that are consistent with international standards?</p> | <p>DMC follows rules and regulations for financial management regulated by the Government. DMC has a dedicated unit which is responsible for finance consisting of officers who have many experience years. Additionally, DMC has rich experiences in managing a range of projects from different funds/resources.</p> | <p>CVs of financial personnel</p> <p>A bank account or bank statements</p> |

| AREAS FOR ASSESSMENT | ASSESSMENT QUESTIONS | ANSWERS | REFERENCE DOCUMENTS AND INFORMATION SOURCES |
|-----------------------|---|---|---|
| | <p>Does the organization have a dedicated finance unit?</p> <p>Do finance managers and personnel have skills and experience that are appropriate to the requirements of the project? Is the existing financial management capacity adequate to meet the additional requirements of the project?</p> <p>Do finance personnel have experience managing donor resources?</p> | <p>Finance managers and personnel have skills and experience to the requirements of the project. They have been trained and worked for different projects of UNDP and other donors.</p> <p>The existing financial management capacity adequate to meet the additional requirements of the project. We have a concrete system of financial management which follows rules and regulations and adequate human resources which have been trained to meet the requirements of the project.</p> <p>DMC has done a series of projects funded by different resources as well as government budget. Therefore, finance personnel has adequate experience managing donor resources through their experience and trainings</p> <p>DMC always ensured progress of annual workplan with high quality and high spending rate (80% or more than). The results of independent auditing were always good and GSO was always in the top for good auditing results among UNDP supported projects.</p> | |
| 2. Financial position | <p>Does the organization have a sustainable financial position?</p> <p>What is the maximum amount of money the organization has ever managed? If the proposed project is implemented by this organization, what percentage of the organization's total funding would the project</p> | <p>State budget is the main source of funding of MARD/DMC and therefore, it has a very sustainable financial position. This shows that the government is paying more attention to DMC because of its increasing recognition of the importance of disaster sector and also one of the main reasons because of good and financial management and usage made by DMC.</p> <p>MARD/DMC has ever managed a significant proportion of fund that the Vietnamese government allocates to maintain the operation of the system in term of disaster management. The resources would be different year by year depending on the situation of natural disasters.</p> | |

| AREAS FOR ASSESSMENT | ASSESSMENT QUESTIONS | ANSWERS | REFERENCE DOCUMENTS AND INFORMATION SOURCES |
|---------------------------------------|---|--|--|
| 3. Internal control | <p>comprise?</p> <p>Does the organization maintain a bank account? Does the organization have written rules and procedures on segregation of duties for receipt, handling and custody of funds? How does the organization ensure physical security of advances, cash and records? Does the organization have clear written procedures and internal controls governing payments? How does the organization ensure that expenditures conform to their intended uses? Does the organization have a policy requiring two signatures for payments over a defined limit? Is there any evidence of non-compliance with financial rules and procedures?</p> | <ul style="list-style-type: none"> - DMC's finance officials maintain the optional system for monitoring and recording receipts and disbursement of its activities. DMC's funds are kept in 1 account in the State Treasury of Ba Dinh District. - The transactions are made through these accounts according to the policies, rules and regulations regulated by the Ministry of Finance. All original supporting documents and payment vouchers of DMC are maintained at DMC' office. - The Internal Control of DMC is compliant with the Viet Nam law on accounting and finance management in which the segregation of duties, 3 signatures are fully applied - With the projects funded by International Donors, DMC complied with Donor's rules and regulations in managing and using the cash, advance and records for ensuring its physical security. - The expenditures were always matched to its intended uses and it was presented/recorded in the progress reports submitted and accepted by the Donors. - There is no evidence/finding of non-compliance with financial rules and procedures detected by the independence auditors. | <p>Finance manual Financial rules and regulations Audit Reports</p> |
| 4. Accounting and financial reporting | <p>Are accounts established and maintained in accordance with national standards or requirements? When and to whom does the organization provide its</p> | <ul style="list-style-type: none"> - DMC bank accounts are established and maintained in accordance with national standards and the requirements of MOF and Viet Nam law on accounting and finance management. - DMC finance reports are submitted to Directorate of Water Resources - DMC tracks and reports separately on the receipt and use of | <p>Description of accounting system and reporting arrangements Financial reports Audit Reports</p> |

| AREAS FOR ASSESSMENT | ASSESSMENT QUESTIONS | ANSWERS | REFERENCE DOCUMENTS AND INFORMATION SOURCES |
|----------------------|---|---|---|
| | financial statements? Can the organization track and report separately on the receipt and use of funds from individual donor organizations? Is there any evidence of deficiencies in accounting or financial reporting? | funds from individual/different donors. - There is no evidence/finding of non-compliance with financial rules and procedures detected by the independence auditors. | |
| 5. Audit | Is the organization subject regularly to external audit? Is audit conducted in accordance with international audit standards? Are audit findings public? If so, have the organization's financial audits produced any significant recommendations for strengthening of financial systems and procedures? Have audits identified instances non-compliance with rules and procedures or misuse of financial resources? What has been done to carry out audit recommendations? | <ul style="list-style-type: none"> - State Audit Office conduct audit annually in compliant to the rules, charters regulated in the Viet Nam law on accounting and finance management. Audit findings are submitted to Directorate of Water Resources. Documents can be submitted upon request. Audit conduct according to Viet Nam law. Audit findings could be public as required, however, there has been no significant recommendations for strengthening of financial systems and procedures made by the financial audits. - With projects funded by International Donors, independent audits are defined by the Donors in accordance with international audit standards. DMC is always willing to work with the independent audit firms. - Audits have never identified instances non-compliance with rules and procedures or misuse of financial resources. - All follow-up actions were proposed by DMC based on the audits' recommendations and these follow-up actions have been carried out timely to improve the quality/progress in managing/implementing projects funded by international donors. | Audit reports Audit follow up reports |

ANNEX VII ODA FINANCING AND GOVERNMENT CONTRIBUTION

OVERALL ODA BUDGET PLAN 2012-2016

| Output | Budget | |
|--|-----------|----------------|
| | USD | 1,000 VND |
| Output 1: Enhanced national and sub-national institutional capacities of Central and Provincial Committees for Flood and Storm Control (CCFSC) members and main stakeholders to consolidate the disaster risk reduction (DRR) legislative, policy and strategic framework | 1,887,910 | 38,702,155,000 |
| Output 2: Improved capacity of the DMC and CFSC members to effectively and efficiently plan, implement, monitor and evaluate the CBDRM programme, ensuring gender sensitivity and participation of vulnerable groups (e.g. migrants, particular ethnic minorities, etc.), in both rural and urban areas | 1,118,911 | 22,937,675,500 |
| Output 3: Evidence based action research on DRR and CCA utilized to improve policy and strategy and plans developed and implemented at national, regional and international level | 281,000 | 5,760,500,000 |
| Output 4: Project M&E and Management | 1,412,179 | 28,949,669,500 |
| Total | 4,700,000 | 96,350,000,000 |
| <i>Exchange rate: 1US\$ = 20500VND</i> | | |

OVERALL GOVERNMENT CONTRIBUTION 2013-2016

| No. | Items | Unit price/ year 1 | Year 2 | Year 3 | Year 4 | Amount |
|-----|--|-----------------------|--------------------|--------------------|--------------------|----------------------|
| I | In cash | 828.300.000 | 932.665.800 | 1.050.181.691 | 1.182.504.584 | 3.993.652.075 |
| 1 | Allowance, overtime cost for DMC officers, translation, interpreting cost | <i>270.000.000</i> | <i>304.020.000</i> | <i>342.326.520</i> | <i>385.459.662</i> | <i>1.301.806.182</i> |
| | Allowance for NPD and for Project Coordinator | 60.000.000 | 67.560.000 | 76.072.560 | 85.657.703 | 289.290.263 |
| | Overtime and weekend cost for DMC officers participating the Project | 110.000.000 | 123.860.000 | 139.466.360 | 157.039.121 | 530.365.481 |
| | Translation, interpreting cost | 100.000.000 | 112.600.000 | 126.787.600 | 142.762.838 | 482.150.438 |
| 2 | Office supplies, stationery | <i>84.000.000</i> | <i>94.584.000</i> | <i>106.501.584</i> | <i>119.920.784</i> | <i>405.006.368</i> |
| | Stationery | 84.000.000 | 94.584.000 | 106.501.584 | 119.920.784 | 405.006.368 |
| | <i>Printer ink</i> | | | | | |
| | <i>Photocopy ink</i> | | | | | |
| | <i>Fax ink</i> | | | | | |
| | <i>CD-room</i> | | | | | |

| No. | Items | Unit price/ year 1 | Year 2 | Year 3 | Year 4 | Amount |
|----------|--|-----------------------|--------------------|--------------------|--------------------|--------------------|
| | <i>Paper+photo</i> | | | | | |
| | <i>Lever arch file</i> | | | | | |
| | Officer supplies, other tools (seal box, clear bag, pen, paper, ...) | | | | | |
| 3 | Communication, media, publication, related materials | 124.000.000 | 139.624.000 | 157.216.624 | 177.025.919 | 597.866.543 |
| | Telephone, fax, internet charge | 60.000.000 | 67.560.000 | 76.072.560 | 85.657.703 | 289.290.263 |
| | Domestic and foreign postage price | 12.000.000 | 13.512.000 | 15.214.512 | 17.131.541 | 57.858.053 |
| | Media, publication, materials | 12.000.000 | 13.512.000 | 15.214.512 | 17.131.541 | 57.858.053 |
| | Official gazette: (English, Vietnamese) | 40.000.000 | 45.040.000 | 50.715.040 | 57.105.135 | 192.860.175 |
| 4 | Public service | 7.000.000 | 7.882.000 | 8.875.132 | 9.993.399 | 33.750.531 |
| | Electricity, water, security | 5.500.000 | 6.193.000 | 6.973.318 | 7.851.956 | 26.518.274 |
| | Other hiding costs | 1.500.000 | 1.689.000 | 1.901.814 | 2.141.443 | 7.232.257 |
| 5 | Workshop, seminar, meeting | 184.000.000 | 207.184.000 | 233.289.184 | 262.683.621 | 887.156.805 |
| | Venue cost | 40.000.000 | 45.040.000 | 50.715.040 | 57.105.135 | 192.860.175 |
| | Traveling cost for participants | 72.000.000 | 81.072.000 | 91.287.072 | 102.789.243 | 347.148.315 |

| No. | Items | Unit price/ year 1 | Year 2 | Year 3 | Year 4 | Amount |
|-----------|---|-----------------------|----------------------|----------------------|----------------------|----------------------|
| | Copy, print workshop documents | 72.000.000 | 81.072.000 | 91.287.072 | 102.789.243 | 347.148.315 |
| 6 | Repair, maintenance office equipment | 84.000.000 | 94.584.000 | 106.501.584 | 119.920.784 | 405.006.368 |
| | Repair, maintenance office equipment | 84.000.000 | 94.584.000 | 106.501.584 | 119.920.784 | 405.006.368 |
| 7 | Contingency | 75.300.000 | 84.787.800 | 95.471.063 | 107.500.417 | 363.059.280 |
| II | In kind | 264.000.000 | 297.264.000 | 334.719.264 | 376.893.891 | 1.272.877.155 |
| 1 | Office | 264.000.000 | 297.264.000 | 334.719.264 | 376.893.891 | 1.272.877.155 |
| | TOTAL | 1.092.300.000 | 1.229.929.800 | 1.384.900.955 | 1.559.398.475 | 5.266.529.230 |

ANNEX VIII LIST OF PROPOSED PROJECT PROVINCES

| No. 20 Project provinces | |
|--|----------------------------------|
| 1 | Thừa Thiên Huế |
| 2 | Quảng Ngãi |
| 3 | Quảng Trị |
| 4 | Quảng Bình |
| 5 | Thanh Hóa |
| 6 | Bình Định |
| 7 | Quảng Nam |
| 8 | Nghệ An |
| 9 | Phú Yên |
| 10 | Bình Thuận |
| 11 | Hà Tĩnh |
| 12 | Lào Cai |
| 13 | Đắk Lắk |
| 14 | Quảng Ninh |
| 15 | Hà Giang |
| 16 | Yên Bái |
| 17 | Khánh Hòa |
| 18 | Lạng Sơn |
| 19 | Phú Thọ |
| 20 | Sơn La |
| 21 | Đồng Tháp |
| 22 | An Giang |
| NB: 20 provinces will be selected from this list of 22 provinces | |
| No. 5 suggested priority provinces (tbc) | Partner |
| 1 | Nghệ An VNRC – VWU - Oxfam |
| 2 | Hà Tĩnh VNRC – VWU – Oxfam |
| 3 | Lào Cai Oxfam |
| 4 | Bình Định or Phú Yên VNRC |
| 5 | Thừa Thiên Huế or Quảng Ngãi VWU |
| No. 2 suggested focus provinces from the list of priority provinces | |