

PROJECT DOCUMENT**Viet Nam**

Project Title: *Supporting the improvement of Social Assistance system in Viet Nam, period 2017-2020 (SAP phase II)*

Project Number:

Implementing Partner: Ministry of Labour, War Invalids and Social Affairs

Start Date: Aug 2017 **End Date:** Dec 2020

PAC Meeting date: 3 July 2017

Brief Description

As envisaged at the outset of the Social Assistance Protection (SAP) project, after the first phase under which support has been provided to the formulation of the Master Plan for Social Assistance Reform (MPSAR), the second phase of the SAP project will be designed, taking into the account the lessons learned in the first phase, to support the MPSAR implementation. The project "Supporting the improvement of Social Assistance system in Viet Nam, period 2017-2020" (as the SAP-phase II) will aim to support the Government of Viet Nam to effectively and efficiently implement the newly approved MPSAR. Challenges for MPSAR implementation as identified during the phase I of SAP implementation period from 2013-2016 include: i) *Overlaps in institutional mandate, fragmentation and lack of coordination in policy design and implementation and M&E;* ii) *Limited technical training capacity for strengthening human resources needed for new policy formulation/adjustment, implementation and M&E;* iii) *Limited national research capacity for technical and policy support in pursuing the reform; and* iv) *Limited M&E and oversight capacity.*

The project SAP-phase II is contributing to SDG 1, target 1.3 "Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable" in Viet Nam. Apart from that, the project also contributes to the UNDP CPD (2017-2021) output 1.3 of "Social protection is progressively expanded based on a life-cycle approach and universal floor coverage". Specific project expected outputs include:

1. The formulation and approval of new policies and law on social assistance (SA) based on rights and life-cycle approach and being more gender-responsive supported with inputs from trained MOLISA/DSA staff, using evidences and recommendations of joint research by the network of trained researchers, and additional TA (including mentoring/facilitating "learning by doing" on concrete policy design and law formulation).
2. The implementation of new policies and law on SA supported, their implementation and impact (including gender impact) monitored and evaluated, and M&E information fed back to policy design/adjustment.

Contributing Outcome (UNDAF/CPD, RPD or GPD):

One UN Plan OUTCOME 1.1: By 2021, all people benefit from inclusive and equitable social protection systems and poverty reduction services, which will reduce multidimensional poverty and vulnerabilities.

Indicative Output(s): UNDP CPD (2017-2021) Output 1.3: Social protection is progressively expanded based on a life-cycle approach and universal floor coverage.

Total resources required:	1,910,000	
Total allocated resources	UNDP TRAC	300,000
	Donor (OECD)	151,200
	<i>Gov parallel fund for programs (in-kind)</i>	<i>450,000</i>
	<i>Gov contribution for operation (in-kind)</i>	<i>350,000</i>
Unfunded:	659,000	

Agreed by:

United Nations Development Programme

Ministry of Labour, War Invalids and Social Affairs

Akiko Fujii, Deputy Country Director:

Date:

Date:

I. DEVELOPMENT CHALLENGE

Responding to a GOVN request for technical support to reform of Viet Nam's social assistance (SA) policies and systems (in the wider context of best practice social protection), the first phase of the UNDP-supported project "Support the reform of social assistance policy system" (SAP project) was formulated and successfully implemented by the Ministry of Labour, War Invalids and Social Affairs (MOLISA) from 2014-2016. Over the last 3 years the project delivered a series of (i) policy research to review and assess social assistance policies and implementation¹ and (ii) policy advocacy, dialogues and consultations. These together with further UNDP direct technical assistance (TA), advices and various analytical inputs (delivered alongside other UN partners, specifically ILO and UNICEF) have contributed to the formulation and approval of the Master Plan for Social Assistance Reform (MPSAR).

While the MPSAR was the primary output target of the SAP project - phase I, strengthening capacity of relevant policy makers and technical staff for policy research and design has been an important result, and key approach in ensuring the long-lasting impacts of UNDP support. Under the SAP-phase I project, as an integrated part of its policy advocacy, policy advising and research, and capacity strengthening support, since 2014 and on an annual basis, the Training Course of the Economic Policy Research Institute (EPRI, based in Cape Town, South Africa) on social protection² (below this will be referred to as *the Training Course*) has been tailored and provided to a number of Vietnamese stakeholders. The modules for the training course include: (i) an one-day module targeting National Assembly's Social Affair Committee members, Party officials and policy makers from MOLISA, Ministry of Finance (MoF), Ministry of Planning and Investment (MPI), etc. who are responsible/engaged in formulating/endorsing social assistance legal and policy frameworks; (ii) a 5-day module targeting technical staff of MOLISA/Institute for Labour Science and Social Affairs (ILSSA) and relevant staff from relevant ministries and provinces who are responsible and engaged in designing/ formulating, guiding the implementation and monitoring SA policies. The participants highly appreciate the training course as: it "gives systematic information, knowledge and international experience on modern social assistance/cash transfer", "provides necessary and modern analytical tools for designing/formulating, implementing and monitoring SA policies". The training course has contributed substantially to policy advocacy for reforming social assistance system in Viet Nam and formulation of MPSAR, especially in terms of building the common knowledge of modern social assistance systems, and consensus on the needs for reform, as well as providing the analytical tools needed for defining the reform directions and actions in Viet Nam.

¹ See the summary report at <http://www.vn.undp.org/content/vietnam/en/home/library/poverty/social-assistance-in-vietnam.html>

² The SP Course has been delivered by Mike Samson (EPRI) on social assistance/cash transfer as the main focus, and with a minor focus on social insurance and social care (the latter was included due to Viet Nam's social assistance which consists of cash transfer, emergency relief and social care).

National partners acknowledged the need to institutionalize the training course and build further analytical capabilities within Viet Nam's institutions, and to link these efforts together for strengthening national capacity and institutional base to take forward key policy reforms for modernizing social assistance system in Viet Nam. UNDP Viet Nam has been supporting MOLISA in institutionalizing the training course and link this to generate opportunities to further strengthen national capacity for expanding social assistance in Viet Nam. In 2016 two initial activities took place, namely: (i) the training course was conducted in August 2016³ and (ii) a national consultant carried out an assessment of institutional capacity for identifying the most suitable institutional arrangements for sustaining the training course.

As expected at the design of the SAP project, following the Government's approval of the MPSAR and under the second phase of the SAP project, UNDP further capacity strengthening support, TA and policy advices will need to be accelerated to meet the new demands of MOLISA, related ministries and local governments in carrying out their tasks of immediate rolling out and implementing MPSAR. As envisaged at the outset of the SAP project, after the first phase under which support has been provided to the formulation of the Master Plan for Social Assistance Reform (MPSAR), the second phase of the SAP project will be designed, building on the results and lessons learned in the first phase, to support the MPSAR implementation. The expected results of the assistance of the second phase include: (i) development of the future legal framework (potentially a new Social Assistance Law) and designing new SA policies/schemes within the framework set out in the MPSAR and (ii) effective implementation and monitoring of the new SA policies/schemes at local levels. While striving to contribute to these results, the second phase of SAP project will also aim at meeting the need to maintain progressive advocacy and follow-up to ensure successful implementation of MPSAR. These will require new arrangements for support, which also recognize the growing importance of national ownership and capacity for the social assistance reform process.

The below sections, based on the lessons learned/knowledge gained in the first phase of SAP project, various assessments and reviews of Viet Nam's SA/SP systems, consultations, the above mentioned national consultant's report and the related consultation meeting with training institutions, will: (i) present the lessons learned from the first phase of SAP project, (ii) identify the capacity constraints for rolling out and implementing MPSAR; and (iii) propose the second phase of SAP project for supporting the improvement of Social Assistance system in Viet Nam, period 2017-2020, particularly for making effective contributions to the above-mentioned expected results.

Lessons learned

³ With an one-day module targeting National Assembly's Social Affairs Committee new members, Party officials and policy makers from MOLISA, MoF, MPI and a 7-day module targeting technical staff of MOLISA/ILSSA, relevant ministries, northern provinces and institutions-candidates for institutionalization of the Training Course.

The project bi-annual/annual review/steering committee meetings, M&E mechanisms and various consultations with stakeholders identified the following key lessons from the first phase of SAP project implementation that are useful for designing and implementing the second phase:

The first phase of the SAP project reconfirmed the **importance of national ownership and leadership in driving the reform**. The process of formulation of MPSAR therefore has involved not only technical inputs of UNDP and international experts but also a series of activities to (i) strengthen awareness and knowledge on social assistance policies in Viet Nam and other countries, (ii) build consensus of the directions of reform through inclusive consultations among a wide range of stakeholders from Party, National Assembly, line ministries, academia and international development partners. This lesson implies that awareness raising, strengthening knowledge, advocacy and building consensus should be seen as on-going and integral part of the reform process, which is owned and led by the national partners.

Another important lesson is that **strengthening national capacity**, namely the capacity to (i) absorb technical inputs and policy advices of UNDP and international agencies/experts, (ii) translate these into nationally led policy advocacy and building consensus and defining and designing nationally own reform proposals, is important in ensuring long-lasting impacts of UNDP support and national ownership.

Given the complexity of the process of defining issues, formulation of reform proposals and facilitating consensus building on the proposed reforms, that the SAP project has experienced faced in its first phase, the application of **more flexible implementation arrangements** is defined as necessary for achieving higher efficiency. It can be more effective if, for example, (i) mobilization of international and national expertise (and related technical quality assurance) is managed by UNDP directly, and (ii) the national partners manage the use of the technical experts' outputs (for defining and designing nationally owned reforms). The coherence and well-coordinated support from different development partners (DPs), especially from UN agencies under Delivering as One, building on their respective comparative advantages, is also identified as very important factor in building necessary consensus on policy reform agenda and achieving efficiency of DP support.

Capacity issues identified⁴

The capacity constraints at the *legal/policy and institutional* levels (such as *overlaps in institutional mandate, fragmentation and lack of coordination in policy design and implementation, limited M&E and oversight capacity*, etc.) have been identified through the various assessments commissioned under the SAP project, such as by the international

⁴ This section is based on the assessments/reviews of Viet Nam's social assistance systems/policies by international team and ILSSA, national consultant's assessment of national institutions and consultation meetings with these institutions for identifying the host institution(s) of the Training Course; and UNDP's knowledge/experience gained from working with the national institutions in policy research, consultation and advocacy for development of the MPSAR and providing the Training Course.

consultant team led by Stephen Kidd and ILSSA, results of which are summarized in the “Social assistance in Viet Nam: review and proposals for reform” (MOLISA and UNDP, Hanoi, August 2015). While these constraints are rather well identified and analyzed, the capacity constraints at the *individual level* (awareness, technical knowledge and skills for coherent policy design, implementation and M&E) are less well documented.

Through many consultations, policy research, discussions and dialogues (including the consultation meeting with training institutions for identifying a suitable arrangement for institutionalizing the Training Course), it has been observed that National Assembly (NA) deputies, policy makers, technical staff of line ministries and researchers have very widely different levels of awareness, systemic knowledge and understandings of key concepts, definitions, international models, experiences and practices in developing modern social protection systems in general, and social assistance systems in particular. Often, the discussions were on rather basic definitions and classifications. Many national stakeholders could not clearly identify social protection/social assistance policies, their links to social policy and as an integral part of the country’s development policy/strategy. In addition, the limited capacity for evidence-based research for policy formulation and evaluation is also observed: with the exception of few, in general technical staff and researchers engaged in policy research and design lack of skills and tools for conducting basic evaluation/assessment of the (both ex-ante and ex-post) policy impacts or calculating/analyzing costs of introduction and implementation of policies. These have been posing a key constraint in reaching consensus necessary for defining the reform. Though the constraint has been initially addressed by the Training Course and extensive technical assistance and policy inputs provided under the first phase of the SAP project, this key capacity constraint remains significant and requires continuous support.

The assessment conducted by the national consultant for identifying the most suitable institutional arrangements for institutionalizing the Training Course and related consultations (*see Annex 4.1: Report on assessing the competency of national potential training institutions in social protection*) revealed that:

1. Current technical (teaching/training) capacity⁵ of national training institutions (participating in the survey and/or the consultation meeting) on the SP/SA subjects is assessed as rather weak and varies between institutions. Excepts the Institute for Public Policy and Management (IPPM), which is running a Master Course on Social Protection and thus has strong technical capacity, other institutions - though have been conducting courses on the related subjects and thus having few good lecturers – do not seem to have strong capacity on this very narrow subject of social assistance and social insurance. This is mainly due to the fact that most of the institutions have been building their capacity for providing rather small and ad hoc lectures on the SA/SP related topics as parts of the courses on wider subjects such as public policy, public management, etc.

⁵ Benchmarks for assessing teaching capacity used are based on the capacity to deliver the training course similar to the EPRI’s Course.

(i.e. these institutions have not provided courses specialized on SP/SA), as mentioned: with the exception of the case of IPPM.

2. With regards to the ability of the teaching/training institutions meeting the capacity strengthening needs, it should be noted that most of the institutions are focusing on training undergraduate or graduate students – possible future human resources for government and non-governmental agencies on social assistance/social protection. Very few institutions (strictly speaking only MOLISA Institute of Labor and Social Affairs Training (ILSAT)) target and offer on-the-job training for the current workforce of MOLISA/DOLISA (provincial Department of Labor, War Invalids and Social Affairs) and none targets the wider group of senior policy makers and NA deputies (those who have crucial roles in approving policies). It should also be noted that the needs of the groups of senior policy makers/NA deputies, researchers and MOLISA/DOLISA staff (with sub-groups involved in policy design, monitoring and implementation) are different. While the Training Course offered by the SAP in collaboration with EU-Finland-OECD SP program, namely its policy module meets the needs of the senior policy makers and NA, and the technical module meets the needs of researchers and MOLISA/DOLISA staff involved in policy design and monitoring, the needs of the DOLISA staff – practitioners – who are involved in implementation and M&E of the SA/SP policy including SA service provision and social work remain largely unmet. With such ‘typologies’, it is identified that only ILSAT and DSA have the mandate and thus related financial resources (or ability to mobilize the resources) for providing on-the-job training for the target groups of MOLISA/DOLISA on a more regular basis. Other tertiary education and training institutions have the normal mandate of training tertiary education students and their financial resources come collecting tuition fees from students.
3. Current research capacity and hence ability to fulfil Viet Nam’s future technical and policy support needs for rolling out and implementing MPSAR is assessed as weak⁶: only ILSSA, IPPM and the Graduate Academy of Social Science (GASS) did some research, but the number of research is few and quality is not very high (not at the international standards). Only ILSSA has the mandate and regular state funding (as well as donor funding through ad hoc projects) for research, research on SA/SP is on ILSSA’s regular agenda and ILSSA has the highest number of research work on SP/SA. IPPM does research more as consultancy work mainly for donor funded project research activity, and several years ago, GASS did the research on SP under the state funded research project and cooperation with SIDA (regular research on SA/SP does not seem to be on the center’s regular/systemic agenda). Other training institutions do not engage much in research work (which is rather “normal” in tertiary education institutions in Viet

⁶ Benchmarks for assessing research capacity used are based on the number of completed and published research, including conducted with SAP project support for the formulation of MPSAR.

Nam). Partly the weak research capacity on SA/SP (as well as in many other subjects and quite widespread in Viet Nam) is due to the weak demand of policy makers for evidence-based policy research. On the other hand, as observed in the case of formulation MPSAR, good quality research can induce more demand and more use of evidence-based policy research for policy making.

Current support to MOLISA/DSA on social assistance:

At present and in the coming period, Vietnam still needs international support and cooperation, especially with the United Nations' agencies (UN) in the field of social development in the period 2017 – 2020, particularly on social protection and poverty reduction. Proper reference and discussions on existing and related social protection projects have been organized during the development process of this project, as a result they are basically not overlapped, but supplementary and bringing positive joint impact. Summary of these projects as follows:

- The World Bank (WB) continues support to Social Insurance. The WB in cooperation with UNICEF are designing and will pilot a program on conditional cash transfer for poor households with children and pregnant women in some selected provinces in ethnic minority areas, aimed at strengthening the children rights, and simultaneously focusing on the monitoring and evaluation framework of the program implementation process.

- Poverty reduction policies and programs in 2012-2016 (PRPP) of UNDP has supported the Committee for Social Affairs of National Assembly, Committee for Ethnic Minority and MOLISA as well as 08 selected provinces to review widely SA policies and programs , and organize some expert consultations on drafting PoA of the Government.

- Project supported by UNICEF continues supporting MOLISA in child care and protection. The project operation focuses on enhancement of child protection, especially poor children at national and local levels, including the legal and policy framework and child protection and care services.

Based on the above analysis, the identified capacity issues to be addressed in the second phase of the SAP project include:

1. *Overlaps in institutional mandate, fragmentation and lack of coordination in policy design and implementation and M&E.*
2. *Limited technical training capacity for strengthening human resources needed for new policy formulation/adjustment, implementation and M&E.*
3. *Limited national research capacity for technical and policy support in pursuing the reform.*
4. *Limited M&E and oversight capacity.*

While all issues are proposed to be addressed under the second phase of the SAP project, the issue of limited technical training capacity is proposed to be addressed through the continued partnership between UNDP and EU-Finland-OECD Social Protection Programme, building on the promising results and experience of the Partnership in 2016.

II. STRATEGY

The second phase of the SAP project is to contribute to achieving: (i) SDG 1, target 1.3 ***“Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable”*** in Viet Nam, and (ii) the UNDP CPD (2017-2021) output 1.3 of ***“Social protection is progressively expanded based on a life-cycle approach and universal floor coverage”*** (which is referred to below as the project’s outcome).

The proposed second phase project outcome is expected to be achieved by addressing the capacity issues/challenges identified above and making contributions to the ***formulation, implementation and monitoring of a new law, policies and schemes on SA within the framework of the rollout/implementation of the MPSAR*** (which was formulated with the support provided through the first phase of SAP project), with specific interventions as followed:

1. *Overlaps in institutional mandate, fragmentation and lack of coordination in policy design and implementation and M&E:* this issue will be addressed by enhancing awareness and ensuring consensus among all stakeholders from central to local levels for supporting the development of new law and policies on SA that will provide clear institutional mandates, roles and function, coordination mechanisms/incentives that in line with international standards. Beside the above-mentioned training course for National Assembly’s deputies and senior policy makers at central and provincial levels, to support (i) targeted policy advocacy, (ii) additional technical assistance and policy advices (that are needed but national institutions are not yet able to provide) and (iii) wide-stakeholder consultations around the formulation, implementation and M&E (including the NA’s oversight exercises) of the new policies and law on SA. This requires efforts to establish new M&E and consultative structures, notably, qualitative - (potentially, real time) monitoring and developing the NA’s oversight role.
2. *Capacity limitation (including technical training capacity for strengthening human resources needed for new policy formulation/adjustment, implementation and M&E; national research capacity for technical and policy support in pursuing the reform):* could be addressed by:
 - Enhancing technical capacity of (i) technical staff of MOLISA/DOLISA and other relevant line ministries/departments at central and provincial levels for

policy design and monitoring and (ii) practitioners - staff of DOLISA and other relevant line departments at sub-national levels for policy implementation/delivering SA services and monitoring. This could be achieved through supporting (i) institutionalization of the Training Course (with two modules for policy makers and NA members, and technical staff of MOLISA, DOLISA and line ministries) that has been conducted in the first phase of SAP project and (ii) establishment and institutionalization of a new practitioners training course.

Such training courses and targeted groups of trainees will be selected in the ways that the results of the training will directly contribute to the work of new policies and law on SA formulation, implementation and M&E (as well as to strengthening research capacity in the third group of activity results/activities). The training for NA deputies and senior policy makers at central and provincial levels will be tailored/contributing to building consensus necessary for formulating new policies and law on SA. *This group of activities is proposed to be conducted under the continued partnership between UNDP and EU-Finland-OECD Social Protection Programme in 2017.*

- Setting up a policy & research facility/network of national researchers operational, hosted by ILSSA to support (i) joint policy research for policy formulation/adjustment, implementation and M&E; (ii) sharing knowledge among members and facilitating knowledge/ experience sharing among provinces in Viet Nam and with other countries in the region. The support will also involve funding international researchers to work in the joint research including as the trainers, mentor and facilitator for learning by doing of national researchers and facilitating the links/partnerships of the network/facility with (for joint research and secondment of Vietnamese researchers to) other international centers of excellence/research institutions. The facility/network will also be expected to provide support to (i) sharing knowledge among members and facilitating knowledge/experience sharing among provinces in Viet Nam and with other countries in the region as well as (ii) updating the training curriculum and materials, validating the quality of selected trainers of training courses that will be conducted under the first group of activity results.

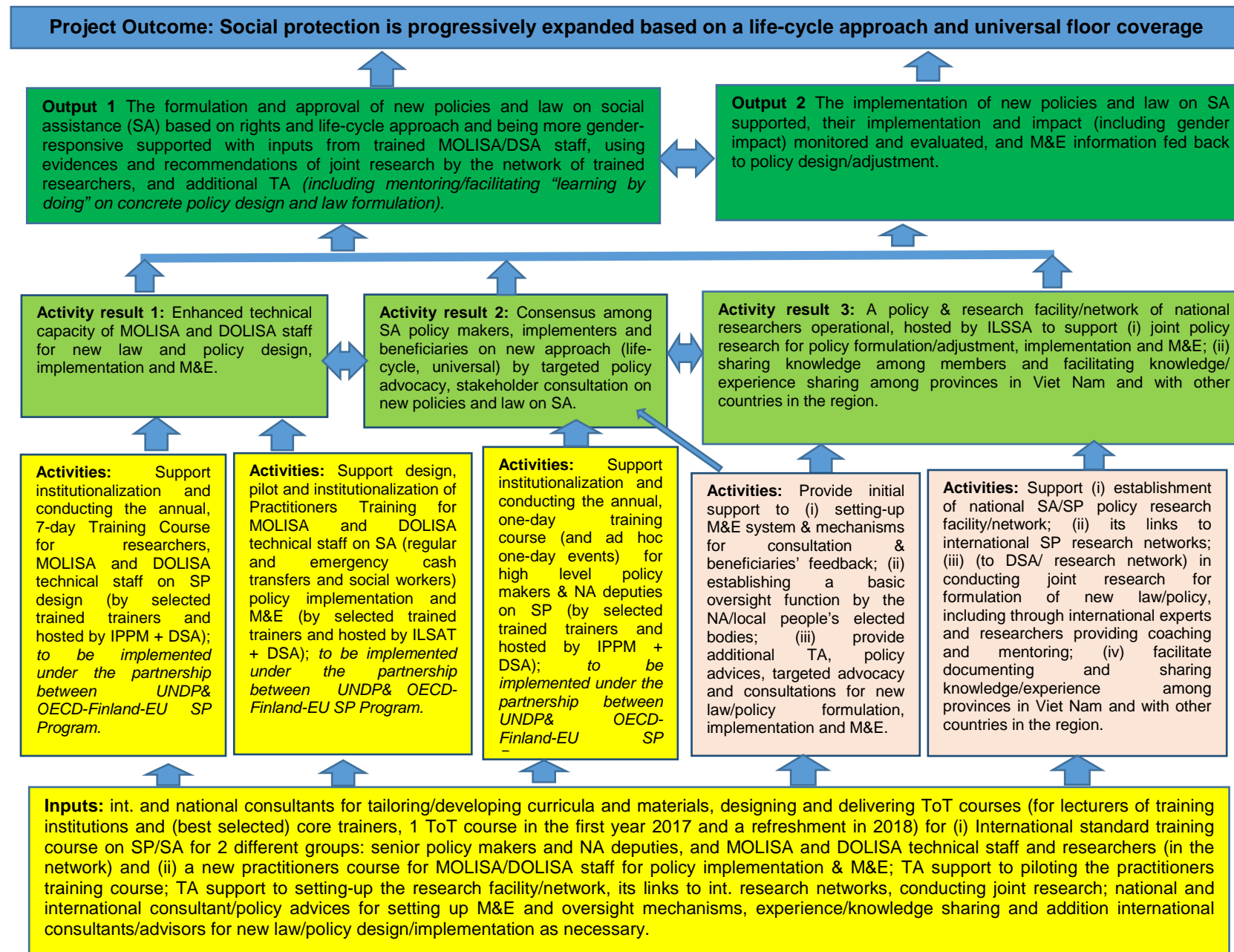
Gender inequality issues will be addressed across all the above mentioned components/activities, particularly by addressing gender inequalities in (i) social assistance system design at all levels; and (ii) obtaining social assistance by the vulnerable groups, especially women and in the social care system. While the first aspects are being tackled and clear and comprehensive solutions have been put to the National Strategy on Gender Equality for 2011-2020 as well as the rights and life-cycle based and categorical targeting approaches put to the MPSAR, the second type of aspects basically remains untouched thus would require

much greater efforts of the related line ministries and localities, esp. by social affairs sector in order to resolve the problem. These issues require a closer attention in designing project activities supporting the improvement legal documents, policy implementation and M&E with a special attention to women, focusing on ethnic minorities in mountainous, isolated and difficult areas. This gender issue will be mainstreamed in the training courses, particularly for the practitioners.

Please see more details in in the below Theory of Change diagram.



Proposed Theory of Change for SAP Phase II



III. RESULTS AND PARTNERSHIPS

Expected Results

Project Outcome “*Social protection is progressively expanded based on a life-cycle approach and universal floor coverage*” (Output 1.3 of UNDP Viet Nam CPD 2017-2021).

- Output 1.** The formulation and approval of new policies and law on social assistance (SA) based on rights and life-cycle approach and being more gender-responsive supported with inputs from trained MOLISA/DSA staff, joint research by the network of trained researchers, and additional TA (including mentoring/facilitating “learning by doing” on concrete policy design and law formulation).
- Output 2.** The implementation of new policies and law on SA supported, their implementation and impact (Including gender impact) monitored and evaluated, M&E information fed back to policy design/adjustment.

Key expected activity results:

Activity result 1: Enhanced technical capacity of (i) technical staff of MOLISA/DOLISA and other relevant line ministries/departments at central and provincial levels for policy design and monitoring and (ii) practitioners - staff of DOLISA and other relevant line departments at sub-national levels for policy implementation/delivering SA services and monitoring.

Specific activities to be implemented (to strengthen national capacity for expanding social assistance in Viet Nam)

- Carrying out training need assessment, tailoring/updating/developing the training course materials and curriculum (including expansion of the contents, beyond the core cash transfer topics, on the topics of social and unemployment insurance, social care and emergency relief which are elements of Viet Nam defined social assistance, application of ICT/digitalization of cash transferring in social assistance and poverty reduction).
- Designing and conducting Training of Trainers (ToT) courses (including refreshment trainings) for core national trainers.
- Assisting national institutions (IPPM and DSA) in developing and implementing sound business plans, partnership and resources mobilization strategies to sustain the courses.
- Providing some (initial and gradually decreasing) financial and technical support for the training courses for the targeted groups of trainees by the trained trainers.

Activity result 2: Consensus among SA policy makers, implementers and beneficiaries on new approach (life-cycle, universal) reached by targeted policy advocacy, stakeholder consultation on new policies and law on SA.

Specific activities to be implemented:

- Supporting the establishment of an M&E system, mechanisms for consultations and obtaining beneficiaries' feedback, oversight by the National Assembly and provincial people elected bodies.
- Supporting inclusive consultations (at different levels and involving people/beneficiaries) in the process of new law and policy/scheme formulation, implementation and M&E.
- Providing additional technical assistance, policy advices and targeted advocacy for new law/policy formulation.

Activity result 3: A policy & research facility/network of national researchers operational, hosted by ILSSA to support (i) joint policy research for policy formulation/adjustment, implementation and M&E; (ii) sharing knowledge among members and facilitating knowledge/ experience sharing among provinces in Viet Nam and with other countries in the region.

Specific activities to be implemented:

- Supporting the establishment of a national SA/SP policy research facility/network: reviewing feasible organizational arrangements, mechanisms for establishment, operations and funding of the network/facility; developing plan/roadmap/strategies for marketing and resources mobilization, for institutionalizing and sustaining the facility.
- Facilitating the linkages of the network/facility to international SP research networks.
- Supporting research network to conduct joint research for formulation of new law/policy (including through international experts and researchers providing coaching and mentoring).
- Facilitating the documentation and knowledge/experience sharing among provinces in Viet Nam and with other countries in the region.

Resources Required to Achieve the Expected Results

To deliver the results, the project will require the following key technical assistance, policy research and advising inputs:

1. **Technical team** from UNDP and implementing partners/co-implementing partners (IPs/CIPs), including: i) UNDP team (1 Assistant Country Director - Head of Inclusive Growth Unit; 1 International Economic Advisor, 1 National Program Officer) will be spending around 30% of their time in the first year, 30-50% in the subsequent years on the project; ii) IP/CIPs team including senior experts from DSA, ILSSA, IPPM, ILSAT. The technical team (of both UNDP and IP/CIPs) will support the development of the project work plans, necessary literature reviews, identification of the data/information gaps and formulation of the topic/TORs for reviews, assessments and studies, selection of international and national consultants/consultancy firms, and quality assurance of the review/assessment, research and data collection reports of the consultants. The team will also support the design and provide technical inputs to project training activities, consultations and policy dialogues. IP/CIPs technical team, IP/CIPs besides cooperating

with UNDP technical team on the above-mentioned tasks, will be in responsible for receiving and applying analytical/assessment tools and training designs/materials to be transferred by UNDP and international/national consultant teams in relevant Government/MOLISA works. Apart from that, 1 expert will be assigned by DSA to facilitate the coordination and communication among stakeholders (UNDP, DSA, IPPM, ILSSA, ILSAT, NACSA, international development partners, private sector and mass/non-governmental organizations) for the effective and smooth implementation of the project and delivering the project results. While the costs of UNDP technical team will be partially covered by the project budget, the costs of IP/CIPs technical staff will be in-kind contributions of the IP/CIPs.

2. **International and national consultancy services:** will be procured for conducting reviews/assessments, development of ToT and training materials, conducting training, necessary research inputs, bringing/transferring international standards/knowledge and advices for SA law and new policy formulation, implementation and M&E, etc. While costs of these international and national consultancy services will be covered by the project budget, additional financial resources will be mobilized for additional research/assessments from other international research institutes/partners through for example UNDP supporting IP/CIPs to prepare and submit research proposals.
3. **Inputs to organizing consultations for policy and law formulation, training workshops** (including venues for training, expenses of travel and daily allowance for participants/trainees attending project events, etc.) as well as to sustain the training courses in the future will be covered by the IP/CIPs (for example training courses, especially for the practitioners will be covered by DSA/MOLISA and local level budget planned for training their own staff/cadre) as their contributions to achieving the project's expected results⁷. While UNDP will facilitate expanding networks of national stakeholders with international think tanks/research institutions, international expert networks on SP, the costs of maintaining such networks such as attending international workshops and meetings/conferences, etc. will be (not be covered by the project budget but) by the IP/CIPs and/or their international partner-agencies.
4. **Inputs to project management and implementation support** include: (a) for the project management such as project office and equipment, personnel (project manager/coordinator, administrative assistant/accountant) and operations costs; (b) UNDP Country Office's Development Effectiveness support such as on project implementation, financial management and operations/procurement, M&E, etc. in addition to the above mentioned technical inputs from UNDP national program officer and other experts from UNDP Viet

⁷ The project will provide technical/consultancy support to the IP/CIPs in developing business plan, assessing and planning resources mobilization actions for IP/CIPs to be able absorb increasing shares of the training expenses during the project life and sustain the training courses in the future. Please see the multi-year Work Plan and below sections on "**Proposed institutional arrangements**" for more details.

Nam office; (c) General Management Support cost of UNDP's managing the third party cost sharing contributions and (d) evaluation and monitoring⁸.

The total budget is estimated of US\$ **1,110,000** for implementing above activities and covering the costs related to project management and implementation. This will include: (i) UNDP contribution of \$300,000 from its core resource; (ii) \$151,000 mobilized from OECD-EU-Finland SP Program for the training program, and (iii) \$659,000 is planned as "to be mobilized" from other sources such as IP/CIPs' budget, private sector and interested donors/partner research institutions. Apart from that, contribution (in kind or parallel funding) from IP/CIPs of US\$ 800,000 and other partners will be paralleled to the project core budget.

See the below Multi-Year Work Plan for more details on the inputs and resources needed to implement the project/deliver the project results.

Partnerships and Stakeholder Engagement

Note: UNDP PRODOC TEMPLATE suggests two separate sections on partnerships and stakeholder engagement, which are combined here to ensure the smooth information flow.

Key project beneficiaries/target groups include:

- Disadvantaged and vulnerable groups, beneficiaries of social assistance policies (through social assistance system reform and capacity reform/ability to provide social services, etc.);
- Policy-making agencies: the National Assembly's Committee for Social Affairs, relevant Government agencies (Office of the Government, Ministry of Finance, Ministry of Planning and Investment...), MOLISA and its functional departments/institutes: Department for Social Assistance (DSA), ILSAT and ILSSA;
- Government agencies involving in SP policy implementation (both at central and local level);
- Training/research institutes and other SP related agencies.

Key project implementing/co-implementing partners include MOLISA/DSA, ILSAT, ILSSA and IPPM.

It is expected that the **GOVN is the owner and leading in partnerships** to be created in the project for delivering their own tasks. UNDP more as development partner (bringing added value int. expertise, knowledge, experiences and advices, facilitating connections of VN institutions with their peers in other countries...) and less as donor (providing fund for GOVN agencies to

⁸ While the costs under the item a will be covered by the IP/CIPs (contributions), through using their own organizational structure for managing this project and GOVN counterpart funding to this project, items b-c will be covered by the project budget.

implement its own activities). The project will facilitate engagement of people/beneficiaries in policy consultations/decisions making and promote the connection of national experts and institutions (in trainings, research, policy advocacy and advising).

Proposed institutional arrangements for (i) sustainable institutionalization of the Training Course, a new practitioners training course, (ii) building key national SP analytical (and oversight M&E/consultation and oversight) capacities, and (iii) a new policy & research facility/network of national researchers:

- (1) For *the one-day Training Course for senior policy makers at central and provincial levels and NA deputies, and 7-day technical Training Course for technical staff of MOLISA/DOLISA and other line ministries* involved in policy research/design and M&E (two sessions of the Training Course that have been provided in the last 3 years): the Courses will be hosted by MOLISA's Department for Social Assistance (DSA) (with the institutional mandate) and IPPM (with strong technical capacity), and financed by resources to be mobilized (by implementing a marketing/ resources mobilization plan) by DSA and IPPM with the support from EU-Finland-OECD and UNDP Viet Nam. The last two organizations may provide (i) support to IPPM and DSA in developing and implementing a marketing/resources mobilization plan, (ii) support for linking DSA and IPPM to other possible funders and (iii) some (around 20-30% of the total costs) financial support for the Course in 2017-2020 with the aim that from 2021, the Training Courses will be fully self-financed.
- (2) For *the new practitioners training course* (for MOLISA/DOLISA staff involved in implementing and monitoring SA/SP policies): the course will be (i) hosted by DSA and ILSAT (with the institutional mandate and strong administrative/logistics capacity); (ii) conducted by the training team that will consist of trained trainers (from ToT courses) and experts from IPPM and ILSSA (with strong technical capacity), and (iii) financed by resources to be mobilized by ILSAT from DSA/DOLISA/provincial governments' funds for training their staff. The inputs from UNDP Viet Nam and EU-Finland-EU SP Program will be training curriculum development/tailoring, ToT, support to MOLISA carder training college and SDP in developing and implementing a marketing/resources mobilization plan, and some financial support for the Course in 2017 -2020 with the aim that from 2021, the courses will be fully self-financed/financed by ILSAT/MOLISA/DOLISAs.
- (3) For *targeted policy advocacy, consultation, oversight and M&E* – the project would provide initial direct TA and build capacities (via training and the research facility/network) of MOLISA and DOLISA to: (i) reform and enhance the current SA M&E system, including use of mobile technologies and standing (qualitative) consultation mechanisms to obtain (if possible, real time) feedback from users/clients; and (ii) build a basic oversight function on SP/SA of the National Assembly: the NA oversight function would built on the relationship established by the SAP project and regular briefings to the NA Social Affairs Committee.

The Rapid Impact Assessment methodology, developed by UNDP (in working with ILSSA and Vietnam Academy of Social Sciences), M&E information and evidence-based policy research and especially voices of beneficiaries/people will inform the consultations at different levels to be hosted by joint GOVN-Development Partner policy dialogues/consultation mechanisms.

- (4) *For a new policy & research facility/network of national researchers:* this facility will be hosted by ILSSA (with the institutional mandate for SA/SP research). The members of the facility/networks of the researchers will come from different institutions on voluntary basis and based on the commitment/interest in doing (joint) research on SP/SA topics. The purposes of the facility/network are to support (i) updating the training curriculum and materials, validating the quality of selected trainers; (ii) joint policy research for policy formulation/adjustment; (iii) sharing knowledge among members and facilitating knowledge/experience sharing among provinces in Viet Nam and with other countries in the region; (iv) provision of TA for policy formulation and implementation. This facility will be financed from members' contributions, ILSSA own funding, funding to be mobilized from other sources. UNDP Viet Nam and other potentially identified partners will be (i) contributing a modest fund for starting up the facility/network; (ii) funding some joint research necessary for formulating new policies and law on SA, (iii) funding international researchers to work in the joint research including as the trainers (facilitating learning by doing) for national researchers and providing additional technical assistance and policy advices that (national institutions are not able to provide) are needed for the formulation, implementation of the new policies and law on SA, and (iv) facilitating the links/partnerships of the network/facility (for joint research and secondment of Vietnamese researchers) with other international centres of excellence/research institutions.

Based on the lesson learned of the phase I, development partners, especially UN agencies via the One UN Result Group on Inclusive Growth and Social Protection, and other relevant stakeholders will be closely consulted to ensure a comprehensive and coherent support of different DPs during the project implementation. Concretely, the training courses to be provided under this project will be integral parts of a coherent and comprehensive training course of the UN for the national partners on SA/SP; and the TA to be provided on SA Law and new policy design/formulation and implementation/M&E will be integral part of the UN support on this. This will be achieved through joint planning/implementation and coordination among the UN agencies under the One Plan Result Group on Inclusive Growth and Social Protection to enhance effectiveness and improve synergy of UN support to Viet Nam on SA/SP topics.

Risks and Assumptions

While the above-mentioned strategy will be implemented to ensure best effectiveness of project interventions and achievement of results, few following key risks are identified (see the Annex 3 for the risk log):

First, there is a risk – assessed at moderate level - in *technical capacity of DSA as the key implementing partner in ensuring the quality of project outputs/results*: from the stage of planning/designing project activities, proper implementation with participation and synergy of various stakeholders/beneficiaries while still maintaining quality, coherence of key results. The project will mitigate the risk by: i) utilizing technical staff from UNDP, supported by IPPM and qualified international/national consultants with rich experience of Vietnamese context; ii) providing on-the-job training for key staff of DSA involving in the project implementation; iii) ensuring smooth coordination/consultation among stakeholders (DSA, IPPM, ILSSA, ILSAT, NACSA) from the designing stage and during project implementation for best coherence, consistence and effectiveness of project results.

The second risk, assessed at medium level, is on *ability of DSA and UNDP in mobilizing sufficient resources for the project implementation and delivering the intended results*. The mitigating actions include: (i) DSA (and other CIPs) to allocate parallel funding for the project (as for example noted in the section on **Partnerships and Stakeholder Engagement** above) ; (ii) continuing partnerships with UN/DP works on social protection for utilizing all possible expertise and mobilizing additional resources (in-cash, in-kind or parallel contribution), especially for activities result 1 on capacity building; (iii) joint DSA-UNDP efforts to mobilize additional resources from other interested donors and other sources. It should be noted that, in order to address the possible difficulties in pooling funds from different sources, innovative solutions of parallel contributions in cash or kind should be explored.

The third risk, at medium level, is the *ability of project stakeholder to organizationally and financially sustain project results*. Mitigating actions include: i) DSA, with support from UNDP and IPPM, to transfer all necessary knowledge to ILSSA, ILSAT and NACSA, with an expectation of strengthening those institutions' capacity in carrying out similar programmes after the project ends by 2020; ii) DSA to develop and get approval of legal documents for scaling up and institutionalizing project results, using resources allocated or mobilized by relevant government agencies (ILSAT, ILSSA, NACSA, provincial DOLISA...). It is noted that the project will also provide technical/consultancy support to the IP/CIPs in developing business plan, assessing and planning resources mobilization actions for IP/CIPs to be able absorb increasing shares of the training expenses during the project life and sustain the training courses in the future.

South-South and Triangular Cooperation (SSC/TrC)

South - South and Triangular cooperation shall be paid adequate attention in the project. The project includes in its intervention the support to facilitate the linkages of key project partners (DSA, ILSSA, ILSAT, NACSA) with the global and regional networks of experts, think tanks and training institutions for sharing experiences, conducting joint research for formulation of new law/policies. It is expected that, with international experts and researchers providing coaching and mentoring, Vietnamese institutions will improve their technical capacity and establish a national SP/SA policy research facility network. They will not only document/share their

knowledge/experience but also provide capacity building programmes and research/consultancy services within Viet Nam and for other countries in the region.

Knowledge products

Under the output 1: Reports on SP/SA training need assessment and curriculum for Training of Trainers (ToT) to deliver training courses for the two groups: (i) senior policy makers, NA members and researchers, technical staff of MOLISA and DOLISA in charge of policy formulation; and (ii) practitioners from MOLISA/DOLISA working on policy implementation/service delivery and M&E; report on institutionalization and resource mobilization for organization of trainings on SP/SA after the project ends;

Under the output 2: Policy brief and leaflets on key SP/SA reform messages for consideration of policy makers during the formulation of new policies/SA law and practitioners at central and local level during the implementation of SP/SA reform; a proposal for setting-up SP/SA reform M&E system & mechanisms for consultation & beneficiaries' feedback; a guidance for basic oversight on SP/SA by the NA/local people's elected bodies; a set of research papers and reference documents on SP/SA reform in Vietnamese context for sharing among provinces in Viet Nam and with other countries in the region.

The notes of project supported consultations, project final evaluation report.

Sustainability and Scaling Up

By design, the project strategy of providing technical assistance, capacity building and setting up a national network for policy advocacy and consultation on new policies and SP/SA law will achieve the sustainability as a "built-in" approach. The project's sustainability will be ensured by: (i) improved capacity of DSA in designing, monitoring SP/SA capacity building programmes and supporting policy formulation/implementation; ii) improved capacity of ILSAT in provision of capacity building programmes with institutionalized mechanism to ensure financial and human resources sustainability; iii) improved capacity of ILSSA in managing a network of international and national experts for inclusive consultation at different levels, involving people/beneficiaries during the process of SP/SA law and policy formulation/adjustment and implementation; iv) improved capacity of the National Assembly and provincial people's elected bodies in the formulation of SP/SA law, related policies and oversight.

By supporting the development of curriculum for ToT training, establishment necessary mechanisms and networks, the project encourages all stakeholders to utilize their own resources for carrying out capacity building activities at larger scopes and strengthening the newly established mechanisms/networks so as to meet their own need. Their improved capacity and ownership will increase chances for scaling up and replication of project initiatives/results.

IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

Based on UNDP's comparative advantage and informed by lessons and achievements of SAP - phase I, the strategy of SAP – phase II (providing technical assistance in capacity building via training curriculum development for ToT courses, supporting the establishment of necessary mechanisms/networks for policy formulation and implementation, exploring possible arrangements for ensuring technical and financial sustainability of project results, facilitating the partnership with all relevant stakeholders including development partners, NGOs and private sectors for best effectiveness) is selected as the most effective approach to deliver maximum results within the available resources. This approach has been tested and proved to be the most effective in delivering the intended results, maximizing the impacts and sustainability as evidenced in many UNDP-supported projects in Viet Nam, particularly the SAP - phase I.

It is noted that the cost efficiency and effectiveness will also be gained from joint actions with other UN agencies within the One UN Result Group (UNRG) on Inclusive Growth and Social Protection. Under project Output 1, relevant UN agencies will provide their specific technical inputs to the one UN-supported training design/curriculum/materials (e.g. UNDP and ILO on social assistance/cash transfers, ILO on social insurance, UNICEF on child targeting and social care, etc...), which shall be provided to MOLISA/DSA and CIPs as a coherent package. It is agreed that joint UN support to this training will be provided, implemented and monitored by the involved UN agencies under the UNRG on Inclusive Growth and Social Protection. These arrangements aim to improve cost-effectiveness and efficiency which can be monitored by evidences such as reduced transaction costs in procuring and delivering international consultancy services for the training curriculum development and delivering ToTs, etc. Under project Output 2, newly established mechanisms/networks will be supported by broader networks of UNRG members, thus efficiently and effectively contribute to the multi-stakeholder dialogues during policy/law formulation and implementation.

Project Management

The project is implemented under National Implementation (NIM) modality, guided by the Harmonized Programme and Project Management Guidelines (HPPMG) or its revision: DSA (if assigned by the MOLISA) will be the Project Implementing Partner, while IPPM, ILSSA, ILSAT and the NACSA are co-implementing partners (CIPs) of specific activities/types of activities. The CIP's working relationships and required coordination responsibilities with the NIP are specified in a Letter of Agreement on co-implementation arrangements concluded between the two institutions.

The project office is located within DSA in Ha Noi, supported by 1 Deputy National Project Director, 1 National Project Manager/Project Coordinator assigned by IP who will be working closely with 4 coordinators assigned by each co-implementing partner (from the IP and CIPs' own staffing/organizational structure as in kind contributions to the project).

Beside the traditional responsibilities of quality assurance, M&E, project management and implementation support, UNDP will be directly involved in implementation of the project's specific activities based on its comparative advantages and cost-effectiveness considerations such as (i) procurement of international and national experts/consultants for and (ii) providing technical/policy advice inputs to training and policy research. "UNDP development effectiveness support" budget will be used to cover UNDP's technical and quality assurance inputs to the IP and Co-IPs in project work planning, implementation of activities, monitoring, progress and financial reporting, financial management, and other inputs such as policy advices and facilitation of policy dialogues and networking, etc. In addition, based on the requests of IP and Co-IPs, UNDP can also provide implementation support services (such as making financial transactions, procurement of goods and services, etc.) and costs of these services (based on UNDP Local Price List) will be charged to the related project activities.

The project will be subject to UNDP micro-assessments, spot checks and audits commissioned by UNDP in line with UNDP (Harmonized Approach to Cash Transfer Framework/HACT) rules applied to NIM projects; and DSA's contributions will be audited based on the GOVN own rules.

V. RESULTS FRAMEWORK⁹

ONE UNITED NATIONS STRATEGIC PLAN OUTCOME 1.1: By 2021, all people benefit from inclusive and equitable social protection systems and poverty reduction services, which will reduce multidimensional poverty and vulnerabilities						
Outcome Indicator (Means of Verification): Proportion of men, women and children of all ages living in poverty in all its dimensions according to national definitions Baseline (2016): 21.3% (National Human Development Report 2015) Target (2021): 12.3% (reduction in poverty rate by at least 1% per year)						
Applicable Output(s) from the UNDP CPD (2017-2021): Output 1.3: Social protection is progressively expanded based on a life-cycle approach and universal floor coverage , contributing to achieving SDG 1, target 1.3 “Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable” in Viet Nam Output indicator (Means of Verification): Coverage and level of benefit of Social Assistance system in Viet Nam (MOLISA administrative data, VHLSS and other M&E data)						
Project title: Supporting the improvement of Social Assistance system in Viet Nam, period 2017-2020 (SAP phase II) Atlas Project Number:						
EXPECTED OUTPUTS	OUTPUT INDICATORS ¹⁰	DATA SOURCE	BASELINE 2016	TARGETS (by frequency of data collection)		DATA COLLECTION METHODS & RISKS
			Value	Value	Year	
Output 1: New policies and law on SA costed, formulated and approved	Indicator 1.1: The extent to which the Law on Social Assistance (i) is based on rights and life cycle approach, and (ii) has implementation guidelines that clearly define institutional functions/roles.	NA’s decision of law issuance, Law review and RIA	Non-existence of the law on SA. Right-based and life-cycle approach is not mentioned in SA law and guiding documents	1 set of recommendation to the Law on SA , including i) the principle of applying right-based and life-cycle approach in SA; and ii) clear functions/ roles of concerns agencies/ stakeholders during the SA reform process	2019	Qualitative and quantitative (as required)

⁹ UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

¹⁰ It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

	Indicator 1.2: Number of new policies/schemes designed/adjusted and approved in line with the MPSAR	GOVN decisions of policy/scheme issuance, SA M&E and reporting	MPSAR with defined SA policy improvements (in terms of coverage, level of benefit and targeting approach) approved by the GOVN (April 2017) Non-existence of appropriate SA policies/schemes	5 new Policies/Schemes formulated/adjusted that are in line with the MPSAR's defined SA policy improvements (in terms of coverage, level of benefit and targeting approach)	2020	Qualitative and quantitative (as required)
Output 2: New policies and law on SA planned and implemented, monitored and evaluated, M&E information fed back to policy design/adjustment	Indicator 2.1: Percentage of new policies and schemes that are put in implementation	GOVN's decisions and reports	Policies schemes are to be formulated/ updated upon the approval of the MPSAR. No new policies are implemented	80% of new policies and schemes are fully implemented	2020	Qualitative and quantitative (as required)
	Indicator 2.2: Existence of an M&E system for SA policy/scheme implementation, number of M&E/oversight reports	GOVN's decisions and reports, M&E reports	M&E system does not exist. Evaluation and oversights are on ad hoc basis.	M&E system and oversight are functional and systematic, and feedbacks used for policy adjustment	2020	Qualitative and quantitative (as required)

VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, and in line with the UN RG on Inclusive Growth and Social Protection the project will be monitored through the following monitoring and evaluation plans (which may be modified to be in line with the UNRG on IG and SP joint plan on M&E): *[Note: monitoring and evaluation plans should be adapted to project context, as needed]*

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.		
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Risk monitoring: annually Audit: in accordance to UNDP audit policy	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.		
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	Annually	Relevant lessons are captured by the project team and used to inform management decisions.		
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	Annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.		
Project Report	A progress report will be presented to the Project	Annually, and at the			

	Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	end of the project (final report)			
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Annually/biannually	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.		

Evaluation Plan¹¹

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
End-Project-Evaluation		UNDP CPD (2017-2021) Output 1.3: Social protection is progressively expanded based on a life-cycle approach and universal floor coverage (Contributing to achieving SDG 1, target 1.3 “Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable” in Viet Nam)	ONE UN STRATEGIC PLAN OUTCOME 1.1: By 2021, all people benefit from inclusive and equitable social protection systems and poverty reduction services, which will reduce multidimensional poverty and vulnerabilities	Dec 2020	DSA, IPPM, ILSSA, ILSAT, NACSA	30,000

¹¹ Optional, if needed

VII. MULTI-YEAR WORK PLAN ¹²¹³

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year				RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2	Y3	Y4		Funding Source	Budget Description	Amount
<p>Output 1: New policies and law on SA costed, formulated and approved with inputs from trained MOLISA/DSA staff, joint research by the network of trained researchers, and additional TA (including mentoring/ facilitating “learning by doing” on concrete policy design and law formulation)</p> <p>Output 2: New policies and law on SA planned and implemented, monitored and</p>	<p>Activity result 1: Enhanced technical capacity of MOLISA and DOLISA staff for new law and policy design, implementation and M&E (<i>to be delivered under the partnership between UNDP & OECD-Finland-EU SP Program</i>)</p>	126,815	123,000	43,000	22,000			304,815	
	<p>Activity 1.1 Carrying out training need assessment, tailoring/ updating/ developing the training course materials and curriculum (including expansion of the contents, beyond the core cash transfer topics, on the topics of social and unemployment insurance, social care/work and emergency relief which are elements of Viet Nam defined social assistance system)</p>	51,000	45,000			UNDP, DSA, IPPM	UNDP ¹⁴ /DSA experts, int’l and national consultancy services, meetings, peer reviewers	96,000	

¹² Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

¹³ Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

¹⁴ Inputs of UNDP experts (Policy advisor and technical staff) listed in activity budget description of activities, but for the ease of accounting, the budgets associated with these costs are included in the budget lines “UNDP Int. Policy Advisor” and (part of) “Development Effective Support”.

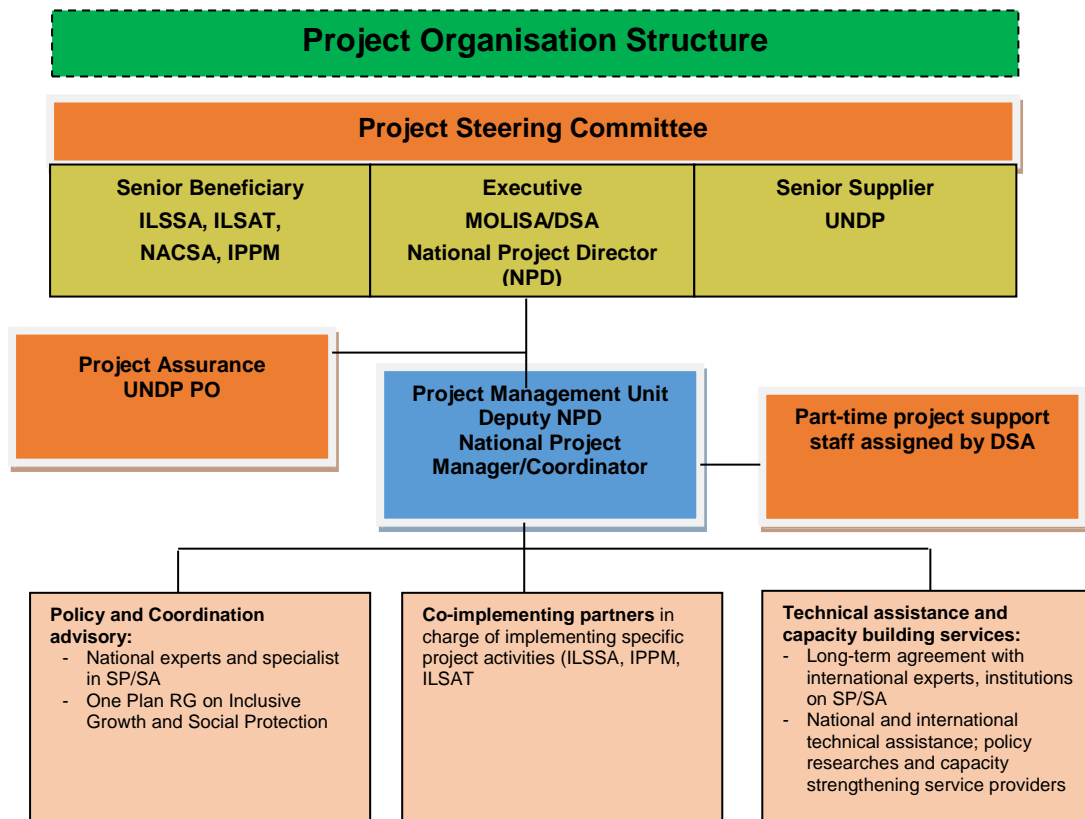
evaluated, M&E information fed back to policy design/ adjustment	<p>Activity 1.2 Designing and conducting Training of Trainers (ToT) courses (including refreshment trainings) for core national and provincial trainers (including policy makers, NA members, researchers, lecturers and practitioners)</p> <p>Note: These training will be conducted through cost sharing/or parallel funding with the GoV contribution, based on the annually approved budget of the National Program on Development of Social Assistance System for the period 2016 – 2020 (Decision 565/QD-TTg, dated on 25 April 2017. UNDP funding will cover TA, and GoV funding will cover all related logistic items.</p>	20,000	25,000	10,000		UNDP, DSA, IPPM, ILSAT	UNDP/DSA experts, consultancy services, workshops	55,000
	<p>Activity 1.3: Assisting national institutions (IPPM and DSA) in developing and implementing sound business plans, partnership and resources mobilization strategies to sustain the courses.</p>	9,815	5,000			UNDP, DSA, IPPM, ILSAT	UNDP/DSA experts, national consultants, workshops	14,815
	<p>Activity 1.4: Providing initial and gradually decreasing financial and technical support for the training courses for the targeted groups of trainees by the trained trainers</p> <p><i>(SAP will contribute TA/consultants, MOLISA will contribute logistic costs for participants based on the approved quarterly work-plan) with an aim to sustain the training courses in the future</i></p>	45,000	35,000	30,000	20,000	UNDP, DSA, IPPM, ILSAT	UNDP/DSA experts, consultants	130,000
	MONITORING	1,000	3,000	3,000	2,000	UNDP, DSA	Field trips	9,000
	<p>Activity result 2: Consensus reached by targeted policy advocacy, stakeholder consultation on new policies and law on SA.</p>		118,000	78,000	32,000			228,000

	<i>Activity 2.1:</i> Supporting the establishment of an M&E system, mechanisms for consultations and obtaining beneficiaries' feedback, oversight by the National Assembly and provincial people elected bodies.		65,000	35,000	15,000	UNDP, DSA, NACSA, ILSSA		UNDP/DSA expert, national consultant, workshop	115,000
	<i>Activity 2.2:</i> Supporting inclusive consultations (at different levels and involving people/beneficiaries) in the process of new law and policy/scheme formulation, implementation and M&E.		30,000	20,000	10,000	UNDP, DSA, NACSA, ILSSA		UNDP/DSA experts, national consultant, workshops	60,000
	<i>Activity 2.3:</i> Providing additional technical assistance, policy advices and targeted advocacy for new law/policy formulation.		20,000	20,000	5,000	UNDP, DSA, NACSA, ILSSA		UNDP/DSA experts, national consultant, workshop	45,000
	MONITORING		3,000	3,000	2,000	UNDP, DSA		Field trips	8,000
	Activity result 3: A policy & research facility/network of national researchers operational, hosted by ILSSA to support (i) joint policy research for policy formulation/adjustment, implementation and M&E; (ii) sharing knowledge among members and facilitating knowledge/ experience sharing among provinces in Viet Nam and with other countries in the region.	21,000	107,000	112,000	51,000				291,000
	<i>Activity 3.1:</i> Supporting the establishment of a national SA/SP policy research facility/network: reviewing feasible organizational arrangements, mechanisms for establishment, operations and funding of the network/facility; developing plan/roadmap/strategies for marketing and resources mobilization, for institutionalizing and sustaining the facility.	20,000	30,000	30,000		UNDP, DSA, IPPM, NACSA, ILSSA, ILSAT		UNDP/DSA experts, national consultant, workshop, equipment	80,000

	Activity 3.2: Supporting research network to conduct joint research for formulation of new law/policy (including through international experts and researchers providing coaching and mentoring).		50,000	50,000	31,000	UNDP, DSA, IPPM, NACSA, ILSSA, ILSAT		UNDP/DSA experts, national consultant, workshop	131,000
	Activity 3.3: Facilitating the linkages of the network/facility to international SP research networks.		15,000	10,000	5,000	UNDP, DSA, IPPM, NACSA, ILSSA, ILSAT		Exchange visit, face-to-face meetings	30,000
	Activity 3.4: Facilitating the documentation and knowledge/experience sharing among provinces in Viet Nam and with other countries in the region.		10,000	20,000	15,000	UNDP, DSA, IPPM, NACSA, ILSSA, ILSAT		National consultant, consultation	45,000
	MONITORING	1,000	2,000	2,000		UNDP, DSA		Field trips	5,000
Evaluation (as relevant)	End-project-evaluation				15,000	UNDP, DSA		Consultancy, field trips	15,000
Development effectiveness support (*) incl. UNDP int'l expert	UNDP tech/policy advising inputs, quality assurance, M&E, operations and implementation support, etc.	56,000	55,000	55,000	55,000	UNDP			221,000
General Management Support		5,185	15,000	15,000	15,000	UNDP			50,185
Project management: - 01 Project director; - 01 Deputy director; - 01 Project manager/ coordinator; - 01 Project accountant; - 01 Project secretary cum interpreter. Management and office renting costs will be paid by GoV									
TOTAL		209,000	408,000	303,000	190,000				1,110,000

Government contribution:									
Parallel fund for programs (in-kind):		90,000	120,000	120,000	120,000		GoV		800,000
Parallel fund for PMU operation (in-kind):		50,000	100,000	100,000	100,000				

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS



The project will be following the National Implementation Modality (NIM). Its management and implementation structure is arranged in line with the functions and mandates of the National Implementing Partner (IP). This arrangement is aimed at ensuring the full alignment of the project structure to the Government systems and through which ensuring the efficiency, reducing transaction and management costs, minimizing overlaps and particularly ensuring maximum of benefits and impacts for the beneficiary agencies as well as sustainability of the project.

Project Board: The joint MOLISA-UNDP project steering committee, represented by (i) a leader of MOLISA, (ii) senior officials from DSA, IPPM, ILSSA, ILSAT, and (iii) a senior manager from UNDP will meet on an annual basis to provide overall strategic guidance in project management implementation through (i) approving Annual Work Plans, (ii) reviewing and approving the project Annual/Bi-Annual progress and financial reports and, (iii) reviewing the project management's recommendations and lessons learned for making strategic decisions to ensure the smooth implementation and delivery of the project results.

The project board will be supported by a joint DSA-UNDP technical team, which will have the responsibility to (i) review project key products, annual progress and financial reports to be submitted by the IP, auditor's reports, final evaluation report to be submitted by independent evaluators (who will be recruited by UNDP) and (ii) make recommendations for the project board's decisions.

Project quality assurance

The UNDP country office and its assigned Quality Assurance officer(s) will play an oversight role to ensure proper use of the project resources and quality assurance for implementation of the project activities. In accordance with the HPPMG, quality assurance is an objective oversight and monitoring function to ensure that an approved work plan is implemented and allocated resources are used in accordance with established rules and procedures.

Project Management: The IP will be responsible for the overall project management, implementation and monitoring of activities, and accountable for the project results. The IP will lead in annual and quarterly work planning, progress and financial reporting to the project board. Based on the project Annual Work Plans (with concretely defined activities, results, resources and assigned responsible partners) approved by the project board, the IP will be responsible for development of quarterly work plans (with inputs from co-implementing partners) and submission to UNDP for quality assurance and approval. Per the approved work plans, implementing and co-implementing partners will be responsible for implementation of assigned activities, based on the HPPMG and Letters of Agreement between NIP/CIPs, monitoring and reporting progress/results.

In order to address the issues identified during SAP-phase I implementation, a more flexible management arrangement should be applied for SAP-phase II, where UNDP will directly manage the mobilization of international expertise (and related technical quality assurance), IPPM will be a partner (to provide technical support and cooperate for sustaining project results), while other national partners manage the use of the technical experts' outputs (for defining and designing nationally owned reforms).

DSA and CIPs will be using its own structure and staff to implement and manage the project - in line with the GOVN ODA Decree No. 16/NĐ-CP. The GOVN ODA Decree suggests that the Project Management Unit (PMU) may be established if and only if DSA finds it necessary.

Implementation arrangements

Planning

Based on the proposals from partners/collaborating agencies of the project, DSA/PMU will (i) develop annual work-plans and budgets and submit to MOLISA and UNDP for approval, after discussions and consultations with the Project Steering Committee at meetings; (ii) based on the approved annual work-plan, DSA/PMU will make quarterly work-plans and submit to the National Project Director (NPD) and UNDP for approval.

Co-implementing partners as mentioned earlier, will closely cooperate with the DSA/PMU, be proactive in proposing their work-plans and budgets, drafting TOR, etc., then submit to DSA/PMU for consideration and consolidation.

DSA/PMU will execute procurement procedures in line with HPPMG and provide CIPs with supports for implementing the project activities as approved plans. CIPs are responsible for management of services/resources, effective utilization, quality control and application of project's outputs according to approved work plans.

Reporting

The PMU will be responsible for consolidation of quarterly and annual progress reports and financial statements (including in-kind contribution from the Government and relevant stakeholders) and submitting them to UNDP for approval (in line with templates and regulations of HPPMG). Additionally, the PMU must execute all reporting requirements of the Government of Vietnam according to the current regulations.

Cooperation/coordination among stakeholders

According to the approved detail project outline/annual work-plans, NIP, in cooperation with UNDP and CIPs (i) develop and sign letter of agreements with CIPs to enhance their roles and responsibilities, including the regulations on planning, project activity implementation, budget transfer modality from NIP to CIPs, financial management (of the implementing partner and/or collaborating partners) as well as progress and financial reports, etc; (ii) similarly, DSA/PMU will develop and provide guidelines and supports, such as on development of TOR, procurement procedures, etc., if needed.

Cost efficiency and effectiveness will also be gained from joint actions with other UN agencies within the One UN Result Group (UNRG) on Inclusive Growth and Social Protection as mentioned above. Joint UN support to the training activities on social assistance under Project Output 1 will be provided, implemented and monitored by the involved UN agencies under the UNRG on Inclusive Growth and Social Protection. Under project Output 2, newly established mechanisms/networks will be supported by broader networks of UNRG members, thus efficiently and effectively contribute to the multi-stakeholder dialogues during policy/law formulation and implementation.

Financial management arrangement

The resources of this project will be managed in accordance to the HPPMG, EU-UN cost norms and other program/project management regulations of UNDP if any.

Based on the annual work-plans and budgets approved by DSA and UNDP, previous quarterly progress report/financial statements and request for quarter advance of the project, quarterly advances will be transferred by UNDP to DSA/PMU. The payments will be also settled by the modalities of (a) direct payment and/or (b) payment to the third parties by UNDP, especially when it comes to the activities by CIPs (to relieve CIPs, whose technical expertise is assessed as good, from the burden of financial management).

In order to avoid complicating the project and financial management, the procurements of services for activities to be implemented by CIPs will be carried out (and payments to service providers will be made using third party payment modality) by DSA/PMU (in line with the regulations of the Government of Vietnam) and/or UNDP (using UNDP own roles and procedures). UNDP and IP will closely involve and consult with CIPs in these actions to ensure that the services will meet the need of the CIPs. Similarly, some activities that are under UNDP's direct implementation and activities that the DSA/PMU requests UNDP to implement, will be implemented by UNDP in line with the regulations and procedures of UNDP. The CIPs and/or DSA/PMU will remain responsible

for ensuring the quality and utilization of the implementation support services of UNDP that IP requests UNDP to implement.

MOLISA will open a bank account to receive advanced fund from UNDP, open and keep accounting records/books to track and manage funds of the project, according to the regulations of the Government of Viet Nam and HPPMG. According to the regulations of HPPMG and HACT, the NIP will, also based on the financial reports from CIPs, make quarter/annual financial reports to UNDP for certification. HACT micro-assessment, spot checks and audit will be executed according to the regulations of HPPMG/UNDP NIM/HACT guidelines.

Key monitoring, overseeing, evaluation and reporting activities include:

At project result (target/output target) level: (i) Review meeting of the Project Steering Committee, annual progress and financial reports of the project which is consolidated by NIP; (ii) joint review missions and relevant reports of GACA and UNDP; (iii) independent final evaluation of the project, which will be conducted just before the project end to evaluate the overall achievement of the project implementation, fulfilment of outputs/results of the project against its set objectives/targets, impacts or future impacts of the project, its relevance in the country context and management efficiency and lessons learned.

At project activity result/activity level: Annual and quarter progress and financial reports of the project implementing partner; reports of CIPs and participating agencies; review meetings of NIP and CIPs; IP/PMU applying monitoring, overseeing and evaluating the quality of policy research products/TA and CB products of the service providers; quality assurance and monitoring activities of UNDP (including micro-assessments and/or spot checks as well as regular monitoring activities, etc).

IX. 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 SBAA [or other appropriate governing agreement] and all CPAP provisions apply to this document.

Consistent with the Article III of the Standard Basic Assistance Agreement, 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".

X. ANNEXES

Annex 1: Project Quality Assurance Assessment

Annex 2: Social and Environmental Screening

Annex 3: Risk Analysis

Annex 4: Capacity Assessment of Implementing Partner(s)

Annex 5: Detailed Project Outlines (phase I and II) approved by PM in 2013

TORs of key project management positions

1. National Project Director (Part-time, funded by the Government)

National Project Director will be a senior official, who on behalf of MOLISA will be accountable to the Government and to UNDP and ensure:

- Proper use of all funding resources of the Project;
- Ensure quality and efficiency of project results;
- Timely implement agreed activities;
- Efficiently use resources, including international experts;
- Properly coordinate the participation of related partners of the Project, specifically local partners outside of MOLISA.

The NPD is responsible for results of technical activities and for the compliance to donor regulations and that of the government in regard to project financial management (both donor and counterparts funds) in accordance to rules and guidelines provided in the Vietnam – UN Harmonized Programme and Project Management Guidelines (HPPMG)

Qualifications and experiences

- Master Degree on Law, Social Science, MBA, Social Works, Public Health, Economics, Public policies or related subjects;
- Excellent knowledge of social affairs, poverty reduction, social development;
- Strong inter-personality and excellent leadership skills;
- Extensive experiences of working in a complex structure of government ministries and dealing at a senior level with governmental institutions (At least 7-10 years working experience in the project subject area)
- Coordination and communication skills to link all technical and conceptual aspects of the projects in an overall cooperation in the area of social policies as well as socio-economic development perspective;
- Proven knowledge and experience of UNDP project management procedures.

2. National Project Manager/Coordinator (Full-time, funded by the Government)

Functional Title:	National Project Manager/Coordinator (NPM/NPC)
Duty Station:	Hanoi and provinces in Viet Nam
Supervision:	National Project Manager/Coordinator will be recruited to work at the project office under supervision of the National Project Director (NPD)

Duties and Responsibilities

The NPM/NPC has responsibility for daily operational management of the Project. S/he will plan, initiate and manage project activities under direction of the NPD. His/her specific duties will be as follows:

- Assume operational responsibility for the management of all UNDP supported activities with MOLISA as the NIP in accordance with procedures and practices outlines in the HPPMG manual;
- Coordinate with 4 coordinators from other implementing partners (IPPM, ILSSA, ISAT, NACSA) to prepare annual and quarterly WPs, ensure the quality of annual and quarterly work plans (covering all UNDP supported activities with MOLISA as the NIP) and conformity of these within the agreed cooperation frameworks for submission to the NPD;
- Ensure quality control of all project activities in line with AWP, quarter WP;
- Supports NPD in assuming responsibility for managing the work plan and budget on behalf of the NPD to ensure that: Funds are made available as needed and are disbursed properly; Accounting records and supporting documents are kept, Financial reports are prepared; Financial operations are transparent and in compliance with HPPMG rules; and Records are in order for auditing at any time; Manage physical resources (equipment, etc.) financed by UNDP; Organise the implementation of planned corrective actions as recommended by auditors;
- Prepare ToRs and engage in the recruitment and mobilization of short, long-term consultants;
- Facilitate and monitor workplans of the project short-term consultants and long-term agreements, and ensure that results outputs will be delivered on time, and with required quality;
- Prepare and facilitate scheduled meetings in review of all UNDP supported activities with MOLISA as the NIP (monitoring visits to national and sub-national partners, spot checks, annual review meetings, and end of project evaluation);

- Initiate and administer the mobilization of UNDP and concerned Development Partners' supported inputs under the responsibility of the NIP;
- Supervise and guide national technical staff and other support staff in monitoring the work of consultants working for NIP in all UNDP supported activities with MOLISA as the NIP;
- Draft and/or organize the drafting of all management reports, including quarterly, annual, and terminal reports and organize tripartite reviews and Evaluation Missions (covering all UNDP supported activities with MOLISA as the NIP) in coordination with the Government and UNDP;
- Organise monitoring and evaluation systems and regularly update the NPD on progress, issues and constraints to project implementation, and advise NPD on possible solutions;
- Performs any other tasks assigned by the NPD

Qualifications and Requirements:

- Postgraduate degree in economics, Law, development studies, social science, social development, public health or related subject;
- Good knowledge and understanding of the government system and network, and social assistance issues in Vietnam;
- Strong background and experience in social development, social protection;
- At least 5 years working experience in the project subject area
- Experience in management of international donor funded development projects;
- Familiarity with UNDP financed technical assistance projects is an asset;
- Excellent English proficiency, strong communication and organizational skills;
- Strong report writing skills and competence in using word processing, spreadsheets and (preferably) databases