ANNEXES

VIET NAM – UNITED NATIONS HARMONIZED PROGRAMME AND PROJECT MANAGEMENT GUIDELINES
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PART III – PROJECT-LEVEL MANAGEMENT

Chapter 1 -- PREPARATION OF DETAILED PROJECT OUTLINE

Annex III.1.1

FORMAT FOR DETAILED PROJECT OUTLINE
TECHNICAL ASSISTANCE PROJECT SUPPORTED BY
THE UNITED NATIONS

Cover page:

TITLE OF THE PROJECT

(Name of the Line Agency - National Partner)
(Name of the national agency proposing the project)

PART A: GENERAL INFORMATION ABOUT THE PROJECT

1. Project title and code:
2. Sectoral code\textsuperscript{1}:
3. Name of the UN Agency supporting the project:
4. Name of the Line Agency – National Partner:
   a) Contact address: …………….b) Phone/Fax number: ……………
5. Name of the Agency proposing the project:
   a) Contact address: …………….b) Phone/Fax number: ……………
6. National Implementing Partner:
   a) Contact address: …………….b) Phone/Fax number: ……………
7. Name of the Co-Implementing Partner(s):
   a) Contact address: …………….b) Phone/Fax number: ……………
8. Estimated Project duration\textsuperscript{2}:
9. Project location (identify down to the district level, if applicable):
10. Total project budget: …………………… USD, including:
    10.1. Total grant ODA: ……………….. USD
        a. Total ODA amount already committed: …………. USD
        a.1. Regular source of funding: …………… USD
        a.2. Co-financing source(s): …………… USD (identify the donor
            government or agency, if possible)
        b. Total ODA amount to be mobilized: …………. USD
    10.2. Counterpart funding: …………. VND (= …………. USD)

\textsuperscript{1} This is the national code for the sector in line with the List of Viet Nam’s National Economic Sectors issued by the Prime Minister, together with Decision 10/2007/QĐ-TTg dated 23 January 2007.
\textsuperscript{2} Estimated number of years or months needed to implement the project as of the date on which the project is approved by the competent authority.
11. ODA provision modalities:
   a) Grant ODA: ................ USD
   b) Soft loan: .................. USD
   c) Mixed grant and loan: ............... USD

PART B: DETAILED PROJECT OUTLINE

I. Project context and justification:
1. Discuss briefly those components of the master plan, development plan of the
   beneficiary institution (agency, sector, field, locality) that are of direct relevance to the
   contents of and needs for the proposed project as well as the role the proposed project is
   expected to play in the master plan, development plan.

2. Summarize other completed or ongoing programmes/projects, that have been
   financed from various sources of funding, to address problems/issues being
   experienced by the line agency and implementing partners. This section is intended to
   avoid overlaps as well as to ensure proper coordination, share results and maximize
   synergies between the relevant programmes/projects.

3. Discuss briefly the major relevant lessons (if any) drawn from the previous Country
   Programme(s) of the UN Agency supporting the proposed project.

4. Identify the major issues that will be addressed by the proposed project.

5. Identify the target group(s) that will benefit from the proposed project.

II. Rationale for the selection of the supporting UN Agency
1. Relevance of the project contents and objectives to the mandate and programme
   priorities of the supporting UN Agency.

2. Reasons for the selection and comparative advantages of the supporting UN
   Agency, in terms of technology, managerial experience, policy advice, etc… in the
   sector/field.

3. Conditions as required by the supporting UN Agency’s policy guidelines (if any)
   and the Vietnamese side’s capacity to meet them.

III. Objectives and major indicators of the proposed project
1. Long-term objective(s) and main success indicators (if available)

2. Immediate objective(s) and main success indicators (if available)
IV. Main expected results by components or major groups of activities and estimated budget allocations

Describe briefly the project contents and expected results, implementation arrangements and coordination mechanisms, proposed budget allocations to the components or major groups of activities.

Indicate clearly what activities or groups of activities that supporting UN Agency will be requested to implement and the reasons to select this implementation modality.

V. Funding arrangements

1. ODA budget:
   ODA budget: ………. (in the original currency), equivalent to: ….. USD, including:
   o Allocation from admin./service budgets: ………% of the total ODA budget
   o On-lending: ……………. % of the total ODA budget

2. Counterpart funding:
   2.1. Counterpart funding: ………… USD, equivalent to …………USD, including:
       o In-kind: equivalent to ………….. VND
       o In-cash: equivalent to………….. VND

   2.2. Modalities to mobilize counterpart funding:
       o Allocation from the central budget: ……………… VND (…% of the counterpart funding)
       o Mobilization from other sources: ………………. VND (… % of the counterpart funding)

VI. Management and implementation arrangements for the proposed project

1. Organizational structure: Identify the National Implementing Partner (NIP), Co-Implementing Agency(s) (CIP) and other participating party(s) if any. Discuss the rationale for the selection of the NIP and the CIP(s). Briefly discuss the organizational, management and implementation capacities of the NIP and the CIP(s).

2. Management and implementation arrangements: Identify the Boards (if any) and the Project Management Unit (PMU), their respective organizational structures and working arrangements. Mention key personnel posts including long-term consultants/advisors and administrative support personnel (if any). Briefly discuss the main roles and tasks of the Board(s), PMU and the key personnel posts.

3. Briefly summarize the working relationships between the parties concerned (e.g. the line agency, NIP and CIP(s), PMU, UNCO, sub-contractors and other participating parties in project management and implementation.
4. Briefly discuss the main mechanisms to develop and implement project work plans and manage its financial resources (including cash transfer modality(s) selected and the risk rating based on the HACT guidelines).

5. Briefly discuss monitoring, overseeing, evaluation and reporting requirements.

**VII. Preliminary analysis of project feasibility**

**VIII. Preliminary analysis of project benefits**
1. Direct benefits for the Implementing Partner

2. Economic, environmental and social implications for the sector, field, locality

3. Sustainability of the project following its completion

   Date: ....................................
   
   (signed and sealed)

   Head of the Agency proposing the project

**Annexes:** List of major equipment pieces, particularly those that will be imported (if any)
FORMAT FOR THE LETTER OF AGREEMENT BETWEEN
the National Implementing Partner (NIP) [name of the partner agency] and
the Co-Implementing Partner (CIP) [name of the CIP]
on the implementation of the Project [title/code of the UN-supported project]

I. GENERAL INFORMATION ON THE PROJECT
- Title and code of the Project (if available):
- Duration of the Project:
- Overall and specific objectives of the Project:
- Major success criteria of the Project:
- ..............................................................

II. GENERAL INFORMATION ON THE NIP AND CIP
- National Implementation Partner [Name and address]
  Project Director [Name and contact information]
  Account number [..............................]
- Co-Implementing Partner [Name and address]
  Representative [Name, title and contact information]
  Account number [.........................]

III. PURPOSE AND PRINCIPLES OF THE LETTER OF AGREEMENT
1. Purpose: [State the purpose of the Agreement, including its objective of contributing to the successful implementation of the entire Project and strengthening the capacity of the CIP itself]

2. Principles:
   - 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 jointly accountable to the NIP and other Implementing Partners (if any) for the success of the Project.
   - 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 its own Organization/Unit.
The CIP is directly responsible for implementing the activity(s) described in this Agreement and is accountable to the NP for the successful implementation of such activity(s). In this spirit, the CIP works under the overall supervision of the IP and in close cooperation with the UNCO, while the IP assumes the overall responsibility for the implementation of the entire UN-supported Project.

3. **Success criteria for the expected outputs of the Project:**
   [Based on the overall success criteria for the stated outputs of the Project, list the criteria of those outputs that are expected to be produced through the implementation of the Agreement. Add other criteria if relevant]

4. **Success criteria for the stated activities of the Project:**
   [State the criteria for the specific deliverables/results that are expected to be produced through the implementation of the activities described in the Agreement]

**IV. SCOPE OF THE LETTER OF AGREEMENT**

1. **Beneficiary:** [State the group(s) that will benefit through the implementation of the Agreement]

2. **Location:** [Stat the location(s) that will be affected by the implementation of the activities described in the Agreement]

3. **Duration:** [State the estimated duration for the implementation of the Agreement]

**V. CONTENTS AND RESULTS OF THE LETTER OF AGREEMENT**

[Describe the activity(s), its frequency or target end date(s), target beneficiary group(s), expected outputs or results. Please take care not only to number the activity(s) agreed in the Agreement but also to ensure that the numbering matches that in the DPO]

**VI. TOTAL BUDGET FOR THE LETTER OF AGREEMENT**

[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]

**VII. IMPLEMENTATION MEASURES**

1. **Work planning:**
2. **Coordination arrangements:** [State clearly coordination arrangements between the NIP, the party responsible for the Agreement, and the agency providing technical assistance and other stakeholders if relevant]

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**

   3.2. **CIP’s internal arrangements and personnel for Project management** [State the key staff that CIP assigns to implement the Agreement and how they work together]

   3.3. **Authorities and division of responsibilities** [State clearly the responsibilities and accountabilities of the CIP for corresponding activity(s)]

   3.4. **Reporting requirements**

   3.5. **Financial management**

      a) **Bank account and seal**

      b) **Provisions on advances, payment, liquidation, cost norms** [State clearly agreements on the deadlines, conditions, progress schedules and modalities for requesting advances as well as making payments for the expenses to finance the implementation of the activity(s) described in the Agreement]

      c) **Management and archiving of books, supporting documents**

      d) **Management and use of equipment**

      e) **Tax provisions**

**VIII. OTHER PROVISIONS**

**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.

<table>
<thead>
<tr>
<th>Representative of the NIP</th>
<th>Representative of the CIP</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Signed and sealed)</td>
<td>(Signed and sealed)</td>
</tr>
</tbody>
</table>
Chapter 3 – PREPARATION, APPRAISAL, APPROVAL AND SIGNING OF THE ANNUAL WORK PLAN AND PROJECT DOCUMENT

Annex III.3.1

ANNUAL WORK PLAN

Country: ___________________

UNDAF Outcome: _____________________________________________________
(Quote the full statement of the Outcome mentioned in the UNDAF that the AWP contributes to)

Expected OP Outcome: _______________________________________________
(Quote the full statement of the Outcome mentioned in the One Plan that the AWP contributes to)

Expected OP Output(s): _______________________________________________
(Quote the full statement(s) of the Output(s) mentioned in the OP that the AWP contributes to)

Expected CPD/CPAP outcome(s) (if applicable): __________________________

Implementing Partner: _______________________________________________

Other parties (e.g. Co-Implementing Partners): ____________________________

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

| One Plan Period: _________________ | Estimated annual budget: ________ |
| One Plan PCG: _________________ | Allocated resources: ________ |
| Project Title: _________________ | • Government ________ VND |
| Project Code: _________________ | • Regular ________ USD |
| Project Period: _________________ | • Others: |
| | o Donor ________ USD |
| | o Donor ________ USD |
| | o Donor ________ USD |
| | Shortfall (if any) in meeting budget requirement: _________________ USD |

Agreed by [the Implementing Partner]: ____________________________

Agreed by [the UN Agency]: ____________________________
ANNUAL WORK PLAN ……..

Project code & title:
Implementing
Partner:

<table>
<thead>
<tr>
<th>EXPECTED PROJECT OUTPUTS, INDICATORS AND ANNUAL TARGETS</th>
<th>PLANNED ACTIVITIES (List all the activities, including M &amp; E activities, planned in the year in order to produce the project outputs)</th>
<th>TIMEFRAME</th>
<th>RESPONSIBLE PARTY (maybe a NIP, a CIP, or the UNCO)</th>
<th>PLANNED BUDGET</th>
<th>Challenges, solutions and other issues</th>
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<tr>
<td></td>
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<td>Q 1</td>
<td>Q 2</td>
<td>Q 3</td>
<td>Q 4</td>
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</tbody>
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1 | 2 | 3 | 4 | 5 | 6 | 7 |

Relevant Output from the UN's One Plan (*Please insert the One Plan's Output the production of which the project outputs listed below are expected to contribute to*)

RESULT 1:  
- Insert the relevant result from the UN Agency's CPAP the production of which the project outputs listed below are expected to contribute to
- Insert the relevant result from the UN's One Plan and its code number (as listed in Annex I Results and Resources Framework)

<table>
<thead>
<tr>
<th>PROJECT OUTPUT No. 1: (accompanied with Indicators and Targets for the year)</th>
<th>Activity or Group of Activities No. 1</th>
<th>OPF</th>
<th>Core</th>
<th>Others</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Sub-Total for Activity or Group of Activities 1 (if financed from more than one source of funding)</td>
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<tr>
<td>Activity or Group of Activities No. 2</td>
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</table>
### PROJECT OUTPUT
No. 2:
(accompanied with Indicators and Targets for the year)

<table>
<thead>
<tr>
<th>Activity or Group of Activities No. 1</th>
<th></th>
<th></th>
<th></th>
<th>Total for Output No. 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activity or Group of Activities No. 2</td>
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<tr>
<td>Total for Output No. 2</td>
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</table>

### RESULT 2: - Insert the relevant result from the UN Agency's CPAP the production of which the project outputs listed below are expected to contribute to - Insert the relevant result from the One Plan and its code number (as listed in Annex I Results and Resources Framework)

### PROJECT OUTPUT
No. 1:
(accompanied with Indicators and Targets for the year)

<table>
<thead>
<tr>
<th>Activity or Group of Activities No. 1</th>
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<th></th>
<th></th>
<th>Total for Output No. 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activity or Group of Activities No. 2</td>
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<tr>
<td>Total for Output No. 1</td>
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…

**GRAND TOTAL**

(*): Please specify Other sources of funding if any, e.g. OPF, ADB, WB, a bilateral donor, etc… Please keep each source on one line.

**Prepared by:**
Date:

**Approved by:**
Date:
Chapter 4 – PREPARATION AND APPROVAL OF QUARTERLY WORK PLAN

Annex III.4

QUARTERLY WORK PLAN ...../YEAR .....  

<table>
<thead>
<tr>
<th>EXCEPTED PROJECT OUTPUTS, INDICATORS AND QUARTERLY TARGETS</th>
<th>PLANNED ACTIVITIES (List all the activities, including M &amp; E activities, planned in the quarter in order to produce the project outputs)</th>
<th>TIMEFRAME</th>
<th>RESPONSIBLE PARTY (maybe a NIP, a CIP, or the UNCO)</th>
<th>PLANNED BUDGET</th>
<th>Challenges, solutions and other issues</th>
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<tbody>
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<td>T1</td>
<td>T2</td>
<td>T3</td>
<td>Source of funding (*)</td>
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<td></td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
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<td>RESULT 1:</td>
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<td>OUTPUT 1:</td>
<td>Group of Activity 1</td>
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<td>- Activity 1.1.</td>
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<td>Eg: Regular</td>
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<td>Sub-Total for Activity or Group of Activities 1 (if financed from more than one source of funding)</td>
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<td>- Activity 1.2...</td>
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<td>Group of Activity 2:...</td>
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<td>Total for Output No. 1</td>
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<td>OUTPUT 2:</td>
<td>Group of Activity 1 ...</td>
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<td></td>
<td>Group of Activity 2...</td>
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<tr>
<td>RESULT 2:</td>
<td>TOTAL 2</td>
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<td>OUT PUT 1</td>
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<td>OUT PUT 2</td>
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<tr>
<td>GRAND TOTAL</td>
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</tbody>
</table>

(*) Please specify Other sources of funding if any, e.g. OPF, ADB, WB, a bilateral donor, etc… Please keep each source on one line.

Prepared by:  
Date:  

Approved by:  
Date:
Annex III.4.2

ITEMIZED COST ESTIMATES PER ACTIVITY

A. General information on the activity:

- Activity title: .................................................................................................................................
- Activity code: .................................................................................................................................
- Minimum information required: .......................................................................................................
  1) Objective: ......................................................................................................................................
  2) Expected output(s): .........................................................................................................................
  3) Estimated start date, duration and venue: .........................................................................................
  4) Qualifications: .................................................................................................................................
  5) Implementation modality: .................................................................................................................
- Applicable exchange rate (VND/USD): ...............................................................................................  

B. Detailed information on cost estimates for the activity:

<table>
<thead>
<tr>
<th>No.</th>
<th>Budget items (*)</th>
<th>No. of Persons/Items…</th>
<th>No. of work days/sets…</th>
<th>Rate/Cost Norm</th>
<th>Total</th>
<th>Remarks</th>
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<td>No.</td>
<td>Unit</td>
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<td>(7)</td>
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<td>PER DIEM</td>
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<td>Per diem</td>
<td>1</td>
<td>Person</td>
<td>2</td>
<td>Day</td>
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<td>1.2</td>
<td>Lunch for participants (if applicable)</td>
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<td>FEES</td>
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<td>2.1</td>
<td>Fee for service providers</td>
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<td>3.</td>
<td>TRANSPORTATION</td>
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</tbody>
</table>
3.1 Transport. by land
3.2 Transport. by air
3.3 Airport taxi (lump-sum)

4. MISCELLANEOUS
4.1 Hall rental
4.2 Stationary
4.3 Photocopy
4.4 Tea break
4.5 Training facilities (if any)

5. OTHERS

<p>| | | | | |</p>
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</thead>
<tbody>
<tr>
<td>3.1</td>
<td>Transport. by land</td>
<td>1</td>
<td>Person</td>
<td>2</td>
</tr>
<tr>
<td>3.2</td>
<td>Transport. by air</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3</td>
<td>Airport taxi (lump-sum)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(*) The budget items listed in the table are for reference only. When the PMU establishes cost estimates for a specific activity, it should list budget items that are relevant to the activity itself.

Prepared by: .............................................
Date: .......................................................

Approved by: .............................................
Date: .......................................................

TOTAL
Chapter 5 – RECRUITMENT OF PROJECT PERSONNEL

Annex III.5.1
Guidelines for Preparation of Terms of Reference

TERMS OF REFERENCE

1. CONTEXT: Provide general background information on the project context where the services of the personnel post will be needed.

2. OBJECTIVES: Provide a brief, succinct description of the objective(s) that the assignment of the personnel post. Such objective(s) should be linked to particular outputs or results of the project.

3. DELIVERABLES: Give a clear, unequivocal definition of the outputs or products that should be produced by the personnel post (e.g. survey completed, reports prepared, data collected/analyzed, policy recommendations made, etc...). This section should include criteria or indicators to measure the quantity and quality of the deliverables.

4. SCOPE: Define the key issues or problems that will be addressed by the personnel post.

5. METHODOLOGY: Describe the methodology or approach with which the personnel post will be carried out its tasks. Such a methodology or approach may also include monitoring and progress controls, such as reporting requirements, periodicity, format and deadlines.

6. IMPLEMENTATION PLAN: Provide key milestones of the implementation process, including when key activities will be organized, which people will get involved and their roles, when sub-outputs and/or final products will be produced, where the resources will come from and when payments will be made.

7. QUALIFICATIONS AND WORK EXPERIENCES: Describe the qualifications and work experiences that would be required from the individual. Such qualifications and work experiences would include relevant academic degree, specialized knowledge, practical experience, competencies/skills and computer skills. Also include the level of working language as/if required.

8. REMUNERATION CONDITIONS:

- The level of remuneration corresponds with the qualifications and work experiences required for the post as referred to in Part 7 of this TOR and the cost norms as provided for in the existing UN Cost Norms Guidelines.
- The payment of other related expenses follows the existing UN Cost Norms Guidelines and relevant provisions of the HPPMG.
Annex III.5.2

Health Statement

PROJECT ID TITLE: __________________________________________________________
NATIONAL IMPLEMENTING PARTNER:__________________________________________

HEALTH STATEMENT DECLARED BY CONSULTANTS

PART I (to be completed by the Subscriber)

Name: ___________________________ Date of birth: ________

Project Code and Title:

I certify that I am in good health and I am able to perform the proposed functions to the best of my knowledge and belief.

__________________________
Signature of Subscriber

PART II (to be completed by the PMU)

The above subscriber has been offered a Service Contract commencing on the day of ________
200.....

__________________________
Signature of Authorized PMU Officer

This form is valid for SSAs of up to three months only.

N.B. This form cannot be used if the Subscriber is required to travel outside the country of his/her normal residence other than between points in Europe and North America.
Annex III.5.3
FORMAT OF THE LABOUR CONTRACT
Issued together with Circular No. 21/2003/TT-BLĐTBXH dated 22 September 2003
by the Ministry of Labour, Invalid and Social Affairs

SOCIALIST REPUBLIC OF VIET NAM
Independence – Freedom – Happiness

Project code & title: ............................................................
No: ............................................................

LABOUR CONTRACT

We, on the one side, Mr/Mrs. : ............................................ Nationality: ......................
Title: .........................................................................................................................
Representing (1): ............................................................ Phone: ..............................
Address: ......................................................................................................................
And, on the other side, Mr/Mrs. ............................................. Nationality: ......................
Born on date ............ month ........ year ........ in ..........................................................
Profession (2): ............................................................................................................
Permanent address: ....................................................................................................
ID card No: ......................... issued on ........../........../ ......... in ......................................
Labour permit (if applicable) .................. issued on ........../........../ ......... in ...............
Hereby agreed to sign this Labour Contract and are committed to adhere to the following provisions:

Article 1: Validity and Contracted Work

- Type of labour contract (3): .........................................................................
- Valid from date .... month .... year ....... until date .... month .... year ..............
- On probation from date .... month .... year....... until date .... month .... year ...........
- Work place at (4): ............................................................................................
- Professional position: ........................................... Title (if any): ......................
- Contracted work (5): ..........................................................................................

Article 2: Working Conditions

- Working time (6): ..............................................................................................
- Working facilities to be provided: .........................................................................

Article 3: Responsibilities and Entitlements of the Employee

1. Entitlements:
   - Transport means (7): ....................................................................................
   - Level of salary or wage (8): ............................................................................
   - Payment modality: ...........................................................................................
   - Allowances (9): ...............................................................................................  
   - Payments are made on ................................................................................. every month.
   - Incentives: ......................................................................................................
- Salary increments: ..............................................................................................................
- Labour safety facilities: .................................................................................................
- Leave entitlements (weekends, annual leave, public holidays, ...): ............................
- Social and medical insurance (10): ..................................................................................
- Training benefits (11): ....................................................................................................
- Other entitlements (12): ....................................................................................................

2. Responsibilities:
- Accomplishing the tasks that have been agreed in the Labour Contract.
- Being compliant with production/ business discipline, working regulations, safety regulations.
- Making compensations for non-compliance (13): ............................................................

Article 4: Responsibilities and Authorities of the Employing Unit

1. Responsibilities:
- Ensuring adequate work and accomplishing all the commitments made in the Labour Contract.
- Making full and timely payments for the entitlements of the employee in accordance with the Labour Contract and collective labour MoU (if any).

2. Authorities:
- Providing guidance to the employee so that the latter can accomplish the contracted work (deploying or re-assigning the employee, or temporarily suspending his/her work).
- Temporarily suspending or cancelling the Labour Contract, taking disciplinary actions against the employee in accordance with prevailing legislation, collective labour MoU (if any) and working regulations of the employing unit.

Article 5: Implementation Provisions

- Labour issues that are not recorded in this Labour Contract shall follow the available collective labour MoU. In case no such MoU is available, they will follow relevant provisions of the Labour Code.
- This Labour Contract is made in two (2) copies of equal validity. Each party is in possession of one copy which comes into effect as of date ...... month .......... year ........Whenever the two parties sign an amendment to this Labour Contract, the contents of the amendment shall be of the same validity as those contents of this Labour Contract.

This Labour Contract is made in ...............................on date ......…… month ……… year ……….

Employee
(signed)
Full name

On behalf of the PMU
(signed and sealed)
Full name

Guidelines for the Preparation of the Labour Contract

1. Write the name of the employing enterprise, agency, organization, e.g. Ha Noi Housing Construction Company.
2. Write the name of the profession (in case the person has more than one profession, write the main profession), e.g. Engineer.

3. Write the type of the Labour Contract, e.g. indefinite duration or six months’ duration.

4. Write the name of the main work place, e.g. No. 2, Đinh Lễ Street, Hà Nội; and subsidiary work place (if any), e.g. No. 5, Tràng Thi Street, Hà Nội.

5. Write the main work to be performed by the employee, e.g. installing, inspecting, maintaining electric systems; ventilation equipment; refrigeration equipment, ... in the enterprise.

6. Write the number of working hours per day or per week, e.g. 08 hours/ day or 40 hours/week.

7. Specify the transport means and which party shall provide it, e.g. the employing unit or the subscriber shall be responsible for arranging day-to-day transport from and to the working place.

8. Write the relevant level of salary in line with the existing UN Cost Norms Guidelines.

9. Write the types of allowance, the level and ratio when the Labour Contract is signed, in line with the existing UN Cost Norms Guidelines.

10. For a person who is subject to mandatory social insurance contributions, specify the percentage that the two parties shall deduct from the monthly salary to pay to the insurance authorities.

    For a person who is not subject to mandatory social insurance contributions, the amount of social insurance shall be deducted from the employee’s monthly salary so that he/she can make voluntary social insurance contributions or shall take care of his/her own social insurance.

11. Write explicitly the obligations and benefits of the employee in case he/she is sent to training by the employing unit, e.g. During the training period, the employee shall accomplish the training activity in a timely manner, shall receive the full salary and enjoy other entitlements as a person at work, except the allowance for toxical working conditions.

12. Write those entitlements that are not available or already available in the Labour Code, in the collective labour MoU but are in favour of the employee, e.g. Visits, tourist trips, sightseeing tours, birthday gifts, etc...

13. Specify the level of compensation for each case of non-compliance, e.g. the employee shall pay VND six million if he/she quits the project upon completion of a training activity or VND three million if he/she quits the project less than two years upon completion of such training.
Annex III.5.4

AMENDMENT TO THE LABOUR CONTRACT

Issued together with Circular No. 21/2003/TT-BLĐTBXH dated 22 September 2003
by the Ministry of Labour, Invalid and Social Affairs

SOCIALIST REPUBLIC OF VIET NAM
Independence – Freedom – Happiness

Project code and title: .............................................................
No: ......................................................

AMENDMENT TO THE LABOUR CONTRACT

We, on the one side, Mr/Mrs. : ............................................... Nationality: .........................
Title: .................................................................................................................................
Representing (1): ................................................................. Phone: .................................
Address: ..............................................................................................................................
And, on the other side, Mr/Mrs. ........................................... Nationality: .........................
Born on date ....... month ....... year ....... in ...........................................................
Profession (2): ....................................................................................................................
Permanent address: ...........................................................................................................
ID card No: ................... issued on ....../......../ ....... in ...........................................................
Labour permit (if applicable) .................. issued on ....../......../ ....... in .....................................
Based on the Labour Contract No. ........ signed on ............/......../ ....... and the needs for labour, the
two parties hereby agree to amend the following contents of the Labour Contract that the two parties
have signed:

1. Changes to the contents of the Labour Contract (Describe clearly what changes are being made):
.............................................................................................................................................
.............................................................................................................................................

2. Validity (Write clearly the validity period of the changes described on Point 1 above): ...............
.............................................................................................................................................
.............................................................................................................................................

This Amendment which constitutes an integral part of the Labour Contract No. ........ is made in two
(2) copies of equal validity and each party is in possession of one copy that shall serve as the basis for
resolution of any labour dispute that may occur.

Employee  On behalf of the PMU

(signed)  (signed and sealed)

Full name  Full name
**Annex III.5.5**  
Certification for Payment

| PROJECT ID AND TITLE: __________________________________________________________ |
| NATIONAL IMPLEMENTING PARTNER: ________________________________________________ |

## CERTIFICATION FOR PAYMENT

**1. PROJECT USE ONLY**

| Name: ___________________________ | PSA # ______ SSA# ______ Amend. # ______ |
| Nationality: _____________________ | Maximum duration: ___________________ |
| Starting/Expiry dates: ____________ | Project No: ______________________ |
| Fee: ____________________________ | Account Code: ____________________ |
| Expected number of work days/week: | MOD Number: __________ Vendor Number: _ |

**2. TO BE COMPLETED BY THE SUBSCRIBER**

For payment of fees, please complete below and send to:

**Requesting NPD:**

Project: ____________________________ , Viet Nam

I certify that the dates indicated below are an accurate account of the services and duties performed under the terms of this contract.

**Important:** Payment will not be made if this form is not completed properly.

<table>
<thead>
<tr>
<th>Duty station</th>
<th>Dates worked From/To</th>
<th>No. of days worked</th>
<th>Total payable US$</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Please note that payment will be made in the VND. Bank charges related to payment will be borne by the subscriber.

Please make payment as indicated below:  

Name of Bank: ____________________________  
Account title and No: ____________

Address: ____________________________  
Signature: ____________________________  
Date: ________________________________

1 This information should agree with that provided in the Personnel Service Agreement or Special Service Agreement.

## 3. TO BE COMPLETED BY THE PMU

Please check appropriate box  

Final report accepted ☐  
Final report not required ☐  
Evaluation Sheet attached ☐

I certify that the work was satisfactorily performed during the above-mentioned dates as per the terms of the contract

<table>
<thead>
<tr>
<th>Name/signature (Requesting PM)</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name/signature (Requesting NPD)</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Annex III.5.6
Local Travel Request Form for Project Personnel

Local Travel Request/Authorization

Name: ___________________________ Title: ___________________________
Agency: ___________________________ Duty Station: __________________ Level: __________________
Project ID and title: ___________________________
(a) Number of days: ___ Estimated DSA cost: ___ Chargeable to A/C No: _____ (estimated)
(b) Mode of travel: __________ Estimated cost: __________ Chargeable to A/C No: _____
(c) Travel to be arranged by UNCO □ Project □ Traveler □
(d) ITINERARY

<table>
<thead>
<tr>
<th>Commencing date(s)</th>
<th>Duration (no. of days)</th>
<th>Location</th>
<th>Purpose of visit</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Date: ___________________________ Traveler’s signature

Approved by: ____ (signature)

Name and title: __________________

Date: ___________________________
Chapter 6 – PROJECT TRAINING

Annex III.6.1
Guidelines for the preparation of
Terms of Reference for Training Activities

Project code and title: ____________________________________________________________
National Implementing Partner: ____________________________________________________
Co-Implementing Partner (if relevant) ______________________________________________
Topic of Training Activity: _______________________________________________________

A. OBJECTIVES AND EXPECTED RESULTS

1. Objective(s) of the training activity: This section should outline the knowledge/ skills that the training activity is intended to bring to the participants or the improvements in terms of attitudinal/ behavioral change that they are expected to gain from the training activity.

2. Expected specific outputs of the training activity: This section should
   a. Provide a brief explanation of the specific outputs that the training activity is expected to produce;
   b. Specify key issues to be studied/trained in order to produce the above expected results.

B. TRAINING ARRANGEMENTS

1. Scope of work: This section should outline the scope and types of work that the trainor or training institution is expected to undertake during the training period (training needs assessment, consultations with future trainees, study/ design of training programme, or adjustment to or updating of available training materials, conduct of the training activity, evaluation of the training activity, technical / advisory support to follow-up actions, etc...).

2. Training methodology: This section should specify what methods or tools would be used to deliver the training, in order to ensure maximum participation and effectiveness. The contents in the TOR should serve as the basis for the trainor or training institution to select and suggest a methodology and modality that is suitable to the training contents and trainees.

3. Training venue: It is important to identify the venue where the training activity will be organized (or an address where the main components of the training activity will take place). If the training activity is organized at the location of the training institution that will be selected by the project, the Project Director should specify this in the TOR the requirements expected from such a location.

4. Estimated timing and duration of the training activity: This section should indicate the estimated duration, start date and end date of the training activity as well as key milestones for preparatory activities (e.g. the deadline for the completion of the TOR, the date for the selection of the trainor or training institution, the timing for the signing of the service contract, the date for the completion of preparatory activities, etc...).
5. **Participants and selection criteria:** This section should describe titles, positions, qualifications and number of intended participants and, if possible, classify them by profile and by sex. It is necessary for the project to create conditions for women to take part in training activities and ensure gender equality in training.

In general, **study tours** should be attended primarily by key and senior officials involved in the project. In contrast, for **short-term technical/professional training activities**, preference should be given to younger personnel who are involved in operational and/or technical activities of the project.

6. **Qualifications of trainor or training institution:** Based on the DPO/Project Document, the Project Director should prepare a TOR which may consist of objectives and expected results of the training activity, requirements set out for the trainor or training institution in terms of academic qualifications, technical/professional knowledge and skills, work experiences, major activities expected from the trainor or training institution and their estimated deadlines, etc...). These will serve as the basis for the selection of the trainor or training institution and the evaluation of the training activity. The recruitment of the trainor follows provisions in Part III, Chapter 5 (Recruitment of Project personnel) whereas the contracting of the training institutions follows provisions in Part III, Chapter 7 (Procurement of Goods and Services).

7. **Pre-Training activities:** This section should specify activities that should be undertaken before the start of the training activity (by the project team, trainees as well as the trainor/training institution). Key pre-training activities are:

   a. Collection and review of key supporting materials/information relevant to the objectives/topic of the training activity;

   b. Design of the programme/materials for the training activity (or updating of, or adjustment to the requirements/objectives of the training activity; the need to conduct a survey in order to prepare case studies for the training activity; etc....

The above contents can also be described in Section B.1 Scope of work.

8. **Post-training activities:** Post-training activities can be suggested from the beginning or can be consolidated based on suggestions made by the trainees, trainor or training institution, or project personnel. There may be different ways to undertake these follow-up activities, for example:

   a. A debriefing session where the participant(s) would share the above results/lessons learnt from the training activity. In this case, it is important to clearly specify the roles to be played by the project personnel.

   b. Application of the new knowledge/skills acquired from the training activity (based on the action plans developed by the trainees following the completion of the training activity).

   c. Implementation of other administrative/institutional requirements as set out by the trainees’ employing organizations

9. **Training budgets:** Training budgets for the training activity are those that have been included in the approved AWP and QWP. Indicate the total budgets for the training activity and their components (budget for trainor/training institution; tuition fees; travel costs and DSA for
trainees; costs for training venue/ facilities; costs for training materials; etc...). The norms for such costs should follow the existing cost norms issued by the United Nations.
## Annex III.6.2

Sample Participant Training Evaluation Form

Project code and title: ………………………………………………………………………………………………………...
National Implementing Partner: ……………………………………………………………………………………………….  
Co-Implementing Partner (if relevant): ……………………………………………………………………………………….

### PARTICIPANT TRAINING EVALUATION FORM

Name of Training Activity: “………………………………………………………………………………………………………………”
Training venue: ………………………………………………………………………………………………………………………….  
Date: ……………………………………………………………………………………………………………………………………….

<table>
<thead>
<tr>
<th></th>
<th>Strongly Disagree (1)</th>
<th>Disagree (2)</th>
<th>Neither Agree nor Disagree (3)</th>
<th>Agree (4)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>TRAINING CONTENT</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Contents of the training activity were useful to my work</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2. The duration of the training activity was appropriate to cover the planned content</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>3. The training activity provided me with new knowledge</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>4. The steps of the training activity were</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>5. The time I spent on the training activity was worthwhile</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>6. My expectations from the training activity were met</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>7. I am interested to introduce this training activity to other people</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

### TRAINING MATERIALS

<table>
<thead>
<tr>
<th></th>
<th>Strongly Disagree (1)</th>
<th>Disagree (2)</th>
<th>Neither Agree nor Disagree (3)</th>
<th>Agree (4)</th>
</tr>
</thead>
<tbody>
<tr>
<td>8. The training materials helped me understand the training contents.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>9. The training materials were very useful to my work</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

General remarks: …………………………………………………………………………………………………………………

### TRAINING METHODOLOGY

<table>
<thead>
<tr>
<th></th>
<th>Strongly Disagree (1)</th>
<th>Disagree (2)</th>
<th>Neither Agree nor Disagree (3)</th>
<th>Agree (4)</th>
</tr>
</thead>
<tbody>
<tr>
<td>10. The methodology to conduct the training activity was appropriate to deliver the contents.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>11. The examples used were relevant to and helped illustrate the subject matters.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>12. The timing for practices/ exercises was appropriate.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

General remarks: …………………………………………………………………………………………………………………

........................................................................................................................................................................
........................................................................................................................................................................
........................................................................................................................................................................


30
LOGISTICAL SUPPORT

13. I was happy with the training venue. □ □ □ □ □
14. I was happy with other support services (refreshment, toilet, hotel room, etc...). □ □ □ □ □
15. The training facilities were adequate. □ □ □ □ □

General remarks: ...........................................................................................................................................

.................................................................

RESOURCE PERSONS

16. The resource person(s) was/were knowledgeable about the subject matters. □ □ □ □ □
17. The resource person(s) was/were dedicated to the training activity. □ □ □ □ □
18. The resource person(s) gave satisfactory answers to my questions. □ □ □ □ □
19. The resource person(s) made satisfactory presentation(s) on their topics. □ □ □ □ □
20. The resource person(s) made proper preparations for the training activity. □ □ □ □ □
21. The resource person(s) had good skills to engage trainees in discussions. □ □ □ □ □

General remarks: ...........................................................................................................................................

.................................................................

22. I wish to add the following comments on the training activity: .............................................................

.................................................................................................................................................................

.................................................................................................................................................................

23. Overall assessment on the training activity (including suggestions for improvement): ..........................

.................................................................................................................................................................

.................................................................................................................................................................

.................................................................................................................................................................

.................................................................................................................................................................

.................................................................................................................................................................

Many thanks for your contributions
Annex III.6.3
Report on Training Activities

Project code and title: ............................................................................................................................
National Implementing Partner: ...........................................................................................................
Co-Implementing Partner (if relevant): .................................................................................................
Topic of the training activity: .............................................................................................................

1. Objectives of the training activity: This section discusses the objectives that determined the
design of the training activity and the actions taken during the training process. These
objectives should be judged against the objectives set out in the original TOR for the training
activity to see to what degree such objectives have been achieved.

2. Training methodology: This section describes the approaches actually used in order to
implement the objectives outlined in the TOR and the methods that the trainer/ training
institution applied in order to meet the requirements set out in the TOR.

   These contents should be compared with the approaches/methods that were suggested by the
trainer/training institution to see how (successful) the originally suggested approaches/
methods were.

3. Activities undertaken during the training process: This section refers to all the main
activities that were undertaken in order to implement the training objectives as set out in the
TOR during the preparation for and conduct of the training activity. For example:

   - Activities that were undertaken during the preparatory phase (e.g. training needs
     assessment; design of or adjustment to the training programme and training materials;
     updating of project information on the training materials; etc...)
   - Activities that were undertaken during the conduct of the training activity, including
     activities in and outside the course (e.g. plenary sessions, group discussions, site visits, role
     plays, practical exercises, development of action plans, etc...)
   - Post-training activities (e.g. advisory support to apply the knowledge/skills acquired or to
     re-organize day-to-day work, etc...)

4. Results achieved: This section outlines the results that were achieved during the training
activity through the use of quantifiable indicators (e.g. the number of people that took part in
the training activity, the number of hours for practical exercises, the issues/case studies
discussed/analyzed, the number of topics/contents learned against the originally designed
targets).

   It is equally important to list the types of knowledge and skills that the trainee acquired
through the training activity.

   This section may also include the trainee’s own assessment/analysis of the design and
outcomes of the training activity.

5. Lessons learned from the training activity for application to future training activities:

6. Recommended follow-up actions (a debriefing session to share the knowledge learned from
the training activity; sharing of the training materials; organization of an in-depth training
activity; etc...).

7. Annexes
- List of trainees
- Training programme
- A summary of major points from training evaluation forms completed by the trainees and training evaluation report prepared by the responsible project staff (if available)
- Other materials relating to the contents and results of the training activity
Annex III.6.4

Report on Overseas Missions

Project code and title: ..............................................................................................................
National Implementing Partner: ..............................................................................................
Co-Implementing Partner (if relevant): ......................................................................................

1. Title of the mission:

2. Brief description of the mission:
   - The place(s) visited and activities undertaken at each place
   - Participants
   - Names/ addresses of the training/host institutions
   - Dates and duration of stays at the training/ hos institutions

3. Objective(s) of the mission: This section outlines the objectives that should be achieved through the mission, for example:
   - Knowledge to be provided
   - Techniques/ skills to be trained
   - Practical experiences to be introduced
   - Models to be introduced/ demonstrated

4. Detailed description:
   a) Results of the mission (the knowledge and skills gained, the practical experiences introduced, the models demostrated, and how these are relevant to the substantive matters that are being addressed by the project and how they can be applied in the project and the participant’s regular work);
   b) Lessons learned and recommendations made on the application of the newly acquired knowledge, skills, models to day-to-day work of the project and the participant;
   c) Objectives that were not met (if any).

5. Lessons learned from the mission for application to future events:

6. Recommended follow-up actions (a debriefing session to share the knowledge learned from the training activity; sharing of the training materials; organization of an in-depth training activity; etc...).

7. Annexes:
   - List of participants in the mission
   - Places visited
   - A summary of major points from evaluation forms or reports prepared by the participants
   - Other materials relating to the contents and results of the mission
Chapter 7 – PROCUREMENT OF GOODS AND SERVICES

Annex III.7.1
Receiving and Inspection Report
(for equipment/services procured by the Vietnamese side)

Project title and code (Tên và mã số dự án): .................................................................
National Implementing Partner (Cơ quan thực hiện dự án): ..................................................
Co-Implementing Partner, if relevant (Cơ quan đồng thực hiện dự án): ..............................

RECEIVING AND INSPECTION REPORT
Báo cáo tiếp nhận và kiểm tra hàng hóa và dịch vụ

We have received the goods/service delivered under SHIPPING ADVICE/ PURCHASE ORDER No. ...... (Chúng tôi đã nhận d-qc hàng hóa /dịch vụ chuyển đến dự án theo Thông báo gửi hàng/ Đơn đặt hàng số.............Dated ngày....../....../......AIRWAY BILL or BILL OF LADING No. Viên đơn hàng không hoặc Viên đơn hàng hai số...........).

The goods/service received is in good working conditions (Hàng hóa/dịch vụ d-qc bàn giao trong tình trạng hoạt động tốt.)

The goods/service not in good working conditions (damaged), therefore we are following the instructions provided on the back of the SHIPPING ADVICE form for insurance coverage (hàng hóa /dịch vụ trong tình trạng hoạt động không tốt (bị h- hỏng), do do chúng tôi đang thực hiện chỉ dẫn về bảo hiểm nếu ở mặt sau của Thông báo gửi hàng.)

We have not received the goods/service ordered under SHIPPING ADVICE/ PURCHASE ORDER No...... (Chúng tôi chưa nhận d-qc hàng hóa /dịch vụ đặt mua theo Thông báo gửi hàng/Đơn đặt hàng số...............).

The output(s) or product(s) delivered by the contractor meet the quality standards specified in the contract or the TOR, in case the contract was about consulting services. (Đầu ra hay sản phẩm của nhà thầu đáp ứng các tiêu chí chất lượng quy định tại hợp đồng hoặc Điều khoản tham chiếu, trong trường hợp hợp đồng dịch vụ tư vấn).

Date/ Ngày: ..................................................
Signed by/ Chữ ký: ................................. [Project Director or Project Coordinator]
[Giám đốc dự án hay Điều phối viên dự án]
Annex III.7.2  
Receiving and Inspection Report  
(for equipment/services procured by the UNCO)

Project title and code (Tên và mã số dự án): .........................................................
National Implementing Partner (Cơ quan thực hiện dự án): ......................................
Co-Implementing Partner (Cơ quan đồng thực hiện dự án, nếu có): ........................

RECEIVING AND INSPECTION REPORT  
Báo cáo tiếp nhận hàng hóa và dịch vụ

To Kính gửi: Country Representative (Ông/Bá Đại diện Thống - Ông trú  
UNDP OR hoặc UNICEF OR hoặc UNFPA - Hà Nội)

From Ng-ôi gửi: ..............................................................................................................  
.............................................................................................................................
(Full name, title and signature - Tên đầy đủ, chức danh và chữ ký của Giám đốc  
dự án hoặc ng-ôi d-ố Giám đốc dự án ủy nhiệm)

Date Ngày:...................................................................................................................

We have received the goods/service delivered under SHIPPING ADVICE/  
PURCHASE ORDER No. ...... (Chúng tôi đã nhận d-ố hàng hóa /dịch vụ  
chiến đến dự án theo Thông báo gửi hàng/Đơn đặt hàng số............Dated  
gay....../.../ .....AIRWAY BILL or BILL OF LADING No. Văn đơn hàng không  
hoặc Văn đơn hàng hải sô...........).

The goods/service received are in good working condition (hàng hóa /dịch vụ d-ố  
bàn giao trong tình trạng hoạt động tốt.)

The goods/service are not in good working conditions (damaged), therefore we are  
following the instructions provided on the back of the SHIPPING ADVICE form  
for insurance coverage (hàng hóa /dịch vụ trong tình trạng hoạt động không tốt  
(bị h- hỏng), do đó chúng tôi đang thực hiện chỉ dẫn về bảo hiểm nếu o mặt sau  
của Thông báo gửi hàng.)

We have not received the goods/service ordered under SHIPPING ADVICE/  
PURCHASE ORDER No. ...... (Chúng tôi ch- a nhận d-ố hàng hóa/dịch vụ đặt  
mua theo Thông báo gửi hàng/Đơn đặt hàng sô.............).

The output(s) or product(s) delivered by the contractor meet the quality standards  
specified in the contract or the TOR, in case the contract was about consulting  
services. (Đầu ra hay sản phẩm của nhà thầu đáp ứng các tiêu chí chất lượng quy  
dịnh tại hợp đồng hoặc Điều khoản tham chiếu, trong trường hợp hợp đồng dịch vụ  
tư vấn).
Annex III.7.3

Letter for Transfer of Ownership of Project Assets

TRANSFER OF OWNERSHIP OF PROJECT ASSETS
FROM THE [Project code and title]
TO THE GOVERNMENT OF THE SOCIALIST REPUBLIC OF VIET NAM

The [name of the UN Agency] hereby transfers and the Government of the Socialist Republic of Viet Nam hereby accepts the full title and ownership of the assets specified in the attached Inventory List, with the total value of $US ..................

The assets represent assistance of the [name of the UN Agency] to the Government of the Socialist Republic of Viet Nam in connection with the [project code and title], transfer of such assets being in accordance with the provisions of the One Plan approved by the Government of the Socialist Republic of Viet Nam and the United Nations Agencies in Viet Nam in June 2008 (or the Project Document signed by the Government of the Socialist Republic of Viet Nam and the [name of the UN Agency] on [date of signature of the Project Document].

The transfer of title and ownership is made on the understanding that the assets will be used by the Government of the Socialist Republic of Viet Nam, through the National Implementing Partner, solely for the purposes, in the manner and in the place set out in the One Plan (or the Project Document) and subject to any limitations contained therein.

On behalf of the National Implementing Partner

By: ___________________________________
[Name and title of Authorized Representative]

Date: ________________________________

One behalf of [name of the UN Agency]

By: ___________________________________
[Name and title of Authorized Representative]

Date: ________________________________

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Chapter 8 – PROJECT FINANCIAL MANAGEMENT

Annex III.8.1

Funding Authorization and Certificate of Expenditures

Country: Viet Nam
UN Agency: UNDP, UNFPA or UNICEF
Date: DD/MM/YYYY

Programme Code & Title: XXXXXXXXXXXXXXXXXXX
Project Code & Title: XXXXXXXXXXXXXXXXXXX
Responsible Officer(s): XXXXXXXXXXXXXXXXXXX
Implementing Partner: XXXXXXXXXXXXXXXXXXX

TYPE OF REQUEST:
- Direct Cash Transfer (DCT)
- Reimbursement
- Direct Payment

Currency:

<table>
<thead>
<tr>
<th>Activity Description from AWP with Duration</th>
<th>Funding Codes (subject to the guidelines of each UN Agency)</th>
<th>Authorised Amount MM-MM-YYYY</th>
<th>Actual Project Expenditure MM-MM-YYYY</th>
<th>Balance C = A - B</th>
<th>New Request Period &amp; Amount MM-MM-YYYY</th>
<th>Authorised Amount E</th>
<th>Outstanding Authorised Amount F = C + E</th>
</tr>
</thead>
<tbody>
<tr>
<td>XXXXXXXXXXXXXXXXXXXXXXXXXXXX (MM/YYYY - MM/YYYY)</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>XXXXXXXXXXXXXXXXXXXXXX XX (MM/YYYY - MM/YYYY)</td>
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<td></td>
</tr>
</tbody>
</table>

REPORTING

REQUESTS / AUTHORIZATIONS

40
CERTIFICATION:
The undersigned authorized officer of the above-mentioned implementing institution hereby certifies that:

- The funding request shown above represents estimated expenditures as per AWP/QWP and itemized cost estimates attached.
- The actual expenditures for the period stated herein has been disbursed in accordance with the AWP/QWP and previously approved itemized cost estimates. The detailed accounting documents for these expenditures can be made available for examination, when required, for the period of five years from the date of the provision of funds.

Date Submitted: 
Name: 

NOTES: * Shaded areas to be completed by the UN Agency and non-shaded areas to be completed by the counterpart.

FOR AGENCY USE ONLY:

<table>
<thead>
<tr>
<th>FOR ALL AGENCIES</th>
<th>FOR UNICEF USE ONLY</th>
<th>FOR UNFPA USE ONLY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved by:</td>
<td>Account Charges</td>
<td>New Funding Release</td>
</tr>
<tr>
<td></td>
<td>Liquidation Information</td>
<td></td>
</tr>
<tr>
<td>CAG Ref: CRQ ref., Voucher ref.</td>
<td>CAG Ref: CRQ ref., JV ref</td>
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<tr>
<td>Name:</td>
<td>Mtgs. &amp; Confs.</td>
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<td></td>
</tr>
<tr>
<td>Title:</td>
<td>Const. - Proj. Prem.</td>
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</tr>
<tr>
<td>Date:</td>
<td>Other CAG</td>
<td></td>
</tr>
<tr>
<td>CRQ CAG GL:</td>
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<td></td>
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<tr>
<td>Training (762010)</td>
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<tr>
<td>Travel (762020)</td>
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<td>Mtgs. &amp; Conf. Sal. &amp; Sup. Costs</td>
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<td></td>
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<tr>
<td>Const. - Proj. Prem. Other CAG (761010)</td>
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</tr>
<tr>
<td>Total</td>
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<td>Activity 2</td>
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<tr>
<td>Total</td>
<td>0</td>
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</tr>
</tbody>
</table>
# Annex III.8.2

## Inventory of Fixed/Non-expendable Assets

**PROJECT ID AND TITLE**
Mã số và tên dự án: 

**NATIONAL IMPLEMENTING PARTNER**
Cơ quan thực hiện dự án: 

**CO-IMPLEMENTING PARTNER (if relevant)**
Cơ quan đồng thực hiện dự án: 

---

## NON-EXPENDABLE PROPERTY LEDGER

Số cái theo dõi tài sản không tiêu hao

<table>
<thead>
<tr>
<th>#</th>
<th>Inventory No.</th>
<th>Full description including serial No., chassis and engine No. (if applicable)</th>
<th>Manufacturer</th>
<th>Date of Purchase</th>
<th>Unit Value</th>
<th>Present Location</th>
<th>T/D CG</th>
<th>Amount</th>
<th>Destination</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</table>

- Present Location: Where equipment is located
- T: Transfer
- D: Disposal
- Amount: Value of equipment when transferred/disposed
- Destination: Where equipment is transferred to

Dia điểm hiện tại: Địa điểm hiện tại: Địa điểm hiện tại

<table>
<thead>
<tr>
<th>T/D CG</th>
<th>Amount (US$)</th>
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<tbody>
<tr>
<td>TL</td>
<td></td>
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</tbody>
</table>

Trả lời: Giá trị thiết bị khi chuyển giao/thành lý

Noi chuyển
### Annex III.9.1
REPORT ON FIELD MONITORING VISIT

<table>
<thead>
<tr>
<th>Reported by:</th>
<th>Date of report:</th>
<th>Title:</th>
<th>File:</th>
</tr>
</thead>
</table>

**Purpose of visit**

**Under the framework of project**

<table>
<thead>
<tr>
<th>Location</th>
<th>From (date/mon.)</th>
<th>To (date/mon.)</th>
<th>Working with agency/organisation</th>
</tr>
</thead>
</table>

**Names and titles of Mission members from the Vietnamese side (NIP, PMU and others)**

**Mission member from the UNCO and other agencies (if any)**

**Key persons met**

<table>
<thead>
<tr>
<th>Full name</th>
<th>Title</th>
<th>Organisation</th>
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</thead>
<tbody>
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</tbody>
</table>

**Methodologies used** (specify data collection methods used during the field visits such as interview, observation, document review, using checklist, etc, attached, if any)

**Other FORM(s)/document(s) attached** (if any)

- Other: ..........................................................

(See the findings and recommendation in the next page)
### Findings and recommendations

<table>
<thead>
<tr>
<th>Findings</th>
<th>Recommended Actions</th>
<th>Responsible Party</th>
<th>Proposed deadline</th>
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**Attachments:**

45
Annex III.9.2

Terms of Reference for Conducting Spot Checks

I. Background
Describe briefly the main current issues relating to the project and the reason for conducting the spot check.

II. Objective
To assess the soundness of the internal controls and accuracy of the financial records for cash transfers by the Agency(ies). The spot check is not an audit.

III. Scope
The scope of the spot check may be adjusted to the specific needs of each assignment. Spot checks of IPs with internal controls assessed as weak, or spot checks made in response to a particular concern may be more detailed, than those of IPs whose management capacity has been rated as high.

Prior to the spot check, members of the spot check team should review the FACE forms issued during the period under review, and the relevant AWPs and progress reports. The team should also be familiar with the findings of the micro assessment of the IPs, reports of relevant field monitoring visits, available audits reports and other documentation that may help to understand to IP’s internal controls and supported activities.

A spot check takes place at the IP’s location and its duration may vary according to the level of expenditures.

To the extent possible, schedules of planned spot checks should be shared with the concerned IPs. For each spot check, sufficient advance notice should always be provided to the IPs, together with a copy of the ToR.

IV. Tasks
Spot checks include the following tasks:

- Review a sample of the expenditures recorded in the FACE reports issued during the period under review. The review should include, but not be limited to the following steps:
  - Reconcile the expenditure totals, per activity, on the FACE reports selected to the list of individual transactions. i.e. the IP’s accounting records
  - Select a sample of receipts from the Agencies, assess whether they were deposited into the IPs bank account by verifying the bank statement
  - Select a sample of transactions, review the reasonableness of the expenditure through discussions with management
  - Verify that the FACE reports were signed by authorized officials
For a sample of disbursements:

- Review the adequacy of supporting documentation, e.g. invoices, purchase orders, receipt of goods, bank transfers/checks, bank statements, to ensure that it is consistent with the description of the transaction (per accounting records) and that it is consistent with the activity described in the AWP.
- Verify if there is adequate segregation of duties in processing the transactions
- Verify if payment cvouchers are authorized and checks are assigned by the designated officials
- Review mathematical computation of individual payments and total payments against the expenditures
- Check the detailed expenditure against the approved budget. If there is any deviation from the budget, assess whether they were authorized
- Check the dates of the supporting documents to ensure that the expenditure was incurred during the period under review, as per the approved AWP
- Update the status of recommendations from MA or previous audits
- Optional: review internal controls, especially when these might have changed compared to the MA or previous audits
- Discuss the findings of the review with the designated official of the IP

V. Report

Following the completion of the spot check, a report will be prepared containing:

- A summary of the findings, with the indication of risks
- A list of transactions tested. For any exceptions the report should list, by Agency, the payment details and the nature of the exception
- Recommendations to the IP
- Final comments by the IP

The report will be addressed to the IP and other relevant parties.
Annex III.9.3

WHAT GOES INTO THE TERMS OF REFERENCE OF A PROJECT/PROGRAMME EVALUATION?3

Ask yourself: Why evaluate? Why now? For whom?

Title
- Identify what is being evaluated. Use appropriate project/programme titles. Clarify the time period covered by the evaluation.

Background
- Briefly describe the history and current status of the project/programme, including objectives, logic of project/programme design or expected results chain, duration, budget, activities.
- Situate with reference to the organization’s overarching country programme, as well as parallel or linked national programmes.
- Situate the important stakeholders, including donors, partners, implementing agencies/organizations.

Purpose of the evaluation
- Clarify why the project/programme is being evaluated.
- Describe how the evaluation process and/or results will be used and what value added they will bring.
- Identify the key users/target audiences.
- Situate the timing and focus of the evaluation in relation to any particular decision-making event (e.g. review meeting, consultation, planning activity, national conference) and/or the evolution of the project/programme.

Output of the evaluation

This section is meant to describe shortly the products that the evaluation manager wants to obtain, e.g. an evaluation report with findings, recommendations, lessons learned, rating on performance. This also includes a list of best practices in a certain area or in the appropriate niche for the UN intervention.

Ask yourself: What is being evaluated?

Scope and focus

- An “objectives” format can be used with or instead of evaluation questions. Where both are used, one objective is usually discussed through a number of questions.
- List the major questions the evaluation should answer — they should relate to the purpose and be precisely stated so that they guide the evaluator in terms of information needs and data to collect. Group and prioritize the questions. They should be realistic and achievable.
- Specify evaluation criteria to be used given the evaluation’s objectives and scope. Evaluations should use standard OECD/DAC criteria (relevance, efficiency, effectiveness, sustainability and impact) as well as additional criteria for evaluation of humanitarian response (coverage, co-ordination, coherence and protection). An explanation for the criteria selected and those considered not applicable should be given and discussed with the evaluation team.
- Consider including a cost analysis of the project/programme. Good cost analysis strengthens results-based management and increases the utility of the evaluation.
- Specify key policies and performance standards or benchmarks to be referenced in evaluating the project/programme, including international standards.

Existing information sources
- Identify relevant information sources that exist and are available, such as monitoring systems and/or previous evaluations. Provide an appraisal of quality and reliability.

Ask yourself: How?

Evaluation process and methods
- Describe overall flow of the evaluation process — sequence of key stages.
- Describe the overall evaluation approach and data collection methods proposed to answer the evaluation questions. An initial broad outline can be developed further with the evaluation team. Ultimately it should be appropriate and adequate providing a complete and fair analysis.

The final TOR should define:
- Information sources for new data collection
- Sampling approaches for different methods, including area and population to be represented, procedures to be used and sampling size (where information is to be gathered from those who benefited from the project/programme, information should also be gathered from eligible persons not reached)
- The level of precision required
- Data collection instruments
- Types of data analysis
- Expected measures put in place to ensure that the evaluation process is ethical and that participants in the evaluation (e.g. interviewees, sources) will be protected

- Highlight any process results expected, e.g. networks strengthened, mechanisms for dialogue established, common analysis established among different groups of stakeholders.
Specify any key intermediate tasks that evaluator(s) are responsible for carrying out, and a preliminary schedule for completion. Consider for example:

- Meetings, consultation, workshops with different groups of stakeholders
- Key points of interaction with a steering committee
- Process for verification of findings with key stakeholders
- Presentation of preliminary findings and recommendations.

Accountabilities

Specify the roles and responsibilities of the evaluation team leader and team members, as well as other stakeholders and advisory structures involved, e.g. steering committees.

This section should clarify who is responsible for:
- Liaison with the evaluation team
- Providing technical guidance
- Coordinating the stakeholders involved
- Selection, orientation and training of team members, data collection assistants where applicable, interpreters
- Approval of intermediate and final products
- Capacity-building with stakeholders, national or other (a possible responsibility of the evaluation team).

- Specify the means to protect and limits to evaluators’ independence.
- Specify any concerns or restrictions related to conflicts of interest.

Ask yourself: By whom?

Evaluation team composition

Identify the composition and competencies of the evaluation team. This should follow from the evaluation focus, methods, and analyses required. Distinguish between desired and mandatory competencies, as well as whether competencies are required by the whole team or by certain members.

- Multidisciplinary teams are often appropriate. The qualifications and skill areas to be specified could include:
  - Areas of technical competence (sector, issue areas)
  - Language proficiency
  - In-country or regional work experience
  - Evaluation methods and data-collection skills
  - Analytical skills and frameworks, such as gender analysis
  - Process management skills, such as facilitation skills
  - Gender mix (not to be confused with gender analysis skills)

Ask yourself: With what means?

Procedures and logistics
Specify as necessary logistical issues related to staffing and working conditions:
- Availability and provision of services (local translators, interviewers, data processors, drivers)
- Availability and provision of office space, cars, laptops and procedures for arranging meetings, requirements for debriefings
- Work schedule (hours, days, holidays)
- Seasonal constraints, travel constraints/conditions and socio-cultural conditions that may influence data collection

**Ask yourself: In what form?**

**Products**
- List products to be delivered, to whom and when. Consider:
  - The evaluation report
  - Completed data sets (filled out questionnaires or surveys)
  - Dissemination materials (newsletter articles, two-page summaries, presentation materials)

**Ask yourself: How much?**

**Resource requirements**
- Estimate the cost and prepare a detailed budget. Note the source of funds. Link the budget to the key activities or phases in the work plan. Cost estimates may cover items including:
  - Travel: international and in-country
  - Team member(s) cost: salaries, per diem, and expenses
  - Payments for translators, interviewers, secretarial services, etc.
Annex III.9.5
QUARTERLY PROJECT PROGRESS REPORT ....../YEAR .....  

Project code and title:  
Implementing Partner: 

<table>
<thead>
<tr>
<th>PROJECT OUTPUTS, INDICATORS AND QUARTERLY TARGETS</th>
<th>PLANNED ACTIVITIES AND ACTUAL ACHIEVEMENT</th>
<th>DEGREE OF ACHIEVEMENT</th>
<th>DISBURSEMENT VS. PLANNED BUDGET</th>
<th>Pending issues, reasons for adjustment, emerging issues and recommendations</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FULLY COMPLETED</td>
<td>IN PROGRESS</td>
<td>NOT STARTED</td>
<td>SOURCE OF FUNDING (*)</td>
</tr>
<tr>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>RESULT 1:</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Output 1 (to be taken ad verbatim from the approved AWP):</td>
<td>Activity or Group of Activities 1: - to be taken ad verbatim from the approved AWP - Achievement: …………………</td>
<td>OPF</td>
<td>Core</td>
<td>Others</td>
</tr>
<tr>
<td>Activity 1.1.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity 1.2.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&quot; .....</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity or Group of Activities 2:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&quot; .....</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total for Output 1:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Output 2:</td>
<td>Activity or Group of Activities 1 :</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity or Group of Activities 2:</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>-----------------------------------</td>
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</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total for Output 2:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**RESULT 1:**

**Output 1:**  …

**Output 2:**  …

**GRAND TOTAL:**  …

(*): Please specify Other sources of funding if any, e.g. OPF, ADB, WB, a bilateral donor, etc... Please keep each source on one line.

(**): This is the amount in the latest approved budget revision.

**Prepared by:**
Date:

**Approved by:**
Date:
## 200... Annual Project Progress Report

**Project code & title:** ........................................

<table>
<thead>
<tr>
<th>Field</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Report period:</td>
<td>...../...... to ...../....../200...</td>
</tr>
<tr>
<td>Date of signature of AWP:</td>
<td>...../ ...../ 200...</td>
</tr>
<tr>
<td>Implementing partner:</td>
<td></td>
</tr>
<tr>
<td>Co-implementing partner(s):</td>
<td></td>
</tr>
<tr>
<td>Co-financing Donor(s):</td>
<td></td>
</tr>
<tr>
<td>Reported by:</td>
<td>Name and signature of National Project Director</td>
</tr>
</tbody>
</table>

Annex III.9.5

ANNUAL PROJECT PROGRESS REPORT
PART A: TOTAL RESOURCES

<table>
<thead>
<tr>
<th>Allocated resources</th>
<th>Approved budget (as in the originally approved AWP)</th>
<th>Actual budget (received as of 31 Dec/20…)</th>
<th>(%)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>NIP and CIP Viet Nam (based on the quarterly FACE forms)</td>
<td>UNCO/INGO</td>
</tr>
<tr>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
</tbody>
</table>

**Contribution of UN agency (USD):**
- Regular:

**Other sources:**
- Source 1:
- Source 2:

**Total:**

**Government contribution:**
- In cash (VND):
- In cash (USD):
- In kind (VND):
- In kind (USD):

**Total:**

PART B: NARRATIVE ASSESSMENT

1. **Context (1 page maximum):** This section should briefly discuss the following major issues:

- Major changes in social, political, economic and legal/administrative conditions in the country/province during the current year relevant to the programme area;
- Major policy initiatives, legislative reforms, budget decisions or disease trends relevant to the programme area;
- Changes in policy/strategic frameworks relevant to the programme area (e.g. SWAs, MDG-focused Poverty Reduction Strategies, national/ local development plans);
- New developments in the ratification status of international standard setting instruments and human rights treaties and national reports to international treaty bodies (e.g. UN Committees on the CDR and CEDAW) and the use made of national reports and UN Committees’ observations.
- Whether any of these changes have affected the main risks or assumptions underpinning programme delivery or effectiveness.
Any opportunities that might arise from these changes and that should be taken into account in the AWP for the following year.

2. Results Achieved (3 pages maximum): This section should go beyond the analysis of the actual achievements against individual project outputs as already discussed in Part B. It should focus on the following key aspects:

- The progress being made towards the achievement of the One Plan’s outputs and results as well as key constraints experienced in the process;
- The results of related policy research/advice and M & E activities conducted during the year and how these results were used to improve project performance;
- The collaboration with other projects, national agencies and international partners, not only through joint activities but also through joint programming;
- The quality and quantify of technical support provided by UNCO staff to the project;
- Advocacy and policy dialogue on issues addressed by the project and if/how these interventions improved decision-makers’ understanding of the issues and led to their support in addressing them.
- The contribution towards gender equality, human rights, culture, and aid effectiveness.

3. Lessons and Recommendations (1 page maximum): This section should focus on the following key aspects:

- Major lessons, positive or otherwise, from the project during the recent year. They should consist of substantive and managerial aspects of project implementation, management, policy research/advice, coordination, advocacy and partnership development.
- Main recommendations for the AWP of the following year and beyond (if needed), relating to as many of the above aspects as relevant.

As an important reminder, the APPR should make an attempt to address issues of direct relevance to the UN’s mandate in setting international standards, e.g. in gender equality, human rights, culture, etc…, by:

- Using disaggregated data (by sex, ethnicity, urban and rural, etc...) wherever possible;
- Reporting on the results of the interventions for the intended beneficiaries/target group(s).
- Demonstrating what actions were taken to ensure the participation of rights-holders and of duty-bearers in both the development and implementation of activities.
- Demonstrating what activities were undertaken to build the capacity of duty-bearers and who have been supported.
- Reporting on the contribution of the project to achieving gender equality and women’s empowerment and showing evidence for this contribution.
- Reporting on what activities were conducted to ensure non-discrimination, address the needs and interests of rights-holders, ensure right-holders’ participation in all phases of programming and access to programme results and related information.
## PART C : ANNUAL PROJECT IMPLEMENTATION REPORT

### PROJECT OUTPUTS, INDICATORS AND ANNUAL TARGETS & ACTUAL ACHIEVEMENT

<table>
<thead>
<tr>
<th>PROJECT OUTPUTS, INDICATORS AND ANNUAL TARGETS &amp; ACTUAL ACHIEVEMENT</th>
<th>PLANNED ACTIVITIES AND ACTUAL ACHIEVEMENT</th>
<th>DEGREE OF ACHIEVEMENT</th>
<th>DISBURSEMENT VS. PLANNED BUDGET</th>
<th>Pending issues, reasons for adjustment, emerging issues and recommendations</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Fully Completed</td>
<td>In Progress</td>
<td>Not Started</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>RESULT 1:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>OUTPUT 1:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Output planned for the year (to be taken ad verbatim from the approved QWP):</td>
<td>Activity or Group of Activities 1:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Achievement:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><em>Sub-Total for Activity or Group of Activity 1 (if financed from more than one source of funding)</em></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Output planned for the year:</td>
<td>Activity or Group of Activities 2:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>…</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### OUTPUT 2:

<table>
<thead>
<tr>
<th>OUTPUT 2:</th>
<th>Activity or Group of Activities 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1 Output planned for the year:</td>
<td></td>
</tr>
<tr>
<td>Activity or Group of Activities 2</td>
<td></td>
</tr>
</tbody>
</table>

---

*OPF: Core Others *

**Planned Amount (USD)**

Disburse. rate (%)
<table>
<thead>
<tr>
<th>2.2 Achievement: ……..</th>
</tr>
</thead>
</table>

RESULT 2: (Repeat the same process as applied to RESULT 1)

<table>
<thead>
<tr>
<th>OUTPUT 1:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Output planned for the year:</td>
</tr>
<tr>
<td>Activity or Group of Activities 1</td>
</tr>
<tr>
<td>Activity or Group of Activities 2</td>
</tr>
<tr>
<td>...</td>
</tr>
<tr>
<td>1.2 Achievement: ……..</td>
</tr>
<tr>
<td>...</td>
</tr>
</tbody>
</table>

GRAND TOTAL

(*): Please specify Other sources of funding if any, e.g. OPF, ADB, WB, a bilateral donor, etc… Please keep each source on one line.

(**) This is the amount in the latest approved budget revision.

Prepared by: 
Date: 

Approved by: 
Date:
Annex III.9.6
(Source: Annex 3- Decision 803/ 2007/ QĐ- BKH)

National Implementing Partner: ........................................................................................................
Co-Implementing Partner (if relevant): ................................................................................................

TERMINAL PROGRAMME/ PROJECT REPORT
(for a programme/ project financed from ODA)

Programme/ project code & title: .......................................................................................................  

TABLE OF CONTENTS

1. General Information

   General information on the programme/ project
   Programme/ project description
       Programme/ project objectives and scope
       Management arrangements

2. Results Achieved

   Implementation of the programme/ project objectives
   Implementation of the components and outputs
   Financial performance
   Factors that affected the implementation of the programme/ project

3. Analysis of Socio-Economic Benefits

   Analysis of the results achieved against the programme/ project objectives and design
   Impact on sectoral and regional development
   Sustainability

4. Lessons Learned

5. Annexes
1. General Information

1.1. General information on the programme/ project

- Title and code of the programme/project (in Vietnamese): ..........................................
- Title and code of the programme/project (in English): ..............................................
- Programme/project location(s): ...................................................................................
- Donor(s): .......................................................................................................................
- National Implementing Partner: ....................................................................................
- Project Owner: ............................................................................................................
- Duration: Date of approval (Investment Decision, Feasibility Report, Project Document, etc...); Date of signature, Start date, End date (date of revision if any); Actual end date, and codes of above documents. ..........................................................
- Funding sources: Total programme/project budget; ODA budgets, counterpart contributions (specify budget revisions if any and dates of such revisions)..................

1.2. Programme/project description

1.2.1. Programme/project objectives and scope

- Objectives and scope based on the Investment Decision, Feasibility Report or the Project Document that has been approved.
- Objectives and scope following programme/project revision (if any)

1.2.2. Management arrangements

- Management arrangements
- Project personnel

2. Results Achieved

2.1. Implementation of the programme/project objectives

Analyze the degree of achievement of the objectives that were set out in the approved Feasibility Report or the approved Project Document (of the subsequent programme/project revision if any)

2.2. Implementation of the components and outputs

- List the main components and outputs as identified in the Project Document and describe the extent to which these components/outputs were accomplished (in accordance with the success indicators established in the log frame)
- List the components and outputs that have been revised if any and analyze the degree to which they were accomplished.
 (Annex 3.1: The Log frame)

2.3. Financial performance
Make an analytical comparison between the total programme/project budget as identified in the Project Document and the total actual disbursements (including both ODA resources and counterpart funds).

List the main revisions to the total programme/project budget as identified in the Project Document and the budgets following the signing of contracts and actual disbursements.

Describe the main factors that affected the implementation of components that incurred large disbursements and those components that incurred small disbursements compared to the planned budgets (Annex 3.2: Final financial report)

2.4. Factors that affected the implementation of the programme/project

List the factors that affected the implementation of the programme/project, for example:

- Legal and policy environment
  + Government policy
  + Donor policy
- Programme/project management
  + Assess the capacity to ensure financial resources, technical support, organizational structure as agreed in the approved Project Document
  + Implementation arrangements for the programme/project
  + Implementation capacity for the programme/project
  + Compliance with reporting requirements and M&E requirements during the programme/project implementation process
  + Risk and change management
- Bidding and procurement
- Technical assistance, training and capacity building
- Ground clearance and resettlement
- Environment management
- Gender issues
- Technology and know-how

In addition, while listing the influencing factors, it is important to clarify the advantages, difficulties and remedial measures that were undertaken by the PMU.

3. Analysis of Socio-Economic Benefits

3.1. Analysis of the results achieved against the programme/project objectives and design

Analyze the progress made towards the achievement of the objectives of the programme/project and its contributions to the implementation of the goals and tasks identified in the Five-Year Socio-Economic Development Plan of the Government.

3.2. Impact on sectoral and regional development

Analyze the impact that the implementation of the programme/project has generated or is expected to generate on sectoral and regional development in terms of economic, social, cultural, environmental and technological aspects.

3.3. Sustainability

Describe factors that are expected to impact on or ensure the sustainability of the results achieved by the programme/project.
4. **Lessons Learned**

Identify lessons learned from the implementation of the programme/project and offer recommendations on how to promote its results, effectiveness and sustainability and/or to address its constraints.

5. **Annexes**

- The log frame which is an integral part of the Project Document and which has been revised if any
- The final financial report
- Report on the success indicators and outputs
- List of major technical reports generated during programme/project implementation
- Other main annexes as appropriate to the individual programme/project

Date .......month .......year .......

**National Implementing Partner**
(Signed and sealed)