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Philippines

**TA-9002 VIE: SUSTAINABLE AND RESILIENT URBAN DEVELOPMENT**

*Eptisa Servicios de Ingeniería, S.L. (EPTISA, Spain) in association with Spatial Decisions (India), Consultancy and Human Resources Development Co. Ltd (CHR, Vietnam), and Eptisa Philippines Inc.*

**Socialist Republic of Viet Nam:**

**Sustainable and Resilient Urban Development**

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# **INCEPTION REPORT**

## **(FINAL)**

**February 2017**

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## INTRODUCTION

### 1.1. Background

Eptisa Servicios de Ingeniería, S.L. (EPTISA, Spain) in association with Spatial Decisions (India), Consultancy and Human Resources Development Co. Ltd (CHR, Vietnam), and Eptisa Philippines Inc. (Philippines) has been selected by the Asian Development Bank (ADB) as the consultant for the Capacity Building Technical Assistance Project **TA 9002-VIE: Sustainable and Resilient Urban Development 1 Firm – SRB (49153-001)**.

The consultant team was mobilized from **1<sup>st</sup> December 2016** and the project kickoff meeting was conducted on **19<sup>th</sup> December 2016** with the participation of ADB and the counterpart agency, the Urban Development Agency (UDA), under the Ministry of Construction, Government of Vietnam. The project is expected to be completed by **30<sup>th</sup> November 2018**. This Inception Report confirms and expands the approach set out in the consultant's Technical Proposal, and identifies key issues, assumptions, and a detailed work program and staffing schedule for the Project.

### 1.2. Client and Counterpart Agencies

The project will be managed by ADB through its Vietnam Resident Mission. The Urban Development Agency, (UDA), is the key counterpart agency and will be the main point of contact for the Project Team. The Housing and Real Estate Market Management Agency (HRA) will support the project activities related to the Low-Cost CR Housing, however coordination will remain through UDA.

### 1.3. CDTA Objectives

The key objective of this Technical Assistance with the Ministry of Construction (MOC), through the Urban Development Agency (UDA) is ***to formulate and finalize a detailed NUDS ensuring its acceptance and implementation, mainstreaming climate change resilience into the NUDS.***

Additional linked objectives are to:

1. Develop capacity at the national and local government levels on urban climate change resilience
2. Improve coordination within MoC and within the line ministries, agencies, institutes and the local governments involved in urban development and climate change and;
3. Develop an investment framework and a pipeline of investment projects in sustainable and resilient urban development and a delivery mechanism for program lending.

### 1.4. Outputs

The outputs of this CDTA are designed to address the project objectives. Broadly the key outputs on this assignment are:

The National Urban Development Strategy

An Urban Climate Change Resilience Investment Framework

- 3 Provincial Urban Development Programs
- 6 Outline Resilient Cities Action Plans
- Guidelines/ Manual for Low-Cost Climate Resilient Housing

A comprehensive list of milestone deliverables is provided in the Annexure to this report, providing a chronological and task based list outputs.

Under separate assignment, Guidelines on urban resilient land use planning will be developed by an independent consultant under this CDTA.

#### 1.5. Project Delivery Structure

Based on the understanding of the TOR, drawing upon the Technical Approach and Methodology in the project proposal submitted, the project delivery has been structured as per the activities below:

- Activity I: Inception and Background Works
- Activity II: Developing NUDS
- Activity III: Operationalizing NUDS through Investment and Implementation Actions
- Activity IV: Low-Cost Climate Resilient Housing

Details on the updated methodology are provided in the next section.

#### 1.6. Structure of Inception Report

The inception report is focused on the activities for the delivery of this assignment.

The subsequent sections of this report address the updated working methodology (Section 2), based on the organization of project activities above and the associated tasks for each of the four defined activities. The work plan and delivery milestones are provided in Section 3, with the project staffing and deployment plan in Section 4.

Documents for reference and necessary background to this inception report have been placed in the attached annexure.

## 1. PROJECT METHODOLOGY

Outlined below is the Project Methodology as developed by the project team based on the TOR, the technical proposal, and the inputs received at the kickoff meeting and subsequent consultative meetings with ADB and UDA.

The project work has been organized into the 4 distinct activities as identified above in Section 1. Details on the team assignment, workshops/ consultative working sessions, and deliverables associated with each task have been identified to enable clear project delivery. A summative table on the workshops and milestone deliverables, linked to the Work Plan have been provided in Section 3 of the Inception Report.

### 2.1. ACTIVITY I INCEPTION AND URBANIZATION REVIEW

The tasks under this work activity are:

Task 0: Inception Report

Task 1: Rapid Assessment of Urbanization in Vietnam

Task 2: Gap Analysis and Policy Development

#### **Task 0: Inception Report**

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The inception report has been developed drawing upon the technical proposal, the project negotiations, the project kickoff meeting, follow-up discussions with ADB and ADB individual consultants supporting this assignment, and with the Urban Development Agency as the project counterpart agency under Ministry of Construction.

The delivery milestones as determined in the negotiation meeting have been used to plan the delivery schedules proposed. Further, during the inception stage, working with the project team, some revisions have been done to the delivery schedules making the schedule tighter in some instances, with an intent to accelerate the overall project delivery. Accordingly the team deployment has also been revised.

To clearly establish the schedule of deliverables, a separate table of milestone deliverables has been provided in this report. The key resources allocated to this task, associated workshops, and milestone deliverables planned are documented below. This same format is followed for all subsequent project tasks.

#### **Key Resources Allocated:**

Team Leaders: International and National

#### **Deliverables Planned and Resources Assigned:**

Project Inception Report: Draft and Final

#### **Other Supporting Internal Outputs Planned:**



None

### Task 1: Rapid Assessment of Urbanization in Vietnam

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This is a key underlying task that is necessary for the project team to assimilate in the context of preparing the National Urban Development Strategy (NUDS), the key objective of the assignment.

Rapid Urbanization Assessment will include review of key urban development sector reports for Vietnam and the region such as *Vietnam Urbanization Review* by World Bank, *Inclusive Green Growth*; ADB, *Catalyzing Urban Resilience*; ACCCRN, *Green Cities*; ADB, *Vietnam Assessment on Climate Change*; ISPONRE, *How to Make Cities More Resilient*; UNISDR, *Green Growth Resources and Resilience*; ESCAP, ADB & UNEP, *East Asia's Changing Urban Landscape*; World Bank. And arrays of other supporting document and reports will be reviewed for establishing critical base and background for the development of NUDS.

To understand the legal policy framework for urban development sector, team will review current regulation provision for urban climate resilience and assess the gap and inadequacy in integrating resilience action plan. Key policy and legal document review will include Decision no. 2632/QĐ-TTg Approval of Scheme "*Urban Development of Vietnam Responding to Climate Change in the Period 2013 - 2020*", *Decision no 1393/QĐ-TTg, Vietnam Green Growth Strategy 2012, Decision No.1659/QĐ-TTg on approval of Nation urban development Program Period 2012-2020, Decision No. 2139/QĐ-TTg on National Strategy on Climate Change* and few others urban and construction planning laws.

In addition, the rapid assessment will also draw upon the reports prepared under the NUDS-1 foundation phase, the reports of which have been provided by UDA for technical review and understanding of the Project Team<sup>1</sup>.

Assimilating the information on (i) urbanization in Vietnam, and the (ii) potential climate change vulnerability of urban centres, the consultant team will complete the rapid assessment to prepare a summary report that will support the subsequent tasks, especially providing necessary input to developing the National Urban Development Strategy (NUDS).

<sup>1</sup> The NUDS-1 work is documented as 5 activities, reports of which cover subject matter as outlined below:

Activity 1: A comprehensive analytical overview of the legal and associated policy framework governing urban development is prepared, including assessment of the urban classification system, National Policies, Orientations of Urban Development, and with a preliminary examination of the Planning Law and the National Housing Strategy in Vietnam.

Activity 2: As the informational base for NUDS phase II, an assessment of the current status of urban development in Vietnam is formulated, employing a multi-sectoral, collaborative survey and enquiry programme in a fully representatives set of cities.

Activity 3: Drawing from global experience, national urban development policies and strategies are reviewed in order to identify lessons from actual implemented practice that would have applications to the Vietnam situation.

Activity 4: Awareness of the NUDS rationale and process is improved through training among city leaders, targeting Mayors and Deputy Mayors, and the project receives valuable participatory feedback as the work proceeds. The training curricula of AMCC are developed through expansion into the NUDS field.

Activity 5: Provides a framework for NUDS Phase II and has been prepared in terms of the formulation of NUDS strategic key objectives.



The key outcomes of this report will be an understanding of the current measures used to address urban climate change resilience and an assessment of additional requirements to integrate climate change resilience in urban development.

### **Project Team**

The national urban planner, with the support of the National Team Leader, will have the key role to prepare the Rapid Assessment of Urbanization in Vietnam. This summary report will form the critical background for the entire project team, especially the international urban planning and infrastructure experts. The summary review of the relevant publications and reports, project outcomes, and relevant national programs and regulations will be encompassed in this exhaustive review.

### **Key Resources Allocated:**

Team Leaders: International and National

Technical Experts: International and National

- Urban Planning and GIS Specialists

### **Deliverables Planned and Resources Assigned:**

Report on Rapid Assessment of Urbanization in Vietnam

### **Other Supporting Internal Outputs Planned:**

None

### **Task 2: Gap Analysis and Policy Formulation**

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Under this task, the consultant team will use the background established by the literature review and rapid assessment of urbanization in Vietnam to develop an analysis of the “Gaps” in urban planning and urban development policies in the context of development over the next 15 years. The Gap Analysis will cover the analysis of existing urban policies and identify the missing links conducive to integrating urban climate resilience into planning processes at national level down to the provincial and city level. Again, the NUDS-1 output reports will provide a key foundation to work with and build upon.

Project Team will conduct a review of existing Urban Development Policies in the context of Climate change and Climate resilience, examine the the legal and institutional framework and its current limitations in enabling the shift towards a Climate Resilient approach to Urban Development. The analysis will cover, among others, policies related to housing, basic urban services (energy, water supply, sanitation), urban transportation (especially public transport), and disaster management

The review will provide the necessary background and context to develop the policy framework for upto 10 identified and prioritized gaps, encompassing the full policy cycle from identification of the need (Gaps) to framing the policy, proposing the implementation

mechanism, including within it the appropriate systems for Enforcement, Monitoring, and subsequent Evaluation.

### **Project Team**

The international and national institutional specialists will address the Gap Analysis and Policy Development activity. The national expert will provide an assessment of policies in Vietnam as relevant to this assignment and identify gaps and any other institutional limitations in effectively implementing the proposed NUDS. The international expert will draw upon relevant international experience to complement this work, especially highlighting practices from other regional settings that can be adapted and considered for supporting NUDS.

### **Key Resources Allocated:**

Technical Experts: International and

- National ○ Institutional Experts
- Municipal Infrastructure Specialists
- Municipal Finance Specialists

### **Deliverables Planned and Resources Assigned:**

Report on Gap Analysis and Policy

- Development ○ Draft and Final Outputs

### **Other Supporting Internal Outputs Planned:**

None

## **1.1. ACTIVITY II:**

### **DEVELOPING THE NATIONAL URBAN DEVELOPMENT STRATEGY**

Based on the technical proposal and subsequent project kickoff meeting, the following tasks have been clustered to direct attention on the key focus of this project, i.e. the development of the National Urban Development Strategy that will address the project objective of Sustainable and Resilient Urban Development.

Task 3: Developing NUDS

Task 4: Summary Report on the Selected Provinces and Cities

Task 5: Provincial Urban Development Programs

Task 6: Outline Resilient City Action Plans

### **Task 3: Developing NUDS**

Developing the National Urban Strategy is the key focus of this assignment. The urban climate resilience specialists in coordination with the urban planners will be responsible for this aspect of the assignment. The complexity of developing NUDS has been addressed in the technical proposal.

Methodologically, it is necessary to highlight that the strategy will be developed through an iterative process of consultative working between the project technical experts, periodic reviews and interactions with UDA, working sessions with key stakeholders, and formal presentations and feedback through period review workshops. The development of NUDS will be undertaken in 3 sequential stages, as a draft report, followed by a pre-final preparation of NUDS, and then subsequent finalization.

The process for developing NUDS will be based on the review of urbanization programs and projects in Vietnam (under Task 1), in parallel with the review of output of NUDS Phase-1 work. Subsequent inputs will draw from the experience of other countries, especially from within the region, and from the process of developing and testing the interaction between NUDS and the Provincial Urban Development Programs and Outline Resilient City Action Plans.

The development of NUDS has been structured into 3 stages:

**Preliminary Draft NUDS:** This will be the first stage output based on review of existing documents, stakeholder interactions, and collective input of the technical team.

**Draft NUDS:** Based on review and feedback from the Preliminary Draft NUDS, coordinated working with the Urban Development Programs (UDP) and Resilient City Action Plans (RCAP), a more comprehensive and enhanced version of NUDS will be presented for review.

**Final Draft NUDS:** This will be the final NUDS version prepared under this project assignment. It will include the enhancements required based on the earlier review workshops and consultative sessions.

The collaborative working sessions and workshops are an essential aspect of the project delivery design as this participatory working will increase the understanding and acceptability of NUDS, incrementally bringing into alignment the key elements of NUDS and its implementation at specific selected provinces and cities, through this project activity. The working sessions are expected to be conducted in Hanoi and in each of the selected provinces. City agencies will be integrated with the provincial counterparts to support the participatory working and decision making process, optimizing the number of collaborative working sessions for maximum input and synergy with government officials.

The process of developing NUDS, and its linking with the UDPs and RCAPs is summarized by the workflow diagram as presented in the kickoff meeting (also provided in annexure to this

report). The process diagram explains the intended linkage between developing NUDS, and the feedback mechanism of the UDPs and RCAPs being used to inform NUDS and vice-versa.

**Key Resources Allocated:**

Team Leaders: International and National

Technical Experts: International and National

- Urban Planning and GIS Specialists
- Municipal Infrastructure Specialists
- Municipal Finance Specialists
- Institutional Specialists

**Deliverables Planned:**

Preliminary Draft Report on NUDS: *International and National UCCR Specialist*

Pre-final Draft Report on NUDS: *International and National Infrastructure Specialists*

Final Draft Report on NUDS: *International and National UCCR Specialist*

**Other Supporting Internal Outputs Planned:**

Report on financial mechanisms and recommendations on improving the fiscal and administrative framework for urban local government: *Municipal Finance Specialists*

Report on legal and institutional reforms required to achieve substantive reform in the process of spatial planning: *Institutional Specialists*

Minutes of participatory working sessions

Reports on each participatory workshop conducted

**Task 4: Provincial and City Selection Report based on Client Selection**

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This task is necessary for the preparation of 3 UDPs and 6 outline RCAPs in order to implement NUDS which will be prepared under this CDTA and identify priority cities requirements of key infrastructure, policy and institutions. Pilot provincial urban development strategies under urban development programs (UDP) will be needed to test the implementation of the National Urban Development Strategy in the provinces. RCAP which links to the Green Cities Action Plan and integrates into the City Master Plan is expected to make cities more green, competitive, inclusive and more resilient.

These prioritized provinces and cities will be selected based on specific criteria and will be decided on the basis of agreement between ADB and UDA (MOC). Although this is not the main task of the consultant, the project team still considers this an important task with appropriate selection criteria to be applied in the National Urban Development Strategy.

Based on the selected provinces and cities informed to the consultant team, a summary report will be prepared to establish the urban development and climate resilience context for the selected province and cities. This report will document the existing urban development status, potential climate change threats, and establish the context for Climate Resilient Urban Development. The report will include information from documents such as past, present, and proposed urban development programs, Socio-Economic Development Plans, Climate Change Action Plans, Disaster Management Plans (if any) and other province/ city level reports that may be identified as relevant to the project assignment.

This summary report will be prepared with the support of the Provincial and City representatives, with their inputs solicited through consultative working sessions. These province and city level summary reports will provide the necessary platform for developing the subsequent tasks, i.e. Task 5 and Task 6.

**Key Resources Allocated:**

Technical Experts: International and National

- Urban Planning and GIS Specialists
- Municipal Infrastructure Specialists
- Municipal Finance Specialists
- Urban Climate Change Specialists

**Deliverables Planned:**

Summary Report on Selected Provinces and Cities

**Other Supporting Internal Outputs Planned:**

None

**Task 5: Provincial Urban Development Programs**

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Urban Development Program (UDP) at the provincial level will be prepared for three selected provinces in compliance based on the guidelines of the Ministry of Construction's Circular No. 12/2004/TT-BXD dated 25th Aug .2014. The Urban Development Program is designed to specify the criteria for urban development, portfolio and roadmap for implementation of the provincial construction planning (regional planning). The program is made for each 5-year period and priority first stage (5 years and annually).

UDP for the province is built on the basis of provincial construction planning which was already approved by the Provincial People's Committee (PPC). The urban development programs for whole province once approved will be the basis for the consideration of projects pipelines and urban upgrading by the central government.

Process to prepare UDP will begin by gathering the necessary information, such as the master plan, national urban development programs, provincial regional planning, and the construction planning of the municipality in the province, the data and other relevant documentation of province. The Project Team, with the help of the Provincial Department of Construction, will develop the UDP with basic contents include: i) Prepare portfolio, roadmap to upgrade cities/towns in province for each 5-year period, in accordance the national urban development program and approved provincial construction planning. In addition, UDP will also identify the priority programs of province for first phase (5 years and annually); ii) Develop in detail the criteria for urban development to be achieved by the first phase (5 years and annually) which is consistent with the regional construction planning; iii) Develop a framework of priority investments and infrastructure headworks infrastructure connecting urban system in whole province; and iv) Develop solutions on institutions and policies to mobilize capital, allocating resources, and coordinate the participation and support of domestic and international donors. When the preparation of the UDP is complete, the Provincial Department of Construction will submit it to PPC for approval.

**Program for Working Sessions:** With the support of UDA and the provincial agencies, the project team will identify a core

team of technical resources with the DoC to work closely with the team to provide necessary data for the team and to participate in working sessions with the project team to develop the Provincial Urban Development Programs, drawing upon the evolving structure of NUDS. The project team will use the format of



planning *charrettes*<sup>2</sup> and the provincial representatives will hold collective working sessions to develop and discuss the UDPs. The applied use of GIS is seen as an essential part of the planning and decision making process in the UDPs. Through intense working sessions at the provinces there will be close synergy between all stakeholders involved and a resultant improved exchange of ideas, understanding of NUDS, and the applied concepts from NUDS to prepare Urban Development Programs (UDPs).

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<sup>2</sup> *Charrette* is a technique for consulting with a range of stakeholders. A charrette (sometimes called an enquiry by design) typically involves intense and possibly multi-day meetings, involving a small group of people for extensive time together. Typically stakeholders would include project team experts (as the charrettes facilitators), governmental officials, technical experts, and other key individuals such as eminent citizens and professionals, among others. A successful charrette promotes joint ownership of solutions and attempts to defuse typical confrontational attitudes between different stakeholders.

For the UDPs it is proposed to conduct a minimum of 2 collaborative working sessions (*charrettes*). The first *charrette* will be conducted in each of the selected provinces to review the information, develop the framework, and prepare the draft UDPs. A subsequent collective *charrette* will be conducted in one central location with participants from the earlier *charrettes* joining this collective working session. The collective forum will give each province the opportunity to be informed through the working of the other provinces and improved understanding of NUDS as applied to the UDPs.

Subsequent to the collective *charrette*, the UDPs will be finalized and a **collective review workshop** will be conducted to share the main highlights of the UDPs in response to NUDS. Through these collaborative events, the process of developing the UDPs will also provide necessary feedback for the improvement of NUDS and a more explicit link with the institutional mechanisms and implementation processes necessary for the success of NUDS. (The duration and location of the collective *charrettes* and a review workshop will be finalized in consultation with ADB and with UDA).

#### **Key Resources Allocated:**

Technical Experts: International and National

- UCCR Specialists
- Urban Planning and GIS Specialists
- Municipal Infrastructure Specialists
- Municipal Finance Specialists
- Community Participation Specialists

International Spatial Planning Specialist

#### **Deliverables Planned:**

Urban Development Programs: Separate report for each of 3 provinces

- selected ○ Draft Report and Final Report

#### **Other Supporting Internal Outputs Planned:**

Summary notes and list of participants from each working session in province  
Summary report on collective review workshop conducted

#### **Task 6: Preparation of Outline Resilient City Action Plans (RCAPs)**

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The main intent of preparing the RCAPs is to integrate climate resilience elements into city master plan so that the city will be Green, Competitive and Inclusive making it resilient to future shocks and stresses. Drawing upon the lessons and input from the Green Cities Action Plan (GCAP) developed by ADB, RCAPs will be linked back to the GCAP and the city master plans of the 6 cities. RCAPs will consist of a broad outline on resilient and green cities



principles to incorporate into the city master plans. This should include recommendations on green spatial planning options and urban infrastructure that are green and have lower impact on the environment and build urban resilience.

The project team will draw upon past experience in developing RCAPs, with a specific focus towards climate resilient urban development actions, under the broad framework established of the parallel task of developing NUDS. As per the project TOR, the RCAPs will be developed as “Outline” RCAPs. The scope of these RCAPs will therefore be limited in its detail, however the process and decision framework for Resilient City Action Plans will be developed to provide distinctive clarity for each of the 6 cities addressed under this assignment.

The project team will work with the cities identified by UDA and ADB and develop a preliminary understanding of the city urban development structure and status (as outlined under Task 4). Adopting a participatory process of working charrettes, the project team will share its ideas and recommendations for the RCAPs with the city officials, collaboratively developing the action plans. This collaborative approach to developing the action plans will enhance the acceptability of the outputs and enhance local capacity in the urban development process. The collective working will also serve to inform the development of NUDS to overcome any limitations in implementation.

**Key Resources Allocated:**

Technical Experts: International and National

- UCCR Specialists
- Urban Planning and GIS Specialists
- Municipal Infrastructure Specialists
- Municipal Finance Specialists
- Community Participation Specialists

International Spatial Planning Specialist

**Deliverables Planned:**

Outline Resilient City Action Plan

- Draft Report and Final Report

**Other Supporting Internal Outputs Planned (Integrated with Task 5):**

Summary notes from each participatory planning *charrette*

Summary report on collective review workshop conducted

## 2.3 ACTIVITY III: OPERATIONALIZING NUDS: IMPLEMENTATION AND INVESTMENT PROGRAMS

This activity is comprised of clustered tasks that are designed to supplement the development and implementation of NUDS at a provincial and city level. This activity is comprised of the following tasks:

- Task 7: Development of Projects Pipeline
- Task 8: Urban Climate Resilient Investment Framework
- Task 9: Affordability Assessment
- Task 10: Development of Urban Management Tools
- Task 11: Programmatic Approach for Action

These tasks collectively will form the link between the NUDS and its improved understanding through the implementation framework created by these specific tasks. The identification and short-listing of possible projects, organized as a **pipeline of potential projects**, provides the opportunity to link strategy with action, bringing climate resilience and sustainable development into the context of implementation of urban development and infrastructure action at the provincial and city level.

The **urban resilience investment framework** provides the structure to evaluate and prioritize the Project opportunities that are considered contextually relevant to the urban development programs from a regional to local level. This framework can also be integrated with **urban management and decision support tools** to enable city and provincial governments be better informed about the project level action intended and its link to the broader objective of sustainable urban development for Vietnam.

To test the proposal for projects, in alignment with NUDS, and to prepare for the formulation of bankable projects the financial capacity, including the borrowing capacity at a provincial level is expected to be assessed. This **affordability assessment** at a provincial level is necessary to ensure the successful implementation of project action and an increased evidence of development actions that can build confidence in the urban development trajectory being realigned with sustainable development and climate resilience objectives.

The culminating task will be to develop a **programmatic approach for action**, which will translate the NUDS into ground reality through provincial and city development actions, enabled through key enabling projects, prioritize through an investment framework, for implementation in provinces that have the demonstrable financial and institutional capacity as established through an affordability assessment. The project team will develop and provide tools to support this decision-making process that will draw upon Geographic Information Systems, Decision Models, and multi-criteria decision analysis tools like the MISP implemented in Serbia by EPTISA.

## Task 7: Development of Projects Pipeline

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The pipeline of projects is anticipated to be a collection of implementation project that can be conceptualized, developed, and implemented, to achieve the objective of a sustainable and resilient urban development. The focus of these projects will be on the selected cities and provinces addressed under Task 5 and Task 6.

The project pipeline provides the opportunity to subsequently prioritize and select projects for implementation and increase the capacity at various levels to implement NUDS through specific action. The UDPs and the Outline RCAPs will provide active opportunity to identify urban infrastructure projects for climate change mitigation and adaptation for the 6 priority cities as well as identify other regional/ provincial infrastructure to support climate resilient urban development.

Key sectoral programs related to climate resilience can include:

- Flood protection, drainage, and storm water management;
- Water resource management, including safe drinking water supply;
- Public health and Sanitation, including waste water management and solid waste management systems;
- Protection and increase of green space coverage through parks and forested areas;
- Climate resilient affordable housing and housing adaptation;
- Climate resilient transportation systems.

The pipeline of investment projects will be informed and guided by the Government of Vietnam Socio-Economic Development Plan 2016 – 2020 and will focus on economic, social and environmental infrastructure, supporting ADB Urban Operational Plan for cities addressing (i) inclusiveness; (ii) green and environment considerations; and (iii) competitiveness and local economic development of cities, including peri-urban areas.

The identification and selection of projects for the priority cities will also be built upon:

- Other past projects that have addressed climate resilient urban development in Vietnam.
- Previous work by ADB for wastewater management and drainage completed under TA7885-VIE in December 2015 with the completion of 12 City Sanitation Strategies, 6 Pre-Feasibility Studies and 1 Feasibility Study.
- Other relevant projects implemented in other developing and developed economies

The Municipal Infrastructure Planner and the Municipal Finance Specialists will work closely with the Provincial and City Governments to identify and assess the projects under consideration as part of their existing development plans. They will be supported by the Municipal Finance Specialists to examine the fiscal aspects of the projects under consideration and by the UCCR specialists to review their contribution to enhancing urban climate resilience.

These projects, along with additional projects identified under Task 5 and Task 6 will be reviewed and evaluated for their fit with the objectives of NUDS. Project selection and screening criteria will be developed in line with NUDS and a multi-criteria decision framework will be presented for review. Based on feedback received, the prioritization of identified projects will be carried out and these projects will be re-assessed for their relevance and support to the successful implementation of the UDPs and RCAPs, all of which are to be in alignment with the Draft Final NUDS (Task 3).

**Key Resources Allocated:**

Technical Experts: International and National

- Municipal Infrastructure Specialists
- Municipal Finance Specialists
- UCCR Specialists

**Deliverables Planned:**

Projects Pipeline Report

- Preliminary Report on Projects Shortlisted and Screening Criteria
- Final Report on Selected Projects

**Other Supporting Internal Outputs Planned:**

Summary report on review workshop conducted

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**Task 8: Urban Climate Resilient Investment Framework**

The Urban Climate Resilience Investment Framework (UCRIF) will support Vietnam’s efforts to manage and direct investment to prioritized projects and actions that would collectively direct the process of urban growth into a more climate resilient, more sustainable, and more socially responsive trajectory over the next 10 to 15 year investment planning horizon.

The UCRIF will necessarily be designed to address the scaling of project actions from national down to municipal levels. This “investment framework” will guide the urban development process through a structured decision support tool developed by the project team. The project selection criteria to support this decision process will be developed in a participatory manner with MoC and other line ministries, including Ministry of Finance and Ministry of Planning and Investment.

The framework for infrastructure investment can both stimulate, and respond to economic growth and social change, thus avoiding a disconnect with public expenditure. Developing this framework, drawing upon past work done and within the ambit of circulars and directives issued by the Ministry of Finance, the investment framework will establish a project selection and investment criteria to support a future lending program.

The Investment Framework will integrate criteria such as climate resilience, financial growth, and equitable development. It will draw upon existing government regulations and circulars, yet be progressive in integrating international experience and ideas to create a framework that can be used to connect between the NUDS and actionable project expectations at a provincial or city level.

This task will be led by the Municipal finance specialists and supported by the UCCR experts, municipal infrastructure planners, and with inputs from the institutional experts to guide its integration into the urban planning process in Vietnam.

**Key Resources Allocated:**

Technical Experts: International and National

- Municipal Finance Specialists: Lead Resources
- UCCR Specialists
- Municipal Infrastructure Specialists
- Institutional Experts

**Deliverables Planned:**

Report on Urban Resilience Investment

- Framework
- Draft Report and Final Report

**Other Supporting Internal Outputs Planned:**

Summary of government guidance documents (circulars etc. from Ministry of Finance/ Other relevant Ministries) that will form the regulatory basis for the framework. *To be prepared by National Municipal Finance Expert*

**Task 9: Affordability Assessment**

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Affordability Assessment establishes a critical parameter in selecting projects for implementation from the identified pipeline of projects prepared under the earlier task. While the selected projects must be sustainable from social, environmental, and economic aspects, the affordability assessment and local capacity will establish the implementation risks, hence the implementation of NUDS at a provincial and city level.

To test the proposals for NUDS and to prepare for the formulation of bankable projects the financial capacity, including borrowing capacity will be assessed. In making the assessment, the Project Team will confer with both national and provincial officials and, to the extent possible, will propose ways and means of enhancing financial capacity of provinces. Working closely with Ministry of Finance, the consultant team will assess the borrowing capacities and provincial debt limits of identified provinces. An assessment of revenue projections and active loans will be used to prepare a clear documentation on the potential for further loans to the identified provinces. Based on the MoF directive, the debt ceiling per the State Budget

Law (2015), effective from 2017, stipulates that provinces' borrowings cannot exceed 20% to 30% of their total decentralized revenues.

Additionally, the level of grant and loan assistance to be accessed could be determined by assessing the financial capacity of provinces and cities. Financial capacity is defined by the ability to fund capital programs, to operate and maintain the assets so constructed and to repay loans. The technical approach to assessing financial capacity is a matter for discussion and negotiation among the participants and is a key component of a NUDS. Through the national government, provinces and cities could be invited to formulate integrated urban development programs (IUIDPs), a process that could be integrated within NUDS to establish financial prudence in investments at provincial and city levels.

Under this task the project team will review and analyze data from up to 9 provinces. These provinces will include those identified for development of the UDPs. Additional provinces for the assessment will be identified in consultation with ADB and with UDA. The output of this task will be reviewed with UDA and ADB prior to its finalization as it has critical significance in the decision on subsequent selection of projects to be implemented.

**Key Resources Allocated:**

Technical Experts: International and National

- Municipal Finance Specialists: Lead Resources

Overview and support of National Team Leader

**Deliverables Planned:**

Report on Affordability Assessment for selected

- Provinces ○ Draft Report and Final Report

**Other Supporting Internal Outputs Planned:**

Short technical report on the selection procedure and final list of provinces selected for the assessment report.

**Task 10: Urban Management Tools**

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The project team has earlier developed tools that assist in urban planning and management. Under this project, we will introduce different tools we have developed and used on different assignments. Working with the client, assessing the capacity of the implementing agencies, especially at the local and provincial level, a selection and adaptation of these tools or the development of other tools may be considered for this project assignment.

**SLAP Information System - Municipal Infrastructure Database**

SLAP is a tool developed by EPTISA under the European Commission-funded Municipal Infrastructure Support Programme for Serbia, and is used as a transparent tool for planning, reporting and funding of local infrastructure projects; for achieving

aid effectiveness; for increasing capacities of local governments in the planning, preparation and implementation of infrastructure projects; and for monitoring the implementation of local infrastructure projects related to local development. SLAP's main objective was to provide adequate and efficient help to municipalities and cities in Serbia to identify infrastructure projects and to apply for financial support from international and domestic sources. The Consortium will assess the suitability of developing a tool similar to the SLAP-IS for NUDS application.

Through this platform, municipalities can adequately present their priority infrastructure projects for available funding through EU grants or other sources (IFIs). It can support prioritization in (i) Economic infrastructure, and (ii) Environmental infrastructure (water supply, wastewater, solid waste management, remediation, etc). This tool can be used to review the projects identified in the project pipeline and support the project prioritization activity. It may also provide for good project management/ implementation support to strengthen the capacity of local governments. Post completion of the NUDS assignment, this could strengthen capacities at different levels of government to operationalize NUDS.

### **Project Prioritization Matrix**

To support the prioritization of identified projects, the project team proposes to develop a prioritization matrix that will provide a mechanism for inclusion of multiple criteria, integrating climate resilience, other environmental considerations, social inclusiveness, economic and financial benefit, etc. These criteria will be finalized in consultation with MoC and ADB. The decision matrix can also enable group-wise clustering of criteria, assigning relative weights (importance) to the decision criteria. The inputs to these tools can be developed in a participatory manner by involving the urban development professionals at the city and provincial level.

### **GIS-based Visualization System**

GIS will be actively used on this project to provide an understanding of the spatial context of climate related impacts, anticipated climate change scenarios in the near future, and the spatial distribution and expansion of urban centers. This visualization system will provide an effective tool to assign relative climate change vulnerability to the urban centers and guide decision making on major national and provincial infrastructure development.

Using Geographic Information Systems the project team will develop spatial analysis outputs that will support the UDPs and RCAPs. These spatial analytical outputs will be integrated with multi-criteria decision models by the International GIS Specialist and the Project Preparation and Programming Specialist to develop a Decision Support System (DSS) that can assist in better planning and management of projects and investments.



This GIS-enabled DSS will be informed by the process of developing the PDPs and RCAPs, with the pilot outputs being shared during the collaborative working sessions with the stakeholders from the selected Provinces and Cities

**Key Resources Allocated:**

International GIS Specialist

International Specialist for Project Preparation and

Programming International Municipal Infrastructure Planner

Supported by National GIS Specialist

**Deliverables Planned:**

Draft Report on Urban Management Tools

Final Report on Urban Management Tools

**Other Supporting Internal Outputs Planned:**

None

**Task 11: Programmatic Approach**

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Under this task a programmatic approach based on Decision No. 2623/QĐ-TTg “Urban Development of Vietnam Responding to Climate Change in the Period 2013-2020, 31 December 2013” and in alignment with the Draft NUDS will be developed. The approach developed shall also draw upon other decisions including the National Target Program for Urban Climate Resilience, the National Green Growth Strategy (Decisions No. 1393/QĐ-TTg, 2012), and the National Program on Urban Development (Decision No. 1659/QĐ-TTg, 2012). This programmatic approach will be the basis on which to identify and finance projects and monitor their impacts, and it will integrate climate change resilience objectives as a factor to guide project selection.

This “program” based approach in contrast to a “project” based approach will take into consideration urban development requirements, climate resilience benefits, capacity of the implementation agencies, potential for private sector participation, and assessment of affordability. The designed approach will establish key development objectives and resilience measures for which policies are to be developed in the NUDS and the Urban Development Investment Framework. The policies will address the content and structure of the programs, implementation mechanisms and institutional responsibilities, reporting and monitoring mechanisms, indicators for evaluation of effectiveness, and periodic assessment and mid-course corrections as required.

The approach will link climate change resilience (through risk based tools) to green city action plans, to sector master plans, and help to prioritize projects. But at the same time, the

overall planning framework is robustly tied into sector best practices, for which there are good examples based on decades of experience. Extending this approach to a decision process to link to prioritization of the projects pipeline, the programmatic approach will establish a “decision matrix” along with procedures to identify and select priority sectors, related to urban development activities, climate resilience integration, and emergent urban infrastructure projects that can connect to earlier tasks of (i) definition of project pipeline, and (ii) assessment of affordability, and (iii) a prioritization process for implementation. The programmatic approach will be validated by applying it to prioritized provinces and cities under Phase I and Phase II of Decision No. 2623/2013/ QĐ-TTg or as finalized through discussions with UDA and ADB.

The International and National Team Leader will work closely with select members of the project team to prepare the Programmatic Approach to translate NUDS into an implementable process at the Provincial and City levels, drawing mainly upon the momentum of the UDPs and RCAPs.

Through interactive internal consultation process within the team, continuous working sessions and workshops will be conducted over the period of the project, the assigned experts will provide the documented programmatic approach for review by ADB and UDA. The inputs of both are required for the programmatic approach to be accepted and useful for both, for investment and for implementation of projects to drive the objective for sustainable urban development.

**Key Resources Allocated:**

International and National Experts:

- Team Leader and UCCR Specialists
- Urban Planners

International Municipal Finance Expert

International Municipal Infrastructure Specialist

**Deliverables Planned:**

Report on Programmatic Approach for NUDS

**Other Supporting Internal Outputs Planned:**

None

**Task 12: Comprehensive Output Report**

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The reports and outputs under this activity, as well as summary outputs from the UDPs and RCAPs will be assimilated together, to supplement the specific output deliverables of the final draft NUDS report.

This comprehensive report will link together the entire project action, threading together the tasks addressed towards developing NUDS and providing an implementation structure for it. The enabling tools, frameworks, and assessments of financial capacity all provide the structural support to bring NUDs into practice and implementation for Sustainable Urban Development in Vietnam.

The Comprehensive Output Report will also include the updates on the implementation progress of the pilot construction activities under Activity IV.

**Key Resources Allocated:**

International and National Experts:

- Team Leader and UCCR Specialists
- Urban Planners

**Deliverables Planned:**

Final Comprehensive Report (focusing on integrating outputs under this Activity with linkage to NUDS, and the 3 UDPs and 6 Outline RCAPs)

**Other Supporting Internal Outputs Planned:**

None

2.4 ACTIVITY IV:  
LOW COST CLIMATE RESILIENT HOUSING

**Task 13: Guidelines/ Manual for Low Cost Climate Resilient Housing**

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The Architect, Urban Economist, and Community Development Specialists will work in close coordination to address the housing component of this assignment and the implementation of pilot construction activities. They will also be supported by the Institutional specialist in addressing the acceptance and implementation of the guidelines developed under this project assignment.

The challenge of low-cost housing requires the project team to study the different paradigms for such development. Drawing upon work done in larger cities, the focus on low- cost housing will likely be influenced by the limited availability of space for such housing. The development models will likely be substantially different in medium and smaller towns, which at the same time may have lesser demand for low cost housing. The project team will work closely with UDA to establish the paradigm under which this project scope will be interpreted as this selection will influence the guidelines developed, construction materials and practices adopted, and most specifically, influence the development of pilot projects under this assignment.

Drawing upon past experience in Vietnam, the project team will review the works done under earlier NDF funding, other projects implemented in Vietnam, and conduct meetings with key government agencies, national institutes (Vietnam Institute of Architecture) and academic institutions. The project team will also visit selected locations to review the current state of development of low cost, climate resilient housing and, in parallel, undertake a desk review to prepare a summary of available guidelines, analysis of past or ongoing relevant projects, and relevant regulations. This output in the form of an internal technical report will be used as a foundation for developing the guidelines and framing the pilot construction projects under this assignment. The economists will work along with the architects to develop cost estimates for such implementation, addressing the financial and economic analysis for climate resilient low cost housing and associated climate resilient municipal infrastructure.

The international architect and economist will review the information provided and using this as a foundation, will build on it with their experience and knowledge to create the necessary framework for the guidelines. Collectively, the international and national experts will work together to develop the design guidelines, and further inform themselves of the suitability and applicability through field visits to assess local capacities and resources available to develop the climate resilient housing and infrastructure facilities.

**Key Resources Allocated:**

Technical Experts: International and

- National ○ Architects
- Community Development Specialists
- Urban Economists

**Deliverables Planned:**

Guidelines/ Manual for low-cost climate resilient housing and capacity building ○ Draft and Final Outputs

**Other Supporting Internal Outputs Planned:**

- Desk review report on existing guidelines and projects, regulations, cost norms
- Technical report on financial and economic analysis of housing / shelter component as well as the climate resilient municipal infrastructure
- Report on institutional issues on low cost housing and institutional requirements for effective implementation

**Task 14: Preparation of Dissemination Plan & Community Participation:**

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Community participation is a key activity to the understanding and acceptance of the low-cost housing guidelines. The architects will be supported by the community development experts to identify relevant stakeholders to prepare the dissemination plan and propose the process for the subsequent dissemination and acceptance of the guidelines.

The dissemination program will reach out to the communities in the pilot locations expected to be identified, build collective interest and support for learning and replication from the experience of implementing pilot construction projects. The international community development expert will integrate relevant international experience in developing the dissemination plan and coordinate with the national expert to develop the content for the community participation programs, with the technical inputs of the Architects.

**Key Resources Allocated:**

Technical Experts: International and National

- Architects
- Community Development Specialists

**Deliverables Planned:**

Dissemination Plan and Content for

- Dissemination
- Draft and Final Outputs

**Other Supporting Internal Outputs Planned:**

Community Participation Plan with schedule for Pilot

- Implementation
- Draft and Final Outputs

**Task 15: Selection of Locations for Pilot Projects**

---

Selection of pilot project sites will be done in parallel with the process of developing the guidelines and dissemination plan. Potential sites will be identified based on a screening and selection process that will encompass, among others, different ecological settings, relative impacts of climate change, localized need for affordable housing, availability of land and other resources for pilot projects, local stakeholder implementation capacity, and the potential to synergize with past/ other ongoing relevant projects.

**Key Resources Allocated:**

Technical Experts: International and National

- Architects
- Community Development Specialists

**Deliverables Planned:**

None required as a Milestone deliverable

**Other Supporting Internal Outputs Planned:**

Report on Selection of Pilot Construction Sites

**Task 16: Implementation of Pilots**

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The national architecture expert will take the predominant role to oversee and guide the implementation of the pilot projects. The national architect will be supported in this activity by the national community development specialist.

It is expected that there may be some enhancements required to the guidelines as a result of the pilot implementations. The national architect expert will make these necessary updates as part of the project final reports. Alongside, the national architecture and community development experts will prepare a summary documentation of outcomes from the pilot projects implemented.

**Key Resources Allocated:**

National Technical Experts

- Architect and Community Development Specialist

**Deliverables Planned:**

None required as a Milestone deliverable

**Other Supporting Internal Outputs Planned:**

Periodic Progress Report implementation of Pilot Construction Projects

Closure report on implementation of pilots and final outcomes/ lessons learned

**2.5 STRUCTURE OF COLLABORATIVE WORKING SESSIONS AND WORKSHOPS**

Collaborative working sessions are an important part of the project delivery mechanism. It is intended to enable the team to work closely with the counterpart agencies through an informal yet technical discussion platform to exchange ideas early on in specific tasks. This collaborative working approach will improve the coordination, exchange of ideas, and accelerate the working on the project to bring key focus onto the acceptance and implementation of the NUDS. The consultative sessions are expected to be half day or full day sessions in general and will be organized as required by the project team, in consultation with UDA. These consultative sessions are considered to be an essential element in methods

adopted by the project team to have constructive dialogue and feedback in developing NUDS.

Similar consultative and collaborative working is necessary in the development of UDPs and RCAPs and will be scheduled with provincial and city partners. These working sessions will be designed based on a review of the selected provinces and cities and in consultation with them. The intent is to collaboratively develop the UDPs and RCAPs, involving multiple stakeholders to encompass a wide range of development issues.

Public workshops as formal events will be used to (i) launch the project, (ii) review progress at the mid-term period of the project, and (iii) get comments for the prefinal NUDS. Additional workshop/s may be planned later during the project implementation period to provide specific attention and review for key activities like tasks 8 (Urban Climate Resilience Investment Framework) and task 11 (Programmatic Approach for Action). These formal working sessions will be structured well in advance based on guidance from UDA and ADB. These workshops will be used as the forum for official feedback and commentary on the technical work of the project team. These workshops will be organized with the consent of UDA and ADB, with the location and key participants will be pre-approved for such events. The workshops in general will be designed to be 1 day events, with possible exceptions where the subject matter will require more deliberation and feedback for the project team. The calendar of proposed collaborative working sessions and workshops is provided in Section 3.

## 2. PROJECT WORK SCHEDULE

The project delivery work schedule (attached) has been structured to provide a clear overview of associated activities, with specific delivery milestones and associated workshops and collaborative sessions identified on it.

### 2.1. Work Schedule

The project work schedule is provided in Table 3.1

Key aspects to highlight on the work schedule are:

The process of regulatory review on Gap Analysis and Policy Development will be addressed in two stages, in alignment with the Milestone Deliverables. Although preliminary analysis on this has been addressed under NUDS-1, further work is required and hence the timeline allocated for it is till July 2017. The process of developing the NUDS is informed by the interactions and working with the identified provinces and cities. Also, the development of the UDPs and RCAPs is informed by the guidance of the NUDS as developed at the time of the working on the UDPs and RCAPs. Consequently, the development of the pre-final draft of NUDS



is linked to the development of the UDPs and RCAPs and these tasks will remain closely aligned through Quarter 4/5/6 of the Project.

The development of the “projects pipeline” will link closely to the process of developing the UDPs and RCAPs, with a preliminary list of possible projects for consideration being identified in consultation with the counterpart agencies. This list of projects will likely be supplemented, reviewed, screened, and evaluated against a decision framework and the Urban Climate Resilience Investment Framework to develop the final selection of potential projects to be undertaken for implementation, under another assignment.

The low-cost housing activity is a tightly packaged set of tasks with the exception of the implementation of the pilot projects. The pilot implementations will continue through the duration of this assignment, much after completion of the manual/ guidelines, with periodic updates on construction progress expected to be provided at the end of Quarter 4/5/6.

The culminating tasks on this assignment will be almost in parallel, bringing together the final draft NUDS, the Programmatic Approach for Action, and the Final Comprehensive Report)

## 2.2. Deliverables

The project milestone deliverables have been provided in Table 3.2. These deliverables represent the deliverables as per the contract requirement. Additional internal outputs developed in support of these required deliverables have been identified in each task under Section 2.

## 3.3. Workshops and Collaborative Working Sessions

The main focus of the public workshops is to review and comment on NUDS as well as to create a collaborative sense of ownership of this output. Other workshops with more limited focus and limited participants may be designed subsequently in the project implementation process to support review and comments on specific tasks/ cluster of tasks, especially for tasks under Activity III. These smaller workshop events may be designed to be aligned with specific project milestone deliverables to support the review and approval process. The scheduled date for the workshops and the participants will be finalized with UDA and ADB prior to the event being organized.

To optimize the number of workshops and better utilize the time of the participants, the agenda may be designed to cover more than one key task, possibly examining NUDS progress (Task 3) along with the task of Climate Resilient Low Cost Housing (Activity IV, Task 13). The list of currently proposed workshops are given in Table 3.3

Collaborative working sessions have been scheduled to facilitate a specific task and to focus the team and the stakeholders on the issues at hand. While the collaborative working sessions are very key to the process of developing the UDPs and RCAPs, in other instances, they serve as an effective platform for dialogue. Such dialogue between the team members and selected agencies/ stakeholders will improve understanding of NUDS-1, similar other works done in low cost housing, or even the identification of potential projects to be considered for the projects pipeline.

TABLE 3.1: PROJECT WORK SCHEDULE



**TABLE 3.1 PROJECT WORK SCHEDULE**

		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
<b>Activity</b>		12/16	1/17	2/17	3/17	4/17	5/17	6/17	7/17	8/17	9/17	10/17	11/17	12/17	1/18	2/18	3/18	4/18	5/18	6/18	7/18	8/18	9/18	10/18	11/18
<b>I. Inception &amp; Background Work</b>		Q1		Q2			Q3			Q4			Q5			Q6			Q7			Q8			
	Mobilization and Inception Report	[Bar chart showing duration from 12/16 to 1/17]																							
0	Rapid Assessment of Urbanization in Vietnam	[Bar chart showing duration from 1/17 to 2/17]																							
1	Gap Analysis and Policy Development (Draft)	[Bar chart showing duration from 2/17 to 4/17]																							
2.1	Gap Analysis and Policy Development (Final)	[Bar chart showing duration from 4/17 to 6/17]																							
<b>NUDS</b>		[Bar chart showing duration from 3/17 to 11/18]																							
	Development of NUDS	[Bar chart showing duration from 3/17 to 11/18]																							
3	Preliminary Draft NUDS	[Bar chart showing duration from 3/17 to 8/17]																							
3.1	Prefinal Draft NUDS	[Bar chart showing duration from 8/17 to 2/18]																							
3.2	Final Draft NUDS	[Bar chart showing duration from 2/18 to 11/18]																							
3.3	Summary Report on Selected Provinces and Cities	[Bar chart showing duration from 3/17 to 4/17]																							
4	Provincial Urban Development Programs (UDP)	[Bar chart showing duration from 6/17 to 8/18]																							
5	Outline Resilient City Action Plan (RCAP)	[Bar chart showing duration from 6/17 to 5/18]																							
<b>III.</b>		[Bar chart showing duration from 6/17 to 11/18]																							
	Projects Pipeline	[Bar chart showing duration from 6/17 to 8/18]																							
7	Urban Resilience Investment Framework	[Bar chart showing duration from 1/18 to 8/18]																							
8	Affordability Assessment	[Bar chart showing duration from 2/18 to 10/18]																							
9	Urban Development Management Tools (Draft)	[Bar chart showing duration from 11/17 to 2/18]																							
10.2		[Bar chart showing duration from 2/18 to 8/18]																							
11	Programmatic Approach for NUDS	[Bar chart showing duration from 8/18 to 11/18]																							
12	Final Comprehensive Report (Compilation focussed on Activity 3)	[Bar chart showing duration from 8/18 to 11/18]																							
<b>IV. Low Cost CR Housing</b>		[Bar chart showing duration from 3/17 to 11/18]																							
13	Manual for Low-cost Resilient Housing and Capacity Building	[Bar chart showing duration from 3/17 to 12/17]																							
14	Preparation of Dissemination Plan & Community Participation	[Bar chart showing duration from 3/17 to 12/17]																							
15	Selection of Locations for Pilots	[Bar chart showing duration from 4/17 to 12/17]																							
16	Implementation of Pilots	[Bar chart showing duration from 4/17 to 12/17]																							
<b>W</b>	<b>Main Workshops</b>	[Yellow bars indicating workshop periods]																							
<b>P</b>	<b>Provincial and City Level Workshops</b>	[Green bars indicating workshop periods]																							
		[Labels W1, W2, W3, W4, P1, P2, P3, P4]																							
Deliverable	Intermediate Output	[Blue diamond markers]																							
	Milestone Deliverable	[Orange diamond markers]																							
	Non-Milestone Deliverables	[Green diamond markers]																							

## TABLE 3.2: SCHEDULE OF MILESTONE DELIVERABLES

TABLE 3.2: SCHEDULE OF MILESTONE DELIVERABLES

Schedule organized based on sequential date of delivery

Task No.	Stage	Milestone Deliverable	Month Due (TOR)	Month Due (Project Schedule)	Month/ Year	Explanation for Change if any
Project Start: December 2016						
<b>YEAR 1</b>						
0	Inception Stage	Inception Report	1	1 (+ 1 month mobilization)	Jan-17	Added time for mobilization
1	Output 1	Rapid Assessment of Urbanization in Vietnam	3	3	Feb-17	-
2.1	Output 1	Gap Analysis and Policy (Draft)	6	5	Apr-17	Work accelerated to finish earlier
2.2	Output 1	Gap Analysis and Policy (Draft)	9	8	Jul-17	Work accelerated to finish earlier
3.1	Output 1	Preliminary Draft NUDS	9	9	Aug-17	-
4	Output 3	Summary Report on Selected Provinces and Cities	9	6	May-17	Based on inception review comments and revised methodology
13	Output 2	Manual for Low Cost CR Housing	12	12	Nov-17	-
<b>YEAR 2</b>						
10.1	Output 1	Urban Management Tools (Draft)	15	15	Feb-18	No Change but moved to Year 2 as per timeline
3.2	Output 1	Draft NUDS	15	16	Mar-18	Additional month contingency added due to Tet break during activity
5	Output 3	Provincial Urban Development Program (UDP)	18	17	Apr-18	Based on revised methodology can finish earlier
6	Output 3	Outline Resilient City Action Plans (RCAP)	20	18	May-18	Based on revised methodology can finish earlier
10.2	Output 1	Urban Management Tools (Final)	20	20	Jul-18	-
7	Output 3	Projects Pipeline	21	19	Jun-18	Based on revised methodology can finish earlier
8	Output 1	Urban Resilience Investment Framework	21	20	Jul-18	Work accelerated to finish earlier
9	Output 3	Affordability Assessment for Selected Provinces	21	21	Aug-18	-
3.3	Output 1	Final Draft NUDS	23	21	Aug-18	Date revised as per UDA Guidance
11	Output 3	Programmatic Approach for NUDS	24	24	Nov-18	-
12	Output 3	Final Comprehensive Report (compilation focussed on Output 3)	24	24	Nov-18	-

### TABLE 3.3: SCHEDULE OF WORKSHOPS



TABLE 3.3: SCHEDULE OF WORKSHOPS

S.No	Workshop #	Workshop Description	Scheduled Month/ Year
1	Public Workshop #1	Project Introduction Review on NUDS Phase 1 & Urbanization in Vietnam Kick-off workshop on Low Cost CR Housing	Mar-17
2	Public Workshop #2	Mid-Term Period Review/ Draft NUDS	Nov-17
		Housing Activity Review	
3	Public Workshop #3	Pre-final NUDS Review	Mar-18
4	Project Workshop #4	Review of Projects Pipeline/ Investment Framework/ Management Tools	Aug-18
5	Province/ City Workshop #1	Intermediate Review of Urban Development Programs at Province Level	Dec-17
		Intermediate Review of Outline Resilient City Action Plans	
6	Province/ City Workshop #2	Review of Urban Development Programs at Province Level	May-18
		Review of Outline Resilient City Action Plans	

### 3. PROJECT STAFFING & DEPLOYMENT SCHEDULE

The project team is comprised of 8 international experts (2 experts are holding dual positions among the 10 international positions listed in the staffing schedule) and 9 national experts. The project team is supplemented by EPTISAs staff resources providing administrative support (Ms. Anh Thu Bui), contract and project management (Mr. Jorge Mere), and overall project director (Mr. Gonzalo Ferreiros).

The deployment of the international experts is aligned with the deployment of the counterpart national experts. The staffing schedule (**Table 4.1**) provides the expected deployment plan for the experts and identifies the timeline for the proposed workshops and working sessions. Should there be any changes to the schedule for workshops or milestone deliverables, changes in the deployment plans will be made accordingly.

TABLE 4.1: STAFFING SCHEDULE



#### 4. ANNEXURES

This section provides the documents relevant to the context to the inception report as necessary. The annexure includes:

TOR of TA 9002-VIE

Project Team Presentation for Kickoff

Meeting Minutes of Kickoff Meeting

## TERMS OF REFERENCE FOR CONSULTANTS

1. **Introduction:** Viet Nam's economic transformation since the 1990s is closely aligned with the growth of its urban centers. Vietnamese cities have driven the country's economic transformation and generate over 70% of national GDP. Viet Nam has the third fastest rate of urban expansion in East Asia (2.8%) and is expected to reach an urbanization level of 47% (43 million) by 2020, from 20% (13 million) in 1990 and 35% (31 million) in 2014. This rapid urbanization has outpaced the institutional consolidation of conventional urban planning processes. It highlights the need for integrated planning to strengthen the resilience of cities and urban systems with the institutional consolidation of spatial planning, land use plans and sector master plans (e.g. water and sanitation, solid waste and housing).

1. **Decentralization:** As a process to overcome the institutional consolidation, through the gradual transfer of powers and authority to the provincial level of Government is still ongoing. Local government is struggling to balance all the issues of an integrated urban development which requires major adjustments in dealing with reform of the institutional framework, infrastructure development, economic growth, demographic pressures and human welfare<sup>1</sup>.

2. **Issues:** These weaknesses are further compounded by the necessity to incorporate climate change resilience into the urban planning processes. Viet Nam is one of the most hazard prone countries of the Asia-Pacific region due to its long coastline and sensitive geographic location. Higher frequency of storms, flooding, drought is responsible for economic and human losses. Given that a high proportion of the country's population and economic assets are located in coastal lowland cities and deltas, Viet Nam is ranked among the five countries likely to be most affected by climate change in the world<sup>2</sup>.

3. **Existing situation:** Current processes - which independently prepare prescriptive sector master plans, land use and spatial plans, and socioeconomic development plans - lack explicit requirements for climate and disaster resilient planning and implementation. Despite a series of strategic studies by ADB, World Bank and other development partners, the urban development policies and national urban planning and processes set out responses in overlapping decrees, circulars and guidelines leading to weak implementation at the local government level<sup>3</sup>. These national legal, policy and capacity gaps leave cities to devise their own development objectives, compromising sustainable urban local economic development. They also cause fierce competition for scarce resources, and accentuate the urban - rural divide, given poor coordination among provinces and lack of regional development governance. Furthermore, despite new decrees and decisions<sup>4</sup>, there is no official guidance on how to integrate climate change action plans and urban green growth provisions into existing systems for urban planning and disaster management (such as land use planning practice and building codes), and on how to combine these processes with inclusive, structured systems for public participation. Urban

<sup>1</sup> World Bank Vietnam Urbanization Review, November 2011

<sup>2</sup> World Bank/GFDRR "Vulnerability, Risk Reduction, and Adaptation to Climate Change Viet Nam" (2011)

<sup>3</sup> ADB/UN-Habitat/UNDP 'Viet Nam Urban Sector Strategy Study' (1995); World Bank Urban Development Strategy - Meeting the Challenges of Rapid Urbanization and the Transition to a Market Oriented Economy' (2006); World Bank Vietnam Urbanization Review (VUR) of 2012; World Bank East Asia Changing Urban Landscape 'Measuring a decade of spatial growth' (2015) was provided as an implementable GOV strategy and so did not directly impact planning practices.

<sup>4</sup> Decision 1659, Decree 11, and Decision 2623/2013 on climate change and the urban sector present important but fractured approaches with discrete timelines and city priorities.

development, including infrastructure provision, does therefore not take into consideration these critical elements, a problem further compounded by limited capacities to implement these at local level to plan, implement, monitor, evaluate and report.

4. **Scope of Work:** The Government of Vietnam has requested support from ADB and other development partners to respond to policy gaps in the urban sector through the formulation of a National Urban Development Strategy (NUDS). The Consultants have responsibility to formulate NUDS. The NUDS will be used to support a programmatic approach for identifying development projects, based on the existing National Target Program (NTP) to Respond to Climate Change (2008) and which would be suitable for financing by the ADB. The programmatic approach lends itself possibly to the Results Based Lending (RBL) approach funding for urban climate change resilience (UCCR) projects from 2018.

5. **Objective:** The overall objective of the capacity development technical assistance (CDTA) with the Ministry of Construction (MOC), Urban Development Agency (UDA):

- (i) Formulate and finalize the draft NUDS by the consultancy Firm;
- (ii) Support the government of Viet Nam (GOV) to mainstream climate change resilience into the NUDS;
- (iii) Develop capacity at the national and local government levels on urban climate change resilience;
- (iv) Improve coordination within MOC and within the line ministries, agencies, institutes and the local governments involved in urban development and climate change;
- (v) Develop a investment framework and a pipeline of investment projects in sustainable and resilient urban development and a delivery mechanism for program lending.

6. **Outputs:** The outputs of the CDTA will be delivered through a consultancy contract with one Firm (hereinafter referred to as the Consultants), to incorporate the three main outputs (NUDS, National Urban Planning and Capacity Development) of the TA and individual consultants for specialist studies and advisory inputs, recruited as individual consultants or resources persons (hereinafter referred to as the Individual Consultant). The consultants' contracts will be administered by ADB with UDA (MOC), as the counterpart agency of the GOV.

7. The outputs of the CDTA are:

**1. National Urban Development Strategy approved by 2018.** The technical assistance will provide support consultancy firm to formulate NUDS as well as support to consultations with relevant ministries, provincial authorities, community members and relevant communities of practice. This output will deliver the institutional framework to support a participatory cross-sectoral urbanization planning process in Viet Nam that engages officials at the national and provincial levels and community members, including:

- (i) Viet Nam's NUDS to be approved as a high level policy document under a Prime Minister Decision, for mainstreaming climate change resilience into urban

- development, consistent with NUDP, which will underline ADB's participation in the sector through a government-led results based lending program;
- (ii) An Urban Climate Change Resilience Investment Framework consisting of a matrix of urban policies and institutional gaps over the next 10 to 15 years and project selection criteria to support the future program lending to the urban sector through a modality appropriate for program lending (result based lending, ...).

**2. Guidelines to Improve National Urban Planning Works by 2017**, through the incorporation of urban climate change resilience elements in planning and building practices. This output will have the following deliverables:

- (i) Guideline on urban resilient urban land use planning for urban and peri-urban areas, including testing through the development/updating of a land-use plan.
- (ii) Guidelines / Manual for low-cost resilient housing and pilots.
- (iii) Dissemination and Capacity Building on (i) and (ii).

**3. Capacity developed to implement climate change resilience at Provincial and City Levels.** This output will have the following deliverables:

- (i) The preparation of 3 Urban Development Programs (UDP), developed at the provincial level to promote regional planning for climate change resilience, based on the NUDS and the National Green Growth Strategy. Pilot provincial urban development strategies under the form of UDP will be necessary to test the implementation of the NUDS in the provinces;
- (ii) The preparation of 6 outline Resilient Cities Action Plans,<sup>5</sup>: These will identify key infrastructure, policy and institutional requirements in 6 priority cities to include into the Master Plan and will act as precursors to the PPTA. Cities will be prioritized on the basis of size and vulnerability and decided by ADB and the UDA (MOC). Full Resilient Action Plans will be completed under another TA.

8. **Sources of funding:** The consultancy assignment will be cofinanced by the United States Agency for International Development (USAID) for about \$1,960,000 for output 1 (NUDS) and 3 (Capacity Development for UCCR), and Nordic Development Fund (NDF) for €500,000 for output 2 (National Urban Planning with climate and disaster resilient housing), as well as individual consultants for dedicated expertise and monitoring and evaluation. The funds will be administered by ADB.

9. The Terms of References (TOR) are output based to suit a fixed budget selection and present the following suggested methodology. The Consultant is expected to: (i) review and comment the suggested methodology; and, (ii) propose a project team to achieve the TA objectives (para 5.) and the output (para. 6). The Consultant will mobilize experts as required based on the identified gaps: The list of experts and skills required to fulfil the terms of reference is included in para 13 and 14.

10. **Suggested Methodology - Output 1:** The methodology to complete the assignment for Output 1 follows the following principles:

- a) Analysis of gaps in urban planning and urban development policies over the next 15 years, in coordination with the consultants recruited under the Foundation / Scoping Phase by Cities Alliance (Footnote 6). The gap analysis will cover all the policies

<sup>5</sup> Based on the model of Green Cities Action Plan developed by ADB and the Government under A 8314-REG *Green Cities – A Sustainable Urban Future in Southeast Asia*, Manila ADB, 2012.



related to basic urban services (energy, water supply, wastewater, drainage and waste management), housing, urban transportation (especially public transport and access for walking or cycling), disaster management, education and public health. A policy framework will be prepared for up to 10 identified gaps with coverage of the full policy cycle from identification to implementation, including monitoring, enforcement and evaluation. Priority policies (up to 10) will be identified through transparent selection criteria.

The TA will complete a Rapid Assessment on Viet Nam's cities' exposure and vulnerability to climate change, current measures and requirements to mainstream climate change resilience through land use administration and planning (e.g. coastal zoning and protection), infrastructure design (e.g. climate proofing) and disaster risk preparedness measures, among others will be conducted through an ongoing foundation / scoping phase funded by Cities Alliance<sup>6</sup> in close collaboration with ADB project team and in parallel to the proposed TA.

- b) Definition and completion final draft of the NUDS for MOC to submit to the Prime Minister Approval. After adoption of the NUDS it is expected that all the provinces will need to prepare a local urban development program based on the NUDS and on the Vietnam Green Growth Strategy of 2012.

The technical assistance will provide support for NUDS consultations with relevant ministries, provincial authorities, community members and relevant communities of practice. The Consultant will work with central and local government departments directly responsible for land use and urban planning; civil society representatives, especially the women's union; private sector stakeholders; and other development partners to assist mainstreaming climate change adaptation and mitigation into urban planning practice, as required under Vietnamese legislation. The final text of the NUDS will be prepared by Project consultants submitting to MOC for approval by Decision of the Prime Minister by 2018 and dissemination to all Provinces. The NUDS will be designed to further develop and detail government's existing National Urban Development Program (NUDP),<sup>7</sup> and provide the links to provincial and local climate change resilient Urban Development Program (UDP), required under Decree 42/2009<sup>8</sup> and the Vietnam National Green Growth Strategy of 2012<sup>9</sup>. The government will meet objectives laid out under National Target Program to Respond to Climate Change (2008), as well as Urban development of Vietnam responding to climate change in period of 2013-2020,<sup>10</sup> namely to include climate change resilience measures into local urban planning and provision of basic urban services. The NUDS will build on best practices from the Urban Climate Change Community of Practice in Viet Nam, in particular successful institutional frameworks, analytical approaches and capacity building tools piloted in the ACCCRN cities Can Tho, Da Nang and Quy Nhon, including the recent lessons from the USAID supported "Mekong Building Resilience for Asian Cities" (M-BRACE) program.

NUDS will be consisted the contents below but not limit to

<sup>6</sup> Cities Alliance \$300,000 grant funding of the Foundation Phase of Viet Nam National Urban Development Strategy, Anticipated start date October 2015.

<sup>7</sup> Decision 1659/QĐ-TTg on Approval of the National Urban Development Program for 2012–2020, issued November 2012, sponsored by MOC.

<sup>8</sup> Replaced by Resolution 1210/2016/UBTVQH13 on urban classification.

<sup>9</sup> Vietnam Green Growth Strategy, Prime Minister Decision no. 1393/QĐ-TTg, 25 September 2012

<sup>10</sup> Decision 2623/QĐ-TTg on Approval of scheme Urban Development of Vietnam Responding to Climate Change in the period of 2013 – 2020, 31 December 2013.

- Propose fundamental urban development strategies at national and regional levels; propose basic models on multisectoral management and collaboration mechanism for urban development investment.
  - Examine solutions to improve the efficiency of urban classification system and to supporting municipal governments in developing local urban development strategies.
  - Examine solutions to mobilize resources for urban development; propose solutions relating to ODA utilization in urban development investment, contributing to ensure the effective allocation and utilization of funds, as well as avoid overlaps.
  - Propose urban development investment framework resilient to climate change , and project portfolio giving priority to Result Based Lending modality.
  - Propose efficient implementation mechanism for approved urban plans.
- c) Preparation of selected urban development management tools, including climate change risk assessment, based on NUDS and the National Green Growth Strategy. Provincial and regional level climate change resilient green growth strategies will be integrated in the form of Urban Development Programs; Resilient City Action Plan, based on the National Urban Development Program (NUDP), Urban development of Vietnam responding to climate change in period of 2013-2020 and ADB Green City Action Plans. To assist with the future implementation of the NUDS (outside the scope of the TA, but a full part of the scope of the PPTA and the future lending program), tools are useful to standardize urban management decision processes to be administered by the Cities and the Provinces. Such management tools will be identified in the proposal and prepared by the Consultant as part of this CDTA. In the urban planning process, a risk based approach is proposed to evaluate climate change risks and impacts to determine the priority policies and the infrastructure development projects to be recommended for implementation. It is therefore expected that climate change risk assessment tools will be developed to assist the process (para. 10 a)). The tools will be prepared based on readily available existing data and recommendations on additional tools and further data requirements will also be proposed. The uncertainty of the intensity of climate change impacts have to be balanced against the certainty necessary for preparation of infrastructure adaptation projects for implementation. The “measurable, reportable, and verifiable” criteria often used for evaluating projects may not be suitable for climate change adaptation projects because many adaptive actions cannot immediately be measured or demonstrated.
- d) Preparation of an Urban Resilience Investment Framework (URIF) to guide the future investment priorities for urban development through a programmatic approach with the definition of a policy matrix to review legal and institutional gaps in urban development to 2030 and a list of project selection criteria to be agreed between the development partners, local government and central Government. The URIF includes Urban Climate Change Investment Framework (UCCRIF) which may follow the Global Infrastructure Basel<sup>11</sup> on a standard for sustainable and resilient infrastructure and the City Resilience Framework<sup>12</sup> being used by the 100 Resilient Cities or the Western Balkan Infrastructure Investment Framework used to deliver the Municipal Infrastructure Support Programme for the Republic of Serbia.

<sup>11</sup> SuRe: Standard for Sustainable and Resilient Infrastructure, Global Infrastructure Basel, 2015

<sup>12</sup> City Resilient Framework, ARUP 2014

11. **Methodology - Output 2:** The suggested methodology to complete the assignment follows the following principles:

- a) Preparation of Guidelines / Manual for low cost resilient housing and pilots: Suitable planning mechanisms and low cost housing guidelines will be developed for coping with storms and floods in coastal areas influenced by extreme weather addressing one of the major issues of the urban poor living in the peri-urban areas of the cities. Focusing on adapted housing as one of NUDES' critical sub-sectors, the TA will pilot a climate and disaster resilient housing model and knowledge suitable for living with storms and floods in coastal areas, which are affected by extreme weather. The assistance will adapt resilient construction models for the target provinces based on a review of best practices in Viet Nam and their suitability for the Mekong region.<sup>13</sup> Construction materials will be selected for high levels of resilience to weather changes, environmental sustainability, affordability, local accessibility and durability. The region has plentiful mangrove forests, palm and other species traditionally used for construction as well as other locally available construction material. However, the assistance needs to test their resilience and suitability, and analyses the costs. An additional requirement is that these homes can be maintained by local people with limited assistance from local construction companies.<sup>14</sup> The details relating to the building structures will be determined through a planning process, which will include on-the-job capacity building. The project will develop a manual for low-cost climate resilient housing construction in the target area including costs norms for material and construction. A minimum of 10 community houses will be built in the target areas. The project will record its findings in a manual for low-cost climate resilient construction.
- b) Preparation of Dissemination Plan and Capacity Building: The resilient housing construction manual will be disseminated through a series of hands-on training workshops. The training events are aimed at local small and medium-sized enterprises (SMEs), construction contractors and local government officials. The project will also seek to engage local SMEs who have the potential to develop and use the construction materials locally. During each training participants will engage in classroom based and field based learning, including working on the pilot construction of a climate resilient house. Each training workshop will thus leverage local expertise and apply the knowledge on the job, producing at least one house per training. Where possible, local community members will be involved in the workshops to develop their construction skills. Additionally, basic training will be provided on operation and maintenance of the resilient housing equipment which may include solar water heating systems, rainwater harvesting and waste-management utilities. The capacity development will include three hands-on training events aimed at local SMEs, construction contractors and local government officials to use the guidelines set out in the construction manual (para. 11 b)). It is expected to train at least 12 government agencies with improved capacity to address climate change resilience issues and at least 100 individual stakeholders, including 40% women and 30% from private sector for at least 50 days with increased capacity to adapt to the impacts of climate change. Recommendations on the preparation of climate change risk

<sup>13</sup> Such as ISET (2014) *Sheltering from a Gathering Storm: Typhoon Resilience in Vietnam*, Da Nang. Case Study on Climate Resilient Shelter Design.

<sup>14</sup> The design of this type of houses should follow the 'Row houses – Design Standards' No. TCXDVN 353 - 2005 issued by MOC under Decision 42/2005/QĐ-BXD dated 29 November 2005 with minimum allowable criteria, and easy, safe operation and use.

assessment tools to assist provincial government in determining susceptibility and climate change adaptation requirements.

12. **Methodology - Output 3:** The suggested methodology to complete the assignment follows the following principles:

- a) Preparation of 3 Urban Development Programs, developed at the provincial level to promote regional planning for climate change resilience, based on the NUDES and the National Green Growth Strategy of 2012 (para. 10 b)). The Urban Development Programs will be formulated as a participatory implementation program exercise, including Spatial Development Plans for Climate Change Adaptation and Mitigation.
- b) Preparation of 6 Outline Resilient Cities Action Plans (para. 10 b). These will identify key infrastructure, policy and institutional requirements in 6 priority cities and will act as precursors to the PPTA. Cities will be prioritized on the basis of size and vulnerability. Under the NUDES, the Resilient City Action Plan will be linked to the Green Cities Action Plan (GCAP), developed by ADB and integrated into the city Master Plan, so that the future City Master Plan is more Green, Competitive, Inclusive and therefore more resilient.
- c) Definition of a project pipeline with prioritized urban infrastructure projects for climate change mitigation and adaptation for the 6 priority cities to feed into the Sustainable and Resilient Urban Development Program. The pipeline of investment projects will focus on economic, social and environmental infrastructures to promote in line with the GOV Socio-Economic Development Plan 2016 – 2020, with ADB's GrEEEn Cities Concept (Environment, Equity, Economy), supporting ADB Urban Operational Plan for cities: (i) inclusiveness; (ii) green and environment; and (iii) competitiveness and local economic development of cities, including peri-urban areas and ADB draft Country Partnership Strategy main objective of "More inclusive and environmentally sustainable economic growth". The pipeline of investment projects will take into consideration previous work by ADB for wastewater management and drainage completed under TA7885-VIE in December 2015 with the completion of 12 City Sanitation Strategy, 6 Pre Feasibility Studies and 1 Feasibility Studies. A project preparation technical assistance (PPTA) will supplement the CDTA in 2016 to prepare the investment projects and the investment program in 2018. Key sectoral programs related to climate change such as adapted housing, food security, flood protection, drainage, protection of water resources, securitization of electricity and gas networks, drinking water supply and wastewater systems, waste management, greenhouse gas emission management will be identified for implementation
- d) Assessment of affordability of an sustainable and resilient urban infrastructure investment program at the city and province level based on the latest relending Decree from Ministry of Finance (MOF). The methodology agreed with MOF, based on Quang Nam and Quang Binh Provinces and Green Cities (Thua Thien Hue, Ha Giang and Vinh Phuc) fiscal assessment<sup>15</sup> is included in Appendix of this TOR. The strategies will be developed further to prioritize cities within each Province and to prepare action plans for the prioritized cities, which will identify bankable development projects. The selected projects must be sustainable from social, affordability and implementation aspects.

- e) Preparation of the basis of a programmatic approach to lending in the form of an updated scheme Urban Development of Vietnam Responding to Climate Change in the period of 2013 – 2020 based on NUDS or any other national document<sup>16</sup> that would support program lending in urban climate change resilience. The program approach, as opposed to project approach will be adopted in the implementation of NUDS and involves identification of key development objectives for which policies are to be developed and adopted in the NUDS and the UDIF. The policies will cover the means of implementation, communication/ feedback, monitoring and evaluation of effectiveness. The existing National Target Program for Urban Climate Change Resilience (2012) focuses on gathering information and preparing plans. The progress in preparing plans and information gathering needs to be evaluated, so that the next phase covering implementation can start. The updated above information on NTP or any other modality suitable for GOV to deliver a program lending in sustainable and resilient urban development would include procedures to select priority sectors and related urban development and urban infrastructure projects following a programmatic approach. The updated progress will be supported by the Rapid Assessment of the Viet Nam urban sector to exposure and vulnerability to climate change (para. 10 a)). The updated progress will need to consider the political and physical realities such as the political agenda, low capacity at district levels, sectoral prioritization, performance measurement, private sector participation, funding possibilities and affordability (para. 12. d)).
- f) Definition of options for private sector participation (PSP) and public private partnerships (PPP) in sustainable and resilient urban infrastructure investment program. The involvement of the private sector in urban development and participation in climate change adaptation activities will be investigated and up to 5 proposals on possible involvement of the private sector will be made on financing or cofinancing urban infrastructure. Build- Transfer contracts will be excluded from the scope of the CDTA.
- g) Other areas that will be explored under the TA include twinning of cities through decentralized cooperation and new modalities for financing municipal infrastructures and services.

13. **Resources Planning:** The firm will be responsible for delivering training programs and procuring equipment.<sup>17</sup> The firm will be selected and engaged through Fixed Budget Selection using full technical proposal, in accordance with ADB's Guidelines on the Use of Consultants (2015, as amended from time to time). disbursements under the TA will follow ADB's *Technical Assistance Disbursement Handbook* (2015, as amended from time to time). Procurement of Goods under the provisional sum to be managed by the firm will follow ADB's Procurement Guidelines (2015, as amended from time to time).

14. **Consulting Services – FIRM – Skills required:** The firm will provide the following experts:

<sup>16</sup> Decision 2623/QĐ-TTg on Approval of scheme Urban Development of Vietnam Responding to Climate Change in the period of 2013 – 2020, 31 December 2013.

<sup>17</sup> Equipment and workshops budget will be provided as a provisional sum under the consultants contract to be reviewed by ADB.

### International experts

**a) Urban Climate Change and Resilience Specialist (Team Leader):** The consultant will advise GOV and ADB on the policy and strategic aspects that should be incorporated into the National Urban Development Strategy (NUDS). As urban specialist with expertise in climate change and team leader, the consultant will be responsible for the following tasks: (i) describe the “urbanization process” in Viet Nam at an appropriate level of detail, as a new landmark publication, based on the 2012 Viet Nam Urbanization Review,<sup>18</sup> the Rapid Assessment and complemented and updated with the results from data collection, performance assessment and analysis of the NUDS Foundation Phase; (ii) engage in high level policy dialogue, providing advice and improving understanding on the necessary transition towards a more flexible and responsive urban master planning process, in particular measures to respond to Urban Climate Change Resilience principles and urban resilience qualities;<sup>19</sup> (iii) formulating the NUDS submitted to MOC , to eventually achieve status as Prime Minister’s Decision; (iv) ensure that NUDS includes appropriate strategies on (a) intra-urban transport; (b) basic municipal services; (c) affordable housing; (d) an updated approach to spatial planning; and (e) sustainable municipal financing.

The Team Leader will be responsible for the coordination of the three main outputs of the project, and the timely submission of all deliverables. The consultant will have at least 15 years’ experience working in urban management, and hold a Master’s degree in urban environment and development or equivalent. Ph D will be an advantage. Earlier experience with urban development is essential, as is demonstrable experience in leading a multi-disciplinary team. Overseas experience suitable for transfer of know how to Viet Nam will be an advantage

**b) Municipal Infrastructure Specialist:** The municipal infrastructure specialist will be responsible for evaluating climate change risks and proposing mitigation measures for municipal infrastructure covering housing, transportation, energy distribution, water supply, wastewater, drainage and waste management. He / She will be familiar with emerging international experience in green infrastructure (e.g. design and restoration of engineered ecosystems such as wetlands and floodplains). The expert will be a planner or an engineer with at least 15 years’ experience in preparation of master plan, feasibility studies for municipal infrastructure including mitigation against all natural phenomena.

**c) Architect / Deputy Team Leader:** As international deputy team leader of the shelter housing component, the consultant will be responsible for the following tasks: (i) at national level, review government regulations and actual practice for climate and disaster resilient housing construction in Viet Nam, including research and manuals, and their actual application and impact; (ii) advise on the affordable housing component of the NUDS and contribute to the description of the urbanization process; (iii) review the potential for conducting storm-resilient house construction activities in the pre-selected Ca Mau province, and engage in dialogue on choice of pilot sites, including selection of local counterpart agencies, communities and contractors; (iv) building on government guidelines as well as recent manuals prepared by development partners, draft guidelines

<sup>18</sup>World Bank. 2012. *Vietnam Urbanization Review*. Hanoi.

<sup>19</sup> Demonstration of experience assisting cities in achieving resilience outcomes will be an advantage, such as but not limited to those outlined in Rockefeller Foundation, City Resilience Framework: City Resilience Index. [http://www.rockefeller\\_foundation.org/uploads/files/0bb537c0-d872-467f-9470-b20f57c32488.pdf](http://www.rockefeller_foundation.org/uploads/files/0bb537c0-d872-467f-9470-b20f57c32488.pdf) and the ADB Urban Operational Plan 2012-2020 <http://www.adb.org/documents/urban-operational-plan-2012-2020>.

and building manuals for low-cost climate and disaster resilient house construction, meeting Government guidelines and cost norms, to be used in future as training manuals; (v) set up monitoring and evaluation processes to assess the performance of existing and pilot house construction for climate and disaster resilience.

The consultant will work closely with the Team Leader and should have a minimum of 10 years international experience working on shelter housing design and construction, of which at least 5 years on disaster resilient design in Southeast Asia. The consultant will hold an advanced degree in architecture, building engineering or a related field. Experience with training and capacity building for low-cost housing and housing finance will be an advantage.

**d) Institutional Specialist** The consultant will be responsible for advising on the legal and institutional reforms required to achieve substantive reform in the process of spatial planning, transforming the current restrictive master planning process to become more dynamic and flexible. Key specific tasks will include: (i) assess the institutional component of the analysis of the current performance of urban development as conducted during the NUDS Foundation Phase, and contribute to the “urbanization process” report; (ii) conduct high-level policy dialogue to assess the potential for achieving governance reform in the planning process, and assess the impact in terms of future requirements for institutional strengthening and skills adjustments or enhancement; (iii) contribute to the legal and institutional sections of NUDS and the Strategic Statements.

The consultant will hold an advanced degree in a relevant field such as political sciences, economics or law, with at least 7 years relevant international experience in the legal and institutional aspects of urban planning and governance and with national level policy dialogue.

**e) Municipal Finance Specialist:** The consultant will be responsible for formulating specific recommendations on improving the fiscal and administrative framework for urban local government, and incorporate these into NUDS and its subsidiary documentation. Specific tasks include: (i) Contributing to the initial “urbanization process” report, describe the present system of funding urban development, focusing on the mechanisms of transfers from central to subnational government, and level of sub-national revenue generation; (ii) briefly describe as a benchmark the impact of current practice on financing urban development, including sale of public land, on the performance of urban government in response to actual citizens’ demand; (iii) following high-level consultation among government and finance professionals, formulate realistic yet ambitious recommendations on achieving more sustainable mechanisms for financing urban development, infrastructure and services; (iv) design a roadmap for the gradual introduction of the recommendations proposed, following consultation with Ministry of Home Affairs, Ministry of Finance and other relevant government organizations.

The consultant shall have a minimum of 7 years of international professional experience in public finance and administration, with at least a master’s degree or equivalent advanced qualification in a discipline relevant to the assigned tasks.

**f) Urban Economist:** The role of the Urban Economist is to prepare the cost estimates and the financial and economic analysis of the housing / shelter component as well as the climate resilient municipal infrastructure and to optimize the costing. The consultant shall work closely with the Deputy Team Leader and the land-use specialists.



The consultant should have university level specialization in economy, finance or engineering, or equivalent, with 7 years' experience in working with financial and economic analysis for internationally financed technical assistance or projects. He / She will have experience costing disaster risk reduction measures, including CBA, particularly when benefits accrue to marginalized social groups. (this includes, but is not limited to, traditional infrastructure)

**g) Urban Planning Specialist (GIS):** The role of the Urban Planning (GIS) specialist is to analyze the data and findings on urban development performance, as assembled during the NUDS Foundation Phase, and design means to effectively visualize this information, to enable drawing strategic conclusions for future recommended policy directions. The specialist shall work closely with the Team Leader and the land-use specialists.

The consultant should have university level specialization in geography or environmental sciences, or equivalent, with experience over 7 years using remote sensing and GIS for analytical purposes.

**h) Community Development Specialist:** The role of the Specialist is to assist the project team to work with the communities in a participatory manner for the housing / shelter component of the TA. The specialist shall work closely with the Deputy Team Leader and the land-use specialist.

The consultant should have university level specialization in social development, or equivalent, with 5 years' experience in community participation and working with NGOs. He / She will have experience in working with vulnerable groups and outreach to women and other marginalized populations.

**i) Project Preparation and Programming Specialist:** The Specialist will be responsible to propose and design the urban development management and decision-making tools to be implemented under this CDTA. The Specialist will work closely with the project team to design an integrated and systematic approach to project formulation, prioritization and investment preparation for programmatic financing. Responsibilities will include integrating the municipal infrastructure database and project prioritization matrix with the urban management tools developed, provide technical input and coordinate the Urban Management Tools with technical expert in the development of the urban resilience investment framework, advise the team on best practices to develop the project pipeline and programmatic approach under Component 3.

The Specialist should have a degree in civil engineering and more than 15 years of experience in the design and management of project preparation and investment decision-making facilities for urban infrastructure. The Specialist must also have experience in capacity development and organizational strengthening for urban management authorities at national, regional and municipal level. Experience in the preparation of urban infrastructure and investment plans for multilateral financial institutions and development banks is required.

**j) Spatial Planning Specialist :** The Specialist will work with the team members during inception phase on collecting background report and documents; coordinate with Land Use Planning Specialist (individual specialist) to integrate land use planning guidelines with the urban development and urban planning at different scales of planning and implementation; prepare rapid assessment of Vietnam Urbanization, review urban planning and urban development policies in coordination with Cities Alliance; assist in developing policies for urban planning and developing the NUDS; work on prioritization



of province and cities for output 3, linking the provincial and city planning process; work on developing provincial Urban Development Plans integrating infrastructure and urban planning; review and guide Outline Resilient Cities Action Plans.

The Specialist should have a degree in geography, urban/land use planning or equivalent, with specialization in geographical information systems. He/she will hold at least seven years of experience in the preparation of regional and urban development plans with focus on climate change resilience and sustainable development.

#### National experts

**k) Urban Climate Change and Resilience Specialist:** The consultant will advise GOV and ADB on the policy and strategic aspects that should be incorporated into the National Urban Development Strategy (NUDS). As urban specialist with expertise in climate change, the consultant will work closely with the Team Leader in undertaking the following tasks: (i) describe the “urbanization process” in Viet Nam at an appropriate level of detail, as a new landmark publication, based on the 2012 Viet Nam Urbanization Review,<sup>20</sup> the Rapid Assessment and complemented and updated with the results from data collection, performance assessment and analysis of the NUDS Foundation Phase; (ii) engage in high level policy dialogue, providing advice and improving understanding on the necessary transition towards a more flexible and responsive urban master planning process, in particular measures to respond to Urban Climate Change Resilience principles and urban resilience qualities;<sup>21</sup> (iii) formulating the NUDS submitted to MOC, to eventually achieve status as Prime Minister’s Decision; (iv) ensure that NUDS includes appropriate strategies on (a) intra-urban transport; (b) basic municipal services; (c) affordable housing; (d) an updated approach to spatial planning; and (e) sustainable municipal financing.

The consultant will work closely with the Team Leader in the coordination of the three main outputs of the project, and the timely submission of all deliverables. The consultant will have at least 15 years’ experience working in urban management, and hold a Master’s degree in urban environment and development or equivalent. Ph D will be an advantage. Earlier experience with urban development is essential.

**l) Municipal Infrastructure Specialist:** The consultant will work closely with the international Municipal Infrastructure Specialist in evaluating climate change risks and proposing mitigation measures for municipal infrastructure covering housing, transportation, energy distribution, water supply, wastewater, drainage and waste management. He / She will be familiar with green infrastructure (e.g. design and restoration of engineered ecosystems such as wetlands and floodplains). The expert will be a planner or an engineer with at least 15 years’ experience in preparation of master plan, feasibility studies for municipal infrastructure including mitigation against all natural phenomena.

**m) Architect:** The consultant will work closely with the international deputy team leader of the shelter housing component in undertaking the following tasks: (i) at national level, review government regulations and actual practice for climate and disaster resilient

<sup>20</sup>World Bank. 2012. *Vietnam Urbanization Review*. Hanoi.

<sup>21</sup> Demonstration of experience assisting cities in achieving resilience outcomes will be an advantage, such as but not limited to those outlined in Rockefeller Foundation, City Resilience Framework: City Resilience Index. [http://www.rockefeller\\_foundation.org/uploads/files/0bb537c0-d872-467f-9470-b20f57c32488.pdf](http://www.rockefeller_foundation.org/uploads/files/0bb537c0-d872-467f-9470-b20f57c32488.pdf) and the ADB Urban Operational Plan 2012-2020 <http://www.adb.org/documents/urban-operational-plan-2012-2020>.

housing construction in Viet Nam, including research and manuals, and their actual application and impact; (ii) advise on the affordable housing component of the NUDS and contribute to the description of the urbanization process; (iii) review the potential for conducting storm-resilient house construction activities in the pre-selected Ca Mau province, and engage in dialogue on choice of pilot sites, including selection of local counterpart agencies, communities and contractors; (iv) building on government guidelines as well as recent manuals prepared by development partners, draft guidelines and building manuals for low-cost climate and disaster resilient house construction, meeting Government guidelines and cost norms, to be used in future as training manuals; (v) set up monitoring and evaluation processes to assess the performance of existing and pilot house construction for climate and disaster resilience.

The consultant should have a minimum of 10 years' experience working on shelter housing design and construction, of which at least 5 years on disaster resilient design. The consultant will hold an advanced degree in architecture, building engineering or a related field. Experience with training and capacity building for low-cost housing and housing finance will be an advantage.

**n) Institutional Specialist:** The consultant will work closely with the international Institutional Specialist in advising on the legal and institutional reforms required to achieve substantive reform in the process of spatial planning, transforming the current restrictive master planning process to become more dynamic and flexible. Key specific tasks will include: (i) assess the institutional component of the analysis of the current performance of urban development as conducted during the NUDS Foundation Phase, and contribute to the "urbanization process" report; (ii) conduct high-level policy dialogue to assess the potential for achieving governance reform in the planning process, and assess the impact in terms of future requirements for institutional strengthening and skills adjustments or enhancement; (iii) contribute to the legal and institutional sections of NUDS and the Strategic Statements.

The consultant will hold an advanced degree in a relevant field such as political sciences, economics or law, with at least 7 years relevant experience in the legal and institutional aspects of urban planning and governance and with national level policy dialogue.

**o) Municipal Finance Specialist:** The consultant will work closely with the international Municipal Finance Specialist in formulating specific recommendations on improving the fiscal and administrative framework for urban local government, and incorporate these into NUDS and its subsidiary documentation. The consultant will assist the international specialist in tasks including: (i) Contributing to the initial "urbanization process" report, describe the present system of funding urban development, focusing on the mechanisms of transfers from central to subnational government, and level of subnational revenue generation; (ii) briefly describe as a benchmark the impact of current practice on financing urban development, including sale of public land, on the performance of urban government in response to actual citizens' demand; (iii) following high-level consultation among government and finance professionals, formulate realistic yet ambitious recommendations on achieving more sustainable mechanisms for financing urban development, infrastructure and services; (iv) design a roadmap for the gradual introduction of the recommendations proposed, following consultation with Ministry of Home Affairs, Ministry of Finance and other relevant government organizations.

The consultant shall have a minimum of 7 years of professional experience in public finance and administration, with at least a master's degree or equivalent advanced qualification in a discipline relevant to the assigned tasks.

**p) Urban Economist:** The consultant will work closely with the international Urban Economist to prepare the cost estimates and the financial and economic analysis of the housing / shelter component as well as the climate resilient municipal infrastructure and to optimize the costing.

The consultant should have university level specialization in economy, finance or engineering, or equivalent, with 7 years' experience in working with financial and economic analysis for internationally financed technical assistance or projects. He / She will have experience costing disaster risk reduction measures, including CBA, particularly when benefits accrue to marginalized social groups (this includes, but is not limited to, traditional infrastructure).

**q) Urban Planning Specialist (GIS):** The consultant will work closely with the international Urban Planning (GIS) specialist to analyze the data and findings on urban development performance, as assembled during the NUDS Foundation Phase, and design means to effectively visualize this information, to enable drawing strategic conclusions for future recommended policy directions.

The consultant should have university level specialization in geography or environmental sciences, or equivalent, with experience over 7 years using remote sensing and GIS for analytical purposes.

**r) Community Development Specialist:** The consultant will work closely with the international Community Development Specialist to assist the project team to work with the communities in a participatory manner for the housing / shelter component of the TA. The consultant should have university level specialization in social development, or equivalent, with 5 years' experience in community participation and working with NGOs. He / She will have experience in working with vulnerable groups and outreach to women and other marginalized populations.

**s) National Database/GIS Specialist:** The Specialist will work closely under the direction of the International Experts (Urban Planning and GIS Specialist; Spatial Planner) and the National Expert (Urban Planning and GIS Specialist) to support the data collection, review of maps and spatial data as required by the project technical team, support the experts in Spatial Planning and Urban Planning analysis and to support the development of NUDS in the context of different scales of planning and decision making, develop a project GIS-database using available data from multiple sources to support the project activities, prepare necessary geospatial datasets for use by Urban Planning and GIS experts, develop necessary maps, spatial analysis, and outputs to support the technical experts.

The Specialist should have university level technical specialization in Information technology, or equivalent, with 3 years' experience in using remote sensing and GIS for data entry and analytical purposes.

15. **Consulting Services – FIRM – Deliverables:** The deliverables to complete are detailed in para. 7. summarized hereafter:

Stage	Milestone Deliverable	Month Due
<b>YEAR 1</b>		
Inception Stage	Inception Report	1
Output 1	Rapid Assessment Urban Viet Nam	3
Output 1	Gap Analysis and Policy (Draft)	6
Output 1	Gap Analysis and Policy (Final)	9
Output 1	Preliminary Draft NUDS	9
Output 3	Provincial and City Selection Report	9
Output 1	Urban Management Tools (Draft)	15
Output 2	Manual for Low Cost CR Housing	12
<b>YEAR 2</b>		
Output 1	Draft NUDS	15
Output 3	Provincial Development Plans	18
Output 3	City Development Plans	20
Output 1	Urban Management Tools (Final)	20
Output 3	Projects Pipeline	21
Output 1	Investment Framework	21
Output 3	Affordability Assessment	21
Output 1	Final Draft NUDS	23
Output 3	Programmatic Approach for Action	24
Output 3	Final comprehensive report (compilation focused on Output 3)	24

Provisional sums to be expensed with ADB prior approval:

- Workshops and training events on resilient green urban land use plan and housing
- Office Accommodation in Ha Noi for 24 months
- Equipment for shelter housing

16. **Implementation Program:** The services shall start in December 2016 to December 2018.

17. The firm will rent office space in Ha Noi for a period of 24 months. Meeting rooms will be provided by ADB or MOC. Workshops will take place at authorized hotels by ADB.



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TA 9002-VIE:  
**Sustainable and Resilient Urban Development**  
1 Firm NUDS – SRB (49153-001)

20 December 2016  
**KICK OFF MEETING**

**Kapil Chaudhery**  
Team Leader

eptisa.com

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AGENDA

- **Team Introduction**
- Progress towards TA Inception Report
- Project Methodology
- Key Activities and TA Outputs

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- Project Team Led by **EPTISA** Servicios De Ingenieria S.L. Spain
- Team Partners
  - CHR, Vietnam
  - EPTISA Philippines Inc.
  - Spatial Decisions, India
- Project technical team is comprised of experienced **8 International** and **9 National** Experts, assisted by extremely capable project support staff
- The **project management** team will be led by Mr. Jorge Mere/ EPTISA
- **Team Leader**, Kapil Chaudhery will be responsible for the overall project implementation, project outputs, and deliverables
- **National Team Leader**, Mr. Hoa, will provide necessary supported to the TL . During the absence of the TL, he will address the responsibilities of the TL will be transferred to him.
- Project delivery will be further supported by the **Regional HQ of Eptisa at Manila** and the **local offices of the consortium partners**.

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Name	Position	Years of Experience
1. Kapil Chaudhery	<b>Team Leader</b> UCCR Specialist Urban Planning Specialist (GIS)	28
2. Nicolas Pilgrim	Municipal Infrastructure Specialist	27
3. Jonathan Price	Deputy Team Leader Architect	25
4. Forbes Davidson	Institutional Specialist	45
5. Fred Colbourne	Municipal Finance Specialist Urban Economist	40
6. Evelyn Buenaventura	Community Development Specialist	28
7. Jean Claude Ah Manh	Project Preparation and Programming Specialist	30
8. Sarah Remmei	Spatial Planning Specialist	9

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Name	Position	Years of Experience
1. Mr. Truong Tan <b>Hoa</b>	<b>National Team Leader</b> UCCR Specialist	40
2. Ms. Le Thi Bich <b>Thuan</b>	Architect	35
3. Ms. Nguyen Thi Minh <b>Hai</b>	Institutional Specialist	35
4. Ms. Le Kieu <b>Thanh</b>	Urban Planning GIS Specialist	33
5. Ms. Hoang Thi Thuy <b>Nguyet</b>	Municipal Finance Specialist	32
6. Ms. Nguyen Thi Hong <b>Sam</b>	Urban Economist	18
7. Mr. Pham Anh <b>Tuan</b>	Municipal Infrastructure Specialist	47
8. Mr. Dang Huu <b>Luu</b>	Community Dev. Specialist	41
9. Ms. Tran Thi Minh <b>Thien</b>	Database/GIS Specialist	16

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Name	Position	Location
1. Mr. Gonzalo Ferreiros	Project Director	Manila/ Hanoi
2. Mr. Jorge Mere	Project Manager	Manila/ Hanoi
3. Ms. Gala Maturana	ADB Liaison Manager	Manila
4. Ms. Bui Thi Anh Thu	Project Assistant/ Translator	Hanoi

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- Team Introduction
- **Progress towards TA Inception Report**
- Project Methodology
- Key Activities and TA Outputs

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- **Progress**
  - Project team already mobilized and working on inception report
  - National experts mobilized through kickoff meeting on 16<sup>th</sup> December 2016
  - International experts partially mobilized.
  - Project office established
  - Preparing project information library with the support of the national team members
  - Establishment of project cloud-share space for document exchange
- **On-going Activity**
  - Development of Project Knowledge base
  - Establish information library with available relevant information
  - Collect key background reports from relevant projects and make them available for project team
  - Collect documents from national, provincial, and city development plans and socio-economic development plans to establish urban development context
  - Assimilate key GoV documents including decisions, decrees, and circulars

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- **Implementation Arrangements**
  - Counterpart agency is UDA under MoC
  - Expect to have consultative meetings in January 2017 with UDA
  - UDA will coordinate with PPCs and DOCs of the target Provinces and Cities
  - UDA will coordinate with Housing Department of MoC
- **Revisions to Methodology and Work plan**
  - Developing updated “Task” schedule
  - Revise deployment plan and work schedule based on negotiation meetings
  - Updating methodology and implementation plan.
  - Finalizing schedule of interim and final deliverables
- **Schedule**
  - Draft Report Proposed: 15<sup>th</sup>- 20<sup>th</sup> January, 2017
  - Inception workshop: Mid-February, 2017

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**ep4sa** | CHR | Spatial Decisions INCEPTION ACTIVITY

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- **Discussion / Clarification Points:**
  - Coordination mechanism and point of contact at MoC/ UDA/ Housing Department
  - Understanding role of ADB Individual consultants : Land Use Planning and Knowledge Management
  - Coordination mechanism with ADB individual consultants
- **Understanding NUDS-Foundation Phase/ Other Projects**
  - Some documents for NUDS-1 received. Additional documents to be made available?
  - Summary discussion on NUDS-1 desired
  - Ongoing or other relevant projects at MoC/ UDA/ VIAP to be considered?

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AGENDA

- Team Introduction
- Progress towards TA Inception Report
- **Project Methodology**
- Key Activities and TA Outputs

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APPROACH

- **PROJECT FOCUS: Urban Development** to be **fully integrated** with **Climate Resilience**
- Draw upon past experiences and lessons learnt
- The project operates at multiple levels of urban development:
  - National
  - Provincial
  - City
  - Housing Clusters
- Key focus is on **NUDS** (National Urban Development Strategy)
- Project components converge to develop NUDS, reinforce it through its consideration at different urban development levels, providing a strategy that is tested and accepted.
- Acceptance is achieved through a **consultative and participatory process** using various platforms

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- Foundation of the project is established by:
  - NUDS Phase-1
  - Rapid Assessment of Urbanization, Vietnam
- Output 1: NUDS is developed in an iterative process over the entire duration of the project
- Output 2: Low-Cost CR Housing activity is developed in parallel, yet broadly independent of Output 1
- Output 3: Urban Development Plans and (outline) City Action Plans are developed based on NUDS and will provide inputs for further improvement of NUDS

Process Diagram (See PDF attached)

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- **OUTPUT1:**
  - NUDS
    - Diligent review and understanding of NUDS Foundation phase
    - Must be developed in a participatory and consultative manner for acceptance within timeline
  - Rapid Assessment
    - Draw upon substantive existing documentation available, especially through knowledge-base of National Experts
  - GAP Analysis
    - Available commentary, conference proceedings, and consultative process required
- **OUTPUT 2:**
  - As a national approach must address resilience in low cost housing in various ecological and climate risk settings
  - Draw upon extensive work in Vietnam and in surrounding countries
  - Identify construction sites in consultative manner with client
- **OUTPUT3:**
  - Provincial Development Plans and Outline City Action Plans
    - Will serve as a critical test implementation of Draft NUDS
    - Provide structure to develop project pipeline

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- Team Introduction
- Progress towards TA Inception Report
- Project Methodology
- **Key Activities and TA Outputs**

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- Inception Report
- **Output 1: NUDS**
  - Report on Rapid Assessment of Urban Vietnam
  - National Urban Development Strategy for MoC for GoV review and Prime Minister Approval (Prelim, Interim, and Final Draft)
  - Urban Development Management Tools
  - Investment Framework for Urban Resilience Projects
- **Output 2: Guidelines**
  - Guidelines for low cost disaster and climate resilient housing
  - Dissemination Plan and Capacity Building
- **Output 3: Capacity Building and Implementation**
  - Three Provincial and Regional Urban Development Programs
  - Six Outline Resilient Cities Action Plans
  - Project Pipeline for Urban Climate Change Resilient Infrastructure Investment Program
  - Assessment of Affordability and Borrowing Capacity of 9 provinces
  - Programmatic Approach for Action

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**ep4sa | CHR | Spatial Decisions** TIMELINE FOR DELIVERABLES

- Project startup: December 2016
- Mobilization and Inception report to completed by Mid-January
- Output 1: NUDS
  - 3 milestones for delivery
  - Completion: October 2018
- Output 2: LC-CR Housing
  - Start in March 2017
  - Finish by November 2017
- Output 3:
  - Provincial and City level activity completed by mid-2018
  - Projects pipeline developed during province and city level activity

Stage	Milestone Deliverable	Month Due
<b>YEAR 1</b>		
Inception Stage	Inception Report	1
Output 1	Rapid Assessment Urban Viet Nam	3
Output 1	Gap Analysis and Policy (Draft)	6
Output 1	Gap Analysis and Policy (Final)	9
Output 1	Preliminary Draft NUDS	9
Output 3	Provincial and City Selection Report	9
Output 1	Urban Management Tools (Draft)	15
Output 2	Manual for Low Cost CR Housing	12
<b>YEAR 2</b>		
Output 1	Draft NUDS	15
Output 3	Provincial Development Plans	16
Output 3	City Development Plans	20
Output 1	Urban Management Tools (Final)	20
Output 3	Projects Pipeline	21
Output 1	Investment Framework	21
Output 3	Affordability Assessment	21
Output 1	Final Draft NUDS	23
Output 3	Programmatic Approach for Action	24
Output 3	Final comprehensive report (compilation focused on Output 3)	24

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**ep4sa | CHR | Spatial Decisions** TEAM DISTRIBUTION: OUTPUT 1

Task No.	Task Title	International Experts	National Experts
1	Rapid Assessment Of Vietnam's Cities' Exposure And Vulnerability To Climate Change	<ol style="list-style-type: none"> <li>1. TL/ UCCR Specialist</li> <li>2. Spatial Planning Specialist</li> <li>3. Municipal Finance Specialist</li> <li>4. Municipal Infrastructure Planner</li> <li>5. Institutional Specialist</li> </ol>	<ol style="list-style-type: none"> <li>1. NTL/ UCCR Specialist</li> <li>2. Urban Planning Specialist</li> <li>3. Municipal Finance Specialist</li> <li>4. Municipal Infrastructure Specialist</li> <li>5. Institutional Specialist</li> </ol>
2	Gap Analysis & Policy Formulation		
3	Development of NUDS		
4	Urban Development Management Tools	<ol style="list-style-type: none"> <li>1. Project Preparation and Programming Specialist</li> <li>2. Municipal Infrastructure Planner</li> </ol>	<ol style="list-style-type: none"> <li>1. Urban Planning Specialist</li> <li>2. Municipal Infrastructure Specialist</li> <li>3. GIS Specialist</li> </ol>
5	Urban Resilience Investment Framework	<ol style="list-style-type: none"> <li>1. TL/ UCCR Specialist</li> <li>2. Municipal Finance Specialist</li> <li>3. Municipal Infrastructure Planner</li> <li>4. Project Preparation and Programming Specialist</li> </ol>	<ol style="list-style-type: none"> <li>1. NTL/ UCCR Specialist</li> <li>2. Municipal Finance Specialist</li> <li>3. Municipal Infrastructure Specialist</li> </ol>

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Task No.	Task Title	International Experts	National Experts
6	Manual For Low-Cost Resilient Housing and Capacity Building	<ol style="list-style-type: none"> <li>1. <b>DTL/ Architect (Housing Specialist)</b></li> <li>2. Community Development Specialist</li> <li>3. Urban Economist</li> </ol>	<ol style="list-style-type: none"> <li>1. <b>Architect (Housing Specialist)</b></li> <li>2. Community Development Specialist</li> <li>3. Urban Economist</li> </ol>
7	Preparation Of Dissemination Plan	<ol style="list-style-type: none"> <li>1. DTL/ Architect (Housing Specialist)</li> <li>2. <b>Community Development Specialist</b></li> </ol>	<ol style="list-style-type: none"> <li>1. Architect (Housing Specialist)</li> <li>2. <b>Community Development Specialist</b></li> </ol>

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Task No.	Task Title	International Experts	National Experts
8	Province and City Selection Process	<ol style="list-style-type: none"> <li>1. <b>TL/ UCCR Specialist</b></li> <li>2. Municipal Finance Specialist</li> <li>3. Community Development Specialist</li> </ol>	<ol style="list-style-type: none"> <li>1. <b>NTL/ UCCR Specialist</b></li> <li>2. Municipal Infrastructure Specialist</li> <li>3. Community Development Specialist</li> </ol>
9	Urban Development Programs	<ol style="list-style-type: none"> <li>1. TL/ UCCR Specialist</li> <li>2. <b>Spatial Planning Specialist</b></li> <li>3. <b>Municipal Infrastructure Planner</b></li> </ol>	<ol style="list-style-type: none"> <li>1. <b>NTL/ UCCR Specialist</b></li> <li>2. <b>Urban Planning Specialist</b></li> <li>3. Municipal Infrastructure Specialist</li> </ol>
10	Resilient Cities Action Plans	<ol style="list-style-type: none"> <li>4. Municipal Finance Specialist</li> <li>5. Institutional Specialist</li> </ol>	<ol style="list-style-type: none"> <li>4. Municipal Finance Specialist</li> <li>5. Institutional Specialist</li> <li>6. Community Development Specialist</li> <li>7. GIS Specialist</li> </ol>
11	Developing a Project Pipeline	<ol style="list-style-type: none"> <li>1. TL/ Urban Planning Specialist</li> <li>2. <b>Municipal Infrastructure Planner</b></li> <li>3. Municipal Finance Specialist</li> <li>4. Project Preparation and Programming Specialist</li> </ol>	<ol style="list-style-type: none"> <li>1. <b>NTL/ UCCR Specialist</b></li> <li>2. Municipal Infrastructure Specialist</li> <li>3. Municipal Finance Specialist</li> </ol>

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Task No.	Task Title	International Experts	National Experts
12	Assessment of Affordability	<ol style="list-style-type: none"> <li>1. Municipal Infrastructure Planner</li> <li>2. <b>Municipal Financial Expert</b></li> </ol>	<ol style="list-style-type: none"> <li>1. Municipal Infrastructure Specialist</li> <li>2. <b>Municipal Financial Expert</b></li> </ol>
13	Programmatic Approach	<ol style="list-style-type: none"> <li>1. <b>TL/ UCCR Specialist</b></li> <li>2. Municipal Infrastructure Planner</li> <li>3. Project Preparation and Programming Specialist</li> </ol>	<ol style="list-style-type: none"> <li>1. <b>NTL/ UCCR Specialist</b></li> <li>2. Municipal Infrastructure Specialist</li> <li>3. Institutional Specialist</li> </ol>
14	Final Comprehensive Report	<ol style="list-style-type: none"> <li>1. <b>TL/ UCCR Specialist</b></li> <li>2. Spatial Planning Specialist</li> <li>3. Municipal Infrastructure Planner</li> </ol>	<ol style="list-style-type: none"> <li>1. <b>NTL/ UCCR Specialist</b></li> <li>2. Urban Planning Specialist</li> <li>3. Municipal Infrastructure Specialist</li> </ol>

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 81A Tran Quoc Toan Street, Hanoi



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**THANK YOU**




**TA9002 KICK OF MEETING  
ADB VRM Office Hanoi 20 Dec 2016**

**Attendance**



2016.12.20 ADB-Kick  
of meeting - List of Pa

**Matters Discussed**

1	<p>Opening the meeting, Satoshi pointed out the purposes of the meeting:</p> <ul style="list-style-type: none"><li>- Have common understanding on outputs, outcomes of the project by stakeholders</li><li>- Communication mechanism set up among the consultants, ADB, and MOC (UDA, Housing and Real Estate Market Management Agency (HRA), National Institute for Urban and Rural Planning (NIUP))</li><li>- Timelines</li></ul>
2	<p>Mr. Nguyen Tuong Van thanked ADB for its active organization of the meeting for the exchange of working style, communication mechanisms, and understand of the products of projects. He pressed that, among 3 outcomes of the project, the most important concerns are the support for VN Gov to develop NUDS, improvement of capacity in the context of CC; and the selectin of pilot provinces.</p>
3	<p>The Presentation from Mr. Kapil Chaudhery focused on</p> <ol style="list-style-type: none"><li>1. Features of consultant team:</li><li>2. Step towards the inception report</li><li>3. Methodology</li><li>4. Milestone deliverables: products: 12 outputs deliverables in 3 provinces, 6 cities, 9 provincial studies, and 10 construction sites</li><li>5. Timeline for 12 deliverables: slide 17.</li></ol> <p>See presentation for details</p>  <p>2016.12.20 EPT-TA9002 Kickoff M</p>
4	<p><b>Break</b></p> <p>Stephane: presentation</p> <p>His 2 presentations focused on</p> <ol style="list-style-type: none"><li>1. General approach preparation of guidelines on resilient urban development - Resilient Land use management<ul style="list-style-type: none"><li>- Political decision</li></ul></li><li>2. Approaches<ul style="list-style-type: none"><li>- Systematic: economic, environmental, Actor's</li><li>- Multi scalar</li><li>- Dynamic</li></ul></li><li>3. Methodology</li></ol>

- Matrixed management organization
- Key step in the methodology
- Process
- 4. Next steps:
  - Material analysis
  - Study of social economic environment
  - Confrontation plan
  - Final report with policy options

5

See presentation for details



2016.12.20 EFR-  
TA9002 Kick off Meeti



2016.12.20 EFR  
-TA9002 Kick off Mee

Steve mentioned brief idea on knowledge sharing and management for this project.

1. ADB aware of the importance of communication, information and knowledge management so that stakeholders shall access to appropriate sources of information;
2. Ways to communicate key findings, reports, technical assistance outcomes to audiences.
3. Communication tools, not only for the results, but also for the process of TA for their decision making
4. Awareness on CC and resilient CC and how to create urban planning to mainstream CC and CC resilient

6

7

Directions for Discussion:

1. Focus on timelines and outputs from Kapil's presentation
2. Coordination among MOC, UDA, HRA, NIUP,
3. Selection of 3 provinces, 6 cities, 9 studies and 10 sites
4. Document sharing

**Results of discussion:**

1. Timeline:
  - Timeline is very important and is decisive factor whether UDA can complete its task assigned by the Gov. The detail proposal and diagram presented by the consultant is trustable despite a little delayed compared to the first scheduled timeline of Dec 2017 for the NUDS. However, given our project was delayed for 6 months so the timeline and the work-plans must be reasonably clear and reliable. The timeline proposed in Kapil presentation is acceptably reasonable.
  - However, due to the delay, coordination must be strengthened.
  - Before TET, from 10-17 Jan, Eptisa and NIUP will have a meeting exchanging views and materials on the NUDS and the Orientation which NIUP is working on. This is the focus for the output 1.
  - Finalize the provinces, city and sites before TET
  - Right in the afternoon Kapil's group will meet with Stéphane and Steve to discuss technical matters.

- Other meetings among UDA, consultant, HRA and NIUP will be organized at the soonest to facilitate the inception report which is expected to be ready by mid Jan 2017 and the inception workshop which is expected to be organized by mid Feb 2017.
2. Coordination mechanism:
- UDA will keep its commitment to support and maximize its support with provinces and/or at MOC. UDA will provide all products and materials from phrase 1, e.g. TOR, final report, scope, etc. and other documents from other jobs UDA is doing to consultant.
  - Consultation for reports: The very important factor that the NUDS must be submitted to PM so the consultations need to be made not only with Gov's authorities, but also with provinces, social organizations, and others. Consultant should do the consultation through workshops. UDA will responsible for written consultation from Gov's side. ADB asked for list of organizations must be consulted. UDA will consult MOC later on this.
  - Meetings: Eptisa send email to UDA cc Satoshi. For this project, UDA is executive agency, focal point is UDA. All information must be shared among all stakeholders including UDA, ADB, HRA, NIUP and consultant. To have a meeting, a proposal must be sent to the subjected agency. Option 1: a letter from either ADB or consultant to send to UDA or HRA, then the appropriate person will be assigned. Option 2: a proposal letter must be sent to UDA cc ADB at least 1 week or 10 days in advance so that UDA can have enough time to coordinate with appropriate agencies.
  - The coordination: UDA is focal point with Ms. Ha Anh, as project director. Letter, from consultant, should never be sent directly to the leaders of MOC. Consultant should go through UDA/PMU. A monthly meeting should be held to update and to catch up to ensure the outcomes.
  - Expertise France goes through ADB and Eptisa before go to UDA.

3. The number 3,6,9,10

After discussion, the below points were agreed:

- The number of provinces are 3, and if the cities are selected within these 3 provinces, then the number of studies shall be lower than 9
- The pilot housing sites shall be resilient housing in CC sensitive urban areas in VN, therefore only the most typical models for some typical essential urban areas in VN such as North, Central, South, and Mekong delta should be selected. Based on that some models for North/Central/South, and some for the Mekong delta will be opted accordingly, perhaps 6 models including both newly built and renovation can be opted. If 6 cities are focused within the 3 selected provinces, 1 new site and 1 renovate site for pilot housing in each city shall be selected (12 sites).
- The selection of specific provinces and city will be done later by UDA, HRA. The process of selection will be further discussed and the results will be informed to ADB and consultant. UDA suggested Lao Cai, Hue, Bac Lieu, and Mekong delta provinces should be in the list.

	<p>4. Hub for document sharing:</p> <ul style="list-style-type: none"><li>- Data: need to be discrete in terms of data management. So, different access right should be applied for different groups</li><li>- ADB has Huong and Cuong as focal point. A box was created.</li><li>- Eptisa will also have its hub for document sharing.</li></ul>
	Lunch

*Minutes was taken by Eptisa.*

**CDTA 9002-VIE: Tripartite Kick off meeting  
ADB VRM, 20 December 2016**

**LIST OF PARTICIPANTS/DANH SÁCH ĐẠI BIỂU**

No./TT	Agency/ Cơ quan	Name/Tên	Position/Chức danh
<b>I. Ministry of Construction/Bộ Xây dựng</b>			
1	UDA/ Cục PTĐT	<b>Dr. Nguyen Tuong Van</b>	DG, UDA/ Cục trưởng
2		<b>Mme. Nguyen Thi Ha Anh</b>	DDG, UDA/ Phó cục trưởng
3		<b>Mrs . Nguyen Kim Cuc</b>	Official, UDA/ Chuyên viên
4		<b>Mrs . Nguyen Minh Hanh</b>	Head of Strategy Planning Division?trưởng phòng Kế hoạch chiến lược
5		<b>Mr. Nguyen Dinh Long</b>	Official, Strategy Planning Division/ chuyên viên phòng Kế hoạch chiến lược
6	Housing and Real Estate Market Management Department/ Cục QL	<b>Mr. Vuong Duy Dung</b>	Head of Information Division/ Trưởng phòng thông tin
7	Nhà và thị trường bất động sản	<b>Mr. Hoang Manh Linh</b>	Official, Urban Housing Development Division/ Chuyên viên, Phòng Phát triển nhà ở
8	National Institute for Urban and Rural Planning/ Viện QHĐT và NT	<b>Ngo Trung Hai</b>	Chairman/ Viện trưởng
9	QG	<b>Pham Thi Nham</b>	Vice Chairman/ Viện phó
<b>II. ADB/ Ngân hàng phát triển Châu Á</b>			
10	ADB	<b>Mr. Satoshi Ishii</b>	Senior Urban Development Specialist, Project Team Leader/Chuyên gia cao cấp PTĐT, Trưởng nhóm dự án
11		<b>Mr. Pham Quang Tien</b>	Water team/Nhóm nước
<b>IV. OTHERS/ Các thành phần khác</b>			
<b>III. TA Consultants/ Tư vấn của gói hỗ trợ kỹ thuật</b>			
12	ADB consultant/ tư vấn của ADB	<b>Mr. Hoang Vu Cuong</b>	International M&E/ Chuyên gia theo dõi đánh giá
13		<b>Mrs. Giang My Huong</b>	National M&E/ chuyên gia theo dõi đánh giá
14	Eptisa/ Công ty thực hiện gói thầu tư vấn Eptisa	<b>Mr. Kapil Chaudhery</b>	NUDS Team leader, UCCR and Urban Planning/GIS Specialist/ Trưởng nhóm tư vấn của gói thầu tư vấn, chuyên gia lập KHĐT/GIS
15		<b>Mr. Jorge Mere</b>	Eptisa's Project Manager/ Giám đốc dự án của Eptisa
16		<b>Ms. Bui Anh Thu</b>	Eptisa's Project Management Assistant/Trợ lý quản lý dự án
17	Independent consultant to ADB/ Tư vấn độc lập cho ADB	<b>Mr. Stephane Gil</b>	International Land Use Administration Expert/chuyên gia quốc tế về quản lý sử dụng đất
18		<b>Mr. Steve Griffiths</b>	International Knowledge Management (Multimedia) /chuyên gia quốc tế về quản lý tri thức (đa phương tiện)
19	Eptisa/ Công ty thực hiện gói thầu tư vấn Eptisa	<b>Ms. Sarah Remmei</b>	Spatial Planning Specialist/chuyên gia không gian đô thị
20		<b>Dr. Dang Huu Luu</b>	Community Development Specialist/ chuyên gia phát triển cộng đồng
21		<b>Mr. Truong Tan Hoa</b>	UCCR Specialist and National Team Leader/ chuyên gia lập KHĐT, trưởng nhóm tư vấn trong nước của gói thầu tư vấn