

Enabling Local Climate Change Response

**A Conceptual Approach for the Governance and Management
of Community-Based Adaptation (CBA)
with a Special Focus on Vietnam**

Von der Fakultät für Umweltwissenschaften und Verfahrenstechnik
der Brandenburgischen Technischen Universität Cottbus – Senftenberg
zur Erlangung des
akademischen Grades eines
Doktors der Wirtschafts- und Sozialwissenschaften (Dr. rer. pol.)
genehmigte Dissertation

vorgelegt von
Diplom-Ingenieurin (Architektur)
Ulrike Schinkel
aus Wolfen

Gutachter: Prof. Dr. Dr. h.c. Michael Schmidt

Gutachter: V.-Prof. James Miller Stevens

Tag der mündlichen Prüfung: 30. Januar 2015

I hereby declare that this dissertation is exclusively the result of my own research work. All literature sources, which were used to support this research, have been fully acknowledged and listed in the bibliography. Finally, I declare that no part of this dissertation has been submitted to any other higher education institution before.

Hiermit erkläre ich, dass die vorliegende Dissertationsschrift ausschließlich das Ergebnis meiner eigenen Forschungsarbeit ist. Ich versichere, dass alle verwendeten Quellen und Hilfsmittel umfassend im Literaturverzeichnis genannt und wörtliche Textübernahmen als solche gekennzeichnet sind. Des Weiteren versichere ich, dass kein Teil dieser Dissertationsschrift bereits an einer anderen Universität oder Fakultät eingereicht wurde.

Cottbus, 24th June 2014



Ulrike Schinkel

Abstract

Community-Based Adaptation (CBA) to climate change is a people-centred approach designed for the enablement of communities to collectively develop strategies to respond to local impacts that directly affect their lives and livelihoods. Nevertheless, CBA requires political support and the integration into larger-scale adaptation plans and policies; as the scope of local initiatives is rather small, they cannot substitute national or city-level adaptation efforts, but they may be a supplement as short- or medium-term response measures. Despite the success of single CBA pilot projects, the institutionalisation of CBA and its integration as a bottom-up approach into larger-scale adaptation plans and policies is definitely a challenge: firstly, the potential of CBA is still overlooked by decision-makers and planners; secondly, the decentralisation of decision-making is still underdeveloped in many countries and communities are not yet empowered and enabled to actively participate; and thirdly, there is lack of approaches to 'scale-out' and 'scale-up' successful CBA pilot projects.

Consequently, this doctoral thesis aims at going beyond the work of theorists and focuses on the identification of ways to institutionalise CBA. In the theoretical section of this thesis, an academic concept of CBA is formulated; the scope of CBA is defined and challenges for taking CBA beyond the pilot stage are identified. In a further step, a governance and management concept for the integration of CBA as a bottom-up approach into top-down planning approaches is developed. In order to do that, suitable existing governance and management concepts are identified and transferable concept components are combined.

The first result of this concept development step is an ideal-typical 'CBA Governance Management Model' (CBA-GMM), which combines concepts for a policy instrument and a pro-poor funding mechanism, for a governance approach, based on multi-level and network governance, as well as for a management approach that altogether may theoretically help to enable CBA activities. In a next step, the CBA-GMM is applied to the real case of Vietnam. After the assessment of the political and institutional framework, its strengths, constraints and challenges with regard to the institutionalisation of CBA, an 'Applied CBA Governance Management Model' for Vietnam (CBA-AGMM) is developed, which proposes a concept for the integration of CBA into the strongly hierarchical structure of the Vietnamese administrative and decision-making structure. This doctoral thesis shows that it is theoretically possible to integrate CBA as a bottom-up approach into larger-scale adaptation efforts, while it honestly reflects the constraints for putting it into practice.

Preface

This doctoral thesis is the result of five years of intensive research on people-centred approaches to climate change adaptation. The research was mainly undertaken within the scope of the Megacity Research Project TP. Ho Chi Minh, based at the Brandenburg University of Technology Cottbus-Senftenberg. The Megacity Research Project was one out of ten research projects, funded by the initiative ‘Research for the Sustainable Development of Megacities of Tomorrow’ of the German Federal Ministry of Education and Research (BMBF). Within the Megacity Research Project, I have been responsible for the research field ‘Liveable City HCMC - Urban Regeneration and Community-Based Adaptation’, which mainly focused on the development of adaptation strategies for disadvantaged flood-prone neighbourhoods. Strongly linked to this research theme, the focus of this thesis has been laid on the enablement, institutionalisation and facilitation of people-centred, community-based approaches to climate change adaptation.

I would not have been able to write this thesis without the support of a number of advisors, colleagues and friends who have constantly encouraged me and who have shared their time and expertise with me. Firstly, I would like to thank Mrs. Le Dieu Anh, my highly esteemed Vietnamese colleague and friend, who provided me with an in-depth insight into the Vietnamese political system and who was a very passionate and valuable partner for all of our joint research activities in Vietnam. Secondly, I am very thankful to Prof. Dr. Dr. h.c. Michael Schmidt who, as the leader of the Megacity Research Project TP. Ho Chi Minh and my first advisor, gave me the opportunity to do this doctorate within the scope of the research project. Thirdly, I would like to thank Visiting-Prof. J. Miller Stevens for his academic support and professional advice as well as for his relentless dedication that greatly contributed to the completion of this thesis. Lastly and most importantly, I would like to thank my life partner, Mike Speck, for his patience, attentive advice and caring support during the tedious phases of the writing process and for contributing to the ‘final polishing’ of this thesis.

June 2014

Table of Contents

ABSTRACT	I
PREFACE	III
TABLE OF CONTENTS	V
LIST OF FIGURES	XIX
LIST OF ABBREVIATIONS	XXIII
1 INTRODUCTION	1
1.1 Motivation of the Research	1
1.2 Research Focus: Community-Based Adaptation (CBA) in HCMC	2
1.3 Aims and Objectives of the Thesis	3
1.4 Research Questions	3
1.5 Composition and Methodological Approach	3
1.6 Outputs of this Doctoral Thesis	4
2 THEORETICAL DEPARTURES	5
2.1 Background: Ho Chi Minh City (HCMC) – A Mega-Urban Region	5
2.2 Climate Change	7
2.2.1 Climate Change and Related Terms	7
2.2.1.1 Climate Change.....	7
2.2.1.2 Climate Change Impacts	7
2.2.1.3 Hazard and Disaster.....	8
2.2.2 Climate Change Impacts	8
2.2.2.1 Impacts of Climate Change at a Global Scale	8
2.2.2.2 Impacts of Climate Change on Vietnam	10
2.2.2.2.1 Rising Temperatures.....	10
2.2.2.2.2 Sea Level Rise (SLR)	10
2.2.2.2.3 Changes in Precipitation	11
2.2.2.2.4 Flooding.....	11

2.2.2.2.5 Drought.....	12
2.2.2.2.6 Storms and Typhoons.....	12
2.2.2.2.7 Anticipated Consequences	12
2.2.2.3 Impacts of Climate Change on HCMC.....	13
2.2.2.3.1 Natural Climate Change Impacts	13
2.2.2.3.2 Urbanisation as an Aggravating Factor	13
2.2.2.3.3 The Susceptibility of Precarious Settlements	14
2.3 Adaptation to Climate Change.....	15
2.3.1 Adaptation: Relevant Terms and Definitions.....	15
2.3.1.1 Vulnerability.....	15
2.3.1.2 Adaptation to Climate Change.....	19
2.3.1.3 Resilience.....	20
2.3.2 Relationship between Vulnerability, Adaptation and Resilience.....	21
2.4 Community-Based Adaptation (CBA).....	23
2.4.1 The CBA Approach	23
2.4.2 The Evolvement of the CBA Approach.....	23
2.4.3 Stakeholders Involved in CBA.....	24
2.4.3.1 Communities	24
2.4.3.2 Supporting Actors.....	25
2.4.3.3 Policy Makers.....	28
2.4.3.4 International Actors and Support Systems.....	29
2.4.4 Examples for CBA Measures and Strategies.....	30
2.4.4.1 Differing Conditions	30
2.4.4.2 Adaptation Strategies	31
2.4.4.2.1 Examples for CBA in Rural Areas	31
2.4.4.2.2 Examples for CBA in Urban Areas.....	32
2.4.4.2.3 Examples for CBA in both, Urban and Rural Areas.....	32
2.4.5 Putting CBA into Practice: Demonstration Projects	32
2.4.5.1 The CBA Model Project in HCMC.....	33
2.4.5.1.1 Timeframe and Funding Agency	33
2.4.5.1.2 Location and Local Climate Change Impacts	33
2.4.5.1.3 Aims and Objectives	34

2.4.5.1.4 Partner Structure	35
2.4.5.1.5 Structure of the CBA Model Project	36
2.4.5.1.6 Results of the CBA Model Project	40
2.4.5.1.7 Strengths and Challenges of the CBA Approach Applied in HCMC.....	41
2.4.5.1.8 From the CBA Model Project to the CBA Transfer Project	41
2.4.5.2 The CBA Transfer Project in Da Nang.....	42
2.4.5.2.1 Timeframe and Funding Agency	42
2.4.5.2.2 Location and Local Climate Change Impacts	42
2.4.5.2.3 Aims and Objectives	43
2.4.5.2.4 Partner Structure	43
2.4.5.2.5 Implementation	45
2.4.5.2.6 First and Future Anticipated Results	46
2.4.6 Challenges of CBA.....	47
2.4.7 CBA in Theory of Planning	48
2.4.7.1 A Theoretical Approach	48
2.4.7.1.1 The ‘Linear Model’ of Strategy Development	49
2.4.7.1.2 The ‘Adaptive Model’ of Strategy Development.....	50
2.4.7.1.3 The Middle Course: The Integration of both Models.....	51
2.4.7.1.4 Amitai Etzioni’s ‘Mixed Scanning’ Concept.....	52
2.4.7.2 CBA as a ‘Mixed Scanning’ Approach	53
2.5 Planning, Management and Governance in Mega-Urban Regions	55
2.5.1 Mega-Urban Regions	55
2.5.2 Relevant Terms and Definitions	56
2.5.2.1 Public Policy.....	56
2.5.2.2 Urban Governance	57
2.5.2.3 Urban Management.....	59
2.5.2.3.1 Integrated Urban Governance.....	59
2.5.2.3.2 Multi-Level Governance	60
2.5.2.4 Urban Planning	61
2.5.3 Governance, Management and Planning of HCMC.....	62
2.5.3.1 Challenges for the Governance, Management and Planning of Mega- Urban Regions	62
2.5.3.2 Particular Challenges for HCMC.....	62

2.5.3.3	The Integration of Top-Down and Bottom-Up Planning Strategies.....	63
2.5.4	Conclusions for the Approach of CBA	64
2.5.5	The Role of ‘Participation’ and ‘Local Action’ in Urban Governance, Urban Management and Urban Planning	65
2.5.5.1	Approaching the Terms ‘Participation’ and ‘Local Action’.....	65
2.5.5.2	Demarcation of the Terms ‘Participation’ and ‘Local Action’	65
2.5.5.3	‘Participation’ and ‘Local Action’ in the Past.....	69
2.5.5.3.1	‘Community Organizing’.....	69
2.5.5.3.2	Participatory Local and Community Driven Development.....	70
2.5.5.3.3	Community Consultation in Sectoral Projects	70
2.5.5.3.4	Participatory Appraisal and Planning	71
2.5.5.3.5	Community Participation in Sectoral Programmes	71
2.5.5.3.6	Community Empowerment.....	71
2.5.5.4	Contemporary Ways of Engaging Citizens and Communities.....	72
2.5.5.5	CBA as a Community-Driven Development Approach.....	72
2.6	Synopsis.....	73
2.6.1	The Mega-Urban Region of HCMC and Climate Change	73
2.6.2	Climate Change Adaptation and CBA	73
2.6.3	CBA – A Theoretical Perspective	75
2.6.4	CBA in Urban Governance, Management and Planning.....	76
2.7	Research Questions	76
2.7.1	Research Gap.....	76
2.7.2	Research Questions.....	77
2.7.3	Research Assumptions	77
3	RESEARCH DESIGN.....	81
3.1	Overview.....	81
3.1.1	Research Gaps, Research Questions and Assumptions	82
3.1.1.1	Research Gap.....	82
3.1.1.2	Research Questions.....	82
3.1.1.3	Assumptions.....	83

3.2 The Current State of Research	84
3.2.1 Methodological Approach: Literature Review and Case Study Evaluation	84
3.2.1.1 Literature Review	84
3.2.1.2 Case Study Evaluation	85
3.2.2 Content and Selected Literature	85
3.3 Concept Development	87
3.3.1 Methodological Approach: Concept Development	88
3.3.1.1 The ‘Screening’ of Existing Concepts	90
3.3.1.2 Development of a ‘Vision’ and a ‘Set of Criteria’	91
3.3.1.3 The ‘Scoring’ of Selected Existing Concepts	92
3.3.1.4 The ‘Ranking’ of Selected Existing Concepts	93
3.3.1.5 Final Concept and Reflection	94
3.3.2 Results of the Concept Development Stage	94
3.4 Transfer to the Application Level: Vietnam	95
3.4.1 Methodological Approach: Institutional Assessment	95
3.4.2 Results of the Institutional Assessment	96
3.5 The Development of an ‘Applied CBA Governance Management Model’ for Vietnam (CBA-AGMM)	96
3.5.1 Methodological Approach: Concept Modification	96
3.5.2 Results of Concept Application	97
3.6 Discussion and Critical Reflection	98
4 CONCEPT DEVELOPMENT	99
4.1 Screening: Governance and Management Concepts relevant for CBA	99
4.1.1 Concept A: Project Cycle Management (PCM)	100
4.1.1.1 Principles of Operation	100
4.1.1.2 Stakeholder Involvement	103
4.1.2 Concept B: Capacity WORKS	103

4.1.2.1	Principles of Operation	103
4.1.2.2	Stakeholder Involvement	106
4.1.3	Concept C: The Balanced Scorecard Approach	107
4.1.3.1	Principles of Operation	107
4.1.3.2	Stakeholder Involvement	110
4.1.4	Concept D: The Management and Governance Approach of the Baan Mankong Programme	111
4.1.4.1	Principles of Operation	111
4.1.4.2	The Process - Stages	112
4.1.4.3	Stakeholder Involvement	114
4.1.4.4	Achievements of the Baan Mankong Programme	116
4.1.5	Concept E: Co-Management of Natural Resources	116
4.1.5.1	Principles of Operation	117
4.1.5.2	Concepts and Approaches Integrated into Co-Management	118
4.1.5.3	Stakeholder Involvement	119
4.1.6	Concept F: Asian Coalition for Community Action (ACCA)	119
4.1.6.1	Principles of Operation	120
4.1.6.1.1	City-Level Approach	120
4.1.6.1.2	Collective and Community-Driven Processes	120
4.1.6.1.3	Horizontal and Vertical Cooperation	121
4.1.6.1.4	Learning Processes at all Levels	121
4.1.6.1.5	Simple Funding Mechanism	121
4.1.6.2	Stakeholder Involvement	123
4.1.6.3	Achievements of the ACCA Programme	124
4.2	Scoring and Ranking: Evaluation of the Transferability of Existing Governance and Management Concepts to CBA	125
4.2.1	'Vision'	125
4.2.2	The Conception of the 'Set of Criteria'	126
4.2.2.1	Criterion 1: Multi-Level Decision-Making	127
4.2.2.2	Criterion 2: Multi-Level Governance	128
4.2.2.3	Criterion 3: Multi-Level Learning & Capacity Building	128
4.2.2.4	Criterion 4: Community-Based Funding	129
4.2.2.5	Criterion 5: Replication & Up-Scaling	129

4.2.2.6	Criterion 6: Multi-Level Assessments.....	130
4.2.2.7	Criterion 7: Multi-Level Strategy or Plan Development	130
4.2.2.8	Criterion 8: Community-Managed Implementation.....	131
4.2.2.9	Criterion 9: Multi-Level Monitoring and Evaluation.....	131
4.2.3	Scoring and Ranking: Evaluation of Governance and Management	
	Concepts according to the ‘Set of Criteria’	131
4.2.3.1	Criterion 1: Multi-Level Decision-Making	132
	4.2.3.1.1 Scoring	132
	4.2.3.1.2 Ranking	133
4.2.3.2	Criterion 2: Multi-Level Governance	134
	4.2.3.2.1 Scoring	134
	4.2.3.2.2 Ranking	136
4.2.3.3	Criterion 3: Multi-Level Learning & Capacity Building	137
	4.2.3.3.1 Scoring	137
	4.2.3.3.2 Ranking	138
4.2.3.4	Criterion 4: Community-Based Funding.....	139
	4.2.3.4.1 Scoring	139
	4.2.3.4.2 Ranking	140
4.2.3.5	Criterion 5: Replication & Up-Scaling.....	141
	4.2.3.5.1 Scoring	141
	4.2.3.5.2 Ranking	142
4.2.3.6	Criterion 6: Multi-Level Assessments.....	143
	4.2.3.6.1 Scoring	143
	4.2.3.6.2 Ranking	144
4.2.3.7	Criterion 7: Multi-Level Strategy or Plan Development	145
	4.2.3.7.1 Scoring	145
	4.2.3.7.2 Ranking	146
4.2.3.8	Criterion 8: Community-Managed Implementation.....	147
	4.2.3.8.1 Scoring	147
	4.2.3.8.2 Ranking	148
4.2.3.9	Criterion 9: Multi-Level Monitoring and Evaluation.....	149
	4.2.3.9.1 Scoring	149
	4.2.3.9.2 Ranking	150
4.2.4	Summary and Conclusion	150

4.3 Concept Development	152
4.3.1 Contributions of the Different Concepts	152
4.3.1.1 Criterion 1: Multi-Level Decision-Making	152
4.3.1.2 Criterion 2: Multi-Level Governance	153
4.3.1.3 Criterion 3: Multi-Level Learning & Capacity Building	155
4.3.1.4 Criterion 4: Community-Based Funding	156
4.3.1.5 Criterion 5: Replication & Up-Scaling	157
4.3.1.6 Criterion 6: Multi-Level Assessments	159
4.3.1.7 Criterion 7: Multi-Level Strategy or Plan Development	160
4.3.1.8 Criterion 8: Community-Managed Implementation	161
4.3.1.9 Criterion 9: Multi-level Monitoring and Evaluation	162
4.3.2 Synopsis	163
4.4 Result 1: Concept for the CBA-GMM	164
4.4.1 Objectives	165
4.4.2 Policy Instrument	166
4.4.2.1 National Programme	166
4.4.2.2 Pro-Poor Funding Mechanism	167
4.4.2.2.1 Allocation of Funds from the National Level	168
4.4.2.2.2 Savings Activities at the Community-Level	168
4.4.2.2.3 Collective Fund at the 'Zone' or District Level	169
4.4.3 Governance Approach	171
4.4.3.1 Decision-Making	171
4.4.3.2 The Integration of Top-Down and Bottom-Up Approaches	172
4.4.3.3 Roles and Responsibilities of Stakeholders	174
4.4.3.3.1 National Level	174
4.4.3.3.2 City Level	176
4.4.3.3.3 'Zone' or District Level	180
4.4.3.3.4 Community Level	182
4.4.4 Management Approach	183
4.4.4.1 Stages in Programme Set-Up	183
4.4.4.1.1 Assessment Stage (1 st year)	184
4.4.4.1.2 Pilot Stage (2 nd – 3 rd year)	184
4.4.4.1.3 Programming Stage (4 th year)	185

4.4.4.2	Programme Management - Project Cycle Management (PCM)	187
4.4.4.2.1	1 st Multi-Level Project Cycle: Initiation of Pilot-Projects	187
4.4.4.2.2	2 nd Multi-Level Project Cycle: Out-Scaling of Pilot Projects	188
4.4.4.2.3	3 rd Multi-Level Project Cycle: Programming Stage	189
4.4.4.3	Replication, Out-scaling and Up-scaling	192
4.4.4.4	Dissemination, Learning and Capacity Building	192
4.4.4.4.1	Dissemination	192
4.4.4.4.2	Learning & Capacity Building	193
4.5	Reflection.....	194
4.5.1	Meeting the Criteria set for the CBA-GMM	194
4.5.2	Alternative Options	195
4.5.3	The CBA-GMM as a Flexible Concept.....	195
5	INSTITUTIONAL ASSESSMENT	197
5.1	The Political and Administrative System of Vietnam.....	197
5.1.1	The Constitution of the Socialist Republic of Vietnam.....	197
5.1.2	The National Assembly	198
5.1.3	The President and the Vice-President	198
5.1.4	The Government	198
5.1.5	Judicial Bodies	199
5.1.6	Administration, People’s Councils and People’s Committees	199
5.1.7	The Communist Party, the National Congress and the Politburo	201
5.2	Public Management and Administration.....	203
5.2.1	Doi Moi – The Policy of Renovation.....	203
5.2.2	Public Management Approach	203
5.2.3	Public Administration Reform	204
5.3	The Role of Civil Society	204
5.3.1	The Concept of ‘Civil Society’ in the Vietnamese Context	204
5.3.2	The Historical Development of ‘Civil Society’ in Vietnam.....	205
5.3.3	Civil Society Organisations (CSOs) Active in Vietnam.....	206

5.3.3.1	Mass Organisations (MOs).....	206
5.3.3.2	Non-Governmental Organisations (NGOs)	207
5.3.3.3	Semi-Governmental Organisations.....	207
5.3.3.4	Community-Based Organisations (CBOs)	208
5.3.4	Challenges for the Development of Civil Society in Vietnam.....	208
5.4	Urban Governance and Planning in Vietnam	208
5.4.1	Levels of Urban Planning and Development.....	208
5.4.2	The Budget of Provinces and Local Public Investment.....	210
5.4.3	Integration of Climate Change Issues into Urban and Spatial Planning	211
5.5	Public Participation and Community Action in Vietnam	212
5.5.1	The Tradition of Public Participation and Grassroots Democracy	212
5.5.2	Participatory Planning Approaches Currently Implemented in Vietnam	214
5.6	Strategies and Policies to Address Climate Change	215
5.6.1	The Viet Nam National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020	215
5.6.2	Community-Based Disaster Risk Management in Vietnam (CBDRM)	216
5.6.3	National Target Program to Respond to Climate Change (NTPRCC).....	216
5.6.4	Action Plan Framework on Climate Change Adaptation and Mitigation of the Agriculture and Rural Development Sector.....	218
5.6.5	Climate Change Related Plans and Policies Relevant for HCMC.....	218
5.7	Institutions Concerned with Climate Change Issues.....	219
5.7.1	Government Institutions at the National Level	219
5.7.1.1	MARD and MoNRE	219
5.7.1.2	Other Ministries Relevant for Climate Change Issues.....	219
5.7.1.3	Relevant Institutes and Departments Established under Ministries.....	220
5.7.2	Civil Society Organisations (CSOs), Coordinating Organisations and Networks.....	222
5.7.2.1	Coordinating Organisations and Networks.....	222
5.7.2.2	Mass Organisations (MOs) of the CPV.....	223
5.7.2.3	VNGOs & INGOs.....	223
5.7.3	International Organisations, Donors and Development Banks.....	224

5.7.4	Governmental Institutions at the Provincial and Municipal Level: HCMC	226
5.7.4.1	HCMC PC (People’s Committee of HCMC)	226
5.7.4.2	HCMC Departments Relevant for Climate Change Response	226
5.7.4.3	Advisory Committees and Research Institutions	227
5.8	Climate Change Related Activities in Vietnam	227
5.9	Strengths, Constraints and Shortcomings	228
5.9.1	Policies that Support Climate Change Adaptation and Mitigation	228
5.9.2	Limited Degree of Awareness on Climate Change	229
5.9.3	Overlapping Responsibilities and Lack of Cross-Sector Cooperation	229
5.9.4	Low Capacity of Government Agencies and Administrations	230
5.9.5	Lack of Financial Means	230
5.9.6	Lack of Donor Harmonisation	230
5.9.7	Strong Top-Down Organisation of Decision-Making and Planning	230
5.9.8	Limited Independence of Civil Society	231
5.9.9	Lack of Community Information and Empowerment	231
6	CONCEPT APPLICATION	233
6.1	Conditions and Challenges	233
6.1.1	Policies that Support Climate Change Adaptation and Mitigation	233
6.1.2	Limited Degree of Awareness on Climate Change	233
6.1.3	Overlapping Responsibilities and Lack of Cross-Sector Cooperation	234
6.1.4	Low Capacity of Government Agencies and Administrations	234
6.1.5	Lack of Financial Means	234
6.1.6	Lack of Donor Harmonisation	235
6.1.7	Strong Top-Down Organisation of Decision-Making and Planning	235
6.1.8	Limited Independence of Civil Society	236
6.1.9	Lack of Community Information and Empowerment	236
6.2	Result 2: Concept for the CBA-AGMM	236
6.2.1	Objectives	237
6.2.2	Policy Instrument	238
6.2.2.1	Integration into the NTPRCC	238

6.2.2.2 Pro-Poor Funding Mechanism	239
6.2.2.2.1 Allocation of Funds for CBA	239
6.2.2.2.2 Community-Savings and Revolving Funds	241
6.2.3 Governance Approach	241
6.2.3.1 Decision-Making	241
6.2.3.2 The Integration of Top-Down and Bottom-Up Approaches in Vietnam	242
6.2.3.3 Roles and Responsibilities of Stakeholders	245
6.2.3.3.1 National Level	245
6.2.3.3.2 City Level	246
6.2.3.3.3 The Level of the 'Zone' or District, Town or Provincial City	249
6.2.3.3.4 Community Level	251
6.2.4 Management Approach	252
6.2.4.1 Scenario 1: Initiation by Decision-Makers	252
6.2.4.1.1 Preparatory Stage: Political Preconditions	255
6.2.4.1.2 CBA Pilot Stage: Initiation	255
6.2.4.1.3 CBA Pilot Stage: Out-Scaling at City-Level	255
6.2.4.1.4 Consolidation Stage: Out-Scaling at the National Level	255
6.2.4.2 Scenario 2: Initiation by Civil Society	256
6.2.4.2.1 Pilot Project Stage: Initiation	256
6.2.4.2.2 Pilot Project Stage: Out-Scaling and Formalisation	257
6.2.4.2.3 Integration Stage: Up-Scaling to the City Level	257
6.2.4.3 Project Cycle Management (PCM)	258
6.2.4.3.1 Initiation Phases	258
6.2.4.3.2 Multi-Level Project Cycles	263
6.2.4.4 Replication, Out-Scaling and Up-Scaling	264
6.2.4.5 Dissemination, Learning and Capacity Building	264
7 DISCUSSION	267
7.1 Review of the Research Question and Assumptions	267
7.1.1 Research Questions	267
7.1.2 Assumptions	268
7.2 Review of Research Results	268

7.2.1 Results Gained from ‘Literature Review’.....	268
7.2.1.1 Climate Change and Climate Change Adaptation.....	268
7.2.1.1.1 HCMC and Climate Change.....	268
7.2.1.1.2 Climate Change Adaptation	269
7.2.1.1.3 Community-Based Adaptation	269
7.2.1.1.4 Urban Governance, Planning and Management	270
7.2.2 Results Gained from ‘Concept Development’: The CBA-GMM and the CBA-AGMM and their Relevance for the Discourse on CBA.....	271
7.2.3 Comparison of the two Models	271
7.2.4 Limitations of the Research Results	273
7.3 Review of the Research Methodology.....	273
7.3.1 Literature Review	274
7.3.2 Case Study Evaluation	274
7.3.3 Institutional Assessment.....	275
7.3.4 Concept Development.....	275
7.3.4.1 ‘Vision’ and ‘Set of Criteria’	276
7.3.4.2 ‘Screening’, ‘Scoring’ and ‘Ranking’.....	276
7.3.4.3 ‘Concept Development’ and ‘Concept Application’	277
7.4 Outlook: Open Questions and Further Fields of Research	277
8 CONCLUSION.....	279
8.1 The Enablement and Management of CBA in Urban Areas.....	279
8.1.1 The Management, Out-Scaling and Coordination of CBA at the Local Level	281
8.1.2 The Up-Scaling of the CBA Approach	282
8.1.3 The Application of the CBA-GMM to the Context of Vietnam.....	284
8.2 Remaining Challenges and Constraints	285
LIST OF REFERENCES	287

ANNEXE I: The Application of Participatory Planning Approaches in Contemporary Vietnam

ANNEXE II: Climate Change Related Activities in Vietnam

List of Figures

- Fig. 2-1: HCMC as an Emerging Mega-City5
- Fig. 2-2: Waterside Settlement, District 8, HCMC.....7
- Fig. 2-3: Climate Change Impacts on Vietnam I 10
- Fig. 2-4: Climate Change Impacts on Vietnam II 11
- Fig. 2-5: HCMC Flooding Scenario for 2050..... 14
- Fig. 2-6: Relationship between Vulnerability, Adaptation and Resilience.....22
- Fig. 2-7: The Different Levels that Affect CBA.....27
- Fig. 2-8: The Interaction of Different Levels that Affect CBA.....29
- Fig. 2-9: Location of the CBA Model Project in HCMC34
- Fig. 2-10: District 4 with Ward 8 at its Centre34
- Fig. 2-11: Mapping Exercise & Focus Group Discussions35
- Fig. 2-12: Popular Science Materials for Awareness-Raising37
- Fig. 2-13: Popular Science Materials: Problem Tree Tool & Flood Map.....38
- Fig. 2-14: Popular Science Materials: Low-Tech Adaptation Measures39
- Fig. 2-15: Location of the CBA Replication Project in Da Nang City43
- Fig. 2-16: Impressions of Ward Hoa Hiep Bac, Da Nang City.....44
- Fig. 2-17: Response Measures Applied prior to the CBA Transfer Project45
- Fig. 2-18: Experience-Based Assessments and Mapping Activities.....47
- Fig. 2-19: Linear Cycle of a Strategic Planning Process.....50
- Fig. 2-20: ‘Linear’ Versus ‘Adaptive’ Strategy Development50
- Fig. 2-21: Etzioni’s ‘Mixed Scanning’ Concept.....52
- Fig. 2-22: CBA as a ‘Mixed Scanning’ Concept.....53
- Fig. 2-23: Guidance of ‘Emerging Strategies’54
- Fig. 2-24: Greater HCMC Region with Neighbouring Provinces56
- Fig. 2-25: Large-Scale Projects in the Peri-Urban Area of HCMC56
- Fig. 2-26: ‘A Ladder of Citizen Participation’ and ‘A Ladder of Community Participation’67

Fig. 3-1: Methodological Approach.....	81
Fig. 3-2: Derivation of Research Questions.....	84
Fig. 3-3: Themes Discussed in the Chapter ‘Theoretical Departures’	85
Fig. 3-4: Approach to the Central Theme	87
Fig. 3-5: Concept Development.....	88
Fig. 3-6: ‘Set of Criteria’ as a Basis for the ‘Screening’ Process	92
Fig. 3-7: Results of the ‘Scoring’ Stage	93
Fig. 3-8: Results of the ‘Ranking’ Stage	94
Fig. 3-9: Institutional Assessment.....	96
Fig. 3-10: Concept Application	97
Fig. 3-11: Discussion of Results.....	98
Fig. 4-1: Project Cycle.....	101
Fig. 4-2: The LF Matrix.....	102
Fig. 4-3: The Capacity WORKS Cycle.....	104
Fig. 4-4: Strategic Loop.....	105
Fig. 4-5: Linking Vision and Strategy to the four Perspectives.....	108
Fig. 4-6: Managing the Strategy	109
Fig. 4-7: Creation of Individual Housing Solutions	113
Fig. 4-8: The Baan Mankong Mechanism.....	115
Fig. 4-9: Concepts, Approaches and Values in Co-Management Processes.....	118
Fig. 4-10: The ACCA Programme as a Linking Mechanism.....	122
Fig. 4-11: Selected Governance and Management Concepts under the Spotlight.....	132
Fig. 4-12: Ranking: Multi-Level Decision-Making.....	134
Fig. 4-13: Ranking: Multi-Level Governance.....	136
Fig. 4-14: Ranking: Multi-Level Learning & Capacity Building	139
Fig. 4-15: Ranking: Community-Based Funding	141
Fig. 4-16: Ranking: Replication & Up-Scaling.....	143
Fig. 4-17: Ranking: Multi-Level Assessments.....	145
Fig. 4-18: Ranking: Multi-Level Strategy or Plan Development.....	147

Fig. 4-19: Ranking: Community-Managed Implementation	148
Fig. 4-20: Ranking: Multi-Level Monitoring & Evaluation	150
Fig. 4-21: Concept Development: Multi-Level Decision-Making.....	153
Fig. 4-22: Concept Development: Multi-Level Governance.....	155
Fig. 4-23: Concept Development: Multi-Level Learning & Capacity Building	156
Fig. 4-24: Concept Development: Community-Based Funding	157
Fig. 4-25: Concept Development: Replication & Up-Scaling.....	158
Fig. 4-26: Concept Development: Multi-Level Assessments.....	159
Fig. 4-27: Concept Development: Multi-Level Strategy or Plan Development.....	161
Fig. 4-28: Concept Development: Community-Managed Implementation	162
Fig. 4-29: Concept Development: Multi-Level Monitoring & Evaluation.....	163
Fig. 4-30: Composition of the CBA Governance Management Model.....	165
Fig. 4-31: Establishment of Collective Funds.....	170
Fig. 4-32: Decision-Making Levels	172
Fig. 4-33: Top-Down Organisation within the CBA-GMM Governance Approach	173
Fig. 4-34: Bottom-Up Organisation within the CBA-GMM Governance Approach.....	174
Fig. 4-35: Tasks at the National Level	175
Fig. 4-36: Identification of Affected Communities with Limited Resources to Respond	177
Fig. 4-37: Tasks at the City Level	179
Fig. 4-38: Tasks at the 'Zone' or District Level.....	181
Fig. 4-39: Tasks at the Community Level	183
Fig. 4-40: Stages of Programme Development.....	186
Fig. 4-41: Interplay of Processes at Different Levels	191
Fig. 5-1: Administrative Sub-Divisions of Provinces and Centrally-Controlled Cities.....	199
Fig. 5-2: The Hierarchical Structure of the Vietnamese Political System	202
Fig. 6-1: Composition of the Applied CBA Governance Management Model.....	237
Fig. 6-2: Top-Down Organisation within the CBA-AGMM Governance Approach.....	243
Fig. 6-3: Bottom-Up Organisation within the CBA-AGMM Governance Approach	244
Fig. 6-4: Tasks at the National Level (CBA-AGMM)	246

Fig. 6-5: Tasks at the City or Province Level (CBA-AGMM)248

Fig. 6-6: Tasks at the 'Zone' or District Level (CBA-AGMM).....250

Fig. 6-7: Tasks at the Community Level (CBA-AGMM)252

Fig. 6-8: Integration of CBA into NTPRCC as an Initiative of State Actors.....254

Fig. 6-9: Initiation of CBA Activities as an Initiative of Civil Society Actors.....256

Fig. 6-10: Project Cycle Management under the First Scenario.....260

Fig. 6-11: Project Cycle Management under Second Scenario262

List of Abbreviations

ACCA	Asian Coalition for Community Action
ACCCRN	Asian Cities Climate Change Resilience Network
ACHR	Asian Coalition for Housing Rights
ACVN	Association of Cities of Vietnam
ADB	Asian Development Bank
AusAID	Australian Agency for International Development
BMBF	German Federal Ministry of Education and Research
BMZ	German Federal Ministry for Economic Cooperation and Development
BSC	Balanced Scorecard
BTU	Brandenburg University of Technology Cottbus
BTU-CS	Brandenburg University of Technology Cottbus–Senftenberg
CBA	Community-Based Adaptation
CBA-AGMM	Applied CBA Governance Management Model for Vietnam
CBA-GMM	CBA Governance Management Model
CBD	Community-Based Development
CBDRM	Community-Based Disaster Risk Management
CBO	Community-Based Organisation
CCCO	Climate Change Coordination Office
CCWG	Climate Change Working Group
CDD	Community-Driven Development
CDF	Community Development Fund
CDM	Clean Development Mechanism
CODI	Community Organizations Development Institute
COMINGO	Committee for Foreign NGO Affairs
CoP	Conference of Parties
CPRGS	Comprehensive Poverty Reduction and Growth Strategy
CPV	Communist Party of Vietnam
CSO	Civil Society Organisation
CtC	Challenge to Change
DANIDA	Ministry of Foreign Affairs of Denmark

DARD	Department for Agriculture and Rural Development
DFID	Department for International Development
DMWG	Disaster Management Working Group
DNA	Designated National Authority
DNAA	Da Nang Architects' Association
DoC	Department of Construction
DoNRE	Department of Natural Resources and Environment
DPA	Department of Architecture
DPI	Department of Planning and Investment
DUPs	Detailed Urban Plans
ECUD	Environmentally and Climate-Friendly Urban Development in Da Nang
ENDA	Environment and Development in Action
EU	European Union
GEF	Global Environment Facility
GHG	Greenhouse Gases
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GOPP	Goal-Oriented (or Objectives-Oriented) Project Planning
GoV	Government of Vietnam
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit
HCMC	Ho Chi Minh City
HIDS	HCMC Institute for Development Studies
ICD	International Cooperation Department
IMHEN	Institute of Meteorology, Hydrology and Environment
INGO	International Non-Governmental Organisation
IPCC	Intergovernmental Panel on Climate Change
ISSET	Institute for Social and Environmental Transition
ISGE	International Support Group on Environment Office
ISPONRE	Institute of Policy and Strategy on Natural Resources and Environment
IST	Institute of Science and Technology
JICA	Japan International Cooperation Agency
LAT	Local Action Team
LCDD	Local and Community-Driven Development

LECZ	Low-Elevation Coastal Zone
LF	Logical Framework
LFA	Logical Framework Approach
LNGO	Local Non-Governmental Organisation
LSP	Local Strategic Partnership
MARD	Ministry of Agriculture and Rural Development
MoC	Ministry of Construction
MoCST	Ministry of Culture, Sports and Tourism
MoF	Ministry of Finance
MoFA	Ministry of Foreign Affairs
MoIT	Ministry of Industry and Trade
MoLISA	Ministry of Labour, Invalids and Social Affairs
MoNRE	Ministry of Natural Resources and Environment
MoST	Ministry of Science and Technology
MPI	Ministry of Planning and Investment
NGO	Non-Governmental Organisation
NISTPASS	National Institute for Science and Technology Policy and Strategy Studies
NTPRCC	National Target Program to Respond to Climate Change
ODA	Official Development Assistance
PACCOM	The People's Aid Co-ordinating Committee
PAR	Public Administration Reform
PC	People's Committee
PCM	Project Cycle Management
PLA	Participatory Learning and Action
PPP	Public-Private Partnership
PSPP	Public Social Private Partnership
PRA	Participatory Rapid Appraisal
RMP	Regional Master Plan
RRA	Rapid Rural Appraisal
SEDP	Socio-Economic Development Plan
SLR	Sea Level Rise
SIDA	Swedish International Development Cooperation Agency

TP	Thành phố (Vietnamese: City)
UCDO	Urban Community Development Office
UHI	Urban Heat Island Effect
UK	United Kingdom of Great Britain and Northern Island
UMPs	General Urban Master Plans
UN	United Nations
UNDP	United Nations Development Program
UNFCCC	United Nations Framework Convention on Climate Change
UNIDO	United Nations Industrial Development Organization
UN-REDD	UN Reducing Emissions from Deforestation and Forest Degradation
US	United States of America
USAid	U.S. Agency for International Development
VAT	Value-added Tax
VFF	Vietnam Fatherland Front
VNCSCC	Vietnam Network of Civil Society Organizations and Climate Change
VND	Vietnam Dong (Vietnamese currency)
VNGO	Vietnamese Non-Governmental Organisation
VUDA	Vietnam Urban Development Agency
VUFO	Vietnam Union of Friendship Organisations
WB	World Bank
WU	Women Union

1 Introduction

1.1 Motivation of the Research

Climate change and its consequences will pose a serious threat to physical, human and economic systems as well as to eco-systems (Tompkins & Adger 2004:10ff.). Consequently, climate change adaptation, mitigation and disaster risk reduction have become main priorities to safeguard future development that requires immediate forward-looking action (OECD 2008:1ff., Gardiner & Hartzell-Nichols 2012:5ff., Stern 2010:39ff., Mansanet-Bataller 2010:4ff).

While climate change will affect continents, countries and regions with different intensities, governments, societies, societal groups and individuals have different capacities and resources to respond (IPCC 2007a:45ff. & 2007b:12ff., IPCC 2012:4ff., De Melo & Mathys 2010:3, Smit & Pilifosova 2001:893, Adger et al. 2007:727). Research has proven that poor communities living in urban areas of developing countries, especially in megacities, are and will be most vulnerable to climate change impacts, as – due to economic pressures - they are forced to live in disaster-prone areas on the one hand, and as they often lack adequate means and resources to respond on the other (Baker 2012:27). For these communities the strengthening of their own capacity to cope with and adapt to local climate change impacts is an essential step towards building safe living environments and resilient livelihoods.

While policies and long-term adaptation plans are mainly developed in a top-down manner at the national or conurbation level, the implementation of adaptation plans and projects as well as immediate response activities are mainly undertaken at the local level (Agrawal 2008:8). While these so-called bottom-up and people-centred approaches significantly contribute to climate-adapted and resilient cities (Tanner et al. 2009:19ff.), their effectiveness and success is highly dependent on an enabling environment as well as on institutions and development partners that provide guidance.

Community-Based Adaptation (CBA) is one of these bottom-up approaches that have emerged during the past years. CBA enables vulnerable communities to develop sustainable adaptation strategies and to address local development issues based on their own capacities and resources as well as on their cultural norms and traditions (IIED 2009:1, Baas & Ramasamy 2007:31ff., CARE International 2010:2ff.). CBA is a very current topic in many develop-

ing countries today. Nevertheless, while the number of successful CBA model projects constantly grows, the integration of CBA and local adaptive capacity into top-down adaptation strategies and national policies is still a challenge (Ayers 2011a:840 in Regmi 2012:3).

1.2 Research Focus: Community-Based Adaptation (CBA) in HCMC

The research focus of this doctoral thesis originates from the research done within the scope of the Megacity Research Project TP. Ho Chi Minh. HCMC, as will be further amplified in the next chapters, is already affected by climate change impacts, which are likely to intensify in the future. Due to its location in the low-elevation coastal zone (LECZ) in close proximity to the estuary of the Saigon River, HCMC has been ranked amongst the top five cities endangered by coastal flooding in 2070 (Storch & Downes 2011:517). Moreover, rising temperatures within the city's urban area are already perceptible today (MoNRE 2009:4ff.). It is certain that rapid urbanisation processes and uncontrolled growth, as non-climatic drivers, have contributed to tidal flooding and thermal stress (Storch & Downes 2011:519).

Consequently, in order respond to the current and future challenges posed by climate change, adaptation and disaster risk reduction strategies must be developed for HCMC and eventually be put into practice. The research approach of the Megacity Research Project TP. Ho Chi Minh was based on the hypothesis that adaptation to climate change has to be tackled at all spatial levels, as a combination of hard and soft adaptation measures, and as an integrated approach linking top-down and bottom-up approaches (Schwartz et al. 2011:342). The main aim of the research work undertaken within the Work Package 'Liveable City HCMC - Urban Regeneration and Community-Based Adaptation' was to shed light on the applicability of CBA as a bottom-up approach to climate change adaptation.

The research work revealed a number of strengths and limitations of CBA as a bottom-up approach. The major strengths of CBA are that communities are in full control of the entire process and that measures and strategies developed within the process are tailored to their actual risk exposure as well as to their priorities, local resources and capacities. However, it has to be remarked that communities develop their own strategies, measures and plans to respond to environmental, economic or climate change, even without a stimulus provided by outsiders; however, they may significantly benefit from external support and facilitation (Reid et al. 2009:9ff., Brooks & Adger 2005:168, Reid et al. 2010:5, Firowz Ahmad 2010:1). Two fundamental limitations of the CBA approach are that the measures and strategies devel-

oped and implemented are limited in scale and scope and that these small-scale activities can be easily disturbed and nullified by larger-scale projects and planning decisions as well as by neighbouring CBA activities.

These research results prove that CBA activities cannot substitute, but complement integrated, multi-level and cross-sector adaptation efforts. Consequently, CBA as a bottom-up approach needs to be linked to top-down planning and adaptation strategies on the one hand, and coordinated at the local level on the other.

1.3 Aims and Objectives of the Thesis

The main aim of this thesis is to contribute to the current discourse on climate change adaptation and to bridging the gap between local small-scale bottom-up activities that are limited in scale and scope and top-down large-scale strategies, plans and projects. Thus, the main objective of this thesis is to elaborate a practicable concept for the enablement of CBA activities at the community level and for linking local adaptive capacity to the policy level, to programmes, plans and projects that are developed top-down.

1.4 Research Questions

The main - but abstract - research question is how CBA could be enabled and managed as a bottom-up approach. As this main question is rather broad, it is further specified by sub-questions: The 1st sub-question attends to the management, 'out-scaling' and coordination of CBA activities at the local level. The 2nd sub-question asks for a strategy to facilitate 'up-scaling' of successful local-level initiatives and the linking to higher-level policies and plans. After the elaboration of a theoretical solution, which will be a 'CBA Governance Management Model' (CBA-GMM) as a first result, the 3rd sub-question then raises the question how local-level coordination, replication, 'out-scaling' and 'up-scaling' can be put into practice in the particular context of Vietnam.

1.5 Composition and Methodological Approach

This thesis is structured into eight chapters. Following the 1st chapter, which provides an introduction and an overview about the thesis, the 2nd chapter focuses on the elaboration of the

current state of research, on the identification of research gaps and on the formulation of relevant research questions and assumptions. The central theme of this dissertation, the bottom-up approach of CBA, is integrated into the fields of climate change and adaptation, urban governance and management as a cross-sector theme. In the 3rd chapter, a research methodology is elaborated. Due to main aim of this thesis, namely to develop a concept for the enablement and management of CBA as a local-level approach, the methodological set-up involves a methodology for 'concept development', besides other methodologies, such as 'literature review' and 'case study evaluation'. The concept developed in the following 4th chapter is a theoretical 'CBA Governance Management Model' (CBA-GMM), developed for an ideal supportive political context.

However, in order to test the transferability of this model to the real context of Vietnam and HCMC, an 'institutional assessment' is undertaken in the 5th chapter; the 'institutional assessment' reveals the existing conditions as well as particular challenges and institutional barriers for the enablement of CBA. Based on the results of this 'institutional assessment', an 'Applied CBA Governance Management Model' for Vietnam (CBA-AGMM) is developed in the 6th chapter. The development of the CBA-GMM and CBA-AGMM is followed by a discussion in the 7th chapter, where the relevance of the research results is critically reflected. The 8th chapter provides a summary of conclusions.

1.6 Outputs of this Doctoral Thesis

The first main output of this doctoral thesis is a theoretical model to govern and manage CBA as a government-led initiative. This 'CBA Governance Management Model' (CBA-GMM) reflects ideal conditions for the enablement and support of CBA and is meant to be a rather general guideline. Based on the results of an in-depth 'institutional assessment', the theoretical CBA-GMM has been adapted to the context of Vietnam and modified into the 'Applied CBA Governance Management Model' for Vietnam (CBA-AGMM). The CBA-AGMM outlines ways to enable CBA as a bottom-up approach in a political context where genuine people's participation and community-driven development approaches are still regarded with scepticism, and to integrate local adaptive capacity into top-down oriented and hierarchical planning procedures.

2 Theoretical Departures

2.1 Background: Ho Chi Minh City (HCMC) – A Mega-Urban Region

HCMC is the largest city of Vietnam. Since Doi Moi, the government's policy of renovation and liberation, started in the late 1980s, HCMC has become a main pole of economic activity in South East Asia (Bolay et al. 1997:185ff.).



Fig. 2-1: HCMC as an Emerging Mega-City
(Photos: Schinkel 2010, 2012)

HCMC is located in the south of Vietnam, at the banks of the Sai Gon River; it is situated north of the Mekong Delta, about 80 km away from the South China Sea. HCMC has become a magnet for large numbers of rural migrants seeking employment and an improved standard of living (Le Van Thanh 2002:4). Current population projections suggest that the population of HCMC will exceed 10 million by 2020 (Ho Ba Tham 2009:1). However, the recent demographic development has been accompanied by a strong and partly uncontrolled urbanisation process (cf. Fig. 2-1), which has imposed enormous pressure on urban environmental conditions, the urban infrastructure and liveability as well as on the population's mobility and health (MoNRE 2008a). Together with the surrounding provinces, HCMC has evolved into a mega-urban region.

HCMC, the former Sai Gon, looks back on about 300 years of settlement history. Before the French invaded the southern part of the country in 1859, the main development actors were Vietnamese and Chinese population groups (CEFURDS & VeT 2011:4ff.). From 1859 to 1945, Sai Gon was developed under colonial rule of the French; urban planning interventions

created a clear urban structure that is still visible today. Until 1945, the city had a population size of only 400,000 people (ibid.).

Following anti-colonial struggle, Sai Gon became the capital of Vietnam between 1954 and 1975. Industrialisation activities initiated urban development in some regions in the 1960s and 1970s; however, the American War¹ put a stop to it. The war led to great migrant influx that resulted in large informal and underserviced settlements. In the post-war period, from 1975 to 1993, urban population growth decreased, as residents were relocated to New Economic Zones established in rural areas. During that time, urban planning and related projects remained on stand-by. (ibid.)

However, with the transition from a central planning towards a market economy, evolving regional disparities and the removal of regulations that constrained the development of the private sector and rural-urban migration, HCMC, as Sai Gon was named after the American War, experienced a rapid urbanisation process from 1994 onwards (GSO 2011:22, CE-FURDS & VeT 2011:6ff.). In 2011, HCMC had a population figure of officially 7.5 million (GSO Vietnam 2013). Urbanisation has caused the diversification of occupations and the transformation of rural to urban lifestyles, while both traditional and modern culture values have become coexistent (Le Van Thanh 2007:9ff., Ho Ba Tham 2009:2).

Due to the continuing urban growth trend of the past decades, HCMC is threatened with the rather obvious challenges of land-use changes and consequently, increased land coverage, waste production and increased traffic volumes (Schmidt et al. 2012:180ff.). Climate change and its impacts, such as rising surface temperatures, SLR and changes of precipitation patterns, pose additional challenges to the city, its infrastructures as well as to citizens and their livelihoods alike. Despite already perceptible climate change impacts, the current urban planning strategy does not particularly address climate change adaptation and mitigation. On the contrary; in order to meet the growing demand, residential as well as commercial areas are developed in low-lying and flood prone areas that have formerly served as retention and infiltration areas (Schwartz & Schinkel 2013:92ff.). The challenges posed by climate change are overlaid with significant income disparities; low-income communities and migrants without legal resident status settle in unattractive, low-lying areas that are prone to flooding (Wust et al. 2002:212ff.). These population groups are particularly vulnerable to climate change impacts such as flooding and related day-to-day challenges. (cf. Fig. 2-2)

¹ In Vietnam, the 'Vietnam War' is referred to as 'American War'.



Fig. 2-2: Waterside Settlement, District 8, HCMC
(Photo: Schinkel 2008)

2.2 Climate Change

2.2.1 Climate Change and Related Terms

2.2.1.1 Climate Change

‘Climate change’, as defined by the Intergovernmental Panel on Climate Change (IPCC), is a “change in the state of the climate that can be identified by changes in the mean and/ or the variability of its properties, and that persists for an extended period, typically decades or longer” (IPCC 2007a:30). These changes may be caused by natural variability or occur as a result of human activity. The definition of the United Nations Framework Convention on Climate Change (UNFCCC) differs from that of IPCC. According to UNFCCC, climate change is solely related to human activities as ‘drivers of climate change’ that produce greenhouse gases and thus, cause changes in solar radiation and in the energy balance of the Earth’s climate system. A number of ‘drivers of climate change’ is directly or indirectly related to urban development, such as fossil fuel use and land-use change (ibid.:30, 44, IPCC 2007b:2ff).

2.2.1.2 Climate Change Impacts

‘Climate change impacts’ are a term to describe “the effects of climate change on natural and human systems” (IPCC 2007c:876). In this dissertation, the term ‘climate change impact’

summarises both unexpected singular events and gradual changes in the climate system, which affect human, urban or eco-systems. However, while current and past 'climate change impacts' can be traced retrospectively, there is a certain level of 'uncertainty' regarding future impacts of climate change (IPCC 2001b:797).

2.2.1.3 Hazard and Disaster

Literature suggests a differentiation of 'hazards' into different categories. Authors such as Ensor and Berger (2009a:13) divide 'hazards' into 'discrete recurrent hazards', such as storms, droughts and flooding caused by heavy rainfall events, 'continuous hazards', such as increasing temperatures or changes in precipitation, and 'discrete singular hazards', such as shifts of climatic regimes caused by changes in ocean circulation (Brooks 2003:9 in Ensor & Berger 2009a:13). The NGO CARE International Vietnam (2009:12), having long practical experience in Vietnam, distinguishes between 'catastrophic hazards', such as typhoons, droughts and sudden floods and 'chronic hazards', describing mutual changes, such as raising temperatures, SLR, saline intrusions and changes in precipitation and the like. A 'disaster' is the outcome of the combination of hazard exposure and insufficient capacities to prepare for, respond to and recover from a hazard event. Thus, a 'disaster' has devastating effects on natural and infrastructure systems as well as on societies (UNISDR 2009:9).

2.2.2 Climate Change Impacts

2.2.2.1 Impacts of Climate Change at a Global Scale

Climate change is unequivocal; many natural and human systems are already affected by existing regional climate changes and will be even more affected in the future (IPCC 2007a:31ff., IPCC 2012:4ff.). The number of studies on climate change and its impacts has increased greatly during the past years; however, there is still lack of data and literature that originate from developing countries (IPCC 2007a:31).

Climate change can be felt by rising temperatures; the warming trend of 0.13°C per decade observed in the 50-year period from 1956 to 2005 is almost twice as high as from the 100-year period from 1906 to 2005 (IPCC 2007a:30). The length, frequency and/ or intensity of warm spells and heat waves is very likely to increase over most land areas (IPCC 2012:13). Temperature increases have already affected agricultural and forestry management, human

health and human activities, e.g. in the Arctic, where climate change has affected hunting and travel seasons. In the future, the increased heat stress will affect livestock, wildlife and agriculture; electric cooling demand will increase going along with a reduced energy supply reliability and a notable shift in tourist destinations (IPCC 2001a, IPCC 2007a:33ff.).

Significant changes in precipitation have also been observed all over the globe. It is likely that the frequency of heavy rainfall events or the proportion of total rainfall from heavy rainfalls will increase, especially in high latitudes, in tropical regions as well as in the northern mid-latitudes in the winter season (IPCC 2012:13ff.). More intense precipitation events cause and aggravate flooding events, landslides and avalanches, mudslides and soil erosions. Consequently, the pressure on governments and private flood insurance systems as well as on disaster relief activities will rise. An increased variability in Asian summer monsoon precipitation will cause an increased magnitude of floods and droughts in temperate and tropical Asia (IPCC 2001a).

Changes in tropical cyclone activity have also been recorded. The increase of tropical cyclone wind intensities will seriously increase risks to human life and cause coastal erosion, damage to coastal buildings, infrastructures and ecosystems (ibid.).

At a global scale, the total area affected by drought has increased since the 1970s. There is medium confidence that the duration and intensity of droughts will increase in some regions of the world, e.g. in large parts of Southern and Central Europe and in the Mediterranean region, in North and Central America, in the Northeast of Brazil and in Southern Africa (IPCC 2012:8ff.). The increasing risk of drought in summers may cause decreasing harvest yields, ground shrinkage, decreasing quantity and quality of water resources as well as an increasing risk of forest fires (IPCC 2001a).

The expansion of the oceans, the melting of glaciers, ice caps and polar ice sheets have led to sea level rise (SLR). SLR has occurred at an annual average rate of 1.8mm over the period from 1961 to 2003 and at an annual average rate of about 3.1mm from 1993 to 2003 (IPCC 2007a:30). It is very likely that SLR will contribute to increasing extreme coastal high water levels, coastal erosion and inundation (IPCC 2012:15).

2.2.2.2 Impacts of Climate Change on Vietnam

2.2.2.2.1 Rising Temperatures

Between 1958 and 2007, the annual average temperature in Vietnam rose between 0.5°C to 0.7°C, with winter temperatures having shown greater changes than summer temperatures; the Northern part of Vietnam is warming faster than the South (MoNRE 2009 in McElwee et al. 2010:8). In inner cities, e.g. in the urban area of HCMC, temperatures are increasing more rapidly, due to the strong influence of the urban heat island effect (UHI). In the dry season, the average temperature in the inner city of HCMC is on an average 5°C higher than in the surrounding rural districts (Hung et al. 2006 in *ibid.*). Under medium emissions scenarios, annual average temperatures are predicted to rise at an average of 2.3°C until the end of the 21st century (MoNRE 2009 in *ibid.*). (cf. Fig. 2-3)



Fig. 2-3: Climate Change Impacts on Vietnam I
(own figure)

2.2.2.2.2 Sea Level Rise (SLR)

About 15 per cent of the Vietnamese national land area is located in the low elevation coastal zone (LECZ) below 10 m above mean sea level. As this area hosts about 25 per cent of the total national population, Vietnam ranks amongst the countries to be most affected by SLR and inundation (Dasgupta et al. 2007 in Storch & Downes 2011:1, McGranahan et al. 2007:17ff.). Under high emissions scenarios, IMHEN, the National Meteorology and Hydrology Centre of Vietnam, forecasts a SLR of 35cm by the year 2050, 50cm by the year 2070 and 100cm by the year 2100 (MoNRE 2009:13). A SLR of 100cm would cause permanent inundation of 5 per cent of the country's total area, affect six out of eight agro-ecological regions, 39 out of 64 provinces and 2,000 out of about 10,000 communes all over Vietnam.

The Mekong Delta and HCMC will be most affected (Carew-Reid 2008 in McElwee et al. 2010:14). SLR will increase salinity of shallow coastal aquifers as well as coastal erosion. Sites worst affected are parts of the Mekong Delta and of the Red River Delta as well as of the South-Central Coast (Pham Thi Thuy Hanh 2007 in *ibid.*). (cf. Fig. 2-3)



Fig. 2-4: Climate Change Impacts on Vietnam II
(own figure)

2.2.2.2.3 Changes in Precipitation

Annual rainfall has decreased in the northern part of Vietnam, while it has increased in the south. According to predictions for the 21st century, developed under medium emissions scenarios, the dry season will get drier; on the other hand, precipitation will increase for large volumes in shorter periods in the rainy season (MoNRE 2009 in McElwee et al. 2010:11). At an average, the annual precipitation all over Vietnam is expected to increase, causing a high risk for flooding events in some areas. By 2050, rainy season precipitation in the Red River Delta as well as in the Mekong Delta will increase. However, precipitation is expected to decrease in the Central Highlands and along the South-Central Coast. In the dry season, precipitation will decrease in the Northern Mountain region, in the Central Highlands and on South-Central Coast as well as in the Mekong Delta (*ibid.*). (cf. Fig. 2-4)

2.2.2.2.4 Flooding

In Vietnam, there are three main areas affected by flooding, namely the Red River/ Thai Binh river system in the North, small-scale coastal river systems in the Central Coast and the Mekong/ Dong Nai river system in the South (McElwee et al. 2010:11). The Mekong Delta and the Central provinces experience regular annual flood events; flash floods seem to be in-

creasing in mountainous areas in the North of Vietnam as a result of high volumes of rainfall combined with deforestation (ibid.). (cf. Fig. 2-3)

2.2.2.2.5 Drought

In the dry season, droughts are likely to occur all over Vietnam. However, the main areas affected by drought in the future will be the Central Highlands, the Central Coast and the Mekong Delta, due to decreased rainfall in the dry season. In recent years, droughts have mainly occurred in Central and Southern Vietnam (ADB 2007 in McElwee et al. 2010:12). Particularly in the Mekong Delta, droughts contribute to salinisation (Oxfam 2008 in ibid.:12ff.) (cf. Fig. 2-4)

2.2.2.2.6 Storms and Typhoons

Vietnam as a whole is prone to natural disasters. The most devastating climate hazards in the past were tropical cyclones and floods (Nagothu et al. 2009 in McElwee et al. 2010:6ff.). Areas that suffer most from typhoons are the South-Central Coast, the North Central Coast, the Red River Delta and coastal provinces of the North-East (Cao Duy et al. 2007:9ff.). Observations have revealed a tendency of monsoon storms to hit farther south than in the past as well as changes in the monsoon season (GoV 2003 & MONRE 2009 in McElwee et al. 2010:9). Projections show that typhoon activity will increase in the north; coastal zones will experience more intense typhoons, endangering people's lives and livelihoods (Chaudhry & Ruyschaert 2007:4). (cf. Fig. 2-4)

2.2.2.2.7 Anticipated Consequences

The projected future climate change impacts suggest that Vietnam as a whole will be severely affected in the future. Climate change will affect agri- and aquaculture production and consequently, livelihoods of peasants and food production. Market prices for agricultural and aqua-cultural products will rise, if harvests are reduced or even destroyed through climate change impacts and natural disasters. These price increases will be severely felt at markets in urban areas having severe consequences for food security. Peasants will be forced to diversify their income-generating activities and to take on jobs that are less affected by climate change and extreme events; members of peasant families will have to migrate to urban areas in order to seek alternative job opportunities. Coastal cities that house large numbers of

inhabitants, businesses and infrastructures will be particularly threatened by SLR and inundation - and with them the economic basis of regions and the country as a whole.

2.2.2.3 Impacts of Climate Change on HCMC

2.2.2.3.1 Natural Climate Change Impacts

Due to its low-lying geographic location on the western banks of the Sai Gon River, 50 kilometres from the South China Sea, HCMC has been ranked amongst the cities most vulnerable to climate change (ADB 2010:2). The city exhibits a distinct urban heat island and is vulnerable to the occurrence of heat waves as well as to the increasing likelihood of severe storms and heavy rainfall events during the monsoon season. Furthermore, as 72% of HCMC's urban area lies below two meters above mean sea-level, the metropolis is highly exposed to future SLR and tidal flooding (Nguyen Minh Hoa & Son Thanh Tung 2007:5ff., Storch et al. 2011:349ff.). (cf. Fig. 2-5)

2.2.2.3.2 Urbanisation as an Aggravating Factor

Urban development as such is considered to be both, a main 'driver of climate change' as well as a factor that aggravates local climate change impacts. HCMC and the surrounding mega-urban region are undergoing rapid - and partly uncontrolled - urbanisation processes, and attract large numbers of rural migrants (Le Van Thanh 2002:2, Ho Ba Tham 2009:1ff).

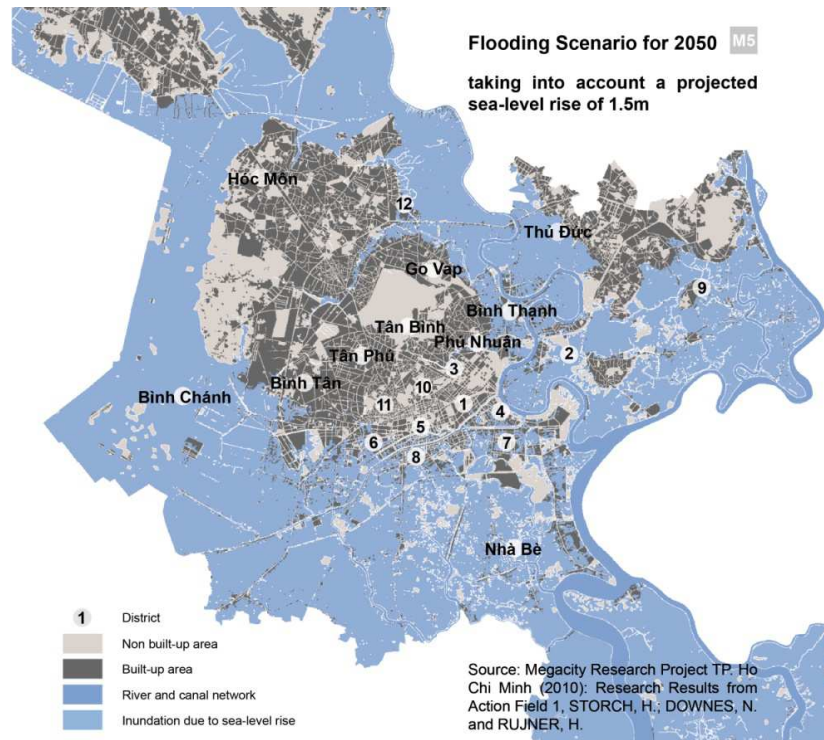


Fig. 2-5: HCMC Flooding Scenario for 2050
 (Megacity Research Project TP. Ho Chi Minh 2010, published in Schinkel et al. 2011:9)

Construction activities and housing production, whether formal or informal, lead to the densification of inner city areas and to the expansion of settlement areas beyond the administrative boundaries and into low-lying and flood prone areas (Storch & Downes 2011:2ff.). In HCMC in particular, increased ground sealing, the filling of natural water channels, the loss of natural infiltration and retention areas have led to increased flooding levels in the inner city. The urban fabric's high density and the loss of natural vegetation as well as increased heat generation through energy consumption and fossil fuel burning have aggravated thermal stress in inner city areas of HCMC (Booth et al. 1999:109ff.)

2.2.2.3.3 The Susceptibility of Precarious Settlements

HCMC's rapid growth and urbanisation process has resulted in a distinct housing shortage and a general lack of critical infrastructure (Wust et al. 2002:211ff.). The influx of rural migrants has led to the formation of underserved neighbourhoods, mainly in low-lying areas and along urban canals, whose residents are regularly subjected to flooding following heavy rainfall events. The adjacent canals act as many of the main drainage arteries and are often overcharged by surface run-off and locked by high tides or blocked through municipal waste

(ibid.:214ff.). Within the settlements themselves, thermal stress is intensified by the densely built-up structures and the high percentage of surface sealing.

Affected by flooding and heat, the residents of these settlements face serious challenges, such as health and mobility constraints, the frequent flood damage to buildings, especially if constructed on non-developed ground, as well as the loss of assets and income (Metzger 2000 in ibid.:216, Schinkel et al. 2011:10ff.). The prevailing infrastructure shortcomings, especially the inadequacy of the sewer system and the lack of solid waste collection, have led to environmental degradation and the heightened exposure to environmental hazards (Wust et al. 2002:214).

2.3 Adaptation to Climate Change

2.3.1 Adaptation: Relevant Terms and Definitions

2.3.1.1 Vulnerability

‘Vulnerability’ to climate change has been discussed among various scientific backgrounds. Within the scope of this doctoral thesis, particular attention is paid to definitions provided by environmental and social scientists. Most of the authors reviewed revert to a combination of both, environmental and social sciences, emphasising the complex nature of the term ‘vulnerability’.

Anderson and Woodrow (1989 in Cannon et al. 2003:9ff.) develop a rather static concept of ‘vulnerability’. They distinguish between ‘physical or material vulnerability’, ‘social or organisational vulnerability’ and ‘motivational or attitudinal vulnerability’. In this context, ‘physical or material vulnerability’ is determined by indicators such as unsafe location, absence of resource control, inadequate education, health issues, risky income generating activities, lack of access to formal credit facilities or inadequate service provision. In contrast, ‘social or organisational vulnerability’ evolves from weak family and community structures, from the lack of leadership, decision-making and organisational structures as well as from unequal participation in community affairs. ‘Motivational or attitudinal vulnerability’ refers to a lack of awareness and initiative and to a negative attitude towards change (ibid.).

Later definitions recognise the rather dynamic nature of 'vulnerability'. Kelly and Adger (2000:327) for example distinguish between 'starting-point vulnerability', as a result of social and environmental characteristics, similarly to Anderson and Woodrow (1989), and 'end-point vulnerability', as a measure that reflects the effectiveness of response and adaptation strategies.

Cutter (1996:530ff.) identifies three different types of 'vulnerability' in literature: The 'vulnerability as hazard exposure', the 'vulnerability as social response' and the 'vulnerability of places'. 'Vulnerability as hazard exposure' considers vulnerability to be a pre-condition and mainly refers to the occupancy of disaster-prone areas. 'Vulnerability as social response' emphasises the social construction of vulnerability and focuses on the lacking capacity for coping, response and recovery among members of society. 'Vulnerability of places' establishes the link between hazard exposure of a specific area and the capacity for social response (Cutter 1996:530ff.). De Sherbinin et al. (2007:41) combine these different concepts and state that the most 'vulnerable' systems are those individuals, social groups or locations experiencing the highest exposure to climate change impacts, being most sensitive to disturbances and stresses and having the weakest capacities and resources to respond and recover.

A main focus in the current discourse on 'vulnerability' is the term 'social vulnerability'. Ebert and Kerle (2008:1308, 3) explain 'social vulnerability' as "people's differential incapacity to deal with hazards, based on the position of the groups and individuals within both the physical and social worlds". Thus, social factors have a strong impact on the susceptibility of social groups and also on their ability to respond (Cutter et al. 2003:243).

One of the main important literature sources for the debate on 'vulnerability' in relation to hazards is the ground-breaking publication 'At Risk', initially published in 1994 by Blaikie et al. and reissued by Wisner et al. in 2004. Wisner et al. (2004:11) define 'vulnerability' as "characteristics of a person or group and their situation that influence their capacity to anticipate, cope with, resist and recover from the impact of a natural hazard (an extreme event or process)". Thus, 'vulnerability' is based on various factors, which determine how people's lives, livelihoods, property and other assets are at risk by natural or societal events (ibid). These factors include class, referring to differences in income and wealth, occupation, caste and ethnicity, immigration status, gender, age and health status, as well as the nature and strength of mutual support networks. Wisner et al. strongly emphasise the dynamic character and the time dimension of 'vulnerability', which becomes apparent after disasters; if 'vulnera-

ble' groups are unable to reconstruct their livelihoods after a disaster, their degree of 'vulnerability' related to future extreme events increases (ibid.:11ff.).

In order to understand the term 'vulnerability', the impact 'vulnerability' has on living realities of individuals and communities, and how 'vulnerability' can be reduced at the community level, two theoretical frameworks are consulted in the following: The 'Disaster Pressure and Release Model', developed by Blaikie et al. (cf. 1994) and Wisner et al. (cf. 2004) respectively, and the concept of 'asset vulnerability', developed by Caroline Moser (cf. 1998).

Wisner et al. (2004:49) define the disaster 'risk' faced by people as a combination of their degree of 'vulnerability' and the occurrence of a particular 'hazard'. Disaster risk is a compound function of a 'hazard' and the number of people who feature varying degrees of 'vulnerability' to this particular type of 'hazard' and who reside in the affected area at the time of the 'hazard event' (Wisner et al. 2004:49). The three elements, 'risk' (R), 'vulnerability' (V) and 'hazard' (H) are set in relation by the schematic equation: $R = H \times V$, summarising that a 'disaster' occurs when a number of people with a high degree of 'vulnerability' are directly or indirectly affected by a 'hazard', when they face damage of their livelihood systems and when they are not able recover without external support. The 'pressure', and eventually disaster risk, is 'released' through 'vulnerability' reduction (ibid.:50).

The 'Disaster Pressure and Release Model' is particularly interesting, as it outlines, how far individuals and communities can influence their degree of 'vulnerability' and how far 'vulnerability' is exogenously generated. Wisner et al. (2004:52ff.) distinguish between three different fields of circumstances or unfavourable conditions that underlie people's 'vulnerability', namely 'unsafe conditions', 'dynamic pressures' and 'root causes'. In this context, 'root causes' comprise of a set of general processes involving economic, demographic and political processes, which affect the distribution of resources and power among different societal groups (ibid.:52). 'Dynamic pressures', in contrast, circumscribe processes that transform the effects of 'root causes' into forms of 'unsafe conditions' related to different types of hazards. Examples for 'dynamic pressures' may be epidemic diseases, military conflicts, urbanisation processes, rural-urban migration, environmental degradation or decreasing food security (ibid.:53ff.). In contrast to 'root causes' and 'dynamic pressures', 'unsafe conditions' are most likely to be influenced by communities themselves. 'Unsafe conditions' may be the habitation in hazard-prone locations, the instability of buildings and the engagement in risky income-generating activities. However, 'root causes', 'dynamic pressures' and 'unsafe conditions'

may change over time; and consequently, the degree of people's 'vulnerability' to a set of hazards will change as well.

Caroline Moser (cf. 1998) developed the 'asset vulnerability framework' in order to illustrate how asset management under economic pressures affects people's vulnerability. This framework takes into account tangible assets, such as human capital and labour, less productive assets like housing as well as intangible assets such as social capital (Moser 1998:1). Moser raised four fundamental issues also relevant for the discourse on 'vulnerability to climate change': Firstly, she distinguished between 'poverty' and 'vulnerability', emphasising that 'poverty' is a rather static concept in contrast to 'vulnerability', which is of a dynamic nature (ibid.:3). In the urban context, 'vulnerability' is defined "as insecurity and sensitivity in the well-being of individuals, households and communities, and implicit of this, their responsiveness and resilience to risks that they face [...]" (ibid.). Secondly, Moser distinguishes between 'vulnerability' and 'capacities', highlighting, that vulnerable people have many resources available as the basis for recovery (ibid.). Thirdly, Moser points out that 'vulnerability' of individuals, households and communities is not only related to the 'threat' itself, but also to the ownership of assets which are used as means to respond, resist and recover. Moser highlights features of 'urban vulnerability', related to environmental hazards and poor service provision that may have a severe impact on the human capital, health status and well-being of the urban poor as well as on the stability of inter-household and community structures (ibid.:4). Fourthly, Moser (ibid.:5) states that the ability to 'vulnerability reduction' does not only depend on the initial assets available, but also on the capacity to manage them over time. Consequently, Moser's (ibid.:4) 'asset vulnerability framework' comprises of five assets, namely 'labour', the most important asset for the urban poor, 'human capital', the health status affecting people's capacity to work, skills and education, 'productive assets', such as housing, 'household relations', for pooling income and sharing consumption, as well as 'social' capital, namely the existence of exchange relationships within groups and among community members.

In a more recent publication, Moser (cf. 2009) transferred the issue of 'asset vulnerability' to the context of climate change, as the availability of assets enables adaptation, and consequently 'vulnerability reduction' and resilience. In comparison to her earlier works in the 1990s, Moser (2009:6) adds 'natural capital' to the sum of 'capital assets'. Thus, 'capital assets' in this context comprise of 'physical capital', 'financial capital', 'human capital', 'social capital' and 'natural capital'. Here, 'physical capital' represents all productive assets available

to individuals, to businesses or to the country itself. In this context, 'financial capital' is used as a collective term for all financial resources available, including savings and credit facilities. 'Human capital' refers to a community's health status, skills and education status. 'Social capital' circumscribes the sum of intangible assets, such as rules and norms, commitment and mutual trust as well as existing social structures and institutions. 'Natural capital', however, is defined as the entity of environmentally provided assets (ibid.:6). Moser (ibid.) concludes that 'vulnerability', and eventually 'vulnerability reduction', is linked to the lack or availability of assets as well as to their management.

2.3.1.2 Adaptation to Climate Change

'Adaptation' can be defined as the response of a system to current or projected future changes (UNISDR 2009:4). In an urban context, 'adaptation' may involve structural and non-structural measures at all spatial levels. Particularly at the community level, 'adaptation' causes permanent and irreversible changes in livelihood systems (Davies 2009:60). 'Adaptation' aims at vulnerability reduction and at the maintenance and even improvement of current living standards with regard to climate change and variability (Van Aalst 2008:170). 'Adaptation' involves the building of 'adaptive capacity', particularly among the most vulnerable people (CARE International (n.d.a), which involves the ability to develop, implement and manage sustainable and effective adaptation strategies to hazards and stresses, to reduce the impact of extreme events and to learn from past experiences (Brooks & Adger 2005:168, Smit et al. 2009:75).

'Coping' is another type of strategies to respond to climate change; in contrast to 'adaptation', 'coping' is defined as a fall-back mechanism and as a short-term response that may be economically or environmentally unsustainable (Davies 2009:99,114). Thus, De Waal (1989 in Davies 2009:101) differentiates between 'erosive' coping strategies, using extra resources of income and compromising future livelihood security, and 'non-erosive' coping strategies.

Based on the concept of 'asset vulnerability', Moser (cf. 2009) also developed the concept of 'asset-based adaptation' to changing environments, as assets "are not simply resources that people use to build livelihoods: they give them the capability to be and act" (Bebbington 1999:2029 in Moser 2009:7). The asset portfolios managed by individuals, households and communities are directly related to their adaptive capacity (Moser 2009:7). According to Moser (ibid.:7), adaptation processes are strongly influenced by external factors, such as

government policy, political institutions and activities of non-governmental organisations (NGOs). Households may move into security (or 'resilience') and 'vulnerability' through both, household-internal or else, external economic, political and institutional changes (ibid.). Assets are highly interrelated and interdependent; thus, the adaptation or erosion of one asset may have an impact on others.

Moser (ibid.:10ff.) distinguishes between four different phases of adaptation, namely 'long-term resilience', 'pre-disaster damage limitation', 'immediate post-disaster responses' and 'rebuilding'. 'Asset-based adaptation to build long-term resilience' refers to the establishment of institutions and to the creation of infrastructures that prevent hazards from becoming disasters. At household or community level, this can involve the relocation from hazard-prone areas to better-protected areas, while accepting the loss of a house as a physical asset, financial capital and social networks (ibid.). 'Asset-based adaptation for pre-disaster damage limitation' may be carried out prior to an extreme event, in order to reduce loss of life as well as to reduce the damage to homes and possessions. Relevant measures include early warning, temporary migration or the protection of productive assets (ibid.). 'Asset-based adaptation for immediate post-disaster response' involves emergency response and a long-term follow-up. Adaptation measures within the capacity of individuals and communities are those that address the needs of human capital, looking after personal health and safety. 'Asset-based adaptation for rebuilding and transformation' involves the rebuilding of both, physical as well as social assets. Recovery of the household and the local economy is the most important activity of progressive post-disaster adaptation (ibid.).

2.3.1.3 Resilience

The term 'resilience' is defined as the ability of a system to foresee, absorb and accommodate a hazard event or to recover from its impacts (IPCC 2012:5). 'Resilience' can be understood as the opposite to 'vulnerability' and thus, the fundamental objective of 'adaptation' efforts. The resilience of a community is dependent on assets and entitlements that can be mobilised by individual households and communities as a whole. Moser and Norton (2001 in Shaw 2006:4) state that "the higher the resilience, the higher the human security and livelihood security, and lesser the vulnerability". A resilient system or community has the capacity to manage climate change impacts, to minimise climate change impacts and/ or to recover quickly from extreme events (CARE International n.d.a).

2.3.2 Relationship between Vulnerability, Adaptation and Resilience

'Vulnerability' can be reduced through 'adaptation' (and partly 'mitigation') measures and strategies to climate and environmental change. With decreasing degrees of 'vulnerability', 'resilience' increases. As this doctoral thesis mainly focuses on CBA as a local-level bottom-up approach, the scope for 'adaptation' and 'vulnerability reduction' shall be elaborated in the following.

The concept developed to elaborate the scope for CBA draws on the three concepts explained earlier, namely on the concept of 'vulnerability' provided by Wisner et al. (cf. 2004:11ff.) as well as on the concepts of 'asset vulnerability' (cf. Moser 1998:1ff.) and 'asset based adaptation' (cf. Moser 2009:10ff.). According to Wisner et al. (ibid.) 'vulnerability' in relation to a particular hazard has three main causes, namely 'root causes', 'dynamic pressures' and 'unsafe conditions', with the latter being within the sphere of influence of individuals and communities. Moser (1998:1ff.) relates 'vulnerability' of individuals, households and communities to the lack of assets or to the insecurity of assets available to them; on the other hand, she highlights the potential of effective asset management for adaptation (Moser 2009:10ff.).

Consequently, 'root causes' and 'dynamic pressures' must be addressed by power holders, stakeholder networks and alliances. Nevertheless, 'root causes' and 'dynamic pressures' are likely to persist or to change unexpectedly without being addressed at all due to lack of interest or awareness. Moreover, in order to elaborate the scope of CBA activities, natural 'hazards' are considered to be a static component that cannot be altered by communities or other stakeholders, but that communities must adapt to.

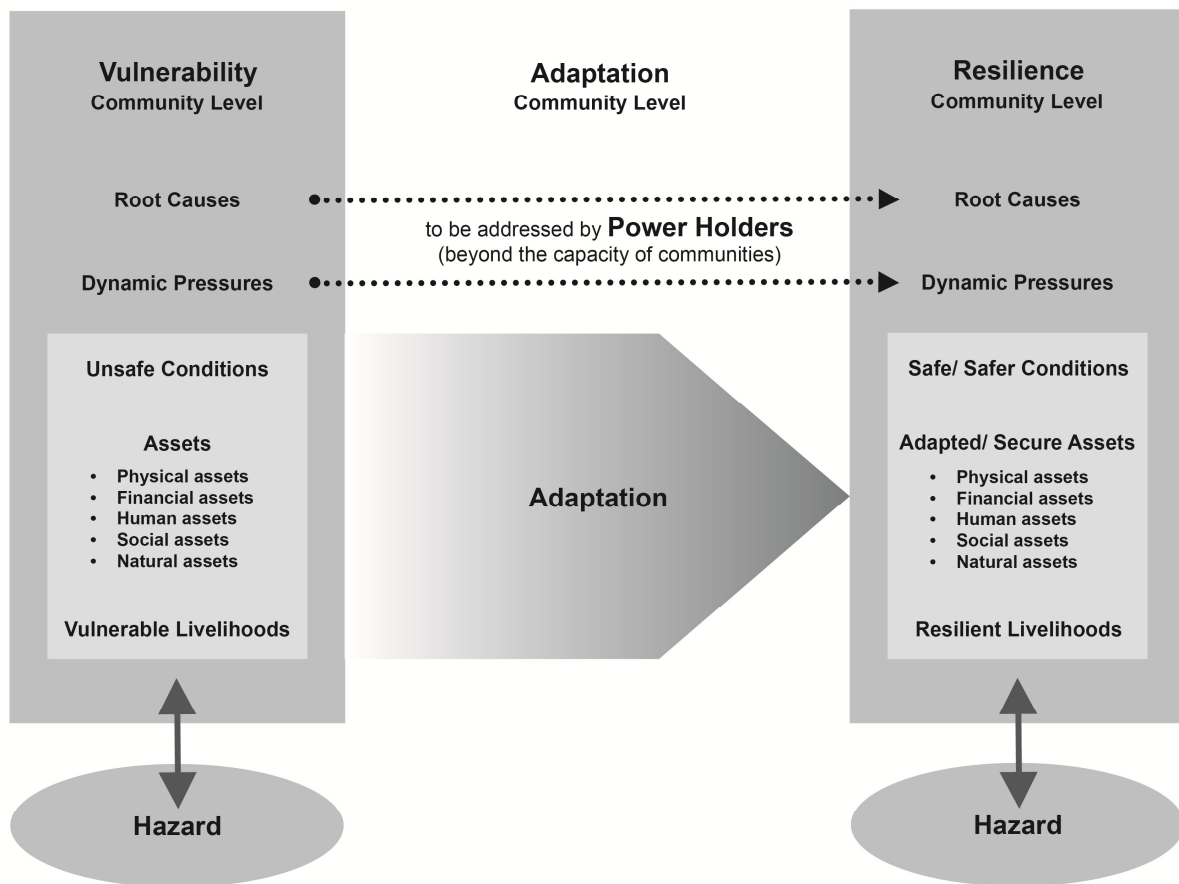


Fig. 2-6: Relationship between Vulnerability, Adaptation and Resilience
(own figure)

Adaptation efforts at the community level are limited to vulnerability reduction and to the building of resilient livelihoods by improving local 'unsafe conditions' as well as by amplifying, protecting and adapting individual and community assets. However, 'root causes' and 'dynamic pressures' are forces that may occur or change unexpectedly and that have a strong impact on people's 'vulnerability', on their 'assets' and consequently, on the effectiveness of adaptation. Thus, the balance between 'vulnerability', 'adaptation' and 'resilience' is not static but underlie constant change. This logic is also reflected by the 'Disaster Pressure and Release Model' (cf. Wisner et al. 2004:49ff.). (cf. Fig. 2-6)

2.4 Community-Based Adaptation (CBA)

2.4.1 The CBA Approach

Community-Based Adaptation (CBA) is an innovative approach to enable and empower vulnerable communities to build resilient livelihoods and to take action within their living environment and their own limited sphere of influence, based on their own priorities and using their own assets and knowledge (CARE International n.d.b., Ayers & Forsyth 2009 in Regmi 2012:2). Addressing the causes and drivers of vulnerability requires strategies of climate change adaptation, poverty reduction components as well as income-generating activities, which, in practice, overlap with general development interventions (Reid et al. 2009:13, Mitchell & Tanner 2006 in Regmi 2012:1).

2.4.2 The Evolvement of the CBA Approach

Climate change is mainly felt at the local level where its impacts, whether gradual changes, hazards or disasters, affect people's lives and livelihoods. Within their capacities, individuals and communities develop their own strategies, whether coping or adaptation strategies, to respond to those impacts. However, despite the limitation of national and local governments' resources and capacities, the potential of local initiatives is still widely overlooked by national and city authorities, planners and policy makers.

Community-Based Adaptation (CBA) emerged during the past decade as a rather people-centred approach to practically facilitate local adaptation efforts (Regmi 2012:1). CBA is designed to support the most vulnerable communities to adapt to climate change, while addressing underlying drivers of vulnerability (Huq & Reid 2007:1, in *ibid.*:2).

The CBA approach enables communities to develop sustainable strategies to respond to climate change, to reduce disaster risk and to build resilient livelihoods. As CBA mainly draws on locally available resources and capacities, quite naturally, CBA measures and strategies are limited in scale and scope. Thus, in order to be effective and sustainable, the CBA approach aims at stimulating the establishment of new, and often unusual, supportive alliances between all stakeholders concerned, at community empowerment and policy change (CARE International n.d.a & n.d.b, Reid et al. 2009:9ff.). However, as uncertainty about future impacts of climate change is high, in particular in developing countries where the availability of scientific data and plausible scenarios are still limited, CBA fosters the de-

velopment of 'no-regret' adaptation options that create socio-economic benefits even if climate change impacts do not occur as expected (Hallegatte 2009:244).

2.4.3 Stakeholders Involved in CBA

Stakeholders in CBA processes are individuals or groups "with formal power to make a decision", "those with the power to block a decision", "those affected by a decision" and "those with relevant information and expertise" (Straus 2002:40 in Kliewer 2010:19). In the following, different stakeholder groups relevant for the implementation of CBA are identified. (cf. Fig. 2-7, Fig. 2-8)

2.4.3.1 Communities

In CBA projects, communities are the core actors at the local level. They take centre stage in all phases of the adaptation process, e.g. in climate change impact assessments, in action planning and in the implementation of selected measures and strategies as well as in the monitoring and evaluation of the progress and effectiveness of their adaptation efforts. In comparison to scientific research, communities undertake experience-based impact assessments that retrospectively identify past climatic changes and that take into account specific environmental and socio-economic conditions. Following the assessment phase, communities develop 'action plans' that are based on the assessment results and that ideally include short-, medium- and long-term measures and strategies to respond to climate change. (cf. Schinkel 2014)

In literature, there is discordance whether the term 'community' should be defined as a 'social' (Pierson 2005:2ff., Bracht 1999:3 in Pierson 2005:7, Berk 2005:2) or as a 'spatial' unit (Chaskin & Joseph 2010:3). However, considering the term 'community' to have a spatial dimension and thus, a direct relation to the term 'neighbourhood', there are also controversial concepts of scale and affiliation, e.g. whether 'communities' are smaller sub-division of 'neighbourhoods' (Berk 2005:2) or vice versa (Sampson 1999:248 in Pierson 2008:6ff). Hamdi and Goethert (1997:109ff.) even define different types of 'communities', namely those which are highly organised and cohesive and those which are merely 'stepping-stone communities' - highly transitory migrant communities which have little feeling of togetherness and which require much effort to organise.

However, researchers and practitioners are controversial about characteristics and functions attributed to 'communities'. While Chaskin and Joseph (2010:301) describe a 'community' as a context which provides mutual support structures and stimulates collective action, Sampson (2004:108) reject "[...] the outmoded assumption that neighbourhoods are characterised by dense, intimate, emotional bonds [...]" and instead emphasise that there are variations in trust and willingness of community members to undertake action. Researchers who suggest a certain homogeneity among community members based on a common past and culture (Christensen & Levinson 2003:4, Ife 2009:11) are contradicted by practitioners, such as the NGO CARE International (n.d.a) who argue that the composition of a community is rather heterogeneous; in the context of climate change, for example, community members who feature different degrees of vulnerability have a different motivation to act.

As previous work in Vietnam has shown, the term 'community', as it is used in this thesis, needs a definition particularly tailored to the context of Vietnam and HCMC. In Vietnam, the urban population is strongly organised by administrative sub-divisions, namely into wards, sub-wards and 'neighbourhood solidarity cells' (to dan pho), the smallest units under the sub-wards (Van Canh Nguyen 1983:90, International Business Publications 2008:125). Therefore, 'community' as it is used in this thesis is considered to be a mainly heterogeneous group of people who reside together in an area, mainly determined by administrative boundaries, and who have different interests and priorities.

2.4.3.2 Supporting Actors

CBA activities significantly benefit from external guidance and support provided by researchers, experts and practitioners, civil society organisations (CSOs) as well as by local government agencies. As CBA fosters community-led initiatives, external actors need to partner with communities and other actors involved: At the local level, supporting actors facilitate community processes while respecting the local community's self-determination. At the same time they are 'change agents' that engage in advocacy, bring forward policy dialogue and support the integration and mainstreaming of CBA into formal planning and adaptation procedures.

One main important group of actors in CBA are CSOs that directly guide and support community processes. They can take on a variety of roles in CBA processes, e.g. as community mobilisers and workshop moderators, as facilitators of community 'action planning' activities,

implementation, monitoring and evaluation and as mediators between all stakeholders and their interests. CSOs may promote CBA among policy makers and foster the incorporation of local adaptive capacity into policies and large-scale adaptation plans and projects. On the other hand, CSOs may 'translate' the meaning of policies into popular language (Iati 2008:20ff.).

The concept of civil society and CSOs in the context of Vietnam widely differs from that of the western academic community. In Vietnam, CSOs are organisations and initiatives that are either state-sponsored or not, such as charities, non-governmental organisations (NGOs), community-based organisations (CBOs), charities, donors, research and training organisations, professional and business associations and even mass organisations (MOs) of the Communist Party of Vietnam (ADB 1999:3ff., Sabharwal & Huong 2005, Nørlund 2007:74).

raise awareness and to support the development of local adaptation measures and strategies. On the other hand, practitioners, such as community architects or builders, may provide technical support during the planning and implementation phases of physical adaptation measures and technical solutions. Eventually, the engagement of researchers, scientists and practitioners will help to minimise the risk of unsustainable response strategies (Reid et al. 2009:9ff., Brooks & Adger 2005:168, Reid et al. 2010:5, Firowz Ahmad 2010:1, cf. Schinkel 2014).

Another group of external actors whose support is essential for CBA is composed of local government authorities and related planning departments. These actors can support CBA activities by providing institutional support and information on planned future developments that may affect communities. Moreover, local government agencies should consider how to integrate local adaptive capacity and CBA as a bottom-up approach into larger-scale, city-level development plans and projects.

2.4.3.3 Policy Makers

Successful and sustainable CBA strategies and measures also require an enabling policy environment that fosters bottom-up approaches to planning and climate change adaptation. CBA needs to be linked to top-down planning procedures and integrated into adaptation plans, projects and policies (Dodman & Mitlin 2011 in Regmi 2012:3, Shaw 2003 in *ibid.*, IISD 2011). CBA that is mainly based on locally available and thus limited capacities and resources requires financial incentives, practical guidance and institutional support. Policy instruments that comprehensively support CBA are national target programmes and national and local action plans that address climate change as a cross-cutting issue, that particularly foster the cooperation of relevant actors at different planning and decision-making levels, empower local communities to develop and manage their own adaptation efforts and that allocate financial means accordingly.

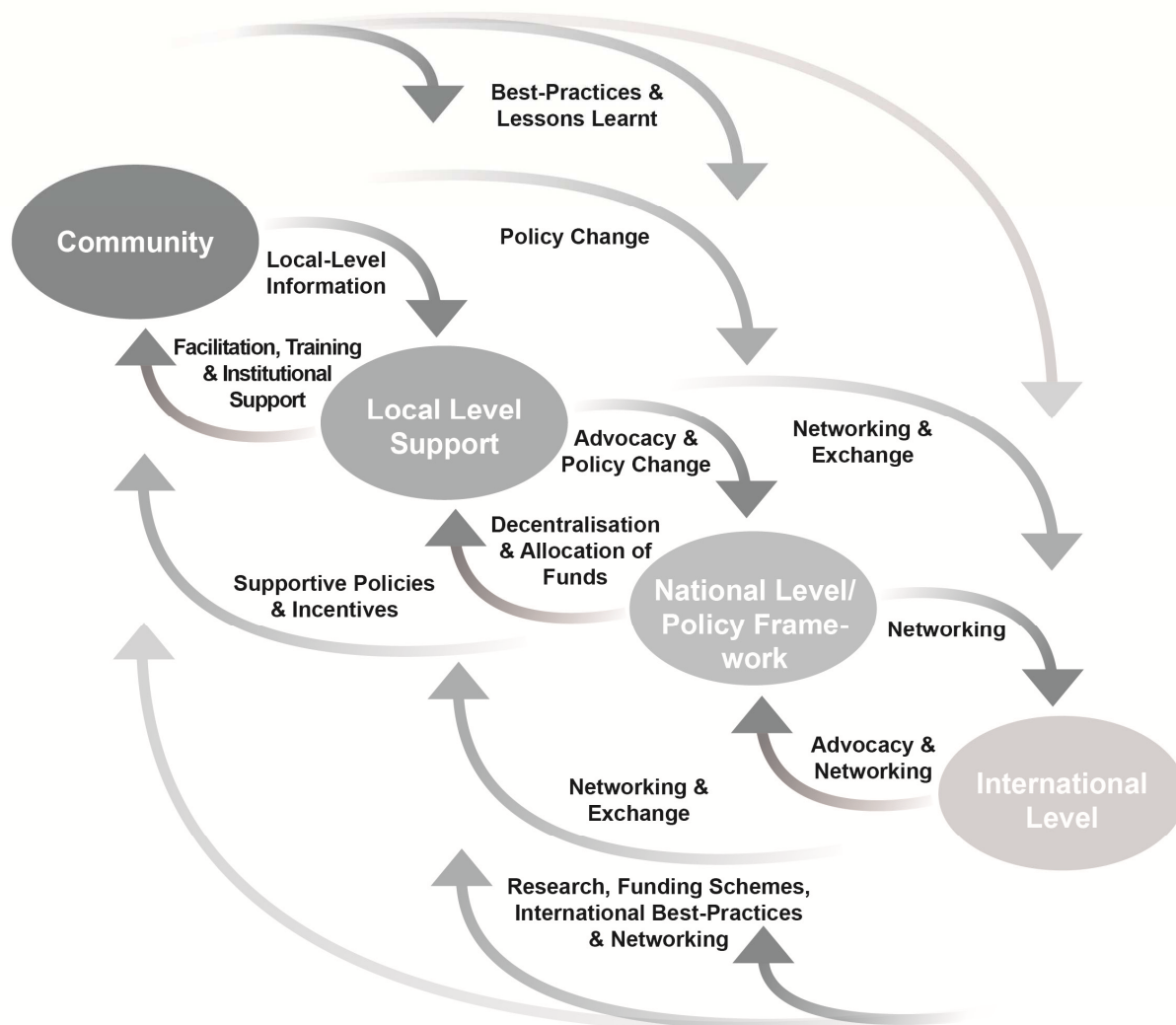


Fig. 2-8: The Interaction of Different Levels that Affect CBA
(own figure)

2.4.3.4 International Actors and Support Systems

The importance of the CBA approach has been recognised by international development agencies and donors, such as UNDP² and GEF³, CoP⁴, DFID⁵ and the European Union (Shaw 2006:19); these agencies provide financial support for pilot activities and engage in advocacy and policy dialogue in order to encourage the mainstreaming of CBA. Moreover, the establishment of networks and multi-stakeholder platform at the international level fosters

² United Nations Development Programme (UNDP)

³ Global Environment Facility (GEF)

⁴ Conference of Parties (CoP)

⁵ Department for International Development (DFID)

advocacy and exchange and ensures the dissemination of best-practice approaches and lessons learnt (Reid et al. 2010:13ff.).

2.4.4 Examples for CBA Measures and Strategies

2.4.4.1 Differing Conditions

In practice, CBA activities are individually developed by communities and thus, tailored to local conditions, resources and capacities. Measures and strategies developed in urban areas differ widely from those applied in rural areas. This is due to differing lifestyles, income-generating activities as well as to building and settlement typologies.

Observations in the Mekong Delta and in HCMC show that in rural areas, settlement density is very low compared to urban areas; dwellings may be extended or shrunk according to their inhabitants' needs. Moreover, the building and settlement typologies are adapted to living with water, reflected by steep roofs, stilt constructions and minimised ground sealing. Building design in rural areas is less determined by building codes, standards and regulations than in urban areas. In urban areas, in contrast, the settlement structure features high densities and high ratios of ground sealing. Buildings are constructed with flat roofs that provide the opportunity for vertical extension of living space.

While in rural areas income is predominantly generated from agricultural activities, urban dwellers almost exclusively hold down jobs in the formal or informal sector. While natural building materials are available and produced in rural areas, urban dwellers need to purchase materials at markets. Thus, structural adaptation to climate change means a much higher financial burden to urban communities than to rural communities.

In both, rural and urban areas, communities and their livelihoods can be seriously affected by climate change. However, the concrete challenges differ. In rural areas, where income is mainly dependent on agriculture-based activities, livelihoods may be endangered by climate change impacts that affect crops and livestock. Urban communities, their settlements and livelihoods instead may be additionally affected by urban development pressures as well as by plans and projects that aggravate local climate change impacts. Inhabitants of informal settlements are in an exceptionally unfavourable situation as they often lack formal rights of tenure and thus, lack motivation to invest in cost-intensive structural adaptation measures. However, challenges caused by climate change in rural and urban areas may be interlinked:

For example, where disasters and gradual changes affect crops and harvests, prices for agricultural products are likely to increase and endanger food security in particular of the urban disadvantaged social groups.

2.4.4.2 Adaptation Strategies

CBA should result in the development and implementation of long-, medium- and short-term strategies. Long-term strategies may involve structural adaptation measures, socio-economic adjustments, livelihood diversification and behaviour change. In rural areas, in particular, long-term adaptation may involve changes in agricultural practices, such as the cultivation of resilient crops. In both, rural as well as urban areas, long-term adaptation should foster the strengthening of local institutions and organisations as well as collective self-help capacities (Baas & Ramasamy 2007:20, Reid et al. 2010:9ff). Short- and medium-term adaptation strategies that may be put into practice can be the construction of safe emergency shelters and save evacuation routes, the application of small-scale protection and adaptation measures that are immediately affordable as well as the development of warning systems (Schinkel et al. 2011:16ff.). Besides, recovery strategies help to mobilise mutual self-help activities and organise the re-establishment of community life after a disastrous event.

2.4.4.2.1 Examples for CBA in Rural Areas

Sustainable resource management and reforestation as well as the building of dykes and dams are feasible strategies to protect agricultural land from floods, inundation, salinisation and storms. Water conservation also plays an important part where climate change affects agricultural land and rural settlements; in drought-prone areas, the application of innovative water supply systems and rainwater harvesting methods are measures to overcome seasonal water scarcity. As livelihoods in rural areas are strongly dependent on agriculture, the adaptation of agricultural practices and management is of main importance, e.g. through crop and livestock diversification or through the use of organic fertilisers. Where income generation from agriculture is endangered, income-diversification is a feasible strategy to become less dependent on harvests. The sale of animals or traditional crafts and the purchase of food from food banks as well as the change of food habits are short-term strategies to cope with food shortage. (Reid et al. 2010:24ff., Baas & Ramasamy 2008:27)

2.4.4.2.2 Examples for CBA in Urban Areas

In urban areas, many income-generating activities related to the informal sector are home-based. Thus, the consolidation and structural adaptation of dwellings is not only important for the security of residents but also for their assets necessary for income-generation. Non-structural measures on the other hand can be the preservation and increase of natural vegetation to improve the micro-climate within residential environments. Moreover, waste management activities, even though not directly related to climate change adaptation, may significantly help to keep drainages and sewerage pipes unblocked and thus, to reduce flooding levels and the risk of environmental hazards (Reid et al. 2010:56).

2.4.4.2.3 Examples for CBA in both, Urban and Rural Areas

In disaster-prone areas, whether urban or rural, disaster risk management and mitigation is of major importance for local communities, their agricultural production and income generating activities. Besides, (weather-risk) micro-insurance and credit schemes have gained significance (Reid et al. 2010:30). In areas that are frequently prone to extreme events, temporary or permanent migration to safer areas may be a feasible adaptation option (Reid et al. 2010:39). In order to prepare for disasters, environmental monitoring systems are feasible measures to support early warning (ibid.:14ff.). As short- or medium-term response, evacuation plans should be developed; emergency shelters should be built to accommodate affected community members. However, due to the availability of newspapers, TV, radio and social media, information is easier accessible in urban areas and disaster warnings can be disseminated more rapidly. As observed in Vietnam, social media have already started to be a low-threshold service to organise environmental activities and to disseminate knowledge (Schwartz & Schinkel 2013:95). Moreover, CBA in urban as well as in rural areas require the strengthening of capacities for mutual self-help and collective action, enabling policies and direct facilitation (Baas & Ramasamy 2008:27, Reid et al. 2010:39).

2.4.5 Putting CBA into Practice: Demonstration Projects

In order to put the theoretical approach of CBA into practice, two CBA demonstration projects were planned and implemented in Vietnam. The first demonstration project, referred to as the CBA Model Project, was implemented within the scope of the Megacity Research Project TP. Ho Chi Minh in 2010 and 2011, as a component of the Work Package 'Liveable City HCMC -

Urban Regeneration and Community-Based Adaptation'. The project was implemented in cooperation with a local community group, residing in District 4, Ward 8, of HCMC, their local authority and the NGO ENDA Vietnam as the main local cooperation partner. Two years after the CBA Model Project had finished, the opportunity to implement a second CBA project arose in Da Nang City. The case study 'Community-Based Adaptation & Climate-Resilient Housing targeting Low-Income Communities' was integrated into the 'Environmentally and Climate-Friendly Urban Development in Da Nang' project of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ). This CBA Transfer Project was implemented in 2013; it was set-up based on the experiences and lessons learnt from the CBA Model Project in HCMC and modified according to local conditions. Both demonstration projects were funded by different sources, had individual titles and objectives. However, the author of this thesis was involved in the planning and implementation of both projects. (cf. Schinkel 2014)

2.4.5.1 The CBA Model Project in HCMC

2.4.5.1.1 Timeframe and Funding Agency

The CBA Model Project was implemented from February 2010 to May 2011. The initial project duration was scheduled for eight months only, from February to September 2010. However after implementation the project was extended in order to ensure follow-up activities and a continuation of the adaptation efforts in the long-term (Schinkel 2013:373ff.).

2.4.5.1.2 Location and Local Climate Change Impacts

The area chosen for the CBA Model Project is located in District 4, Ward 8, of HCMC (Fig. 2-9, Fig. 2-10). District 4 is situated 1.5 km southwest of the city centre, surrounded by urban water bodies, namely by the Sai Gon River, by the Ben Nghe Canal and by the Te Canal. Regular high tide and heavy rain events cause flooding in the project area. Moreover, the high density of the settlement structure and the lack of open space and vegetation further thermal stress (ibid.).



Fig. 2-9: Location of the CBA Model Project in HCMC
(own figure)



Fig. 2-10: District 4 with Ward 8 at its Centre
(Photo: Schinkel 2012)

Ward 8 is divided up into four smaller administrative units - sub-wards - that show distinct disparities: While the majority of the inhabitants of Sub-Wards 1 and 2 have regular jobs and live in small houses with clear alleys, the narrow houses and disordered alleys of Sub-Wards 3 and 4 are inhabited by low-income earners engaged in small-scale businesses. For the CBA Model Project, a community group residing in Sub-Ward 2 was chosen, as the main partner in the CBA Model Project, ENDA Vietnam, had previously successfully worked with this community and the local authority (ibid.).

2.4.5.1.3 Aims and Objectives

The CBA Model Project was set up in order to support the local community in their adaptation efforts and to field-test the CBA approach in HCMC. The CBA Model Project intended to promote the CBA approach among the population, among local and national-level authori-

ties. Moreover, the CBA Model Project aimed at establishing new partnerships between different stakeholders to initiate joint adaptation efforts at the local level (ibid.).

2.4.5.1.4 Partner Structure

In Vietnam, genuine participatory approaches are still met with scepticism. Thus, the CBA Model Project was applied in cooperation with only a small number of supportive partners in order to create a successful demonstration project with convincing results. Local partners involved in the CBA Model Project were the local community of Sub-Ward 2 and their community leaders, the local authority of District 4, Ward 8, the NGO ENDA Vietnam and researchers of the Brandenburg University of Technology Cottbus (ibid.).



Fig. 2-11: Mapping Exercise & Focus Group Discussions
(Photos: ENDA Vietnam 2010, Schinkel 2010)

About 30 to 40 community members, representing all age groups, men and women, actively participated in the CBA Model Project. The community assessed local climate change impacts and retrospectively identified changes over time. Taking into account local capacities and resources, they developed an adaptation ‘action plan’ that was collectively put into practice. The community members, and in particular a community ‘committee’ that was formed in the course of the project, played a vital role in awareness-raising among neighbours and in sharing experiences (ibid.).

The local authority of District 4, Ward 8 strongly supported the CBA Model Project through mobilising community members and through active engagement in the project. This is particularly important as in the Vietnamese context, local authorities, such as the People’s Council and the People’s Committee, are the executive arm of the state on the one hand, but signifi-

cantly influence community life on the other. Thus, local authorities may support, but also constrain local activities (ibid.).

The NGO ENDA Vietnam was the main cooperation partner for the setting-up, planning and implementation of the CBA Model Project. ENDA Vietnam moderated and facilitated community processes, encouraged the community to take collective action and to share their experiences with neighbours and all relevant stakeholders. Moreover, ENDA Vietnam disseminated the results of the CBA Model Project not only among the participating community and their neighbours, but also among various organisations, national and international networks (ibid.).

Researchers from BTU Cottbus brought in results gained from climate change and adaptation research, such as flooding scenarios for the urban area of HCMC and recommendations for low-tech adaptation at the building and community level. All scientific information was 'translated' into popular science materials (Fig. 2-12, Fig. 2-13, Fig. 2-14). Besides, the researchers engaged in advocacy and put the relevance of bottom-up approaches for planning and climate change adaptation up for discussion among planning institutions and decision makers at various levels in order to identify opportunities to link bottom-up and top-down approaches to climate change adaptation (ibid.).

2.4.5.1.5 Structure of the CBA Model Project

The structure of the CBA Model Project followed the 'action planning' methodology (cf. Hamdi & Goethert 1997); the project was organised as a set of consecutive workshops with an integrated implementation phase.

The CBA Model Project started with a preparatory phase; ENDA Vietnam set-up a meeting with a 'core group', composed of community leaders, key community members actively engaged in MOs and the chairman of the local People's Committee. During the preparatory meeting, local climate change impacts, namely flooding and thermal stress, were identified. Through a 'flood mapping' exercise, areas most affected by flooding and factors aggravating the flooding events, such as the inadequacy of the existing drainage system or else the accumulation of solid waste and blocked drainages, were identified and located (ibid.).

Following the preparatory meeting, the first community workshop open for all members was held. The workshop focused on awareness-raising on climate change and again, on partici-

patory assessments of local climate change impacts involving all participants. In a first part, the researchers and moderators presented results of climate change research and explained trends for future impacts relevant for the CBA Model Project area (ibid.).

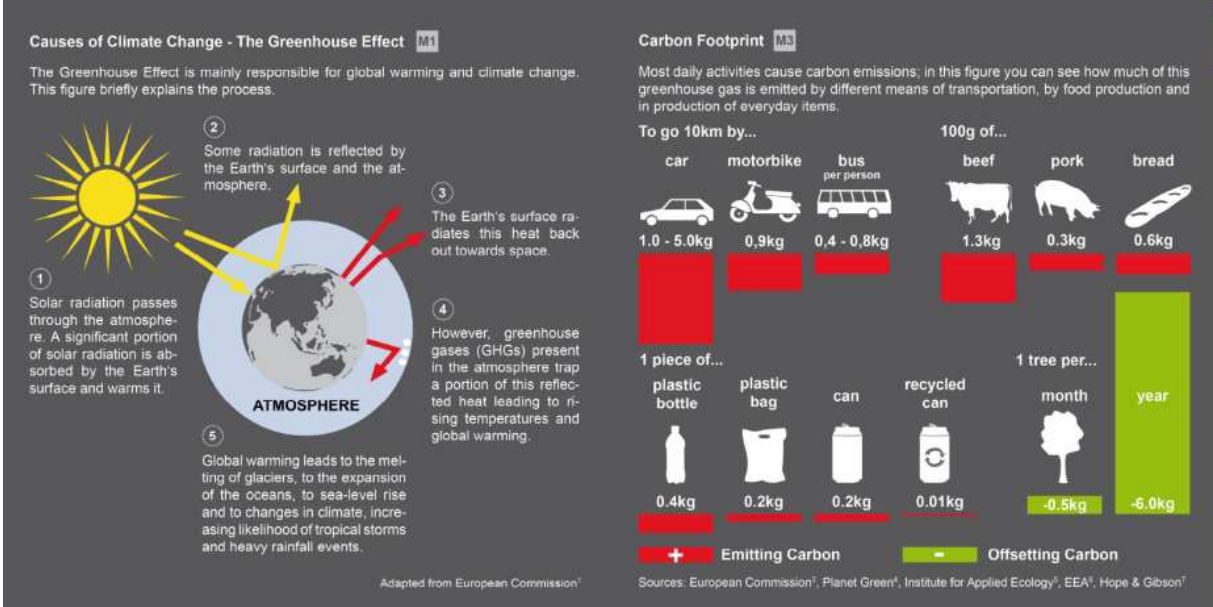


Fig. 2-12: Popular Science Materials for Awareness-Raising
(adapted from Schinkel et al. 2011)

In a second part, the community group was divided up into focus groups. The focus groups discussed locally felt climate change impacts, related individual day-to-day challenges and existing response strategies (Fig. 2-11, Fig. 2-13). Participatory techniques used during this workshop were the ‘problem tree’ to link climate change impacts as root causes and daily life constraints, the ‘seasonal calendar’ to identify the seasonal occurrence of flooding and the ‘historical profile’ to retrospectively monitor climate and environmental changes over time. All findings from the focus group discussions were summarised in a panel session (ibid.).



Fig. 2-13: Popular Science Materials: Problem Tree Tool & Flood Map
(adapted from Schinkel et al. 2011)

The community related the occurrence of thermal stress to a changing climate on the one hand but also to the prevailing lack of vegetation in the densely built up neighbourhood. Secondly, the community linked the increasing number and intensity of flooding events to construction works and to the filling of a natural drainage channel that was located close to their living environment. Moreover, the community named the inadequacy and the littering of drainages with domestic waste as main factors that aggravated flooding events in some areas within the ward. Main day-to-day challenges related to flooding named by the community were the inundation of ground floors, the instability of walls and roofs due to water penetration, the soiling and bad sanitary conditions as well as seasonally occurring mosquito plagues. In particular among the elderly, thermal stress was felt to cause health constraints (ibid., Schinkel et al. 2011:24)

Existing strategies to respond to flooding at the individual and community level mainly focused on the elevation of ground floors and storage areas, on the bailing of water during heavy rain events as well as on the use of moveable planks to ensure mobility (Schinkel et al. 2011:24).

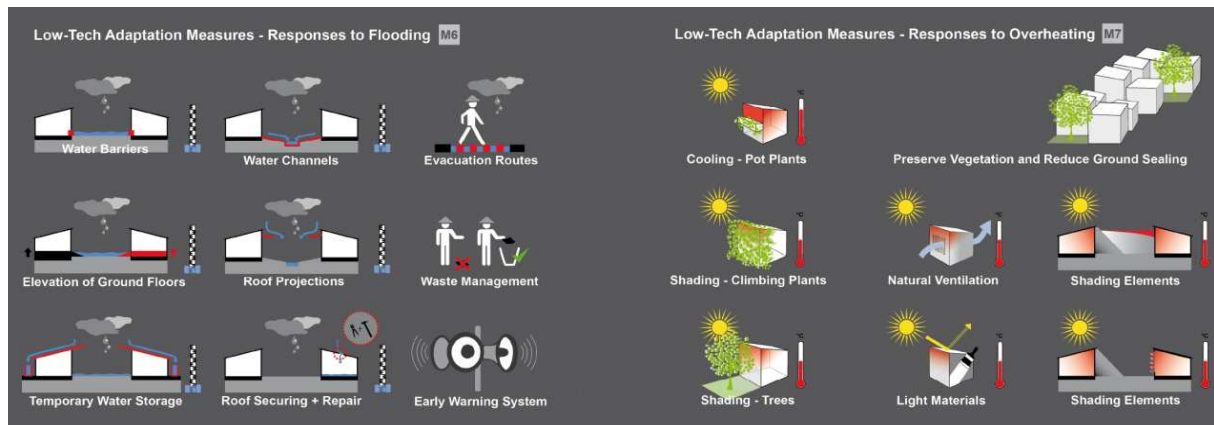


Fig. 2-14: Popular Science Materials: Low-Tech Adaptation Measures
(adapted from Schinkel et al. 2011)

The second community workshop, organised about two months later, focused on ‘action planning’ activities. Based on presentations of adaptation options for low-tech adaptation to flooding and thermal stress and additional options added by the community, the participants prioritised adaptation measures that they were willing to implement individually or collectively. The community agreed to put their ‘action plan’ into practice within the timeframe of two weeks. The ‘action plan’ summarised measures such as the growing of pot plants on streets and alleys, on balconies and on roof gardens in order to benefit from the shade and from the cooling effect of evapo-transpiration. Some families also decided to re-arrange their interiors in order to allow for more natural ventilation inside the house. In order to reduce the intensity and impact of flooding events, the community agreed to undertake waste-management activities to keep the drainages clear of domestic waste. Moreover, the community members agreed to avoid any unnecessary energy consumption as a mitigation measure (ibid.).

The ‘action planning’ workshop was followed by a two week long implementation phase. The community members arranged pot plants in open space, where possible, and moved furniture that blocked natural airflow within their apartments and houses. They started waste segregation at home and commissioned a private waste collector for removal. Moreover, they started to reduce the use of plastic bags for daily errands and other plastic items and looked after the cleanliness of drainages. On an individual basis, community members started to pay attention to switching off electronic devices when not in use in order to save electricity.

The third workshop, organised for the evaluation of the CBA Model Project at the community level, was scheduled about two months after the ‘action planning’ workshop. In a group discussion, all community members got the opportunity to contribute their opinion, personal ex-

perience and proposals for improvements and further activities. This workshop revealed that the community as a whole was satisfied with the CBA Model Project as such and with their 'action plan' and adaptation activities. However, the actual impact of the adaptation measures could not be measured in the short period between the implementation phase and the evaluation workshop. The community planned to continue their adaptation efforts, to regularly revise their adaptation strategy and to undertake modifications if necessary.

The fourth and fifth community workshop that followed in December 2010 and May 2011, focused on the summary of the CBA Model Project's results and lessons learnt, on the exchange of experiences among model community members and neighbours as well as on the initiation of replication projects. The fifth community workshop was also organised as an occasion to launch the CBA field manual, developed to provide information on climate change and to guide future replication projects. Unfortunately, these two workshops did not attract much attention from neighbouring communities; thus, the success to initiate CBA replication projects remained very limited.

2.4.5.1.6 Results of the CBA Model Project

The Model Project revealed that CBA is a feasible approach to develop and implement strategies and measures to respond to climate change at the local level. The model community proved to have the capacity to take centre stage in all project phases, to develop a community 'action plan' and to put their plan into practice. However, the success of the CBA Model Project was also due to a continuous and well-structured process that led to the achievement of visible results in a limited period. (cf. Schinkel 2014).

The evaluation of the project at the community level was positive. The 'action planning' approach to overcome local constraints related to climate change had a significant impact; the model community benefited from the adaptation measures and thus continued their activities after the CBA Model Project had come to an end. The community adapted the 'action planning' approach to raise other locally relevant issues and to collectively develop solutions. (ibid.)

While the CBA Model Project as such was successful, project replication in neighbouring areas could not be achieved. This result suggests that the transfer of the CBA approach to other communities, even within the same residential environment, is difficult. A successful

model case may act as a trigger, but replication projects require a similar degree of attention, support and funding as the model project. (ibid.)

2.4.5.1.7 Strengths and Challenges of the CBA Approach Applied in HCMC

The CBA 'action plan' and measures developed within the scope of the CBA Model Project in HCMC were well grounded on experience-based assessments of local climate change impacts and tailored to priorities, resources and capacities of the model community. Therefore, adaptation efforts could be continued after the CBA Model Project had finished. Community workshops and launching events proved to be good opportunities for exchange and mutual learning, as experiences, results and lessons learnt could simply be disseminated by word-of-mouth. (cf. Schinkel 2014)

However, as communities in general and low-income communities in particular, have limited resources available, the scope of the measured developed is inherently small and mainly focus on small-scale interventions and on behavioural change. Besides, the assessments undertaken by the community could only identify already perceptible impacts, such as flooding and heat stress, while future trends remained uncertain. (ibid.)

The CBA Model Project was planned as a rather isolated project. It became obvious that those rather small-scale measures are susceptible to disturbances emanating from larger-scale developments, plans and construction works. Thus, local-level measures and strategies need to be harmonised with plans developed at district and city level. Moreover, CBA and other bottom-up approaches to planning and development require an enabling policy environment that explicitly supports local-level initiatives, replication, out-scaling and up-scaling; otherwise, the success of CBA projects is dependent on the willingness and motivation of individuals within all stakeholder groups. (ibid.)

2.4.5.1.8 From the CBA Model Project to the CBA Transfer Project

The CBA Model Project implemented in HCMC attracted attention of CSOs and donor organisations all over Vietnam. In August 2013, about two years after the CBA Model Project had come to an end, a CBA Transfer Project could be initiated in Da Nang City, located in the centre of Vietnam. The CBA Transfer Project mainly focuses on storm-resilient housing and livelihoods; the project is still in the implementation phase and thus, does not yet provide any final results. (cf. Schinkel 2014)

In the preparatory phase of the CBA Transfer Project, the methodology used in HCMC was evaluated and adapted to the local conditions in Da Nang. Constraints and institutional barriers that occurred in the CBA Model Project, in particular related to replication, were addressed beforehand, through the integration of all relevant stakeholders from the beginning, namely - besides the local community - the People's Committees at city, district and ward level, the Association of Cities of Vietnam (ACVN), all relevant planning departments and MOs. Having obtained the support of all these actors, the CBA Transfer Project promises the initiation of a CBA grassroots movement, simple replication of initial activities and the integration of CBA and local-level initiatives into city-level adaptation plans. (ibid.)

2.4.5.2 The CBA Transfer Project in Da Nang

2.4.5.2.1 Timeframe and Funding Agency

Similarly to the CBA Model Project implemented in HCMC, the CBA Transfer Project was set-up as a rather short-term initiative to be implemented from September 2013 to March 2014. The project was funded by the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ). However, due to delays in project implementation, the CBA Transfer Project is not yet finished and thus, only intermediate results may be discussed.

2.4.5.2.2 Location and Local Climate Change Impacts

The area chosen for the CBA Transfer Project is located in Ward Hoa Hiep Bac, a ward within the greater Lien Chieu District, in the north-east of Da Nang City. While the ward is relatively large, the local population, about 12,000 people, is concentrated along the 1A main road, close to the coast and to the South China Sea. Hazards that affect the Ward Hoa Hiep Bac are typhoons, floods and high tides as well as seasonal droughts. About 28% of all households are rated as poor according to Vietnamese standards (Challenge to Change & Hue University 2009:43ff.). (cf. Fig. 2-15, Fig. 2-16)



Fig. 2-15: Location of the CBA Replication Project in Da Nang City
(own figure)

2.4.5.2.3 Aims and Objectives

The main objective of the CBA Transfer Project is to promote the approach of CBA among communities, city authorities, partners from civil society and other experts. At the local level, the project aims at enabling the local communities to develop their own strategies to respond to climate change and extreme weather events. At the city level, CBA is promoted as a feasible bottom-up approach to respond to climate change. As the CBA Transfer Project targets low and lowest-income communities, an innovative funding mechanism has been developed to enable the participating communities to raise and manage their own funds. GIZ's ECUD project supports the community savings fund with a 'seed fund'. (cf. Schinkel 2014)

Similar to the CBA Model Project in HCMC, the CBA Transfer Project aims at initiating multiplier effects and local replication projects. Through the integration of city authorities and a wide range of stakeholders, institutional barriers are dismantled and thus, the foundation is laid for successful replication, out-scaling and up-scaling. By developing and publishing field manuals that target different stakeholder groups, e.g. communities, local authorities and CSOs, the approach and its results are disseminated; the manuals serve as a guideline for replication projects and for the formulation of supportive policies. (ibid.)

2.4.5.2.4 Partner Structure

The CBA Transfer Project was set-up by GIZ and the Brandenburg University of Technology Cottbus–Senftenberg⁶ (BTU-CS) with a great variety of local partners. Besides the identification and integration of a community, the support from the People's Committee of Da Nang

⁶ The Brandenburg University of Technology Cottbus (BTU) was merged with the Lausitz University of Applied Sciences to become the Brandenburg University of Technology Cottbus-Senftenberg (BTU-CS)

City as well as from the People's Committees at ward and district level had to be sought prior to the project start. Other partners that became involved from the beginning were local departments at city level, the Da Nang Women Union (WU), the Association of Cities of Vietnam (ACVN) and the Da Nang Architects' Association (DNAA).

Similarly to the CBA Model Project in HCMC, the CBA Transfer Project is set up to enable the local community to take centre stage in all local planning tasks, including assessment and 'action planning', implementation and evaluation. The CBA Transfer Project even involves the initiation and management of a community savings and revolving fund at the ward level.



Fig. 2-16: Impressions of Ward Hoa Hiep Bac, Da Nang City
(Photos: Schinkel 2012)

The People's Committee of Da Nang has approved the project at the city level and, together with the People's Committees at district and ward level, provides institutional support essential for implementation, replication and up-scaling. City-level agencies, such as the Department of Planning and Investment (DPI), the Department of Construction (DoC) and the Da Nang Architects Association (DNAA) are also important implementation partners. Other important stakeholders that will directly support community processes at the local level are the Da Nang Women Union (WU) at the city and at the ward level as well as the Association of Cities of Vietnam (ACVN). ACVN and affiliated individuals (moderators, experts for local fund management, community architects), facilitate the community processes as well as the dissemination of results and guidelines. Through networking and dialogue processes, ACVN actively fosters the dissemination of results and lessons learnt, the replication and the up-scaling of the CBA Transfer Project.

2.4.5.2.5 Implementation

The CBA Transfer Project can be divided into three main phases, namely the 'pre-project phase', 'project implementation' and 'monitoring and evaluation'. However, the CBA Transfer Project is set up in order to prepare and facilitate the continuation beyond the official project duration. Project continuation is ensured through the training of local key persons in the field of storm-resilient housing construction, community facilitation and community savings fund management. During the 'pre-project' phase, a site within the Ward Hoa Hiep Bac was selected and the first organisational meetings were held with the participation of key stakeholders. The People's Committee of Da Nang approved the case study in July 2013. The 'project implementation phase' started in August 2013. Similarly to the CBA Model Project, the implementation of the CBA Transfer Project focuses on the community level, but also involves the district and city level to ensure the development of institutional awareness and structures for replication and up-scaling. The CBA Transfer Project was launched through an official Kick-Off Meeting at the Lien Chieu District in order to introduce the project approach to the wider public.



Fig. 2-17: Response Measures Applied prior to the CBA Transfer Project
(Photos: Schinkel 2013)

The first community meeting was held in order to assess local impacts of climate change, such as typhoons, floods and droughts and related challenges as well as response strategies already implemented by the community (cf. Fig. 2-17). This meeting revealed the community's limited financial capacity for immediate housing reconstruction. In a survey that followed the 1st community meeting, the building standard was evaluated and most vulnerable households were identified.

As a response to the community's low financial capacity, the second community meeting focused on the concept of Community Development Funds (CDF) and on the initiation of community savings activities. As a practical support, an exchange visit was organised to a community in Tam Ky, where representatives of the Hoa Hiep Bac community were trained in fund management techniques. Following this training, the first two savings groups were established.

The third community meeting focused on 'action planning' activities; the community members agreed to replant the willow tree (*Terminalia catappa*) forest as a storm protection measure, to purchase a power generator for the local emergency shelter and to postpone housing consolidation to a later point of time. In January 2014, the community collectively put their 'action plan' into practice. The replanting activity was launched as a public event and attracted media attention.

In the near future, in the second half of the year 2014, it is expected that the community members will have saved a considerable amount of money to finance the consolidation of their individual houses before the storm season starts. The savings group members will have the opportunity to withdraw money from their own savings and/ or to obtain a low-interest loan from the community fund. For housing consolidation, technical support will be provided by a community architect.

Results of community-level activities were regularly reported to the city-level authorities and departments. For this purpose, roundtable meetings were organised to give all city partners the opportunity to participate in shaping the process.

2.4.5.2.6 First and Future Anticipated Results

So far, the CBA Transfer Project helped to raise awareness on climate change among all stakeholders involved. The Hoa Hiep Bac community demonstrated a high motivation and capacity to act collectively, to undertake planning activities and joint decision-making, fund-raising and implementation. The CBA Transfer Project initiated a long-term process based on solidarity; thus, the project did not promote the implementation of single demonstration projects, but aimed at increasing the whole community's financial and adaptive capacity at their own pace. In order to raise the community's financial capacity, two voluntary savings groups were established in order to pool funds.

In experience-based assessments, undertaken with the help of mapping exercises and focus group discussions, the community identified local climate change impacts as well as locally existing assets and strategies to respond. A 'housing survey' helped to identify most vulnerable households. Based on their assessments, the community members planned adaptation measures that involved short-term as well as long-term measures. Thus, firstly, the community replanted the 'willow tree' forest as a precaution measure to protect their houses and community assets from storms. Secondly, the community purchased a power generator to service the local emergency shelter. The establishment of savings groups and a community development fund as well as housing reconstruction are part of a long-term adaptation strategy. As an overarching result, the community's social, economic and motivational vulnerability could be reduced, even though the implementation of housing reconstruction measures had to be postponed. Moreover, through the accumulation of their own savings fund and through the stimulation of collective decision-making and action, the community has become a considerable actor in urban development and climate change adaptation. (cf. Fig. 2-18)

Eventually, the implementation of a CBA Transfer Project will lead to the permanent reduction of the community's vulnerability to storms, to reduced damage, health issues and loss. The integration of all relevant stakeholders, the publication of field-manuals for different target groups, networking activities and roundtable meetings will simplify replication, out-scaling and up-scaling.



Fig. 2-18: Experience-Based Assessments and Mapping Activities
(Photos: Le Thi Le Thuy & Trinh Thi Hong (ACVN) 2013)

2.4.6 Challenges of CBA

Not only in Vietnam, but also in the global context, CBA is still a new approach. While a significant number of pilot projects have been successfully implemented in many countries all

over the world, theory and practice are still at the beginning but proceed rapidly (Huq & Reid 2007:2).

One of the major challenges for CBA in general is to find practical ways for the replication, out-scaling and up-scaling of model initiatives (Reid et al. 2010:70ff., IISD 2011:14). Ayers (2011a:840 in Regmi 2012:3) emphasises that despite the obvious potentials of CBA, the up-scaling to the policy level is problematic due to missing links between the practitioners and the policy level. On the one hand, there is lack of an enabling policy environment and government support (Ensor & Berger 2009a:174ff.); on the other hand, practitioners have neglected to disseminate results of CBA projects more widely and to establish links to the policy level (Dodman & Mitlin 2011 in Regmi 2012:3). Thus, the CBA approach needs to reach beyond the level of the individual project; partnerships have to be built involving networks of CSOs and policy-makers in order to carry forward the incorporation of CBA and local adaptive capacity into adaptation policies, plans and projects (Regmi 2012:3, Shaw 2003 in Regmi 2012:3, Sabates-Wheeler et al. 2008 in *ibid.*). While policy-makers need to consider opportunities to link top-down adaptation efforts to bottom-up approaches, such as CBA, practitioners should develop more strategic projects that are linked to already existing climate change policies, plans and measures (Ayers & Huq 2009 in *ibid.*).

However, besides up-scaling, another main challenge of CBA is the operationalisation of the out-scaling of CBA initiatives, namely spreading the approach horizontally. As the social composition of communities, their exposure to climate change and their local conditions may differ widely, the management of CBA at the local level becomes an over-complex task that can be simplified only to a limited extent (Wisner & Mitchell 2011 in *ibid.*).

2.4.7 CBA in Theory of Planning

2.4.7.1 A Theoretical Approach

In order to understand the complex decision-making and strategy development processes underlying CBA, it is worthwhile to study chosen aspects of Theory of Planning. While the foundations of strategic planning can be found in strategic warfare of the 5th and 4th century B.C. and to the early 19th century respectively⁷, strategy development and strategic planning

⁷ The text refers to the works of Sun Tse (Sunzi 1988, 1832 in Wiechmann 2008:12) and of the Prussian general Carl von Clausewitz (1989 in Wiechmann 2008:12).

undertaken today is widely based on organisation and management theories. However, in Theory of Planning, there are two models of strategy development that are diametrically opposed to each other, namely the 'linear model' and the 'adaptive model'; a third model has been developed as a middle course to integrate both (Wiechmann 2008:12ff.).

2.4.7.1.1 The 'Linear Model' of Strategy Development

The 'linear model' considers a 'strategy' to be a plan and a guideline for decision-makers. A strategy is implemented by a conscious 'linear' planning process based on analytic-rational decision-making and consecutive phases, namely an assessment phase, a strategy formulation phase, an implementation phase and a subsequent monitoring and evaluation phase (Wiechmann 2008:16ff.). 'Linear models' of strategy development are based on the assumptions that strategy development is done by rationally acting stakeholders in a process that needs to be guided, controlled, governed and managed. In this context, the strategic planner is regarded to be the top of the hierarchy and to be in charge of controlling the entire process. Strategy development is considered to be based on comprehensive in-depth assessments and to result in comprehensively formulated strategies that are thoroughly implemented (ibid.). (cf. Fig. 2-19)

The concept of 'linear' strategy development was challenged by Karl Popper and Herbert Simon in the 1940s. Popper (1945 in Wiechmann 2008:21ff.) developed the concept of 'piecemeal engineering', which featured the implementation of smaller, problem-oriented reforms that can be constantly modified and improved. With this, Popper laid the theoretical foundations for incremental planning approaches (Popper 1945 in ibid.:20). Simon (1947 in ibid.:21ff.) developed the concept of 'bounded rationality', contesting the assumption that decision-makers or planners are able to estimate all (anticipated) consequences of all options and decisions. As a consequence, 'linear' strategy development, similar to other forms of strategy development, is based on rather subjective decisions of stakeholders who have just a limited ability to act rationally. Moreover, 'linear' strategic, comprehensive long-term plans are inflexible; they do not respond to changing objectives and conditions and are often out-dated before they reach the implementation phase (ibid.:22ff.).

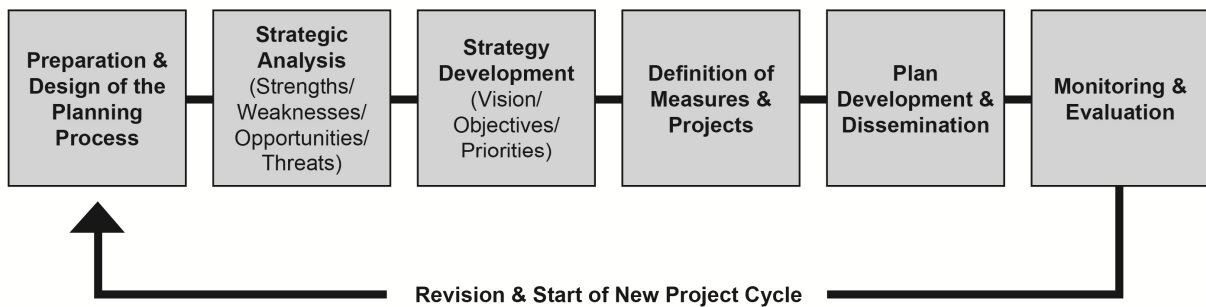


Fig. 2-19: Linear Cycle of a Strategic Planning Process
 (adapted from Wiechmann 2008:19)

2.4.7.1.2 The ‘Adaptive Model’ of Strategy Development

Alternative concepts to ‘linear’ strategy development take into account the complex reality of fragmented societies and accept that only a part of the planned strategies are in fact put into practice, while other strategies are implemented without having been intended before, so called ‘emerging strategies’ (Mintzberg et al. 1999:23 in Wiechmann 2008:27). Therefore, the ‘adaptive’ strategy model considers ‘strategy’ to be a decision pattern that is discovered retrospectively (Mintzberg 1978:937 in *ibid.*). The acceptance of ‘emerging’ strategies that evolve from day-to-day routines and from spontaneous decisions had a great impact on strategy development. (cf. Fig. 2-20)

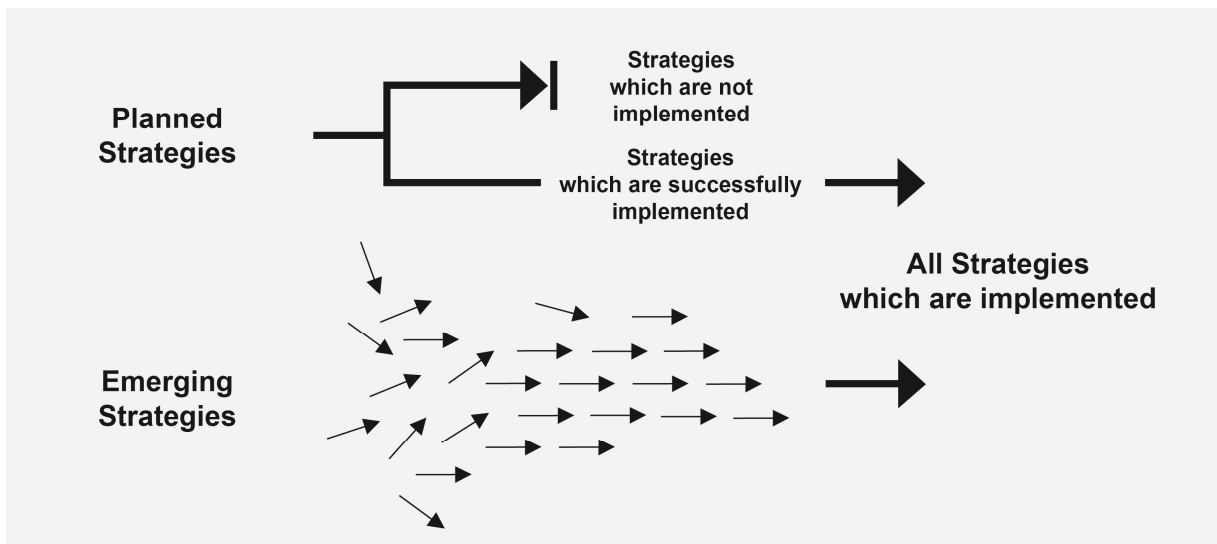


Fig. 2-20: ‘Linear’ Versus ‘Adaptive’ Strategy Development
 (adapted from Mintzberg et al. 1999:26 in Wiechmann 2008:27)

In contrast to the ‘linear model’ of strategy development, the ‘adaptive model’ denies the capability of a strategic planner to control and guide strategy development. Instead, strategy

development is considered to be a process of collective learning and modification, facilitated by the planner (ibid.:28). The top-down oriented 'linear' planning process is partly turned upside-down: Stakeholders select useful activities that are open to improvisations and visions. Strategies, as understood by the 'adaptive model', are based on experience and reflection; strategies that have developed in the past may serve as the basis for the future (ibid., March 1976 in ibid.:29).

The concept of 'adaptive' strategy development and planning was advanced by Charles Lindblom in the 1950s. Lindblom (1959 in ibid.:29ff.) formulated the basic idea of 'incrementalism' or 'disjoint incrementalism', the improvement through small steps, later on referred to as the 'science of muddling through'. The concept of 'disjoint incrementalism' rejects the formulation of long-term objectives; instead, the concept intends to improve the current situation and aims at a successive change towards an intended vision. Thus, the 'incremental' model significantly reduces the role of the planner and the expectations with regard to the planning results (ibid.:29ff.).

2.4.7.1.3 The Middle Course: The Integration of both Models

The discussion of the two extremes, the 'linear model' and the 'adaptive model' to strategy development, has led to the development of a third model that brings both together. In literature, this middle course is described by a variety of metaphors. Henry Mintzberg and Alexandra McHugh (1985 in ibid.:38ff.) compare strategy development to the growing of plants. They oppose the 'linear' 'hothouse' model that cultivates plants according to market demands and the rather 'adaptive' 'grassroots' model, describing how plants just grow by themselves in a favourable environment. As a second example, Friedrich August von Hayek (1969, 1980 in ibid.:39ff.) distinguishes between 'taxis' organisations that are planned, such as institutions or governments, and 'cosmos' organisations that are unplanned and self-organising, such as society, language or moral, but guided through guidelines and regulations which leave space for spontaneous development. Both metaphors, describe the alternation of planned and 'emerging' spontaneous strategies.

Examples for planning approaches that link both, 'linear' and 'adaptive' strategy development are Amitai Etzioni's 'mixed scanning' concept (ibid.:45ff.), the 'strategic choice approach' developed by John Friend and William Jessop in the mid 1960s (1977:97, 1969:112 in ibid.:48.ff), the 'logical incrementalism', developed by James B. Quinn in the early 1980s

(Quinn 1980:2, 1982:623 both in *ibid.*:52ff.) and Karl Ganser’s ‘perspective incrementalism’ (Ganser et al. 1993:114ff., Ganser 2006:544, both in *ibid.*:53ff.). From all these approaches, the ‘mixed scanning’ concept of Amitai Etzioni seems to be suitable to explain CBA in the context of Theory of Planning.

2.4.7.1.4 Amitai Etzioni’s ‘Mixed Scanning’ Concept

Amitai Etzioni developed the ‘mixed scanning’ concept as a reaction to Lindblom’s ‘disjoint incrementalism’ (Etzioni 1967:45ff. in *ibid.*:47ff.). The ‘mixed scanning’ model links incremental action and decisions to an overarching, general strategic direction. ‘Mixed scanning’ features two decision-making or ‘scanning’ levels. The higher ‘scanning’ level, which reflects strategic planning, is concerned with the development of a general direction or strategy. At the detailed ‘scanning’ level, or project-oriented planning level, incremental decisions are taken and detailed objectives are formulated that all follow the general strategic direction provided by the higher ‘scanning’ level. Each level requires a different degree of ‘scanning’, namely a limited ‘scanning’ of chosen ‘decision fields’ (‘truncated scanning’) at the higher ‘scanning’ level and a more in-depth ‘scanning’ (‘full detail scanning’) at the detailed ‘scanning’ level.

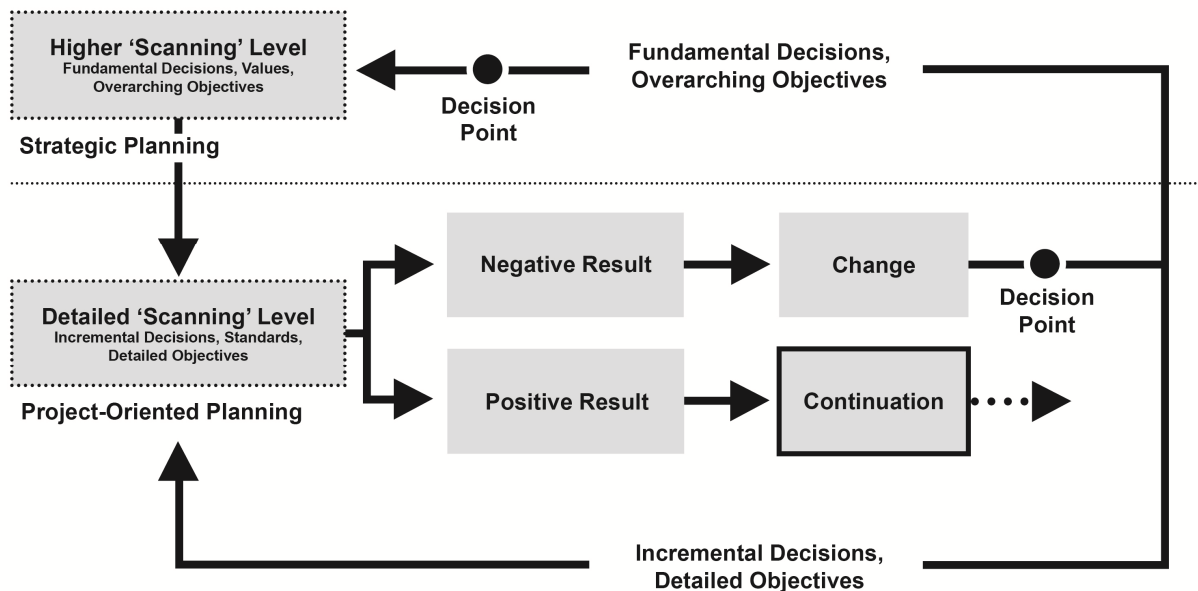


Fig. 2-21: Etzioni's 'Mixed Scanning' Concept
(adapted from Muller 1992:148 in Wiechmann 2008:47)

If incremental decisions and activities show negative results, a decision has to be taken, whether strategic change needs to be induced at the higher or at the detailed ‘scanning’ level. Consequently, the higher and the detailed ‘scanning’ levels are interdependent; while the higher ‘scanning’ level provides the scope for decision-making at the detailed ‘scanning’ level, the detailed ‘scanning’ level helps to prepare and implement fundamental decisions at the higher ‘scanning’ level at the same time (Etzioni 1967:45 in *ibid.*:47ff.). (cf. Fig. 2-21)

Etzioni’s ‘mixed scanning’ concept offers the opportunity to coordinate incremental decisions and action through the provision of a guiding framework. However, the effective and efficient implementation of incremental planning and decision-making at the detailed ‘scanning’ level is dependent on the capacities of local institutions to control their environment (Etzioni 1967:391 in *ibid.*:47).

2.4.7.2 CBA as a ‘Mixed Scanning’ Approach

CBA, as discussed previously, is a people-centred approach that enables communities to develop their own adaptation strategies. These local-level strategies, which are determined by resources and capacities available, can be described as incremental strategies, based on in-depth detailed ‘scanning’.

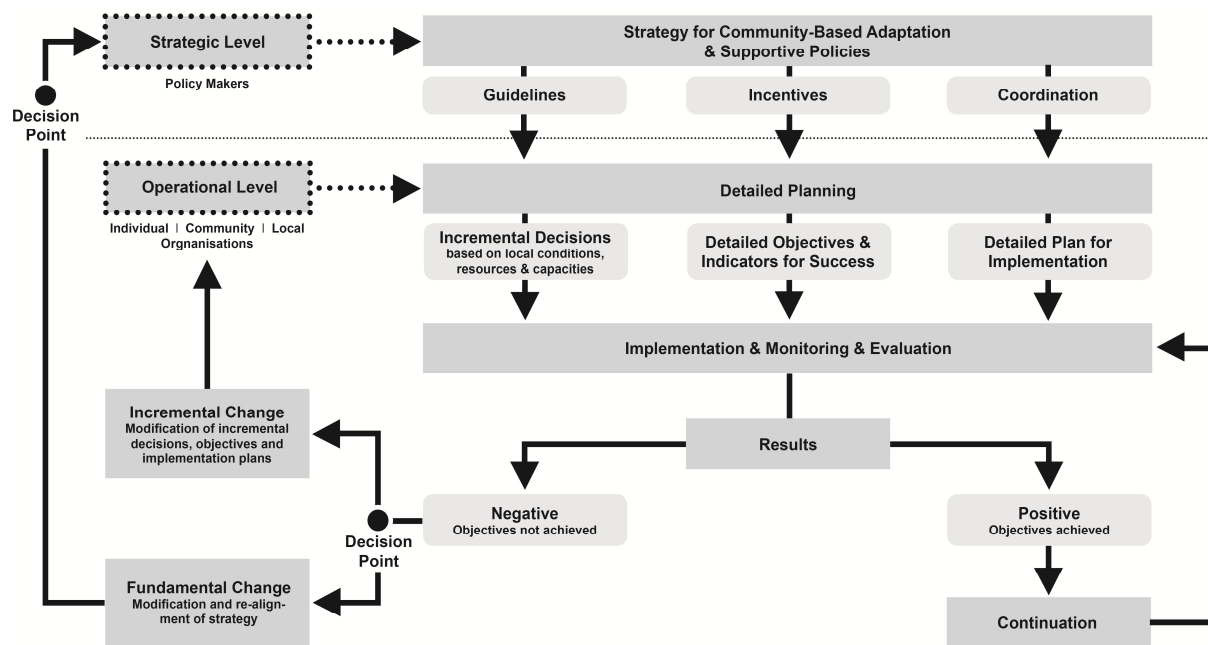


Fig. 2-22: CBA as a ‘Mixed Scanning’ Concept (own figure)

Theorists and practitioners alike emphasise the need for higher-level, city, provincial or even national-level strategies, policies and plans to enable local-level CBA activities and related incremental decision-making. This level resembles the theoretical higher ‘scanning’ level. Thus, the ideal concept of CBA involves parts of Etzioni’s ‘mixed scanning’ concept, namely the existence of (at least) two decision-making levels that interact with each other, exchange information and shape each other’s decision-making processes. However, in the absence of a guiding framework, response strategies planned and implemented by communities may be considered to be ‘emerging strategies’ based on Mintzberg’s concept.

Fig. 2-22 illustrates two potential decision-making levels for CBA based on the ‘mixed scanning’ concept, namely the ‘strategic level’, which represents the higher ‘scanning’ level, and the ‘operational level’, which resembles the detailed ‘scanning’ level. At the ‘strategic level’, an overarching strategy and an enabling framework is developed, including policies, plans and guiding principles for climate change adaptation, incentives and coordination mechanisms. CBA activities at the local ‘operational’ level are planned and implemented based on the enabling framework, taking advantage of the support and incentives provided. After an evaluation, positive results of CBA activities undertaken at the ‘operational’ level ideally lead to the continuation of the local activities; negative results, however, necessitate a strategy change either at the ‘strategic’ or else, at the ‘operational’ level. (cf. Fig. 2-22)

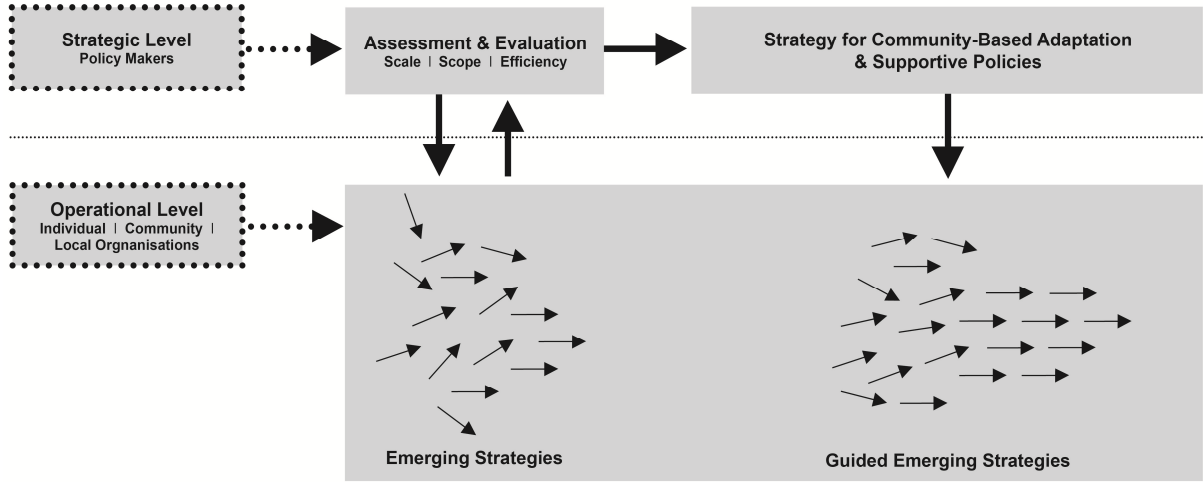


Fig. 2-23: Guidance of ‘Emerging Strategies’
(own figure)

The ‘mixed scanning’ concept is based on the assumption that an overarching, long-term strategy enables incremental action. However, in the case of CBA, reality shows that there is

lively, rather independent activity at the local level. These ‘emerging’ strategies (cf. Mintzberg et al. 1999:23 in Wiechmann 2008:27) may have evolved over generations and modified in response to environmental or gradual changes in climate. Here, it seems worthwhile to consider how ‘emerging’ strategies could be discovered, coordinated and integrated into larger-scale adaptation plans. An area-wide assessment and evaluation of these different ‘emerging’ strategies may serve as an information basis for the development of an overarching strategy for CBA. (cf. Fig. 2-23)

2.5 Planning, Management and Governance in Mega-Urban Regions

2.5.1 Mega-Urban Regions

The impacts of globalisation have changed the traditional role of cities, turning them into global players and competitors at the same time. Therefore, cities have become more than ‘places’; they have become manifestations of ‘processes’ linked to a globalising world (Cabigon 2008:73ff.). Globalisation brings about increasing amounts of economic activity, long-distance and cross-border relationships, and along with that conflicts and dilemmas that require political attention, collective decision-making and action at various levels, from the local to the international level. Mega-urban regions host large numbers of inhabitants and join masses of capital and labour; they generate a huge diversity of social life and extreme social fragmentation (Scott 2001:813ff.).

Mega-urban regions extend spatial boundaries of mega-cities; in the course of their rapid growth and expansion, they engulf towns and smaller cities within their periphery as well as rural areas and agricultural land in between. Thus, mega-urban regions feature both, urban and rural characteristics. Mega-urban regions cut across political-administrative boundaries and usually fail to generate an overarching authority for joint planning and governance (Laquian 2008:3ff.). The Greater HCMC area can be classified as a mega-city dominated city region, with HCMC as its centre, but spreading out to neighbouring provinces. Fifteen satellite towns are planned in order to respond to the high development pressure (Phi Vinh Tuong 2011:323ff., Labaeye et al. 2012: 373). (cf. Fig. 2-24)

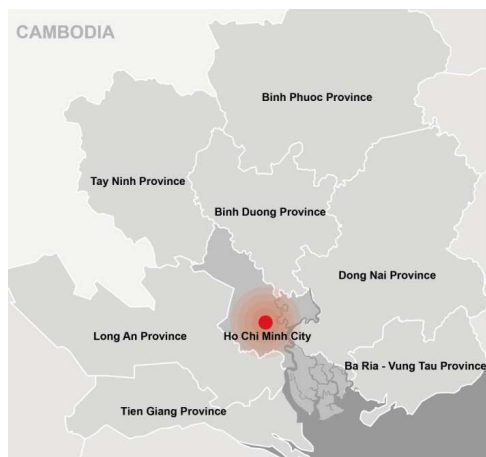


Fig. 2-24: Greater HCMC Region with Neighbouring Provinces
(own figure)

Large-scale projects in the peri-urban area of HCMC

- 1 Phy My Hung (Saigon South)
- 2 Nha Be New City
- 3 Hiep Phuoc Industrial Complex
- 4 Thu Thiem New Urban Center
- 5 Thanh Da - Binh Quoi
- 6 HCMC High-Tech Park
- 7 Sports City
- 8 Tan Tao Industrial Zone
- 9 Binh Tri Dong Residential Project
- 10 Northwest Metropolitan Area

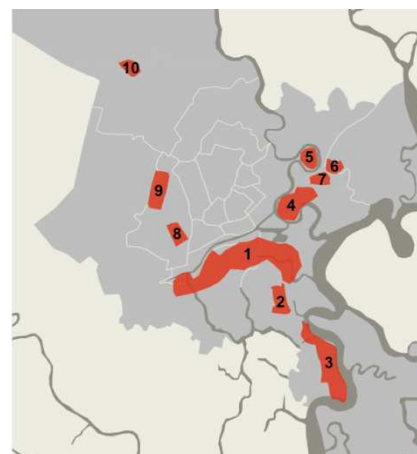


Fig. 2-25: Large-Scale Projects in the Peri-Urban Area of HCMC

(adapted from GSE&C 2007 in Douglass & Liling Huang 2007:4)

HCMC does not only absorb and remodel smaller towns in its periphery but also creates ‘self-contained’ cities at the mega-urban fringe. HCMC is already surrounded by a ‘donut’ of mega-projects, such as the ‘Phu My Hung’ (Saigon South), ‘Thu Thiem New Development Area’ and ‘Nha Be New Town Area’ that promise up-market living conditions and an international lifestyle exclusively to higher income groups (Douglass & Liling Huang 2007:2ff., 28). (cf. Fig. 2-25)

2.5.2 Relevant Terms and Definitions

2.5.2.1 Public Policy

In order to respond to the complexity of conflicts and challenges posed by globalisation and climate change on urban areas and mega-urban regions in particular, innovative governance, management and planning approaches are required that go beyond traditional planning. However, a term that is directly related to urban governance, management and planning is the term ‘policy’ or ‘public policy’.

“For the most part, “policy” and “planning” are used in their ordinary language sense and are, therefore, virtually indistinguishable from a strategy, programme, design description, schematic, and guide – and they are often made synonymous with decisions, goal and, outcome.” (Landau 1973:537 in Mant 1988:18)

In other words, 'public policy' is "whatever governments choose to do or not to do" (Dye 1981:1 in Mant 1988:18). Urban policy is part of public policy. 'Urban management' needs to fulfil four fields of policy tasks, namely fiscal and monetary policy setting, the organisation of the public sector and its administrative structures, investment decisions and development control (Mant 1988:18ff.).

2.5.2.2 Urban Governance

'Governance' is a generic term that refers to the exercise of political and administrative authority to manage a country's or - as in this case - a city's affairs, to decision-making processes and their implementation. 'Governance' summarises mechanisms, processes as well as institutions that allow citizens and interest groups to articulate and negotiate their interests, exercise their legal rights and perform their obligations (Committee of Experts on Public Administration 2006 in United Nations System Task Team 2012:3, UNESCAP n.d.).

As contemporary pluralist societies and global development require complex ways of decision-making, political 'steering' had to be replaced by the approach of 'governance'. While 'political 'steering' required a powerful state, a strong hierarchical political leadership structure and a clear distinction between those "who govern and those who are governed", 'governance' describes rather horizontally organised structures of cooperation between different stakeholders that act without a sovereign power (Farazmand 2012:224, Baerenbrinker 2011:33, Mayntz 2002:15, Benz 2007:3 in Baerenbrinker 2011:31ff.). Contemporary forms of 'governance' put forward direct partnerships between non-state actors and national or local governments (ibid.) through non-hierarchical networks and thus, feature overlapping responsibilities. These networks have clear organisation structures and concrete mandates, but need to be enabled by the legislative framework and institutions at different levels, as horizontally organised governance structures do not effectively operate without vertical forms of coordination. Thus, the state has become a rather enabling and empowering instead of a controlling actor (Baerenbrinker 2011:35ff., Tolkki et al. 2010 in Baerenbrinker 2011:35, Rhodes 1997 in Mayntz 2003:1 and Ansell 2000:303 in Baerenbrinker 2011:34).

Consequently, 'urban governance' describes the relationships of actors and their contribution to urban development. The enablement of non-state actors is particularly important where the state or municipality lacks the capacity to solve increasingly complex urban development issues that require tailor-made local-level solutions. However, 'urban governance' may also

refer to the strategic development orientation of a city and its main decision-makers. In this context, Pierre (1999) distinguishes between four general strategic ‘urban governance models’, namely the ‘managerial governance model’, the ‘corporatist governance model’, the ‘pro-growth governance model’ and the ‘welfare governance model’ (Pierre 1999:378ff.).

Over the past decades, a variety of ‘governance’ concepts has evolved that all reject authoritarian, bureaucratic forms of government (Farazmand 2012:226), such as ‘meta-governance’ (cf. Jessop 2003 & 2011) and ‘mega-governance’ (cf. Jiang Xu & Yeh 2011), ‘social’ (cf. Geddes & Benington 2001) and ‘social-political governance’ (cf. Kooiman 2007), ‘participatory governance’ (cf. Fung & Wright 2003, Gaventa 2004, Fischer 2006) or ‘regulatory governance’ (cf. Jayasuriya 1999, Bauer et al. 2007). Developed in the 1990s, ‘good governance’ has become particularly important as a concept to eliminate corruption, non-transparent decision-making, bureaucracy and mismanagement in developing countries. The concept became both, a development objective and a condition for the reception of development aid (Nanda 2006:269, Santisio 2001a:154, Santisio 2001b:3). However, while ‘good governance’ aims at fostering participatory decision-making and consensus building, at creating equity among all people and at the promotion of human rights (UNDP 1997 in Graham et al. 2003:3), the concept is criticised by social scientists and practitioners alike as being an imperialistic concept forced upon developing countries and overburdening their governments (Farazmand 2012:228, Grindle 2004:525 in Grindle 2007:553).

Therefore, Grindle (2007:553) introduced the concept of ‘good enough governance’ in 2002, as a concept that meets “minimal conditions of governance necessary to allow political and economic development to occur” (Grindle 2004:526 in Grindle 2007:554). Farazmand (2012:227ff.) developed the concept of ‘sound governance’, as another alternative to ‘good governance’, that respects genuine features of indigenous governance systems and local societal values, even those that are at odds or conflicting with standards of foreign, global powers (Farazmand 2012:227ff.).

In the particular context of Vietnam, ‘governance’ and ‘good governance’ is often confused with the meaning of ‘good government’. In contrast to ‘good governance’, ‘good government’ is a synonym for the quality and effectiveness of public welfare and service provision (Koh 2009:252).

2.5.2.3 Urban Management

'Urban management' is not yet clearly defined and thus, a rather elusive concept (McGill 1998:463, Werna 1995: 356 in McGill 1998:463). 'Urban management' incorporates all activities necessary to plan, control, harmonise and guide urban activities. One of the main tasks of 'urban management' is to integrate operations of different disciplines, e.g. urban planning, architecture, engineering and infrastructure planning, economics, sociology among others, at each level, using available resources and capacities. Thus, 'urban management' ensures the creation of 'outputs', urban service delivery, financial profits or increasing living quality, through the effective and efficient allocation and management of resources and processes (Chakrabarty 2001:331ff.). 'Urban management' uses principles and techniques borrowed from traditional, corporate management. In particular in the American context, strategic planning is highly related to corporate planning; it is understood to be a tool for fundamental decision-making (Chakrabarty 2001:331ff., Wiechmann 2008:127).

The concepts of 'urban management', 'urban planning' and 'urban governance' partly overlap; approaches which feature both, 'management' and 'governance' concepts are 'Integrated Urban Governance' or 'Multi-Level Governance'. Both approaches exhibit excellent instruments to decentralisation and successful 'urban governance' and 'management' that may be valuable for CBA.

2.5.2.3.1 Integrated Urban Governance

'Integrated Urban Governance' goes beyond the mere coordination of policies and the fostering of cooperation between different departments, sectors and disciplines. 'Integrated Urban Governance' fosters the horizontal integration of different sectors and the vertical integration between different levels of government. The approach integrates activities and decisions of neighbouring administrations, regional and national administrations as well as civil society actors. Decisions are taken at the level that is most appropriate and underprivileged groups are enabled and empowered to articulate and negotiate their interests, needs and concerns (Barros & Borrel 2011:3ff., UNCHS 2001 in Borros & Borrel 2011:11).

Within city boundaries, political arrangements, such as councils, composed of representatives of different stakeholder groups, facilitate the formulation of integrated policy goals. The implementation of the overall framework strategy can be put into practice through organisational arrangements, e.g. through the merging of departments, through the formation of inter-

departmental steering committees, or else, through departmental amendments, benchmarking, incentives and promotions systems. Coordination, mediation and monitoring can be undertaken by central political steering bodies. Cooperation between different stakeholder groups can be fostered through public private partnerships (PPP) and public social private partnerships (PSPP) (Barros & Borrel 2011:30ff.). Beyond administrative boundaries, cross-border cooperation, harmonisation and consensus building can be fostered through dialogue, regional networks and inter-governmental working groups. Communication, capacity building and awareness-raising can be enabled through mutual exchange (Barros & Borrel 2011:33ff.).

2.5.2.3.2 Multi-Level Governance

'Multi-level governance', as the second example, facilitates the organisation of affairs within supranational organisations, such as the EU, over multiple levels, from the national level to the local level as well as, conversely, to the global level, ensuring an effective operation at the most adequate scale in each case of planning and decision-making (Gray 1973 in Marks & Hooghe 2004:15ff.). Marks and Hooghe (2004:15ff.) distinguish between two types of 'Multi-Level Governance': Type 1 is based on the dispersion of authority at a limited number of hierarchical levels, with each level having a range of responsibilities and functions that do not intersect. Type 2, in contrast, is composed of a rather huge number of flexible jurisdictions with varying scales that are formed and suspended on demand. This 'Multi-Level Governance' type is rather flexible and adaptable; here, responsibilities may overlap.

In 'Multi-Level Governance' spatial policy instruments, e.g. 'Policy Platforms' or 'Local Action Plans for Integrated Projects', help to avoid fragmented interventions: 'Policy Platforms' support voluntary policy coordination and mutual learning among participating organisations, while 'Local Action Plans for Integrated Projects' are instruments that provide participatory local-level solutions. Regional, city or neighbourhood-level 'action plans' need to be harmonised with objectives set at the national level. Besides, coordinated territorial networks foster the development of joint territorial action plans and the cooperation between cities and regions (Tasan-Kok & Vranken 2011:22ff.).

Instruments that target stakeholder cooperation at the neighbourhood level are 'local development coalitions', which act and speak on behalf of the participating communities and which can form mutual support networks. Examples for these instruments are 'Local Strategic Part-

nerships' (LSP) that bring together organisations from different sectors, 'Local Action Teams' (LAT) as parts of LSPs that define and develop community-led projects as well as 'Local Support Groups' (LSGs) that ensure effective implementation (Tasan-Kok & Vranken 2011:33ff.).

The systematic coordination between different levels of governance is facilitated by 'planning and programme contracts', 'implementation contracts' and 'cooperation contracts' (OECD 2005 in Tasan-Kok & Vranken 2011:35ff.). Policy instruments, such as 'Local Climate Investment Programmes' support bottom-up decision-making in order to develop local solutions for macro-level issues (Tasan-Kok & Vranken 2011:43ff.).

Instruments applied within the EU as a supranational organisation are unlikely to be completely transferable to the Asian context. However, the policy instruments outlined in this chapter can show the way in seeking to facilitate 'integrated governance' and CBA elsewhere.

2.5.2.4 Urban Planning

According to Chakrabarty (2001:331) 'urban planning' is a sub-discipline of 'urban management' and thus, a public policy activity (Mant 1988:18, Safier 1983:113). There is a wide range of urban planning disciplines, such as transportation planning, community and social planning as well as investment planning, local authority corporate planning, and eventually, land-use planning, urban and regional planning, town planning and urban development planning (Safier: *ibid*). However, in the context of fast growing mega-cities and their structural, political, social, economic and spatial disparities, 'urban development planning' has evolved as a comprehensive planning approach that goes beyond the spatial organisation of resources, people and services. In contrast to spatial and land-use planning, urban development planning considers urban conditions and options for improvement, based on social and economic dynamics (Safier 1983:110). The concept of 'urban development planning' strongly overlaps with the understanding of 'urban management', as both are rather holistic concepts that are concerned with the effective and efficient use of resources and distribution of urban goods and services.

2.5.3 Governance, Management and Planning of HCMC

2.5.3.1 Challenges for the Governance, Management and Planning of Mega-Urban Regions

Urban areas - and mega-urban regions in particular - face a range of challenges that are directly or indirectly related to their position in a globalised world. These challenges allude to the maintenance of international and inter-regional competitiveness on the one hand, but also to the promotion and stabilisation of local economic growth as well as to resolving social disparities and spatial fragmentation on the other. In mega-urban regions, administrative boundaries have started to become obsolete, necessitating cross-boundary cooperation of administrations and other stakeholder groups. The increasing availability and access to information leads to a growing demand for public participation in political decision-making (Barros & Borrel 2011:3ff., Baerenbrinker 2011:39).

Besides the growing complexity of governance, planning and management tasks in mega-urban regions, political leaders and administrations face constraints related to institutional fragmentation and over-bureaucratisation, limited financial and personal capacities as well as related to their lacking autonomy from central or provincial governments (Laquian 2008:14ff.). As an example, the administrative organisation in Vietnam shows a distinct lack of horizontal cooperation between departments as well as a hierarchical fragmentation between different administrative levels. The influence of urban planning is restricted to the area located within municipal administrative boundaries. As a consequence, issues that touch different sectors and that cut across jurisdictional boundaries are addressed by authorities that are created for this particular purpose (ibid.:6ff.). As the traditional instruments of physical planning and political steering are no longer adequate to attend to planning issues of mega-urban regions, innovative concepts and comprehensive planning strategies need to be developed that planners and administrations alike may not be prepared for (ibid.). The current planning practice in Vietnam and in HCMC in particular is a typical example for these shortcomings.

2.5.3.2 Particular Challenges for HCMC

In the past, HCMC has experienced classical city planning, colonial city planning - as the 'Paris of the Orient' (Njoh 2010:5) - as well as socialist city planning that focused on manag-

ing cities as production resources (Laquian 2008:8ff., Coulthart et al. 2006:2). The current planning system is not yet prepared for an integrative and comprehensive strategic planning approach: “Cities in Vietnam have entered the 21st century without the urban policy, management, governance, or infrastructure to fulfil the role cities typically play in a market economy” (Coulthart et al. 2006:3, Laquian 2008:8ff.). Moreover, effective urban planning is hampered by ownership conflicts as the land belongs to the state and can only be taken on lease for officially approved uses. In practice, however, leases extend over decades and land use is increasingly privatised under market pressures, even if government approval is still legally required (Douglass & Liling Huang 2007:28).

2.5.3.3 The Integration of Top-Down and Bottom-Up Planning Strategies

New multi-dimensional challenges faced by Asian megacities and mega-urban regions and past failures of top-down planning approaches have resulted in a rethinking of planning as such and in the formalisation of citizen participation in planning processes. (Fraser et al. 2006:114, Chambers 1997, Pound et al. 2003 in Fraser et al. 2006:115). Over the past decades, the significance of bottom-up planning approaches has grown, especially those that enable local-level decision-making, self-help and self-management (Choguill 1994:935ff.). It is widely accepted that - particularly in fast growing cities - planning lags behind actual development that evolves from bottom-up (Walloth 2012:2). Thus, planners and decision-makers need to foster the integration of slow top-down planning processes and spontaneous bottom-up dynamics. In other words, planning should provide the chance and the framework for change to ‘trigger’ into the urban system ‘from below’ (Walloth 2012:4ff.).

However, in Vietnam, urban planning follows a strong top-down approach; the development of city master plans is undertaken as a highly hierarchical, formalistic procedure that lacks participation of citizens and non-state actors. As a result, there are strong disparities between ‘good planning’ and ‘unsustainable reality’ (Waibel et al. 2007:74 in Liu Ruo Xuan et al. 2012:3). Despite the existence of current legal provisions, such as the Law on Urban Planning⁸ that emphasises the need of people’s participation in urban planning procedures, state authorities still largely ignore the potential of active citizen participation and bottom-up approaches. This is particularly critical in fields where top-down initiatives generally fail to provide adequate services (ibid.).

⁸ ‘Law on Urban Planning’, The Socialist Republic of Vietnam & the National Assembly (2009)

Governments can enable bottom-up initiatives through policies, plans and programmes. Here, it is necessary to note the different meanings of 'policy', 'plan' and 'programme' that are often used interchangeably in the economic and political contexts of different countries. 'Policies', 'plans' and 'programmes' are tools to forward planning and to allocate public resources accordingly. In a multi-level planning and decision-making process, a policy is formulated at the highest level that is followed by a plan and a programme in the end. A 'policy' is therefore considered to be the 'inspiration' or 'guidance' for action, a 'plan' as a set of 'co-ordinated objectives' for policy implementation, and a 'programme' as a set of projects (Wood & Dejedour 2012:8).

In the field of climate change adaptation and mitigation, a range of instruments have been developed which support the implementation and enforcement of national policies at the local level, such as control and regulatory instruments, economic and market-based instruments, fiscal instruments and financial incentives (UNEP 2007:1).

A successful pioneer programme that enables community-based urban upgrading is the 'Baan Mankong' programme launched by the Thai Government in 2003. The programme puts into practice a national policy through subsidised loans, supportive intermediary institutions and collective action at the local level (Boonyabanacha 2004, 2009).

2.5.4 Conclusions for the Approach of CBA

For its successful application, CBA needs to be embedded in a supportive policy framework that enables local-level action and that shows distinct features of 'good governance'. However, in reality, only in rare cases 'good governance' structures are existent in low- and middle-income countries and their establishment poses great challenges to their governments (cf. Grindle 2004:525 in Grindle 2007:553). CBA as a bottom-up approach does not necessarily require a 'good governance' system to the detail, but 'good enough governance' (cf. Grindle 2004:526 in Grindle 2007:554) as a minimal governance concept. 'Sound governance' is an interesting approach that - besides fostering participatory processes of governing state affairs - considers genuine features of indigenous governance systems as well as values of local society (Farazmand 2012:227ff.). CBA requires a 'network governance' system that provides tailor-made support to local-level initiatives as well as to decision-makers. Instruments that are interesting in this context are 'Local Strategic Partnerships' (LSP) and 'Local Action Teams' (LAT), being instruments that support multi-level governance and decision-

making within the EU (Tasan-Kok & Vranken 2011:35ff.). Development approaches and programmes that feature similar concepts and that are already implemented in the Asian context are Thailand's 'Baan Mankong' programme, the regional 'Asian Coalition for Community Action' (ACCA) programme and the Co-Management approach undertaken to manage natural resources at the community level.

2.5.5 The Role of 'Participation' and 'Local Action' in Urban Governance, Urban Management and Urban Planning

2.5.5.1 Approaching the Terms 'Participation' and 'Local Action'

There is a variety of different and partly overlapping concepts of 'participation' that are rooted in both, practice and theory. From an academic perspective, 'participation' is considered to be a 'critical education' or else, a 'worldview' (Ledwith & Springett 2010:13ff.). In participatory practice, a distinction can be made between formalised 'public participation', which is applied in order to legitimise planning decisions, 'community participation', which aims at stimulating collective action, at gathering local information and/ or at building consensus, as well as 'stakeholder participation', which aims at initiating change through cooperation and partnership building. 'Participation' is considered to be both, a means to as well as an ends from democracy processes: "Participatory democracy has been shown to be a process of enhancing representative forms of democracy, on the one hand, and rejuvenating its institutions on the other ... participation is thus an input to as well as output from democracy" (Tandon 2008:294 cited by Ledwith & Springett 2010:27, cf. Schinkel et al. 2014:17ff.).

'Local action' - in contrast to 'participation' – circumscribes rather independent community activities to initiate change from the bottom-up in the absence of government support. Here, people remain in control over resources and decisions and enter negotiation processes with external stakeholders (Adnan et al. 1992 in Pretty et al. 1995 in Reid et al. 2009:24). 'Local action' - more than 'participation' - challenges existing power structures.

2.5.5.2 Demarcation of the Terms 'Participation' and 'Local Action'

With the renunciation of 'political steering' - that regarded public participation in decision-making from a rather paternalistic perspective - towards 'governance', participation and collective action became an important component of planning and decision-making. In the fol-

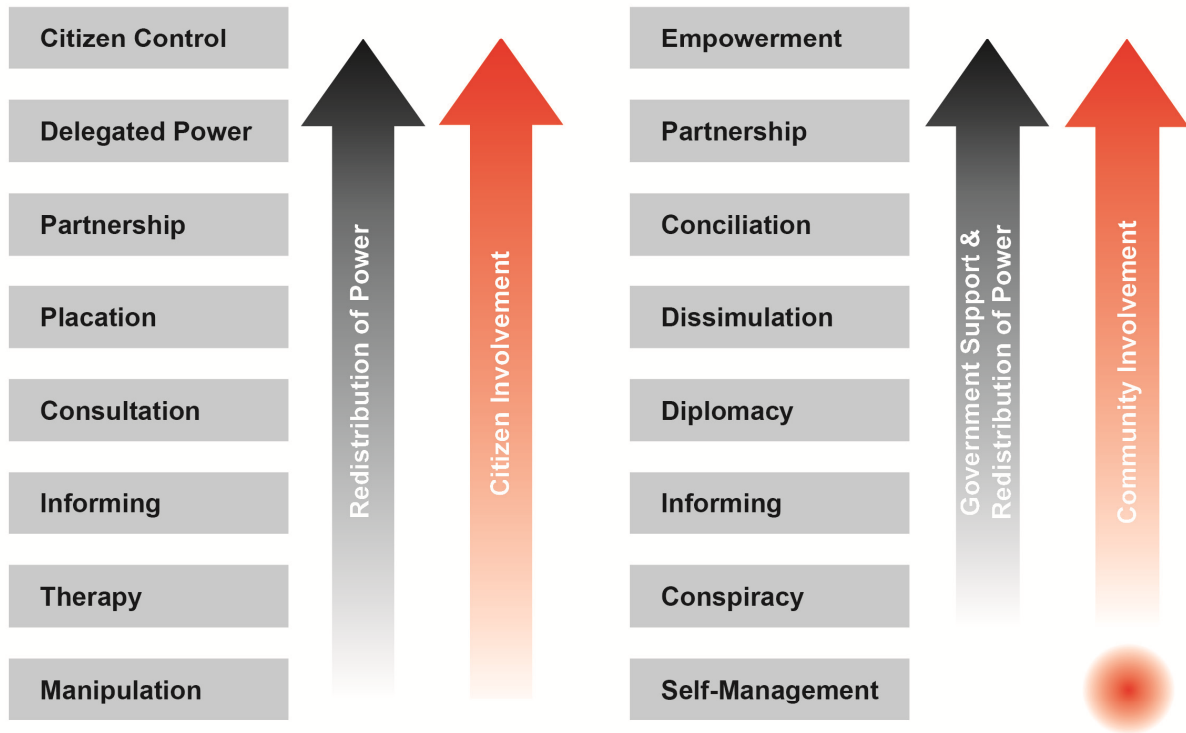
lowing contextual examination, a distinction is made between 'participation' and 'local action', starting with a closer examination of different concepts of 'participation', developed by Sherry R. Arnstein and by Marisa Guaraldo Choguill.

Arnstein (1969:216ff.) developed her 'Ladder of Citizen Participation' during the late 1960s in order to explain the different degrees of citizen involvement in the United States of America and other 'developed' countries. She highlights the difference between manipulative techniques applied by decision-makers in order to legitimise political and planning decisions and genuine 'participation' that involves the distribution of (decision-making) power from the "powerholders" to the "powerless". Sherry Arnstein's 'ladder' describes eight steps of citizen participation in planning processes, grouped in three categories, namely

- 'non-participation', referring to the 'manipulation' and 'therapy' of citizens,
- 'tokenism' that involves techniques such as 'informing', 'consultation' and 'placation', and
- 'citizen power' - the category with the highest influence of citizens - fostering 'partnership', 'delegated power' and 'citizen control' (Arnstein 1969:216ff.).

Sherry R. Arnstein
A Ladder of Citizen Participation (1969)
 for developed countries

Marisa Guaraldo Choguill
A Ladder of Community Participation (1996)
 for underdeveloped countries



Citizen Involvement in formal planning and development processes

Community Involvement in formal planning and development processes as well as in bottom-up, community-driven development processes

Fig. 2-26: ‘A Ladder of Citizen Participation’ and ‘A Ladder of Community Participation’
 (adapted from Arnstein 1969, from Guaraldo Choguill 1996, both cf. Schinkel et al. 2014)

In response to Arnstein’s work, Guaraldo Choguill (1996:431ff.) educed her ‘Ladder of Community Participation for Underdeveloped Countries’ in the mid-1990s. She recognised the fact that governments and administrations of underdeveloped countries may lack the capacity and financial means - and apart from that, often the political will - to attend to local development issues. In contrast to Arnstein, Guaraldo Choguill uses the term ‘community participation’ instead of ‘citizen participation’ to include those who are illegal and who do not enjoy civil rights as ‘citizens’ on the one hand, and in order to highlight the power of collective action – in contrast to citizen involvement in formal decision-making – to initiate change on the other. Guaraldo Choguill (ibid.) considers ‘community participation’ not “just as a means to

enable the people” to satisfy their basic needs, but rather “as a means to influence decisions in the political arena about issues that affect them”. Here, Guaraldo Choguill (ibid.) emphasises that firstly, communities can take responsibility and action in order to improve their situation on their own, and secondly, that, by doing so, communities may influence decision-making at higher levels. (cf. Schinkel et al. 2014:17ff.) (cf. Fig. 2-26)

Thus, in contrast to Arnstein’s ‘Ladder of Citizen Participation’, Guaraldo Choguill’s ‘Ladder of Community Participation for Underdeveloped Countries’ links the degree of community involvement in development and decision-making to the support of the government or administration. Her ‘ladder’ also consists of eight rungs, namely ‘empowerment’, ‘partnership’, ‘conciliation’, ‘dissimulation’, ‘diplomacy’, ‘informing’, ‘conspiracy’ and ‘self-management’. Here, ‘empowerment’ is placed at the highest rung, featuring maximum decision-making power of the community and government support, while ‘self-management’ is placed at the lowest rung, reflecting maximum community involvement - but in absence of government support (ibid) and approval. However, ‘self-management’ of local issues may initiate political change, or even achieve genuine ‘empowerment’ through shifts in leadership structures and through the subsequent establishment of support mechanisms for communities (Guaraldo Choguill 1996:440).

The definition of ‘local action’, as it is used in this thesis, is strongly related to Guaraldo Choguill’s understanding of ‘self-management’ (1996:440). ‘Local action’ paraphrases the entity of ‘community-based’ or rather ‘community-driven’ activities to collectively address local development issues and to improve the local standard of living through structural and non-structural measures without any patronising interference of government institutions. Nevertheless, processes and activities may be guided and supported from outside, through CSOs or even state actors. Here, ‘local action’ has a rather positive connotation referring to the concept of ‘community organizing’ leading to individual, organisational and community empowerment (Speer & Hughey 1995:730).

If the terms ‘participation’ and ‘local action’ are opposed, the result is that people and communities ‘participate’ in projects determined by other actors with differing degrees of involvement, decision-making power and ownership, whereas ‘local action’ is planned, implemented and managed by communities themselves – facilitated by external actors – with a maximum degree of decision-making power as well as project and result ownership. The difference

between ‘participation’ and ‘local action’ may be put to the point by asking: “who participates in whose project?” (Chambers 1996:9). (cf. Schinkel et al. 2014:17ff.)

2.5.5.3 ‘Participation’ and ‘Local Action’ in the Past

Deliberative decision-making is deeply rooted in religious and cultural traditions; however, modern concepts of participation evolved from the 18th and 19th century (Mansuri & Rao 2013:2ff.). The subsequent part will summarise the milestones of participatory development approaches mainly applied in developing countries. While ‘community organizing’ that originated in the UK and in the US is integrated into the summary as an exception, formal participation approaches as exercised in planning procedures in Germany are not considered, as they are not relevant for this thesis.

2.5.5.3.1 ‘Community Organizing’

‘Community organizing’ was one of the first approaches to unite individuals and interest groups and to fight for the provision and improvement of municipal services. First efforts of ‘community organizing’ date back to the year 1869, when the Charity Organization Society was founded in England in order to coordinate activities of all private charitable organisations that supported the poor (Austin & Betten 1977:155). Many similar examples followed in the United States in the late 19th, early 20th century; after World War I, the movement spread to small cities and even to rural areas. Newly established community organisations focused on cooperative planning to address social problems; community welfare planning councils were formed and innovative social survey techniques were developed. Eduard C. Lindeman described ‘community organizing’ as “a conscious effort on the part of the community to control its affairs democratically, and to secure the highest services from its specialists, organisations, agencies and institutions by means of recognized interrelations” (Lindeman 1921 in Austin & Betten 1977:157). Despite the early successes of ‘community organizing’, Saul Alinsky (1946, 1971) is attributed the role as the founder of ‘community organizing’ (Ohmer & DeMasi 2009:8). Alinsky fostered the establishment of ‘people’s organizations’ that fought for the improvement of social services and infrastructure in the 1940s. Alinsky’s approach, called ‘conflict organizing’, is still practiced today (Eichler 2007 & Smock 2004 in Ohmer & DeMasi 2009:8).

2.5.5.3.2 Participatory Local and Community Driven Development

During the first post-colonial decades, the 1950s and 1960s, donors, like the U.S. Agency for International Development (USAid) funded and promoted participatory development through cooperative institutions and community-based development (CBD) (Mansuri & Rao 2013:2ff.). The approach of participatory local and community-driven development (LCDD) evolved in India and East-Pakistan in the 1950s after gaining independence. LCDD empowered communities and their local governments to plan and manage local projects through the provision of financial resources and through the devolvement of decision-making powers from the central to the local level (Binswanger-Mkhize et al. 2010:xivff.). From late 1940s to mid-1960s, the governments of India and East-Pakistan fostered initiatives that advanced community involvement in planning and development. India's 'Community Development Program' even managed to scale up community development nation-wide. In 1957, the concept of LCDD was fully developed in both countries (Binswanger-Mkhize et al. 2010:31).

However, in reality a number of successful LCDD pilot projects could be implemented, but long-term empowerment of communities and local governments could not be achieved. In the 1950s, LCDD failed due to the complexity of the approach and due to the incomplete decentralisation efforts of central governments. However, LCDD as a local development approach was revived several times during the coming decades, but again failed due to similar reasons. Even today, decentralisation and the distribution of power from central governments to local governments and communities remains a struggle and hampers the successful implementation of LCDD (Binswanger-Mkhize et al. 2010:11ff., 13, TERI 2010:27, cf. Schinkel et al 2014:17ff.).

2.5.5.3.3 Community Consultation in Sectoral Projects

After the approach of LCDD had failed in the 1950s, 'community consultation' became en vogue in the 1960s. Government agencies as well as NGOs involved communities in projects by 'consulting' them (Binswanger-Mkhize et al. 2010:14). In addition, projects and programmes that mainly targeted rural areas in the 1960s promoted the 'green revolution', aiming at increasing agricultural productivity through innovative technologies. However, the 'green revolution' failed to benefit the poorer sections of farmers, due to the high additional costs and due to the lack of knowledge with regard to the use of the new technologies (Havens & Flinn 1975:471ff., cf. Schinkel et al. 2014:17ff.).

2.5.5.3.4 Participatory Appraisal and Planning

In the 1970s, 'participation' became a key component of development programmes as a "pre-requisite for any community development initiative" and a subject for "mainstreaming by many local, national and international agencies" (Taylor & Mayo 2008:264 in Ledwith & Springett 2010:15). 'Participatory appraisals' became en vogue; communities were involved in surveys to assess local problems and priorities as a basis for development projects. The Rapid Rural Appraisals method (RRA), developed as a participatory method with associated tools, was soon transformed into the Participatory Rural Appraisal method (PRA); the focus from 'rapid' was shifted to 'participatory' and with this, the responsibility for the assessments and for planning from planners, administrations and decision-makers to communities. Even today, the PRA methodology is widely applied by CSOs (Binswanger-Mkhize et al. 2010:38ff., cf. Schinkel et al. 2014:17ff.).

2.5.5.3.5 Community Participation in Sectoral Programmes

With growing insights into the capacities of local people, the role of communities in development processes changed fundamentally in the 1980s. The perception of communities in development projects shifted away from being passive beneficiaries towards a more direct involvement. Donors and national governments started to apply genuine participatory approaches in order to increase the effectiveness and efficiency of project planning and implementation as well as in order to share costs (Paul 1987:3). Economists such as Amartya Sen and Elinor Ostrom promoted bottom-up approaches allowing for 'common sense' and 'social capital' of communities in decision-making processes and managed to revive the interest of governments and donors in community-based development (CBD) (Mitlin & Thompson 1995:231ff., World Bank 1994 in Mitlin & Thompson 1995:232, Mansuri & Rao 2013:2ff.). However, rather critical voices insinuated donors and governments to use 'community participation' as a pretext to exploit communities and to abdicate their responsibility for infrastructure and service provision (Thompson 1995, Adepoju 1993, Gibbon et al. 1995 and Nelson & Eglinton 1993, all in Mitlin & Thompson 1995:231ff.).

2.5.5.3.6 Community Empowerment

Development initiatives of the 1990s, again focused on community-based, development (CBD), community-driven development (CDD) and community empowerment. Large-scale

programmes in Mexico, Brazil and Indonesia became forerunners of CDD, involving communities in participatory assessments, project planning and design, monitoring and evaluation as well as in fund management and contracting (Binswanger-Mkhize et al. 2010:14). In order to fulfil their increasing role in development projects, local people and communities had to develop particular capacities, such as management and communication skills (Yacoob & Rosensweig 1992:2). Thus, earlier PRA approaches were transformed into 'Participatory Learning and Action' (PLA) approaches, shifting the focus to capacity building, empowerment and active involvement (Chambers 1997:xvii).

2.5.5.4 Contemporary Ways of Engaging Citizens and Communities

Currently, CBD and CDD are again strongly supported by governments, donors and international organisations. While CBD is an umbrella term for initiatives that involve communities in planning and management, CDD strongly follows the core ideas of LCDD developed in the 1950s and empowers communities to exercise direct control over decision-making, management and investments. Similarly to earlier efforts, the success of CDD projects, even though small in scale, is severely dependent on an enabling institutional environment, government commitment and accountability of local leaders (Mansuri & Rao 2004:1, Gillespie 2004:ii). One exemplary case for the application of the CDD approach is the Asian Coalition for Community Action (ACCA 2010), a programme that fosters community-driven urban upgrading projects in Asia.

Moreover, new technologies and social media enable the access and exchange of information as well as the spontaneous organisation of activities. Thus, citizens gain power and can claim the right to raise their voice. As an example, the Vietnamese 'Green Generation Network' helps to organise groups and events that focus on environmental awareness and protection (Schwartz & Schinkel 2013:95).

2.5.5.5 CBA as a Community-Driven Development Approach

The concept of CBA, developed during the past decade, implies that communities develop their own plans for climate change adaptation, based on their own resources and capacities, and put them into action (CARE International n.d.b). This definition suggests that CBA is a community-driven approach that has the potential to not only enable communities to adapt to locally felt climate change impacts but also to contribute to adaptation and mitigation plans at

higher strategic levels. However, as CBA is a 'defined term', it is kept for this thesis, even though the term does not appear to be correct.

2.6 Synopsis

2.6.1 The Mega-Urban Region of HCMC and Climate Change

During the past decades, HCMC has experienced fast and uncontrolled growth processes and has eventually become the centre of a mega-urban region featuring spatial fragmentation and socio-economic disparities. Urban development processes have played a significant part in the aggravation of natural climate change impacts affecting urban infrastructures and population groups. As the city's expansion is directed further towards the sea, necessitating the sealing of natural infiltration and retention areas, tidal flooding and inundation related to SLR have already increased. Land-use changes, urban heat production, increasing urban densities and the loss of urban green spaces contribute to thermal stress. Areas most affected by climate change impacts in HCMC are disadvantaged, densely built-up neighbourhoods in low-lying areas that feature inadequate infrastructure and service provision. The residents of those neighbourhoods, in comparison to middle- and high-income neighbourhoods, often lack the means and capacities to effectively prepare for, respond to and recover from climate or environmental hazards. In contrast to rural areas, where people have access to natural materials for adaptation, construction materials for adaptation in urban areas need to be purchased and may thus be beyond reach of economically challenged communities. However, city authorities and planning departments are not yet capable of addressing both, central development priorities and climate change in an integrated approach. Thus, affected communities must develop and put into practice adaptation strategies in order to secure their assets and to build resilient livelihoods.

2.6.2 Climate Change Adaptation and CBA

As stated above, disadvantaged groups residing in hazard-prone areas are likely to suffer most from climate change and unsustainable urban development. While adaptation (and mitigation) must be undertaken at all spatial levels, CBA is an approach particularly developed for vulnerable communities. CBA enables communities to reduce their vulnerability by utilising their own capacities and resources. However, CBA may be feasible in the short- and

long-term, in particular, where governments and other influential actors fail to provide an adapted urban environment. However, the actual scope of community activities is limited, namely to securing individual and community assets, to adapting the local living environment, livelihoods and income-generating activities and to behaviour change. CBA is first and foremost applied to respond to current climate change impacts, while future impacts remain uncertain. Thus, strategies developed at the community level mainly focus on the implementation of 'no-regret' measures and technologies.

CBA can be classified as a CDD approach, as communities are core actors in their own projects. As the theoretical discussion of past participatory development approaches revealed, the concept of CDD was elaborated in the 1950s. However, CBD and CDD have been applied several times during the past decades, bringing about similar negative results and challenges that have not yet been overcome. Still today, the out-scaling (the strategic replication) and up-scaling (the integration into policies and larger-scale plans) of successful 'model' or 'pilot' projects, often set-up and implemented under ideal conditions, remain challenging. Up-scaling and out-scaling are hampered as decentralisation of decision-making and the delegation of power to local levels is still not practically exercised in many developing countries. As a consequence, communities and local governments are not yet fully empowered to undertake local-level activities without direct interference from higher levels.

In order to be sustainable, local CBA measures and strategies need to be developed in accordance with existing larger-scale development and adaptation plans, projects and policies. Where CBA activities are supported by CSOs only and fail to establish a link to policy makers, they become isolated from mainstream development and susceptible to planning decisions made elsewhere. Vice versa, urban development planning needs to be more responsive to climate change and to local-level issues. Climate change adaptation requires integrated attention at various levels; however, climate change cannot be efficiently addressed by a top-down approach only. Thus, enabled and empowered by policies, governmental and non-governmental actors and their networks, CBA may become a local-level approach to supplement a national-level or city-level strategy to climate change adaptation.

In urban areas, in particular, special attention has to be paid to the coordination of CBA, as activities of neighbouring activities may interfere with each other. Thus, local institutions that help to stimulate and coordinate CBA efforts need to be established and strengthened. As adaptation - and structural adaptation in particular - is always related to larger expenses,

financial mechanisms need to be developed. City-level adaptation plans, climate change impact assessments and scenarios may provide information and guidance for community-level adaptation efforts.

Replication, out-scaling and up-scaling may only be effectively put into practice with government support. This fact has been highlighted by several authors (e.g. Huq & Reid 2007:2, Reid et al. 2010:70ff., Ensor & Berger 2009a:174ff., IISD 2011:14, Regmi 2012:3, Ayers 2011a:840 in Regmi 2012:3, Ayers & Huq 2009 in *ibid.* and Dodman & Mitlin 2011 in *ibid.*) and illustrated by the CBA Model Project which failed to be replicated, whereas the CBA Transfer Project, which is implemented with the active involvement of the city authorities, has good chances to be out-scaled and up-scaled.

In practice, CBA activities are highly susceptible to changing environments; in urban areas, the construction of a large-scale project may displace local communities or nullify their adaptation efforts. Project replication with limited financial means is difficult, in particular if the initial model project was generously endowed with funds. Moreover, the interest and motivation of stakeholders involved may decrease. The out-scaling of the CBA approach requires a greater network of experts and trained community facilitators as well as mechanisms to coordinate the different - and maybe conflicting - activities. Out-scaling relies on institutional support and on funding mechanisms that allow for the covering of staff costs and for the provision of interim financing of project activities. Up-scaling in particular requires the establishment of a supportive policy framework, a clear commitment of authorities to decentralisation and to assigning decision-making competences to the local levels as well as the development of a structured pro-poor funding approach.

2.6.3 CBA – A Theoretical Perspective

Theory of Planning provides the theoretical framework for the integration of top-down and bottom-up planning. Regarding CBA, the ‘mixed scanning’ concept developed by Amitai Etzioni (1967 in Wiechmann 2008:45ff.) provides a plausible explanation of the interaction between a ‘higher’ scanning and a ‘detailed’ scanning or decision-making level. While the ‘higher’ level determines a rather rough strategic orientation and provides incentives, institutional support and guiding principles, the ‘detailed’ operational level develops locally responsive strategies that show characteristics of ‘emerging strategies’, but that respect the overall strategic orientation. Etzioni’s ‘mixed scanning’ concept also explains the interaction of both

levels and the input of local-level information and decisions to the 'higher' scanning level: If strategies at the 'detailed' scanning level fail, a decision has to be taken, whether the strategy needs to be reconsidered at the 'higher', strategic, or at the 'detailed', operational level.

2.6.4 CBA in Urban Governance, Management and Planning

'Urban governance', 'urban management' and 'urban planning' are interrelated approaches to guide a city's or a region's affairs and to respond to challenges posed by globalisation and climate change. However, the 'urban governance' approach is based on the understanding that stakeholders need to act as members of loose networks detached from hierarchic orders. Whereas the 'urban governance' approach focuses on the different stakeholders in urban development and their relations, 'urban management' is applied in order to manage development and decision-making processes in an integrated way. Thus, 'urban management' and practical approaches, such as 'Integrated Urban Governance' and 'Multi-Level Governance', provide a variety of tools and instruments to put the concept of integrated decision-making into practice. Similarly, the disciplines of 'urban planning' and 'urban development planning' require integrated approaches and thus, benefit from the integration of top-down and bottom-up planning procedures. What is also important to emphasise is that 'urban management' and 'urban planning' make use of modified corporate planning tools.

Thus, the idea of linking top-down and bottom-up planning approaches to achieve an integrated approach is not innovative and has been widely exercised in Western Europe. Consequently, considering climate change adaptation to be another cross-sector planning and management task, the development of an integrated approach to climate change adaptation, linking top-down and bottom-up procedures, suggests itself.

2.7 Research Questions

2.7.1 Research Gap

In the field of CBA, there is lack of research and practical experiences alike on how to link top-down climate change adaptation strategies and plans with bottom-up activities, such as CBA. While many pilot activities have been implemented during the past years, various authors emphasise that there is a gap in research and practice with regard to the up-scaling, coordination and mainstreaming of those pilot activities (Huq & Reid 2007:2, Reid et al.

2010:70ff., Ensor & Berger 2009a:174ff, IISD 2011:14, Ayers 2011a:840 in Regmi 2012:3, Ayers & Huq 2009 in *ibid.*, Dodman & Mitlin 2011 in *ibid.*, Wismer & Mitchell 2011 in *ibid.*, Shaw 2003 in *ibid.*, Sabates-Wheeler et al. 2008 in *ibid.*, Ayers 2011b in *ibid.*). The lessons learnt from the CBA Model Project and from the CBA Transfer Project support this position.

2.7.2 Research Questions

In order to contribute to filling this research gap, the main research question raised for this doctoral thesis is: *How can CBA activities be enabled and managed in urban areas?*

As this is a very broad and general question, three sub-questions are formulated that help to shape the focus of the thesis: *How can CBA activities be managed at the local level, 'scaled-out' and coordinated horizontally? And how can they be 'scaled-up' and linked to top-down planning procedures vertically?*

The answer to both questions must be a concept for a CBA governance, management and planning model. Developed at a rather theoretical or academic level first, this concept needs to be applied to the real case of Vietnam. Thus, a third sub-question is raised: *How can this theoretical model be applied to the specific context of Vietnam and to HCMC in particular?*

To answer this sub-question, real local conditions, political hierarchies, existing policies and roles of stakeholders must be taken into account. Developing a theoretical model first may seem like a methodological detour. However, the major interest behind this thesis is to develop an ideal governance and management approach for CBA that may be applied – and adapted – to various contexts. This model shall not only consider the interplay of stakeholders and their roles, but also have a practical component, suggesting a step-by-step management approach for the initiation of a supportive governance and management model.

2.7.3 Research Assumptions

This thesis is based on five main assumptions: The first three are supported by literature and by the experience gained by the implementation of the CBA Model Project and CBA Transfer Project; the fourth and fifth assumptions are subject to further research undertaken within this doctoral thesis.

The 1st assumption focuses on resources and capacities of local communities: *Every community has individual resources and capacities for climate change adaptation.* Initially, this

assumption has been formulated based on experiences made during the implementation of the CBA Model Project; later, it has been supported by literature, e.g. by Yodmani (cf. 2001), Moser (cf. 1998), CARE International (cf. n.d.b) and Davies (cf. 2009). In this context, Moser and Satterthwaite support this assumption and the importance of capacity, but relegate to the limitation or lack of local capacities by stating that “there is also considerable variation in levels of vulnerability to climate change within low-income populations, in terms of both the hazards to which they are exposed and their capacity to cope and adapt” (Moser & Satterthwaite 2008:8). This assumption has two meanings, namely that local capacities may be drawn upon for CBA on the one hand, but that they need to be built and strengthened where they are not yet existing or weak on the other.

The 2nd assumption relates to external support for the CBA approach: *Communities as well as individuals develop coping and adaptation strategies; these strategies may be significantly improved through external support, e.g. through guidance, training and capacity building as well as through coordination with other stakeholders, supportive national programmes and regulations.* This assumption is mainly based on works of the authors Baas and Ramasamy (cf. 2007), Reid et al. (cf. 2009), Sabharwal and Than Thi Thien Huong (cf. 2005), Firowz Ahmad (cf. 2010), Van Aalst et al. (cf. 2008), Brooks and Adger (cf. 2005) and Reid et al. (cf. 2010). This assumption is strongly related to the 1st assumption as it highlights the need for capacity building and capacity strengthening. However, in addition, this assumption highlights the important role of external stakeholders as facilitators to the adaptation process.

The 3rd assumption emphasises the need for a horizontal as well as for a vertical coordination, especially in urban areas: *CBA as a bottom-up approach needs to be linked to top-down planning processes (vertical coordination) and coordinated with other local adaptation initiatives (horizontal coordination) in order to be effective and sustainable.* This assumption has been developed as a result from the CBA Model Project and from the CBA Transfer Project. Without vertical links to the policy level, replication, out-scaling and up-scaling of CBA remains a challenge and may not be possible at all; without horizontal coordination, conflicting neighbouring CBA initiatives may disturb or even counteract each other. However, authors such as Dodman and Mitlin (2011 in Regmi 2012:3), Regmi (2012), Shaw (2003 in Regmi 2012:3) and IISD (2011) have emphasised the need for the up-scaling of pilot activities to the policy level, while Wismer and Mitchell (2011 in Regmi 2012:3) have highlighted the need to manage the complexity of the approach at the local level.

The 4th assumption is the one that will have to be proven during the further research in this thesis. This assumption is related to the value of existing project management systems for the CBA approach: *Existing project management (and governance) approaches can provide feasible conceptual solutions for the coordination and process management of CBA*. This assumption is supported by Wiechmann (2008:127), who states that approaches and tools developed for corporate planning are transferable to public sector planning and strategy development, if adapted to the planning context, project scale and stakeholders involved. Besides management approaches, this assumption hints at the transferability of governance approaches successfully applied in other contexts.

The 5th assumption focuses on the transferability of the CBA approach as such and the applicability of a theoretical model to govern and manage CBA: *The CBA approach is transferable to a variety of contexts, if carefully adapted to the local situation, socio-economic and cultural conditions as well as to prevailing power structures and hierarchies. Similarly, a governance and management concept that is developed for the horizontal and vertical coordination of CBA activities can only be developed at the theoretical level. In order to transfer the theoretical concept to the application level, it needs to be modified according to the local context*.

The methodology of CBA is transferable to other climatic, environmental, cultural, socio-economic contexts; however, the concrete CBA approach, tools and communication formats have to be adapted to each individual situation, to local risks and vulnerabilities, to the stakeholders and individuals involved as well as to their capacities and priorities. This assumption is mainly based on practical experiences gained from the CBA Model Project and from the CBA Transfer Project. CBA activities are based on the understanding of how each individual community's environment, its resources and capacities are affected by climate change (Huq & Reid 2007 in Ensor & Berger 2009b:231) as well as on local knowledge and coping traditions (Ensor & Berger 2009b:231). The second point made in the fifth assumption refers to the research design of this doctoral thesis; one of the main results is a flexible governance and management model for CBA, which is not meant to represent a one-fits-all solution. It is rather meant to be a flexible framework, which needs to be concretised against the background of the existing legal framework and policy environment, which needs to incorporate relevant stakeholders at various levels and to take into account the local tradition of public participation, local action and self-management.

3 Research Design

3.1 Overview

This thesis is structured into seven main parts; Fig. 3-1 provides an overview of the methodological approach and composition.

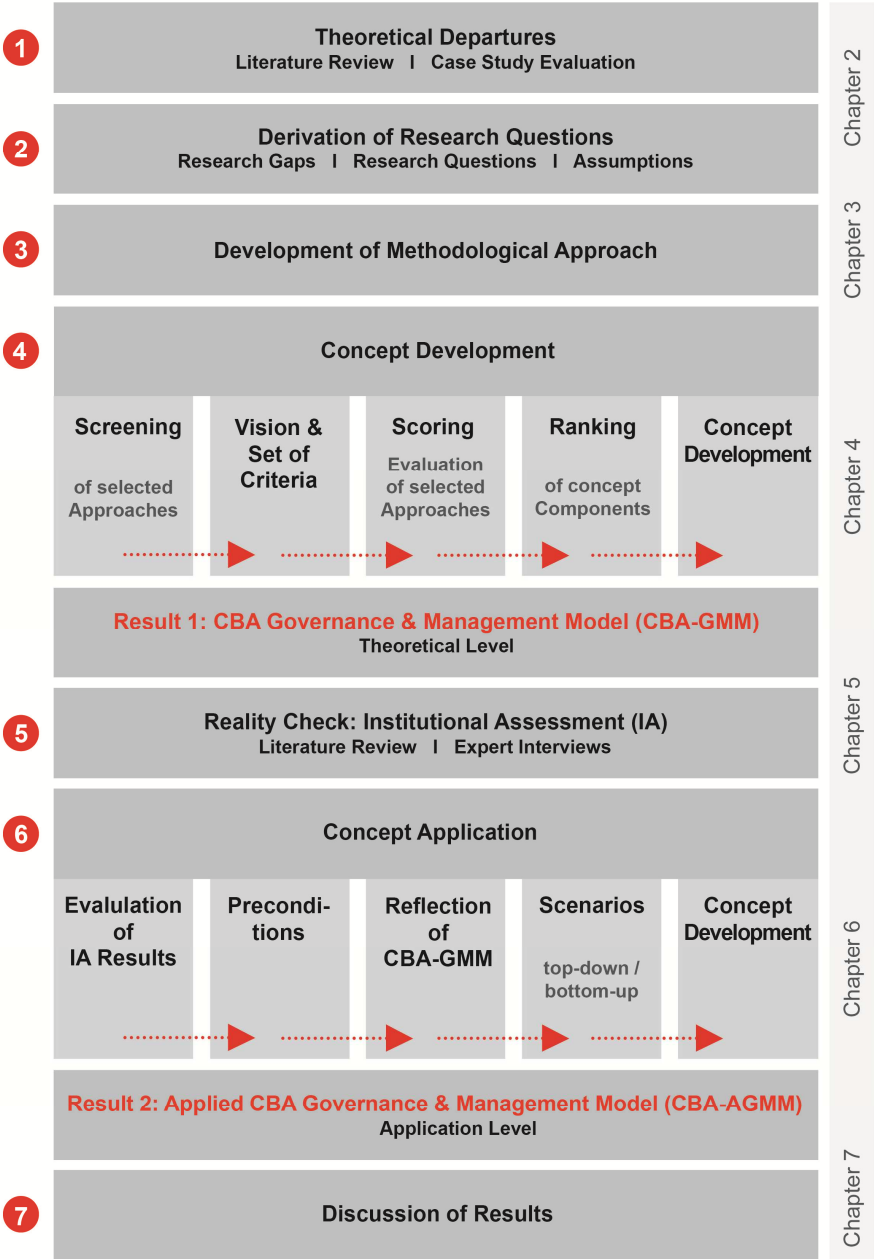


Fig. 3-1: Methodological Approach
(own figure)

The 1st part, 'Theoretical Departures', focuses on the elaboration of the current state of research. In this part, CBA, the central theme of this dissertation, is derived from the different perspectives of climate change and adaptation, urban governance and management as well as from the perspective of Theory of Planning. Based on the results, research gaps are identified and research questions as well as assumptions are formulated in the 2nd part. The 1st and 2nd part are both combined in Chapter 2.

In the 3rd part of this thesis (Chapter 3), a research methodology is elaborated in order to find satisfying answers to the research questions; here, 'concept development' is selected as a suitable approach. In the 4th part (Chapter 4), a theoretical model is developed for the governance and management of CBA. This model, developed for an ideal context, is named 'CBA Governance Management Model' (CBA-GMM). In order to test the transferability of this model to the real context of Vietnam and HCMC, an 'institutional assessment' is undertaken in the 5th part (Chapter 5). Based on this 'institutional assessment', an 'Applied CBA Governance Management Model' for Vietnam (CBA-AGMM) is developed in the 6th part (Chapter 6). In the 7th part, the relevance of the research results for the current research discourse is highlighted (Chapter 7).

3.1.1 Research Gaps, Research Questions and Assumptions

3.1.1.1 Research Gap

The research gap is a result of both literature review and case study evaluation. There is a research gap on strategies to institutionalise bottom-up approaches such as CBA and to achieve replication, out-scaling and local-level coordination as well as up-scaling of successful bottom-up pilot activities. (cf. Fig. 3-2)

3.1.1.2 Research Questions

The main - but abstract - research question is a reformulation of the research gap and inquires into a general solution for the enablement and management of CBA as a bottom-up approach. As this main question is rather broad, it is then further specified by sub-questions: The 1st sub-question attends to the management, 'out-scaling' and coordination of CBA activities at the local level. The 2nd sub-question asks for a strategy to facilitate the 'up-scaling' of successful local-level initiatives and to establish links between these initiatives to higher-level

policies and plans. The 3rd sub-question then raises the question, how local-level coordination, replication, 'out-scaling' and 'up-scaling' can be put into practice in the particular context of Vietnam. (cf. Fig. 3-2)

3.1.1.3 Assumptions

This doctoral thesis is based on five main assumptions; while the first three are supported by literature and by the experience gained from the case studies, the 4th and 5th assumption are subject to further research and will be verified or dismissed in the course of this thesis. (cf. Fig. 3-2)

The 1st assumption is that communities have very individual capacities and resources available for climate change adaptation. Thus, a 'one-fits-all approach' for local-level CBA activities will not be suitable. The 2nd assumption acknowledges that communities and individuals by nature develop their own coping and adaptation strategies as a response to environmental and climatic changes or variability; however, it is assumed that these strategies and activities may be strongly improved through external facilitation and through a supportive policy environment. The 3rd assumption emphasises the need for the horizontal coordination of local-level CBA activities in order to avoid mutual disturbances as well as the necessity for the establishment of vertical links to policies, plans and projects developed by decision-makers at the city or national level. The 4th assumption highlights the potential value of existing governance and management approaches as a basis for the development of a theoretical CBA-GMM. The 5th assumption is that the CBA approach is transferable to different contexts if the CBA methodology is adapted to the local situation. Similarly, a theoretical CBA-GMM - developed for an ideal context - must be applicable to a real-life case in order to be of value.

2

Derivation of Research Questions

Research Gaps | Research Questions | Assumptions

Research Gaps

- Replication, Out-Scaling & Up-Scaling of CBA
- Linking of Top-Down & Bottom-Up Approaches

Research Questions

Theoretical Level

- Enablement & Management of CBA
- Management of CBA at the Local Level, Out-Scaling & Coordination
- Up-Scaling of CBA & Linking to Top-Down Plans & Policies

Application Level

- Application in Vietnam

Assumptions

- Availability of Community Resources & Capacities for CBA
- Positive Impact of External Support & an Enabling Environment on CBA
- Need for Horizontal Coordination & Links to Top-Down Processes
- Transferability of Existing Governance & Management Approaches
- Transferability of a Theoretical CBA Governance & Management Model to Real Cases

Fig. 3-2: Derivation of Research Questions
(own figure)

3.2 The Current State of Research

3.2.1 Methodological Approach: Literature Review and Case Study Evaluation

3.2.1.1 Literature Review

The theoretical foundations of this thesis are based on qualitative literature review undertaken in the style of Ogawa and Malen (1991 in Randolph 2009:9) in order to gain an overview of the existing state of research and to identify existing research gaps. In the early stages of this research, literature review has helped to develop an own perspective on the topic and to

identify a main research focus, namely the enablement and institutionalisation of CBA through governance and management approaches.

3.2.1.2 Case Study Evaluation

The theoretical background of this thesis is not only based on literature review, but also on five years of extensive research and practical fieldwork. Thus, the results of two case studies have been evaluated in order to supplement the research results gained by literature review. Case study evaluation, according to Yin (1992:123), is a qualitative empirical research method used to describe a phenomenon that occurs in a real-life context. Case study evaluation has been undertaken based on two CBA case studies, referred to as the CBA Model Project and the CBA Transfer Project. While the CBA Model Project was implemented within the scope of the Megacity Research Project TP. Ho Chi Minh, the CBA Transfer Project was integrated into the ‘Environmentally and Climate-Friendly Urban Development in Da Nang’ (ECUD) project, managed by GIZ. The case study evaluation mainly focused on the elaboration of lessons learnt (cf. Schinkel et al. 2011, Schinkel 2013).

3.2.2 Content and Selected Literature

The current state of research is elaborated in Chapter 2, ‘Theoretical Departures’ (cf. Fig. 3-3, Fig. 3-4). This chapter is composed of seven sub-chapters. In the first sub-chapter, the background of this thesis is briefly outlined. While the focus of this thesis is laid on the governance and management of CBA, HCMC is used as the background to illustrate the vulnerability of disadvantaged communities in socially fragmented urban areas.

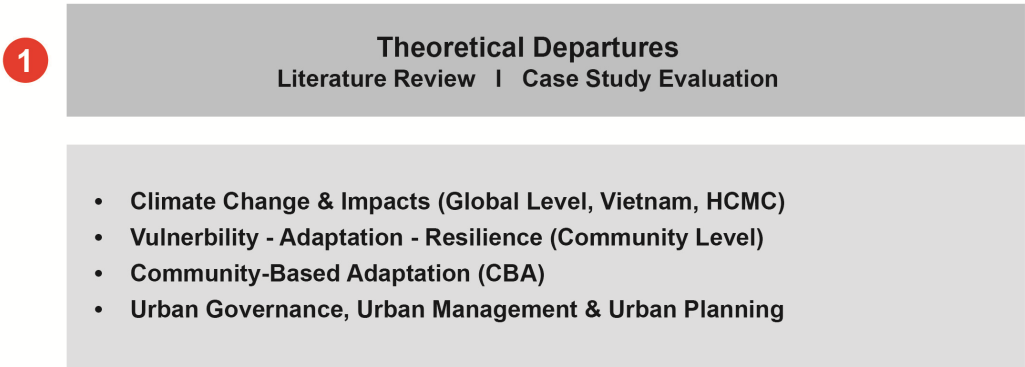


Fig. 3-3: Themes Discussed in the Chapter ‘Theoretical Departures’
(own figure)

The second sub-chapter focuses on the thematic complex of climate change. In a first step, relevant terms were defined before climate change impacts at the global scale as well as impacts projected for Vietnam and HCMC were summarised. The sub-chapter is based on sources provided by the Intergovernmental Panel on Climate Change (IPCC) (cf. IPCC 2007a,b, IPCC 2012) and by international researchers (cf. Ensor & Berger 2009a, McElwee et al. 2010, Storch & Downes 2011, Chaudhry & Ruyschaert 2007, Wust et al. 2002) as well as by selected development actors and networks (cf. ADB 2010, CARE International Vietnam 2009).

The third sub-chapter is concerned with the concept of climate change adaptation and with the relationship between the terms 'vulnerability', 'adaptation' and 'resilience'. Here, the focus is laid on the community level and on the definition of the real scope of CBA measures and strategies. This theoretical discussion is strongly based on the works of Blaikie et al. (cf. 1994), Wisner et al. (cf. 2004) and Moser (cf. 1998, 2009).

The fourth sub-chapter attends to the people-centred approach of CBA. In this sub-chapter, the CBA approach is explained in detail from an academic as well as from a practice-oriented perspective; moreover, roles and responsibilities of all potential stakeholders are elaborated. In addition, the approaches, results and lessons learnt from the two CBA case studies⁹ are summarised as well as the challenges and barriers for the application of CBA as a bottom-up development approach. This sub-chapter is based on works and publications of CARE International (cf. n.d.a & n.d.b), Regmi (cf. 2012), Reid et al. (cf. 2009, 2010), Brooks and Adger (cf. 2005), Baas and Ramasamy (cf. 2007), Huq and Reid (cf. 2007), Ensor and Berger (cf. 2009a) as well as on lessons learnt from the case studies. Based on the works of Wiechmann (cf. 2008), Etzioni (cf. 1967) and Mintzberg (cf. 1999), CBA is explained from the perspective of Theory of Planning at the end of the sub-chapter.

⁹ These case studies are later referred to as CBA Model Project and CBA Transfer Project.

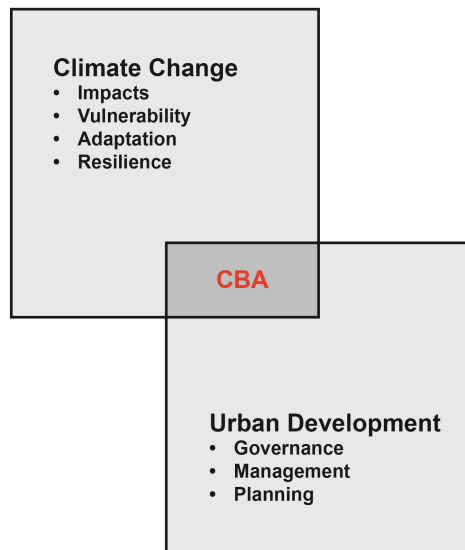


Fig. 3-4: Approach to the Central Theme
(own figure)

As CBA as a bottom-up approach cannot exist in isolation, the fifth sub-chapter goes back to the point of departure and attends to the themes of governance, management and planning in mega-urban regions, and HCMC in particular. The sixth sub-chapter provides a brief synopsis of the previously elaborated results. This synopsis leads over to the seventh sub-chapter, which compiles the research gaps, research questions and main assumptions as the basis for further research.

3.3 Concept Development

The main aim of this doctoral thesis is the elaboration of a general ‘CBA Governance Management Model’ (CBA-GMM), developed at the ‘theoretical level’, and of an ‘Applied CBA Governance Management Model’ for Vietnam (CBA-AGMM), developed at the ‘application level’. However, it has been difficult to find traceable methodologies for concept development in the fields of urban governance and urban management. Thus, a methodology has been borrowed from the field of product design.

In order to develop a concept for the CBA-GMM, existing governance and management concepts have been consulted. From these concepts, adequate concept ideas have been identified, combined and supplemented where required, in order to develop a theoretical CBA-GMM under ideal, supportive conditions. In order to apply this CBA-GMM to the context of

Vietnam, an ‘institutional assessment’ has been undertaken in a next step. This ‘institutional assessment’ has helped to identify the real-life conditions as a basis for the development of the ‘CBA-AGMM’. This ‘institutional assessment’ has mainly attended to climate change related policies and plans as well as to their implementation, to capacities and resources of government institutions and administrations at various levels and furthermore to the significance of people’s participation and civil society activities. Taking into account the real pre-conditions for CBA in Vietnam, the ‘CBA-AGMM’ has been developed.

3.3.1 Methodological Approach: Concept Development

The methodology selected for the ‘concept development’ stage is based on Ulrich and Eppinger (cf. 1995) and Pugh (cf. 1991), which have been compared by Pascale and Carland (1997:46ff.). Both approaches are based on a two-stage process: In the first stage, existing concepts are evaluated according to their applicability to a current ‘design’ problem. In the second stage, a solution is generated by selecting a fully transferable (existing) concept or else, by combining transferable components of other (existing) concepts. Both approaches work with a ‘reference concept’ (Ulrich & Eppinger 1995 in *ibid.*) or a ‘peer concept’ (Pugh 1991 in *ibid.*) which represents an (envisaged) ideal concept solution.

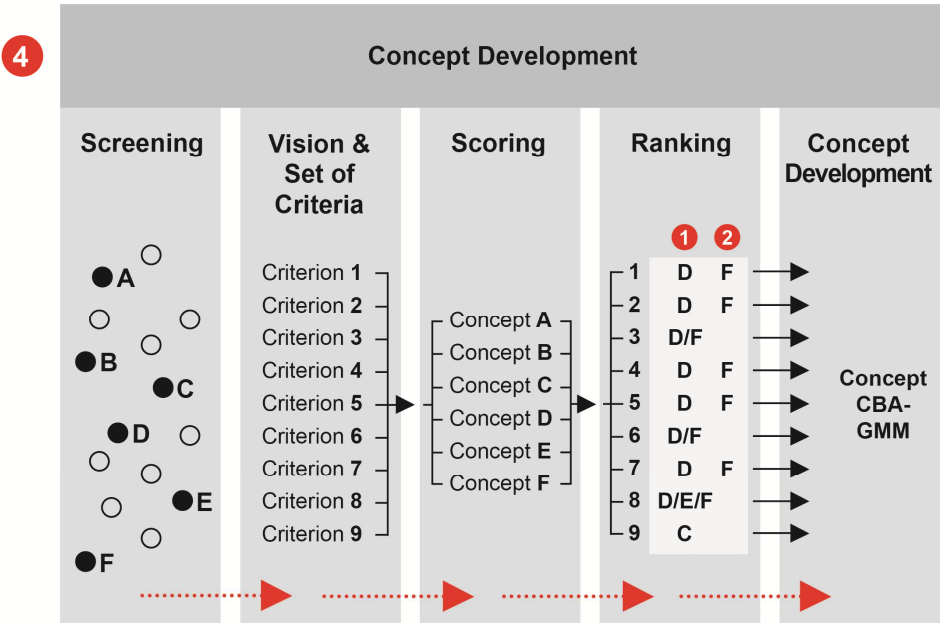


Fig. 3-5: Concept Development
(own figure)

Ulrich and Eppinger (1995 in *ibid.*) suggest a two-stage structured concept selection, namely 'concept screening' and 'concept scoring'. Both stages use a decision matrix based on the 'reference concept'. During the 'concept screening' stage, existing concepts relevant for the current problem are identified; 'concept screening' is undertaken in order to reduce the number of concept alternatives. 'Concept scoring', on the other hand, is a more detailed assessment of the remaining alternatives. The major objective of 'concept scoring' – and eventually of 'concept ranking' – is the identification of a transferable concept as a solution for the current problem (Pascale & Carland 1997:46ff.).

However, the 'concept development' methodology as applied in this doctoral thesis was based on the ideas of Ulrich and Eppinger (1995 in Pascale & Carland 1997:46ff.) and Pugh (1991 in Pascale & Carland 1997:46ff.), but required a modified approach. This is due to two related reasons: Firstly, the concepts explained mainly support product design, which in general focuses on one item; a concept for the governance and management of CBA, in contrast, requires a more complex solution. Secondly, it has been difficult to develop a simple 'reference concept' for an innovative, complex concept like a CBA-GMM.

The adapted methodological approach is structured into four main stages, namely 'screening', 'scoring' and 'ranking', similarly to the approach of Ulrich and Eppinger (1995 in *ibid.*) and Pugh (1991 in *ibid.*) and the subsequent, rather free 'concept development'. (cf. Fig. 3-5)

'Screening' has been undertaken through literature review. The 'screening' stage has resulted in the selection of a limited number of governance and management approaches, which had the potential to contribute to the development of a CBA-GMM. In the absence of a 'reference concept', a 'vision' has been developed as an alternative; the 'vision' combined all objectives that should be met by the CBA-GMM. The 'vision' then has been translated into nine 'criteria'. This 'set of criteria' helped to evaluate the existing concepts by splitting them into single concept components. The 'set of criteria' was the basis for the following 'scoring' stage.

Based on the 'set of criteria', a decision matrix has been developed in order to evaluate the transferability of the different concept components. For each criterion, a decision has been taken, whether the selected concept components are 'transferable', 'partly transferable' (eventually after modification), 'not transferable at all' or 'indirectly applicable', in cases where untransferable concept components under the spotlight might supplement the development of the CBA-GMM.

Under each criterion, the transferable concept components have then been compared and 'ranked'. The concept components ranked first have become the basis for the CBA-GMM. The concept components which partly and indirectly facilitate the development of the CBA-GMM have been integrated as a supplement. 'Concept development', as a subsequent step, has been strongly based on the concept components identified and ranked earlier, but it has been undertaken as a rather free design activity.

3.3.1.1 The 'Screening' of Existing Concepts

Before starting the concept development process, existing governance and management concepts described in literature have been 'screened' and a pre-selection of concepts that seemed to support the governance and management of CBA has been undertaken. Management concepts that promised to provide concept components for the CBA-GMM were

- Concept A: Project Cycle Management (PCM)
- Concept B: Capacity WORKS
- Concept C: Balanced Scorecard.

Furthermore, three governance concepts behind development programmes and approaches were selected; in order to keep it simple, the governance concepts are named after the programmes and approaches:

- Concept D: Baan Mankong programme
- Concept E: Co-Management
- Concept F: Asian Coalition for Community Action (ACCA).

Concept A (PCM) has been selected as a management approach that helps to formulate goals and objectives for projects and programmes, to periodically monitor and evaluate their achievement and to revise and modify the project or programme's strategy. Concept B (Capacity WORKS) is a guideline and management framework elaborated by the GIZ to develop holistic and sustainable projects or programmes. Concept C (Balanced Scorecard) is also a management approach, applied in the for-profit as well as in the non-profit sector; Concept C provides a suitable approach to set goals and objectives at all levels within a project's or programme's hierarchy and strongly facilitates monitoring, evaluation as well as internal communication processes. Concept D (Baan Mankong programme) has been selected, as it is one of the most successful state programmes that initiates community-driven slum improve-

ment projects; Concept D reflects a suitable multi-level network governance approach to link top-down strategy development to bottom-up activities. Concept E (Co-Management) features an interesting grassroots governance approach to natural resource management, based on negotiation and consensus building between different stakeholder groups; Concept E promotes the sharing of benefits as well as responsibilities among state actors and local communities as resource users. Concept F (Asian Coalition for Community Action) is a counterpart of Concept D; Concept F is a rather civil society initiated programme that enables and facilitates community-driven upgrading from the bottom-up, stimulates the building of network governance structures and encourages the support from state actors through the achievement of convincing results.

3.3.1.2 Development of a ‘Vision’ and a ‘Set of Criteria’

The first preparatory steps for the evaluation of existing governance and management concepts were the development of a ‘vision’ for a CBA-GMM and its ‘translation’ into testable and verifiable criteria.

Structural & Institutional Conditions

① Multi-Level Decision-Making

② Multi-Level Governance

③ Multi-Level Learning & Capacity Building

④ Community-Based Funding

⑤ Replication & Up-Scaling

Process-Related Aspects

⑥ Multi-Level Assessments

⑦ Multi-Level Strategy or Plan Development

⑧ Community-Managed Implementaton

⑨ Multi-Level Monitoring & Evaluation

Fig. 3-6: 'Set of Criteria' as a Basis for the 'Screening' Process
(own figure)

The 'set of criteria' represented a 'reference concept' for the CBA-GMM. The 'set of criteria' summarised criteria that referred to overarching structural and institutional conditions, resembling an enabling environment, as well as to process-related aspects, facilitating the implementation of CBA activities at all levels. The 'set of criteria' is illustrated in Fig. 3-6.

3.3.1.3 The 'Scoring' of Selected Existing Concepts

In the 'scoring' stage, all selected governance and management concepts have been evaluated according to the 'set of criteria'. The 'scoring' stage has helped to identify

- concept components that are transferable to an ideal CBA-GMM,
- concept components that are transferable after modification,
- concept components that are indirectly applicable, and
- concept components that are not transferable at all.

The results of the ‘scoring’ stage are summarised in Fig. 3-7.

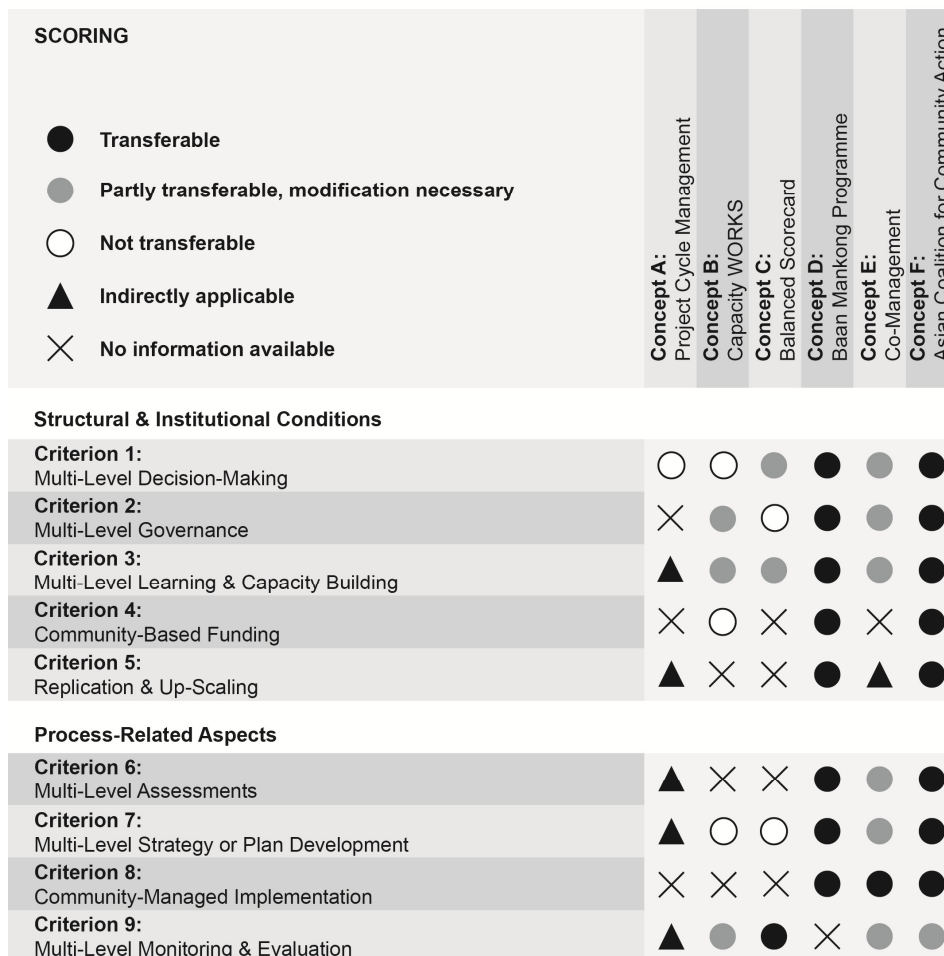


Fig. 3-7: Results of the ‘Scoring’ Stage
(own figure)

3.3.1.4 The ‘Ranking’ of Selected Existing Concepts

In the next stages, all concept components under one criterion have been compared. Completely transferable concept components have been ranked. Here, the concept component or modified concept component, which responded most to the ‘reference concept’, has been ranked first. Concept components that were only indirectly applicable, but provided valuable contributions to the concept of the CBA-GMM, have been marked. The remaining concept components, which did not provide any contributions, have been eliminated. The decision matrix applied for the ranking stage is illustrated in Fig. 3-8.

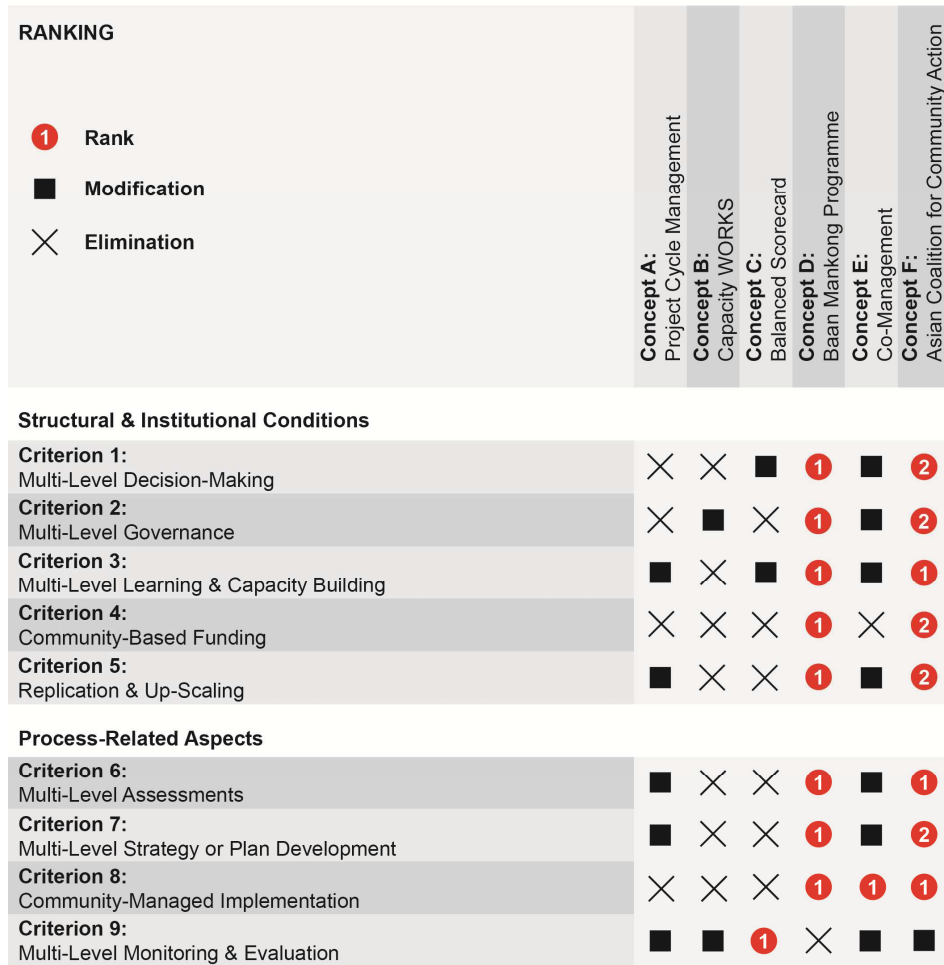


Fig. 3-8: Results of the ‘Ranking’ Stage
(own figure)

3.3.1.5 Final Concept and Reflection

Based on the concept components that were ranked first during the ‘ranking’ stage and on indirectly applicable concept components, a new concept for the CBA-GMM has been composed. Where the governance and management concepts evaluated did not provide any adequate concept components, the researcher had to develop innovative solutions in order to fill the gaps. Subsequently, the concept for the CBA-GMM as a whole has been critically reflected and alternatives have been outlined.

3.3.2 Results of the Concept Development Stage

The description of the CBA-GMM starts with a summary of objectives that the CBA-GMM shall meet. The CBA-GMM shall combine concepts for a supportive ‘policy instrument’, for a

'governance approach' as well as for a 'management approach'. The 'policy instrument' suggested for the enablement of local-level CBA activities is a national programme, linked to the establishment of supportive institutions at the national, intermediate and local level as well as to a pro-poor funding mechanism. The 'governance approach' involves the creation of different decision-making levels and the determination of the nature of decision-making processes, the integration of top-down and bottom-up strategies and activities as well as the assignment of particular roles and responsibilities to stakeholders. The 'management approach' attends to the coordination of planning, decision-making and implementation processes at the different levels as well as to the initiation of a national programme.

3.4 Transfer to the Application Level: Vietnam

3.4.1 Methodological Approach: Institutional Assessment

An 'institutional assessment' is a predominantly descriptive research approach to assess institutional capacity and performance. In this thesis, the main aim of the 'institutional assessment' was to identify existing policies, programmes, plans and activities that address climate change adaptation at different spatial levels as well as stakeholders and their respective roles. Moreover, institutional shortcomings and barriers for the implementation of CBA have been assessed. Based on the results of the 'institutional assessment', the CBA-AGMM has been developed as a modification of the theoretical CBA-GMM. (cf. Fig. 3-9)

The 'institutional assessment' undertaken in this thesis was widely based on methodologies developed by Morgan and Taschereau (cf. 1996) and Lusthaus et al. (cf. 1995). Thus, the 'institutional assessment' has been undertaken through the examination of literature, official documents and reports. Based on an assessment undertaken by the World Bank (cf. World Bank 2010a), a 'timeline' has been developed, which summarises all climate change related activities undertaken in Vietnam since the 1990s. 'Expert interviews' have supported the 'institutional assessment' in the field of citizen participation in public decision-making and master planning processes as well as in the field of bottom-up development initiated by non-governmental actors - two fields that are not extensively covered by literature sources.

5**Reality Check: Institutional Assessment**
Literature Review | Expert Interviews

- Political System of the Socialist Republic of Vietnam
- Urban Governance and Planning
- Role of Civil Society in Governance and Planning
- Policies, Programmes, Plans and Activities to Respond to Climate Change
- Relevant Stakeholder Groups
- Identification of Institutional Strengths and Weaknesses Regarding Climate Change Adaptation and CBA

Fig. 3-9: Institutional Assessment
(own figure)

3.4.2 Results of the Institutional Assessment

The ‘institutional assessment’ has resulted in the identification of a range of institutional shortcomings: While national policies that target climate change adaptation and mitigation, such as the NTPRCC, exist, their implementation is hampered by a lack of enforcement, a low degree of awareness and limited capacities among administrations and the wider public as well as by a lack of financial means. Local planning activities are constrained by overlapping responsibilities of institutions and lack of cross-sector cooperation. CBA in particular is hampered by the strong top-down organisation of decision-making and planning, a system that is at odds with the bottom-up approach of CBA, as well as by the limited independence of civil society and the lack of community information and empowerment.

3.5 The Development of an ‘Applied CBA Governance Management Model’ for Vietnam (CBA-AGMM)

3.5.1 Methodological Approach: Concept Modification

Based on the CBA-GMM, developed for an ideal context, and the differing preconditions identified through the ‘institutional assessment’, a concept for the CBA-AGMM, developed for the particular context of Vietnam, has been elaborated. A first preparatory step necessary for the ‘concept modification’ was the summary of challenges as elaborated in the ‘institutional assessment’. Subsequently, the envisaged conceptual modifications for the CBA-AGMM - as a response to these challenges - have been summarised. The modifications undertaken

mainly focused on the Vietnamese politico-administrative structure; however, the concept for the CBA-AGMM does not envisage creating a new structure, but aims at working ‘through the system’¹⁰. The methodological steps for the modification of the initial concept are illustrated in Fig. 3-10.

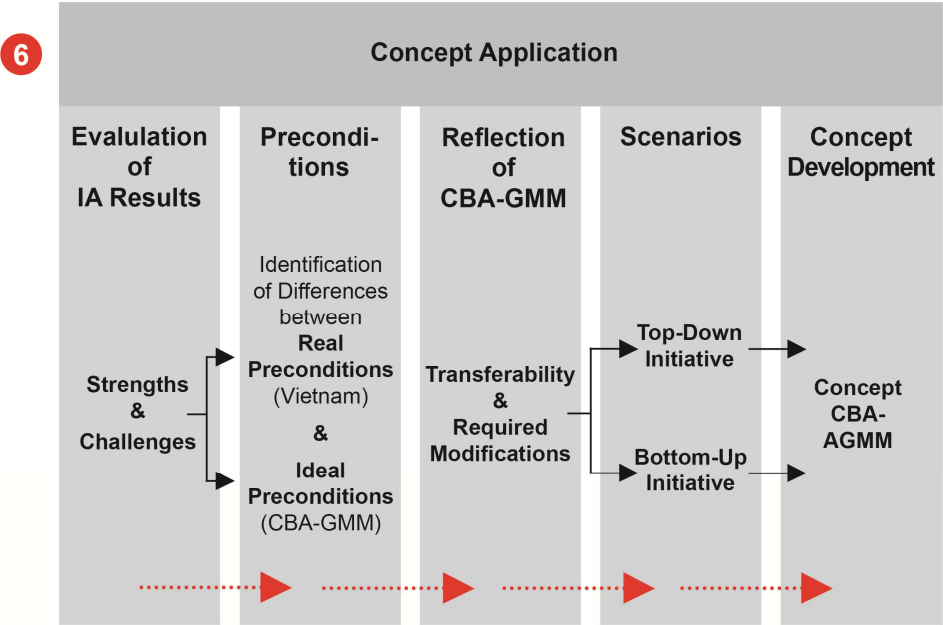


Fig. 3-10: Concept Application
(own figure)

3.5.2 Results of Concept Application

The CBA-AGMM, in contrast to the CBA-GMM, suggests a governance and management structure that respects the Vietnamese political system, administrative structures and existing state and non-state actors. The CBA-GMM encourages cross-departmental collaboration at the city and district level, where CBA and climate change adaptation is concerned, and carefully breaks open the strongly hierarchical organisation of planning and decision-making. The CBA-GMM also provides a conceptual approach for the empowerment of communities and local governments to develop and implement their own adaptation strategies.

The modified concept, the CBA-AGMM, responds to the existing context and is thus linked to existing policy instruments, such as the NTPRCC and provincial and city-level ‘action plans’. Moreover, the CBA-AGMM works with two scenarios that address the Vietnamese top-down oriented decision-making structure. These two scenarios are relevant for the initiation of CBA

¹⁰ Reference to the statement of Mrs. Nguyen Thi Xuan (see interview, Annexe I, pp. 39, 15 March 2012)

and of supportive policies that could be conducted top-down, as a state initiative similarly to the Baan Mankong programme, or else, bottom-up, through the initiative of CSOs and networks, as done by ACCA. However, the latter seems to be more likely in the context of Vietnam.

3.6 Discussion and Critical Reflection

The 7th part of this thesis focuses on the discussion of the achieved results. In this part, the research questions formulated for this thesis have been answered in detail. Moreover, the relevance of the research results for the academic discourse as well as the limitations of the thesis have been highlighted. (cf. Fig. 3-11)

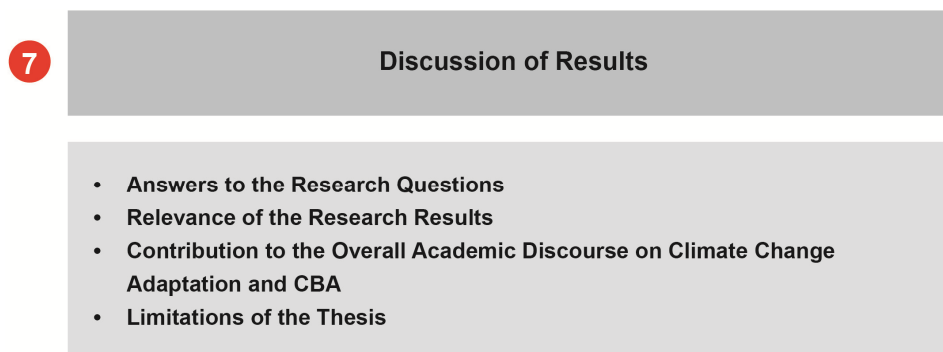


Fig. 3-11: Discussion of Results
(own figure)

4 Concept Development

4.1 Screening: Governance and Management Concepts relevant for CBA

This sub-chapter attends to the description of different management and governance concepts that, after first examination, seem to provide concept components transferable to CBA. This selection has been done intentionally in order to widen the spectrum of options to choose from in the later concept development stage. The six concepts under the spotlight are Project Cycle Management (PCM), Capacity WORKS, the Balanced Scorecard (BSC) approach, the Baan Mankong programme, Co-Management and the Asian Coalition for Community Action (ACCA) programme.

Project Cycle Management (PCM) (Concept A) is a conventional project or programme management approach that allows for periodic revision and modification of a project or programme strategy and thus, enables internal learning processes. PCM is applicable at strategic as well as at operational levels.

Capacity WORKS (Concept B) is the current management framework of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ). Capacity WORKS provides a detailed guideline for the conceptualisation of holistic, sustainable, inclusive, efficient and effective development programmes or projects and thus, mainly targets strategic levels.

The Balanced Scorecard (BSC) (Concept C) approach is mainly applied in organisational and business management. The approach facilitates the interplay of a programme's, project's or organisation's vision and detailed goals and activities applied at all levels within the organisation's or enterprise's hierarchy. The BSC provides suitable monitoring tools that may be applied for community activities in a simplified form.

The Baan Mankong programme (Concept D) is a state programme, launched by the Government of Thailand in 2003, which enables community-driven slum upgrading projects. The Baan Mankong programme links top-down planning processes and government targets to bottom-up processes and community priorities. Moreover, the programme acknowledges communities to be actors in urban development and fosters the integration of community projects into city development processes.

Co-Management of natural resources (Concept E) is an alternative approach to both, conventional state management and community management. Co-Management fosters the joint management of natural resources by both, state actors and communities as resource users, who act as partners and share benefits and responsibilities.

The Asian Coalition for Community Action (ACCA) (Concept F) is a programme of the Asian Coalition for Housing Rights (ACHR). ACCA enables and financially supports community-driven upgrading and housing projects, but, in contrast to the Baan Mankong programme, stimulates action from the bottom-up, starting with convincing results as a trigger to encourage government support.

4.1.1 Concept A: Project Cycle Management (PCM)

Project Cycle Management (PCM) facilitates the strategic management of projects or programmes. It helps to reflect decision-making processes and to adjust the underlying strategy and implementation approach based on intermediate project or programme results. Consequently, PCM fosters institutional learning, not only through the adjustment of the strategic approach of on-going projects but also through the integration of results and lessons learnt into future programmes and projects (European Commission 2004:16).

PCM is often used in combination with the Logical Framework Approach (LFA), which supports planning, managing and evaluation. The LFA fosters a logical and systematic management approach, in particular for the setting of priorities, for project design and for budget allocation as well as for the identification of aspired results and targets (European Commission & Particip GmbH 2002). PCM - as described here - has been applied by the European Commission since 1992; however, PCM and LFA are applied by many organisations in modified forms (European Commission & Particip GmbH 2002:3, World Bank 2005, Nauheimer 1997, Benson & Twigg 2007:67).

4.1.1.1 Principles of Operation

PCM in general is based on a sequence of consecutive phases, e.g. assessment, planning, implementation, monitoring and evaluation. After the evaluation phase, the first project cycle ends. The following cycle starts with the adjustment of the strategic and implementation approach, if necessary. The structure of the project cycle, related decision-making procedures and evaluation criteria considerably differ from organisations to organisation. Fig. 4-1 illus-

trates the consecutive phases of the project cycle applied by the European Commission (European Commission & Particip GmbH 2002:4).

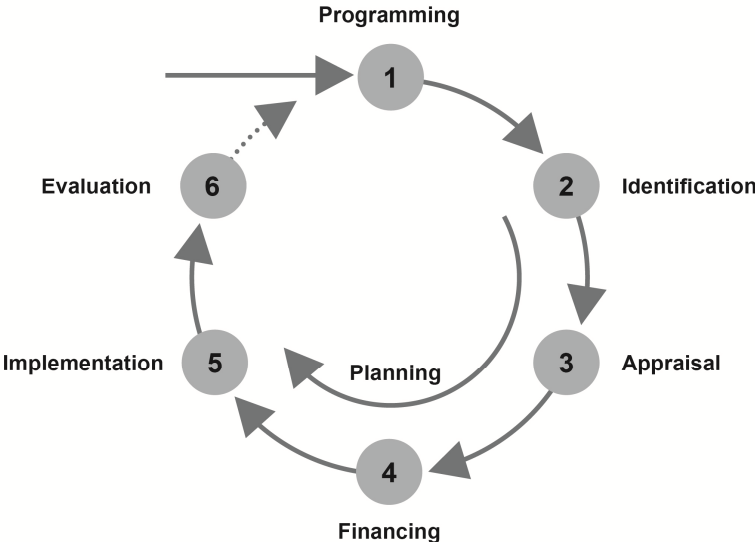


Fig. 4-1: Project Cycle
(adapted from European Commission & Particip GmbH 2002:4)

The purpose of the first phase, the ‘Programming’ phase, is the formulation of objectives and priorities for the cooperation of all parties involved and the development of project ideas. In the second phase, the ‘Identification’ phase, the relevance of project ideas is assessed and pre-feasibility studies are undertaken. This phase involves the identification of relevant stakeholders and their situation, available resources and expected costs. During the following ‘Appraisal’ phase, relevant project options are further developed into detailed project plans, utilising the LF matrix, which supports the selection of indicators, the determination of implementation schedules and the allocation of resources for relevant activities. In the fourth phase, ‘Financing’, a committee decides about the funding of the project. Within the fifth phase, ‘Implementation’, the project or programme is implemented; the project’s or programme’s progress is monitored and adjustments are made where necessary. In the sixth phase, ‘Evaluation’, the design, implementation and results of the project or programme are evaluated with regard to the achievement of set objectives, to the efficiency and effectiveness as well as to the project’s or programme’s overall impact and sustainability. Results of the ‘Evaluation’ phase and lessons learnt are integrated into the future decision-making process (ibid., European Commission 2004:29).

As mentioned earlier, PCM is a rather flexible approach. While the PCM applied by the European Commission is rather complex, as it links a great variety stakeholders and decision-making processes at different levels, PCM may be less complex if used for small-scale projects that integrate only a limited number of stakeholders. In the latter case, 'Identification', 'Appraisal' and 'Financing' may be merged to only one 'Planning' phase. PCM is flexible enough to be applied along with tools relevant for particular interventions and project or programme foci, such as disaster risk reduction (Benson & Twigg 2007:62).

The Logical Framework Approach, which is often used in combination with PCM, is composed of two stages, the 'Analysis Stage' and the 'Planning Stage'. The 'Analysis Stage' focuses on summarising aspects related to the current situation, e.g. on the identification of relevant stakeholders and their perspectives, of prevailing problems, of project or programme objectives and of relevant strategies. The 'Planning Stage' concentrates on the development of the LF matrix as an operational plan.

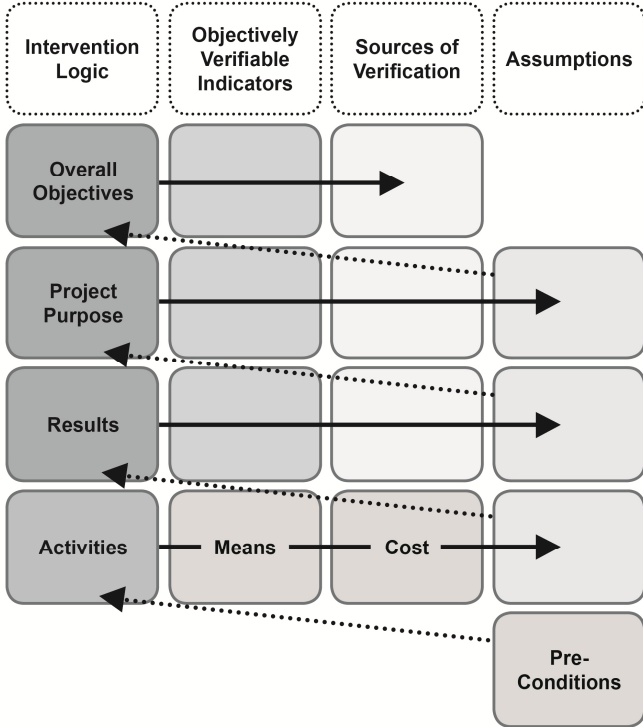


Fig. 4-2: The LF Matrix
(adapted from European Commission & Particip GmbH 2002:33)

The LF matrix, the main tool of the LFA, (see Fig. 4-2) is structured in 16 fields, in four columns and four rows. The first column, 'Intervention Logic', describes the strategy of the pro-

ject and roughly summarises objectives, the project's purpose, envisaged results and related activities; however, the indicators as well as the required means for the implementation of the activities listed in the second column provide a more detailed description. The third column helps to summarise the information and sources required for the evaluation of the programme or project and to outline its costs as well as its sources of financing. The fourth column then summarises assumptions, external factors, which are beyond the programme or project management's control, as well as pre-conditions that may have an impact on the project's or programme's success (European Commission & Particip GmbH 2002:42ff.). An interesting approach that used the main features of PCM and LFA was the Goal-Oriented (or Objectives-Oriented) Project Planning (GOPP) approach, applied by the GIZ before it was replaced by Capacity WORKS in 2007 (GTZ 1997, GTZ 2009:1).

4.1.1.2 Stakeholder Involvement

PCM is a flexible management approach that does not prescribe the way and degree of stakeholder integration. PCM may be used as an organisation-internal methodology only; however, it can also be applied in participatory multi-stakeholder projects and programmes (cf. Gawler 2005).

4.1.2 Concept B: Capacity WORKS

Capacity WORKS is a comprehensive guideline to support complex development projects and programmes. Capacity WORKS is applied in order to develop projects and programmes that are sustainable, holistic, process- and value-oriented and in order to steer complex processes within supra-organisational projects (GTZ 2009:2ff.). Capacity WORKS is used by the GIZ; it has been developed based on experiences gained from the previously applied management approaches GOPP and PCM.

4.1.2.1 Principles of Operation

Capacity WORKS follows a structured approach; similarly to PCM, the course of the approach is cyclic and comprises of a sequence of stages. The results of one stage may affect the following stages as well as the following cycle. (cf. Fig. 4-3)

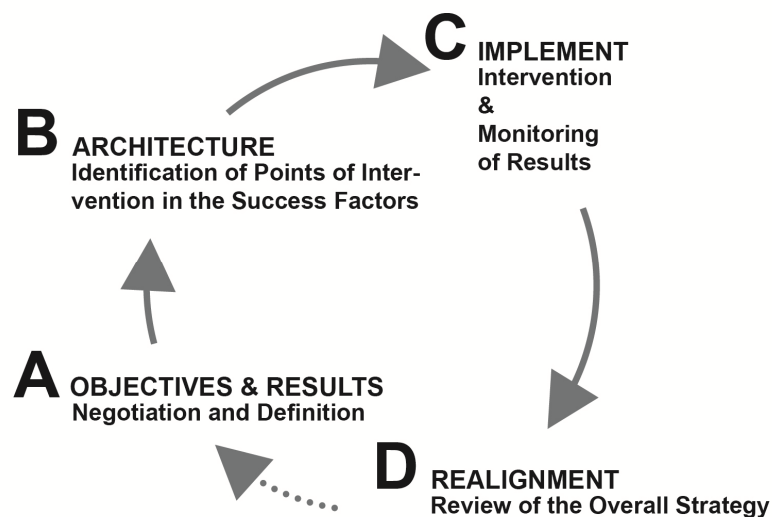


Fig. 4-3: The Capacity WORKS Cycle
(adapted from GTZ 2009:19)

The Capacity WORKS Cycle comprises of four stages, namely Stage A ‘Objectives and Results’, Stage B ‘Architecture’, Stage C ‘Implement’ and Stage D ‘Realign’. In Stage A ‘Objective and Results’, the project’s or programme’s objectives and results are negotiated and indicators for success are determined (GTZ 2009:20). In Stage B ‘Architecture’, prevailing challenges are analysed and particular learning goals are defined. Moreover, different options for interventions are discussed and appropriate tools are selected. In Stage C ‘Implement’, the selected interventions are implemented and a system for results-based monitoring is established at different levels in order to enable the adjustment of the project design, where necessary. Moreover, the achievement of learning goals is evaluated. Within Stage D ‘Realignment’, the overall strategy is reviewed; the project’s or programme’s results are evaluated and necessary modifications are undertaken (ibid.:20ff.).

The core of Capacity WORKS are the five Success Factors ‘Strategy’, ‘Cooperation’, ‘Steering Structure’, ‘Processes’, ‘Learning & Evaluation’ that provide the framework for negotiation processes between the GIZ and GIZ’s partners as well as for project development. During the ‘Implementation’ stage, all decisions are evaluated and monitored with particular regard to the five Success Factors (ibid.:7ff.).

The ‘Strategy’ of a programme or project is geared towards the achievement of long-term objectives; the strategy takes into account actions of other stakeholders and the dynamics of the programme or project environment. Within GIZ projects, there is a clear distinction between strategic and operational levels (ibid.:27).

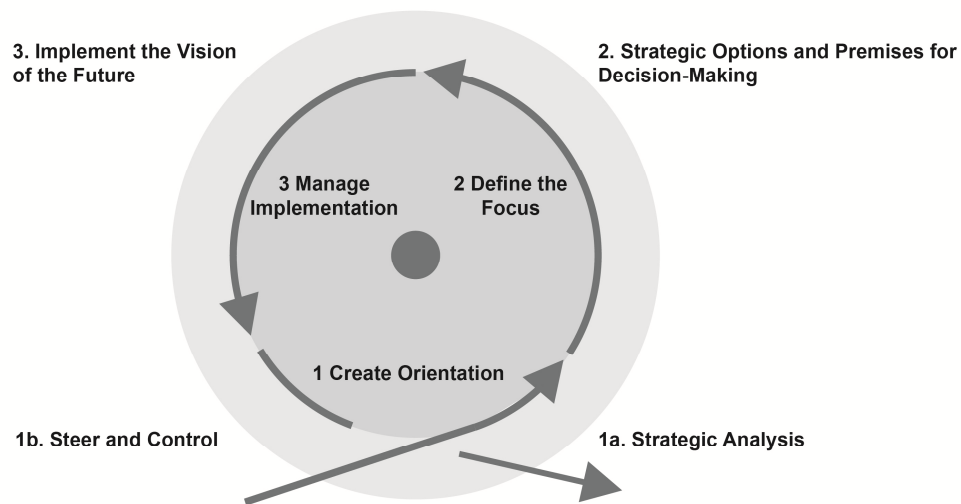


Fig. 4-4: Strategic Loop
(adapted from GTZ 2009:33)

The 'Strategic Loop' provides general orientation, establishes links and feedback mechanisms. The 'Strategic Loop' comprises of three stages, the (1a) 'Strategic Analysis', (2) 'Strategic Options and Premises for Decision-Making', (3) 'Implement the Vision of the Future' and (1b) 'Steer and Control'. After and during implementation, iterative loops support the review of the programme's or project's success (ibid.:33). Stage 1a, 'Strategic Analysis', refers to the assessment of environmental conditions and trends, available resources and competences as well as to the identification of strengths and weaknesses, potentials and risks. The following second stage, 'Strategic Options and Premises for Decision-Making', determines the overall strategic orientation. Strategic options are developed along with qualitative and quantitative indicators. The third stage, 'Implement the Vision of the Future', concentrates on the development of strategic programmes, organisational and process concepts as well as of concepts for change management, communication, human resource development and steering instruments. In the last stage 1b, 'Steer and Control', strategies and measures are developed and feedback on quality of the steering process is provided (ibid). (cf. Fig. 4-4)

Development cooperation projects are negotiated, planned, implemented and steered by a variety of stakeholders and thus, require innovative cooperation structures; this philosophy is reflected by the second Success Factor 'Cooperation'. For modern project management, Capacity WORKS suggests the establishment of policy networks, which may facilitate policy

negotiation processes, as they serve as space for interaction and negotiation and for the promotion of democratic governance (ibid.:75ff.).

'Steering' is a method to achieve agreed goals together with all relevant stakeholders (ibid.:147). In the context of a development cooperation project or programme, a steering structure is set-up to strengthen ownership and self-reliance of participants, transparent decision-making and efficiency. Moreover, the steering structure shall be conflict sensitive and flexible enough to allow for fast decisions; it should allow stakeholders to change their roles and initiate innovative developments in partner organisations.

'Processes', as the fourth Success Factor, determine an organisation's performance capacity and the achievement of agreed goals; Capacity WORKS works with 'core processes' (important for the achievement of project results), 'steering processes' (which facilitate 'core processes') and 'auxiliary processes' (which support other processes). 'Core processes' comprise of 'output processes', 'cooperation processes' and 'learning processes' (ibid.:175ff.). Capacity WORKS establishes a process hierarchy in project management that links the strategic level with the operational project management and that allows to break the project's strategy (the 'core processes' at the strategic level) further down to concrete actions ('sub-processes') (ibid.:178).

The fifth Success Factor of Capacity WORKS is 'Learning and Evaluation'. Capacity WORKS distinguishes between the learning (and the learning capacity) of individuals, organisations and networks. Organisations and networks, mainly addressed by Capacity WORKS, learn by the incorporation of knowledge into their structures, processes, rules and rituals (ibid.:212ff.). There are three forms of organisational learning: 'First-order learning' is applied by an organisation in order to adapt existing procedures to internal and external influences and changes. 'Second-order learning' focuses on the acquisition, evaluation and dissemination of knowledge as well as on the development of innovative solutions. 'Third-order learning' focuses on the learning processes as such and on the achievement of learning goals (ibid.:216).

4.1.2.2 Stakeholder Involvement

In project and programme development, Capacity WORKS focuses on the identification and integration of all stakeholders' perspectives and priorities. Decisions are made based on negotiations between all relevant stakeholders. In order to foster change processes and the

change of relationships between different stakeholder groups, capacity building and learning are incorporated as main components of Capacity WORKS.

4.1.3 Concept C: The Balanced Scorecard Approach

The concept of the Balance Scorecard approach (BSC) was developed by Robert S. Kaplan and David P. Norton in 1992 and since then, has become widely accepted as a strategic management approach for enterprises and organisations alike (Niven 2009:49). The BSC is applied by enterprises or organisations of the for-profit sector as well as of the non-profit sector that aim at improving their performance, focusing either on the maximisation of their financial benefits or on the creation of social value. The BSC establishes a link between the enterprise or organisation's mission, its vision, envisioned goals and objectives and concrete action at every level. In order to achieve this, the BSC provides tools for internal communication, performance measurement and strategic management; it supports the management of an organisation or enterprise to achieve strategic objectives on the one hand and to communicate results to staff and concerned stakeholders on the other (ibid.:39ff.).

4.1.3.1 Principles of Operation

Kaplan and Norton initially developed the BSC to create an approach that allowed the integration of quantitative, predominantly financial measures, and qualitative data, namely non-financial measures, into decision-making processes of organisations and enterprises (Kaplan & Norton 1996:75). Thus, the BSC works with four 'Perspectives' of performance, namely with the 'Financial Perspective', the 'Customer Perspective', the 'Internal Processes Perspective' and the 'Learning and Growth Perspective', which are contemplated separately while at the same time being closely interwoven (Niven 2009:48).

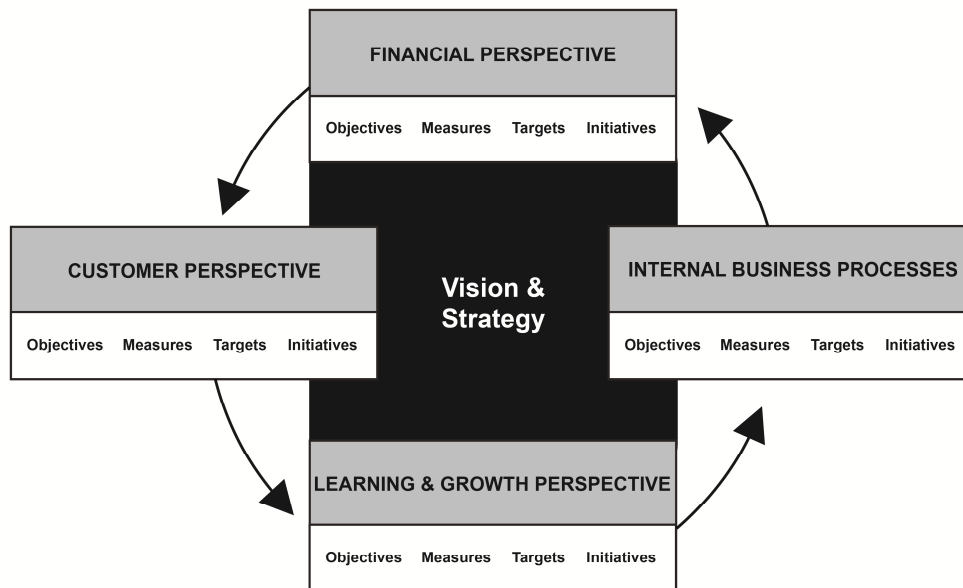


Fig. 4-5: Linking Vision and Strategy to the four Perspectives
(adapted from Kaplan and Norton 1996a:76)

The BSC can also serve as an internal communication tool between different hierarchical levels or units of an enterprise or organisation. Firstly, BSC helps to link the vision of an enterprise or organisation to short-, medium- and long-term objectives, strategies and measures that support the achievement of the vision. Secondly, supported by 'strategic maps', BSC helps to 'translate' the vision, objectives, strategies and measures 'downward' to lower hierarchical levels; each organisational unit works towards the achievement of the organisation's vision by breaking down the higher-level objectives, strategies and measures to manageable goals and activities suitable for the respective level (Kaplan & Norton 1992, Niven 2009:46). Moreover, the BSC approach may also be utilised to communicate 'lower-level' results and feedback 'upward' in order to influence decision-making at 'higher' strategic levels.

The management approach of the BSC consists of four processes, namely 'Translating the Vision', 'Communicating and Linking', 'Business Planning' and 'Feedback and Learning', as illustrated in Fig. 4-5.

The first process, 'Translating the Vision', is relevant for the higher strategic levels; the process supports managers to build consensus among team members at all levels regarding the organisation's or enterprise's vision and overarching strategy, which is usually developed in a top-down manner (Kaplan & Norton 1996:75ff.). The vision and overarching strategy may

also be developed bottom-up with the participation of the organisation’s members or enterprise’s employees; however, this process takes longer, but ensures the commitment of all organisational units (ibid.:80).

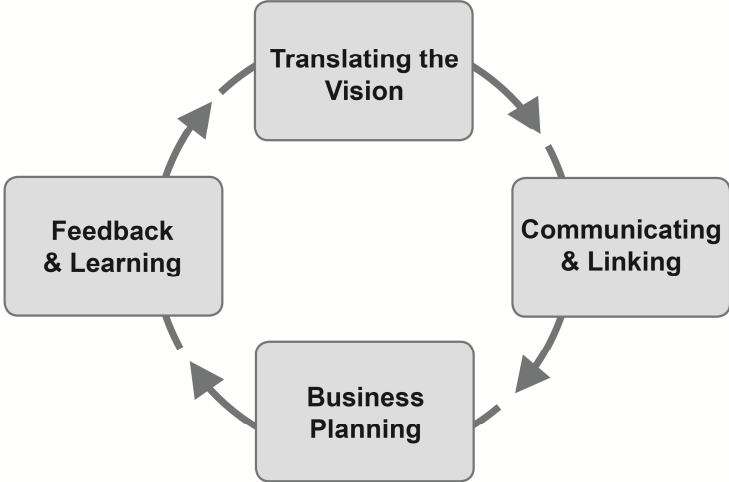


Fig. 4-6: Managing the Strategy
(adapted from Kaplan & Norton 1996:77)

The second process, ‘Communicating and Linking’, helps managers to communicate the vision, strategy and objectives from ‘higher levels’ within the organisation’s or enterprise’s hierarchy to ‘lower levels’ and to link them to more detailed objectives and concrete activities of organisation’s units or individuals. However, ‘lower-level’ units should also be enabled to communicate their objectives, targets and feedback ‘upward’ (ibid.:80).

The third process, ‘Business Planning’, enables organisations and enterprises to link financial budgets to strategic targets - this process provides the basis for resource allocation. In order to do that, measures from all BSC perspectives are selected and targets are set for each of them; the achievement of the targets is constantly monitored (ibid.:83).

The fourth process, ‘Feedback and Learning’, focuses on strategic learning, operationalised through feedback and review processes. The organisation or enterprise can monitor short- and mid-term results from the different perspectives, evaluate its own long-term strategy and undertake modifications where necessary (ibid.:75). The BSC approach to strategic learning is composed of three elements, namely the communication of strategic objectives and results, a feedback system to test, validate and modify hypotheses that a strategy is based on and strategy review to evaluate the effectiveness of the current strategy and its implementa-

tion (ibid.:85). The BSC is based on a cyclic approach (cf. Fig. 4-6); after the fourth process, 'Feedback and Learning', a new cycle starts.

The BSC approach is also applicable by non-profit organisations, whose purpose and strategy differs from those of for-profit organisations. First of all, non-profit organisations do not focus on maximum financial performance but on the production of social results. Thus, the 'mission' of non-profit organisations should be put on top of the organisation's hierarchy of goals and the value created by non-profit organisations should be evaluated with the help of non-financial measures (Moore 2003:6ff.). Secondly, also the term 'customers' in non-profit management has a different connotation. Non-profit organisations often distinguish between 'downstream' customers and 'upstream' customers. 'Downstream' customers are individuals who are provided with free services and benefits as a result of the organisation's work. In order to cover their costs, most non-profit organisations cooperate with 'upstream' customers who provide financial support and who have an interest in the production of social goods and services, such as donors or governments (ibid:8ff.). Thirdly, in comparison to for-profit organisations and enterprises, non-profit organisations do not necessarily follow a competitive strategy but network with other organisations in order to solve social issues that are beyond their own capacity (ibid:10ff.).

As an alternative to the BSC, Moore highlights the concept of the 'Public Value Scorecard', which is not based on a competitive strategy model, but helps to evaluate and monitor the implementation and success of the non-profit organisation's strategy. Instead of 'Perspectives' used by the BSC approach, the 'Public Value Scorecard' works with the 'Strategic Triangle' composed of the social 'Value' the organisation wants to produce, 'Upstream Customers' who indirectly benefit from the organisation's activities and from the creation of social value and 'Operational Capacity', measuring the organisation's capacity to achieve their desired goals and objectives, to negotiate and network with others as well as to mobilise resources from other actors (ibid:11ff.).

4.1.3.2 Stakeholder Involvement

The BSC fosters both, strategy development as a top-down and as a bottom-up process. On the one hand, BSC helps to translate an enterprise or organisation's vision into targets and activities to be implemented by each individual and organisational unit; on the other hand, the vision and overall strategy may also be determined through a genuine participatory ap-

proach. In both cases the organisational units and individuals get the opportunity to determine their own performance targets and by doing this, to contribute to the achievement of the overall vision of the enterprise or organisation.

4.1.4 Concept D: The Management and Governance Approach of the Baan Mankong Programme

The Baan Mankong ('secure housing') Programme is a national slum up-grading programme, launched by the Government of Thailand in 2003 (Boonyabanacha 2005a:21), which fosters local community-driven projects. In contrast to other government upgrading programmes, Baan Mankong recognises communities as partners in urban development processes. Thus, the programme enables and supports communities and their own efforts to upgrading, housing production and infrastructure provision and integrates these local-level activities into city-level strategies. Consequently, Baan Mankong is a practical example for the linking of top-down and bottom-up development approaches within the framework of a national programme. In order to facilitate replication and up-scaling, Baan Mankong encourages networking and exchange as well as the building of strong self-management structures at all levels and the creation of flexible funding mechanisms. (Boonyabanacha 2005b:8, Boonyabanacha 2009:319, Archer 2010:10)

4.1.4.1 Principles of Operation

The approach of the Baan Mankong programme strategically supports fast replication and up-scaling. The programme is based on political will and on the conviction that communities and individuals are able to develop and manage their own local-level projects. The programme fosters the establishment of strong and capable institutions at the national and all relevant local levels that help to govern the programme and its implementation. Therefore, institutional barriers that often hinder the replication and up-scaling of isolated pilot projects are overcome from the beginning (Boonyabanacha 2005b:16).

The Baan Mankong programme is governed through a 'multi-level governance approach'. The programme fosters decentralised decision-making by distributing decision-making powers to cities and communities. The majority of decisions are taken through dialogue and negotiation between different stakeholder groups. The programme and its implementation at the local levels are facilitated through self-management institutions and horizontal mutual

support structures, e.g. through community networks but also through networks of CSOs and experts. In Thailand, community networking has become the main community-led development approach to urban poverty reduction. (Boonyabanacha 2004:38ff., Boonyabanacha 2009:310ff.)

Baan Mankong strongly fosters innovative approaches to learning and knowledge creation at all levels through the establishment of learning centres, networking, exchange visits and mutual or 'peer learning' as well as through mass learning events. Moreover, most of the tasks and services related to the implementation of local projects are sub-contracted to local partners in order to build their capacity (Boonyabanacha 2005b:16). These forms of learning, exchange and capacity building help to reduce the dependency of the communities and other stakeholders on - often costly - external support.

The Baan Mankong programme also works with an innovative pro-poor funding mechanism based on community-based savings and management. Funds, provided by the government, are channelled directly to participating communities and their cooperatives. In order to become eligible for loans, communities need to develop financial management capacities, set up savings and credit groups and register as cooperatives, as only community cooperatives are entitled to receive housing loans and subsidies and to buy or lease land. (Boonyabanacha 2009:312, Archer 2010:5ff.) The annual interest rate of the loans is 2 per cent (compared to non-subsidised housing loan rates of 4 per cent). The upper limit for combined land and housing loans is 300,000 Baht (approximately US dollar 8,571); housing loans alone are provided up to between 150,000 and 200,000 Baht (US dollar 4,285 – 5,715) per family. In order to qualify for the loan, each household has to save a 10 per cent deposit of the loan amount. The maximum repayment period is 15 years. (Boonyabanacha 2009:313)

4.1.4.2 The Process - Stages

The implementation of the Baan Mankong programme at the city level starts with an assessment of all relevant stakeholders and with the establishment of a first, rather loose co-operation structure. This first step can be initiated by any of the stakeholder groups, e.g. by community networks, city authorities or by the Community Organizations Development Institute (CODI), a public organisation which has been established as an intermediary institution between the government and all other stakeholders. In parallel, network meetings are organised in order to inform communities and municipalities about the Baan Mankong approach.

As a next step, a working group, a 'Joint Committee' or 'City Development Committee' is formed at the city level, consisting of representatives from all relevant stakeholder groups, such as the local authority, academia, NGOs and development agencies, community networks and local communities. These 'Committees' are in charge of supporting all projects, activities and processes related to the Baan Mankong programme undertaken within their city (Boonyabantha 2009:314ff.).

In a further step, an official city meeting is organised in order to inform representatives of all urban poor communities about the implementation of the Baan Mankong programme. Then, a city-wide survey is undertaken in order to collect data and to identify poor communities in need for housing, upgrading or infrastructure provision. (ibid.:315)

Based on the survey, a city strategy for urban upgrading is developed and areas for pilot projects are selected. The pilot projects are planned and implemented as first 'training cases' to learn from. At the community level, community leaders mobilise existing capacities, resources and supporting partners and encourage collective savings activities as well as the building of savings groups. Supported by facilitators or community architects, the pilot communities then formulate a development plan, which include detailed plans for the implementation of physical measures and socio-economic improvements as well as for project management. The community development plans are approved by 'Joint Committees', 'City Development Committees' as well as by higher-level 'Committees' developed at the national level. After a community development plan is approved, the loans are released and the community may start the implementation. (ibid.:316ff.) (cf. Fig. 4-7)

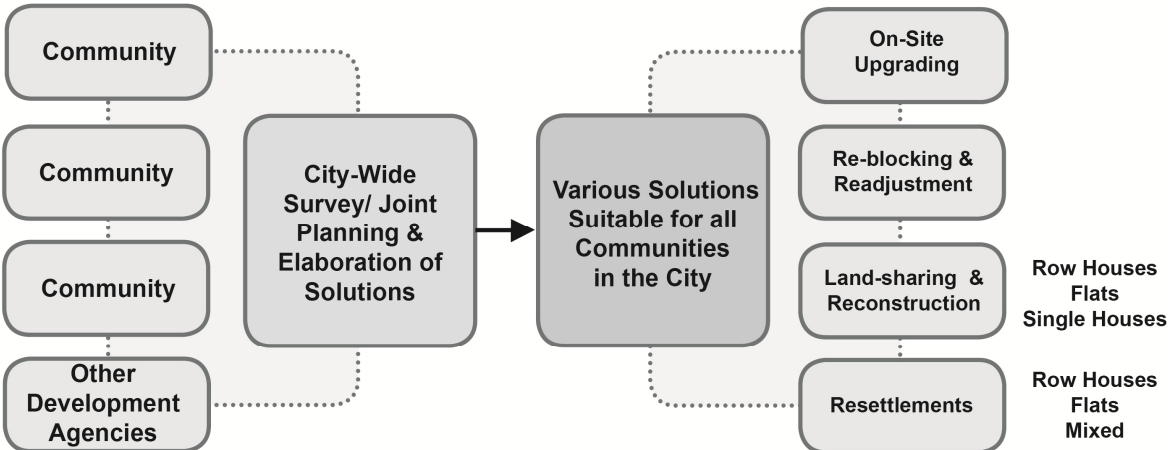


Fig. 4-7: Creation of Individual Housing Solutions
(adapted from Boonyabantha 2004:41)

As mentioned earlier, the Baan Mankong programme fosters the replication and up-scaling of pilot projects; thus, every city should develop a strategy for project replication and for maximising the learning effect from the pilot cases. Upgrading plans developed by communities are integrated into the official city development strategy; by doing this, support from all stakeholder groups is encouraged. This support may refer to the guarantee of tenure security on occupied land or on the provision of land for resettlement. (CODI 2004:1ff.) A main process that has to be constantly addressed and fostered is the building of community networks as well as learning and exchange among participating communities and other peer groups (ibid.:312). (cf. Fig. 4-7)

4.1.4.3 Stakeholder Involvement

The Baan Mankong programme is based on the involvement of a large number of stakeholder groups. The most important stakeholders are urban communities, the Community Organizations Development Institute (CODI), a 'Committee' at the national level as well as 'Joint Committees' or 'City Development Committees' at city level, experts and organisations that act as advisors and facilitators. (cf. Fig. 4-8)

Communities, their cooperatives and networks are the core actors in the upgrading and development processes. Communities develop and manage their own development projects based on their resources, needs and priorities. Within the scope of these local-level projects, the communities are responsible for decision-making and planning, for the formulation and submission of project proposals, which need to be approved by city-level and national-level 'Committees', as well as for the management of savings, funds and implementation (Boonyabanha 2005b:11). Through their networks, communities provide mutual support through exchange and 'peer learning'.

A second main stakeholder in the Baan Mankong programme is the Community Organizations Development Institute (CODI). CODI is a public organisation under the Ministry of Social Development and Human Security and in charge of channelling the subsidies and loans to the participating communities and their cooperatives (Boonyabanha 2009:312). CODI is governed by a board, which consists of eleven members and includes representatives from communities, government and different organisations (Boonyabanha 2004:51). CODI's current work is based on previous experiences of the Urban Community Development Office (UCDO), which had been CODI's forerunner organisation.

UCDO was established in 1992 in order to support communities and their organisations with loans at subsidised rates, small grants for infrastructure provision and technical assistance for development projects. The Thai government granted UCDO a revolving fund of 1250 million Baht (equivalent to 50 million US dollar). UCDO cooperated with national government agencies, local authorities, NGOs and other development partners. (Boonyabanacha 2004:28ff., Boonyabanacha 2005b:4ff.) With increasing numbers of savings groups, UCDO started to provide loans to community networks, and these passed on loans to their members. This approach reduced administrative work and promoted joint learning and collective action. In 2000, UCDO merged with a rural development fund and was transformed into CODI (Boonyanabcha 2004:25ff., Boonyabanacha 2005:7).

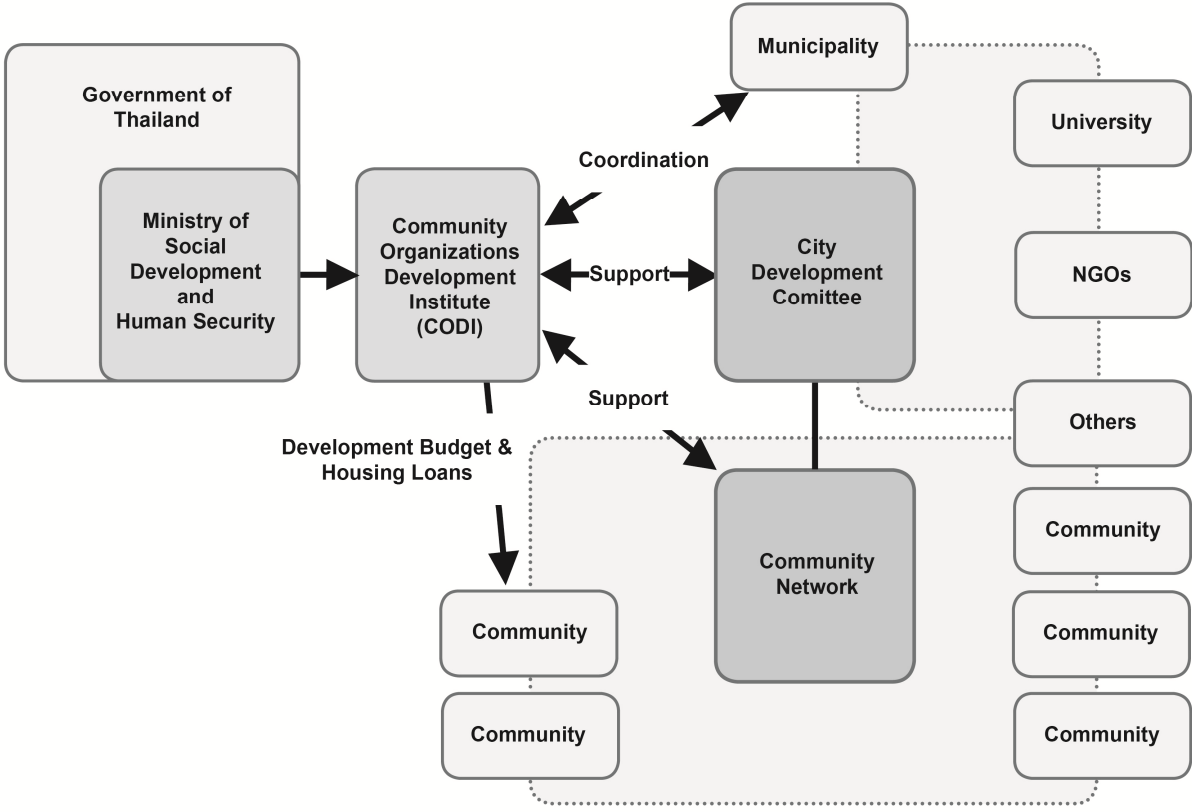


Fig. 4-8: The Baan Mankong Mechanism
(adapted from Boonyabanacha 2005a:32)

At the city level, the Baan Mankong programme is supported by ‘Joint Committees’ or ‘City Development Committees’. These ‘Committees’ build innovative, and often unusual, alliances between different stakeholders and foster the integration of community-based upgrading into city-level development plans. ‘Joint Committees’ and ‘City Development Committees’

receive and approve community development plans and seek final approval from the national-level 'Committee'.

While communities are the core actors in local projects and activities, experts, such as community architects and builders, and CSOs partner with communities at eye level and facilitate their activities, e.g. through the moderation of decision-making and planning activities or through the provision of technical support (Boonyabantha 2009:328, Archer 2010:6).

4.1.4.4 Achievements of the Baan Mankong Programme

When UCDO was transformed into CODI in 2000, the UCDO fund had grown to about 1700 million Baht (Boonyabantha 2004:34). 100 community networks and 950 community savings groups had been established all over Thailand, 47 housing projects and 6,400 households had benefited from loans and technical assistance; 796 communities had received grants for infrastructure improvements (Boonyabantha 2005b:7). The Baan Mankong experience has been widely disseminated and transferred to other countries, like Cambodia, Laos, Vietnam, India and South Africa (Boonyabantha 2004:52).

4.1.5 Concept E: Co-Management of Natural Resources

Co-Management of natural resources is an approach that fosters the fair sharing of management functions, benefits and responsibilities between different stakeholder groups, e.g. between communities and authorities, in a specific area. Co-Management is an alternative to pure state or community management; the approach is based on negotiation and promotes cooperation and partnership between different stakeholders (Borrini-Feyerabend et al. 2007:1). GIZ currently applies a successful Co-Management project in the Soc Trang Province, in the south of Vietnam, which focuses on mangrove forest rehabilitation. The Co-Management approach, based on negotiation and consensus building, is quite innovative for the context of Vietnam, where decision-making is traditionally done in a top-down manner. However, the success of Co-Management in the south of Vietnam proves that the sharing of decision-making power and responsibilities between authorities and communities can bring about sustainable results. Until now, Co-Management is only applied in a few rural provinces of Vietnam, but it constitutes an important step to promote genuine local-level governance processes.

4.1.5.1 Principles of Operation

Co-Management of natural resources is a partnership arrangement which guarantees resource users, predominantly local communities, the right to use natural resources in a defined land area owned by the state, in exchange for taking on responsibility for sustainable resource management and protection (Schmitt 2009:7ff.).

The approach of Co-Management is based on four consecutive steps, namely 'Consultation and Organization', 'Negotiation and Agreement', 'Implementation' as well as 'Monitoring and Evaluation'. In preparation for the Co-Management process, awareness is raised among communities and local authorities at the provincial, district and commune levels. Then, a so called 'start-up group' is established; in the case of the GIZ Co-Management project in Soc Trang, this 'start-up group' is composed of representatives of the GIZ project staff and local authorities who facilitate the initiation of Co-Management activities. (Schmitt 2009:8)

The first step in the Co-Management process, 'Consultation and Organization', helps communities to organise themselves and to form recognised 'user groups'. Mapping activities, undertaken by communities, help to identify locally available resources, the current practice of resource use as well as related problems. (ibid.)

The second step, 'Negotiation and Agreement', focuses on the negotiation between local authorities, resource user groups and other relevant stakeholders regarding the management and sustainable use of natural resources within a specific area. This second step aims at achieving an agreement between the different parties that involves the determination of zones for sustainable resource use on the one hand as well as for resource protection on the other, as well as the development of regulations for each zone (ibid.:8ff.).

The third step 'Implementation', starts with the demarcation of zone boundaries and with the communication of the regulations among all participating resources user groups, neighbouring community groups, authorities and the wider public (ibid:8ff.). The last step, 'Monitoring and Evaluation', focuses on the periodical recording and presentation of changes and trends regarding the amount of resources harvested in different zones as well as regarding violations of the zone-specific regulations. Information obtained from monitoring and evaluation serves as a basis for the adjustment of regulations, for the attribution of zones and for re-negotiation between the different parties. (ibid.)

4.1.5.2 Concepts and Approaches Integrated into Co-Management

Co-Management follows the ‘adaptive management approach’; it is experimental and based on learning-by-doing and thus, makes use of core elements of PCM that helps to integrate results and lessons learnt from one project cycle into the next. Co-Management is a ‘pluralist approach’, as different stakeholder groups interact and collaborate based on their different perspectives, resources and capacities. The approach supports ‘governance’ processes, as it fosters negotiation and consensus building between different stakeholder groups. Co-Management is also a ‘patrimonial approach’, as it establishes links between different generations of managers and resource users. Co-Management involves - often culturally specific - conflict management strategies, which promote dialogue and negotiation. (Borrini-Feyerabend et al. 2007:4ff., Babbitt et al. 1994 in Borrini-Feyerabend et al. 2007:9ff.) Negotiation, decision-making and information sharing in Co-Management processes are based on ‘social communication’ that involves one-to-one dialogue and group meetings as well as the use of traditional and local media, electronic and mass media (ibid.:11ff.). (cf. Fig. 4-9)

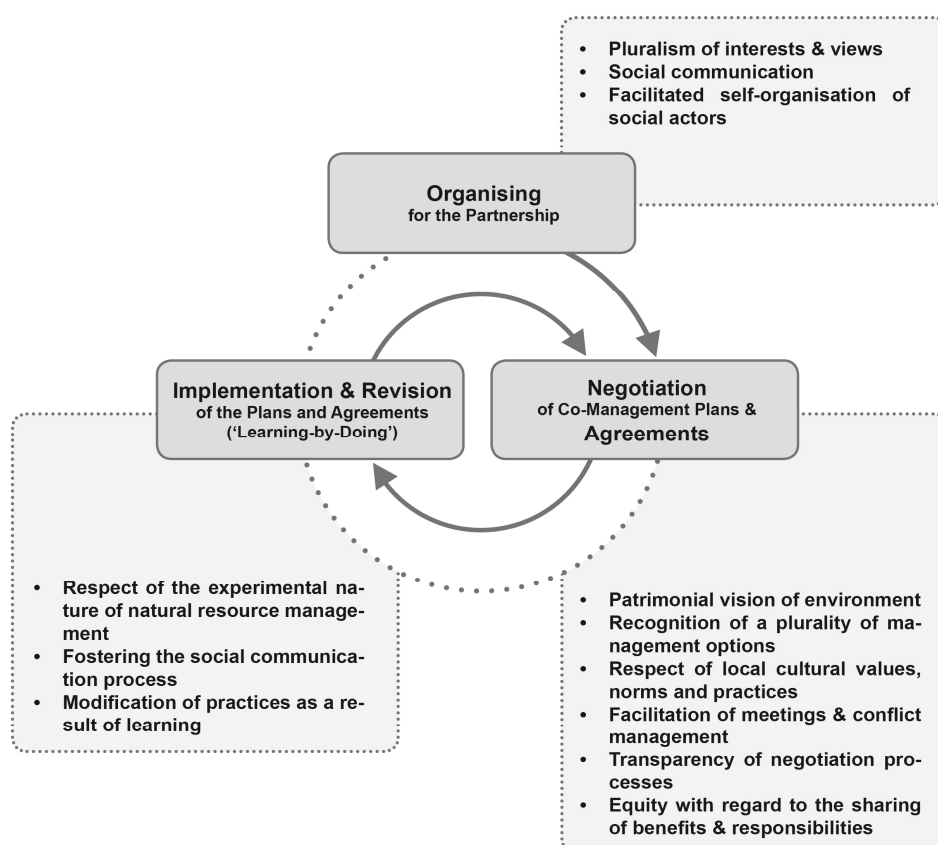


Fig. 4-9: Concepts, Approaches and Values in Co-Management Processes
(adapted from Borrini-Feyerabend et al. 2007:14)

4.1.5.3 Stakeholder Involvement

Co-Management predominantly involves local authorities, communities as resource users as well as facilitators. In Co-Management processes, all stakeholders act as partners. Decisions are taken jointly and based on negotiation; the partners share benefits and responsibilities that result from the management of natural resources.

4.1.6 Concept F: Asian Coalition for Community Action (ACCA)

The Asian Coalition for Community Action (ACCA) is a programme set up by the Asian Coalition for Housing Rights (ACHR)¹¹ in 2009. ACCA enables communities to solve local development issues, such as housing provision and upgrading, where the government or other development actors fail. Similarly to Baan Mankong, ACCA puts people at the centre of the development processes, helps to strengthen relationships and cooperation structures between communities and other actors and fosters collective decision-making and activities (Papeleras et al. 2012:467, Boonyabancha & Mitlin 2012:403ff.). ACCA tries to overcome the challenge of replication and up-scaling through starting the programme in as many cities as possible, through partnership-building and networking between communities and professionals and through developing a great variety of local strategies as models for replication (ACCA 2010:16ff.).

ACCA aims at encouraging city authorities to actively engage in ACCA projects through financial and material contributions, through creating institutional preconditions for replication and up-scaling and through the formulation of supportive policies (Miller 2012:14). ACCA is based on community savings; the programme aims at establishing community development funds (CDF) at different levels in order to create a pro-poor funding mechanism that is widely independent from donors, governments and formal credit schemes (ibid.).

¹¹ Established in 1988, ACHR is a growing network of individuals and organisations, e.g. community organisations, non-governmental organisations, professionals and experts that support community development processes in Asian cities (ACHR 2014b).

4.1.6.1 Principles of Operation

4.1.6.1.1 City-Level Approach

ACCA primarily targets the city level to achieve community empowerment. Thus, in a first step, ACCA initiates city-wide surveys and mapping activities in order to identify poor urban communities in need for housing and up-grading. In a second step, the communities identified are organised and networks are built. The third step focuses on the building of voluntary savings groups as a preparatory phase for the establishment of a Community Development Fund (CDF). At the same time, ACCA helps to establish platforms for dialogue, cooperation and partnership building between communities and city authorities. As a next step, 'Joint Committees', similar to those developed within the framework of the Baan Mankong programme, are built at city level (ACHR 2014a).

ACCA then encourages the planning and implementation of 'small projects' that target the community level, and later, 'big projects' that have a larger impact, but require the active involvement of city authorities (ACCA 2010:16ff.). In ideal cases, the 'small projects' are not developed as isolated projects, but as a group of at least five projects in one city that are often implemented simultaneously and benefit from networking and exchange (ibid.). However, in Vietnam - as an expert interview¹² reveals - the initiation of the ACCA programme at the city level and the involvement of the city authorities is not always uncomplicated and may be achieved by creating convincing results and proposals developed at the community level.

4.1.6.1.2 Collective and Community-Driven Processes

ACCA considers communities and collective action to be the core of local development processes. Thus, ACCA fosters the strengthening of organisational capacity, the planning and implementation of community-driven housing and upgrading projects as well as the voluntary establishment and management of collective funds. (Boonyabancha & Mitlin 2012:404., Archer 2012:434) The distribution of responsibilities and eventually of decision-making power from state actors and experts to the local population is reflected by the reversed working relationship between communities, who plan and decide, and experts and architects, who mainly act as facilitators (Papeleras et al. 2012:479).

¹² see interview with Mrs. Le Dieu Anh (Annexe I, pp. 49ff., 19 March 2012)

4.1.6.1.3 Horizontal and Vertical Cooperation

ACCA is based on horizontal networking and cooperation between different stakeholder groups as well as on strong links between stakeholders, also involving decision-makers at higher hierarchical levels. ACCA supports the formation of learning and mutual support structures by setting up city-level, national and eventually international networks that link participating community organisations. (Boonyabanha & Mitlin 2012:411ff.) Collective funds and CDFs are linked in order to form financial networks and to establish horizontal links between savings groups (Archer 2012:429). Vertical links are established in order to encourage city governments to change unsupportive policies, e.g. with regard to sub-standard housing and community self-governance, on the one hand and to financially contribute to ACCA projects and to CDFs on the other (ibid.:404, Archer 2012:423ff., Papeleras et al. 2012:436ff.).

4.1.6.1.4 Learning Processes at all Levels

ACCA projects serve as “living experiments” (Boonyabanha & Mitlin 2012:404) and “learning laboratories” (Papeleras et al. 2012:472). Learning processes are driven by exchange between communities and professionals as well as among ‘peers’; they take place at all levels, from the community level to the national and regional level. ‘Peer learning’ in particular is used as a strategy for the improvement of local activities and for pooling knowledge and experience (Boonyabanha & Mitlin 2012:404).

4.1.6.1.5 Simple Funding Mechanism

The Bill and Melinda Gates Foundation supports ACCA with an amount of 11 million US dollar (Mitlin & Satterthwaite 2012:395). This amount is used to provide ‘seed funds’ for collective funds and CDFs, infrastructure grants and housing loans (Archer 2012:424ff.). About 60% of ACCA’s budget is used for ‘small projects’, small upgrading projects, and ‘big projects’, larger housing projects. Every participating city is provided with a maximum amount of 15,000 US dollar for the development and implementation of at least five ‘small projects’ in five different communities. (Boonyabanha & Mitlin 2012:407, ACCA 2010:3) After starting ‘small projects’, city authorities may apply for funds up to an amount of 40,000 US dollar for the development of a ‘big’ housing project in each city; in total, a maximum of seven to eight ‘big projects’ per country may be funded through ACCA. However, ‘big projects’ require the contribution of government resources. Furthermore, city and national agencies are supported

with additional funds for assessments, managerial functions, coordination and exchange (Boonyabanha & Mitlin 2012:408).

In contrast to the Baan Mankong programme, ACCA funds are not channeled to communities directly; they are managed through newly-established CDFs or other already existing collective funds. CDFs are larger-scale revolving funds that are established through the pooling of community savings - at first at the neighbourhood level and later at higher levels. ACCA's 'big projects' generally go along with the establishment of a CDF (Boonyabanha & Mitlin 2012:412). Community savings groups that contribute to a CDF have the right to obtain a loan (Archer 2012:429). ACCA's funding approach is illustrated in Fig. 4-10.

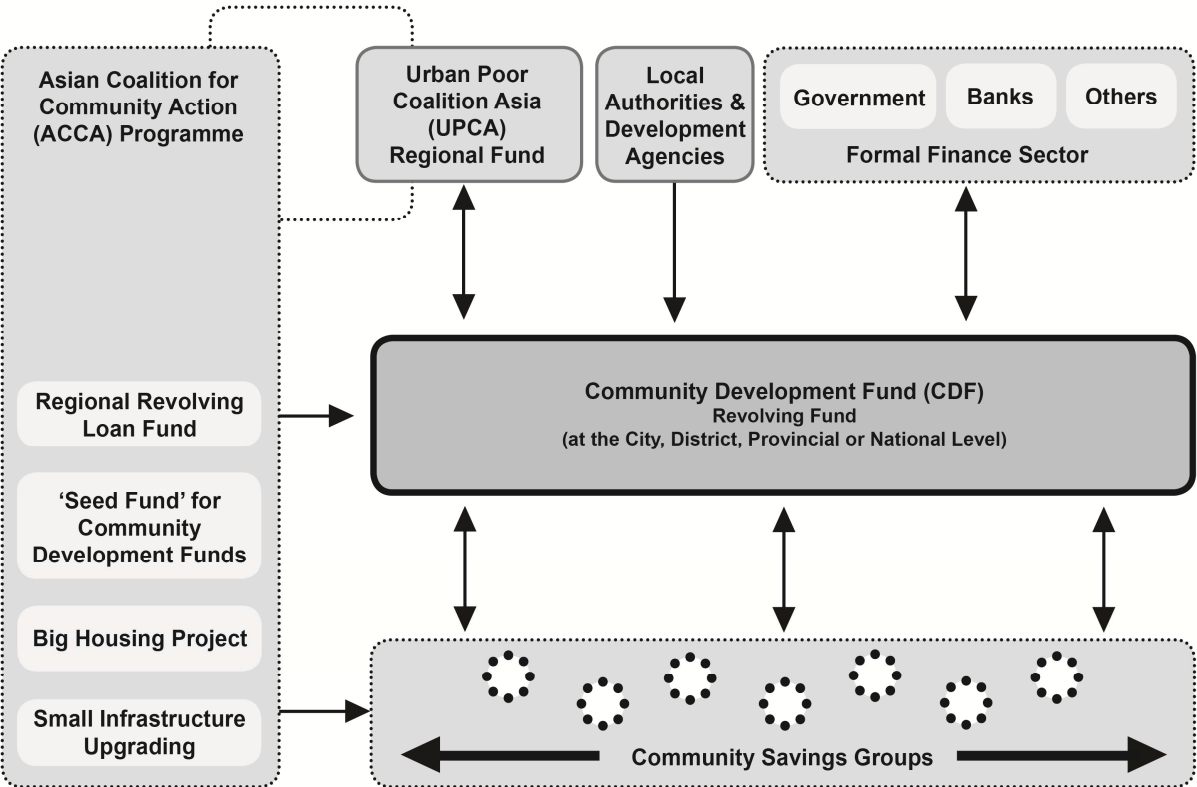


Fig. 4-10: The ACCA Programme as a Linking Mechanism
(adapted from Archer 2012:425)

CDFs do not only enlarge the scope for community activities, but encourage the establishment of community networks. The funds provided by ACCA are limited and the funding period is comparatively short; thus, the ACCA funds only act as 'trigger'. ACCA encourages communities to start and manage their own saving activities, to establish formal savings groups and to pool their funds with others at the ward, district, city or even at the

national level. At the same time, government support has to be secured for the continuation, replication and up-scaling of the upgrading activities and for the establishment of a CDF. (Archer 2012:436ff., Papeleras et al. 2012:463ff.)

4.1.6.2 Stakeholder Involvement

Similar to the Baan Mankong programme, ACCA works with communities, governments and a great variety of stakeholders who are organised in networks, committees and working groups.

Within ACCA projects, local community groups are core actors in project development, implementation and fund management. Communities engage in ‘peer learning’; they benefit from the experience of others and share theirs with the network in return (Boonyabanacha & Mitlin 2012:407). Community savings groups are the smallest units participating in CDFs. Community networks link communities within one city; the networks help communities to support each other in different phases of ACCA projects, e.g. in undertaking surveys and assessments, in starting their savings funds and in developing upgrading plans (ibid.:408) (ACCA 2010:3).

The implementation of ACCA is governed and managed by committees and working groups at different levels, namely at the regional level, at the national and city level. The ‘Regional ACCA/ ACHR Committee’s’ main tasks are to coordinate the ACCA process at the international level, to support participating cities, to establish links with international organisations and to facilitate learning and exchange. Moreover, the regional ‘Committee’ reviews and approves project proposals submitted by local community groups. (ACCA 2010:3)

‘National Joint Committees’ that comprise of representatives of community groups, governments and CSOs have been formed in many countries. These national-level committees establish links between all relevant stakeholders and encourage them to jointly develop ACCA projects and to initiate policy change (ACCA 2010:3, Boonyabanacha & Mitlin 2012:408). ‘City Development Committees’ established at the city level have a more concrete operational role; they act as a “platform for community networks, city governments, civic groups, NGOs and academics” and thus, create innovative forms of governance. (ACCA 2010:3, Boonyabanacha & Mitlin 2012:408)

Community architects, experts and CSOs act as facilitators; they enable communities to identify and formulate their visions and priorities, to elaborate development plans and to put them into practice. CSOs and community architects have established their own mutual support networks (Luansang et al. 2012:497ff.). In order to implement ACCA projects, CSOs partner with community leaders at eye level. Moreover, they evaluate and support the work of their 'peers' in other countries through exchange visits (Carcellar & Kerr 2012:516ff.).

City authorities are envisaged to become main actors in the management of city-level CDFs in the long-term (Boonyabanha & Mitlin 2012:419). Moreover, city authorities shall be motivated to invest in ACCA projects and to support the continuation of the initiated activities. However, where city authorities do not actively provide material or financial support, they are still integrated as advisors and provide institutional support (Archer 2012:429).

4.1.6.3 Achievements of the ACCA Programme

In January 2012, 708 settlements in 153 cities in 19 Asian countries had benefited from the ACCA programme; 107 CDFs had been established along with the implementation of 107 'big projects' and 708 'small projects' (Boonyabanha & Mitlin 2012:409). Along with the implementation of ACCA projects, many communities have gained security of tenure and many local governments have started to partner with community networks in order to implement housing projects. In seven countries, governments have shown willingness to establish a general financial mechanism to support upgrading processes. In some cases, the government adjusted existing housing standards and building codes. (ibid.:411ff.)

In Thailand, a link has been established between CDFs and Baan Mankong; here, CDFs are utilised as 'buffer funds' that provide housing loans, while the communities wait for larger funds provided through the Baan Mankong programme (Archer 2012:432). In Vietnam, 12 cities have become members of the CDF network; however, a national-level fund has not yet been established. In the particular case of Vinh City, Ward Cua Nam, a 'small project' has become a forerunner project for community-driven upgrading and project management in the Vietnamese context. (Boonyabanha & Mitlin 2012:413)

4.2 Scoring and Ranking: Evaluation of the Transferability of Existing Governance and Management Concepts to CBA

4.2.1 'Vision'

The concept, which is developed in this stage, shall provide conceptual solutions for the institutionalisation, enablement, governance and management of CBA activities. This concept shall attend to the support, facilitation and coordination of CBA at the community level; however, it shall also elaborate convincing approaches to link local-level activities to adaptation policies, strategies and plans developed at higher spatial levels. The top-down planning system, thus, must provide an enabling policy framework, an overall strategy to climate change adaptation that integrates bottom-up activities as a part of the implementation strategy as well as incentives to stimulate local action. In order to mediate between the top-down and the bottom-up, capable institutions must be created at intermediate levels. Moreover, decentralisation efforts must be advanced to the point where decisions can be taken at the most appropriate level. However, to enable the interplay of top-down and bottom-up and to allow for independent strategy development at the community level, all actors must be 'politically mature', work together in non-hierarchical networks, fulfil their roles and meet each other at eye level.

Learning, networking and exchange shall become an important component of the concept; the different actors shall learn from each other and from results and solutions gained from their activities. As a result, collective knowledge is created and local activities become independent from (costly) external support.

In CBA processes at the local level, communities must be the main actors, planners and decision-makers. As CBA activities shall be based on community priorities, capacity and resources, they should be widely independent from state or donor interference. A main target of the concept shall be the enablement of fund-raising at the community level. Through the pooling of local financial resources, communities shall be enabled to take local development issues and climate change adaptation into their own hands. Consequently, in the course of the process, power will shift from government actors or donors to the community level and communities will become considerable actors in urban development.

As CBA activities shall be mainly funded by communities themselves, also implementation should be managed by communities; they should select contractors and building materials, negotiate prices or decide to contribute labour in order to keep the costs for implementation low.

The concept shall also attend to the issues of replication, out-scaling and up-scaling of successful pilot projects; it shall facilitate the initiation of a guided grassroots movement. Thus, all procedures shall be kept as simple and flexible as possible; costs for administration or external expertise should be reduced to a minimum.

In order to facilitate the interplay of top-down and bottom-up procedures as well as information exchange, processes at all levels, e.g. assessments, strategy development, implementation, monitoring and evaluation as well as strategy modification, should be strategically linked.

4.2.2 The Conception of the ‘Set of Criteria’

In order to evaluate selected management and governance approaches regarding their transferability to CBA, a set of nine criteria has been elaborated. The different criteria are based on the theoretical concept of CBA as well as on the ‘vision’. In practice, these criteria do interact with and have an impact on each other.

The ‘set of criteria’ lists the nine criteria separately in order to simplify the evaluation and comparison of the chosen management and governance approaches. Five of the criteria focus on structural and institutional preconditions (criteria 1, 2, 3, 4 and 5), while the other four are concerned with the direct planning and implementation process of CBA (criteria 6, 7, 8 and 9). The different criteria are not weighted against each other, as the objective of the evaluation is not to select an approach that is fully transferable to CBA, but to identify transferable aspects of different approaches - concept components - that can help to create a new management and governance approach for CBA and eventually a CBA-GMM. An overview of all criteria is given in Fig. 3-6 Fig. 3-6: ‘Set of Criteria’ as a Basis for the ‘Screening’ Process.

Structural & Institutional Conditions

- ① Multi-Level Decision-Making
- ② Multi-Level Governance
- ③ Multi-Level Learning & Capacity Building
- ④ Community-Based Funding
- ⑤ Replication & Up-Scaling

Process-Related Aspects

- ⑥ Multi-Level Assessments
- ⑦ Multi-Level Strategy or Plan Development
- ⑧ Community-Managed Implementation
- ⑨ Multi-Level Monitoring & Evaluation

Fig. 3-6: 'Set of Criteria' as a Basis for the 'Screening' Process
(own figure)

4.2.2.1 Criterion 1: Multi-Level Decision-Making

Criterion 1 is based on the results of the contextual examination of CBA from the perspective of Theory of Planning undertaken in the second chapter. Etzioni's (1967 in Wiechmann 2008:45ff.) 'mixed scanning' concept was selected to be an appropriate theoretical approach to link a national or city-level adaptation strategy to local-level initiatives and CBA projects. Besides, Mintzberg's (Mintzberg et al. 1999:23 in Wiechmann 2008:27) concept of 'emerging strategies' has been found to be a suitable concept to describe the independent, intuitional and often retrospective development of community-based coping and adaptation strategies.

Consequently, criterion 1 follows the assumption that CBA requires at least two decision-making levels: Communities take centre stage in the processes at the local level, whereas the higher or strategic level has a guiding and coordinating function. This criterion helps to evaluate whether a management approach is mainly conceptualised as a top-down, bottom-up or mixed approach, and whether it is flexible enough to integrate local-level decision-

making. Moreover, criterion 1 aims at the identification of decision-making concepts that join two or more decision-making levels.

However, 'multi-level decision-making' is also a prerequisite for the structured replication and up-scaling as well as for the enablement of local-level planning activities and thus, overlaps with criterion 5 and 7.

4.2.2.2 Criterion 2: Multi-Level Governance

Criterion 2 evolved from the theoretical discourse on different 'governance' concepts. Criterion 2 is based on the assumption that CBA does not only require 'multi-level decision-making', but also a 'multi-level governance' concept. CBA requires the establishment of non-hierarchical, multi-level and cross-sector working relationships and unusual alliances between governmental and non-governmental actors, the balancing of different interests through negotiation and consensus building as well as the development of networks that stimulate horizontal as well as vertical cooperation.

In the particular case of CBA, 'multi-level governance' means that national or city-level policy-making and strategy development regarding climate change adaptation enable local adaptation activities, while vice versa, policy-making and higher-level strategy development are influenced and supported by local-level information and adaptation strategies. Furthermore, 'multi-level governance' implies that stakeholders, e.g. policy makers, civil society actors, communities and actors of the corporate sector, act as partners, share information, harmonise their interests and establish horizontally as well as vertically-organised 'cooperative mechanisms'. Criterion 2 focuses on the identification of practice-oriented governance concepts transferable to CBA.

4.2.2.3 Criterion 3: Multi-Level Learning & Capacity Building

Criterion 3 focuses on the two thematic fields of 'learning' and 'capacity building'. 'Learning' in the context of climate change adaptation refers to the improvement and advancement of adaptation strategies at the higher, strategic levels as well as at lower, operational levels through implementation, evaluation and modification. 'Capacity building', in contrast, is mainly brought in from outside, through external experts and trainers, in order to enable actors to fulfil their roles. 'Awareness raising' on climate change is strongly linked to both, 'learning' and 'capacity building', and is thus not considered separately.

Criterion 3 is based on the assumption that CBA requires a system for continuous monitoring and evaluation that facilitates the modification and improvement of strategies, measures and activities at all levels. Moreover, monitoring and evaluation processes at different levels should be linked in order to facilitate the exchange of information and feedback. Criterion 3 also asks for innovative 'learning' and 'capacity building' concepts to be applied at all levels, such as 'peer learning'. 'Peer learning' merges 'learning' and 'capacity building' through the 'horizontal' exchange of information and experience among peers, such as communities, CSOs, professionals or local government agencies. 'Capacity building' and training is required at all levels and should aim at reducing the dependence on external actors and experts in the long-term. Consequently, Criterion 3 aims at discovering innovative concept components that foster internal 'learning', exchange and 'capacity building' suitable for CBA.

4.2.2.4 Criterion 4: Community-Based Funding

The way funding for local-level action and CBA is provided has a significant impact on the sense of ownership. CBA is mainly based on local-level resources; however, external additional funding sources are not necessarily excluded. Criterion 4 is based on the assumption that communities can mobilise and manage their own funds for CBA in order to act independently from donors and government agencies. However, pro-poor and collective funding mechanisms that are tailored to the communities' capacities help to raise the scope for CBA activities; external funding can be integrated as financial incentives, subsidies, grants or revolving funds as long as communities and their representatives remain the core managers of the funds and their affairs. Criterion 4 focuses on the identification of funding concepts that are transferable to CBA.

4.2.2.5 Criterion 5: Replication & Up-Scaling

According to researchers and practitioners, the main challenges for CBA are the replication and up-scaling of successful pilot projects. Thus, criterion 5 asks for concepts to overcome those challenges, either through advocacy and higher-level strategies that facilitate replication and up-scaling or through networking and exchange at the operational levels that encourage higher-level support.

4.2.2.6 Criterion 6: Multi-Level Assessments

Criterion 6 is the first criterion that refers to the concrete processes that drive CBA. Both, higher-level strategy development and local-level planning activity alike are based on assessments with different degrees of detailing. Here, Etzioni's (1967 in Wiechmann 2008:45ff.) 'mixed scanning' concept is again used as a reference. In the context of climate change adaptation and CBA, assessments or 'scanning' at higher strategic levels are rather general as they target the national, regional, province or city level. Community-based assessments or 'detailed scanning' in contrast are the basis for concrete local projects and activities; thus, they need to be very detailed and take into account local conditions as well as community perspectives and local living realities. However, local-level assessments may be integrated into higher-level assessments for revision and refinement. Criterion 6 aims at identifying valuable concepts for the operationalisation of multi-level assessments and for the integration of assessment results.

4.2.2.7 Criterion 7: Multi-Level Strategy or Plan Development

CBA shall enable communities to develop tailor-made adaptation measures within a guiding, supportive and coordinating framework. Similarly to the criteria 1 and 6, criterion 7, is also based on Etzioni's 'mixed scanning' concept (ibid.). However, criterion 7 concentrates on the practical aspects of strategy and plan development at different levels and their interplay.

Criterion 7 is based on the assumption that the higher 'scanning' level creates a strategy that serves as the framework for local-level CBA activities. Thus, the higher-level CBA strategy follows rather broad objectives and involves the development of policies that support local-level activities, the establishment of guiding institutions and funding mechanisms. Concrete CBA projects are developed at the community level; here, communities are the core actors who undertake planning activities in accordance with local priorities and objectives, resources and capacities.

However, strategy development at higher levels and plan making at the community level must necessarily interact. Strategy development processes at higher levels may be informed and supported by existing or 'emerging' CBA strategies (Mintzberg et al. 1999:23 in Wiechmann 2008:27); at the same time, the higher-level strategy may support and guide the development of CBA projects and activities at the local level. Thus, criterion 7 aims at identify-

ing practice-oriented concepts that support the integrated development of abstract strategies at higher levels and rather concrete plans and projects at the community level.

4.2.2.8 Criterion 8: Community-Managed Implementation

The implementation of CBA plans and measures should be community-managed in order to ensure that measures and plans correspond with community capacities and resources. Moreover, the implementation of adaptation measures, in particular if guided by facilitators, builds technical skills and managerial capacities among the community members who can then share their experience with others. Criterion 8 evaluates the selected existing governance and management concepts in order to identify approaches that facilitate community-managed implementation.

4.2.2.9 Criterion 9: Multi-Level Monitoring and Evaluation

Criterion 9 is directly linked to criteria 1, 6 and 7 and also refers to Etzioni's (1967 in Wiechmann 2008:45ff.) 'mixed scanning' concept. Both, monitoring and evaluation may reveal the success and effectiveness of an adaptation strategy, plan or measure. Positive monitoring and evaluation results at the operational or community level can also be an indicator for the success of a higher-level strategy; negative results on the other hand may suggest the modification of the higher-level strategy or else, of the community-level plans and measures.

Consequently, monitoring and evaluation need to be undertaken at all levels in an integrated approach; in other words, local-level monitoring and evaluation results should be integrated as feedback into the monitoring and evaluation of the higher-level strategy. Criterion 9 aims at identifying concepts that facilitate the integration of monitoring and evaluation results from strategic and operational levels.

4.2.3 Scoring and Ranking: Evaluation of Governance and Management Concepts according to the 'Set of Criteria'

In the following part, the transferability of all selected governance and management concepts is evaluated with regard to the nine criteria. The results are summarised for each criterion in order to establish comparability between the different concepts. As a next step, the transferable concepts are ranked. (cf. Fig. 4-11)

Concept (A)	Project Cycle Management (PCM)
Concept (B)	Capacity WORKS
Concept (C)	Balanced Scorecard Approach (BSC)
Concept (D)	Baan Mankong Programme
Concept (E)	Co-Management
Concept (F)	Asian Coalition for Community Action (ACCA)

Fig. 4-11: Selected Governance and Management Concepts under the Spotlight
(own figure)

4.2.3.1 Criterion 1: Multi-Level Decision-Making

4.2.3.1.1 Scoring

PCM (Concept A) is a management approach to facilitate rather ‘linear’ strategy and plan development, implementation and modification at different levels; however, PCM does not particularly foster the establishment of different decision-making levels. Thus, PCM is not transferable to CBA in terms of multi-level decision-making.

The core task of GIZ’s **Capacity WORKS** (Concept B) is the development of strategies for comprehensive and sustainable development cooperation projects and programmes. Thus, Capacity WORKS fosters the establishment of different hierarchical levels for programme and project management and implementation. However, the strategic orientation is rather ‘linear’ and requires ‘operational levels’ to implement pre-determined measures and plans instead of developing their own. Consequently, in terms of multi-level decision-making, Capacity WORKS is not transferable.

The original concept of **BSC** (Concept C) is based on strategic ‘higher’-level decision-making; BSC fosters the determination of a clear vision, of strategies to achieve them as well as of measures and performance targets. The strategy developed at ‘higher’ decision-making levels is then translated to the ‘operational levels’ where it is put into practice. However, visions and strategies may also be developed bottom-up, with the involvement of the operational levels. Nevertheless, BSC is a complex, rather top-down oriented, management tool

that may be effective in closed management structures, but seems to be too inflexible to allow for independent decisions at the 'operational levels'. BSC may support decision-making at both levels, at the strategic as well as at the operational levels; however the targets at the different levels should not necessarily be linked. Thus, BSC is only partly transferable to CBA.

The **Baan Mankong** programme (Concept D) features different decision-making levels. Here, the national level has developed a rather abstract vision and a strategy to support slum up-grading. Communities, local governments and their partners develop their own initiatives to create locally relevant housing projects. In other words, the strategic level provides the framework, the scope, policies and financial mechanisms for local action, without directly linking national-level targets to local-level activities. The decision-making structure of the Baan Mankong programme widely corresponds with Etzioni's 'mixed scanning' concept and is thus, completely transferable to CBA.

Co-Management (Concept E) mainly focuses on local-level decision-making as a negotiation process between local stakeholders, authorities and resource users. In the broadest sense, GIZ and other development organisations represent the 'higher' decision-making level, as they determine the selection of sites for Co-Management and control capacity building and learning processes. However, as the 'higher' decision-making level has not yet developed an overarching strategy to up-scaling and out-scaling, Co-Management is only partly transferable to CBA.

The regional **ACCA** programme (Concept F) fosters bottom-up development; the programme features different decision-making levels, starting from local communities that develop their individual upgrading and improvement projects up to the Regional ACCA/ ACHR Committee that approves local project plans and releases funds. ACCA follows a clear vision and objectives, but enables the communities to become core actors in local-level decision-making. Thus, similarly to Baan Mankong, ACCA's decision-making structure is transferable to CBA.

4.2.3.1.2 Ranking

Regarding multi-level decision-making, the evaluation has shown that from the selected six concepts two, namely the governance concepts of the **Baan Mankong** (Concept D) programme and of the **ACCA** (Concept F) programme, are fully transferable to CBA.

Concept (D)	Baan Mankong Programme	●
Concept (F)	Asian Coalition for Community Action (ACCA)	●
Concept (A)	Project Cycle Management (PCM)	○
Concept (B)	Capacity WORKS	○
Concept (C)	Balanced Scorecard Approach (BSC)	●
Concept (E)	Co-Management	●

Fig. 4-12: Ranking: Multi-Level Decision-Making
(own figure)

Baan Mankong and ACCA, both work with several decision-making levels. Baan Mankong is a government programme, which is based on ‘higher’, ‘intermediate’ and ‘local’-level decision-making. ACCA, in contrast, establishes decision-making levels at the ‘regional’ level – as ACCA is initiated by ACHR - and at the ‘community’ level first; the integration of the city governments is foreseen as a further step. Comparing both concepts before the background of CBA that requires the link of a higher decision-making level – established at the national or city-level - to the community level from the beginning, the decision-making structure of Baan Mankong seems to be the most adequate and is therefore ranked first. ACCA, which aims at establishing a similar decision-making structure in the long-term, it is ranked second. The **BSC** (Concept C) provides tools that support decision-making and strategy development at all levels. **Co-Management** (Concept E) does not provide a concept for multi-level decision-making, but demonstrates how decision-making can be achieved as a result from negotiation and consensus building at the local level. (cf. Fig. 4-12)

4.2.3.2 Criterion 2: Multi-Level Governance

4.2.3.2.1 Scoring

PCM (Concept A) features a management concept that does not particularly address governance processes and relations between different stakeholder groups and thus, cannot be considered.

Capacity WORKS (Concept B) as a guideline for the set-up of international cooperation projects and programmes, promotes democratic governance and innovative cooperation structures between different stakeholder groups. However, Capacity WORKS describes a rather abstract governance concept and does not provide details regarding this concept's practical implementation, in particular with regard to the linking of stakeholders at different hierarchical levels and to grassroots governance. Thus, Capacity WORKS is only partly transferable as a rather theoretical concept.

The management approach of **BSC** (Concept C) fosters 'steering' and the 'vertical' communication of objectives and performance targets instead of 'governance' and negotiation. BSC concentrates on communication processes between different levels within a closed management structure; the integration of external actors seems to be rather complicated. As a consequence, BSC is not transferable to CBA in terms of multi-level governance.

The **Baan Mankong** programme (Concept D) features a multi-level governance approach; the Thai government distributes power and funds to cities and communities and manages to link a government strategy to bottom-up development. The programme is governed through flexible multi-stakeholder committees at different levels and through horizontal networking. Planning decisions at the different levels balance the interests of all relevant stakeholders and are based on negotiation. Consequently, the governance approach of the Baan Mankong programme can serve as a role model for CBA and is thus completely transferable.

Co-management (Concept E) mainly fosters local governance processes; communities as resource users, local authorities and other stakeholders are partners in decision-making. Responsibilities as well as benefits are shared between the local stakeholders. Their differing interests are balanced and regulations for resource management are agreed upon through negotiation processes. Co-Management as a local-level approach does not yet provide strategies for up-scaling. Thus, Co-Management is only partly transferable.

Initiated, organised and funded by the ACHR network, **ACCA** (Concept F) fosters bottom-up change in political systems that do not necessarily support community-driven projects and activities. ACCA aims at promoting partnership and negotiation between communities and city authorities as well as other stakeholders. Communities participating in ACCA are organised in networks, in order to establish a CDF and to share their experience with each other. Moreover, as an organised network, communities get into a better position to negotiate their interests with other stakeholder groups. ACCA is governed through flexible, decentralised

committees composed of representatives of all stakeholder groups. Similar to the Baan Mankong programme, ACCA is completely transferable to CBA with regard to multi-level governance.

4.2.3.2.2 Ranking

Among the concepts evaluated, only the **Baan Mankong** programme (Concept D) and the **ACCA** programme (Concept F) support multi-level governance. Among these two, the Baan Mankong programme is ranked first, as its governance system is based on the political will to decentralise decision-making. The governance structure of the Baan Mankong programme fosters negotiation and cooperation from the beginning as well as the legitimisation of community-driven development. ACCA is ranked second; ACCA is more suitable for political systems that are not supportive of bottom-up development. ACCA is not based on a governance structure that involves all decision-making levels from the beginning; instead, ACCA activities start at the local level and aim at encouraging the support of city governments and other actors. However, both programmes foster the establishment of horizontal networking structures to organise communities, exchange and ‘peer learning’.

Concept D	Baan Mankong Programme	●
Concept F	Asian Coalition for Community Action (ACCA)	●
Concept A	Project Cycle Management (PCM)	×
Concept B	Capacity WORKS	●
Concept C	Balanced Scorecard Approach (BSC)	○
Concept E	Co-Management	●

Fig. 4-13: Ranking: Multi-Level Governance
(own figure)

Capacity WORKS (Concept B) may contribute rather theoretical concepts for the implementation of governance processes, while **Co-Management** (Concept E) is a role model for the initiation of local and grassroots-level governance processes. (cf. Fig. 4-13)

4.2.3.3 Criterion 3: Multi-Level Learning & Capacity Building

4.2.3.3.1 Scoring

The cyclic approach of **PCM** (Concept A) facilitates programme and project-internal learning processes. Each project cycle ends with an evaluation of the achieved results; based on the evaluation's results, the strategic or implementation approach for the next project cycle is modified and improved. If the project cycles of the 'higher' strategic level and of the 'operational' level are linked, as suggested earlier, multi-level learning can be achieved. This means that local-level evaluation results may influence the overall strategic orientation. However, PCM does not make any provisions for capacity building. As PCM facilitates multi-level learning, it is indirectly applicable.

'Learning' is one of the main pillars of **Capacity WORKS** (Concept B), and thus, represented by one of the Success Factors. Capacity WORKS aims at the initiation of 'learning' and system change processes in organisations and networks. However, Capacity WORKS does not provide approaches for capacity building at the individual or community level. Thus, the Capacity WORKS concept for 'learning' and 'capacity' building is only partly transferable to CBA.

The **BSC** approach (Concept C) fosters strategic internal learning through its fourth process, 'Feedback and Learning', while capacity building is not particularly addressed. 'Feedback and Learning' involves the management of monitoring, evaluation and feedback processes as well as the periodic review of the overall strategy. In the concept of BSC, 'learning' is mainly directed towards the achievement of strategic objectives and monetary results; it aims at continuously enhancing the effectiveness of all work processes. Thus, the understanding of 'learning and feedback' as integrated in BSC is partly at conflict with people-centred development approaches, such as CBA. As a result, the 'learning' concept of BSC is only partly transferable to CBA.

The **Baan Mankong** programme (Concept D) fosters change processes and systemic learning at all levels: At the community level, individuals and community groups develop skills for the planning, implementation and management of their own projects. Local-level solutions are pooled and serve as good-practice examples. Exchange and capacity building is fostered through networking and 'peer learning'. Similarly, facilitators and experts at all levels are organised in networks and benefit from the experience of their 'peers'. At the city level, overall

city development strategies and policies as well as traditional steering and governance procedures are changed. Urban development actors and communities alter their roles and build partnerships. Consequently, the learning and capacity building concept of Baan Mankong programme is completely transferable to CBA.

Co-Management (Concept E) aims at enabling communities and their local governments to jointly manage local natural resources. Thus, Co-Management facilitates capacity building among all local actors. Co-Management works with PCM techniques; thus, monitoring and evaluation of a local-level Co-Management strategy serve as the basis for project-internal learning, for modifications and improvements. Within a Co-Management process, capacity building aims at imparting technical knowledge on natural resource management. However, as Co-Management mainly focuses on the local level, multi-level learning is not particularly addressed and thus, the learning concept is just partly transferable.

Within the **ACCA** programme (Concept F), learning and capacity building respectively are not imposed from higher 'strategic' levels or brought in from outside, but generated from within the projects. Knowledge and experiences gained are then distributed to all stakeholders at all levels. Similar to the Baan Mankong programme (Concept D), ACCA fosters networking, 'peer learning' and learning-by-doing; capacity building and informal trainings are provided by community architects and community-based builders. In the wider context, ACCA aims at 'learning' and at initiating system change from below, including the change of national and city-level policies and planning strategies, urban governance approaches and stakeholder relationships. Therefore, the concept of 'learning' and 'capacity building' can be transferred to CBA.

4.2.3.3.2 Ranking

Among all concepts under the spotlight, the **Baan Mankong** programme (Concept D) and the **ACCA** programme (Concept F) provide transferable strategies and measures for 'learning' and 'capacity building'. Both concepts respond to the particular needs of communities; they foster 'mass learning' and networking in order to exchange good-practice solutions and experiences. Both, Baan Mankong and ACCA, reduce the dependency on external expertise for learning and capacity building and consequently, expenditure. Both programmes also foster the gradual enhancement of strategies and implementation approaches at the community, city and programme level as well as at the national level, e.g. where community net-

works and national authorities are concerned. Consequently, Baan Mankong and ACCA are both ranked first.

Concept (D)	Baan Mankong Programme	●
Concept (F)	Asian Coalition for Community Action (ACCA)	●
Concept (A)	Project Cycle Management (PCM)	▲
Concept (B)	Capacity WORKS	●
Concept (C)	Balanced Scorecard Approach (BSC)	●
Concept (E)	Co-Management	●

Fig. 4-14: Ranking: Multi-Level Learning & Capacity Building
(own figure)

PCM (Concept A) does not direct support multi-level learning, but may be well used to organise and manage learning and dissemination at all levels. Similarly, **BSC** (Concept C) may contribute valuable concept components for the management of learning and feedback processes. **Capacity WORKS** (Concept B) on the other hand works with an abstract and theoretical concept of ‘learning’, which may be considered in a governance and management concept developed for CBA. **Co-Management** (Concept E) provides a valuable approach to learning at the local level. (cf. Fig. 4-14)

4.2.3.4 Criterion 4: Community-Based Funding

4.2.3.4.1 Scoring

The funding of a project or initiative is an important aspect in **PCM** (Concept A). Therefore, development organisations integrate ‘funding’ as a separate phase in their project cycles. However, PCM in general does not specify how the funding of a project or programme shall be organised; thus, PCM cannot be considered here.

Within the **Capacity WORKS** management model (Concept B), funding or ‘financing’ is a part of the strategic planning process and dependent on the programme or project as well as on the stakeholders and partner organisations involved. In the development cooperation projects of the GIZ, funding is mainly provided by the German Federal Ministry for Economic

Cooperation and Development (BMZ) and other development partners. Consequently, in terms of financing, Capacity WORKS is not transferable to CBA.

The **BSC** approach (Concept C) supports enterprises, for-profit as well as non-profit organisations to strategically allocate funds towards the achievement of long-term objectives. However, BSC does not determine how the funds are raised and which stakeholders should contribute. Thus, regarding funding, BSC is also not relevant for CBA.

Funding for community-driven upgrading projects undertaken within the scope of the **Baan Mankong** programme (Concept D) is provided by the Thai government in the form of infrastructure subsidies and soft loans as well as by the participating communities themselves, who establish savings groups, community savings funds and cooperatives. CODI as an intermediary organisation channels government funds directly to those communities with only minor administrative effort. In order to overcome the dependency on government funds, community networks have started to initiate their own funding mechanisms, namely CDFs. Thus, the Baan Mankong programme provides a funding concept transferable to CBA.

Co-Management (Concept E) works with limited funding that is allocated by donor organisations, local governments and communities and thus, does not require a pro-poor funding mechanism. Consequently, Co-Management cannot be evaluated under this criterion.

ACCA (Concept F) projects are based on community savings and on revolving funds; ACCA provides rather small 'seed funds' in order to trigger the establishment of community savings networks and CDFs and in order to support the implementation of 'small' community-driven upgrading projects. Based on the convincing results of the 'small projects', ACCA encourages city authorities to support a CDF at city level, which is a pre-condition for the reception of larger funds for 'big' housing projects. Similar to the Baan Mankong programme, ACCA provides a funding concept transferable to CBA.

4.2.3.4.2 Ranking

From all concepts evaluated, the **Baan Mankong** programme (Concept D) and the **ACCA** programme (Concept F) provide concepts that are completely transferable to CBA. As the funding mechanism of the Baan Mankong is based on government support, it is ranked first. The ACCA programme is ranked second, as donor funding is required for the initiation of

community-driven projects in a first step, before convincing city governments to provide support in the long-term. (cf. Fig. 4-15)

Concept (D)	Baan Mankong Programme	●
Concept (F)	Asian Coalition for Community Action (ACCA)	●
Concept (A)	Project Cycle Management (PCM)	×
Concept (B)	Capacity WORKS	○
Concept (C)	Balanced Scorecard Approach (BSC)	×
Concept (E)	Co-Management	×

Fig. 4-15: Ranking: Community-Based Funding
(own figure)

4.2.3.5 Criterion 5: Replication & Up-Scaling

4.2.3.5.1 Scoring

PCM (Concept A) focuses on the internal process structure of a project or programme rather than on external processes. Therefore, PCM is not relevant for the initiation of replication, out-scaling and up-scaling of CBA activities, but may play a role in managing those processes. Thus, in terms of replication and up-scaling PCM is only indirectly applicable.

Capacity WORKS (Concept B) is an over-complex management system predominantly applied in cooperation projects and programmes. Capacity WORKS fosters a highly advanced and individualised project-development process and is therefore less adequate for the initiation and management of simple replication, out-scaling and up-scaling processes required by CBA.

Similar to PCM, **BSC** (Concept C) is used as a tool for internal project or programme management and does not particularly foster replication or up-scaling of activities. However, BSC can indirectly support the management of replication and up-scaling, but as a project- or programme-internal process.

Baan Mankong (Concept D) is a government programme and includes explicit strategies for replication, out-scaling and up-scaling. These strategies are strongly linked to the ‘learning’ and funding concepts as well as to the ‘governance’ approach of the Baan Mankong programme. Baan Mankong works with a multi-level governance approach that fosters decentralisation of decision-making and that distributes power, responsibilities and adequate funds to local actors. The programme encourages the building of networks that ensure informal cooperation between all stakeholder groups and mutual support among ‘peer’ groups. Thus, replication and out-scaling is not hampered by complex administrative processes or costs for training and capacity building provided by experts. With regard to simple replication and up-scaling, the concept of the Baan Mankong programme is transferable to CBA.

Co-Management (Concept E) may easily be replicated and out-scaled, as it is mainly based on local-level decision-making, on locally available resources and on facilitation services provided by local experts and CSOs. However, up-scaling to higher levels has not yet been addressed by GIZ and other development actors, but is considered to be the next step. Thus, Co-Management is indirectly applicable.

In contrast to Baan Mankong that is based on political will and support, **ACCA** (Concept F) starts with community-driven upgrading projects as triggers for government support. ACCA’s governance approach, its funding and learning concept strongly supports replication, out-scaling and up-scaling. ACCA fosters community networking and learning, voluntary community savings, the establishment of community savings funds and eventually - with the support of city authorities - the establishment of city-level CDFs. However, the main challenge for replication, out-scaling and up-scaling of ACCA’s approach is to convince local authorities to decentralise decision-making and to re-distribute power to the people. Nevertheless, with regard to replication, out-scaling and up-scaling of project activities, the ACCA approach is fully transferable to CBA.

4.2.3.5.2 Ranking

Both, the **Baan Mankong** programme (Concept D) and the **ACCA** programme (Concept F) respectively focus on replication, up-scaling and out-scaling. As the Baan Mankong programme was initiated at the national level - based on political will - its concept for replication, out-scaling and up-scaling is ranked first. The concept of ACCA that is based on a bottom-up approach and that aims at political change from below, is ranked second. **PCM** (Concept A)

does not ostensibly foster replication and up-scaling, but may be applied as a tool to manage these processes. As mentioned earlier, **Co-Management** (Concept B) has great potential to be replicated, out-scaled and eventually up-scaled; the approach creates benefits at the local level through cooperation and negotiation without causing high expenses or administrative efforts. (cf. Fig. 4-16)

Concept (D)	Baan Mankong Programme	●
Concept (F)	Asian Coalition for Community Action (ACCA)	●
Concept (A)	Project Cycle Management (PCM)	▲
Concept (B)	Capacity WORKS	×
Concept (C)	Balanced Scorecard Approach (BSC)	×
Concept (E)	Co-Management	▲

Fig. 4-16: Ranking: Replication & Up-Scaling
(own figure)

4.2.3.6 Criterion 6: Multi-Level Assessments

4.2.3.6.1 Scoring

PCM (Concept A) does not specifically foster multi-level or multi-sector assessments. However, if project cycles of different levels (and sectors) are linked as suggested earlier, the PCM approach may support multi-level (and multi-sector) assessments and is thus, indirectly applicable.

Capacity WORKS (Concept B) claims to support comprehensive assessments; however, manuals and other literature sources provided do not clearly explain how assessments are undertaken and how stakeholder participation is integrated. Rather in the contrary, assessments seem to be undertaken in an abstract top-down manner with a low level of stakeholder participation. Consequently, Capacity WORKS cannot be evaluated under this criterion.

Norton and Kaplan did not particularly integrate an initial in-depth assessment phase into the processes of the **BSC** approach (Concept C). Thus, BSC cannot be evaluated with regard to this criterion.

The **Baan Mankong** programme (Concept D) foresees city-level assessments, namely surveys that help to identify communities in need for upgrading, as an initial step to start the programme in each city. More detailed local-level assessments are undertaken as a basis for the development of community-based upgrading projects. Consequently, the assessment approach of the Baan Mankong programme is transferable to CBA.

Co-Management (Concept E) focuses on the local level; thus, local in-depth assessments and mapping activities undertaken by communities and local authorities are the basis for Co-Management activities. However, governments and development organisations should undertake strategic assessments as they can help to determine adequate areas for the implementation of Co-Management projects. Co-Management has the potential for multi-level assessments and is thus partly transferable to CBA.

Similar to the projects undertaken within the framework of the Baan Mankong programme, **ACCA** (Concept F) projects start with city-wide assessments, in order to identify communities in need for upgrading and infrastructure improvement. Then, communities undertake local-level in-depth assessments, which serve as a basis for local project development. This multi-level assessment concept is transferable to CBA.

4.2.3.6.2 Ranking

Two concepts fully support multi-level assessments, namely that of the **Baan Mankong** programme (Concept D) and that of the **ACCA** programme (Concept F). In both cases, assessments at higher strategic levels serve as a preparatory step for the implementation of the programmes. Local community-based projects, on the other hand, start with in-depth assessments relevant for the project areas and serve as the basis for project development. Therefore, both concepts can be ranked first. However, to a certain extent, the assessment concept of **Co-Management** (Concept E) may also be transferable to CBA, if donors and governments consider to scale-up the approach. **PCM** (Concept A), as mentioned earlier, has potential to support the management and interlinking of assessments undertaken at different levels. (cf. Fig. 4-17)

Concept (D)	Baan Mankong Programme	●
Concept (F)	Asian Coalition for Community Action (ACCA)	●
Concept (A)	Project Cycle Management (PCM)	▲
Concept (B)	Capacity WORKS	×
Concept (C)	Balanced Scorecard Approach (BSC)	×
Concept (E)	Co-Management	●

Fig. 4-17: Ranking: Multi-Level Assessments
(own figure)

4.2.3.7 Criterion 7: Multi-Level Strategy or Plan Development

4.2.3.7.1 Scoring

PCM (Concept A) fosters the constant review of strategies and plans and thus, supports strategy and plan development as well as modification at every level. However, the concept of PCM does not have an influence on how strategies and plans are developed. Nevertheless, PCM may facilitate the linking of strategy development at higher levels and planning at the operational levels at suitable stages, e.g. where strategic decisions at higher levels have an impact on local-level plan making, or where evaluation results and feedback from operational levels can influence higher-level strategy development. Thus, with regard to CBA, PCM is indirectly applicable.

Capacity WORKS (Concept B) focuses on linear strategy development that is based on two mutually interconnected strategic loops. While the first-level loop helps to develop an overall strategic orientation of a cooperation programme or project and guiding principles, the second-level loop focuses on the details of programme or project implementation. However, strategy and plan development guided by Capacity WORKS appears to be very theoretical, complex and inflexible in particular for local decision-making and is thus, not transferable to CBA.

BSC (Concept C) links an organisation's vision and strategy developed at higher levels to objectives and concrete measures developed and implemented at subordinate levels, leaving

limited scope for independent plan development. Consequently, the BSC concept for strategy development is not transferable to CBA.

The **Baan Mankong** programme (Concept D) has established several strategy development or planning levels: The national level for the development and advancement of the national programme, the city level for the development and improvement of a city-wide upgrading strategy and the community level for the development of concrete upgrading projects. While the successes of the national programme, of the city-level strategy and of the community-based upgrading projects are directly linked, each level can develop and implement its own strategy or plan. As a result, the Baan Mankong approach to multi-level strategy and plan development is completely transferable to CBA.

Co-Management (Concept E) mainly fosters local initiatives; thus, plan development is predominantly undertaken at the local level, by local authorities and communities, and based on a negotiation process. Development cooperation partners, such as GIZ, or higher-level authorities represent the strategic level that guides implementation of Co-Management projects. However, a higher-level strategy to support a spatially inclusive and comprehensive Co-Management approach has not yet been developed. Thus, regarding multi-level strategy development, Co-Management is only partly transferable.

ACCA (Concept F) fosters 'bottom-up' strategy and plan development. ACCA is a programme developed by a network of CSOs and other organisations at the international – or regional - level. The programme follows its own strategy and enables urban communities to develop their own local-level projects; it is flexible enough to integrate feedback and lessons learnt from the community level. ACCA aims at establishing 'intermediate' strategic levels, mainly at the city level, and at encouraging city authorities to formulate an overall strategy to support pro-poor urban development and community-driven upgrading projects. Consequently, the ACCA concept of multi-level strategy development is transferable to CBA.

4.2.3.7.2 Ranking

In terms of multi-level strategy and plan development, two concepts are transferable to CBA, namely that of the **Baan Mankong** programme (Concept D) and that of the **ACCA** programme (Concept F). Both programmes foster the development of rather independent community-driven projects, which are enabled by supportive policies, institutions and funding mechanisms as a part of an overarching strategy. However, in the absence of government

support and of a national or city-level strategy, ACCA works much stronger through flexible alliances and stakeholder coalitions. Consequently, Baan Mankong is ranked first as the programme is based on political will and on a strong strategy developed at the national and city level. ACCA is ranked second.

Concept (D)	Baan Mankong Programme	●
Concept (F)	Asian Coalition for Community Action (ACCA)	●
Concept (A)	Project Cycle Management (PCM)	▲
Concept (B)	Capacity WORKS	○
Concept (C)	Balanced Scorecard Approach (BSC)	○
Concept (E)	Co-Management	●

Fig. 4-18: Ranking: Multi-Level Strategy or Plan Development
(own figure)

PCM (Concept A) can be applied in order to manage the interplay between strategy development and planning at different levels. **Co-Management** (Concept E) provides an interesting approach to local-level planning, which is jointly undertaken by communities, authorities and other stakeholders. (cf. Fig. 4-18)

4.2.3.8 Criterion 8: Community-Managed Implementation

4.2.3.8.1 Scoring

PCM (Concept A) integrates ‘implementation’ as one major component into the project cycle. As PCM does not determine how the implementation process is managed, the approach cannot be considered, here. **Capacity WORKS** (Concept B) mainly focuses on the set-up of strategic projects or programmes; the implementation of projects and measures is addressed as a more abstract component seen from the perspective of project management. Consequently, with regard to community-managed implementation, Capacity WORKS is not relevant for CBA. **BSC** (Concept C) is based on the concept that project implementation is mainly undertaken at lower operational levels within an enterprise’s or organisation’s hierarchy. BSC does not provide any valuable concepts for community-managed implementation and is thus, also not transferable to CBA.

The **Baan Mankong** programme (Concept D) is designed to enable community-managed implementation as a component of community-driven upgrading. Therefore, the local-level implementation concept of the Baan Mankong programme is fully transferable to CBA. **Co-Management** (Concept E) mainly focuses on the protection and sustainable use of natural resources and is only implemented at the local level by resource users, according to the plans and rules agreed upon with local authorities and other stakeholders. Thus, with regard to community-managed implementation, the Co-Management approach is transferable to CBA. Similar to the Baan Mankong programme, **ACCA** (Concept F) projects are managed and implemented by local communities themselves; community architects, experts and local builders act as technical advisors. Consequently, with regard to community-managed implementation, ACCA is fully transferable to CBA.

4.2.3.8.2 Ranking

With regard to community-managed implementation, the concepts of the **Baan Mankong** programme (Concept D), of **Co-Management** (Concept E) and of the **ACCA** programme (Concept F) are completely transferable. As all three concepts are of similar quality, they are all ranked first. With regard to community-managed implementation, **PCM**, **Capacity WORKS** and **BSC** (Concepts A, B and C) do not provide any transferable concept components. (cf. Fig. 4-19)

Concept D	Baan Mankong Programme	●
Concept E	Co-Management	●
Concept F	Asian Coalition for Community Action (ACCA)	●
Concept A	Project Cycle Management (PCM)	×
Concept B	Capacity WORKS	×
Concept C	Balanced Scorecard Approach (BSC)	×

Fig. 4-19: Ranking: Community-Managed Implementation
(own figure)

4.2.3.9 Criterion 9: Multi-Level Monitoring and Evaluation

4.2.3.9.1 Scoring

PCM (Concept A) integrates monitoring and evaluation of a project or programme after the implementation phase, as a basis for the revision and modification of the strategy, of the plan or of the implementation approach. PCM may be applied at all levels, but does not particularly foster multi-level monitoring and evaluation. Nevertheless, PCM may support the management of monitoring and evaluation processes at different levels and the integration of feedback from operational levels with the overall, higher-level monitoring and evaluation process. Thus, with regard to CBA, PCM is indirectly applicable.

Programmes and projects that are based on **Capacity WORKS** (Concept B) require continuous monitoring and evaluation involving all levels and all stakeholder groups. The monitoring and evaluation processes seem to be too complex for the CBA approach, which should follow a simplified low-threshold procedure. Therefore, the monitoring and evaluation approach of Capacity WORKS is only partly transferable to CBA.

BSC (Concept C) fosters continuous monitoring and evaluation at all levels in order to assess whether the set objectives are achieved over time. Thus, the monitoring and evaluation concept of BSC is fully transferable to CBA.

Literature does not provide any information regarding the monitoring and evaluation procedures of the **Baan Mankong** programme (Concept D). Thus, the monitoring and evaluation concept of Baan Mankong cannot be considered here.

In **Co-Management** (Concept E) projects, monitoring is the basis for the continuation or modification of the resource management and protection strategy. However, as the monitoring activities only concentrate on the local level, the Co-Management approach to monitoring is partly transferable.

ACCA (Concept F) projects are undertaken as test beds and serve as 'best practice examples' for future projects. Therefore, evaluation results and recommendations for the modification of projects or approaches are important for up-scaling and replication and thus, need to be integrated into higher-level decision-making. In contrast to other development initiatives, local ACCA projects are evaluated by 'peer groups'. However, it is not clearly indicated how

monitoring and evaluation is undertaken at the programme level. Therefore, the ACCA concept for monitoring and evaluation is only partly transferable to CBA.

4.2.3.9.2 Ranking

Multi-level monitoring and evaluation are only fully supported by **BSC** (Concept C); thus, ranking is not required. **PCM** (Concept A) integrates monitoring and evaluation as a fixed component into the project cycle – regardless of the application level. Moreover, PCM has the potential to support the organisation of multi-level monitoring and evaluation if project cycles that manage processes at different levels are linked at strategic stages.

Concept C	Balanced Scorecard Approach (BSC)	●
Concept A	Project Cycle Management (PCM)	▲
Concept B	Capacity WORKS	●
Concept D	Baan Mankong Programme	×
Concept E	Co-Management	●
Concept F	Asian Coalition for Community Action (ACCA)	●

Fig. 4-20: Ranking: Multi-Level Monitoring & Evaluation
(own figure)

The monitoring and evaluation concept of **Capacity WORKS** (Concept B) seems to be too complicated for a successful application in CBA processes; however, it provides an interesting theoretical basis. **ACCA** (Concept F) uses the interesting approach of ‘peer evaluation’ that contributes to the creation and dissemination of knowledge. The **Co-Management** approach (Concept E) does not foster multi-level monitoring and evaluation, but provides interesting concepts for the monitoring at the community-level. (cf. Fig. 4-20)

4.2.4 Summary and Conclusion

The ‘scoring’ stage reveals that none of the management and governance concepts under the spotlight is completely transferable to CBA.

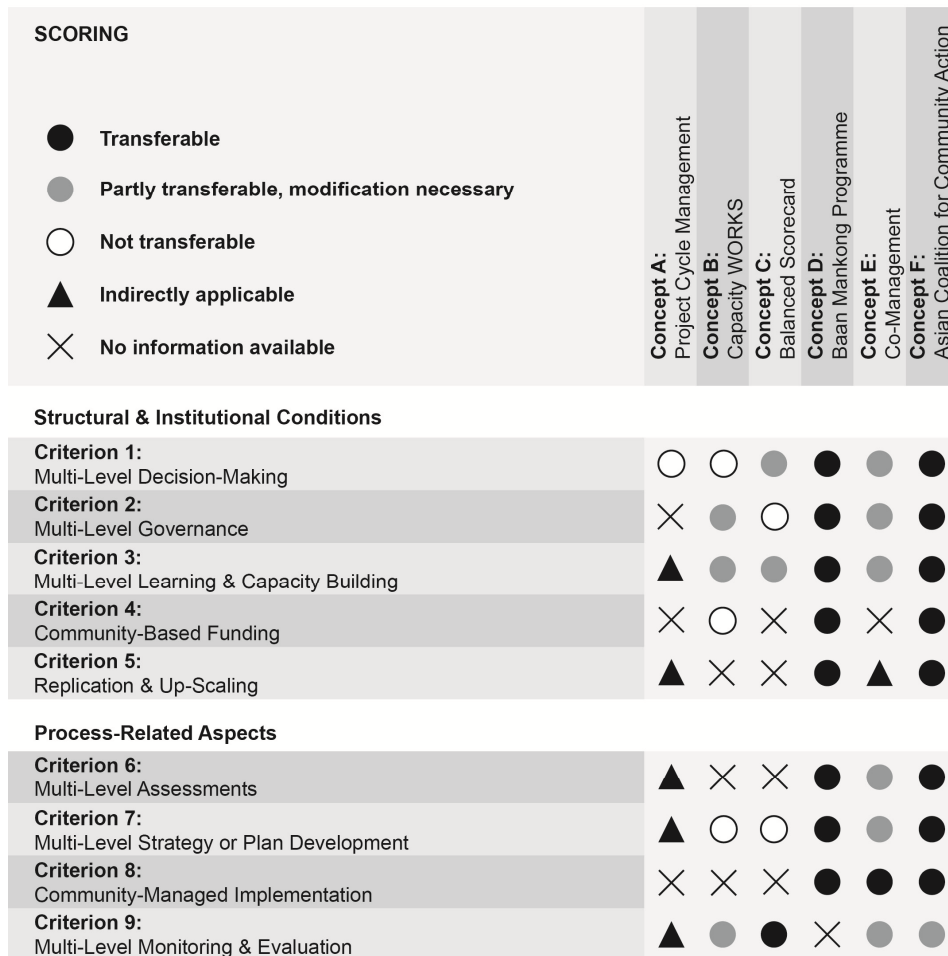


Fig. 3-7: Results of the ‘Scoring’ Stage
(own figure)

Baan Mankong and **ACCA**, both feature the creation of structural and institutional conditions for the enablement of community-driven activities and for the empowerment of communities and other local-level actors. **PCM**, on the other hand, is a management approach that helps to organise internal processes of programmes and projects, regardless of hierarchical levels or stakeholder involvement. **BSC** offers tools for the setting of short-, medium and long-term project or programme objectives and goals, for the monitoring of a project or programme’s progress over time and for the evaluation of the results. **Co-Management** fosters an advanced local-level governance approach based on cooperation, negotiation and consensus building between key stakeholders. **Capacity WORKS** provides a range of theoretical concepts for the creation of sustainable programmes and projects as well as for the establishment of a democratic governance approach. Consequently, each governance or manage-

ment concept evaluated during the 'scoring' stage may contribute concept components for the development of a 'CBA Governance Management Model' (CBA-GMM). (cf. Fig. 3-7)

4.3 Concept Development

4.3.1 Contributions of the Different Concepts

This section serves as a preparatory stage for the development of a concept for a 'CBA Governance Management Model' (CBA-GMM). For each criterion, valuable concept components are extracted from the previously examined governance and management concepts and summarised.

4.3.1.1 Criterion 1: Multi-Level Decision-Making

The main important precondition for the establishment of different decision-making levels is political will going along with honest efforts to decentralise decision-making. 'Multi-level decision-making' as required in CBA processes can be significantly inspired by the governance concept of the **Baan Mankong** programme (Concept D), which features decision-making at the national, city and community level. Depending on the size of the city or province and the existing administrative structure, additional decision-making levels may be integrated, e.g. at the district or 'zone' level. (cf. Fig. 4-21)

National-level decision-making should be linked to a concerned ministry. Here, a framework strategy and related policy instruments should be developed. A national programme, such as the Baan Mankong programme, seems to be the most adequate policy instrument to initiate and guide CBA at the city and community level; the development and implementation of the national programme should go along with the creation of supportive intermediary institutions and the allocation of financial resources.

The community level, at the other end of the spectrum, is first and foremost concerned with the development of locally relevant CBA projects and community action plans, with fund-raising and fund-management as well as with the establishment of partnerships with local CSOs, experts and local governments.

In between the national and community level, intermediary institutions are required as mediating agencies. These agencies link the top-down organised national programme strategy to

individual community-level projects. These intermediary institutions are ideally developed at the city or province level. City or provincial governments and administrations get the opportunity to develop their own city-level or province-level strategies or action plans to foster CBA in accordance with the national-level strategy.

However, in cases where political will and government support regarding decentralisation and community-based approaches to climate change adaptation is absent, the concept behind the **ACCA** programme (Concept F) suggests a feasible approach, namely to establish the lowest decision-making level - the community level - first and to encourage government support and the establishment of a higher-level decision-making level as a second step.

The **BSC** approach (Concept C) fosters the linking of decision-making at different levels. However, in order to become transferable to CBA, the highest level in the organisation’s hierarchy needs to concede greater autonomy in terms of decision-making and strategy development to lower levels.

Co-Management predominantly works with only one main decision-making level, which is the local level. However, Co-Management suggests a transferable approach to decision-making as a result from negotiation among different local stakeholder groups.

Concept D	Baan Mankong Programme	1
Concept F	Asian Coalition for Community Action (ACCA)	2
Concept A	Project Cycle Management (PCM)	×
Concept B	Capacity WORKS	×
Concept C	Balanced Scorecard Approach (BSC)	■
Concept E	Co-Management	■

Fig. 4-21: Concept Development: Multi-Level Decision-Making
(own figure)

4.3.1.2 Criterion 2: Multi-Level Governance

CBA requires democratic governance, as suggested by **Capacity WORKS** (Concept B), and a multi-level governance approach; the effective implementation of CBA calls for the mobili-

sation of capacities and resources of a great variety of stakeholders, from the public, private and civil society sector active at all levels.

The previous 'scoring' stage has revealed that both, the **Baan Mankong** programme (Concept D) and the **ACCA** programme (Concept F), work through multi-level governance systems as well as through network governance, widely detached from existing administrative levels. The Baan Mankong programme and the ACCA programme establish flexible networks, e.g. community or experts' networks that provide exchange and mutual support. The cooperation of different stakeholder groups and their integration into decision-making processes is operationalised through the establishment of 'committees' or working groups at different levels. These 'committees' are composed of representatives of different stakeholder groups and attend to different tasks. This concept of forming committees is transferable to a governance and management concept for CBA.

Ideally, a working group or committee is established at every decision-making level, e.g. at the national, city or province level as well as at the district or 'zone' and community level. A working group or committee established at the national level - under a concerned ministry - can help to shape the national strategy and to develop a national programme with participation of all concerned stakeholder groups. Committees at the city or province level may become intermediary institutions that foster the integration of CBA into citywide development and adaptation plans, that review and approve CBA projects and that eventually decide about the release of subsidies and loans for CBA projects. At the next lower level - at district or 'zone' level - sub-ordinate working groups or committees may directly facilitate CBA projects and moderate negotiation processes.

In the absence of adequate governance structures, the bottom-up approach of the **ACCA** programme (Concept F) may provide a practicable solution for the initiation and enablement of local-level activities. It can be assumed that successful CBA initiatives may act as triggers for the encouragement of government support and for the establishment of cooperative structures.

However, for the effective implementation of CBA, communities must be perceived as partners in urban development and climate change adaptation. Thus, decisions and interactions between communities, government agencies and other actors must be based on negotiation, on the balancing of different interests and on consensus building. Here, the concept of 'negotiation', as suggested by the **Co-Management** approach (Concept E), is particularly valuable

for CBA processes. Negotiation between different community groups should be initiated, where neighbouring initiatives bear the risk of mutual disturbance. (cf. Fig. 4-22)

Concept (D)	Baan Mankong Programme	1
Concept (F)	Asian Coalition for Community Action (ACCA)	2
Concept (A)	Project Cycle Management (PCM)	×
Concept (B)	Capacity WORKS	■
Concept (C)	Balanced Scorecard Approach (BSC)	×
Concept (E)	Co-Management	■

Fig. 4-22: Concept Development: Multi-Level Governance (own figure)

4.3.1.3 Criterion 3: Multi-Level Learning & Capacity Building

The ‘scoring’ stage revealed that with regard to ‘learning’ processes in development projects, a distinction has to be made between ‘internal’ and ‘external’ learning processes. ‘Internal’ learning supports the periodic review, readjustment and improvement of a programme strategy or a community action plan ‘from inside’. These ‘internal’ learning processes can be facilitated by **PCM** (Concept A), **BSC** (Concept C) and **Co-Management** (Concept E).

‘External’ learning aims at the dissemination of knowledge and experience in order to create multiplier effects and to stimulate replication, out-scaling and up-scaling. ‘External’ learning is addressed by the **Baan Mankong** programme (Concept D) and by the **ACCA** programme (Concept F); both programmes foster ‘learning-by-doing’, the creation of good-practice examples, mutual or ‘peer’ learning at all levels as well as networking and ‘mass learning’. This ‘external’ learning approach can be fully transferred to CBA. Here, local media as well as new social media can help to facilitate the exchange among peer groups and the mobilisation of spontaneous activities.

However, the management and governance concepts evaluated lack tools and approaches for the integration of capacity building at higher strategic levels, e.g. at the city, province and national level. The capacity of all stakeholders participating in planning and decision-making should be built through trainings, networking and ‘peer’ learning. The knowledge developed

at every level should be periodically summarised and disseminated, e.g. on internet platforms or at national and international stakeholder conferences in order to stimulate multiplier effects, replication and out-scaling. (cf. Fig. 4-23)

Concept (D)	Baan Mankong Programme	1
Concept (F)	Asian Coalition for Community Action (ACCA)	
Concept (A)	Project Cycle Management (PCM)	■
Concept (B)	Capacity WORKS	×
Concept (C)	Balanced Scorecard Approach (BSC)	■
Concept (E)	Co-Management	■

Fig. 4-23: Concept Development: Multi-Level Learning & Capacity Building
(own figure)

4.3.1.4 Criterion 4: Community-Based Funding

CBA processes aim enabling and empowering communities to develop and manage locally relevant projects by themselves. Thus, also the financial capacities of communities and individuals must be strengthened in order to reduce the reliance on external funding, and with that, the influence and heteronomy of external actors. As a consequence, CBA requires the creation of a pro-poor funding mechanism that is based on the communities' financial capacities. This funding mechanism must promote savings at the individual or household level as well as at the community level through the establishment of savings groups. Collective savings, which pool the savings of individuals, can be managed as savings and revolving funds. Additional funds - so called 'seed funds' – provided by external actors, may help to nourish the savings and revolving funds.

The **Baan Mankong** programme (Concept D) and the **ACCA** programme (Concept F), both work with feasible and socially acceptable pro-poor funding concepts, based on collective savings initiated at the community level. Within the framework of the Baan Mankong programme, CODI - as an intermediary institution - channels government funds to communities and their savings networks. Projects undertaken within the framework of the ACCA programme are financially supported by ACHR that provides funds in the form of small loans to community networks and 'seed funds' to CDFs. (cf. Fig. 4-24)

Concept (D)	Baan Mankong Programme	1
Concept (F)	Asian Coalition for Community Action (ACCA)	2
Concept (A)	Project Cycle Management (PCM)	×
Concept (B)	Capacity WORKS	×
Concept (C)	Balanced Scorecard Approach (BSC)	×
Concept (E)	Co-Management	×

Fig. 4-24: Concept Development: Community-Based Funding
(own figure)

In order to create a pro-poor funding mechanism for CBA activities, both concepts may be merged. Instead of providing low-interest loans and of creating a management institution, such as CODI, national or city governments may provide ‘seed funds’ to savings networks and their collective savings and revolving funds or else, to established CDFs. The management of local collective savings and revolving funds should be facilitated by civil society actors and community-based fund managers; the savings groups should be organised in nation-wide support networks, not only to pool their funds but also to create a platform for mutual help and exchange.

4.3.1.5 Criterion 5: Replication & Up-Scaling

Replication, out-scaling and up-scaling of CBA is a cross-cutting issue and thus, requires the interplay of different favourable preconditions, namely government commitment and political will, as well as strategic activities, such as the development and enforcement of supportive policies, the creation of uncomplicated funding mechanisms and the establishment of institutions and networks to support local activities. The ‘scoring’ stage has revealed that a government programme, such as the **Baan Mankong** programme (Concept D) whose objective is to achieve nation-wide slum-upgrading, is a suitable policy instrument to organise, manage and facilitate local development activities as well as replication, out-scaling and up-scaling. Consequently, CBA processes should be initiated and supported through a national government programme. (cf. Fig. 4-25)

Concept (D)	Baan Mankong Programme	1
Concept (F)	Asian Coalition for Community Action (ACCA)	2
Concept (A)	Project Cycle Management (PCM)	■
Concept (B)	Capacity WORKS	×
Concept (C)	Balanced Scorecard Approach (BSC)	×
Concept (E)	Co-Management	■

Fig. 4-25: Concept Development: Replication & Up-Scaling
(own figure)

In order to avoid that replication and out-scaling of successful projects is hampered by high costs, expenses for administration and external expertise should be limited. Costs can be significantly reduced through the training of local facilitators, through the establishment of mutual support networks and 'peer learning'. Moreover, fund management can be undertaken by savings groups and their networks. The **Baan Mankong** programme (Concept D) and the **ACCA** programme (Concept F), both work with these concepts. Consequently, CBA processes should be based on a network governance system in order to avoid over-complex administrative project structures that restrain the opportunities for replication and out-scaling.

The complexity of assessment, planning and decision-making procedures should be reduced to a manageable size. The **Co-Management** approach (Concept E) illustrates how a structured approach helps communities and their local authorities to attend to a complex task, such as natural resource management. A simplified **PCM** approach (Concept A) helps to repeatedly monitor change, to evaluate results and to adjust strategies and plans. Consequently, community-level CBA activities should focus on the direct living environment and follow a structured and easily comprehensible approach in order to avoid the overburdening of communities. Moreover, the duration of community-level projects and their project cycles should be rather short in order to create fast results; nevertheless, the process should allow each community to work on its own pace.

4.3.1.6 Criterion 6: Multi-Level Assessments

Similar to the approaches of the **Baan Mankong** programme (Concept D) and of the **ACCA** programme (Concept F), climate change impact assessments should be undertaken at different levels and with a degree of detailing that is adequate for each respective level. National-level assessments should be comparably general and help to determine the focus of the national-level strategy and to identify priority areas as well as to develop policies and suitable policy instruments. City-level assessments should help to develop city-level strategies or climate change action plans and to support CBA. These assessments should be more detailed and help to determine ‘zones’ for intervention, taking into account the ‘zone’s’ susceptibility to hazards and the local population’s degree of vulnerability.

The most detailed assessments are undertaken at the community level; here, local climate change impacts, their effects on lives and livelihoods as well as existing community capacities and resources for response are identified. These local-level, experience-based assessments may be summarised at the ‘zone’ or district level and integrated into city-level assessments and scenarios. **PCM** (Concept A) may help to manage the linkage between the different assessment levels. **Co-Management** (Concept E) provides an interesting approach for community-based assessments and for the determination of ‘zones’ for natural resource management, which may be transferable to CBA activities. (cf. Fig. 4-26)

Concept (D)	Baan Mankong Programme	1
Concept (F)	Asian Coalition for Community Action (ACCA)	
Concept (A)	Project Cycle Management (PCM)	■
Concept (B)	Capacity WORKS	×
Concept (C)	Balanced Scorecard Approach (BSC)	×
Concept (E)	Co-Management	■

Fig. 4-26: Concept Development: Multi-Level Assessments
(own figure)

4.3.1.7 Criterion 7: Multi-Level Strategy or Plan Development

In order to establish a framework for local CBA activities, strategy development for climate change adaptation and CBA should be undertaken at the national level prior to the start of detailed activities at the community level. Here, the strategic approach of the **Baan Mankong** programme (Concept D) is considered to be a best-practice concept, as it starts with a national-level strategy and a framework that supports local-level activities in a next step.

In cases where government support and political will is not yet existent, CBA may be initiated 'from below', through the implementation of successful local-level initiatives. The **ACCA** programme (Concept F) is a suitable best-practice example for this approach. **Co-Management** (Concept E) does not feature multi-level strategy development, but suggests a valuable concept for strategy development at the local level based on negotiation and on the balancing of different stakeholder groups' interests – a concept, which is also suitable for CBA.

The city or province level and the district (or 'zone') level are the intermediate levels that may mediate between the national-level strategy and the community-level activities. Thus, at the city or province level, a strategy should be developed, which focuses on the implementation of the national-level strategy. 'Committees' at the city or province level should elaborate a strategy to integrate climate change adaptation and CBA into existing procedures and plans, determine 'zones' and priority areas with an immediate need for adaptation and create supportive institutions and working groups as well as locally relevant funding mechanisms.

Subordinate committees at the district or 'zone' level should develop their own strategy for the direct facilitation of local community-based activities, based on district or 'zone'-wide assessments of climate change impacts and on the number of affected communities identified and their degree of vulnerability. Based on the elaborated strategy, adequate participatory tools and approaches should be chosen and modified according to the local context.

At the community level, community members should develop their individual strategy, a detailed action plan to address local climate change impacts and a schedule for implementation.

Concept (D)	Baan Mankong Programme	1
Concept (F)	Asian Coalition for Community Action (ACCA)	2
Concept (A)	Project Cycle Management (PCM)	■
Concept (B)	Capacity WORKS	×
Concept (C)	Balanced Scorecard Approach (BSC)	×
Concept (E)	Co-Management	■

Fig. 4-27: Concept Development: Multi-Level Strategy or Plan Development
(own figure)

However, it has to be highlighted that the strategies and plans developed at all levels are interconnected: CBA activities at the local level use the framework and assistance (and eventually financial support) provided by higher levels to develop individual, detailed ‘action plans’ and projects. Reversely, the results of CBA plans and projects have an impact on the overall city-level and national-level strategy. As mentioned earlier, **PCM** (Concept A) can significantly contribute to the timely coordination of strategy and plan development at all levels. (cf. Fig. 4-27)

4.3.1.8 Criterion 8: Community-Managed Implementation

The implementation of local CBA projects should be managed by communities and supported by facilitators and local implementation partners. Among all governance and management concepts under the spotlight, three implementation concepts, namely that of the **Baan Mankong** programme (Concept D), that of the **Co-Management** (Concept E) approach and that of the **ACCA** programme (Concept F), foster the community-managed implementation of locally developed plans and measures, supported by civil society partners and local experts. All three concepts foster strong collaboration and partnership building between the local community members and their authorities. Similarly, the implementation of CBA measures should be managed by communities themselves who draw on local resources, skills and knowledge - ideally with the support of their local governments and facilitators. (cf. Fig. 4-28)

Concept (D)	Baan Mankong Programme	
Concept (E)	Co-Management	1
Concept (F)	Asian Coalition for Community Action (ACCA)	
Concept (A)	Project Cycle Management (PCM)	×
Concept (B)	Capacity WORKS	×
Concept (C)	Balanced Scorecard Approach (BSC)	×

Fig. 4-28: Concept Development: Community-Managed Implementation
(own figure)

4.3.1.9 Criterion 9: Multi-level Monitoring and Evaluation

Surprisingly, neither the **Baan Mankong** programme (Concept D) nor the **ACCA** programme (Concept F) provide satisfying conceptual approaches for quantitative or qualitative multi-level monitoring and evaluation. Instead, **PCM** (Concept A) and **BSC** (Concept C) support monitoring and evaluation at different levels.

Based on the BSC approach, performance targets with regard to the implementation of CBA should be formulated at all levels, at the national, city or province level, at the district or 'zone' level as well as at the community level. The achievements of these performance targets should be monitored and evaluated over time. Monitoring and evaluation may supply information regarding the effectiveness of a CBA strategy, of single measures and of the implementation strategy applied at each level. However, in order to reveal the effectiveness and success of a complex multi-level approach, as required for CBA, a monitoring and evaluation approach, which links monitoring and evaluation processes and results at all levels, needs to be developed. This is particularly important, as the success of a national CBA strategy is dependent on the effectiveness of detailed community-based 'action plans' and measures. The PCM approach may be used to establish interlinked feedback loops for monitoring and evaluation. PCM integrates a monitoring and evaluation phase in every project cycle at every level. Moreover, PCM can help to link monitoring and evaluation phases of different project levels in such a way that results from a lower level can be directly integrated into the monitoring and evaluation phase of the next higher level.

Concept (C)	Balanced Scorecard Approach (BSC)	1
Concept (A)	Project Cycle Management (PCM)	■
Concept (B)	Capacity WORKS	■
Concept (D)	Baan Mankong Programme	×
Concept (E)	Co-Management	■
Concept (F)	Asian Coalition for Community Action (ACCA)	■

Fig. 4-29: Concept Development: Multi-Level Monitoring & Evaluation
(own figure)

ACCA (Concept F) provides an interesting additional concept, namely the concept of 'peer evaluation'. Besides, **Co-Management** (Concept E) also introduces the interesting concept of community-based natural resources monitoring which can be modified in order to support monitoring activities in CBA processes (cf. Fig. 4-29)

4.3.2 Synopsis

Fig. 3-8 illustrates the main results of this sub-chapter. It is evident that predominantly components of the **Baan Mankong** programme (Concept D) and of the **ACCA** programme (Concept F) – which both apply rather practice-oriented approaches to foster community development and pro-poor urban development - provide transferable concepts for the governance and management of CBA. **Co-Management** (Concept E) provides interesting concepts for local-level strategy development, based on negotiation between different stakeholder groups, and monitoring.

RANKING		Concept A: Project Cycle Management	Concept B: Capacity WORKS	Concept C: Balanced Scorecard	Concept D: Baan Mankong Programme	Concept E: Co-Management	Concept F: Asian Coalition for Community Action
①	Rank						
■	Modification						
×	Elimination						
Structural & Institutional Conditions							
Criterion 1: Multi-Level Decision-Making		×	×	■	①	■	②
Criterion 2: Multi-Level Governance		×	■	×	①	■	②
Criterion 3: Multi-Level Learning & Capacity Building		■	×	■	①	■	①
Criterion 4: Community-Based Funding		×	×	×	①	×	②
Criterion 5: Replication & Up-Scaling		■	×	×	①	■	②
Process-Related Aspects							
Criterion 6: Multi-Level Assessments		■	×	×	①	■	①
Criterion 7: Multi-Level Strategy or Plan Development		■	×	×	①	■	②
Criterion 8: Community-Managed Implementation		×	×	×	①	①	①
Criterion 9: Multi-Level Monitoring & Evaluation		■	■	①	×	■	■

Fig. 3-8: Results of the ‘Ranking’ Stage
(own figure)

The management concept of **Capacity WORKS** (Concept B) is considered too abstract and complex to provide any transferable concept components for the governance and management of CBA – in particular at the community level. **PCM** (Concept A), in contrast, may be considered as a core tool to manage CBA at all levels and to link strategically important stages. **BSC** (Concept C), in addition, may provide a viable concept for monitoring and evaluation.

4.4 Result 1: Concept for the CBA-GMM

Within this sub-chapter, a concept for a ‘CBA Governance Management Model’ (CBA-GMM) is developed, based on the results of the ‘scoring’ and ‘screening’ stages undertaken earlier. The CBA-GMM is elaborated as a theoretical model, suggesting viable approaches to initi-

ate, guide, support and manage citywide CBA initiatives. This model can then be further applied to the social and political context of countries and regions affected by climate change.

The CBA-GMM combines concepts for an ideal ‘policy instrument’, for an ideal ‘governance approach’ and for an ideal ‘management approach’. The ideal ‘policy instrument’ for the guidance, support and coordination of voluntary local-level CBA activities is a national programme, which reflects political will, creates supportive institutions and eventually, pro-poor funding mechanisms. The second component, the ideal ‘governance approach’ suggests the creation of different decision-making levels, the identification of relevant stakeholders and the assignment of roles and responsibilities; moreover, the ‘governance approach’ determines the nature of decision-making processes - based on consensus building and negotiation. The CBA-GMM ‘governance approach’ is mainly based on network governance and on the establishment of partnerships between different stakeholder groups. The third component of the CBA-GMM is an ideal ‘management approach’, which helps to coordinate processes at different levels with the help of the project cycle management (PCM) approach. (cf. Fig. 4-30)

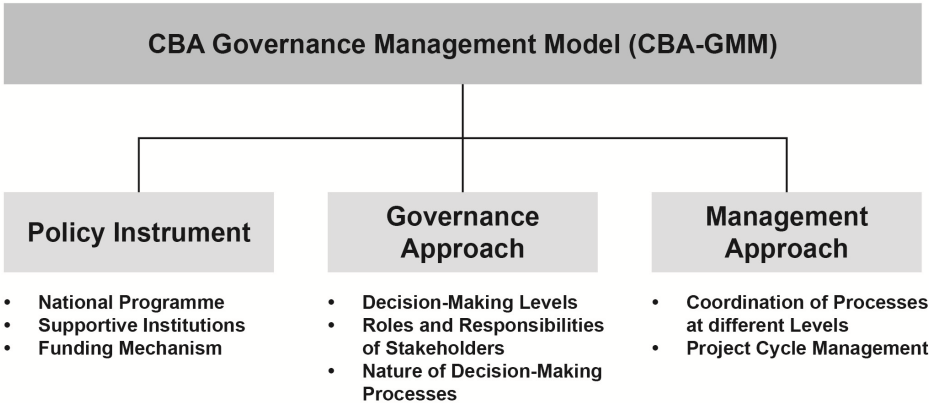


Fig. 4-30: Composition of the CBA Governance Management Model
(own figure)

4.4.1 Objectives

The CBA-GMM needs to respond to a range of objectives that have been generated from the ‘vision’, developed in section 4.2.1, and that are already reflected by the ‘set of criteria’ developed prior to the ‘scoring’ phase. The CBA-GMM shall

- create several levels of decision-making that interact with each other,
- work through a governance approach which features partnerships between all stakeholders and decision-making based on negotiation and consensus,

- encourage learning and capacity building at all levels,
- set-up a funding system that enables economically challenged communities to raise funds for the implementation of adaptation measures and to invest in resilient income-generating activities,
- keep administration processes simple and costs low in order to allow for simple replication, out-scaling and up-scaling,
- integrate assessments at all levels - from the national to the local level,
- allow for strategy and plan development at all levels,
- support community-based or community-managed implementation,
- bring together monitoring and evaluation results from all levels in order to assess the progress and the effectiveness of strategies and plans.

4.4.2 Policy Instrument

4.4.2.1 National Programme

It has been found that a national programme, like the Baan Mankong programme, is an adequate policy instrument to institutionalise voluntary CBA activities in urban areas. A national programme is set up to put into practice national-level policies and strategies and to achieve long-term objectives and targets; it reflects the political will to initiate and support change. Interestingly, the Baan Mankong programme - as a top-down approach - encourages the establishment of local, community-based initiatives and widely autonomous and self-managed upgrading activities. Consequently, the Baan Mankong programme is considered a role model for the governance and management of CBA through a national programme.

Thus, the CBA-GMM should feature an ideal-typical national programme structure. The programme should be developed by a concerned ministry and embedded into a wider political strategy or into a national target programme, which addresses environmental management, climate change issues as well as adaptation and mitigation at various levels. Thus, the national programme should determine general targets, which should be achieved over time. Moreover, the programme should provide a policy framework in accordance with the existing legislative framework. As a part of the national programme structure, rules and regulations should be developed for the allocation of funds from the national to the local levels; furthermore, decision-making powers must be distributed from the national level to city-level author-

ities and all other relevant stakeholders including communities. Moreover, a concept should be developed for the exchange of information between all concerned levels.

At the community level, the national programme must help to enable vulnerable communities to pro-actively adapt to climate change. 'Enablement' in the local context relates to the provision of relevant information and to the distribution of decision-making powers with regard to local-level activities as well as to the allocation of adequate funds, which may be channelled to communities and their networks through a pro-poor funding mechanism.

Moreover, the national programme should encourage the establishment of intermediary institutions at the city level – such as city-level 'steering committees' - as well as at the 'zone' or district level – such as local 'steering committees'. At the city level, a strategy is developed to implement the national programme while taking into account local conditions. At the 'zone' or district level, the city-level strategy is further broken down to a concrete approach to facilitate CBA activities. Both types of intermediary institutions support the exchange of information from the national to the community level and vice versa.

Besides supporting and guiding community and city-level activities, the national programme should encourage the building of network governance structures integrating all relevant stakeholders from all levels - including authorities, private sector partners, researchers and civil society actors - in order to benefit from their capacities. Adequate funds must be allocated from the national level to the city level in order to create necessary personnel resources in all institutions, authorities and organisations.

4.4.2.2 Pro-Poor Funding Mechanism

As a part of the national programme, a pro-poor funding mechanism should be created that helps to enable communities to take their own independent decisions with regard to climate change adaptation and related financial investments. However, the creation of pro-poor funding mechanisms is strongly dependent on the local context and socio-economic circumstances. Therefore, different funding opportunities are subject to testing. Here, as a starting point, a funding mechanism is suggested that combines concepts from the Baan Mankong programme and from the ACCA programme. The aim of such a funding mechanism is to enable economically challenged communities to establish savings groups and to start and manage their own savings activities at the community level; with these local-level funds, communities may invest in adaptation measures and in resilient income-generating activities.

When in need, the savings group members may withdraw money from their own savings at any time and without any condition; for the implementation of adaptation measures they may also obtain small loans that are paid back at a low-interest rate. In order to finance larger-scale adaptation measures, the savings groups may pool their savings at the 'zone' or district level - and later even at the city level - and create savings networks and revolving funds. This approach helps communities to maintain their maximum independence from state or donor interference.

Funds provided from the national government (and other actors) are so called 'seed funds', which shall support established community savings and revolving funds. In order to avoid the overburdening of national budgets, the amounts provided as 'seed funds' should remain small; they may ideally be provided as grants, non-repayable funds, or long-term low-interest loans that may be claimed back after collective funds have grown to a certain amount.

4.4.2.2.1 Allocation of Funds from the National Level

All cities that participate in the national programme should be provided with a budget for programme implementation. However, the national level should develop guidelines for the spending of the budget. This budget should then be transferred to the city level as a part of the municipal budget and managed by the city-level 'steering committee'. Ideally, a certain amount from this budget should be used to cover additional personnel expenses that occur in administrations and departments at the city level, expert fees as well as expenses of the city-level 'steering committee' and sub-ordinate local 'steering committees'. The larger remaining amount should be distributed as 'seed funds' to collective savings and revolving funds at 'zone' or district level.

4.4.2.2.2 Savings Activities at the Community-Level

During the starting phase of CBA activities, communities are encouraged to start voluntary savings activities at the individual or household level and to establish savings groups at the community level. These savings groups and their funds should be managed by elected community-based fund managers, who receive the savings of the group's members on a regular basis and who deposit this money into a bank account. With the participation of all members, a regulation for their savings group and for the management of their savings fund should be developed. This regulation should determine the purpose of the fund (e.g. for cli-

mate change adaptation) and the modalities for payments-in and payments-out. Furthermore, as the savings fund may be managed as a revolving fund later, the savings group regulation should also determine the modalities for loans and repayment as well as the interest rate.

However, dependent on the individual situation of the community and on the stability of incomes, the savings group may decide not to determine a fixed amount of regular payments-in in order to keep the drop-out rate low. As mentioned earlier, in times of hardship, savings group members should be able to uncomplicatedly withdraw money from their own savings. The advantage of community-based savings groups becomes apparent; in times of hardship, the community savings group can decide on the modification of their own modalities and schedules for payments-in, payments-out and eventually, loan repayment.

After the fund has reached a certain size, the savings fund may be managed as a revolving fund: Savings-group members may obtain small low-interest loans (e.g. for the implementation of adaptation measures); the loans have to be repaid according to the savings group's modalities. However, even for a savings group, the accumulation of a fund that is large enough to finance larger-scale adaptation measures is expected to take a long period of time. Therefore, community-based savings groups should join savings collectives at the 'zone' or district level and establish 'zone' or district-level collective savings and revolving funds, eventually supported by a 'seed fund' provided by the government.

4.4.2.2.3 Collective Fund at the 'Zone' or District Level

A number of different community-based savings groups may form voluntary coalitions and pool their savings into a collective savings and revolving fund having the particular purpose of financing measures for climate change adaptation. While, in ideal cases, neighbouring savings groups form a collective fund, the spatial connection of the individual savings groups is not important; they may be geographically scattered all over the area of a 'zone' or district. The management of this collective fund should be undertaken by a management board composed of all fund managers of the participating savings groups. Similar to the savings groups, the collective fund's management board should develop a regulation for the management of the savings and revolving fund.

In accordance with each city's policy, the local 'steering committee' should formally notify the establishment of a collective savings and revolving fund and inform the city-level 'steering

committee'. In the following, the management board of the savings and revolving fund may apply for an additional 'seed fund' provided by the government; the fund is then released by the city-level 'steering committee' and channelled to the collective fund's management board. (cf. Fig. 4-31)

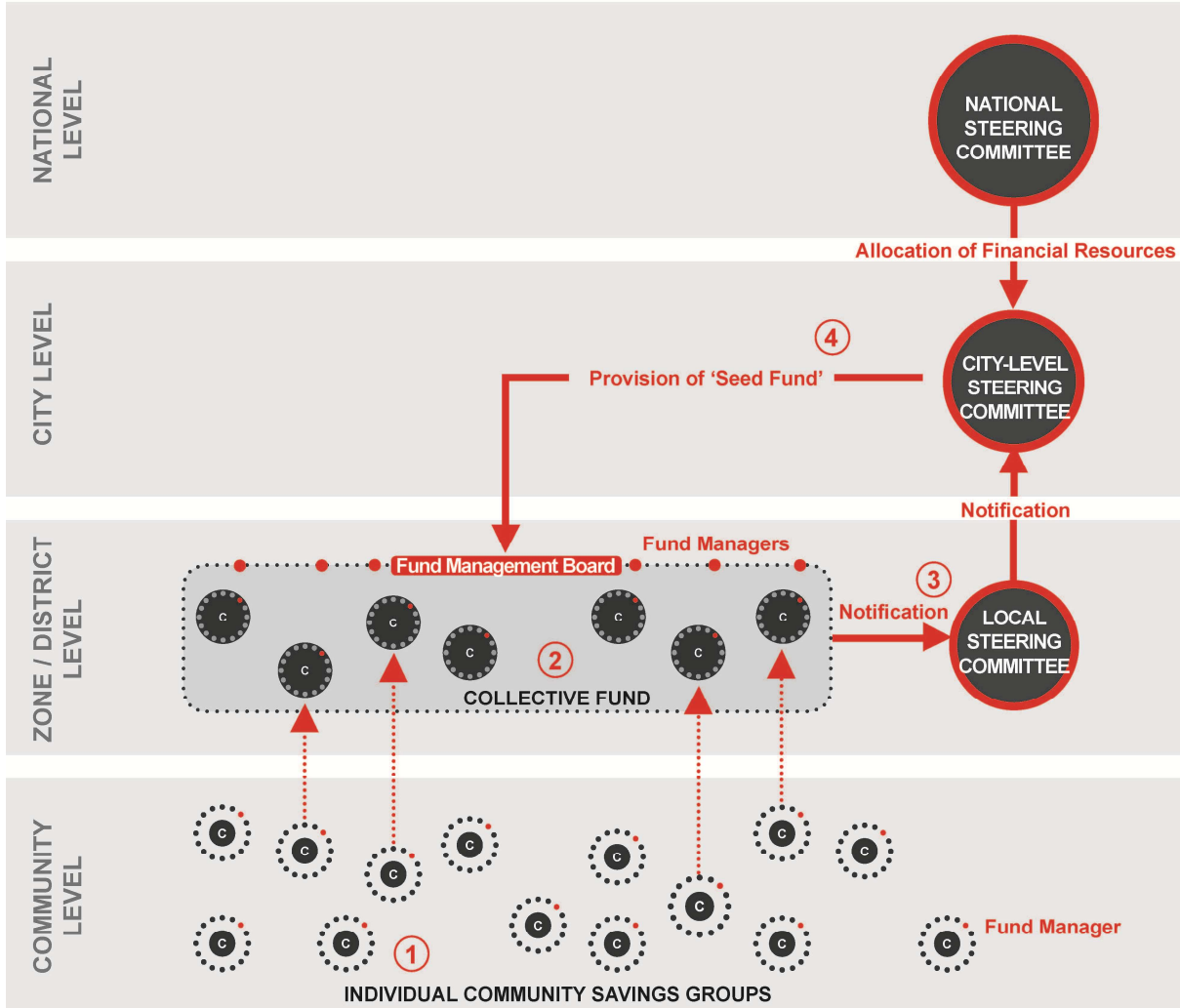


Fig. 4-31: Establishment of Collective Funds
(own figure)

From the collective savings and revolving fund, savings groups may obtain a larger low-interest loan for structural adaptation measures at the community level. The loan application procedure is simple: The community savings group should develop and submit a proposal, which reflects their envisaged project and their financial plan, to the local 'steering committee', to the city-level 'steering committee' as well as to the collective fund management board.

The local 'steering committee' should review, comment and eventually pre-approve the proposal; in order to do that, the local 'steering committee' should check whether the plan has been developed in accordance with the CBA regulations (see sub-points 4.4.3.3.3 and 4.4.3.3.4) agreed upon by all participating communities within one 'zone' or district. In a next step, final approval should be sought from the city-level 'steering committee'; eventually, the fund management board should release the loan.

4.4.3 Governance Approach

4.4.3.1 Decision-Making

In order to keep the decision-making structure as simple as possible, the establishment of only four decision-making levels is suggested (cf. Fig. 4-32). The levels that are considered to be essential are the national level, the city level, the 'zone' or district level and the community level, each having their own tasks and responsibilities. Thus, the governance model is strongly based on decentralisation of decision-making. It has to be remarked that the hierarchy of decision-making levels has been established despite the conviction that such complex cross-sector issues as climate change adaptation and CBA require a network governance approach. However, here, the decision-making structure and its respective levels provide an institutional backbone and orientation for the rather flexible stakeholder networks and partnerships.

The first (and highest hierarchical level) is the national level. Here, a national-level policy and strategy is developed and along with that, a policy framework for the initiation, guidance and coordination of CBA activities at subordinate levels. The second level, the level below the national level, is the city (or province) level. City authorities and their partners may develop a city-level strategy to put into practice the national-level programme and to support citywide CBA activities. The third level, which is directly connected to the city level, is the 'zone' or district level; here, a detailed practice-oriented strategy is developed in order to facilitate CBA at the community level. At the 'zone' or district level, all participating communities shall develop and agree upon a simple regulation regarding the scope of CBA measures in order to avoid mutual disturbances. Both, the city level and the 'zone' or district level are intermediary levels that link the national - rather top-down oriented - programme and community-based - bottom-up - CBA activities. The fourth level is the community level; communities develop and

implement action plans for the adaptation to local climate change impacts and for the building of resilient livelihoods.

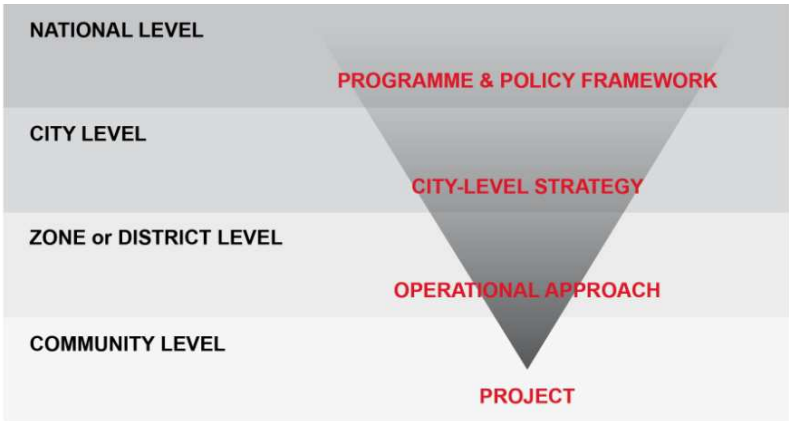


Fig. 4-32: Decision-Making Levels
(own figure)

The four decision-making levels strongly interact; while higher levels provide the framework and determine the scope for activities at subordinate levels, the results achieved at lower levels and their feedback are integrated into strategy and plan development at higher levels and thus help to re-shape the national programme and city-level strategies in the long-term.

4.4.3.2 The Integration of Top-Down and Bottom-Up Approaches

The ‘governance model’ of the CBA-GMM is based on the integration of top-down and bottom-up development approaches, illustrated in Fig. 4-33 and Fig. 4-34. A national programme represents the traditional top-down approach developed by governments and ministries at the national level. CBA, in contrast, is a bottom-up approach that creates localised solutions, based on local conditions, resources and capacities. The integration of both is operationalised through institutions, or ‘steering committees’, at intermediary levels - in this case at the city and ‘zone’ or district level. These intermediary institutions interpret the national programme’s vision, policy framework, regulations and guiding principles and define the scope for community-based activities and decision-making in the local context. Moreover, these intermediaries communicate feedback from the community level to the national level in order to improve the national programme.

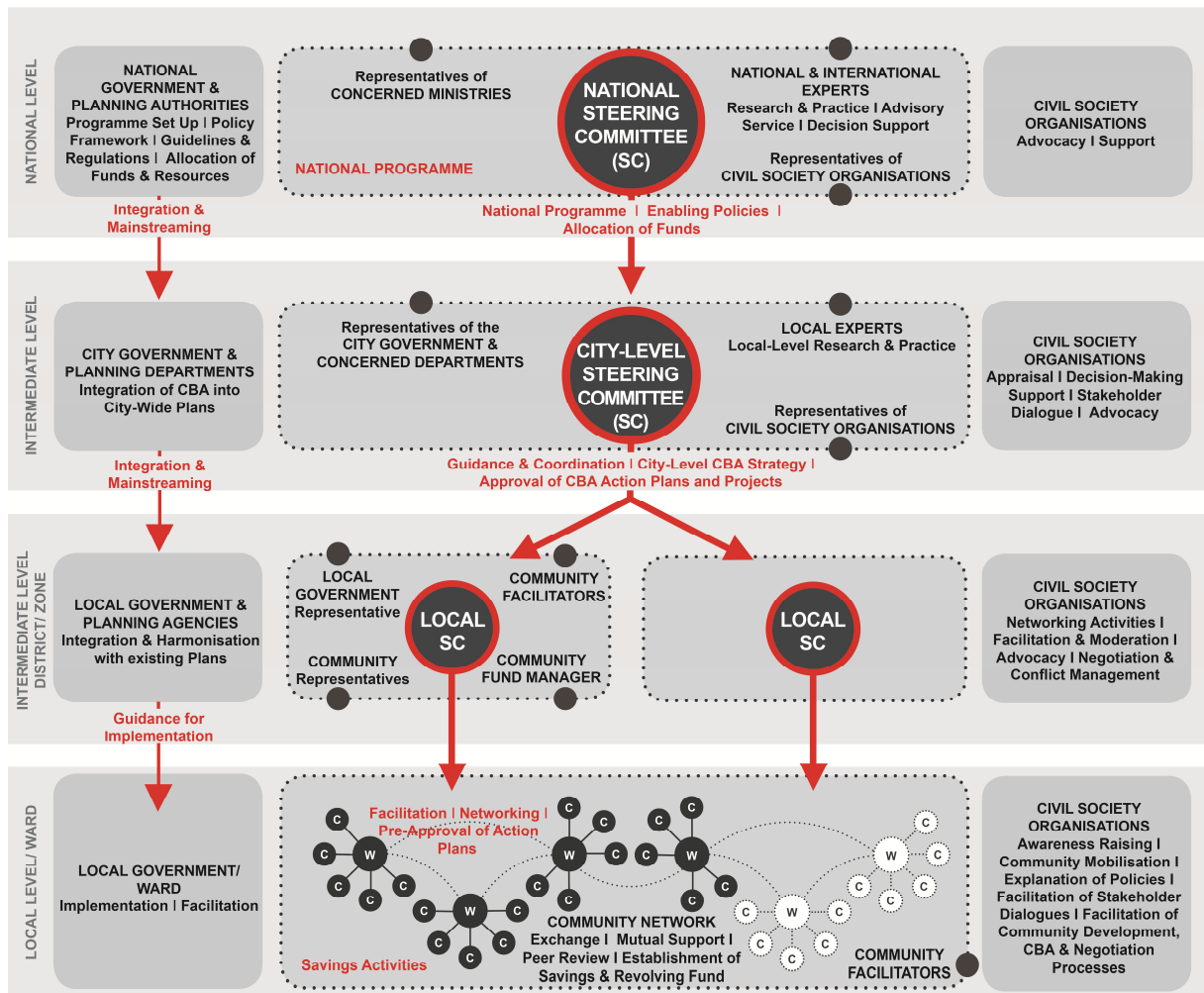


Fig. 4-33: Top-Down Organisation within the CBA-GMM Governance Approach
(own figure)

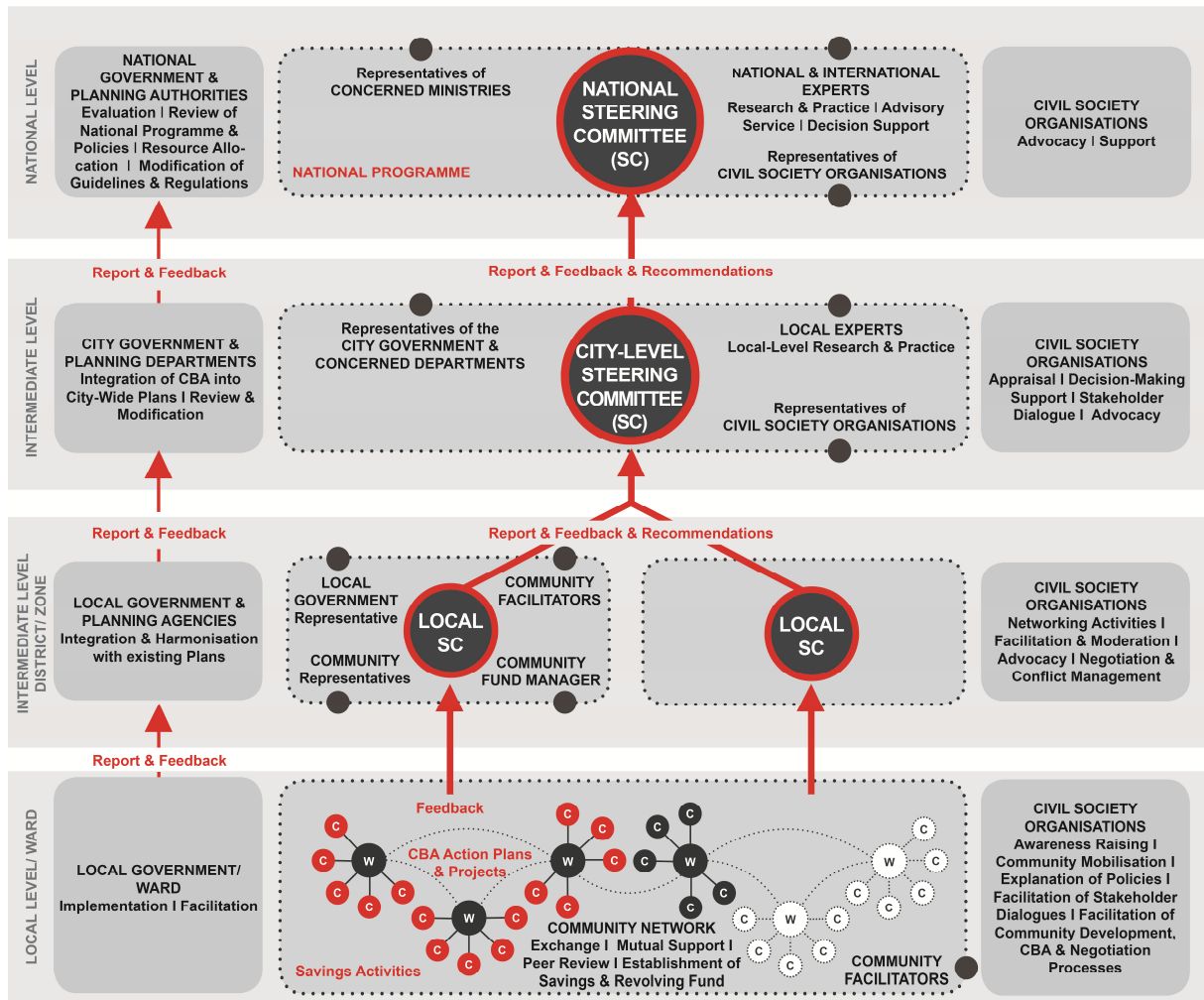


Fig. 4-34: Bottom-Up Organisation within the CBA-GMM Governance Approach
(own figure)

4.4.3.3 Roles and Responsibilities of Stakeholders

4.4.3.3.1 National Level

The national level is the highest decision-making level. Here, strategic decisions regarding the enablement of CBA activities are taken. Stakeholders involved at the national level are concerned ministries, national and international experts and policy advisors, researchers and climate scientists as well as representatives of community networks and CSOs that have experience with CBA at the local as well as at the international level. (cf. Fig. 4-35)

National-level activities mainly focus on the development of policies. With regard to CBA, government actors and decision-makers must be aware of climate change and of the poten-

tials of people-centred approaches to adaptation; political will and commitment must be developed as a precondition for the creation of a suitable policy framework.

As a basis of political decisions, nation-wide climate change impact assessments should be undertaken and scenarios for future climate change impacts should be commissioned to climate researchers and experts. In order to take action, the national level should develop an overarching national-level response strategy and suitable policy instruments; moreover, national-level decision-makers should allow for a governance approach that allows all stakeholders at all levels - from the national to the community level - to partner at eye-level and to develop adequate adaptation and response strategies.

The creation of a national programme is one option to encourage adaptation activities at the local levels - at the city or province, district or community level; the scope of the national programme needs to be determined as well as objectives and targets, performance indicators and expected results as well as schedules and timeframes for programme implementation.

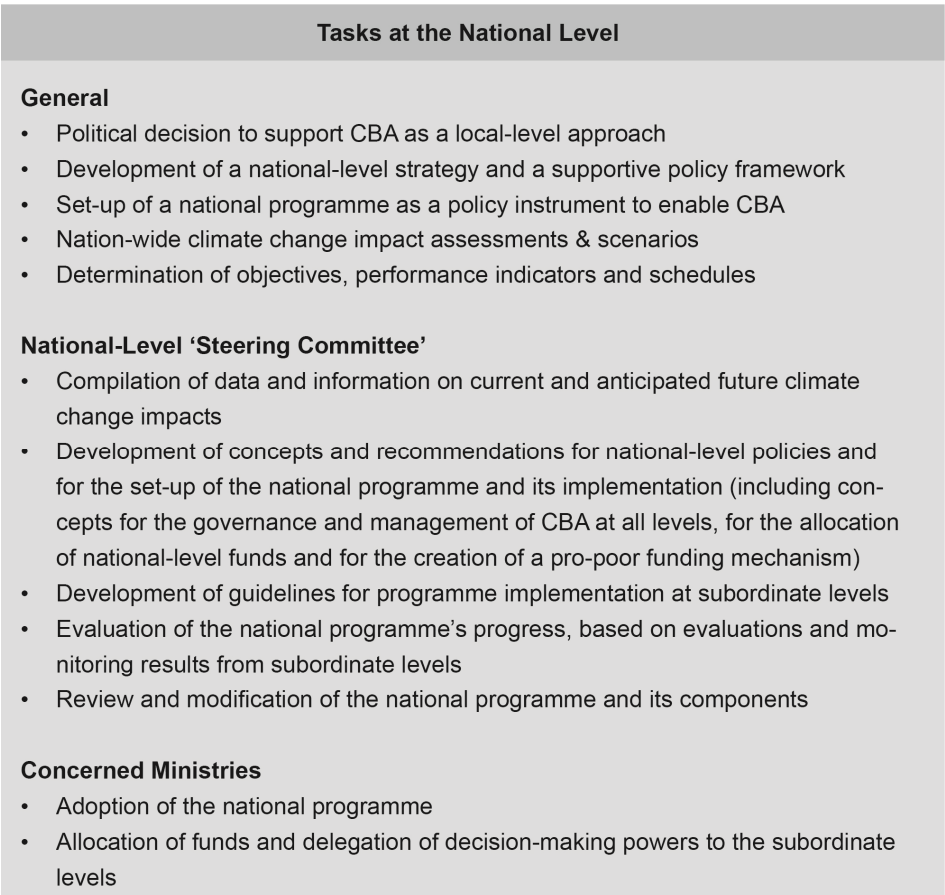


Fig. 4-35: Tasks at the National Level
(own figure)

In order to develop the concept for the envisaged national programme, its components and implementation, a national-level working group - or a national 'steering committee' - should be established. This national-level working group should ideally be composed of representatives of relevant ministries, selected national and international experts, scientists and researchers active in the field of climate change and adaptation as well as of community networks and CSOs that are experienced in the field of advocacy and facilitation. This working group or 'steering committee' should be responsible for the compilation of relevant information concerning climate change and for the consultation of local and international experts. Based on the expertise of its members, the 'steering committee' should elaborate concepts and recommendations for national-level policies, for the set-up of the national programme and for the management of its implementation, for the establishment of a supportive governance system and for the allocation of national-level funds as well as for the creation of a pro-poor funding mechanism. Moreover, the national-level working group or 'steering committee' should develop guidelines for the programme implementation at the subordinate levels.

Besides, the national-level working group or 'steering committee' should have operational tasks, such as the collection and evaluation of feedback from all subordinate levels in order to monitor the national programme's progress, success and effectiveness and in order to review and modify the set-up of the national programme and its components.

The ministry in charge should adopt the national programme and allocate funds for its implementation to subordinate levels, e.g. to cover additional personnel costs and to provide 'seed funds' for savings and revolving funds established at the community, district or even at the city level. Going along with the distribution of funds, decision-making powers need to be delegated to the city-level authorities and city-level 'steering committees', to local 'steering committees' as well as to communities and their organisations. However, the assignment of financial resources and decision-making tasks to subordinate levels needs to correspond with their capabilities. Here, the national level has the responsibility to avoid the overburdening of institutions and stakeholders at subordinate levels.

4.4.3.3.2 City Level

The national programme is a policy instrument to stimulate voluntary action at subordinate levels. Thus, city authorities freely decide about their participation in the programme. The city level is the first intermediary level between the national-level programme and local-level ac-

tivities. The city level should be concerned with the development of a city-level strategy to implement the national programme and thus, with the development of a strategy to foster CBA at the city level and to integrate CBA into city-level spatial plans, socio-economic development and adaptation plans, among others. This integration also involves the development of a policy instrument to guarantee participating communities secure tenure for a fixed period of time. Security of tenure is particularly important where communities are faced with the risk of eviction due to high development pressure; CBA activities should not be fostered in areas that are foreseen for redevelopment projects in the near future.

City-level authorities and other stakeholders at the city-level should integrate their tasks determined by the national programme into their general work procedures. Similarly to the working group at the national level, a city-level working group or ‘steering committee’ should be established that consists of representatives of all relevant stakeholder groups, e.g. city authorities and departments, climate change experts, CSOs and representatives of community organisations and networks. The city-level ‘steering committee’ should be assigned with clear decision-making responsibilities regarding the implementation of the national programme and provided with funds to cover expenses and suspension of earnings. This ‘steering committee’ should remain flexible as it may be extended or changed in the course of the programme implementation.

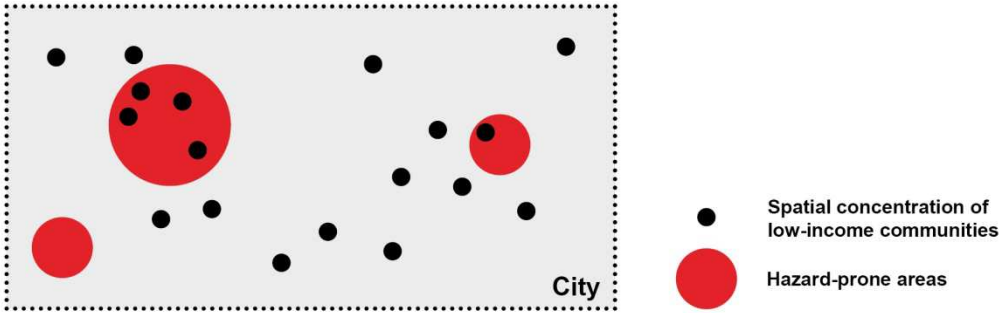


Fig. 4-36: Identification of Affected Communities with Limited Resources to Respond
(own figure)

Based on the guidelines provided by the national-level, city authorities and the city-level working group or ‘steering committee’ should undertake city-level assessments in order to identify local climate change impacts and most vulnerable groups within the city area (cf. Fig. 4-36). In a subsequent step, the ‘steering committee’ should develop a strategic plan to support CBA at the city level and, in ideal cases, generate a ‘zoning plan’, which determines ‘zones’ with different degrees of susceptibility to hazards and concentrations of vulnerable

population groups and eventually, needs for intervention. However, where the development of a 'zoning plan' appears to be a complicated matter, or where the 'zones' identified are rather large, administrative divisions, such as districts or wards, may be applied.

In an early stage of programme development at the national-level, the city-level 'steering committee' should identify vulnerable communities, who are willing to voluntarily undertake CBA pilot activities, and provide support. Later on, after the implementation and evaluation of the initial CBA pilot activities, the city-level strategy should focus on the out-scaling of the pilot activities. With an increasing number of CBA projects at the community level, local working groups or 'steering committees' at the 'zone' or district level should be established in order to respond to the growing complexity of the management and governance of CBA projects. These local 'steering committees' should support and coordinate local activities within their sphere of influence and develop locally adequate approaches and support mechanisms. The city-level 'steering committee' should guide and coordinate the work of local 'steering committees'.

Tasks at the City Level
<p>General</p> <ul style="list-style-type: none"> • Voluntary participation in the national programme • Development of a city-level strategy to implement the national programme and to enable CBA • Integration of CBA as a bottom-up approach into other city-level policies and plans • City-wide climate change impact assessments & scenarios • Determination of objectives, performance indicators and schedules <p>City-Level 'Steering Committee'</p> <ul style="list-style-type: none"> • Identification of hazard-prone areas and vulnerable communities • Development of a city-level strategy and a 'zoning' plan • Initiation of CBA pilot projects as 'learning laboratories' • Development of an out-scaling strategy • Encouragement of the establishment of local 'steering committees' at the 'zone' or district level to coordinate, govern and manage the increasing number of CBA projects • Development of guidelines for the work of local 'steering committees' • Approval of local CBA projects (highest level) • Administration and distribution of 'seed funds' • Collection of evaluation reports and feedback from the subordinate levels • Constant evaluation, review and modification of the city-level strategy • Reporting to the national-level 'steering committee' and compilation of recommendations for the modification of the national programme

Fig. 4-37: Tasks at the City Level
(own figure)

The city-level 'steering committee' is the highest committee to collect, comment on and approve community-level CBA projects. The approval is needed in order to guarantee that CBA projects are sustainable in the long-term and do not violate 'zone' or district-level regulations agreed upon by all participating communities. After getting approval, communities may obtain loans from the local collective savings and revolving fund. Ideally, the city-level 'steering committee' should also administer the funds to support community-level adaptation activities and channel 'seed funds' to collective savings funds established at 'zone' or district-level.

The city-level 'steering committee' should collect feedback and evaluation reports from subordinate local 'steering committees' and summarise the main findings and recommendations. Based on the results, the city-level 'steering committee' should revise and modify its own strategic approach and summarise evaluation results, which should be submitted to the national level 'steering committee'. The city-level 'steering committee' is in charge of organising

mass learning and exchange events bringing together communities and relevant stakeholders from different parts of one city as well as communities and stakeholders from different cities. (cf. Fig. 4-37)

4.4.3.3.3 'Zone' or District Level

The number and sizes of 'zones' are determined by the city-level 'steering committee', dependent on the need for action. Where 'zones' cannot be determined at the city level, or where their spatial expansion is too large, 'zones' may be subdivided into their administrative units, such as districts. However, similarly to the city level, activities at 'zone' or district level are voluntary.

Ideally, each 'zone' affected by climate change impacts and frequent hazards should be supported through a local 'steering committee', whose work is guided by the city-level 'steering committee'. This local 'steering committee' should be a rather flexible group of individuals, representatives of local authorities, experts, community-architects or builders, locally engaged CSOs and active community representatives; the composition of this local 'steering committee' may be changed according to local requirements. The local 'steering committee' should support and coordinate individual CBA projects and ensure that individual CBA initiatives do not disturb or nullify each other.

This horizontal coordination requires the negotiation of all participating communities located within one 'zone' or district and among neighbouring communities that belong to different 'zones' or districts. In order to gain an overview, the negotiation process at the 'zone' or district level should start with a short summary of climate change impacts faced by each participating community, local challenges, available capacities and resources. Through negotiation and consensus building, communities should arrive at an agreement regarding the scope of CBA measures and develop a regulation for CBA activities within their 'zone' or district. The local 'steering committee' supports this negotiation process through moderation and mediation. (cf. Fig. 4-38)

Tasks at the 'Zone' or District Level
<p>General</p> <ul style="list-style-type: none"> • Coordination and direct facilitation of local CBA activities • Moderation of negotiation processes between different communities
<p>Local 'Steering Committee'</p> <ul style="list-style-type: none"> • 'Zone' or district-level participatory impact assessments • Development of a locally relevant strategy and methodology for the coordination and facilitation of the local activities • Awareness-raising and community mobilisation • Organisation of 'zone' or district-wide community coordination workshops to determine the scope of CBA activities and to formulate a regulation • Organisation of community workshops and facilitation of action planning activities • Provision of assistance during the implementation phase • Provision of assistance to community savings groups and fund managers of community savings and revolving funds • Provision of support for the formulation of financial project proposals • Pre-approval of financial project proposals • Support of monitoring and evaluation activities • Constant monitoring and evaluation of the 'zone' or district-level activities, modification of approaches and methodologies • Formulation of feedback and recommendations for the city and national level

Fig. 4-38: Tasks at the 'Zone' or District Level
(own figure)

Besides, local 'steering committees' should help to moderate community workshops, decision-making and action planning processes; they should also support implementation, monitoring and evaluation activities. Moreover, the local 'steering committees' should develop a methodology and related participatory tools to encourage local communities to plan and implement CBA activities. Experts involved in local 'steering committees', such as community architects and CSOs, should provide technical assistance during the planning and construction phase of physical measures. Local 'steering committees' should undertake their own monitoring and evaluation procedures in order to improve their work and compose recommendations for the city and national-level 'steering committee'.

The 'zone' or district level is the first level to establish a collective savings and revolving fund, a fund that is composed of savings from individual community savings groups. The 'seed funds' provided by the government should be directly channelled to these funds. The fund management should be undertaken by a board consisting of all community savings fund managers. The local 'steering committee' should facilitate the management board's work.

As local 'steering committees' directly facilitate action-planning processes, they should also support the composition of CBA project proposals. These proposals need to be pre-approved by the local 'steering committee' and finally approved by the city-level 'steering committee'. After approval, the community savings group may take a loan from the collective savings and revolving fund for the implementation of their CBA activities.

Local 'steering committees' should also initiate community-learning and 'peer learning' in order to share and disseminate experiences and lessons learnt. In order to do that, local 'steering committees' should conduct regular networking meetings with all participating communities to create a platform for mutual support and exchange. Local 'steering committees' should also disseminate locally applied methodologies and results achieved.

4.4.3.3.4 Community Level

The community level is the level where actual CBA measures are developed and implemented. Guided by local 'steering committees' and facilitators, communities should undertake experience-based assessments of local climate change impacts, of their local capacities and resources and develop their own 'action plans' to respond - in accordance with the regulation developed at the 'zone' or district-level. Moreover, communities should coordinate their action plans with those of neighbouring community groups in order to avoid negative interactions. After the implementation of the 'action plans' and measures, the communities should also monitor and evaluate the progress and success of their activities and pass on related information to their local 'steering committees'.

Communities should voluntarily set up savings activities at the individual and community level in order to be able attend to small-scale measures and emergency needs. However, if they join larger collective savings and revolving funds at the 'zone' or district level, or even at the city level, they may benefit from low-interest loans for the implementation of larger and more costly structural adaptation measures. In order to become eligible for loans from the collective savings and revolving fund, the communities need to develop a short CBA project proposal including a financial budget estimation that needs to be approved by the local as well as by the city-level 'steering committee'. After receiving the approval, the community may take a loan from the fund.

All participating communities should become part of a loosely organised community-network and benefit from mutual learning and support; through networking, CBA activities can easily

be promoted and coordinated by communities themselves. Community representatives are also important members of local ‘steering committees’ and eventually, of city-level ‘steering committees’ as they are aware of poor communities’ living conditions, resources, capacities and development priorities. Moreover, communities and their representatives should be encouraged to participate in mass learning events and to share their knowledge. Experienced communities should undertake ‘peer evaluations’; they should review the plans, projects and project results of other rather inexperienced communities and provide assistance. (cf. Fig. 4-39)

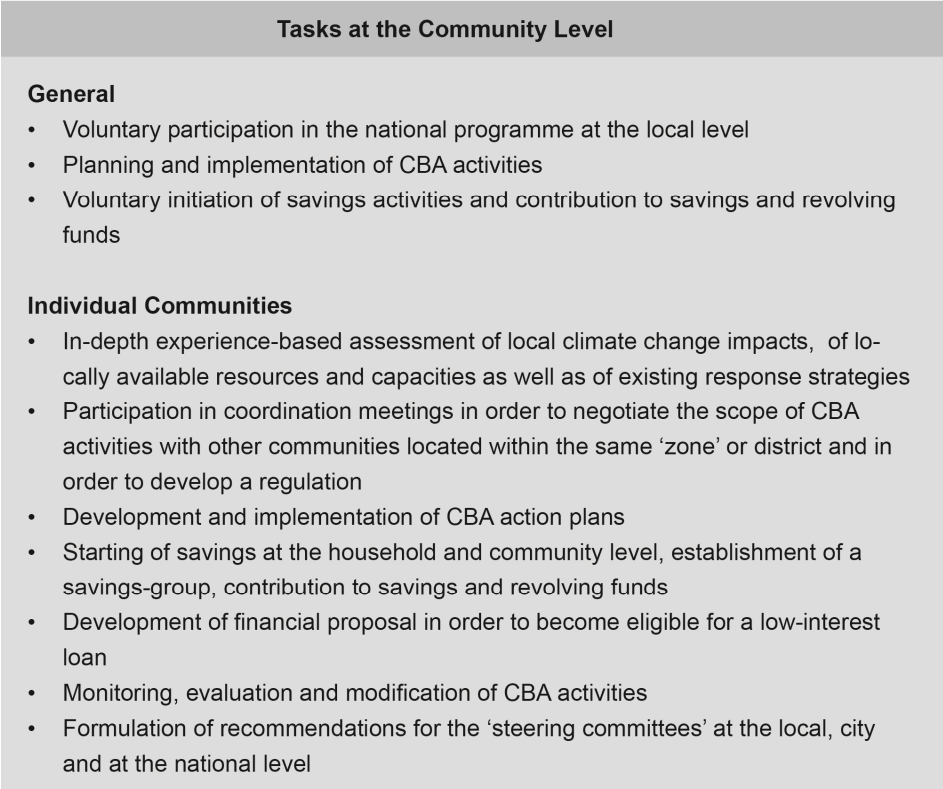


Fig. 4-39: Tasks at the Community Level
(own figure)

4.4.4 Management Approach

4.4.4.1 Stages in Programme Set-Up

The setting up of a national programme is a complex and time-consuming process. In the following, the programme set-up phase is divided up into three stages: the ‘assessment stage’ (undertaken during the 1st year), the ‘pilot stage’ (carried out during the 2nd and 3rd

year) and the 'programming stage' (conducted during the 4th year). The duration of the single stages may vary, as operational procedures are strongly dependent on local conditions. The entire process is illustrated in Fig. 4-40.

4.4.4.1.1 Assessment Stage (1st year)

The 'assessment stage' should start with the establishment of a working group at the national level, which may later be transformed into a rather formalised 'steering committee'. The tasks of this working group can be summarised as the assessment of current climate change impacts, the commissioning of scenarios to project future climate change impacts and the identification of target areas, e.g. regions and cities that are and will be most affected by climate change impacts and that need immediate attention. In these areas, preparatory studies should be undertaken in a next step in order to identify the degree of the local population's vulnerability to climate change, locally available capacities and resources to respond as well as existing coping and adaptation strategies. Based on this study, the national-level working group should estimate the scope of local CBA activities, identify needs for facilitation and institutional support, define clear objectives for the national programme and set realistic targets for the following 'pilot stage'.

4.4.4.1.2 Pilot Stage (2nd – 3rd year)

At that point, the national-level working group needs to initiate pilot projects in order to gain an insight into the living realities of vulnerable communities and experiences with CBA planning and implementation processes. The 'pilot stage' should be divided up into two sub-stages, an 'initial stage', which focuses on the implementation of single CBA pilot projects, and the 'out-scaling stage', which aims at replicating the initial CBA pilot projects and at developing and testing procedures for out-scaling. The 'pilot stage' may take two years and longer, dependent on local conditions.

Pilot Stage – Initial Stage

Based on the assessments undertaken at the earlier ‘assessment stage’, the national-level working group should select a number of pilot cities. The authority of each selected pilot city should be assigned with the establishment of a temporary city-level working group comprising of representatives of all stakeholder groups; this working group may become a rather formal ‘steering committee’ in the course of the process. The city-level working group should develop a strategic approach to plan and implement the pilot stage and select a limited number of pilot areas and communities willing to participate. Facilitated by CSOs and experts, single CBA pilot projects should be initiated, implemented and evaluated. The pilot projects’ results and lessons learnt should be summarised by the city-level working group and reported back to the national-level working group.

Pilot Stage – Out-Scaling (City-Level)

In this stage, the city-level working group should develop a strategy to expand the CBA activities through a structured approach, by replicating the pilot projects in other areas within the same city. In order to do that, the city area should be divided into districts or ‘zones’ that feature different degrees of susceptibility to a set of hazards. Pilot communities and other communities who are willing to join should be linked through networks: The initial pilot projects should act as showcases; experienced pilot communities should become advisors for other communities. At this stage, more localised working groups, as the predecessors of local ‘steering committees’, should be established to support CBA replication projects. The results of the CBA replication projects and lessons learnt should be compiled, shared among all stakeholders and working groups and submitted to the national level.

4.4.4.1.3 Programming Stage (4th year)

Based on the results gained from the ‘pilot stage’, the national programme can be set up at the national level. As a part of the ‘programming stage’, the national-level working group should be turned into the more formalised national-level ‘steering committee’. At first, a clear but rather abstract vision, broad objectives and realistic targets should be formulated. Moreover, a supportive policy framework, guidelines and management approaches for the implementation of the national programme should be developed. The national-level ‘steering committee’ should identify main target cities and provinces, prepare financial budgets, set a timeframe for programme implementation and develop a concept for reporting, monitoring

and evaluation. Besides, a concept for collective savings and revolving funds should be developed in cooperation with representatives of experienced CSOs and community organisations.

Similarly, the formerly rather loose city-level working groups should be transformed into city-level ‘steering committees’, which are provided with funds and clear decision-making powers and responsibilities. Based on the experiences made in the ‘pilot stage’, other cities may start their activities with the establishment of a ‘steering committee’ and with the development of a city-level strategy for the implementation of the national programme. Moreover, the city-level ‘steering committees’ should organise mass learning events to raise awareness among the wider public and encourage the formation of local ‘steering committees’ in main target areas, particular ‘zones’ or districts in order to facilitate the community-based activities.

NATIONAL LEVEL - Programme Development

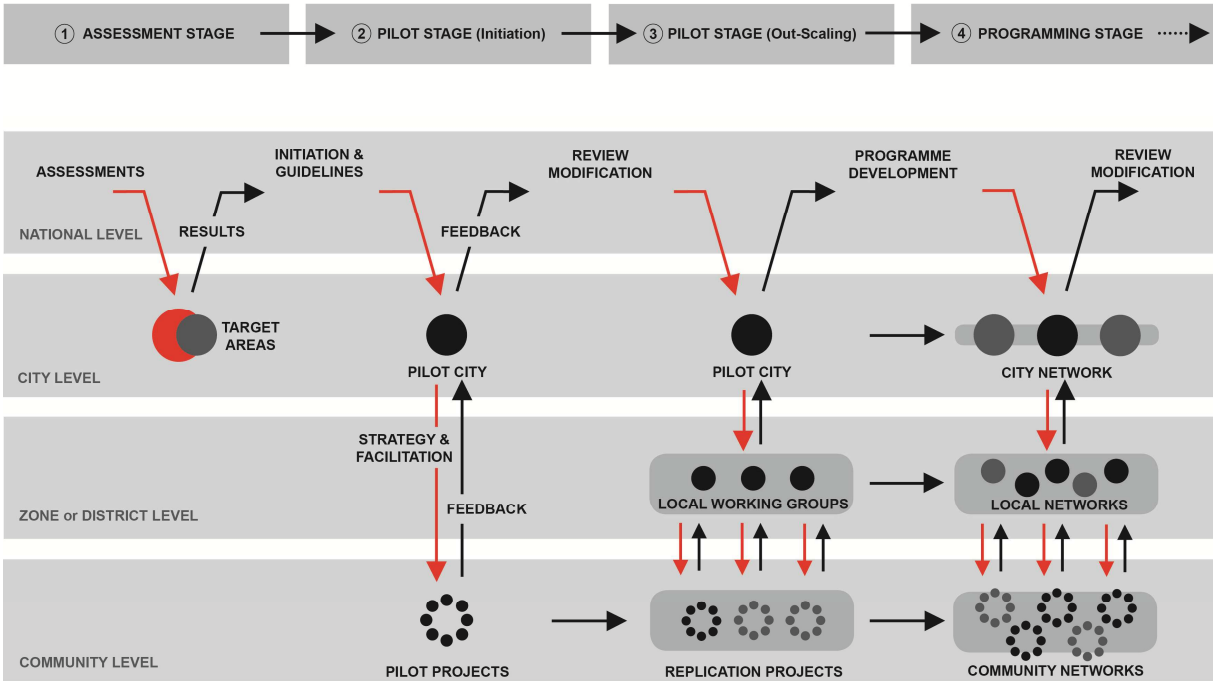


Fig. 4-40: Stages of Programme Development
(own figure)

At the ‘zone’ or district level, local ‘steering committees’ should bring together vulnerable communities that are willing to take action. Participatory, experience-based assessments should be undertaken and results should be summarised at the ‘zone’ or district level. In or-

der to avoid mutual disturbances, communities should negotiate and agree upon the scope of activities that may be undertaken within their particular 'zone' or district.

Based on this agreement, communities may undertake their individual CBA projects, including action planning activities, implementation, monitoring and evaluation. As a part of the process, communities should start voluntary savings activities to finance larger adaptation measures. Community savings groups may join collective savings and revolving funds managed at the 'zone' or district level, and later even at city level. Experienced communities have a stake in dissemination as well as in 'peer learning' and evaluation. Based on the monitoring and evaluation results summarised at all levels, the national programme should be constantly reviewed and modified.

4.4.4.2 Programme Management - Project Cycle Management (PCM)

PCM is applied as the underlying management structure to coordinate the set-up, implementation and modification of a national CBA programme at different levels. CBA and programme development are both long-term processes rather than single short-term projects; they will not be completed after passing through one project cycle. CBA is based on learning-by-doing; thus, there must be a constant interplay between assessments, the planning and implementation of adaptation strategies and plans, the evaluation of their positive or negative impacts and the strategy or plan adjustment at different levels. In order to maximise the effectiveness of the national programme, the project cycles of the different levels should be linked at strategic points. However, communication channels must be kept short and as non-bureaucratic as possible in order to avoid delays. (cf. Fig. 4-41)

4.4.4.2.1 1st Multi-Level Project Cycle: Initiation of Pilot-Projects

The first multi-level project cycle is completed during the 'initial stage' of the 'pilot stage'; this project cycle involves the national level, the city level as well as the community level. The first project cycle at the national level starts with a rather general nation-wide assessment of climate change impacts as a basis for the selection of pilot cities and regions. A concept is developed for 'piloting' CBA, including recommendations and general guidelines for the implementation at the city level. As the implementation of CBA pilot projects is then passed on to the city level, a gap remains in the national-level project cycle that will be closed after the implementation stage at city and community level.

The project cycle at the city level starts with a more detailed city-wide assessment of climate change impacts and with the identification of vulnerable communities willing to take action. Based on the results, a city strategy for the implementation and support of CBA pilot projects is developed based on the recommendations and guidelines provided by the national level. At this point, the implementation of pilot projects is again passed on to the next lower level, to the community level, which leaves a gap in the city-level project cycle.

After an initial awareness-raising phase, the community-level project cycle starts with an in-depth experience-based assessment of local climate change impacts as well as of resources and capacities to respond, followed by the development of an action plan and its implementation. Following the implementation phase, the individual CBA pilot projects are evaluated and the community-level strategy and related measures are reviewed and modified. At this point, the first community-level project cycle is completed.

Monitoring and evaluation results as well as feedback from the community-level are then communicated 'up-ward' and contribute to the evaluation of the 'pilot stage' at the city-level; here, the first city-level project cycle is completed. The city-level formulates feedback and recommendations for future CBA projects with regard to the city level as well as for a future national programme. With the review of the evaluation results and recommendations formulated by the city level, the national-level project cycle as well as the first multi-level project cycle is completed.

4.4.4.2.2 2nd Multi-Level Project Cycle: Out-Scaling of Pilot Projects

The second multi-level project cycle again starts at the national level. Based on the results of the first multi-level project cycle, the national-level strategy is modified and more detailed guidelines and recommendations for the implementation at the city level are developed. The implementation is then again passed on to the city level, leaving a gap in the national-level project cycle.

The second city-level project cycle starts with the modification of the city-level strategy based on evaluation of the previous project cycle on the one hand and on the modified guidelines and recommendations provided by the national level on the other. The city-level strategy in the second project cycle should also focus on the strategic replication, or out-scaling, of the initial CBA pilot projects. Thus, 'zoning' is undertaken in order to determine priority areas or districts for the out-scaling of CBA pilot projects and in order to establish an intermediary

level between the community and city level. In these 'zones' (or districts), local working groups are established and guidelines for their work are formulated; the facilitation and coordination of CBA activities is delegated to those local-level working groups.

The first project cycle of the local working groups - local working groups have not been present during the first multi-level project cycle - starts with a 'zone' or district-wide detailed assessment of local climate change impacts and most vulnerable groups, mainly undertaken through participatory action research. Each local working group develops a strategy and a methodology to initiate, guide and directly facilitate CBA replication projects, in accordance with the city-level guidelines and results of the previous evaluation phase. The local working groups coordinate different CBA replication projects within their 'zone' or district; they facilitate negotiation and consensus building among different communities and organise 'peer' evaluation events. Local working groups directly support individual CBA projects.

In principle, CBA replication projects at the community level follow the same process as initial CBA pilot projects; they involve experience-based assessments, action planning, implementation, monitoring and evaluation. At this point, the second community-level project cycle is completed. Based on the results of the community-level monitoring and evaluation, the local working groups evaluate their own work and formulate recommendations for future projects targeting the community and district or 'zone' level as well as for the city and for the national level. At this point, the first 'zone' or district-level project cycle is completed. Based on the feedback and on the evaluation results from the community-level as well as from the 'zone' or district level, the city-level strategy as well as the national-level strategy may be evaluated and modified. At this point, the second multi-level project cycle is completed. However, all projects that have been initiated at the local and community level may continue independently from the multi-level project cycles and follow their own schedules.

4.4.4.2.3 3rd Multi-Level Project Cycle: Programming Stage

Similarly to the previous ones, the third multi-level project cycle starts at the national level; experiences from previous pilot and replication projects are compiled based on the monitoring and evaluation results. Based on that, the concept for the national programme is developed, inclusive of a policy framework, a pro-poor funding mechanism, a governance and management approach as well as of guidelines for the programme's implementation at the local levels.

The third city-level project cycle starts with an assessment up-date and with the modification of the 'zoning' plan. Based on that, a city-level strategy for the implementation of the national programme is developed, based on previous experiences. Mass learning events are conducted in order to inform the wider public about the national programme and about the city-level strategy. Similar to earlier project cycles, the facilitation of CBA activities is delegated to subordinate levels.

The second project-cycle at the 'zone' or district level starts with the collection of the latest data and with the modification of the strategic and methodological approach to raise awareness, to initiate, support and directly facilitate CBA activities and negotiation processes among participating communities.

At the community level, the individual CBA projects follow the same project phases as previous pilot and replication projects. As in previous multi-level project cycles, the results of the evaluation phase are summarised and passed on to the 'zone' or district level, to the city level and later to the national level. After the evaluation at the national level, the third multi-level project cycle is completed. However, PCM should be continued at all levels.

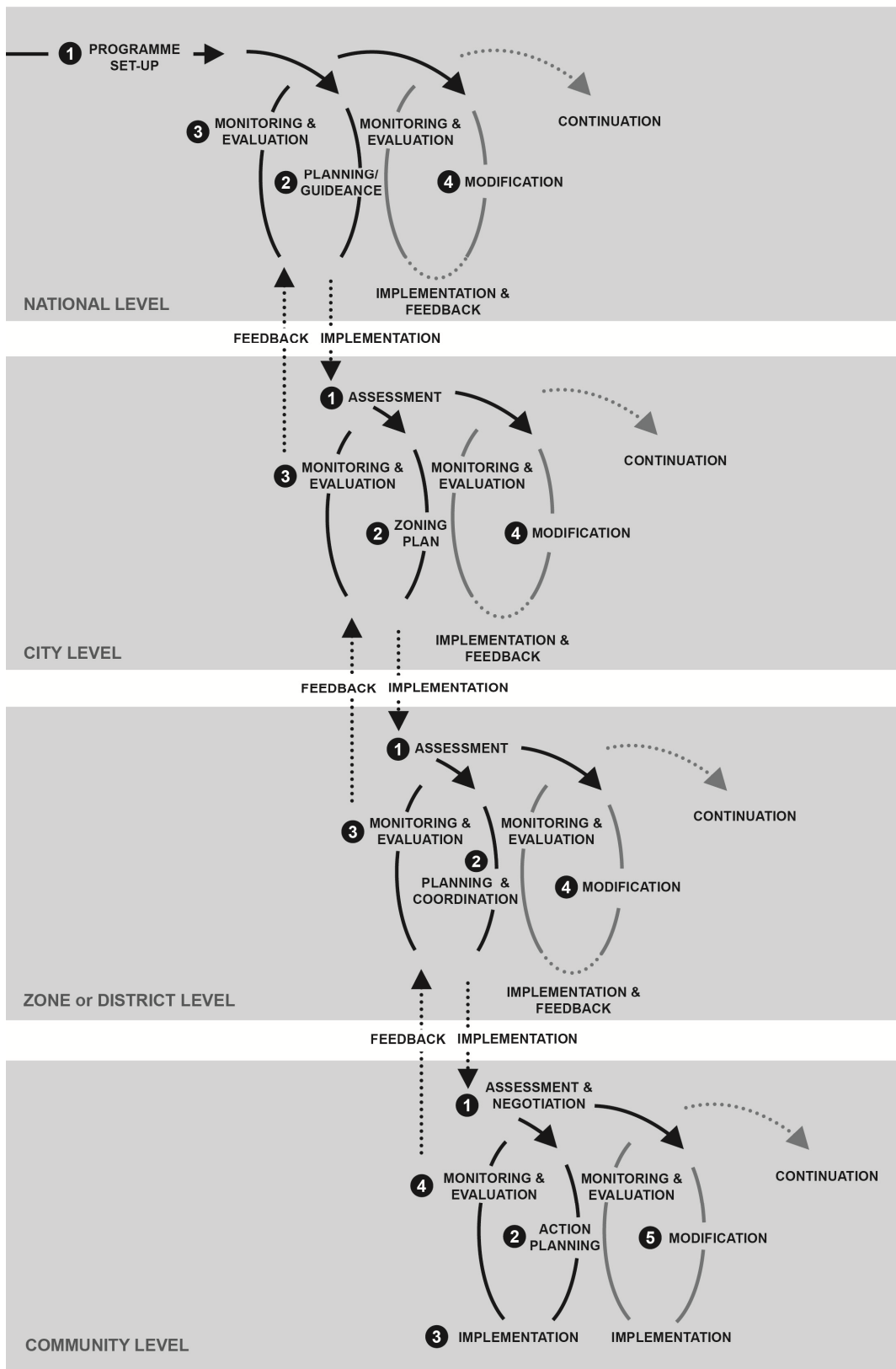


Fig. 4-41: Interplay of Processes at Different Levels
(own figure)

4.4.4.3 Replication, Out-scaling and Up-scaling

The concepts of replication and out-scaling of pilot projects slightly differ. While replication means the simple transfer of the CBA approach and methodology to another community or area, out-scaling is a rather strategic concept of spreading the CBA approach horizontally, in a coordinated way. In the context of the CBA-GMM, out-scaling becomes a part of the national programme's set-up process. Out-scaling starts with a successful pilot project which acts as a trigger and which is expanded all over the 'zone' or district. Out-scaling is coordinated by local 'steering committees'. Individual CBA activities are also coordinated with each other at the 'zone' or district level; here, participating communities jointly develop a regulation with regard to the scope of CBA in order to avoid mutual disturbances.

Within this rather ideal concept of a national programme, up-scaling is only relevant in its set-up phase, as here, the results of initial CBA pilot projects and replication projects contribute to programme development. After the national programme is established, the process of programme implementation at the city and local levels can be described as 'down-scaling'.

4.4.4.4 Dissemination, Learning and Capacity Building

4.4.4.4.1 Dissemination

Effective dissemination of experiences and lessons learnt is essential for the replication and out-scaling of CBA pilot projects as well as for the advancement of the entire national programme. The dissemination strategy developed for the national programme is divided up into programme-internal and programme-external dissemination activities.

Programme-internal dissemination should involve the communication of project results and lessons learnt within the partner structure of the national programme, among all stakeholders at all levels. Moreover, programme-internal dissemination should cover the formulation of recommendations for the continuation of the national programme at all levels as well as for future programme and project development.

Results and recommendations should also be shared among 'peer' groups. Communities within the same city and communities of different cities should exchange experiences and their local-level solutions. Different city-level 'steering committees' should support each other through the exchange of experiences with regard to city-level strategy development. Local

'steering committees' should share their approaches, methodologies and lessons learnt with each other.

Programme-external dissemination mainly aims at initiating the out-scaling of CBA at the community level, at the 'zone' or district level as well as at the city level. Programme-external dissemination should involve raising awareness among all relevant stakeholder groups including public authorities and the wider public. Moreover, results of CBA activities as well as successful strategies, approaches and methodologies developed during the pilot or out-scaling stage should be pooled and - together with revised recommendations and guidelines - disseminated through different target-group specific means of communication. The dissemination of successful demonstration projects is expected to encourage all concerned stakeholders to start CBA initiatives within their sphere of influence.

For the dissemination at the international level – e.g. in order to encourage other governments of neighbouring countries - policy recommendations may be formulated and discussed at international conferences and meetings. At the city level as well as at the 'zone' or district level, manuals may be composed that target different stakeholder groups, that trace successful approaches and that provide guidelines for their replication in other cities, 'zones' or districts. Potential stakeholder groups are decision-makers, CSOs and communities.

Besides manuals and official print media, local media, e.g. local radio broadcastings, leaflets, posters, artist work or theatre plays, may significantly contribute to the dissemination of successful CBA projects and approaches. Moreover, articles in online newspapers and the use of social networks help to attract attention, share information and to start initiatives all over the country or region.

Mass learning opportunities, such as networking meetings and conferences, are useful tools to connect all stakeholders and to encourage them to share their experiences on a more personal basis. These events may be undertaken for all stakeholder or 'peer' groups separately or else, for all stakeholders together, as an integrative conference. It is also advisable to invite practitioners from other countries to widen the perspective.

4.4.4.4.2 Learning & Capacity Building

The concept of the national programme features a distinction between learning and capacity building. Learning is derived from the inside of the national programme, from its processes,

results and lessons learnt at the respective levels, whereas capacity building and training are brought in from the outside, from external experts and trainers.

However, the national programme requires both, learning and capacity building. CBA, in particular at the community-level, evolves through learning-by-doing; the constant review and modification of CBA activities help to sort out ineffective adaptation strategies and to modify and strengthen the ones that are more effective. Mutual learning should be supported through mass learning and networking events, where experiences, successes and failures alike are put up for discussion. Nevertheless, capacity building and training are necessary in fields, where communities definitively lack expertise, e.g. with regard to alternative construction techniques, natural resource management or savings fund management.

Learning also takes place at higher levels through the continuous review and incorporation of experiences made and results achieved at all levels. However, the national programme should also address capacity building of stakeholders at all levels and of members of the 'steering committees' in particular. Training and capacity building may be provided by national and international experts as well as by experienced 'peers'.

4.5 Reflection

4.5.1 Meeting the Criteria set for the CBA-GMM

The concept developed for the CBA-GMM meets all criteria summarised in the 'set of criteria' for CBA. The CBA-GMM fosters multi-level decision-making (at the national level, city level, 'zone' or district level and at community level) and multi-level governance. Planning and decision-making is strongly decentralised; decision-making powers are distributed from the national level to the local levels in order to ensure that decisions are taken at the most adequate level. Decisions taken at different levels are based on negotiation and consensus building; they mutually influence each other. The CBA-GMM strongly fosters internal as well as external learning and capacity building at all levels. It also provides a viable concept for a pro-poor funding mechanism, which enables vulnerable communities for raise and manage funds for their own CBA projects. The CBA-GMM also incorporates a strategy for simple replication and out-scaling of CBA pilot projects. The CBA-GMM fosters assessments, strategy development and planning at all levels with the respective degree of detailing; the implemen-

tation of CBA activities is managed at the community level. Monitoring and evaluation as well as learning and capacity building activities are undertaken at all levels.

4.5.2 Alternative Options

Even though the CBA-GMM developed meets all criteria developed beforehand, modifications may be needed if the CBA-GMM is applied to a real-life context and rather non-ideal circumstances. This is particularly relevant, as the CBA-GMM requires a high degree of decentralisation and redistribution of decision-making powers from the national level to the city level and to community groups.

The CBA-GMM must also be flexible with regard to the funding mechanism. Where governments and civil society actors do not have much experience with participatory approaches and collective funding mechanisms, such as the Community Development Fund (CDF) fostered by ACCA, CBA activities may be supported by a funding mechanism based on the initial concept of the Baan Mankong programme, namely through the channelling of small loans to community savings groups. After 'experimenting' with savings groups and small-scale loans, collective funding mechanisms and CDFs may be developed, as a further step.

There may also be a need for the modification of the ideal-typical CBA-GMM if it is applied in countries, where bottom-up planning and community participation are rather innovative concepts. Here, the set-up phase of a national programme for CBA will probably need to be extended. Similar to ACCA projects, the pilot projects may also be initiated by CSOs in order to demonstrate local adaptive capacity and to encourage government support.

Moreover, the composition of the stakeholder coalitions and partnerships may vary. Communities should always be the core actors at the local level. However, the composition of the committees and working groups at the national, city and 'zone' or district level may vary, as their successful cooperation strongly depends on their working relationship, on capacities and resources as well as on their expertise and experience.

4.5.3 The CBA-GMM as a Flexible Concept

Based on the results of the Reflection Phase, the concept of the CBA-GMM may persist. The CBA-GMM should be considered to be a rather flexible concept that may be applied to different local conditions taking into account the local planning culture and power structures as

well as perspectives, resources and capacities of all stakeholders. The concept as it has been developed is particularly meant for the support and coordination of CBA activities in urban areas; however, with modifications, it may be transferred to rural areas, where the population density is much lower, the coordination of adaptation activities is less complicated and rules and regulations for the implementation of structural adaptation measures are less rigid.

5 Institutional Assessment

After the development of the 'CBA Governance Management Model' (CBA-GMM) based on ideal political and socio-economic preconditions, the applicability of the CBA-GMM to a real case - the case of Vietnam - shall be tested. This research stage - the 'institutional assessment' - is undertaken in order to identify the existing conditions for the implementation of CBA at the local level as well as for the institutionalisation of CBA as a bottom-up approach.

This chapter is structured into nine sub-chapters. The first three sub-chapters focus on the political-administrative system of Vietnam, on the public management and administrative approach as well as on the role of civil society in decision-making. The fourth sub-chapter is concerned with the concepts of urban governance and planning in Vietnam and with the integration of climate change concerns into urban planning. Sub-chapter number five focuses on past and contemporary approaches to public participation and self-management in Vietnam. The sub-chapters number six, seven and eight summarise strategies and policies to address climate change in the context of Vietnam, relevant institutions and stakeholder groups as well as planned and implemented climate change related activities. In the last sub-chapter, the findings of this 'institutional assessment' are elaborated, namely strengths, constraints and shortcomings for the implementation and institutionalisation of CBA in the context of Vietnam.

5.1 The Political and Administrative System of Vietnam

5.1.1 The Constitution of the Socialist Republic of Vietnam

Following Vietnam's declaration of independence from France in 1945, the National Assembly adopted the first of four Constitutions. The Constitutions of 1959, 1980 and 1992 were adopted under a single party state (Sidel 2002:48). In the 1980s, the Government of the Socialist Republic of Vietnam started the implementation of 'Doi Moi' - the politics of renovation - in order to transform the former centrally planned economy into a socialist-oriented market economy. The fourth and latest Constitution, adopted in 1992, reflects these changes and allows for a growing flexibility in economy and society (Ingle & Halimi 2007:96, Sidel 2002:49). This Constitution assures human rights to all citizens (The Socialist Republic of Vietnam of 1992: Article 50) and fundamental rights, including freedom of speech and free-

dom of press, the right to information as well as the right to assembly, association and demonstration - provided that the activities are not conflicting with the prevailing legal framework (ibid.: Article 69).

5.1.2 The National Assembly

The National Assembly is the “highest representative body of the people, the highest State authority in the Socialist Republic of Vietnam” (The Socialist Republic of Vietnam 1992: Article 83). The National Assembly is elected in nationwide elections for a period of five years (ibid.: Article 85) and meets twice per year (ibid.: Article 86). The National Assembly has a range of powers and duties, such as to make and amend laws, to take decisions regarding the national socio-economic development plan as well as regarding national, State and foreign policies (ibid.: Article 84). The National Assembly elects the members of the Standing Committee of the National Assembly, the President and the Vice-President (ibid.: Articles 102 and 107), the Prime Minister of the Government, the Chief Prosecutor of the Prime Minister, the Chief Justice of the Supreme People’s Court as well as Ministers and members of the Defence and Security Council (ibid.: Article 84). The Standing Committee of the National Assembly has the right to submit draft laws to the National Assembly (ibid.: Article 87).

5.1.3 The President and the Vice-President

The President is the Head of State. The President has the responsibilities and powers to promulgate the Constitution, the law and ordinances, to assume command of the armed forces as well as to give recommendations to the National Assembly concerning the election of the Vice-President, the Prime Minister, the Chief of Justice of the Supreme People’s Court and of the Chief Prosecutor of the People’s Inspectorate General. The President appoints, removes and dismisses the Ministers, Deputy Prime Ministers and other members of the Government (ibid.: Article 103) and has the right to submit draft laws to the National Assembly.

5.1.4 The Government

The Government is the highest administrative body of the Socialist Republic of Vietnam and the executive body of the National Assembly. It comprises of the Prime Minister, Deputy Prime Ministers, Ministers and other members (ibid.: Article 110). The Government directs

the work of Ministries and related bodies, of Government bodies and of the People’s Committees at all levels (ibid.: Article 109). The Government submits draft laws, statues and other bills to the Standing Committee of the National Assembly (ibid.: Article 112, The Socialist Republic of Vietnam 2010). The Prime Minister guides the work of the Government and of the People’s Committees and reports to the people (The Socialist Republic of Vietnam 1992: Article 114).

5.1.5 Judicial Bodies

The Supreme People’s Courts, the Military Tribunals and other Tribunals are the judicial bodies of the Socialist Republic of Vietnam. The People’s Court and the People’s Inspectorate in particular are assigned “to protect the lives, property, freedom, honour and dignity of citizens” (The Socialist Republic of Vietnam 1992: Article 126).

5.1.6 Administration, People’s Councils and People’s Committees

Local public administrations are the embodiment of the State and serve to implement national-level policies and plans at the local level. The Vietnamese administrative system is organised in four levels, each having a People’s Council and a People’s Committee (Reyes & Valencia 2003:9).

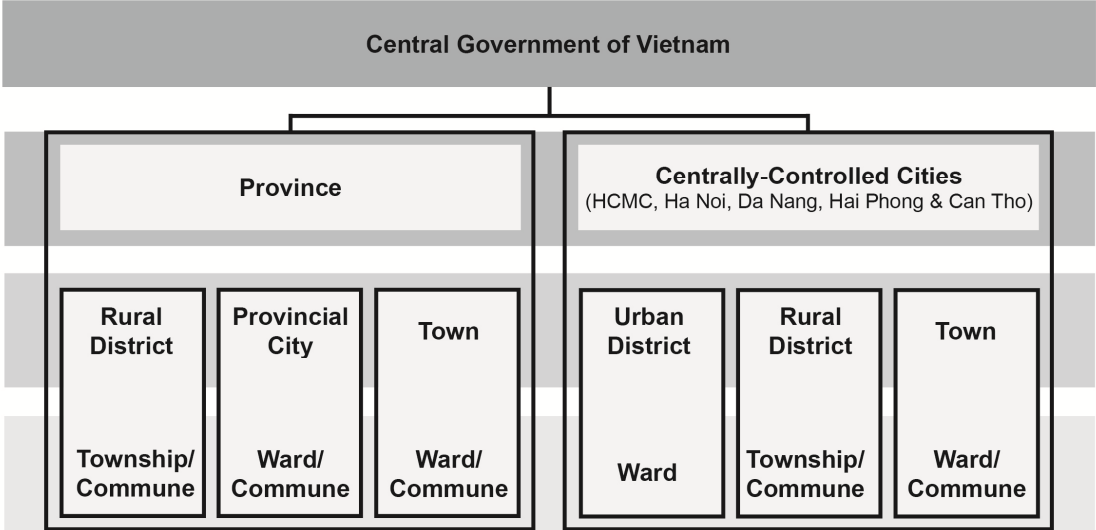


Fig. 5-1: Administrative Sub-Divisions of Provinces and Centrally-Controlled Cities
(adapted from Nguyen Ngoc Hien n.d.:3)

In Vietnam, there are 58 provinces and five cities under national supervision (Albrecht et al. 2010:18). Centrally-controlled cities, HCMC, Ha Noi, Da Nang, Hai Phong and Can Tho, are divided up into urban and rural districts (Quan, Huyen) or towns. Rural districts of centrally-controlled cities are then sub-divided into townships and communes, urban districts are sub-divided into wards (Phuong) whereas towns are sub-divided into communes. Urban wards are again divided into sub-wards (Khu pho). The smallest units under the sub-wards, the neighbourhood units or 'neighbourhood solidarity cells' (to dan pho) do not have any administrative function. Provinces, on the other hand, are divided up into rural districts, provincial cities and towns. Rural districts of provinces are further sub-divided into townships and communes, provincial cities and towns into wards and communes. Hamlets (ap), the units established under the communes, do not have any administrative functions, similarly to neighbourhood units in major cities. (Van Canh Nguyen 1983:90, International Business Publications 2008:125, Tran Viet My 2004:246ff., Reyes & Valencia 2003:9ff.) HCMC, as a centrally-controlled city, is divided up into 22 districts. A commune has a population size of about 10,000 to 30,000 people; in HCMC, some wards even extend the size of 50,000 people (Tran Viet My 2004:247). (cf. Fig. 5-1)

The People's Councils are the authorities of the State and elected by the local population (The Socialist Republic of Vietnam 1992: Article 119). The People's Councils are responsible for the observance of the laws within their localities. They adopt resolutions on socio-economic development plans and budgets, on national defence and local security as well as on measures to improve local living conditions (ibid.: Article 120). Representatives of the People's Council keep a close relationship with the people; they report to the local population and attend to requests, petitions, complaints and denunciations (ibid.: Article 121).

People's Councils elect People's Committees (PCs) as their executive agencies. PCs are the administrative State bodies and thus, responsible for the implementation of the Constitution and for the enforcement of State policies and resolutions of the People's Councils (ibid.: Article 123). PCs take decisions within their sphere of influence at the respective levels, e.g. on plans for socio-economic development and major projects, and supervise their implementation (ibid.: Article 124). PCs decide on annual budgets and mobilise human as well as financial resources to address local development issues (The Socialist Republic of Vietnam 2010:127ff.).

5.1.7 The Communist Party, the National Congress and the Politburo

The Socialist Republic of Vietnam is a single-party state. The Communist Party (CPV) of Vietnam was founded in 1930 and came to power in 1976, after the unification of Vietnam. CPV, which currently has about 3.6 million members, has a leading role in all institutions related to the government and to politics as well as in society. The National Congress of the CPV meets every five years in order to decide and frame the overall “politically guided” (Ingle & Halimi 2007:96) direction of the nation and to formalise policies (ibid., APCO Worldwide 2011:3).

At the National Congress, the highest authority within the CPV, the Central Committee, is elected. The Central Committee guides and controls the implementation of the Party’s resolutions. The Central Committee’s official members hold key positions in the Party, in government institutions at the central and provincial level, in the National Assembly and in the Vietnam Fatherland Front (APCO Worldwide 2011:3). The Central Committee elects the Politburo, the most powerful body of the country. The Politburo determines the strategic direction of the government policy and assigns its members to high leadership positions (e.g. the Prime Minister, the President and the Chairman of the National Assembly) (ibid.).

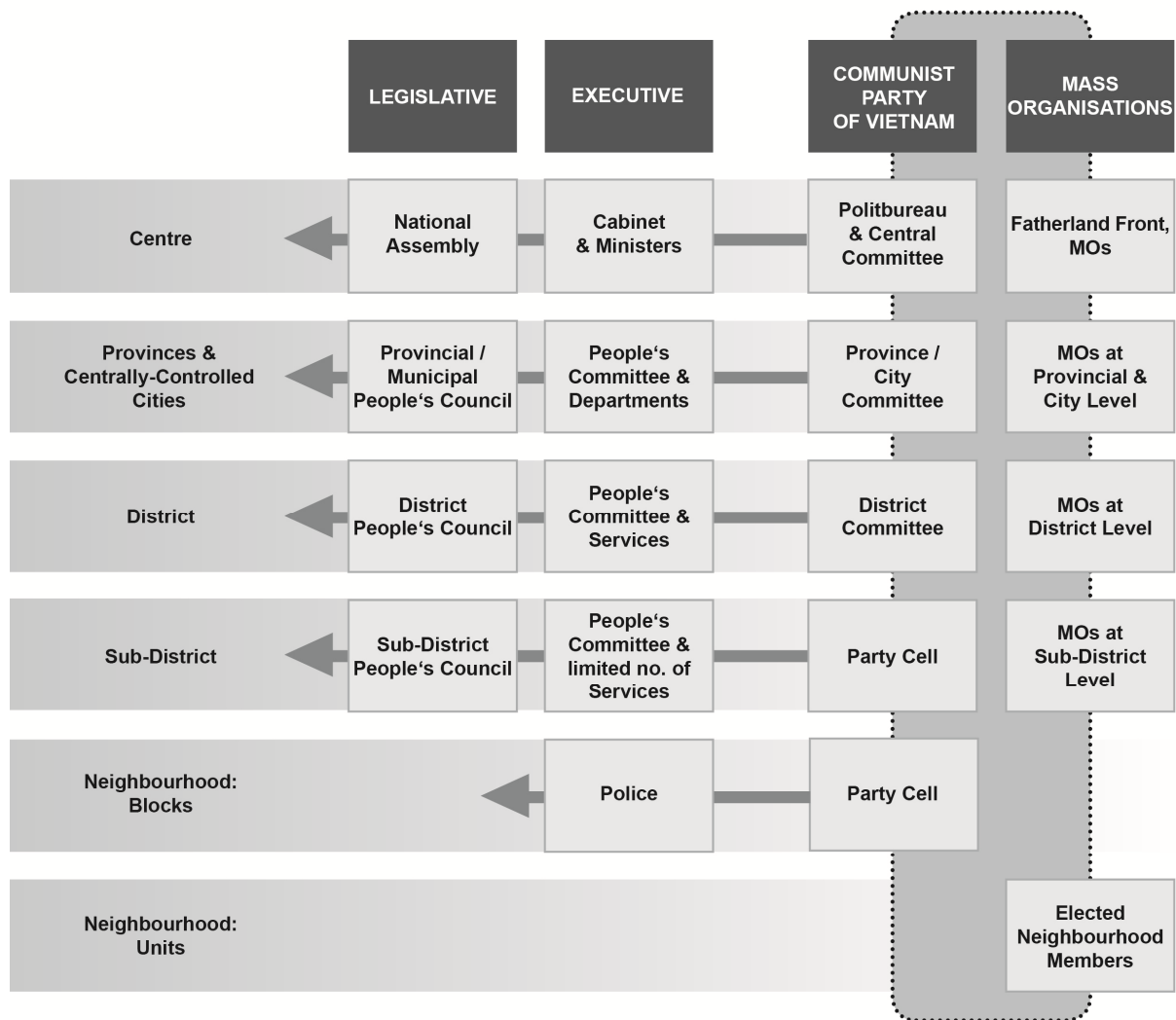


Fig. 5-2: The Hierarchical Structure of the Vietnamese Political System
(adapted from Thai Thi Ngoc Du 2001:2)

These facts strongly reflect the power of the CPV to influence and control decisions of the National Assembly and actions of the Government. The Party’s network is also fully established within society; the Fatherland Front, the umbrella organisation of all MOs, is an intermediary actor between the Party and the people. Thus, the Party may exercise control over society and its leadership power is “omnipresent and very real” (Albrecht et al. 2010:21). (cf. Fig. 5-2)

5.2 Public Management and Administration

In the 1980s, Vietnam entered a phase of transformation. With the opening of the country in the course of the Doi Moi policy, the economic system was transformed from a centrally planned economy to a socialist-oriented market economy. Since then, efforts have been undertaken to improve the effectiveness and accountability of the public administration and to allow for more participation of the private sector, of civil society and citizens in decision-making processes. This sub-chapter attends to the current public management and administrative approach of Vietnam.

5.2.1 Doi Moi – The Policy of Renovation

In the late 1980s, along with the dissolution of the Soviet Union, the centrally planned command system in Vietnam came to an end. For the first time, it was officially recognised that the system of central planning, which was strongly dependent on foreign aid provided by the Soviet Union, failed to bring about development and prosperity. Consequently, the Sixth National Congress of the Communist Party, which convened in December 1986, initiated the policy of renovation and economic reform referred to as ‘Doi Moi’. The ‘Doi Moi’ policy aimed at transforming the Soviet-style centrally planned economy into a socialist-oriented market economy, in which the private sector was allowed to compete with the state in so called ‘non-strategic areas’. Moreover, Vietnam had to seek new political alliances. As a consequence, the Vietnamese economy started to open up; the United States of America and Vietnam normalised their relations after an embargo which had followed the American War and which had lasted for two decades (Ingle & Halimi 2007:96, Perkins & Vu Thanh Tu Anh 2010:2, CIVICUS et al. 2006:10).

Along with ‘Doi Moi’, a range of policy changes and innovations were adopted, which led to a fast growth of the Vietnamese economy, such as the removal of price control on goods and services, the reduction of controls on the foreign exchange market and the permission of private business (Le Thanh Nghiep & Le Huu Quy 2000:318, National Centre for Social Sciences and Humanities & UNDP 2001:iii).

5.2.2 Public Management Approach

The ‘politically guided’ public management approach of Vietnam is characterised by a strong hierarchical and top-down oriented decision-making structure that hampers bottom-up plan-

ning and genuine people's participation (Ingle & Halimi 2007:96). Nevertheless, a growing demand for innovative management approaches and policies has been recognised in recent years. Vietnam's 'National Strategy for Environmental Protection' for example calls for the participation of the "whole society, all levels of the authority, sectors, organisations, communities and all citizens" (The Socialist Republic of Vietnam & MoNRE 2003:10). However, concrete steps to put this strategy into practice have not yet been undertaken. There is still a disjunction between policies formulated by the Central Government that aim at fostering decentralisation and the improvement of local governance on the one hand and their actual implementation at the local level on the other (Ingle & Halimi 2007:97, Fritzen 2006:2ff.).

5.2.3 Public Administration Reform

In order to improve Vietnam's public administration system to meet the demands of a socialist-oriented market economy, a public administration reform (PAR) was initiated in 1990s. The reform aimed at establishing a democratic, effective and efficient public administration system (UNDP 2009:5). PAR covers key themes, such as public finance management, institutional and governmental structure reform as well as human resource development (The Socialist Republic of Vietnam & the Prime Minister of Government 2001, UNDP 2009:9ff.). Over the past years, PAR has brought forward significant improvements in the organisation and operation of the public administration system. However, despite these improvements, the PAR process has been slow and the implemented reforms do not yet fulfil the requirements of the 'Doi Moi' politics. Significant shortcomings and weaknesses remain, such as unsystematic and inconsistent institutions, unprogressive operation styles as well as unclear responsibilities of public institutions at the macro level (UNDP 2009:5ff).

5.3 The Role of Civil Society

5.3.1 The Concept of 'Civil Society' in the Vietnamese Context

Contemporary concepts of 'civil society' vary considerably, depending on the authors who address the theme and on their perspectives as scholars, activists or practitioners (Pearce 2000:15ff.). Scholte (2004:214) for example describes 'civil society' "as a political space where voluntary associations seek, from outside political parties, to shape the rules that govern one or the other aspect of social life. Civil society groups bring citizens together non-

coercively in deliberate attempts to mould the formal laws and informal norms that regulate social interaction.” Authors, such as Scholte (ibid.), define ‘civil society’ from a western-centric perspective and highlight the relative independence of ‘civil society’ from state finance and interference. However, the concept of ‘civil society’ in the context of Vietnam has to be developed based on different standards.

‘Civil society’ is a relatively new concept in Vietnam; it is used as a collective term for organisations and initiatives - which are either state-sponsored or not - such as mass organisations (MOs), charities, local or international non-governmental organisations (NGOs), community-based organisations (CBOs), national and international donors, independent policy research and training organisations as well as professional and business associations (Sabharwal & Thanh Thi Thien Huong 2005, Nørlund 2007:74ff). CIVICUS (2005 in CIVICUS et al. 2006:18) defines ‘civil society’ in the Vietnamese context as “the arena between the family, state and the market, where people associate to advance common interests” and to seek influence. However, the boundaries between ‘civil society’, the market, the state and the family are not clearly defined in the context of Vietnam, similar to other countries with dominating state structures (CIVICUS et al. 2006:18ff.). Thus, ‘civil society’ in Vietnam remains an elusive concept, as ‘civil society’ also involves organisations that are ideologically and often financially linked to the CPV.

5.3.2 The Historical Development of ‘Civil Society’ in Vietnam

Vietnamese village communities have a long democratic tradition that was not destroyed despite frequent foreign invasions. In 1954, after Vietnam’s internationally recognised independence, social reforms were implemented in North Vietnam. A centrally planned economy was established and, along with that, agricultural cooperatives and state-owned companies. Existing CSOs were integrated into the single-party system. In South Vietnam, socialist reforms started in 1976, after the American War¹³ and the reunification of the country. Similar to the earlier procedures in North Vietnam, existing civil society groupings were transformed and converted into MOs (CIVICUS et al. 2006:24).

As a result of the ‘Doi Moi’ reforms in the late 1980s and early 1990s, the Vietnamese society opened up and the private sector developed (CIVICUS et al. 2006:10). During the 1990s, foreign development agencies and multi-lateral banks intensified their cooperation with the

¹³ In Vietnam, the ‘Vietnam War’ is referred to as ‘American War’.

Vietnamese state. This engagement stimulated changes in organisational life and civil society started to grow again; a great variety of groupings emerged, such as voluntary, non-governmental, non-profit, grassroots or community-based organisations as well as cooperative associations. Besides, MOs started to serve as partners in development projects (CIVICUS et al. 2006:10ff.). In 2005, there were about 140,000 registered CBOs, 3,000 cooperatives active in different fields, such as agriculture, construction, health care and sanitation, as well as 1,000 locally registered NGOs and 200 charities (Thayer 2008:7). All these groupings, including MOs and their activities, are supervised by an umbrella organisation, the Vietnam Fatherland Front (VFF), which reports to the CPV and to the Central Government directly (Thayer 2008:3, Gray 1999:8). The following pages give an overview about the different categories of CSOs that operate in Vietnam.

5.3.3 Civil Society Organisations (CSOs) Active in Vietnam

5.3.3.1 Mass Organisations (MOs)

MOs of the CPV are the largest social groupings; about three quarters of all Vietnamese citizens are members of at least one MO; at an average, every citizen is a member of 2.3 MOs (CIVICUS et al. 2006:10ff.). The main important MOs in Vietnam are the General Confederation of Labour, the Peasant Association, the Women's Union, the Communist Youth Group and the Veteran's Association (Gray 1999:6).

Among researchers, there is disagreement about whether MOs belong to CSOs, as their relation with the state is rather strong (Wischermann & Nguyen Quang Vinh 2003:11). On the one hand, MOs implement many of the government's policies and receive financial support from the state (Gray 1999:6ff.); therefore, MOs cannot be described as voluntary, self-managed, or financially self-reliant organisations. On the other hand, MOs integrate both, state and non-state elements. At lower levels, also due their strong integration in society, MOs act like CSOs and directly address local development issues (VUFO-NGO Resource Centre 2008:19ff.).

In the course of 'Doi Moi', the role of MOs has started to change, away from implementing government programs and policies at the local levels and towards communicating people's concerns and demands to policy makers (Stromseth 1998:7 in VUFO-NGO Resource Centre 2008:V). Thus, MOs exercise a more direct influence on state policies than other organisa-

tions. Moreover, as local partners engaged in donor-funded development projects, some MOs have become more financially independent and politically distant from the state (Gray 1999:17ff., CIVICUS et al. 2006:13, 65)

5.3.3.2 Non-Governmental Organisations (NGOs)

The Vietnamese term for ‘NGO’ is rarely used for domestic organisations by Vietnamese officialdom, because literally translated (“to chuc phi chinh phu”) its pronunciation is close to the Vietnamese term for ‘anarchy’ (“vo chinh phu”) (Salemink 2003:6 in Thayer 2008:9).

In the case of Vietnam, there are two different types of NGOs: International NGOs (INGOs) and local NGOs (LNGOs). Both types have a different legal status and different spheres of influence. INGOs in general, provide development assistance; they cooperate with line ministries, technical agencies, local authorities, local governments and MOs. All INGO activities are subject to regulation and monitoring undertaken by the People’s Aid Coordinating Committee (PACCOM), which in turn is controlled by the Vietnam Union of Friendship Associations (VUFA) (Thayer 2008:3). LNGOs or Vietnamese NGOs (VNGOs), in contrast, have a different focus and legal status. They provide services to disadvantaged groups, such as ethnic minorities and invalids, among others (CIVICUS et al. 2006:11). Due to their relatively recent legalisation in 1991, LNGOs still have a narrow membership base and their networks are still weak (ibid.: 111, Clarke 1998:41). LNGOs do not have the formal mandate to contribute to policy development; however, some still seek ways of exerting an influence on policy development, mainly by lobbying or pressurising members of the National Assembly (CIVICUS et al. 2006:13).

5.3.3.3 Semi-Governmental Organisations

Semi-governmental organisations have been established besides governmental and non-governmental organisations, such as the Vietnam Chamber of Commerce and Industry (VCCI) that represents the private sector. Its membership base comprises of state-owned and private enterprises as well as of trade associations. VCCI is not financially supported by the state, yet it is a member of the Vietnam Fatherland Front (Thayer 2008:4).

5.3.3.4 Community-Based Organisations (CBOs)

CBO is a common term for of non-governmental, voluntary or non-profit associations at the grassroots level. Examples for CBOs in Vietnam are user groups, savings groups and credit associations, cooperatives, village development committees and other committees (Thayer 2008:7ff.). CBOs mainly rely on their own resources, but foreign donor agencies and INGOs have recently started to support these organisations and their activities (CIVICUS et al. 2006:11).

5.3.4 Challenges for the Development of Civil Society in Vietnam

The great diversity of organisations established in the past two decades has posed a challenge to the legal system, which demands that every organisation should be subordinated to an umbrella organisation, such as the Vietnam Fatherland Front. The legal framework for these organisations, promulgated in 2003, is composed of a range of restrictive and complicated laws, regulations and procedures that create confusion and hinder further development of civil society (Gray 1999:8, CIVICUS et al. 2006:11). Moreover, despite progressive policies, such as the 'Comprehensive Poverty Reduction and Growth Strategy' (CPRGS) formulated in 2002/ 2003 which assigns NGOs and local organisations with clear roles, the integration of CSOs into mainstream political thinking is still underdeveloped (The Socialist Republic of Vietnam 2003b, CIVICUS et al. 2006:25).

5.4 Urban Governance and Planning in Vietnam

5.4.1 Levels of Urban Planning and Development

As outlined earlier, Vietnamese cities have become economic drivers and thus, focal points of public action. In the field of urban development, local authorities, mainly at the provincial level, have expanded their competences and autonomy, while supervision through the central government and the influence of the CPV still persists - in particular, as both, the CPV and the Government staff main functions within the political, administrative and economic hierarchy (Albrecht et al. 2010:9ff.).

Cities in Vietnam are generally under the administration of the province, apart from the five cities Hanoi, HCMC, Da Nang City, Hai Phong City and Can Tho City that are directly admin-

istered by the Central Government (IDS 2007:7). Cities are classified in six classes, which determine the cities' proration and autonomy. The classification depends on both, quantitative factors, such as the number of inhabitants, and qualitative factors, such as the city's influence on economy, culture and education. Ha Noi and HCMC both form a special category as major hubs of the country; class I – II (in comparison to classes III – V) may be under national or provincial supervision. (Albrecht et al. 2010:19)

Local authorities are organised as People's Councils, the local legislature, and PCs, the local executive arm of the Government. Local-level departments (e.g. DoNRE, DoC, DPI) correspond with ministries (e.g. MoNRE, MoC, MPI). Departments report to both, to the state and to the province. However, there is lack of inter-departmental cooperation and coordination, information and collaboration that causes delays and conflicts in work routines (ibid.:20ff.). CPV is also a powerful actor in urban development as decisions are approved through the Party or taken based on Party directives. Local leaders of the Party have greater power than city leaders (ibid.:21). However, in some fields, local autonomy from the central government is increasing; as an example, the 'Law on Urban Planning' assigns the power to define 'zones' and to elaborate building regulations to local governments (ibid:22).

In the Vietnamese context, urban and regional development and planning are supposed to be managed through master plans and detailed plans at different levels, e.g. through

- Regional Master Plans (RMPs), developed to manage spatial planning, social infrastructure provision and environmental issues,
- General Urban Master Plans (UMPs) that include macro-'zoning',
- Detailed Urban Plans (DUPs), determining technical infrastructure and construction standards and
- Master plans for rural residential areas (Albrecht et al. 2010:51ff.).

The 'Law on Urban Planning'¹⁴ introduced 'zoning' as an innovative planning level on a scale of 1:5.000 or 1:2.000. A 'zoning plan' is developed in order to determine the use and function of each lot of land, general principles of spatial organisation and land use as well as the provision of social infrastructure and technical infrastructure at block level. 'Zoning' planning is organised by PCs at either district or provincial level. 'Zoning' has to be harmonised with ex-

¹⁴ 'Law on Urban Planning', No.32/2009/QH12 (The Socialist Republic of Vietnam & the National Assembly 2009)

isting plans and processes and provides the basis for detailed planning. (Megacity Research Project TP. HCM 2012:26)

However, long-term master plans in the Vietnamese context have proved to be strongly static and normative and to lack an implementation strategy, flexibility and adaptability. Urban planning is assigned to the Ministry of Construction (MoC) at national level. Apart from the cities under national supervision, master plans are developed by the Departments of Construction (DoCs) or by the Departments of Architecture (DPAs) in coordination with the Departments of Natural Resources and Environment (DoNREs) at the provincial level. Nevertheless, in practice, 'land use plans', developed by DoNREs, lack harmonisation with master plans. (ibid.:25ff.)

5.4.2 The Budget of Provinces and Local Public Investment

The 'Law on State Budget'¹⁵ (The Socialist Republic of Vietnam & the National Assembly 2002) establishes the legal basis for state revenue collection and distribution among different levels of government. The law distinguishes between three different types of revenue sources for the state budget, namely those assigned to the central government, those assigned to local governments and those shared between the central and the local governments. While revenue sources assigned to the central government mainly comprise of taxes and fees related to imports and exports, local governments may collect and retain taxes and charges, such as land and housing taxes, land use rights transfer tax, land rent, registration fees and others. Shared sources of revenues include VAT for goods and services, corporate income tax and income tax on high incomes, special consumption tax as well as gasoline and oil fees (Nguyen Ngoc Hien n.d.:8ff.). The rate for sharing between the central and provincial governments is determined by the Standing Committee of the National Assembly and fixed for a period of between three to five years. While the rate of sharing is equal for all taxes and fees collected in each province, the rates differ from province to province (ibid.). Provincial budgets - as they are composed of local taxes and user fees - are dependent on local economic conditions and are therefore, unequal. The State helps to balance provincial budgets; a share of the main local taxes is transferred to the central state and re-distributed to weaker provinces in the form of subsidies (Albrecht et al. 2010:26ff.).

¹⁵ 'Law on State Budget', No. 01/2002/QH11 (The Socialist Republic of Vietnam & the National Assembly 2002)

The budget of provinces and provincial cities is prepared at the provincial level, discussed with the Ministry of Finance (MoF) and Ministry of Planning and Investment (MPI) and approved by the National Assembly (Albrecht et al. 2010:25). Provincial cities, district townships, towns and communes may mobilise additional financial contributions from citizens and organisations to cover the costs of local infrastructure provision. Decisions with regard to the sharing of revenues between the different local levels as well as to the collection of people's contributions are taken by the People's Councils at the provincial level (Nguyen Ngoc Hien n.d.:8ff.).

Currently, about 62% of public investments is made by local authorities. Nevertheless, investments must correspond with the Socio-Economic Development Plan (SEDP) developed at the national level, as well as with sector plans and master plans; investments must be approved by the Ministry of Planning and Investment (MPI) and by the respective Department of Planning and Investment (DPI). In order to finance these investments, several instruments are applied, such as 'targeted transfers' from the state in the form of 'target programmes', the collection of user fees as aforementioned, the borrowing from the Treasury Department of the Bank of Vietnam or public-private partnerships (PPP) (Albrecht et al. 2010:35ff.).

5.4.3 Integration of Climate Change Issues into Urban and Spatial Planning

While the 'Law on Urban Planning' emphasises the need to address climate change issues, climate change adaptation is not sufficiently enforced at the local level and thus, not yet integrated into land use and spatial planning (Megacity Research Project TP. HCM 2012:25ff.).

In HCMC, planners and decision-makers are aware about the challenges related to climate change (ibid.:20). Several departments have been assigned to manage climate change adaptation and disaster mitigation, such as the Department of Natural Resources and Environment (DoNRE) and the Department for Agriculture and Rural Development (DARD). The 'HCMC Climate Change Steering Committee' led by DoNRE and the 'City Steering Committee for Flooding and Storm Prevention' established by the People's Committee (HCMC PC) actively work towards increasing the knowledge base on climate change and its local impacts. However, there are huge disparities between the HCMC departments and their peers in neighbouring provinces, where most DoNREs have not yet started to address climate change at all (ibid.:20ff.) Nevertheless, despite the rather high level of awareness among planning institutions and decision-makers in HCMC, unsustainable urban planning and land-

use management are partly responsible for the current urban challenges related to flooding and thermal stress, as discussed earlier (Storch & Downes 2011:2ff.).

5.5 Public Participation and Community Action in Vietnam

5.5.1 The Tradition of Public Participation and Grassroots Democracy

Before 'Doi Moi', the central government of Vietnam regulated every facet of people's lives, including the production and distribution of food, clothing and housing as well as the provision of education, health care facilities and employment. According to Thai Thi Ngoc Du (2001:2) "policy makers and the government at all levels were assigned the task of thinking for the people, thinking in place of the people and acting for the people". Citizens were organised in MOs, in accordance with the Marxist concept of mass mobilisation and mass participation, which left little room for individual initiatives.

In the course of 'Doi Moi', subsidies for social services were reduced; instead, citizens were asked to contribute to (or participate in) the sectors of education, housing construction, upgrading and environmental protection. Especially in HCMC, this so-called 'socialisation' of education and health care was successful. Moreover, citizen participation at the grassroots level has proven to be effective in participatory action research and resettlement planning processes. (Bolay & Thai Thi Ngoc Du 1999:70, Thai Thi Ngoc Du 2001:4ff.)

In May 1998, the 'Regulations for Implementing Democracy at the Commune Level'¹⁶ was issued by the Vietnamese Government in order to mobilise people's resources for socio-economic development. This decree distinguishes between four different levels of participation: The first level of participation is restricted to the information of the population. People are informed about policies, laws, regulations and administrative procedures regarding matters of their concern, such as the communes' socio-economic development plans and land-use plans as well as the communes' budgets. The second level allows for people's participation, direct discussions and decisions; in practice, the second level of participation encourages financial contributions of households for construction and infrastructure works and their direct involvement in social welfare activities, in the development of local regulations and in decision-making regarding internal affairs at the village or hamlet level in compliance with the

¹⁶ 'Regulations for Implementing Democracy at the Commune Level', Decree No. 29/1998/ND-CP (The Socialist Republic of Vietnam 1998)

State's laws. The third level, which allows for the people's discussion and consultation, but leaves the decision to the local People's Councils, focuses on the drafting of long-term plans for the commune as well as on the implementation of national programmes and on decisions regarding compensations for ground clearance and resettlement. The fourth level allows people to supervise and control the activities of their communes' People's Councils and People's Committees with regard to the budget expenditures, to construction and infrastructure provision (The Socialist Republic of Vietnam 1998, Thai Thi Ngoc Du 2001:5).

The 'Regulations for Implementing Democracy at the Commune Level' were replaced by the 'Decree on the Exercise of Democracy in the Communes'¹⁷ or 'Grassroots Democracy Decree' in 2003. This Decree also highlights four levels of people's participation in decision-making, namely information sharing ("works to be informed to people"), decision-making ("works to be discussed and directly decided by people"), providing comments ("works to be discussed or commented by people and decided by the commune administrations") and monitoring or supervision ("works to be supervised and inspected by people") (The Socialist Republic of Vietnam 2003a in Robertson & Tran Thi Hai 2004:31ff.). Rights and responsibilities related to these four levels of participation have remained widely comparable to the earlier 'Regulations for Implementing Democracy at the Commune Level' (Reyes & Valencia 2003:10).

However, administrations are not yet able to put into practice genuine participatory approaches as they lack experience, adequate instruments and funding. Among people and communities, on the other hand, the degree of awareness about policies, laws and regulations is still low; moreover, they are not yet empowered to actively participate in public decision-making. MOs, which are still guided by the state, are utilised as mediators for information sharing and dissemination (UNDP 2006:iv, Bach Tan Sinh 2002). However, some participatory principles, introduced by international organisations and donor agencies, have been accepted and integrated in government projects and planning processes (CIVICUS et al. 2006:12).

¹⁷ 'Decree on the Exercise of Democracy in the Communes' No. 79/2003/ND-CP (The Socialist Republic of Vietnam 2003a in Robertson & Tran Thi Hai 2004:31ff.).

5.5.2 Participatory Planning Approaches Currently Implemented in Vietnam

According to the 'Law on Urban Planning'¹⁸ and to the 'Grassroots Democracy Decree'¹⁹, planning authorities are required to integrate citizen participation into formal planning procedures. Thus, the Vietnam Urban Development Agency (VUDA), an agency under the Ministry of Construction (MoC), has started to integrate citizens' feedback into the master plan development process, e.g. for the major cities of Hanoi and HCMC²⁰. At the city level, the Department for Planning and Architecture (DPA) in HCMC has also begun to seek citizens' comments regarding larger-scale urban design and urban planning projects²¹. The HCMC Institute for Development Studies (HIDS), a research institute under the People's Committee of HCMC, supports the city authorities in the fields of citizen participation and participatory research²². However, decision-makers and planners still regard participatory planning methods and community-based development with reluctance and scepticism²³. The concerned planning agencies lack expertise in this field; they still experiment with participatory approaches and doubt the capacity of individuals and communities, in particular of those with a low level of education.

Other actors, such as donor agencies, INGOs or LNGOs, work more closely with the local people and support bottom-up planning and development approaches as well as negotiation between the people, local authorities and decision-makers. As an example, the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) successfully puts into practice the Co-Management approach in the Mekong Delta – an approach that focuses on natural resource management that is jointly implemented by resource users and their authorities²⁴. Another example is the INGO 'Environment and Development in Action' (ENDA Vietnam) which works closely with communities and their authorities. While not officially engaged in policy change and advocacy, ENDA Vietnam tries to influence decision-makers by implementing best-practice projects and by demonstrating the capacities of the local population. Although

¹⁸ 'Law on Urban Planning' (The Socialist Republic of Vietnam and the National Assembly 2009)

¹⁹ 'Decree on the Exercise of Democracy in the Communes' / 'Grassroots Democracy Decree' (The Socialist Republic of Vietnam 2003a in Robertson & Tran Thi Hai 2004:31ff.)

²⁰ see interview with Mrs. Do Tu Lan (Annexe I, pp. 19ff., 13 March 2012)

²¹ see interview with Dr. Nguyen Anh Tuan (Annexe I, pp. 23ff., 12 March 2012)

²² see interview with Mr. Le Van Thanh (Annexe I, pp. 27ff., 14 March 2012)

²³ reflected by all interviewees (Annexe I)

²⁴ see interview with Ms. Pham Thuy Duong (Annexe I, pp. 53ff., 16 March 2012)

these organisations foster bottom-up development, they work ‘through the system’ and thus, require approval from the concerned authorities²⁵.

‘Live & Learn’, as a representative of LNGOs, mainly works at the community level and carries out education projects. As an LNGO, ‘Live & Learn’ does not require approval for most activities. ‘Live & Learn’ implements best-practice projects at the local level and tries to encourage the government to support the formalisation and up-scaling²⁶. Another important initiative is the Asian Coalition for Community Action (ACCA), a coalition of organisations that supports community-based housing projects and the accumulation of community-managed savings and revolving funds. ACCA seeks to demonstrate the planning and management capacity of communities and to influence policy makers in this regard²⁷.

The work of CSOs and development agencies is dependent on the approval of authorities at the respective levels and thus, strongly determined by the regulations of the State. LNGOs instead, which are not required to seek approval for most of their activities at the grassroots level, lack financial resources to go beyond the implementation of small-scale pilot projects.

5.6 Strategies and Policies to Address Climate Change

Vietnam has signed the United Nations Framework Convention on Climate Change (UNFCCC) in 1992, which was ratified in 1994, as well as the Kyoto Protocol in 1998, ratified in 2002 (Bach Tan Sinh 2010:3, Rockefeller Foundation 2009:12). The Government of Vietnam has developed a legal framework with regard to climate change issues and sustainable development. Vietnamese climate change policies can be grouped into policies that target adaptation to climate change impacts and into policies that target mitigation of GHG emissions.

5.6.1 The Viet Nam National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020

In 2007, the Government of Vietnam approved the ‘Viet Nam National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020’²⁸. The strategy considers disaster prevention, response and mitigation to be a joint responsibility of government agencies, local

²⁵ see interview with Mrs. Nguyen Thi Xuan (Annexe I, pp. 37ff., 15 March 2012)

²⁶ see interview Ms. Do Van Nguyet (Annexe I, pp. 45ff., 20 March 2012)

²⁷ see interview Mrs. Le Dieu Anh 2012 (Annexe I, pp. 49ff., 19 March 2012)

²⁸ ‘Viet Nam National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020’, Decision No. 172/2007/QĐ-TTg (The Socialist Republic of Vietnam & the Prime Minister 2007).

and foreign organisations and citizens. The strategy's objectives are the mobilisation of adequate resources from different actors (e.g. from the state as well as from communities, national and international organisations), the improvement of forecasts and early-warning systems, awareness-raising, training and capacity building among administrative staff and affected population groups as well as the promotion of stakeholder cooperation. Moreover, the strategy aims at fostering the integration of disaster prevention, response and mitigation into socio-economic development planning, the relocation of vulnerable groups residing in high-risk areas, the improvement of search, rescue and emergency response as well as the investment in technical infrastructure. MARD is the standing agency to coordinate the activities, including those of other agencies. (The Socialist Republic of Vietnam & the Prime Minister 2007)

5.6.2 Community-Based Disaster Risk Management in Vietnam (CBDRM)

Based on the 'Viet Nam National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020' CBDRM activities were promoted among communities and their local governments (ADPC et al. 2008:3ff.). Earlier CBDRM activities started in the provinces Thua Thien Hue and Quang Tri in 2001 and were expanded to 23 Vietnamese provinces and cities until 2007 (ibid.:6). CBDRM activities aim at improving stakeholder coordination at the district level, at fostering the development of community-based preparedness and disaster mitigation plans at the community, village and household level, at the development and implementation of small-scale mitigation measures and at the facilitation of exchange and networking. Most CBDRM activities are directly implemented by the local 'Committee for Flood and Storm Control and Search and Rescue' if existing, or by the local People's Committees and local communities, in cooperation with a great variety of LNGOs, INGOs, donors and development organisations²⁹. The budgets for single CBDRM projects implemented during a limited period of two to three years range from 200,000 to 300,000 US dollar (ibid.:7).

5.6.3 National Target Program to Respond to Climate Change (NTPRCC)

The NTPRCC was prepared by the Ministry of Natural Resources and Environment (MoNRE) and approved by the Prime Minister of the Government of Vietnam in December 2008. NTPRCC emphasises the need to integrate climate change adaptation and mitigation efforts

²⁹ e.g. World Vision, the Netherlands Red Cross, the Spanish Red Cross, Development Workshop France, CARE International, Save the Children Alliance, AusAID, UNDP, World Bank and GIZ, ActionAid, ADPC and Oxfam

into strategies, programmes, plans and decision-making processes at all levels (MoNRE 2008b). The implementation, coordination and supervision of the NTPRCC is managed by MoNRE (ibid.). For the implementation of the NTPRCC, a National Steering Committee was established that consists of the Prime Minister and of heads of MoNRE, MPI, MoF, MARD and of the Ministry of Foreign Affairs (MoFA) (ibid.).

The major objectives of the NTPRCC are the assessment of climate change impacts on sectors and regions, the development of short- and long-term action plans to respond to climate change, the sustainable development of Vietnam towards a low-carbon economy and the initiation of mitigation efforts (ibid.). The NTPRCC is implemented nation-wide. The programme's implementation is divided up into three consecutive phases, namely the 'starting up' phase from 2009 to 2010, the 'implementation' phase from 2011 to 2015 and the 'development' phase starting after 2015 (ibid.).

Within the framework of the NTPRCC, a science and technology programme shall be developed in order to generate a scientific basis for the formulation of policies, for the establishment of adequate institutions and for the development of action plans at different levels. The NTPRCC also fosters international cooperation and the strengthening of capacities of organisations and institutions that are relevant for climate change response. Moreover, the NTPRCC promotes the mainstreaming of climate change into strategy development and planning procedures at all levels, the development of action plans at the ministerial level and at the local levels as well as the development and implementation of related projects (MoNRE 2008b).

In order to support the implementation of the NTPRCC, the Government and concerned donors launched the 'Support Program to Respond to Climate Change' (SPRCC) in 2009. SPRCC's main objectives are the promotion of climate change adaptation activities and the reduction of GHG emissions. SPRCC also supports donor harmonisation as well as the coordination of policy-related activities and technical and financial assistance. (Smyle & Cooke 2011:36)

The implementation of the NTPRCC will require an amount of about 2 trillion VND³⁰ (Bach Tan Sinh 2010:5) – and will thus, depend on international financial support. The state budget for the implementation of the NTPRCC is prepared on an annual basis. Ministries, provinces

³⁰ equivalent to 121.2 million US dollar (Bach Tan Sinh 2010:5).

and centrally-controlled cities submit their project proposals and budget estimations to MoNRE. MoNRE then negotiates the size of the budget with MPI and MoF. In a next step, the Prime Minister approves the budget for NTPRCC, composed of contributions from the state budget, ODA loans and provincial budgets. (Priambodo et al. 2013:24).

5.6.4 Action Plan Framework on Climate Change Adaptation and Mitigation of the Agriculture and Rural Development Sector

In September 2008, the Minister of MARD approved the 'Action Plan Framework on Climate Change Adaptation and Mitigation of the Agriculture and Rural Development Sector in the Period 2008 – 2020'³¹ (MARD 2008). The objectives of the framework are the development of policies and action plans that foster the integration of climate change into development programmes and projects with regard to agriculture and rural development, the strengthening of research institutions, the improvement of international and regional cooperation as well as awareness-raising among government officials, staff and communities (ibid.).

5.6.5 Climate Change Related Plans and Policies Relevant for HCMC

In accordance with the NTPRCC, the HCMC DoNRE has developed an action plan (2011 – 2015) to address climate change. The action plan intends to foster research on future climate change impacts and migration patterns as well as the implementation of climate change related projects and activities in the fields of urban planning, transportation and water management (VUFO-NGO Resource Centre Vietnam 2011a & 2011b, Lebel et al. 2013:256). Other plans, such as the 'Irrigation Plan for Flood Control for the HCMC Area to 2025', the 'Draft Land Use Plan 2010 - 2025' and the 'Urban Construction Master Plan' do not particularly integrate climate change concerns. Even quite in the contrary, urban development is further directed towards the flood-prone south and east of HCMC (Megacity Research Project TP. HCM 2012:23ff.).

³¹ 'Action Plan Framework on Climate Change Adaptation and Mitigation of the Agriculture and Rural Development Sector in the Period 2008 – 2020', Decision No. 2730/QD-BNN-KHCN (MARD 2008)

5.7 Institutions Concerned with Climate Change Issues

5.7.1 Government Institutions at the National Level

5.7.1.1 MARD and MoNRE

The Ministry of Agriculture and Rural Development (MARD) and the Ministry of Natural Resources and Environment (MoNRE) are the leading ministries assigned to address climate change, adaptation and mitigation. MARD performs state management functions in the fields of agriculture, forestry, fishery, irrigation and water services as well as in rural development (MARD 2012). MARD's activities mainly focus on disaster management and forestry; however, MARD's awareness and capacity in these fields – as in others - is limited (Bach Tan Sinh 2010:19).

MoNRE is the lead institution for environmental management in Vietnam and responsible for long-term environmental planning at the national level as well as for the coordination of environmental impact assessments (EIAs). MoNRE is assigned to implement the UNFCCC, the Kyoto Protocol and the Clean Development Mechanism (CDM); thus, MoNRE is the coordinating and supervising agency for the implementation of the NTPRCC. Moreover, MoNRE is the leading agency for the preparation of the 'National Objective Program' to cope with climate change (AECEN 2012, MoNRE 2008b, Bach Tan Sinh 2010:5).

5.7.1.2 Other Ministries Relevant for Climate Change Issues

The Ministry of Planning and Investment (MPI) performs the functions of state management with regard to planning and investment. MPI provides general advice on national socio-economic development strategies and plans. MPI coordinates and manages ODA procedures and funds, including those focusing on climate change issues (MPI 2012, Bach Tan Sinh 2010:19).

The Ministry of Finance (MoF) is assigned to become the central agency for financing climate change adaptation and for the development of policies with regard to the development of a low-carbon economy (Bach Tan Sinh 2010:19, MoF 2012). The Ministry of Foreign Affairs (MoFA) has an important role in ongoing international negotiations focussing on climate change. However, currently, knowledge on climate change and international policies is still limited (Bach Tan Sinh 2010:20).

Both, the Ministry of Construction (MoC) and the Ministry of Transport (MoT) have a stake in public infrastructure investment and in urban development, e.g. in the fields of climate proofing and energy efficiency related to the construction and transportation sector (MoC 2012, Bach Tan Sinh 2010:20).

The climate change related activities of the Ministry of Industry and Trade (MoIT) focus on the promotion and enablement of low-carbon industrial production and renewable energy production (Bach Tan Sinh 2010:19). In accordance with the NTPRCC, MoIT and the United Nations Industrial Development Organization (UNIDO) have developed an action plan that addresses awareness raising among industries, detailed climate change impact assessments and the promotion of green technologies (VUFO NGO-Centre 2010). The Ministry of Science and Technology (MoST) is concerned with the development and transfer of low carbon technology (Bach Tan Sinh 2010:20).

Both, the Ministry of Education and Training (MoET) and the Ministry of Culture, Sports and Tourism (MoCST) are important agencies for mainstreaming climate change into curricula as well as into awareness raising campaigns that address the wider public (Bach Tan Sinh 2010:20). In 2010, MoET has launched its 'Action Plan on Education Sector Response to Climate Change' (UNESCO Bangkok 2012:vi). The Ministry of Health (MoH) and the Ministry of Labour, Invalids and Social Affairs (MoLISA) are assigned to strengthen social protection and healthcare systems in order to reduce people's vulnerability to climate change and natural disasters (Bach Tan Sinh 2010:20).

5.7.1.3 Relevant Institutes and Departments Established under Ministries

In order to address climate change, several institutes and departments have been established under the concerned Ministries, such as

- the Institute of Meteorology, Hydrology and Environment (IMHEN) under MoST,
- the Institute of Science and Technology (IST),
- the Institute of Policy and Strategy on Natural Resources and Environment (ISPONRE) under MoNRE,
- the Institute of Environment Monitoring and Disaster Mitigation under MoNRE,
- the International Cooperation Department of MoNRE (ICD),
- the Designated National Authority (DNA) for Clean Development Mechanism (CDM) in Vietnam,

- the International Support Group on Environment Office (ISGE) under MoNRE,
- the National Institute for Science and Technology Policy and Strategy Studies (NISTPASS) under MoST and
- the Centre for Research and Training on Climate Change and Disaster Risk Reduction.

IMHEN, established in 1977 under MoST, has been involved in climate change related projects since the 1990s. Currently, IMHEN is engaged in climate change research; the institute undertakes impact assessments and modelling, the development of SLR scenarios and studies on risk reduction. MoNRE has appointed IMHEN to prepare the 'Framework of the National Objective Program on Climate Change' (Bach Tan Sinh 2010:5, IMHEN 2013) in cooperation with ICD and IST (Bach Tan Sinh 2010:8, Phong Tran 2009:29).

NISTPASS, established under MoST, undertakes research on sustainable development, on innovative technologies and on legal framework activities at different levels (NISTPASS 2011). The 'Centre for Research and Training on Climate Change and Disaster Risk Reduction' focuses on research and on the training of education managers, university students and school staff regarding climate change and disaster risk reduction (UNESCO Hanoi 2012).

ISPONRE has been established under MoNRE as an umbrella body to coordinate all relevant agencies that address climate change adaptation at the national level. However, the institute is not strong enough to fulfil all its responsibilities due to limited staff capacity (Bach Tan Sinh 2010:8, Phong Tran 2009:29). ISGE, set up in 2001, assists MoNRE and other ministries with regard to the mobilisation of ODA resources. Moreover, ISGE supports the coordination of MoNRE's plans, policies and strategies developed for sustainable environmental and resource management (Bass et al. 2010:45, Bach Tan Sinh 2010:9). The establishment of another institute under MoNRE, the 'Institute of Environment Monitoring and Disaster Mitigation', is proposed but not yet approved; this institute is envisaged to support MoNRE in managing and coordinating climate change relevant activities (Bach Tan Sinh 2010:8, Phong Tran 2009:29).

The DNA for CDM is an agency established under the ICD. Its major tasks are the development of regulations and guidelines regarding CDM as well as the assessment of potential CDM projects; promising CDM projects are then approved by the 'Steering Advisory or Consultative Committee of CDM' (Bach Tan Sinh 2010:9).

5.7.2 Civil Society Organisations (CSOs), Coordinating Organisations and Networks

5.7.2.1 Coordinating Organisations and Networks

Since 1999, a range of organisations and networks have been established in order to guide, support and control the work of CSOs, such as the

- DMWG (Disaster Management Working Group)
- COMINGO (Committee for Foreign NGO Affairs)
- VUFO (Vietnam Union of Friendship Organizations)
- VUFO-NGO Resource Centre
- PACCOM (The People's Aid Co-ordinating Committee)
- CCWG (Climate Change Working Group)
- VNCSCC (Vietnam Network of Civil Society Organizations and Climate Change)

A couple of agencies have been established that are concerned with the coordination of CSOs - and in particular with the coordination of activities of INGOs. COMINGO for example, established in 2001, is a platform, which brings together ministries and other relevant agencies to guide and address issues related to INGOs and their activities (VUFO-NGO Resource Centre Vietnam 2012a). VUFO, the standing agency under COMINGO and member of the Vietnamese Fatherland Front, supports the cooperation between Vietnam and foreign countries and in particular the work of INGOs active in Vietnam (ibid., VUFO 2012). PACCOM, established in 1989 as a functional body of VUFO, is responsible for the reinforcement of partnerships between INGOs and Vietnamese institutions, for elaborating recommendations on policies related to the work of INGOs and for mobilising aid (VUFO-NGO Resource Centre Vietnam 2012a). Also under VUFO, the VUFO-NGO Resource Centre was established in 1993, which fosters information sharing, networking and dialogue between interest groups, INGOs and authorities (ISG 2012).

Other groups and networks are mainly concerned with networking, with the sharing of information and with the coordination of activities related to climate change adaptation and disaster risk reduction. Examples for these groups are

- DMWG, established in 1999 to facilitate networking, exchange and coordination of disaster management and relief activities,

- CCWG, established in 2008 under the VUFO-NGO Resource Centre in order to coordinate the work of civil society actors and professionals in the fields of awareness raising, vulnerability reduction, climate change adaptation and behaviour change as well as
- VNCSCC, set up in 2008 as a network of currently 70 VNGOs, enterprises, government agencies, research institutes and universities that are active in climate change related activities (VUFO-NGO Resource Centre Vietnam 2013, VUFO-NGO Centre 2012b, Bach Tan Sinh 2010:12).

5.7.2.2 Mass Organisations (MOs) of the CPV

As explained earlier, MOs, such as the Women's Union (WU), the Association of Farming Collectives, the Confederation of Labour and the Youth Union have a strong influence on the organisation of community life. Thus, MOs have great potential to support awareness raising, capacity building and the implementation of local adaptation and mitigation activities. The WU as an example plays a key role in climate change adaptation and disaster response activities; the NTPRCC integrates the WU as a main stakeholder to address gender issues in adaptation activities (Vietnam Women's Union 2012, MoNRE 2008b). In Da Nang for example, the local representation of the WU is involved in activities related to the 'Da Nang City Climate Change Resilience Action Plan (2011 – 2020)' and has a stake in training and public awareness raising, disaster prevention and mitigation, information and technical assistance (Da Nang ACCCRN City Team and Da Nang Climate Change Working Group 2011:20ff.).

5.7.2.3 VNGOs & INGOs

In Vietnam, also LNGOs and INGOs are active in the fields of climate change adaptation, disaster risk reduction, capacity building and community empowerment. The scale and scope of their activities as well as their partner constellations differ. Some of these organisations facilitate adaptation efforts at the community level, while others support local authorities or engage in advocacy and policy change. Among these organisations are Oxfam International, Habitat for Humanity, the VNGO 'Live & Learn' and ENDA Vietnam as well as the Association of Cities of Vietnam (ACVN) (cf. Oxfam International 2012a & 2012b, Habitat for Humanity 2012a & 2012b, Live and Learn 2012, Enda Vietnam 2011, ACVN 2014). ENDA Vietnam has been the major partner in the CBA Model Project undertaken by the Megacity Research Project TP. Ho Chi Minh. Other organisations which are particularly active in the field of CBA are CARE International Vietnam, a forerunner in the field of CBA, Challenge to

Change (CtC) as well as the Rockefeller Foundation and the Institute for Social and Environmental Transition (ISET) (CARE International 2012a & 2012b, Challenge to Change 2012, Rockefeller Foundation 2009, ISET 2011, Bach Tan Sinh 2012:16).

Civil society activities undertaken in HCMC are rather small in scale, such as the CBA Model Project. Other activities in fields related to climate change are education and environmental awareness projects. However, it is obvious that the engagement of CSOs at the grassroots level in HCMC is not as strong as in smaller cities, where authorities are more open for a cooperation with local and foreign organisations³².

5.7.3 International Organisations, Donors and Development Banks

As Vietnam is one of the countries that will be most affected by climate change, many international development organisations, donor agencies and development banks have enhanced their activities in the fields of adaptation, mitigation and disaster response in recent years, such as

- UNDP (United Nations Development Program)
- WB (World Bank)
- ADB (Asian Development Bank)
- Australian Agency for International Development (AusAID),
- Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)
- Ministry of Foreign Affairs of Denmark (DANIDA)
- United States Agency for International Development (USAid)
- Japan International Cooperation Agency (JICA) and
- Swedish International Development Cooperation Agency (SIDA), among others.

UNDP has started to work in Vietnam in 1977 as one of the very first international organisations (UNDP Vietnam 2012). In recent years, UNDP has supported MoNRE and MPI in developing policies related to climate change, such as the '2011 – 2020 National Climate Change Strategy' and the 'National Green Growth Strategy'. Furthermore, Vietnam was selected as one of the pilot countries for the UN-REDD Programme³³ (UNDP Vietnam 2011:18). UNDP has also supported CBA activities in Vietnam through the GEF Small-Grants Programme (UNDP & GEF 2012).

³² See interview with Ms. Do Van Nguyet (Annexe I, pp. 45ff., 20 March 2012)

³³ 'Reducing Emissions from Deforestation and Forest Degradation' (UN-REDD) Programme

The World Bank (WB) and the Asian Development Bank (ADB), both directly work with the Government of Vietnam. The WB's programme is aligned with the Government's strategic priorities and development goals. The WB does research in order to assess the social dimensions of climate change and to estimate the costs for climate change adaptation in Vietnam (cf. World Bank 2010b, cf. World Bank 2010c). ADB's 'Vietnam Country Partnership Strategy for the Period 2012–2015' mainly focuses on inclusive and sustainable growth as well as on economic efficiency; in terms of climate change, ADB fosters awareness raising and capacity building among the members of the Government (ADB 2012:5ff., ADB 2013).

Many different foreign development agencies and governments have started to partner with the Government of Vietnam in order to address climate change issues. The Government of Australia is the largest bilateral grant donor to Vietnam; AusAID, for example, supports climate change adaptation and mitigation efforts, which mainly target agriculture, forestry and fishery systems (AusAID 2012:2). The current work of DANIDA focuses on poverty reduction, democratisation, human rights and good governance; besides, DANIDA also supports activities that improve climate change impact assessments and that foster sector-specific vulnerability reduction and livelihood adaptation efforts in rural areas (DANIDA 2006:18ff., DANIDA 2013).

USAid has been cooperating with the Government of Vietnam since 2000; besides other development-related fields, USAid works on enhancing preparedness and disaster risk reduction in different sectors (US Aid 2013). SIDA, the Swedish International Development Cooperation Agency, supports research on climate change and its impacts as well as activities and training in the fields of disaster management, mitigation and adaptation (SIDA 2013, Voice of Vietnam 2011). Another important development cooperation agency is JICA; apart from economic development and environmental improvement, JICA supports activities that focus on community resilience to climate change and natural disasters as well as on livelihood security in Central Vietnam (JICA 2013).

The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) in Vietnam undertakes different activities to address climate change, such as a Co-Management project focusing on mangrove reforestation in the coastal wetlands of the Mekong Delta or the 'Environmentally and Climate-friendly Urban Development in Da Nang City' project (cf. GIZ 2013a, Spelchan et al. 2010, GIZ 2013b). Within the scope of the latter, the CBA Transfer Project was integrated as a housing case study.

5.7.4 Governmental Institutions at the Provincial and Municipal Level: HCMC

Each province and city under national supervision has the responsibility to address climate change (Bach Tan Sinh 2010:14). In accordance with the NTPRCC, HCMC is obliged to develop a city-level (or province) action plan to carry forward climate change adaptation and mitigation and to establish cooperative mechanisms, such as steering committees or steering boards.

5.7.4.1 HCMC PC (People's Committee of HCMC)

The People's Committee of HCMC and related departments are responsible for the formulation of the land-use plans and transport development plans as well as for the approval of socio-economic development plans and transport development plans at the district level (ICEM 2009:93, 121). The HCMC PC has established the 'City Steering Committee for Flooding and Storm Prevention'.

5.7.4.2 HCMC Departments Relevant for Climate Change Response

The Department for Agriculture and Rural Development (DARD) carries out planning for the agriculture and forestry sector of HCMC. DARD implements national policies of MARD at the local level (ICEM 2009:37). Similarly, the HCMC Department of Natural Resources and Environment (DoNRE) is subordinated to MoNRE and thus, in charge of land-use planning and environmental management (ICEM 2009:37ff.). Moreover, DoNRE is the coordinating agency of the 'HCMC Climate Change Steering Board' (Katzschner 2013:3). DoNRE cooperates with other departments and reviews programmes and activities with regard to climate change adaptation (Labaeye et al. 2012:371). The Department of Planning and Investment (DPI) is in charge of socio-economic development planning and of supporting foreign direct investment, e.g. in the fields of climate change adaptation and mitigation (DPI n.d.).

The Department of Construction (DoC) and the Department for Planning and Architecture (DPA) are both subordinated to MoC. Both are in charge of urban planning, management and approval of construction and urban development projects as well as of the setting of building norms (IDS 2007:8). Thus, DoC and DPA are both in the position to mainstream climate change concerns and energy efficiency into urban planning and approval processes. The Southern Institute for Urban and Rural Planning (SIUP South) is another institution un-

der the MoC, which is in charge of the development of master plans for the southern region of Vietnam (Nguyen Ho Bac 2008:8).

5.7.4.3 Advisory Committees and Research Institutions

As stated earlier, cross-departmental cooperation in Vietnamese cities and provinces is underdeveloped. However, in order to address climate change and its impacts as a cross-sector issue, several advisory committees have been established, such as the 'Steering Committee for Flood Control and Storm Prevention' and the 'HCMC Climate Change Steering Board', both bringing together experts and decision-makers from different departments. The 'Steering Committee for Flood Control and Storm Prevention' has been set up by the provincial People's Committee; the steering committee does research and formulates strategies related to flood prevention and urban infrastructure provision. (IDS 2007:10, Katzschner 2013:3)

The HCMC Institute for Development Studies (HIDS) has been established in 2008 as an institute comprising of the former 'Urban Planning and Construction Institute', the former 'Institute for Economic Research' and the former 'Southern Institute of Social Sciences'. HIDS is in charge of undertaking research activities in the fields of urban development, urban environment and urban socio-economic development, e.g. for DPA, for the HCMC People's Committee and for the HCMC Party Committee. (HIDS 2013)

5.8 Climate Change Related Activities in Vietnam

Since the late 1990s, a great number of climate change related activities have been implemented in Vietnam; the great variety of funding agencies involved is as remarkable as the broad range of project foci and target groups. According to World Bank data (cf. World Bank 2010a) an equivalent of 1.1 billion US dollar has been invested in climate change activities in Vietnam in the period from 1992 to 2015, whereas most of the activities have started in 2008 and later, after the launching of the NTPRCC. From the total sum, the Government of Vietnam allocated an equivalent of 143.9 million US dollar (cf. World Bank 2010a) to implement the NTPRCC and related activities. Main donors and funding agencies are the United Nations (57.7 million US dollar), the World Bank (405.8 million US dollar), the ADB (83.0 million US dollar), the European Union (141.8 million US dollar), the Government of Denmark (42.3

million US dollar), the Government of Australia (20.7 million US dollar) and the Government of Germany (8.4 million US dollar) (based on World Bank 2010a)³⁴.

The spectrum of activities to address climate change undertaken since the mid-1990s is wide and involves stakeholders at different administrative and decision-making levels ranging from the local to the national and international level (World Bank 2010a). These activities include research activities on climate change, the development of adaptation and mitigation strategies and measures, the development and implementation of action plans and activities at various levels and in various fields, e.g. in the fields of agriculture, forestry, fisheries, water resources, health, energy, socio-economy, ecology, disaster mitigation and management, etc. Stakeholders concerned are government agencies, MOs, CSOs (LNGOs and INGOs), Vietnamese research institutes and universities, communities and private sector companies as well as international research and implementation partners (World Bank 2010a). The main implementing government agencies are MARD, MoNRE-IMHEN, MoIT, MoC and MPI at the ministerial level as well as authorities and departments at the local level (World Bank 2010a)³⁵.

5.9 Strengths, Constraints and Shortcomings

5.9.1 Policies that Support Climate Change Adaptation and Mitigation

Climate change adaptation and mitigation is officially addressed by decision-makers at the national level; the political will is reflected by the NTPRCC and by the allocation of significant funds for its implementation. NTPRCC clearly outlines the requirement for the mainstreaming of climate change response into decision-making and strategy development at all levels. However, NTPRCC's major weak point is the lack of enforcement and implementation at the local levels.

While central authorities have the power to develop policies, plans and programmes rapidly, local institutions often lack the capacity and willingness for their implementation. Working groups such as the 'Climate Change Steering Board' or the 'Steering Committee for Flood Control and Storm Prevention' do not have any real legislative or executive power (Megacity Research Project TP. HCM 2012:27).

³⁴ A calculation can be found in Annexe II.

³⁵ A timeline for the implementation of climate change related activities can be found in Annexe II

CBDRM, as a part of the 'Viet Nam National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020' is a successful pilot initiative to strengthen local capacity to climate change adaptation, disaster mitigation and preparedness. Its main weak point is that the activities are isolated, short-term and lack a strategy for out-scaling.

5.9.2 Limited Degree of Awareness on Climate Change

The literature sources evaluated suggest that there is a huge amount of information available on climate change, adaptation and mitigation relevant for Vietnam. Nevertheless, there is lack of knowledge, expertise, awareness and commitment concerning climate change and adaptation in particular among provincial government agencies. Instead, many province and city authorities favour other development priorities, such as large-scale urban development projects and infrastructure provision, over adaptation or mitigation. Where climate change adaptation and mitigation is concerned at all, city authorities prefer to implement hard adaptation options instead of soft adaptation options and behaviour change (Webster & McElwee 2009:5). Consequently, the integration of climate change issues into province-level development plans and activities remains a major challenge (Bach Tan Sinh 2012:16, Chaudhry & Ruyschaert 2007:13).

5.9.3 Overlapping Responsibilities and Lack of Cross-Sector Cooperation

The legal framework lacks clear provisions with regard to the organisation, coordination and distribution of power between national and local authorities and between agencies at the same level as well as with regard to the responsibilities of different agencies and their cooperation. Quite often, ministries and departments compete against each other. Thus, the lack of coordination and cooperation has brought forward informal institutional arrangements and non-transparent planning and decision-making procedures. Moreover, the responsibilities of different agencies are unclear and often partly overlap. The competition between the different agencies and the lack of coordination and cooperation is reflected in the huge number of institutions that have been created to address climate change issues at the national level as well as at the local level in HCMC (Webster & McElwee 2009:6ff., Megacity Research Project TP. HCM 2012:30).

5.9.4 Low Capacity of Government Agencies and Administrations

Government agencies and their administrations in general have a low capacity to undertake impact assessments and response activities without external funding or technical assistance; local-level administrations in particular tend to be overburdened with additional tasks. As a result, there is lack of broad-scale assessments to identify vulnerable communities, limited consultation and involvement of relevant stakeholders and communities as well as lack of public information. (Webster & McElwee 2009:6, Chaudhry & Ruyschaert 2007:13)

5.9.5 Lack of Financial Means

According to the NTPRCC, every province is obliged to develop and implement locally relevant action plans to respond to climate change. However, apart from rather limited funds allocated by the national government, provinces lack financial means to adequately address climate change issues. In particular, where local revenue generation is low, external funding is required to support climate change adaptation, mitigation and disaster response. Financial resources are also limited for research in climate change related fields; despite a large number of research institutes, Vietnam lacks quality research in key areas of climate change, adaptation, mitigation and energy efficiency (Chaudhry & Ruyschaert 2007:13, United Nations Vietnam 2009:29)

5.9.6 Lack of Donor Harmonisation

It is obvious that with the launching of the NTPRCC, which was approved in December 2008, international organisations and donors have intensified their activities in the fields of climate change adaptation and mitigation in Vietnam. However, the majority of activities - whether they focus on assessments, on climate change adaptation and mitigation, on disaster management or on awareness-raising and capacity building - appear to be rather selective. This suggests that donor giving is not harmonised. However, clear information regarding donor harmonisation activities is not available.

5.9.7 Strong Top-Down Organisation of Decision-Making and Planning

Until today, the Vietnamese planning system and decision-making structure is strongly top-down organised; plans developed at the national or city level are static and inflexible. Thus, motivation, capacity and procedures to implement bottom-up strategies to urban develop-

ment and climate change adaptation are underdeveloped (Megacity Research Project TP. HCM 2012:30ff.). Moreover, there is lack of mechanisms for information exchange and cross-sector management, for inter-provincial cooperation as well as for the cooperation of government actors with CSOs and private sector actors (Bach Tan Sinh 2010:12, Chaudhry & Ruyschaert 2007:13, Megacity Research Project TP. HCM 2012:31).

5.9.8 Limited Independence of Civil Society

In Vietnam, the development of an independent civil society is still in an early stage. CSOs are subordinated to the Vietnamese Fatherland Front and to a variety of other organisations that formally guide and control their activities. CSOs, apart from LNGOs, in general 'work through the system' and require approval for their activities. In particular at the local level, MOs have taken on many tasks that are assigned to NGOs and CBOs in other contexts, while on the other hand they still implement government policies. MOs still have strong links to the CPV and act in accordance with the Party rule. The overall influence of the CPV in society as well as on decision-making and state management is still unbroken; the CPV has the power to enable, but also to restrict the establishment and advancement of civil society activities.

5.9.9 Lack of Community Information and Empowerment

The potential of communities to participate in planning and public decision-making as well as to develop their own local development projects is still widely overlooked by Vietnamese government actors and decision-makers. This is due to the fact that bottom-up and community-driven development approaches are still at odds with the strong top-down organisation of planning and decision-making on the one hand. However, on the other hand, Vietnamese administrations and decision-makers often lack experience with people's participation in planning and public decision-making procedures.

A strong impulse is set by the ACCA programme, an international initiative financially supported and coordinated by the ACHR. ACCA initiates community-based upgrading projects and thus, demonstrates the capacities of the population as urban development actors. ACCA strongly engages in advocacy and fosters partnerships between communities, their local authorities and other stakeholders. However, despite the positive results of ACCA, government support for community-based and community-driven projects is still limited.

6 Concept Application

This chapter attends to the development of a second model, the 'Applied CBA Governance Management Model' for Vietnam (CBA-AGMM). The theoretical CBA-GMM developed earlier is transferred to the context of Vietnam and modified accordingly.

6.1 Conditions and Challenges

The 'institutional assessment' undertaken in the previous chapter has revealed a broad range of conditions and challenges for the implementation of CBA in Vietnam, and consequently, for the development of a CBA-AGMM. In the following, the conditions and challenges are summarised in short. Furthermore, it is discussed to what extent the challenges mentioned may be addressed by the CBA-AGMM tailored to the context of Vietnam.

6.1.1 Policies that Support Climate Change Adaptation and Mitigation

Besides other policies that focus on environmental management, the Government of Vietnam has launched the NTPRCC in order to address climate change at all levels and to enable authorities of provinces and centrally-controlled cities to develop their own action plans and response strategies. The NTPRCC can provide a basis for the implementation of CBA, even though CBA is not yet part of it. However, due to lack of enforcement, the NTPRCC is still not completely implemented at the local level; this is an issue, which cannot be directly addressed by the CBA-AGMM. The implementation of national policies - and in this case the implementation of the NTPRCC - is strongly dependent on the willingness, motivation and capacities of city and provincial authorities. However, successful demonstration projects and action plans may stimulate the local authorities' interest to take action.

6.1.2 Limited Degree of Awareness on Climate Change

Information on climate change and its impacts that will affect Vietnam is sufficiently available. However, despite the abundance of climate change related information and wide-ranging efforts of international development organisations and research initiatives to raise awareness and to build capacity among all stakeholders, there is lack of knowledge and awareness among planning institutions and authorities, in particular at provincial levels. Here, targeted

low-threshold awareness-raising campaigns, which highlight the relevance of climate change for the local context, may help to improve the situation.

6.1.3 Overlapping Responsibilities and Lack of Cross-Sector Cooperation

The lack of horizontal cross-sector and cross-departmental cooperation as well as the overlaps of tasks and responsibilities assigned to departments and institutions cannot be addressed in principle by the CBA-AGMM. However, in the case of CBA, ‘steering committees’ may help to bundle competences, to facilitate cross-sector cooperation and to stimulate partnerships between all stakeholder groups. Existing committees, such as the ‘City Steering Committee for Flooding and Storm Prevention’ established in HCMC, can serve as good examples. However, coordination and cross-sector cooperation as well as collaboration between different stakeholder groups seem to be a bigger challenge in large cities. One strategy to overcome this challenge with regard to the implementation of the CBA-AGMM is to focus on smaller cities in the beginning and to achieve convincing results; according to the experience of Do Van Nguyet,³⁶ authorities of smaller cities are more flexible and more willing to cooperate with other stakeholder groups.

6.1.4 Low Capacity of Government Agencies and Administrations

Despite the provisions of the NTPRCC and the political commitment at the national level to address climate change, local-level administrations and planning departments lack the experience and the capacity to integrate climate change response into their spatial and socio-economic plans as well as to develop and implement locally relevant action plans and projects. This issue cannot be adequately addressed in the short-term. However, exchange and ‘peer learning’ approaches may help to increase the capacity of administrations and planning departments.

6.1.5 Lack of Financial Means

City and provincial authorities also lack financial means to tackle climate change at a broad scale. However, the NTPRCC requests all provinces and centrally-controlled cities to develop climate change action plans. For the implementation of these action plans, additional (limited) funds are allocated from the national level, which help to increase the financial capacity

³⁶ see interview with Ms. Do Van Nguyet (Annexe I, pp. 45ff., 20 March 2012)

of local governments and administrations and to enable them to address climate change within their localities.

Besides, Vietnamese research institutions face lack of financial resources for climate-change related research. However, World Bank data (World Bank 2010a) suggest that a great variety of research activities on climate change and related issues have been undertaken by international research institutions and donor agencies in the last decade. The knowledge gained must be pooled and made available for local researchers and decision-makers. Moreover, research activities targeting the themes of vulnerability reduction and adaptation at the community level must become part of the NTPRCC.

6.1.6 Lack of Donor Harmonisation

As mentioned earlier, international organisations and donors have undertaken a wide range of projects to address climate change issues. However, the effects of those isolated activities have not led to significant improvements with regard to awareness-raising or capacity building among authorities and the wider public. Thus, it is necessary to bundle efforts and funds provided by the international donor community targeting climate-change related activities at all levels.

6.1.7 Strong Top-Down Organisation of Decision-Making and Planning

In Vietnam, planning and decision-making still follows a centralised top-down approach; the plans developed at the city level are static and too inflexible to integrate bottom-up developments. Furthermore, genuine people's participation in planning and public decision-making as well as local self-management are still innovative concepts that are only insufficiently applied and tested. While authorities and planning institutions lack the capacity and resources to integrate community-level perspectives into their planning procedures, communities are not yet fully empowered to actively participate in public planning and decision-making. These facts suggest that promoting CBA as a bottom-up approach is difficult in the context of Vietnam. Authorities need to be convinced of the advantages of CBA and other community-based development approaches and city or provincial action plans must show practical ways to integrate bottom-up approaches into city or province-level development plans.

6.1.8 Limited Independence of Civil Society

The limited freedom of action of CSOs in Vietnam is a threat to bottom-up approaches such as CBA. Thus, it is required to highlight the importance of CSOs as partners in climate change adaptation and to develop functioning and effective cooperative mechanisms between state and civil society actors. Moreover, the capacities of MOs, which often take on responsibilities of CSOs at the local level, must be strengthened. However, the overarching influence of the CPV on planning, decision-making, civil society development and everyday life cannot be addressed by the CBA-AGMM. Consequently, it is required to convince representatives the CPV and decision-makers at all levels of the advantages of CBA.

6.1.9 Lack of Community Information and Empowerment

Overcoming the lack of community empowerment and awareness regarding climate change is one of the fundamental objectives of the CBA approach, of the CBA-GMM and eventually of the CBA-AGMM. The CBA-GMM and the CBA-AGMM aim at suggesting an approach to enable and empower communities to develop and implement their own adaptation projects and to become considerable actors in urban development and climate change adaptation. This can be done through pilot projects, through the generation of convincing results and through learning-by-doing as well as through the development of participatory methods and tools adequate for the Vietnamese context.

6.2 Result 2: Concept for the CBA-AGMM

Similar to the CBA-GMM, the CBA-AGMM is a combination of a 'policy instrument', of a 'governance approach' and of a 'management approach', which are adapted to Vietnamese conditions. (cf. Fig. 6-1)

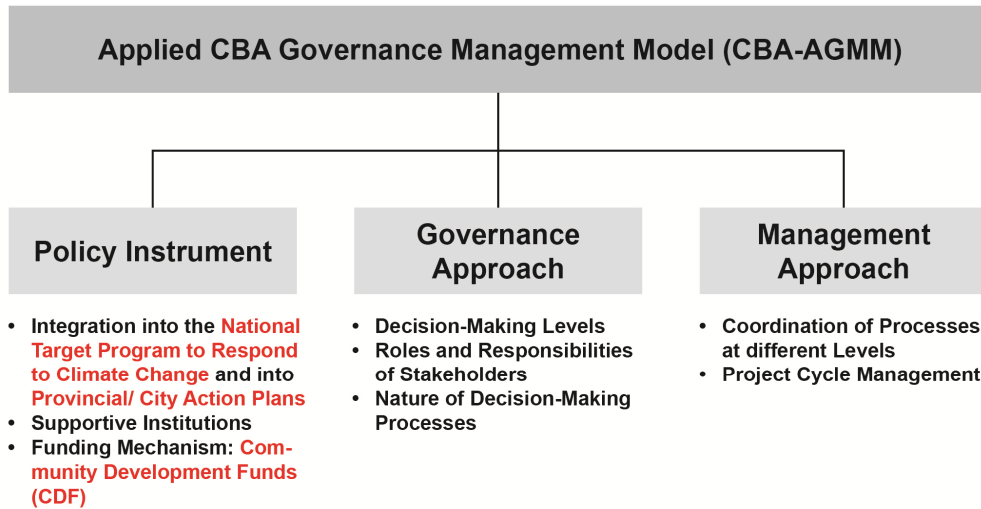


Fig. 6-1: Composition of the Applied CBA Governance Management Model
(own figure)

6.2.1 Objectives

The overarching objectives of the CBA-AGMM roughly correspond with those of the theoretical CBA-GMM. Thus, the general objectives of the CBA-AGMM are to

- create three or more levels of decision-making that interact with each other,
- promote a governance approach - in contrast to political steering - that fosters partnerships and networking between all stakeholders and decision-making procedures that are based on negotiation and consensus building,
- encourage learning and capacity building among all stakeholders involved,
- contribute to research on climate change and climate change adaptation,
- set-up a funding mechanism that enables communities to raise and manage funds for adaptation measures,
- keep administration efforts and costs low in order to enable simple replication, out-scaling and up-scaling,
- foster climate change impacts assessments at all levels,
- enable the development of adaptation strategies and plans at all levels,
- support community-based or community-managed implementation,
- allow for integrated multi-level monitoring and evaluation in order to assess the progress and effectiveness of adaptation efforts at all levels.

As the CBA-AGMM is tailored to the particular conditions of Vietnam, it also follows a range of Vietnam-specific objectives. Thus, furthermore, the CBA-AGMM aims at

- providing a governance and steering structure that corresponds with the Vietnamese administrative levels and that integrates existing institutions and organisations,
- encouraging cross-departmental collaboration at the city and district level,
- opening up the strongly hierarchical top-down organisation of planning and decision-making,
- empowering communities and local governments to develop and implement their own adaptation strategies,
- linking the CBA-AGMM to the existing policy framework,
- fostering awareness-raising, capacity building and learning among the wider public and among institutions at all administrative levels,
- setting-up a pro-poor funding system which is mainly based on community savings, but supported by government funds,
- enabling local actors and organisations to undertake programme and project implementation and to relinquish permanent (foreign) expert support.

6.2.2 Policy Instrument

6.2.2.1 Integration into the NTPRCC

Similar to the theoretical CBA-GMM, a national programme is considered to be the adequate policy instrument to initiate, enable and coordinate voluntary CBA activities in Vietnam. However, as the Government of Vietnam has already set-up and started to put into practice the NTPRCC, it seems worthwhile to incorporate CBA as one component. However, integrating CBA into the NTPRCC will enhance the range of tasks of authorities at the local levels, but also foster the active integration of communities, CSOs, researchers and professionals. In order to enable and empower stakeholders at the local levels to implement the NTPRCC and CBA activities respectively, the national government needs to provide guidance and adequate financial resources on the one hand, and to distribute decision-making powers to local stakeholders on the other. The integration of CBA would also help to achieve some of the NTPRCC's objectives: Firstly, local-level, community-based assessments can supplement national-level and city-level assessments of climate change impacts. Secondly, CBA as a

local-level approach can help to identify and implement locally relevant response measures and lead to a better understanding of community-level issues related to climate change. Thirdly, city and provincial action plans may benefit from the active integration of communities and other relevant stakeholder groups and from the implementation of community-level adaptation projects. Fourthly, awareness among vulnerable population groups will be enhanced and their adaptive capacity will be built. Fifthly, the implementation of CBA will foster the establishment of partnerships between different actors, e.g. between local authorities, communities, experts, researchers, MOs and CSOs, as well as the pooling of knowledge on climate change and on best-practice adaptation solutions.

Similar to the concept of the national programme developed for the CBA-GMM, the integration of CBA into the NTPRCC may foster the decentralisation of decision-making and work with different levels. The NTPRCC, developed at the national level, encourages every centrally-controlled city and every province to develop action plans that are tailored to their specific situation. Thus, city and provincial authorities and departments may integrate CBA as a community-level approach into their action plans. A city-level or province-level 'steering committee', as suggested by the CBA-GMM, may help to integrate the perspectives of civil society actors, researchers and academia as well as of local communities into the action plan. Subordinate local 'steering committees' may coordinate the implementation of community-level CBA activities as a part of the city-level or province-level action plan. Consequently, city-level or province-level 'steering committees' as well as local 'steering committees' represent intermediary institutions that help to link the top-down strategy of the national level to bottom-up strategies developed at the community level.

6.2.2.2 Pro-Poor Funding Mechanism

A pro-poor funding mechanism that attends to the needs and capacities of vulnerable communities is considered to be a main enabling factor for CBA activities. The concept of the funding mechanism integrated into the CBA-GMM may be transferred to the real context of Vietnam and linked to existing policies and mechanisms.

6.2.2.2.1 Allocation of Funds for CBA

In Vietnam, the NTPRCC offers opportunities to institutionalise CBA as a local-level approach, namely by integrating CBA into provincial or city action plans to respond to climate

change. If done so, the funding for the implementation of CBA projects would become part of the provincial or city budget for climate change related projects.

The budgets for the integration of CBA into the provincial and city action plans should include financial resources for

- Administrative purposes,
- Grants and subsidies ('seed funds') provided for CBA projects and community savings and revolving funds,
- Compensation for 'steering committees' at the province or city level as well as at the 'zone' or district level and for implementation partners, such as local facilitators, researchers, experts, etc.

Cities or provinces should add CBA projects to their action plans and integrate cost estimates for their implementation accordingly. The approval processes should follow the existing official procedures. Consequently, the proposals should be submitted to MoNRE, the leading ministry in charge of the implementation of the NTPRCC. MoNRE then negotiates the annual budget allocation with MPI and MoF. MPI, in cooperation with MoF, approves the allocation of the budget for selected projects and submits its decision to the Prime Minister. The Prime Minister approves the state budget for the NTPRCC (composed of the central and provincial budget as well as of ODA loans) including the financial resources for the implementation of action plans and CBA activities at the provincial and city level. This budget is transferred to the city or province as a part of the municipal or provincial budget.

The budget for the implementation of CBA and for the provision of 'seed funds' should ideally be managed by the city or provincial-level 'steering committee', based on guidelines and regulations that ensure transparency and accountability. The CBA-GMM suggests the development of guidelines and regulations at the national level; however, in the case of Vietnam, guidelines and regulations for fund management may also be developed individually at the city or provincial level by a 'steering committee' in a participatory and democratic approach.

The guidelines and regulations for fund management should help to regulate the covering of personnel expenses that occur in administrations and departments, expert fees and expenses of the city-level and local 'steering committee'. Moreover, guidelines, regulations and work procedures should be developed for the distribution of 'seed funds' to collective savings and revolving funds. The guidelines should determine the size of the 'seed fund', the conditions

for the distribution of the ‘seed fund’ and whether the ‘seed fund’ should be provided as a grant or as a low-interest loan. The conditions for the distribution of the ‘seed fund’ to established savings funds may take into account the number of savings groups that contribute to the fund, the regularity of savings or the transparency of the savings fund management. Moreover, an institution should be formally assigned to manage the distribution of ‘seed funds’ at the city or provincial level; ideally, the distribution should be undertaken by the city or province-level ‘steering committee’ and formally linked to an authority or MO. As an institution, which has major experience in managing CDFs and other savings and revolving funds at different levels, the Association of Cities of Vietnam (ACVN) should be consulted. At the community level, the ‘seed fund’ may be managed as suggested by the CBA-GMM.

6.2.2.2 Community-Savings and Revolving Funds

The concepts of community savings and revolving funds and Community Development Funds (CDF) is sufficiently established in Vietnam; communities as well as city and provincial authorities and CSOs are well aware of the approach and its implementation procedures. Thus, based on the funding system suggested by the CBA-GMM, a CDF or a voluntary community savings and revolving fund can be established in order to raise funds for CBA measures. ‘Seed funds’ for new community savings and revolving funds may be provided from the budget allocated for the implementation of the NTPRCC. Fund management at the community or ward level may be supported by local ‘steering committees’, CSOs and representatives of MOs.

6.2.3 Governance Approach

6.2.3.1 Decision-Making

The decision-making levels as suggested by the CBA-GMM should be adapted to the Vietnamese decision-making hierarchy. Here, decisions are taken at the national level, provincial or city level, district, provincial city or town level and at the ward, commune or township level. The CBA-AGMM shall take into account these existing levels; however, the decision-making structure for each province or city is dependent on the local context and may vary. With regard to the CBA-AGMM, all levels should have their own tasks and responsibilities, as described in section 6.2.4.3.

The ideal CBA-GMM is based on the decentralisation of decision-making and on network governance; however, this concept needs to be reconsidered and adapted to the strong hierarchical system of decision-making and political steering in Vietnam. Nevertheless, to a certain degree the Vietnamese administrative system allows for the decentralisation of decision-making, if CBA is organised 'through the system'.

The highest decision-making level considered by the CBA-AGMM is the national level. Here, CBA should be integrated as a component into the NTPRCC, and supportive policies should be developed. Furthermore, a strategy should be developed for the guidance and coordination of CBA activities at all subordinate levels.

The second decision-making level is the level of the province or of the centrally-controlled city. According to the NTPRCC, provincial and city authorities are obliged to develop action plans and strategies to address climate change issues within their sphere of influence. Ideally, provincial or city authorities should integrate CBA into their action plans and support citywide CBA activities. The third level is the 'zone' or district level (or alternatively, the level of the rural district, provincial city or town within a province). Here, a detailed approach should be developed for the initiation, facilitation and coordination of CBA activities, based on the city or provincial action plan. The fourth level, often circumscribed as the community level, may refer to the ward, township or commune level and even to smaller sub-divisions, such as the sub-ward or block level. At this level, communities should develop and implement 'community action plans' to respond to climate change.

However, the strong top-down organisation of the Vietnamese administrative system, which requires regular reporting from lower to higher administrative levels, may be supportive to the sharing of decision-making and planning responsibilities; however, on the negative side, it may also entail the risk of hampering or slowing-down decision-making and approval processes.

6.2.3.2 The Integration of Top-Down and Bottom-Up Approaches in Vietnam

The NTPRCC as a government programme represents the traditional top-down approach; however, within the framework of the CBA-AGMM, the NTPRCC has the power to enable CBA as a bottom-up approach. Similar to the CBA-GMM, the CBA-AGMM aims at linking top-down and bottom-up strategies and approaches, as illustrated in Fig. 6-2 and Fig. 6-3. Both, the provincial or city level and the 'zone' or district level are intermediary levels that link

the national - rather top-down oriented - strategy of the NTPRCC and bottom-up CBA activities.

At the city or provincial level, the NTPRCC is interpreted and implemented; a specific action plan to respond to climate change is developed in accordance with local conditions. At the district or 'zone' level, the city or province-level strategy is again broken down and a strategy for the initiation and guidance of CBA activities is developed. Furthermore, local-level information as well as evaluation and monitoring results from the different community-level activities are gathered at the 'zone' or district level, and communicated 'up-wards' to the city or province level, and eventually to the national level.

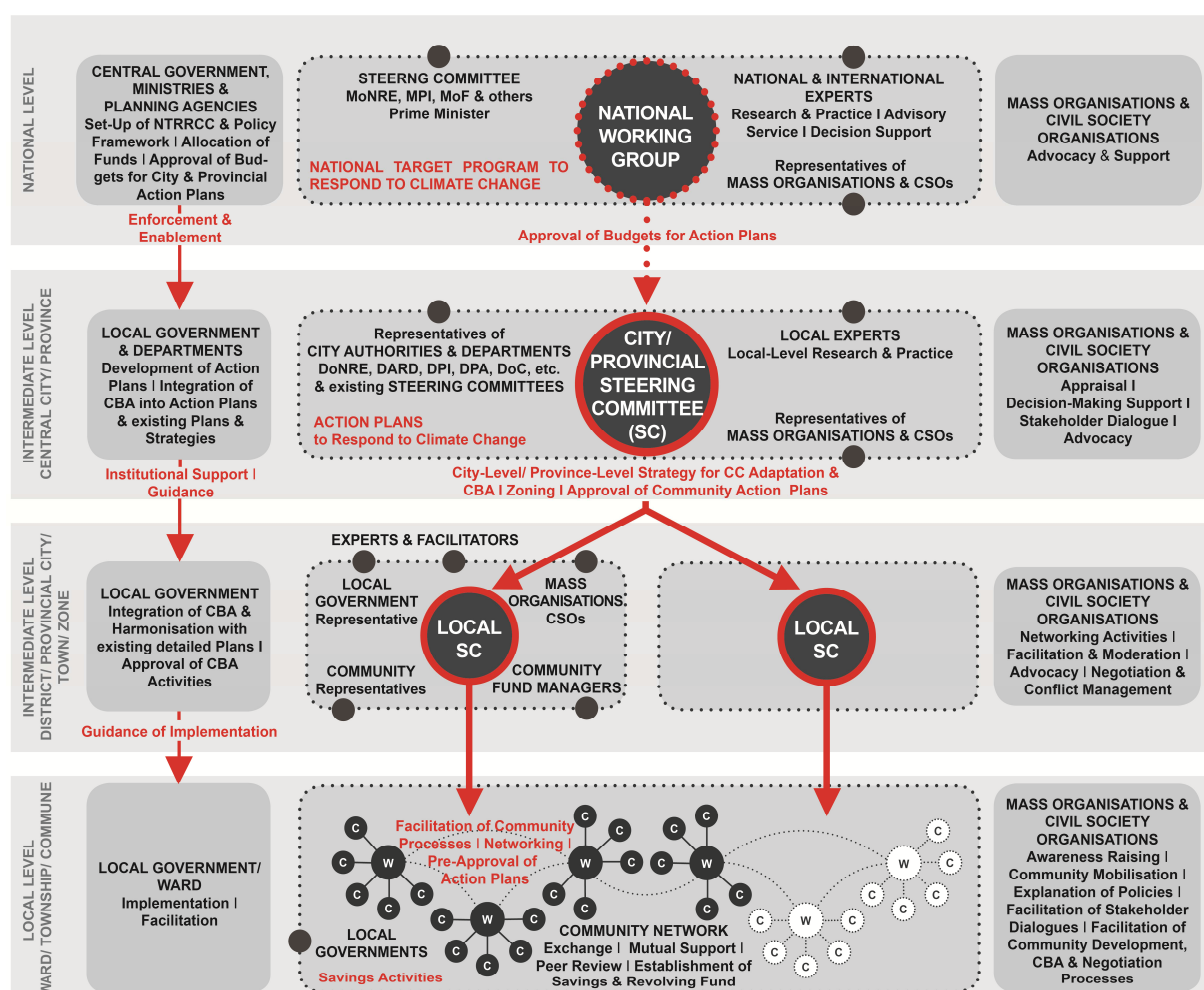


Fig. 6-2: Top-Down Organisation within the CBA-AGMM Governance Approach
(own figure)

However, due to the particular political circumstances described earlier, CBA activities are subject to approval from the People's Committees at the respective levels. Thus, the influ-

ence of decision-makers and of top-down decisions on local initiatives will be stronger and the scope for autonomous decision-making at the community level will be smaller compared to other societies.

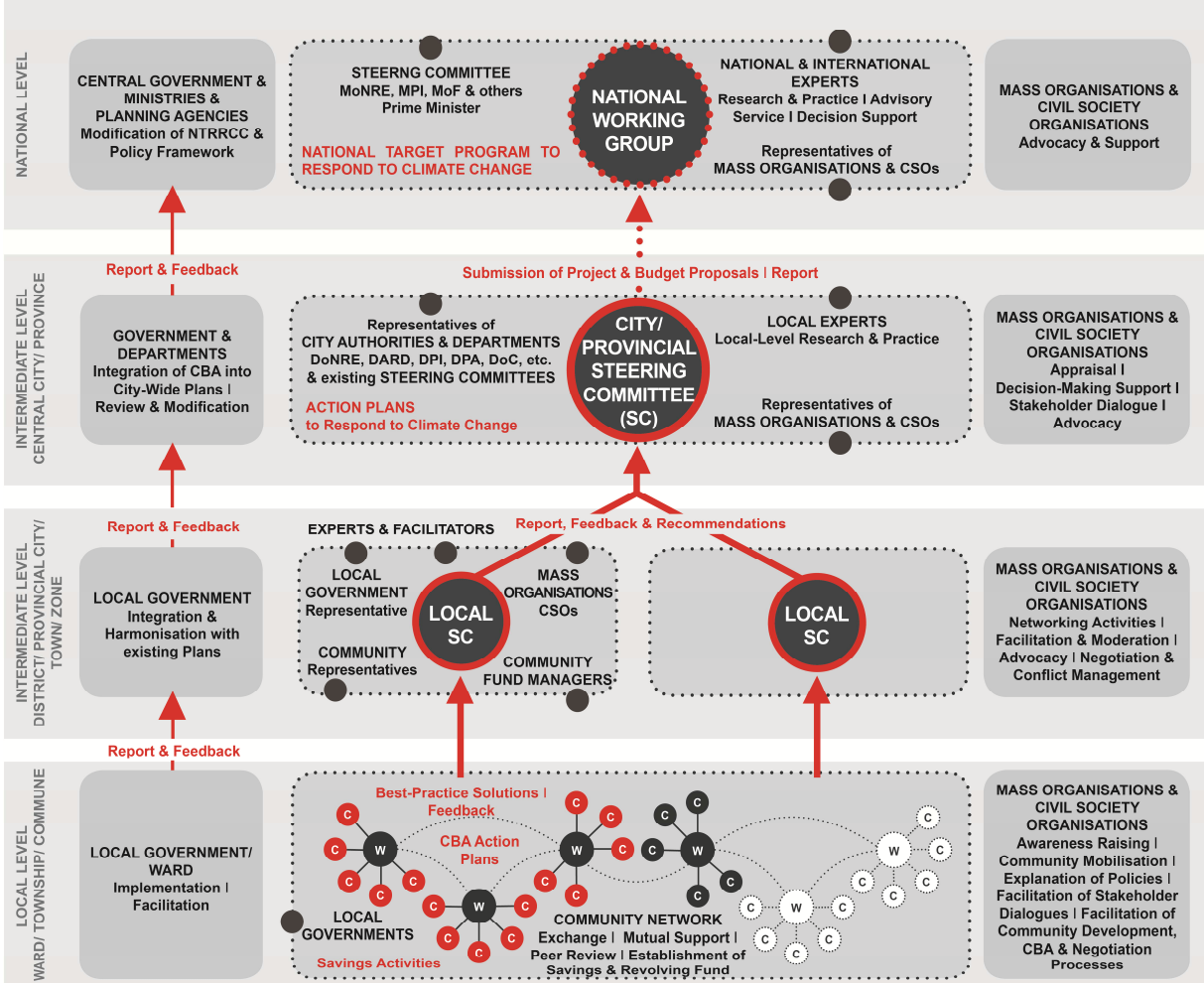


Fig. 6-3: Bottom-Up Organisation within the CBA-AGMM Governance Approach
(own figure)

As discussed earlier, the initiation of CBA and other local development initiatives is still perceived as critical by the many Vietnamese decision-makers. Thus, two scenarios have been developed for the initiation of CBA in Vietnam. Both consider the integration of CBA into the NTPRCC, but foresee different stakeholder groups as initiators.

The first scenario is based on the assumption that city or provincial authorities have developed political will to support community-driven bottom-up approaches, such as CBA. Thus, CBA may be ‘formalised’ in the beginning as a feasible approach to implement the NTPRCC

at the local level. Ideally, CBA projects should be integrated into city or provincial action plans to respond to climate change. Funds for the implementation of CBA - as a part of the budget allocated for the implementation city and province-level action plans - should then be negotiated and approved by central-level authorities, namely MoNRE, MoF and MPI.

The second scenario is based on the assumption that political awareness and political will to foster CBA is absent and needs to be stimulated in a first step. In this case, CBA activities must be implemented as rather 'informal' local-level activities initiated by LNGOs and other CSOs that create convincing results and that entail government support in the long-term.

6.2.3.3 Roles and Responsibilities of Stakeholders

As mentioned above, two scenarios have been developed for the initiation of CBA. In the following paragraphs, roles and responsibilities of stakeholders involved in the implementation of the NTPRCC and of CBA are described; this description focuses on the governance and management of CBA after a successful initiation phase.

6.2.3.3.1 National Level

Ministries, and MoNRE in particular, are concerned with the coordination and implementation of the NTPRCC. Moreover, MoNRE, MoF and MPI as well as the Prime Minister are the institutions at the national level to support and to approve climate change activities as part of provincial and city action plans; furthermore, these institutions approve the allocation of the annual budgets for the implementation of the NTPRCC and of the local action plans respectively. With this national programme in place, it is not required to develop and launch another separate programme to promote and enable CBA. Instead, the enablement of CBA should be incorporated as an additional objective and task into the NTPRCC.

In order to facilitate the integration of CBA and the readjustment of the NTPRCC, a national-level working group should be formed, comprised of representatives of the concerned ministries, such as MoNRE, MARD, MPI, MoF and others, and of representatives of MOs, networks and organisations which are active in the field of climate change adaptation and disaster management, such as the Disaster Management Working Group (DMWG), the Climate Change Working Group (CCWG) or the Vietnam Network of Civil Society Organizations and Climate Change (VNCSCC) as well as of national and international experts. However, as a national 'steering committee' for the set-up and implementation of the NTPRCC is already in

place, the suggested national-level working group should become an extended committee to advise on the modification and improvement of the NTPRCC.

Moreover, a monitoring and evaluation system needs to be developed at the national level in order to assess the success of the NTPRCC and CBA, to identify constraints for the implementation of the NTPRCC and to develop necessary modifications. (cf. Fig. 6-4)

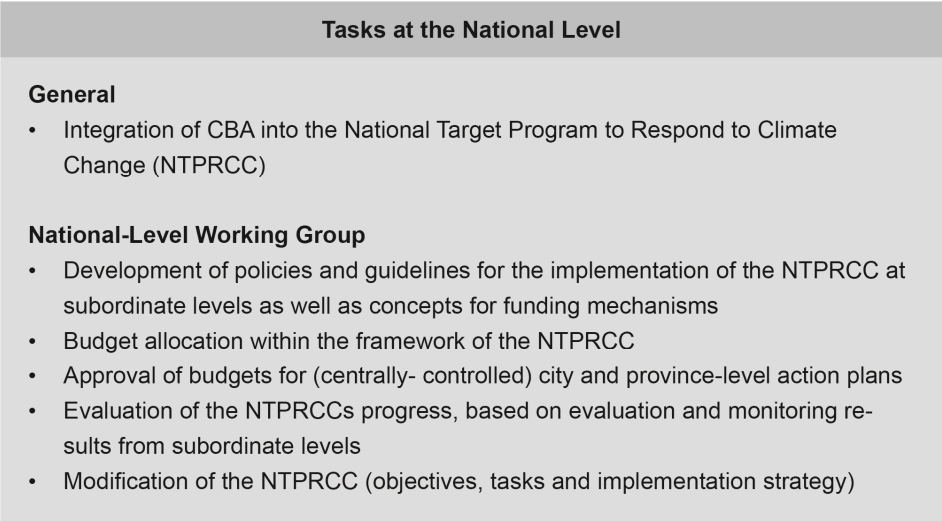


Fig. 6-4: Tasks at the National Level (CBA-AGMM)
(own figure)

6.2.3.3.2 City Level

Cities and provinces of Vietnam are required to develop action plans to respond to climate change in accordance with the NTPRCC. This is done by institutions particularly established for this purpose; one example for this kind of institution is the Climate Change Coordination Office (CCCO) established under the People’s Committee in Da Nang in 2011. CCCO assists the Da Nang ‘Steering Committee for Climate Change Response and Sea Level Rise’ to develop and put into practice the ‘Plan for Responding to Climate Change and Sea Level Rise in Da Nang by 2020’. (Standing Office of Danang Steering Committee for Response to Climate Change and Sea Level Rise 2014). Equivalent coordinating mechanisms in HCMC are the ‘City Steering Committee for Flooding and Storm Prevention’ or the ‘HCMC Climate Change Steering Board’.

However, in order to consider all aspects and all relevant stakeholders as far as possible, the formation of city-level or province-level ‘steering committees’ is suggested, which comprise of representatives of different stakeholder groups, such as city-level or province-level authori-

ties, existing steering committees concerned with climate change, planning departments such as DoC and DoNRE, researchers and representatives of the city-level MOs such as the Women Union or Youth Union, CSOs and experienced community leaders. The 'steering committee' should be set-up through a roundtable meeting that helps to discuss perspectives of all stakeholders and to come to agreements regarding the different roles and responsibilities.

The city-level or provincial-level 'steering committee' should develop an overarching strategy and an action plan to respond to climate change at the city or province level as well as indicators and mechanisms for monitoring and evaluation. In cooperation with experts, researchers, civil society actors and MOs, the 'steering committee' should undertake city or province-wide assessments of climate change impacts and identify vulnerable population groups.

Tasks at the (Centrally-Controlled) City or Province Level

General

- Development of a city or province-level action plan to respond to climate change and integration of CBA as one component
- City-wide climate change impact assessments and scenarios
- Determination of objectives, performance indicators and schedules
- Establishment of supportive institutions that involve representatives of all relevant stakeholders, such as a city-level 'steering committee'

Centrally-Controlled City or Province-Level 'Steering Committee'

- Identification of hazard-prone areas and vulnerable communities located within the administrative boundaries
- Development of an action plan integrating CBA as a local-level approach
- Development of a 'zoning' plan
- Initiation of (or support of existing) CBA pilot projects as 'learning laboratories'
- Development of an out-scaling strategy
- Encouragement of the establishment of local 'steering committees' at the 'zone' or district level that help to coordinate, govern and manage the increasing number of CBA projects
- Development of guidelines for the work of local 'steering committees'
- Approval of local CBA projects in cooperation with local authorities (highest level)
- Administration and distribution of 'seed funds'
- Collection of evaluation reports and feedback from the subordinate levels
- Constant evaluation, review and modification of the (centrally-controlled) city or provincial action plan
- Reporting to the national-level working group and compilation of recommendations for the modification of the NTPRCC

Local Authorities at the (Centrally-Controlled) City or Provincial Level

- Determination of the scope of autonomous decision-making at subordinate administrative levels and at the community level
- Official approval of the (centrally-controlled) city or provincial-level action plan

Fig. 6-5: Tasks at the City or Province Level (CBA-AGMM)
(own figure)

The 'steering committee' at city level should determine 'zones', an area or grouping of areas with similar degrees of susceptibility to a set of hazards. Alternatively, where 'zoning' is not an adequate approach, the 'steering committee' may classify urban or rural districts, towns and provincial cities with regard to their degree of susceptibility. Moreover, the 'steering committee' should develop strategies and work procedures to initiate and support the development of local adaptive capacity and CBA in line with other existing city-level plans and strategies.

For each 'zone', implementation guidelines should be developed and clear responsibilities should be assigned to different stakeholder groups. In addition, the city or province-level 'steering committee' must find a *modus operandi* for the distribution of 'seed funds' and compensations for implementation partners, e.g. 'steering committee' members, experts and facilitators. Moreover, the 'steering committee' in cooperation with city and provincial authorities should determine the degree of autonomy for each local initiative - which is particularly important in the case of Vietnam - as well as the authority in charge for the formal approval of the CBA activities. This should ideally be the local authority at district level, in order to disburden city and provincial-level authorities.

The city or province-level 'steering committee' should encourage the establishment of local support groups or local 'steering committees' and coordinate their work. Moreover, the city-level 'steering committee' should be the highest institution to review proposals for CBA action plans and to suggest modifications; in cooperation with the assigned authority, the city or province-level 'steering committee' should approve CBA action plans. The city or province-level 'steering committee' should also be responsible for the organisation of networking events and mass learning.

The city-level and province-level 'steering committees' should request regular feedback reports from subordinate local 'steering committees' and based on these revise and modify the province or city-level strategy. Regular reports should then be submitted to the national-level working group, and to MoNRE in particular. (cf. Fig. 6-5)

6.2.3.3.3 The Level of the 'Zone' or District, Town or Provincial City

Ideally, each 'zone' or district (or any other administrative subdivisions) affected by climate change impacts should be supported through a local 'steering committee'. These local 'steering committees' should be flexible groupings that comprise of local community representatives and fund managers, representatives of local People Committees and MOs, community facilitators and CSOs as well as of scholars and experts.

The local 'steering committees' should coordinate CBA activities within their 'zone' or district; they should organise awareness-raising campaigns, identify communities willing to start CBA activities and initiate 'zone' or district-wide participatory impact assessments. Moreover, they should facilitate negotiation processes regarding the scope of CBA activities and the development of simple rules and regulations for the implementation of CBA measures. The local

'steering committee' should also support individual community-level activities, such as local-level in-depth assessments, action planning and the implementation of CBA strategies and measures as well as monitoring and evaluation. They should also support savings group activities and fund management.

Tasks at the 'Zone' or District Level
<p>General</p> <ul style="list-style-type: none"> • Coordination and direct facilitation of local CBA activities • Moderation of negotiation processes between different communities
<p>Local 'Steering Committee'</p> <ul style="list-style-type: none"> • Facilitation of 'zone' or district-level participatory impact assessments • Development of a locally relevant strategy and methodology for coordination and facilitation • Awareness-raising and community mobilisation • Organisation of 'zone' or district-wide community coordination workshops to determine the scope of CBA activities and to formulate a regulation • Organisation of community workshops and facilitation of action planning activities • Provision of assistance during the implementation phase • Provision of assistance to community savings groups and fund managers of community savings and revolving funds • Provision of support for the formulation of financial project proposals • Pre-approval of financial project proposals • Support of monitoring and evaluation activities • Constant monitoring and evaluation of the 'zone' or district-level activities, modification of approaches and methodologies • Formulation of feedback and recommendations for the city and national Level
<p>Local Authority</p> <ul style="list-style-type: none"> • Approval of CBA action plans and activities at the community level

Fig. 6-6: Tasks at the 'Zone' or District Level (CBA-AGMM)
(own figure)

Local 'steering committees' should also review the proposals for CBA action plans, suggest modifications, and finally, pre-approve the action plans before the final approval from the city or province-level 'steering committee' and the assigned authority is sought. For those communities contributing to collective funds at 'zone' or district level, the approval of the community action plans is directly linked to the permission to borrow from the collective savings and revolving fund.

Furthermore, local 'steering committees' organise community events and help to moderate decision-making processes at the community level. In the particular context of Vietnam, local 'steering committees' may also have the additional task of supporting local authorities in approving CBA activities. Moreover, local 'steering committees' should regularly report to city or province-level 'steering committees' and provide recommendations regarding the improvement of the city or province-level strategy. (cf. Fig. 6-6)

6.2.3.3.4 Community Level

Similar to the roles and responsibilities of communities mentioned in the concept of the CBA-GMM, communities in Vietnamese cities and provinces should be enabled and empowered to become the core actors in adaptation activities at the community level. Supported by facilitators, communities should get the opportunity to undertake experience-based assessments of local climate change impacts by themselves, to negotiate the scope of local-level adaptation activities with neighbouring communities at the 'zone' or district level and to formulate a simplified regulation for the planning and implementation of CBA within their 'zone' or district. Based on the regulation, communities should develop and implement their own adaptation action plans that are subject to approval by their local 'steering committee', by the city or province-level 'steering committee', in order to eliminate the risk of mal-adaptation, as well as by the assigned local authority. Moreover, the participating communities should monitor and evaluate the success and effectiveness of their action plans and adaptation measures.

Moreover, communities should be enabled to voluntarily raise and manage their own savings and revolving funds and eventually to contribute to a larger collective fund or to an established CDF. If communities who contribute to a collective fund have developed a CBA action plan that is approved by the different institutions, they may borrow from the collective fund in order to put their plan into practice. Furthermore, communities should be encouraged to exchange their knowledge and experience and support other communities. (cf. Fig. 6-7)

Tasks at the Community Level
<p>General</p> <ul style="list-style-type: none"> • Voluntary participation • Planning and implementation of CBA activities • Voluntary initiation of savings and contribution to savings and revolving funds
<p>Individual Communities</p> <ul style="list-style-type: none"> • In-depth experience-based assessment of local climate change impacts, of locally available resources and capacities as well as of existing response strategies • Participation in coordination meetings in order to negotiate the scope of CBA activities with other communities located within the same 'zone' or district and in order to develop a regulation • Development and implementation of CBA action plans • Starting of savings at the household and community level, establishment of a savings group, contribution to savings and revolving funds • Development of a financial project proposal in order to become eligible for a loan • Monitoring, evaluation and modification of CBA activities • Formulation of recommendations for the 'steering committees' at the local, city and at the national level

Fig. 6-7: Tasks at the Community Level (CBA-AGMM)
(own figure)

6.2.4 Management Approach

As mentioned earlier, two scenarios were considered for the initiation of CBA activities in Vietnam, namely the initiation by decision-makers, ideally at the national, province or city level, or else, in the absence of official awareness and support, by local or international CSOs. In the following section, the potential initiation processes are explained in detail.

6.2.4.1 Scenario 1: Initiation by Decision-Makers

CBA activities in Vietnam may be initiated top-down, e.g. as a target programme, and thus, as a part of the political agenda. However, the political leaders of Vietnam have already started to undertake first steps to institutionalise climate change response and to integrate climate change concerns into planning and decision-making through the launching of the NTPRCC. The NTPRCC requests provinces and centrally-controlled cities of Vietnam to develop and implement locally relevant action plans; consequently, these action plans appear to be the adequate instruments to foster CBA at the city or province level, to enhance adaptive capacity and to reduce vulnerability among the local population. The national level is

integrated into the procedures as MoNRE, MPI and MoF need to approve the proposals and budgets for the implementation of the local action plans.

At the city or provincial level, assessments of climate change impacts and the identification of vulnerable population groups are the first initial steps prior to developing an action plan. The action plan itself should integrate

- short-, medium- and long-term strategies as well as measures to climate change adaptation and disaster risk reduction at different levels, from the provincial or city level to the ward, township or commune level,
- hard adaptation measures, such as the application of physical or technical adaptation solutions as well as
- soft adaptation measures, such as adapted land-use management or behaviour change of the wider public.

The integration of CBA into a city or provincial action plan helps to link community-level adaptation efforts to city or provincial-level plans and policies and to coordinate CBA in order to avoid mutual disturbances. The procedure for integrating CBA into a city or provincial action plan is relatively simple. After an initial assessment phase, the local institution assigned to develop the action plan, e.g. planning departments, coordinating mechanisms or established 'steering committees', should identify communities that would voluntarily pilot CBA activities. In consultation with these communities, experts and facilitators, a budget should be prepared for the implementation of the CBA pilot projects within the framework of the provincial or city action plan. A financial proposal should be formulated and submitted to MoNRE for approval.

After the approval and allocation of funds for the implementation of the city and provincial action plan, the preparation for the implementation of the CBA pilot projects can begin. At the city or provincial level, a strategy needs to be developed for the implementation of CBA at the city or provincial level in the short- and in the long-term, for the harmonisation of CBA with existing development plans and policies, such as master plans, detailed master plans and land-use plans, and for the guidance of the implementation process at the community level. Furthermore, an understanding should be developed regarding the comparability, information value and usability of the results.

At this point, the implementation of CBA pilot activities should be passed on to the community level. Pilot communities should put into practice CBA pilot projects, as described by the

CBA-GMM, guided and supported by experienced community facilitators who could be representatives of MOs, VNGOs and INGOs or else, engaged local authorities, community architects, researchers or practitioners. The CBA pilot projects should be continuously monitored and evaluated in order to support the formulation of lessons learnt.

The CBA pilot projects should not only be monitored and evaluated at the community level, but also at the city and provincial level in order to assess the success (or failure) of the action plan. As the CBA activities and the achievements of the action plan contribute to the implementation of the NTPRCC, an evaluation report should be submitted to the national level.

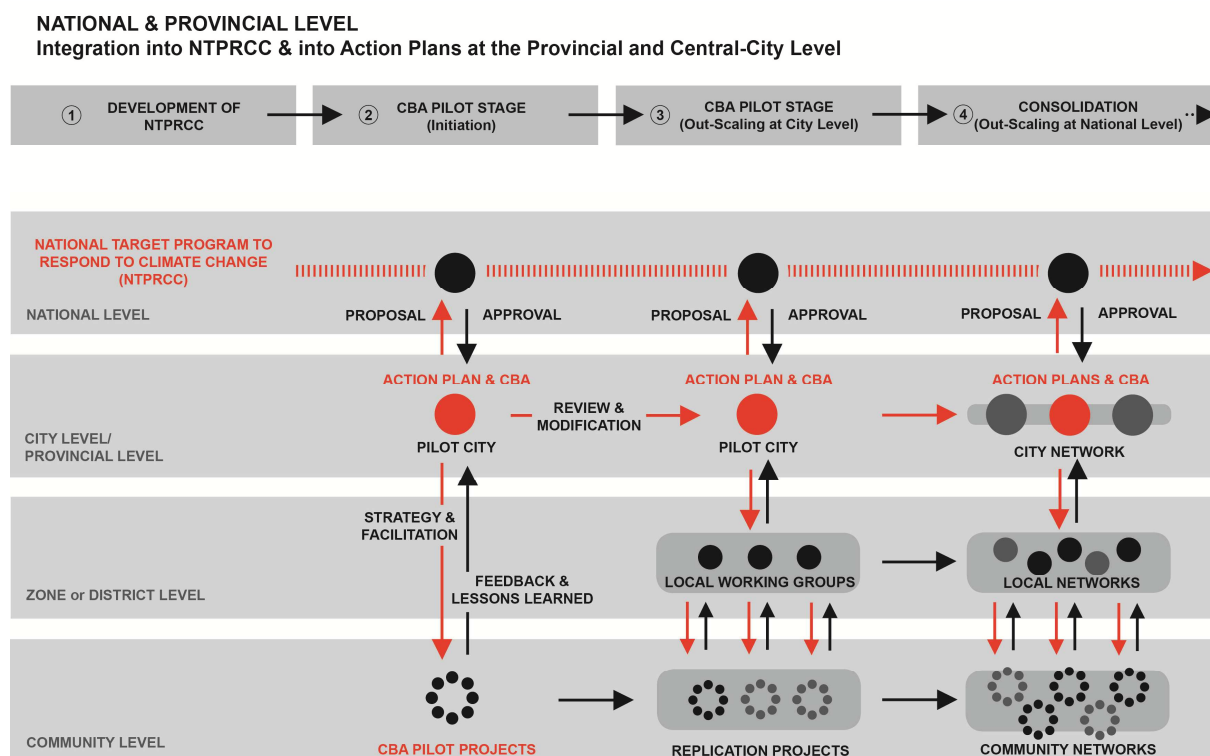


Fig. 6-8: Integration of CBA into NTPRCC as an Initiative of State Actors
(own figure)

Based on the results of the evaluation of the action plan, the strategy for the next implementation period should be reviewed and modified. Ideally, the city or provincial ‘steering committee’ should develop an out-scaling strategy to transfer the CBA approach from the pilot communities to others. Based on city-level assessments, the city-level ‘steering committee’ should develop a ‘zoning’ map determining ‘zones’ with different demands for action as well as priority areas. The ‘zoning’ should be followed by the establishment of local support

groups or local ‘steering committees’ under the city or provincial ‘steering committees’ or other coordinating mechanisms, as suggested by the CBA-GMM. (cf. Fig. 6-8)

6.2.4.1.1 Preparatory Stage: Political Preconditions

Under this scenario, the enablement and empowerment of local-level activities is based on political will and commitment. The Government of Vietnam has launched the NTPRCC, which requests all provinces and centrally-controlled cities to formulate and implement action plans to respond to climate change. However, it is suggested here, that the NTPRCC and the action plans should explicitly incorporate CBA and local adaptive capacity development.

6.2.4.1.2 CBA Pilot Stage: Initiation

This stage largely corresponds with the CBA-GMM. The province or city should establish a city-level or provincial ‘steering committee’, identify pilot communities and implement CBA pilot activities as ‘learning laboratories’. The CBA pilot projects should be monitored and evaluated from different perspectives. The lessons learnt from these projects help to modify the strategic approach of future activities, at the community as well as at the conurbation or provincial level.

6.2.4.1.3 CBA Pilot Stage: Out-Scaling at City-Level

Based on the lessons learnt from the previous stage, this second ‘pilot stage’ should foster the replication of the initial CBA pilot projects. In order to follow a strategic approach, the city-level or provincial ‘steering committee’ should develop a ‘zoning plan’ and identify priority areas for the application of CBA. Moreover, the ‘steering committee’ should initiate the building of local support groups or local ‘steering committees’ to facilitate out-scaling and support networking, negotiation between communities, exchange and mass learning events.

6.2.4.1.4 Consolidation Stage: Out-Scaling at the National Level

Ideally, best-practice solutions should be disseminated nation-wide among all stakeholder groups. City and provincial authorities who are linked through the Association of Cities of Vietnam (ACVN) and their ‘steering committees’ should share their experiences with the network and support each other. Moreover, facilitators and local support groups or ‘steering

committees' as well as communities should network, not only within one city, but within the entire country.

6.2.4.2 Scenario 2: Initiation by Civil Society

In the context of Vietnam, however, it is likely that official support for community-driven activities, such as CBA, needs to be stimulated – from the bottom-up - through the application of successful pilot projects and through the creation of convincing results. This scenario is largely based on the approach of VNGOs active in Vietnam, which stimulate grassroots movements - often in the absence of official support - that go beyond the scope of single, isolated pilot projects and that cannot be ignored by authorities in the long-term. (cf. Fig. 6-9)

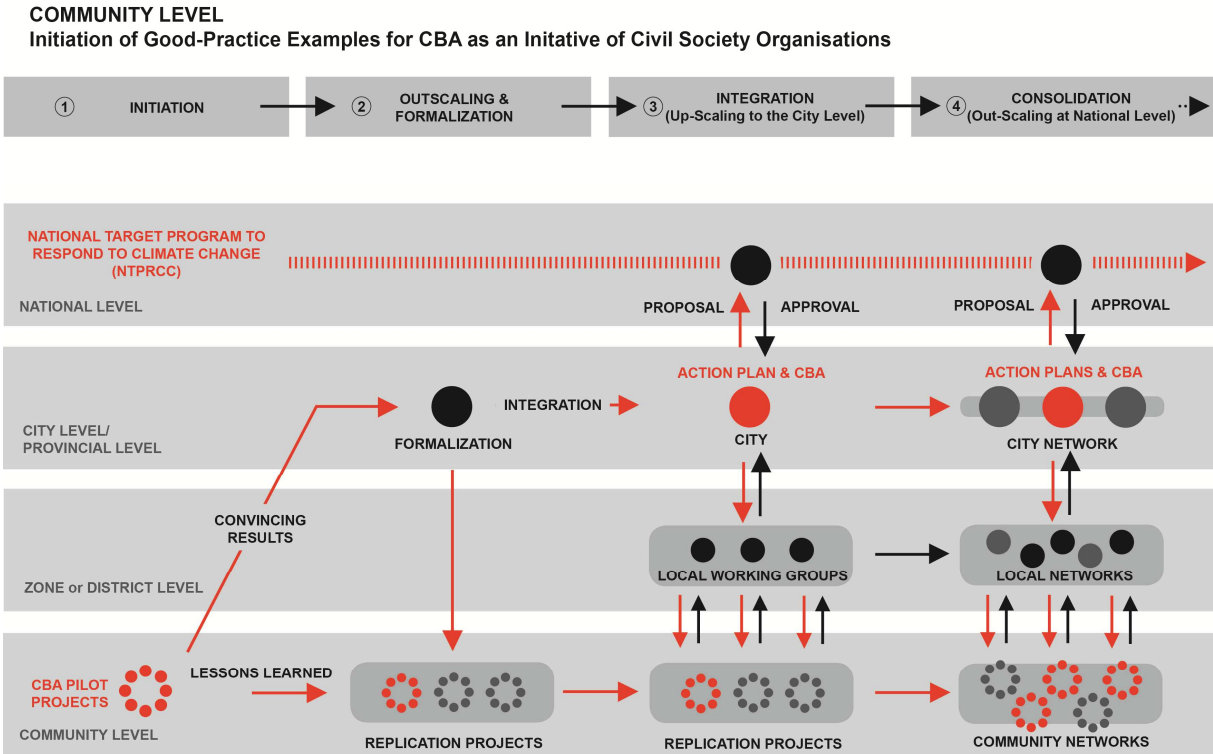


Fig. 6-9: Initiation of CBA Activities as an Initiative of Civil Society Actors
(own figure)

6.2.4.2.1 Pilot Project Stage: Initiation

The second scenario starts with the intention of CSOs, VNGOs or INGOs to support local communities in their adaptation efforts. In Vietnam, CBA pilot activities initiated by CSOs require the official support from, or at least the tolerance of, district, city or province-level

authorities, as most development activities are subject to approval. As funding might be a major concern for the initiation of CBA activities, funding partners, e.g. international organisations, INGOs or donor agencies, should be approached in order to raise funds for the starting and facilitation of the activities. As a part of the local community process, communities should be enabled to raise funds for the implementation of CBA measures by themselves in the long-term. Moreover, partnerships and support networks involving researchers and practitioners should be built.

Based on their experience, available data and expert opinions, VNGOs, INGOs and their partners should identify communities vulnerable to climate change. Among the identified communities, awareness should be raised on climate change and on low-tech adaptation options. In this phase, those communities should be selected, who have the capacity and who are willing to voluntarily put in practice first CBA pilot projects.

The CBA activities should be implemented by the communities who become core actors; the activities should be supported by facilitators, as suggested by the CBA-GMM. The results, however, should be communicated to authorities at the ward, district and city level, or else to the provincial authorities. Here, MOs, local CPV members and group leaders are important mediators. The positive outcomes of the pilot activities should also convince neighbouring communities to adopt the CBA approach and to start their own projects.

6.2.4.2.2 Pilot Project Stage: Out-Scaling and Formalisation

The CBA pilot projects, their replication and out-scaling should eventually initiate a grass-roots movement, which cannot be ignored by provincial and city authorities. If CBA projects are successful and create positive results, the provincial and city authorities will be encouraged to 'formalise' or formally accept and to support the approach as well as to exercise 'control' over its development. As a next step, city and provincial authorities should consider to integrate CBA into provincial or city action plans to respond to climate change.

6.2.4.2.3 Integration Stage: Up-Scaling to the City Level

However, under the second scenario, the planning and implementation of another set of CBA pilot projects can be skipped. Instead, the city-level or provincial-level 'steering committees' or coordinating mechanisms should evaluate the initial activities at the community level and develop a strategy to integrate CBA into their action plan and into other existing plans and

policies. From this point onwards, the procedures that focus on consolidation and out-scaling are similar to the procedures described under the first scenario. However, the integration of CBA pilot activities (that to a certain extent represent 'emerging strategies') into the newly established action plans and city-level strategies is more complicated than under the first scenario.

6.2.4.3 Project Cycle Management (PCM)

After the Initiation Phase developed for each of the two different scenarios, the interplay of the processes widely follows the project cycles developed for the CBA-GMM. However, in comparison to the CBA-GMM, the project cycles of the CBA-AGMM are started at the city or provincial level. The implementation is delegated to the next lower level, while budget approval is sought from the national level.

6.2.4.3.1 Initiation Phases

Scenario 1: Initiation by Decision-Makers

Under the first scenario, the first project cycle starts with a citywide assessment, with the identification of pilot areas for CBA having a high demand for action and with the integration of CBA into the city or provincial action plan. As a next step, approval for the budget plan has to be sought from the national level. After the approval process has ended, the city-level steering committee develops a detailed concept for pilot projects at the community level. The implementation of the concrete projects is then delegated to the community level. With the support of experts, CSOs and MOs, communities plan and implement the first CBA pilot projects. After the evaluation of the measures implemented and their short-term impacts, the first community-level project cycle is completed. The city 'steering committee' collects the feedback from the community level; with the formulation of lessons learnt, the city or provincial-level project cycle is also completed. The next project cycle at the community level may immediately start with the review and modification of the local adaptation strategy. However, the continuation of the implementation of the city or provincial action plan is dependent on the budget approval from the national level.

The following city or provincial action plan should envisage the replication and strategic out-scaling of the initial pilot project. Thus, local support groups are established to facilitate community processes, namely experience-based assessments, negotiation and action plan-

ning activities as well as implementation, monitoring and evaluation. However, as these local support groups are enabled to develop their own strategy adapted to the local situation, they are not expected to coordinate their project cycles with each other. However, continuous monitoring and evaluations are necessary to provide feedback to the city or provincial level; 'peer evaluations', exchange and network meetings should be organised on a regular basis. Feedback from the subordinate working groups or local 'steering committees' is collected and evaluated at the province or city level. Based on this information, the city and provincial action plan is modified and a report is prepared for the national level. (cf. Fig. 6-10)

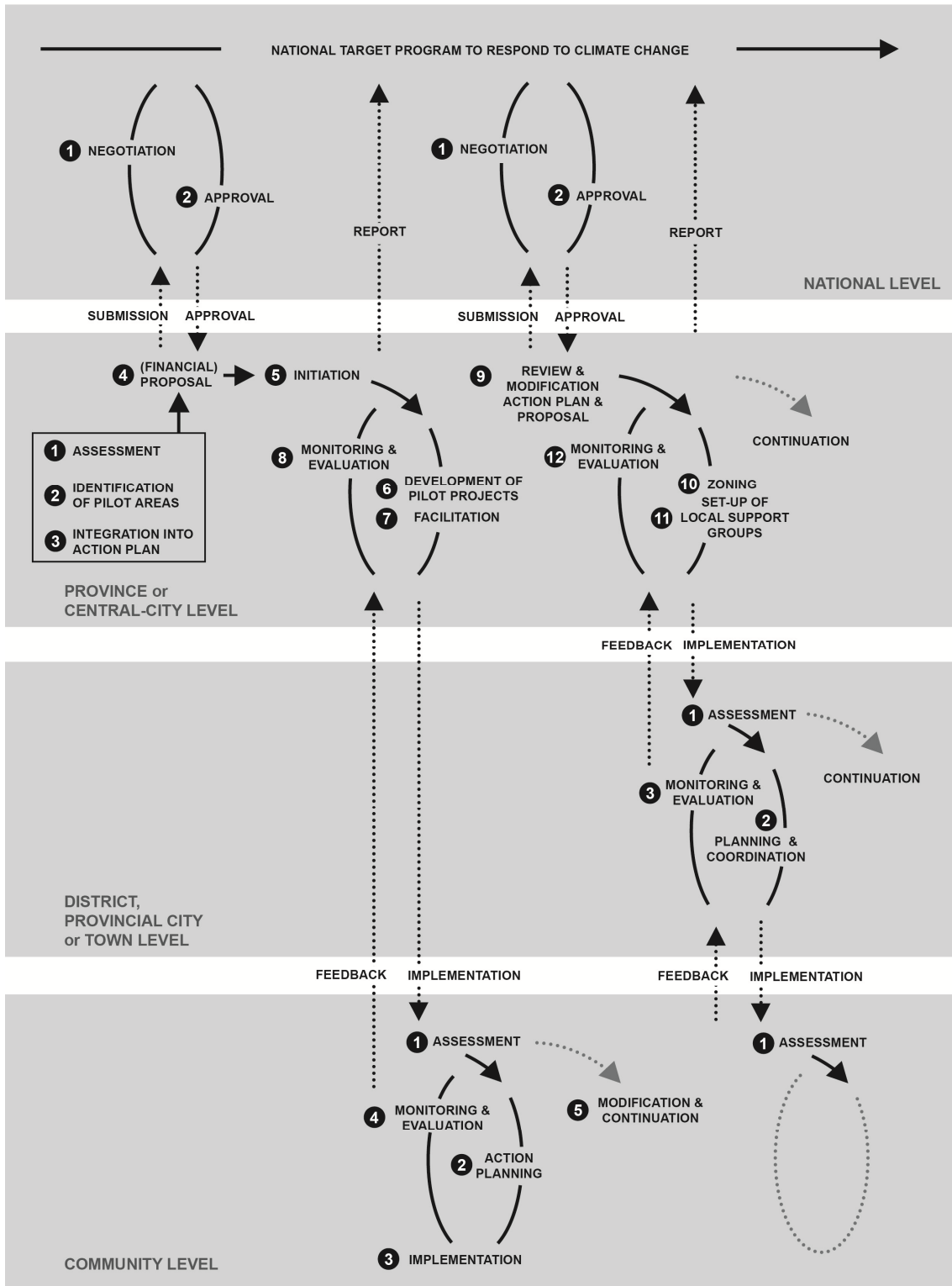


Fig. 6-10: Project Cycle Management under the First Scenario
(own figure)

Scenario 2: Initiation by Civil Society

The project cycles under this scenario start with assessments and with the selection of pilot areas undertaken by CSOs active at the community level. After seeking official support, CSOs facilitate the activities of pilot communities, who plan, implement and evaluate their own individual small-scale CBA projects. Based on the results of the single CBA activities, the CSOs modify their facilitation strategy. In a next step, the initial CBA projects are continued and replicated. After the first convincing results have been achieved at the community level, city and provincial authorities are informed and encouraged to formalise the approach as well as to officially integrate CBA into the city or provincial action plan, if existing. As CBA pilot projects have already been implemented and lessons learnt have been formulated, the city and provincial action plans may focus on the strategic up-scaling and out-scaling of the activities, widely following the approach developed for the first scenario. The city or provincial-level steering committees undertake city or province-wide assessments, define 'zones' for interventions, encourage the establishment of local support groups and the planning and implementation of community-level CBA activities. (cf. Fig. 6-11)

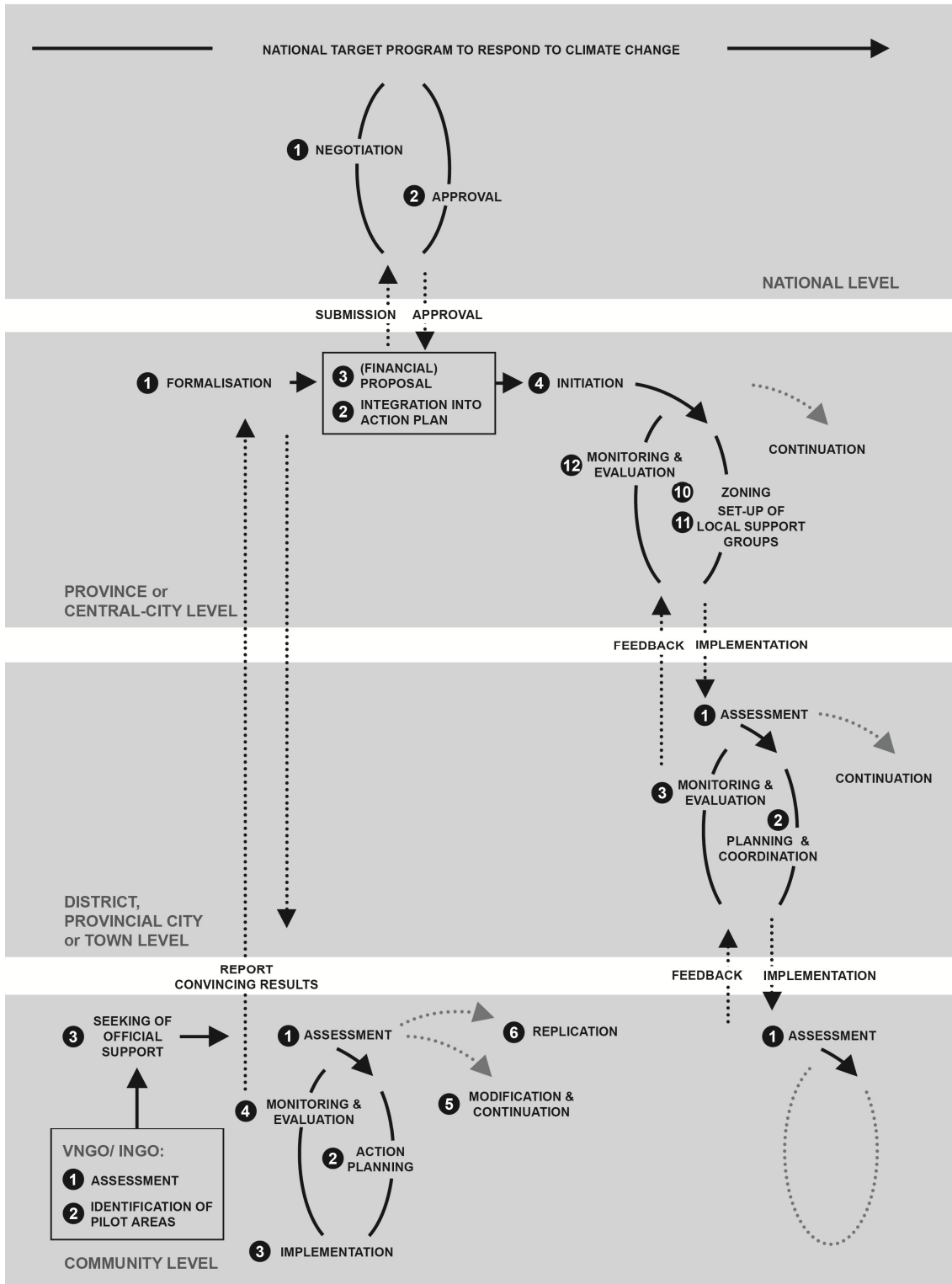


Fig. 6-11: Project Cycle Management under Second Scenario
(own figure)

6.2.4.3.2 Multi-Level Project Cycles

The multi-level project cycles following the Initiation Phase start with the improvement of the city or provincial action plan; this action plan integrates a long-term strategy for the implementation of CBA and concrete actions to be undertaken in the near future. For these actions, budget estimations are made and submitted to MoNRE. If the budget for the action plans is approved by the Prime Minister, the city or provincial 'steering committee' modifies its strategy, 'zoning' plan and priority areas for the coming year, if required. The implementation of the strategy is then delegated to the next lower levels, to the local 'steering committees' at 'zone' or district level.

The local 'steering committees' also continuously modify their approaches to facilitate CBA at the community level. However, after the Initiation Phase, the project cycles of the support groups or local 'steering committees' are not necessarily linked to the higher project cycles. The local 'steering committees' directly facilitate community processes, which have their own schedules. Still, community processes follow the same sequences, namely planning and coordination, implementation, monitoring and evaluation as well as modification of the strategic approach.

However, the implementation of CBA activities is undertaken at the community level, where project cycles are relatively short - they are the first ones to be completed. Communities undertake assessments, negotiate the scope of the CBA measures with their neighbours and jointly develop a local regulation, which may be modified in the course of the future project cycles. The assessment and negotiation phase is followed by the development of a community action plan and its implementation, monitoring and evaluation. Directly after the identification of positive and negative results, the communities enter the next project cycle and modify their strategy. After a successful completion of the first community-level project cycle, the continuation of community-level activities is expected to continue independently from higher-level project cycles.

After the implementation and evaluation of the community-level CBA activities, the local 'steering committee' or support group reviews and modifies its strategy and approaches. It reports to the city or provincial 'steering committee' and gives recommendations for the implementation of future activities and for the modification of the city's or province's strategy.

The city or provincial ‘steering committee’ collects information and feedback from the local ‘steering committees’ or support groups and prepares a report for the national level. Moreover, based on the information and recommendations provided, the ‘steering committee’ reviews and improves its strategic approach.

The national level, and MoNRE in particular, collects reports from the city and provincial levels in order to monitor the implementation of the NTPRCC and to decide on modifications.

6.2.4.4 Replication, Out-Scaling and Up-Scaling

The concepts for replication, out-scaling and up-scaling are widely based on the concepts suggested by the CBA-GMM. However, the first scenario for the initiation of the CBA approach in Vietnamese cities and provinces is based on the assumption that official political support for local-level CBA activities exists and that action plans developed at the city and provincial level may effectively enable CBA activities at the community level. Thus, the city or provincial strategy is rather ‘down-scaled’ to the local levels; here, the replication and coordinated out-scaling of pilot activities is more relevant than up-scaling. The second scenario, on the contrary, starts with the implementation of CBA activities at the community level and with the creation of convincing results to encourage city or provincial authorities to facilitate the up-scaling of small community-level activities. Under both scenarios, out-scaling and up-scaling are enabled by political decisions.

6.2.4.5 Dissemination, Learning and Capacity Building

The concepts developed for dissemination, learning and capacity building as developed for the CBA-GMM are fully transferable to the Vietnamese context. Dissemination can be subdivided into internal and external dissemination; while internal dissemination mainly means the exchange of feedback and evaluation reports, external dissemination mainly supports the replication and out-scaling of best-practice pilot projects. External dissemination in Vietnam can be done through local media, radio and TV broadcastings, print media, manuals, word of mouth and social media.

Learning is considered to be an internal process, which enables all stakeholders to learn from past experiences and to enhance the quality of their strategies, approaches, plans and projects in the long-term. Learning is enabled through the constant evaluation of project results as well as through review and modification of the strategic approaches at all levels. Ca-

capacity building, on the other hand, is brought in from outside, from national or international experts. However, in the context of Vietnam, where financial means to engage foreign experts is limited, particularly at the local levels, 'peer learning', networking and informal exchange between experienced and inexperienced peers can help to bridge the gap at all levels. CSOs and their networks, such as ACVN, DMWG, CCWG or VNCSCC may help to disseminate lessons learnt and best-practice solutions all over the country.

7 Discussion

This chapter aims at critically reflecting the research results elaborated in this thesis and at highlighting their relevance for the theoretical discourse on people-centred approaches to climate change adaptation, such as CBA, as well as for their practical application in Vietnam. Moreover, the methodological approach is reviewed and potential weaknesses are outlined. As a last step, potential further research questions that arise from this doctoral thesis are specified.

7.1 Review of the Research Question and Assumptions

7.1.1 Research Questions

The research questions for this doctoral thesis evolved from both, from literature review as well as from action research; more concretely, from the CBA Model Project that was embedded in the Megacity Research Project TP. Ho Chi Minh as a method to develop sustainable adaptation strategies at the community level. Thus, the rather general research topic, CBA and its implementation in the context of Vietnam, was pre-determined through the research project. The more detailed research focus on the institutionalisation of CBA as a multi-level approach was developed as a reaction to the CBA Model Project's outcomes and challenges with special regard to replication and up-scaling.

This thesis is concerned with the questions, how local-level CBA activities can be enabled, how they can be facilitated, managed and coordinated with each other at the local level and how they can be linked to higher-level plans and policies and top-down planning procedures, respectively. While these research questions are rather general and thus, allow for theoretical answers, this thesis also aims at elaborating a more practice-oriented approach for the real case of Vietnam.

However, the research questions raised are not at all innovative; they are based on issues raised by researchers and development practitioners active in the field of CBA (cf. Huq & Reid 2007:2, Reid et al. 2010:70ff., Ensor & Berger 2009a:174ff, IISD 2011:14, Ayers 2011a:840 in Regmi 2012:3, Ayers & Huq 2009 in *ibid.*, Dodman & Mitlin 2011 in *ibid.*, Wismer & Mitchell 2011 in *ibid.*, Shaw 2003 in *ibid.*, Sabates-Wheeler et al. 2008 in *ibid.*, Ayers 2011b in *ibid.*).

7.1.2 Assumptions

This doctoral thesis and eventually its research results are based on five assumptions. The first assumption is that individuals and communities may draw upon different capacities, skills and resources for CBA. The second assumption is that individuals and communities continuously develop strategies to respond to climate change - or to any other changes that affect their lives and livelihoods - but that external support may help to improve adaptation strategies and to reduce the risk of maladaptation. The third assumption highlights the importance of horizontal coordination of community-based activities as well as of their vertical integration into national-level and city-level plans and policies. The fourth assumption is that in the absence of best-practice examples for the governance and management of CBA as a multi-level approach, concept components may be borrowed from existing governance and management approaches. The fifth and last assumption states that CBA, as a rather abstract approach, may be transferred to different political, climatic and socio-economic contexts if its major principles are respected. Similarly, it is emphasised that a theoretical model for the governance and management of CBA, such as the CBA-GMM developed as the first main result, must be applicable to a real context, such as the selected context of Vietnam, in order to be of significance.

7.2 Review of Research Results

7.2.1 Results Gained from ‘Literature Review’

7.2.1.1 Climate Change and Climate Change Adaptation

7.2.1.1.1 HCMC and Climate Change

HCMC has been chosen as a starting point for this thesis; the case of HCMC illustrates, how the impacts of climate change and human activities, such as unsustainable urban planning, construction works and land-use changes, affect the lives and livelihoods of economically challenged urban dwellers, in particular as these groups have limited means and capacities to respond. The main current and future impacts affecting HCMC are flooding caused by high tide and SLR as well as thermal stress and the occurrence of the Urban Heat Island Effect (UHI). Literature review (cf. Booth et al. 1999:109ff.) and research undertaken within the

scope of the Megacity Research Project TP. Ho Chi Minh (cf. Storch et al. 2011) revealed that flooding events and thermal stress are both significantly aggravated through uncontrolled urban development, land-use changes and construction activities.

The research in this field resulted in three main convictions: Firstly, human activities may aggravate the natural impacts of climate change on the one hand; but they may also contribute to their reduction. Secondly, effective climate change response requires integrated, inclusive, cross-sector and multi-level planning and adaptation efforts. Thirdly, in the absence of government action to address climate change, affected individuals and communities must develop their own strategies to cope and adapt.

7.2.1.1.2 Climate Change Adaptation

The theme complex of 'climate change adaptation' aimed at developing an understanding of adaptation as a change in livelihood systems and at identifying the real scope for adaptation activities at the community level. The combination of the three concepts - the 'vulnerability' concept developed by Wisner et al. (cf. 2004) and the concepts of 'asset vulnerability' and 'asset adaptation' developed by Caroline Moser (cf. 1998 & 2009) - revealed that communities are able to address 'unsafe conditions' that they are exposed to and to preserve and strengthen their existing assets. 'Root causes' and 'dynamic pressures' of vulnerability on the other hand (Wisner et al. 2004:52) need to be addressed by other actors that have the power and the means available. As a consequence, the scope of community-level adaptation efforts is rather small compared to that of potential government efforts and interventions of other, more powerful stakeholders, but not at all negligible.

7.2.1.1.3 Community-Based Adaptation

This third complex sheds light on CBA as an approach that - according to its designation - is mainly focused on the local level, but that actually requires a rather complex interplay of actors at different levels in order to be replicable and sustainable. However, CBA is a relatively new approach; its theoretical foundations and practical approaches are not yet fully developed and leave scope for further research.

CBA is considered to be a community-driven approach with a strong focus on vulnerability reduction, climate change adaptation and disaster-risk reduction. While communities are the core actors in CBA projects, CSOs, experts, researchers and local authorities are required to

facilitate the approach from outside. In addition, CBA needs an enabling policy framework that supports the initiation of CBA activities, their guidance and their coordination amongst each other as well as an innovative funding mechanism - tailored to the needs and capacities of economically challenged communities – that ensures the maximum local autonomy.

This thesis approaches the topic of CBA from the perspectives of urban governance, urban planning and urban management and balances between theoretical and practice-oriented approaches to characterise CBA. On the one hand, CBA is put into the context of Theory of Planning; in this theoretical discussion, CBA is explained as an incremental planning approach based on Amitai Etzioni's 'mixed scanning' (Etzioni 1967:391 in Wiechmann 2008:45ff.) concept, which allows governments to implement a national-level strategy to climate change adaptation through the enablement of guided and well-coordinated individual community-level adaptation activities. In the field of climate change adaptation and CBA, this perspective is truly innovative; here, this thesis makes a contribution to the theoretical discourse on incremental and adaptive planning approaches.

On the other hand, CBA is explained as a practice-oriented approach; major challenges for the application of CBA and for its replication, out-scaling and up-scaling have been elaborated based on experiences made with the implementation of two CBA case studies implemented in HCMC and Da Nang.

7.2.1.1.4 Urban Governance, Planning and Management

The last theme complex focused on urban governance, planning and management in mega-urban regions, with particular regard to HCMC. This part highlights that decision-makers and planning authorities tend to be overburdened with the complexity of governance, planning and management tasks that occur in fast-growing urban and regional systems and that top-down planning and decision-making, as exercised in Vietnam, is not an adequate approach to address all these tasks. At the same time, the integration of bottom-up activities to solve local development issues proves to be difficult. In this part, CBA is characterised as a community-driven approach at the local level, but as a multi-level governance and management task.

7.2.2 Results Gained from ‘Concept Development’: The CBA-GMM and the CBA-AGMM and their Relevance for the Discourse on CBA

This doctoral thesis goes beyond the work of theorists and development practitioners. Both groups alike have criticised the absence of feasible strategies for replication, out-scaling and up-scaling of successful CBA model projects and for the integration of CBA as a bottom-up approach into top-down approaches to planning and climate change adaptation.

Thus, the main objective of the thesis was to elaborate a conceptual approach as an answer for the above-mentioned issues: In the main part of this thesis, two theoretical ‘models’ for the governance and management of CBA have been developed. The first model, the ‘CBA Governance Management Model’ (CBA-GMM), is highly theoretical. It aims at creating a solution for the governance and management of CBA activities under ideal preconditions in order to put it up for discussion among theorists and development actors. Later, the second model, the ‘Applied CBA Governance Management Model’ for Vietnam (CBA-AGMM) has been developed in order to test the applicability of the CBA-GMM to the real case of Vietnam. The CBA-AGMM is adapted to the existing policy environment, prevailing hierarchies and power structures and represents a guideline for the integration of CBA into adaptation action plans and policies of Vietnamese cities and provinces. Decision-making within the CBA-AGMM is also based on Etzioni’s ‘mixed scanning’ concept, but integrates ‘emerging strategies’ (Mintzberg et al. 1999:23 in Wiechmann 2008:27) that evolve where the CBA approach is initiated by CSOs at the community level.

7.2.3 Comparison of the two Models

Both models, the CBA-GMM and the CBA-AGMM, combine concepts for a ‘policy instrument’ and a pro-poor funding mechanism, for a ‘governance approach’ and for a ‘management approach’. Furthermore, both models assign roles to stakeholder groups, to government actors and authorities at different levels, to CSOs, to experts and eventually to communities as the core actors at the local level.

The highly theoretical CBA-GMM is based on ideal preconditions, such as existing political support for people-centred approaches to climate change adaptation. Thus, within the CBA-GMM the initiation of CBA as a bottom-up approach is undertaken from the national level and consequently reflects main features of the Baan Mankong programme.

The CBA-AGMM, in contrast, is developed with reference to the political and administrative context of Vietnam. It takes into account the anticipated and experienced difficulties of integrating CBA as a bottom-up approach into highly top-down organised planning and decision-making procedures. Thus, the CBA-AGMM considers both options, the initiation of CBA as a top-down initiative as well as the initiation from the bottom-up, stimulated by CSOs and communities in order to encourage government support and action.

Both models, the CBA-GMM and the CBA-AGMM foster the decentralisation of planning and decision-making and allow for the development of individual local-level projects and adaptation solutions. While the CBA-GMM suggests the set-up of a national programme to enable CBA activities at the community level, the CBA-AGMM links CBA activities to the existing NTPRCC and to city and provincial-level action plans to respond to climate change. Moreover, roles and responsibilities are assigned to existing stakeholder groups and steering committees.

Both models provide financial incentives in the form of 'seed funds' for CBA activities at the community level. At the same time, they allow authorities and administrations to keep control over local developments through their integration into city and province-level plans and through approval procedures exercised by 'steering committees' and local authorities.

The transfer from the CBA-GMM to the context of Vietnam has been challenging, as the political preconditions for the application of CBA - e.g. the prevailing hierarchical decision-making structure, the strong influence of the CPV on society, administration and planning decisions, as well as the limited independence of civil society and their activities - are far from ideal. The CBA-AGMM reflects the reaction on the preconditions; however, even though conceptual changes had to be made, the main characteristics of the initial approach of the CBA-GMM could be kept. The transfer of the CBA-GMM to HCMC has also been difficult, in particular as decision-making and administrative processes in centrally-controlled cities are more rigid and as cooperative mechanisms between state actors and civil society are still underdeveloped. Instead, CBA should be initiated in smaller cities that are supportive of bottom-up approaches and where authorities and administrations do not tend to over-bureaucratise the processes.

7.2.4 Limitations of the Research Results

Both main results of this thesis, the CBA-GMM and the CBA-AGMM are theoretical ‘models’; they reduce the actual complexity of the problem and of all circumstances to a manageable size. Moreover, as ‘models’ they lack implementation and field-testing.

The chances for the implementation of the CBA-AGMM, namely the integration of CBA into city and provincial action plans, are limited. The reasons can be summarised as the probable reluctance of authorities at all levels to support people-centred approaches, the lack of empowerment and confidence of communities to develop their own local-level solutions and the high dependency of the CBA approach on the motivation and willingness of individuals in any stakeholder group. Nevertheless, the CBA-AGMM provides ideas that may influence participatory practice and the implementation of CBA activities in Vietnam in the long-term. As an example, parts of the CBA-AGMM have been piloted in the CBA Transfer Project in Da Nang. This pilot project was set up with official support from the city-level People’s Committee and with the participation of a great variety of partner institutions from different sectors in order to stimulate a network governance approach. Secondly, a pro-poor funding mechanism to fund adaptation measures, mainly based on voluntary community savings, was set-up and appreciated by the community.

In addition, it has to be stated that CBA case studies should never be solely implemented as test-beds for the application of governance and management theories or models, such as the CBA-AGMM. Both, the CBA Model Project and the CBA Transfer Project, were implemented in order to improve the local situation and to help the local communities to reduce their degree of vulnerability to local climate change impacts. All research results were considered to be secondary outputs; neither any methodological steps nor any participatory tools or partnerships with other stakeholders were ever imposed on the participating communities.

7.3 Review of the Research Methodology

The research methodology for this thesis was developed based on tools and research methods from the fields of urban governance and urban planning as well as from the field of product design. Typical for these disciplines, research activities are not limited to qualitative and quantitative research, but often involve a creative component to suggest a forward-looking solution to an existing problem.

This thesis aimed at providing a solution for a complex question, namely for institutionalising, governing and managing CBA activities at different levels. Thus, analytical methods were applied, such as ‘literature review’, ‘case study evaluation’ and ‘institutional assessment’ in order to elaborate the theoretical background, but also ‘concept development’ in order to create the conceptual approaches for the CBA-GMM and CBA-AGMM.

7.3.1 Literature Review

‘Literature review’ was undertaken in order to cover the current state of research in the fields of climate change and climate change adaptation, CBA, urban governance and management and to prepare the stage of ‘concept development’. Furthermore, ‘literature review’ served as a basis for the ‘institutional assessment’.

Research on climate change and adaptation is constantly advancing; this thesis has been developed based on the current state of research, which may be outdated shortly after the finalisation of this thesis. Besides, this thesis deals with the innovative approach of CBA; methods and academic theories are continuously developed further; however, the availability of relevant literature on CBA is still limited. Thus, also unconventional literature sources have been taken into account, such as mission reports and websites of CSOs active in the field of CBA.

For the preparation of ‘concept development’, e.g. for the ‘screening’ and ‘scoring’ of existing governance and management concepts, a range of very different literature sources have been evaluated, such as research papers and peer reviewed journal articles as well as organisation-internal training materials, e.g. in the case of Capacity WORKS. Here, the availability and the way of presenting information considerably varied from concept to concept what made a direct comparison difficult. Some concepts were described analytically, while others were explained in a rather descriptive writing style.

7.3.2 Case Study Evaluation

The ‘case study evaluation’ was done as a supplement to ‘literature review’ in order to underpin the research questions of this thesis. Two case studies have been evaluated, namely the CBA Model Project undertaken in HCMC in 2010 and 2011 and the CBA Transfer Project implemented in 2013 and 2014. The major weak point of the ‘case study evaluation’ is that the author of this thesis was significantly involved in the planning and implementation of the

case studies and thus, the description of results and lessons learnt may lack objectivity and neutrality.

7.3.3 Institutional Assessment

The ‘institutional assessment’ was undertaken in order to prepare the transfer of the CBA-GMM to the CBA-AGMM, namely in order to identify existing policies, plans and projects which address climate change in the context of Vietnam and which are relevant for CBA as well as important stakeholder groups. Moreover, the ‘institutional assessment’ helped to develop an understanding of the institutional framework and work procedures as well as to reveal institutional challenges and barriers that hamper the implementation of CBA as a multi-level approach.

The ‘institutional assessment’ was based on ‘literature review’ and supplemented by ‘expert interviews’, which focused on the integration of citizen and stakeholder participation in public decision-making as well as on self-management approaches at the community level. However, some particularly critical themes, e.g. related to the role of the CPV or public participation in planning and decision-making, could only be evaluated on the basis of legal documents and official publications. However, the ‘expert interviews’³⁷ undertaken with representatives of various stakeholder groups indicate that official publications often differ from the current practice. Thus, there is a risk that the ‘institutional assessment’ is to some extent imprecise as it may reflect the official view of state actors.

7.3.4 Concept Development

‘Concept development’ was undertaken twice; the first ‘concept development’ stage has resulted in the development of the CBA-GMM; the second stage can be described as the ‘concept application’, or the adaptation of the CBA-GMM to the specific context of Vietnam in order to create the CBA-AGMM.

The ‘concept development’ for the CBA-GMM was based on a series of consecutive steps. ‘Concept development’ started with the ‘screening’ of existing governance and management approaches and with the selection of concepts that seemed to be at least partly transferable to the theoretical concept developed for CBA. As a second step, a ‘vision’ for the governance and management of CBA and a ‘set of criteria’ was developed as an alternative to a ‘refer-

³⁷ Please see Annexe I for your reference.

ence concept'. The third step focused on the 'scoring' and 'ranking' of the selected governance and management concepts; the applicability of the different concepts was evaluated according to the 'set of criteria' and 'ranked' in order to highlight the most suitable concept components under each criterion. The concept for the CBA-GMM was then elaborated based on the results of the 'scoring' and 'ranking'. The CBA-GMM was taken as a basis for the 'concept application' and for the development of the CBA-AGMM.

Prior to the 'concept application' an 'institutional assessment' was undertaken which revealed the preconditions, threats and challenges for the application of the CBA-GMM. Based on the results of the 'institutional assessment', the concept of the CBA-GMM has been reconsidered and modified in order to develop the CBA-AGMM tailored to the specific context of Vietnam.

7.3.4.1 'Vision' and 'Set of Criteria'

The 'vision' and the 'set of criteria' were developed based on the theoretical concept elaborated for CBA. The 'set of criteria' facilitated the methodological evaluation of selected governance and management concepts and the selection of concept components transferable to CBA and to the envisaged CBA-GMM. The advantage of this approach and the main weak point at the same time was that the complexity of the governance and management concepts was strongly reduced and the concepts were no longer regarded as a unity.

7.3.4.2 'Screening', 'Scoring' and 'Ranking'

The 'screening' resulted in a selection of governance and management concepts that might be transferable to CBA and that provide potential approaches to overcome institutional barriers and threats for the application of CBA as a multi-level approach. The main weak-point of this methodological approach is that not all concepts from all disciplines could be surveyed and potential best-practice concepts might have been overlooked.

During the 'scoring' and 'ranking' stage, the chosen governance and management concepts were evaluated according to the 'set of criteria'; subsequently, the transferable concept components were ranked in order to select the most suitable ones. The weak point of this approach is that both, the 'scoring' - applied as a qualitative evaluation method - as well as the 'ranking' were influenced by the researcher's perception.

7.3.4.3 ‘Concept Development’ and ‘Concept Application’

Based on the results of ‘scoring’ and ‘ranking’, a concept was developed for a CBA-GMM, composed of the most suitable concept components extracted from existing governance and management concepts. ‘Concept development’ is a core task of the disciplines of ‘urban planning’ and ‘urban management’; in comparison to analytical research methods ‘concept development’ is a creative act and thus, less traceable. Within the scope of this thesis, the researcher tried to follow a clear, predetermined sequence of steps based on Ulrich and Eppinger (cf. 1995) and Pugh (cf. 1991) (both in Pascale & Carland 1997). One precondition for the successful application of their ‘concept development’ approach is the availability of existing conceptual solutions that prove to be at least partly transferable to the envisioned result.

The second ‘concept development’ stage focused on the application of the CBA-GMM to the real case of Vietnam. Taking into account the results of the ‘institutional assessment’, the CBA-GMM was revised and modified in order to develop the CBA-AGMM.

The main weak point of the ‘concept development’ methodology, is that ‘concept development’ processes - similar to design processes - are to a certain degree intuitive and thus, dependent on the researchers ability to develop a suitable solution or to remodel existing concept components into an innovative concept.

7.4 Outlook: Open Questions and Further Fields of Research

As mentioned earlier, both, the CBA-GMM and the CBA-AGMM, are theoretical models that illustrate viable ways to institutionalise, govern and manage CBA as a multi-level approach. Further applied research should be undertaken – in cooperation with decision-makers and practitioners – in order to elaborate practical approaches, tools and policy instruments to institutionalise CBA and to establish links between top-down and bottom-up development approaches.

Moreover, tools and methodologies need to be developed to integrate science-based information on future climate change, such as scenarios and projections developed by researchers, and local information, such as experience-based assessments of current climate change impacts.

Furthermore, the CBA-AGMM has proven that a theoretical application of the CBA-GMM to the context of Vietnam is – in principle – possible. However, the application to other political systems that are hostile to people’s participation, decentralisation and local self-management needs to be examined further.

8 Conclusion

This doctoral thesis focused on the innovative people-centred approach of CBA; the researcher looked at CBA from a governance, planning and management perspective and elaborated options for the enablement and institutionalisation of local community-based activities to climate change adaptation. In the following section, all research questions that guided this thesis are answered in detail; moreover, remaining challenges that could not be addressed are summarised.

8.1 The Enablement and Management of CBA in Urban Areas

The first, rather general research question, '*How can CBA activities be enabled and managed in urban areas?*' contains three aspects. The first aspect is the 'enablement' of CBA activities. This aspect refers to the fact that CBA as a genuine community-driven approach requires a supportive policy framework that accepts people and communities to be the core actors at the local level and that explicitly encourages and fosters CBA activities.

The second aspect highlighted in the overarching research question is the necessity of 'managing' CBA. This 'management' does not solely refer to CBA activities at the community level, but also to the integration of CBA as a bottom-up approach into planning and decision-making at the city level, and going along with that, to the provision and modification of policies, financial incentives and institutional arrangements. As every community's situation is different, the 'management' and facilitation of CBA activities at the local level may become a rather over-complex task. While CBA activities may follow the same, simple approach based on the consecutive steps of assessments, action planning, implementation, monitoring and evaluation, and eventually of plan modification, the strategic 'management' of a great number of individual communities may be difficult to handle by facilitators. This is particularly due to the fact that every community may be exposed to a different set of hazards, have different skills, resources and capacities available to respond and feature a different social composition and different degrees of motivation, 'political awareness and maturity' or sense of community and solidarity.

The third aspect emphasised by this question is that the main focus is laid on CBA activities in urban areas. This focus arose from the fact that in urban areas, vulnerable communities may reside much closer to each other than in rural areas. Thus, their CBA activities may do

both, support each other on the one hand, or else, disturb each other on the other hand. Moreover, due to high development pressures in urban areas, communities and their CBA activities may also be disturbed by larger-scale development projects and eventually, by eviction or displacement. Consequently, the coordination of CBA activities at the local level and the integration of CBA into overall planning strategies of the city are essential.

This overarching question is of a rather general nature and thus, only very general answers can be given. For this reason, the question has been sub-divided into more detailed questions that provide the chance for more elaborate answers. However, in order to answer the overarching research question, a number of general principles for the enablement and management of CBA as a multi-level approach can be summarised:

Firstly, CBA activities can be enabled by a supportive policy environment and by a governance approach that empower communities to become core actors at the local level and that link top-down oriented adaptation strategies to CBA activities that evolve bottom-up.

Secondly, as CBA mainly targets vulnerable communities with limited capacities and resources to adequately respond, a pro-poor funding mechanism must be developed that helps to raise the scope of CBA activities. As different examples - such as the Baan Mankong programme or the ACCA programme - show, simple savings and revolving funds that are based on community savings and that are financially supported by government resources are important instruments to enable CBA.

Thirdly, intermediary institutions must be established at the city or province level that mediate between the community level and their bottom-up activities and the national level and the rather top-down oriented strategy to address climate change. In addition, the establishment of local support groups must be encouraged and supported that guide communities and their adaptation efforts on the one hand and that help to coordinate neighbouring adaptation activities on the other.

Fourthly, CBA should work through a network governance approach. While a clear decision-making hierarchy with clearly assigned competences provide the framework and the institutional backbone, stakeholders should be linked through flexible non-hierarchical networks. Decision-making between those actors, whether at the national, city or province, district, 'zone' or community level should be based on negotiation and consensus-building. Thus, at the national level, the overall strategy for climate change adaptation may be shaped by gov-

ernment actors, experts as well as by representatives of CSOs and community networks who interact with each other at eye-level. At the city level, local representatives of the same stakeholder groups may jointly develop a city-level strategy to address climate change and to enable and foster CBA. Similarly, at the district or 'zone' level, local support groups, consisting of active district-level authorities, locally active CSOs and community representatives, may be established in order to elaborate an approach to support and coordinate concrete CBA activities. At the community level, facilitators, local authorities and community members may partner to solve their development issues and to collectively address climate change. The network governance approach also strongly facilitates 'peer learning' and 'peer evaluation'. Stakeholders that are linked through networks may easily exchange information, experience and lessons learnt. Additionally, they may evaluate each other's activities and provide each other with support and advice.

Fifthly, the management approaches at all levels should be kept as simple as possible. At the community level, as well as at all other levels, project cycle management (PCM) appears to be a viable management approach, based on the cyclic repetition of consecutive steps, e.g. local-level assessments, the starting of savings activities, action planning, implementation, monitoring, evaluation and modification. In a modified form, this set of consecutive steps may also be applied at all other decision-making levels; the project cycles should be linked at strategic points.

In the next sub-chapters, the more detailed sub-questions are answered in detail.

8.1.1 The Management, Out-Scaling and Coordination of CBA at the Local Level

The first sub-question refers to the 'management' of CBA activities at the local and community level as well as to their 'out-scaling' and horizontal 'coordination': *How can CBA activities be managed at the local level, 'scaled-out' and coordinated horizontally?*

At the community level, CBA processes are ideally managed by communities themselves as an organic process that allows for frequent modification of objectives, schedules and budget allocation. While communities are the core actors, facilitators who interact with the communities at eye-level provide assistance and support. The management of CBA activities can be supported by a simplified and traceable PCM approach: CBA activities should start with experience-based assessments and with the identification of locally available resources, capac-

ities and existing response strategies. Eventually, communities should start savings activities in order to raise funds for the implementation of structural CBA measures. Based on the previous steps, the communities should develop an adaptation strategy, an 'action plan' and a schedule for implementation. The activities should be constantly monitored and the success of the single measures should be evaluated. As a reaction to the results of the evaluation, the communities' adaptation strategies and measures should be reviewed and modified.

In contrast to 'replication', which means a simple repetition of an initial demonstration project anywhere, 'out-scaling' refers to a rather strategic approach to achieve multiplier effects and the coordinated initiation of a grassroots movement in neighbouring communities. 'Out-scaling' in this context is enabled by 'peer' learning approaches, by mutual support and by facilitation through local support groups or local 'steering committees'.

The horizontal coordination of CBA activities should be mainly undertaken at the level of the 'zone' or district. Also at the 'zone' or district level, participating communities should have a stake in coordination and management of CBA activities; facilitated by the local support groups or 'steering committees' they should negotiate with each other and agree on a regulation regarding the scope of CBA measures in order to avoid mutual disturbances. However, this regulation should also be constantly reviewed and modified.

8.1.2 The Up-Scaling of the CBA Approach

The second sub-question attends to the 'up-scaling' of CBA, namely to the integration of CBA as a bottom-up approach into higher-level policies, plans, strategies and approaches: *And how can they [CBA activities] be 'scaled-up' and linked to top-down planning procedures vertically?*

The vertical connection of top-down and bottom-up refers to the integration of CBA activities and local adaptive capacity into a higher-level strategic approach and vice-versa, to the enablement of bottom-up activities through supportive policies, policy instruments, funding mechanisms and capable institutions. The integration of top-down and bottom-up may succeed, if top-down strategies and plans are flexible enough to leave space for individual bottom-up activities, if decentralisation efforts are thoroughly implemented and if intermediary institutions are created and enabled to mediate between the different decision-making levels.

One of the main research results elaborated within the scope of this thesis is the ‘CBA Governance Management Model’ (CBA-GMM), an exemplary and theoretical model to govern and manage CBA as a national-level concern. The CBA-GMM suggests the fostering of CBA as a local-level approach to climate change adaptation through a national programme, associated with the allocation of funds from the national budget, with the development of policies and guidelines as well as with the creation of supportive institutions at intermediary levels.

In order to implement the national programme at the city level, cities need to be encouraged to develop their own strategies to address climate change within the framework provided. In this hierarchical system, the city level represents the first intermediary level. The second intermediary level is the level of the ‘zone’ or district, where the formation of local support groups or local ‘steering committees’ should be encouraged. With the support of these groups, communities may jointly develop a simple regulation regarding the scope of community-level CBA measures at the ‘zone’ or district level, and eventually, their own community-level action plans. Vice versa, information – such as results of community-level assessments or monitoring and evaluation results – should be communicated ‘up-ward’, to the ‘zone’ or district level. Based on this information, participating communities may jointly revise their regulation and local ‘steering committees’ may modify their facilitation approach. Furthermore, information, monitoring and evaluation results should then be further communicated to the city level as a feedback to facilitate the modification of the city-level strategy as well as to the national level, where the feedback is used to revise the national programme.

The CBA-GMM also suggests a funding mechanism, namely community savings and revolving funds that may be supported by ‘seed funds’. These funds may be initially established at the community level and ‘up-scaled’; they may be linked to other community funds and eventually managed at higher levels, e.g. at the ‘zone’ or district level.

PCM, as described earlier, may not only help to plan and implement community-level activities; the approach may also facilitate the interconnection of project cycles of different levels at strategic points, e.g. where a strategic decision or plan must be implemented at the next lower level or where information and results of evaluations must be communicated ‘up-ward’ in order to be integrated into decision-making processes.

8.1.3 The Application of the CBA-GMM to the Context of Vietnam

The third sub-question relates to the transferability of the theoretical CBA-GMM developed for ideal preconditions to the context of Vietnam: *How can this theoretical model be applied to the specific context of Vietnam and to HCMC in particular?*

The CBA-GMM was applied to the context of Vietnam, based on an in-depth ‘institutional assessment’. The result of this application is the second main research result, namely the ‘Applied CBA Governance Management Model’ for Vietnam (CBA-AGMM). The CBA-AGMM is again a theoretical model, but it is much closer to reality than the CBA-GMM. The CBA-AGMM is based on existing policies and institutional arrangements; it takes into account existing stakeholders and their relationships between each other as well as existing power structures, the prevailing culture of public participation in planning and decision-making as well as locally specific community-based funding mechanisms.

In contrast to the CBA-GMM, the CBA-AGMM does not suggest to set-up a new policy instrument, but to link CBA to the existing NTPRCC and to city-level or province-level action plans to respond to climate change, respectively. Moreover, existing stakeholders, working groups and ‘steering committees’ have been integrated into the stakeholder concept.

The funding mechanism of community savings and revolving funds has been widely adopted from the CBA-GMM; however, in Vietnam, the instrument of Community Development Funds (CDF) is widely established; thus, community savings to raise funds for CBA may be easily managed through existing CDF networks.

It has to be mentioned that due to the prevailing hierarchically organised public decision-making and planning approach, it is likely that bottom-up initiatives, such as CBA, are regarded with scepticism by decision-makers. Thus, the CBA-AGMM works with two scenarios: The first scenario describes the initiation of CBA by decision-makers, based on political will and commitment, while the second scenario - based on the assumption that political will is absent – describes how CBA can be initiated informally by CSOs at the grassroots level first, before attracting attention and support from the city or national level.

In addition, the third sub-question asks for recommendations tailored to the context of HCMC. Thus, existing stakeholders and working groups are integrated into the concept of the CBA-AGMM. However, it was difficult to identify CSOs active at the grassroots level in HCMC, which are potential facilitators of CBA activities. Moreover, as the ‘institutional as-

assessment' revealed, in HCMC there is lack of cooperation mechanisms between the city authorities and individual planning departments as well as with other stakeholders, such as researchers, academia or CSOs. In addition, in large cities or mega-urban regions, such as HCMC, authorities tend to over-bureaucratise decision-making and approval processes. Thus, as experts³⁸ suggest, it is more promising to integrate CBA as a bottom-up approach into the development and adaptation approach of smaller provincial cities, where authorities are more prepared and willing to cooperate with different stakeholder groups, including local communities, in order to solve local development issues.

8.2 Remaining Challenges and Constraints

Both, the CBA-GMM and the CBA-AGMM have been elaborated with the intention to develop a theoretical approach to raise the scope of CBA beyond the project level and to integrate CBA as a bottom-up approach into top-down strategic decision-making at the national and city level. Nevertheless, both, the CBA-GMM, developed for ideal preconditions, and the CBA-AGMM, developed for the context of Vietnam, are just ideal-typical 'models' that relate to only a part of reality. Thus, the implementation of the CBA-AGMM is unlikely. Both models are based on the assumption that political will exists, as in the CBA-GMM, or may be stimulated through convincing results, as in the CBA-AGMM. However, in reality, the lack of political will is one of the main barriers for the implementation of bottom-up approaches. The successful application of bottom-up approaches, such as CBA, requires policy change and the change of decision-makers' attitudes towards bottom-up approaches, the recognition of local capacities as well as the decentralisation of planning and decision-making coupled with the distribution of adequate financial resources.

Consequently, this thesis may be regarded as a contribution to the discussion on how, theoretically, the research gaps could be bridged. The thesis shows that it is possible to institutionalise CBA; however, the practical implementation is left to progressively thinking decision-makers, to an active civil society and to dedicated researchers.

³⁸ see interviews with Do Van Nguyet and Le Dieu Anh (see Annexe I, pp. 45ff. and pp. 49ff.)

List of References

- Adger, N.W., Agrawala, S., Qader Mirza, M.M.Q., Conde, C., O'Brien, K., Pulhin, J., Pulwarty, R., Smit, B. & Takahashi, K. (2007): Assessment of Adaptation Practices, Options, Constraints and Capacity. In: Parry, M.L., Canziani, O.F., Palutikof, J.P., van der Linden, P.J. & Hanson, C.E. (Eds.) (2007): *Climate Change 2007: Impacts, Adaptation and Vulnerability. Contribution of Working Group II to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change*, Chapter 17, Cambridge University Press, Cambridge, UK, pp. 717-743 [e-book] (URL: <http://www.ipcc.ch/pdf/assessment-report/ar4/wg2/ar4-wg2-chapter17.pdf> [accessed May 2014])
- Adepoju, A. (1993): *The Impact of Structural Adjustment on the Population of Africa: The Implications for Education, Health and Employment*. James Currey Ltd., London, UK [book]
- Adnan, S., Barren, A., Nurul Alam, S.M. & Brustinow, A. (1992): *People's Participation: NGOs and the Flood Action Plan*. Research and Advisory Services, Dhaka, Bangladesh [book]
- Agrawal, A. (2008): *The Role of Local Institutions in Adaptation to Climate Change*. Contribution to Mearns, R. & Norton, A. (Eds.) (2010): *Social Dimensions of Climate Change*. The World Bank, Washington D.C., USA [e-paper] (URL: <http://www.icarus.info/wp-content/uploads/2009/11/agrawal-adaptation-institutions-livelihoods.pdf> [accessed May 2014])
- Albrecht, D., Hocquard, H. & Papin, P. (2010): *Urban Development in Vietnam: The Rise of Local Authorities. Resources, Limits, and Evolution of Local Governance*. AFC, Focales 05, STIN, France [e-book] (URL: <http://www.afd.fr/webdav/shared/PUBLICATIONS/RECHERCHE/Scientifiques/Focales/05-VA-Focales.pdf> [accessed May 2014])
- Alinsky, S. (1946): *Reveille for Radicals*. Vintage Books, New York, USA [book]
- Alinsky, S. (1971): *Rules for Radicals*. Random House, New York, USA [book]
- Anderson, M.B. & Woodrow P.J. (1989/ 1998): *Rising from the Ashes: Development Strategies in Times of Disaster*. IT Publications, London, UK [book]
- Ansell, C. (2000): *The Networked Polity: Regional Development in Western Europe*. In: *Governance: An International Journal of Policy and Administration* 13(3), pp. 303-333 [e-journal] (URL: http://www.unc.edu/depts/europe/conferences/mlg/papers/ansell_c.pdf [accessed May 2014])

- APCO Worldwide (2011): Key Developments from the 11th National Congress of the Communist Party of Vietnam. [e-pdf] (URL: http://www.apcoworldwide.com/content/PDFs/National_Congress_of_the_CPV_Implication_%20for_Businesses_in_Vietnam.pdf [accessed May 2014])
- Arnstein, S.R. (1969): A Ladder of Citizen Participation. In: Journal of the American Planning Association, Vol. 35(4), pp. 216-224 (URL: <https://www.planning.org/pas/memo/2007/mar/pdf/JAPA35No4.pdf> [accessed May 2014])
- ACCA Asian Coalition for Community Action (2010): Second Year Report. ACHR Asian Coalition for Housing Rights, Bangkok, Thailand [e-paper] (URL: <http://www.indiaenvironmentportal.org.in/files/file/ACCA%202%20Year%20Report%20Dec%202010.pdf> [accessed May 2014])
- ACHR Asian Coalition for Housing Rights (2014a): City Process. Using ACCA to Help Build a City-Wide Poor Movement. [website] (URL: <http://www.achr.net/ACCA/Y1%20City%20Process%20p8.html> [accessed January 2014])
- ACHR Asian Coalition for Housing Rights (2014b): What We Do: Solving Asia's Urban Poor Housing Problems Using Asia's Greatest Resource: People. [website] (URL: <http://www.achr.net/about-whatwedo.php> [accessed May 2014])
- Archer, D. (2010): Empowering the Urban Poor through Community-Based Slum Upgrading: The Case of Bangkok, Thailand. 46th ISOCARP Congress 2010, Conference Proceedings [e-paper] (URL: http://www.isocarp.net/Data/case_studies/1648.pdf [accessed May 2014])
- Archer, D. (2012): Finance as the Key to Unlocking Community Potentials: Savings, Funds and the ACCA Programme. In: Environment and Urbanization 24(2), Sage Publications, pp. 423-440 [e-journal] (URL: <http://eau.sagepub.com/content/24/2/423.full.pdf+html> [accessed May 2014])
- ACVN Association of Cities of Vietnam (2014): Homepage [website] (URL: <http://hiephoidothi.vn> [accessed May 2014])
- ADB Asian Development Bank (1999): Viet Nam. A Study of NGOs. Draft Version. [e-paper] (URL: <http://www.adb.org/ngos/docs/NGOVietnam.pdf> [accessed February 2011])
- ADB Asian Development Bank (2007): A Regional Review of the Economics of Climate Change in Southeast Asia. Manila, The Philippines [e-paper] (URL: <http://www.adb.org/sites/default/files/projdocs/2007/41678-REG-TAR.pdf> [accessed May 2014])

- ADB Asian Development Bank (2010): Ho Chi Minh City - Adaptation to Climate Change. Summary Report, Manila, The Philippines [e-paper] (URL: <http://www.adb.org/sites/default/files/pub/2010/hcmc-climate-change-summary.pdf> [accessed May 2014])
- ADB Asian Development Bank (2012): Country Partnership Strategy. Vietnam 2012 – 2015. Manila, The Philippines [e-paper] (URL: <http://www.adb.org/sites/default/files/cps-vie-2012-2015-r.pdf> [accessed May 2014])
- ADB Asian Development Bank (2013): Vietnam – Strategy. [website] (URL: <http://www.adb.org/countries/viet-nam/strategy> [accessed February 2013, May 2014])
- ADPC Asian Disaster Preparedness Center, European Commission & UNESCAP (2008): Monitoring and Reporting Progress on Community-Based Risk Management in Viet Nam. Partnerships for Disaster Reduction – South East Asia, Phase 4 [e-paper] (URL: http://www.adpc.net/v2007/programs/CBDRM/INFORMATION%20RESOURCE%20CENTER/CBDRM%20Publications/2008/final_crvietnam_23nov.pdf [accessed May 2014])
- AECEN Asian Environmental Compliance and Enforcement Network (2012): Vietnam Ministry for Natural Resources and Environment. [website] (URL: <http://www.aecen.org/stories/vietnam-ministry-natural-resources-and-environment> [accessed April 2012, May 2014])
- AusAID The Australian Government's Overseas Aid Program (2012): Vietnam Annual Program Performance Report 2011. (URL: AusAID The Australian Government's Overseas Aid Program (2012): Vietnam Annual Program Performance Report 2011. [e-pdf] (URL: <http://aid.dfat.gov.au/countries/eastasia/vietnam/Documents/appr-vietnam-2011.pdf> [accessed May 2014])
- Austin, M.J. & Betten, N. (1977): Intellectual Origins of Community Organizing, 1920 – 1939. In: *Social Service Review* 51(1), The 50th Anniversary Issue, The University of Chicago Press, Chicago, USA pp. 155-170 [journal]
- Ayers, J. (2011a): Resolving the Adaptation Paradox: Exploring the Potential for Deliberative Adaptation Policy-Making in Bangladesh. In: *Global Environmental Politics* 11(1), MIT Press, Cambridge, MA, USA, pp. 62-88 [e-journal] (URL: http://www.mitpressjournals.org/doi/pdf/10.1162/GLEP_a_00043 [accessed May 2014])

- Ayers, J. (2011b): Understanding the Adaptation Paradox: Can Global Climate Change Adaptation Policy be Locally Inclusive? Department of International Development London, London School of Economics and Political Science, PhD Thesis [e-book] (http://etheses.lse.ac.uk/393/1/Ayers_Understanding%20the%20Adaptation%20Paradox.pdf [accessed May 2014])
- Ayers, J. & Forsyth, T. (2009): Community-Based Adaptation to Climate Change: Strengthening Resilience through Development. In: *Environment* 51(4), Washington D.C., USA, pp. 22-31 [journal]
- Ayers, J. & Huq, S. (2009): Community-Based Adaptation to Climate Change: An Update. IIED, London, UK [e-paper] (URL: <http://pubs.iied.org/pdfs/17064IIED.pdf> [accessed May 2014])
- Baas, S. & Ramasamy, S. (2007): Improved Adaptive Capacity to Climate Change for Sustainable Livelihoods in the Agriculture Sector. Summary Report [e-book] (URL: http://www.fao.org/nr/clim/abst/clim_080303_en.htm [accessed May 2014])
- Baas, S. & Ramasamy, S. (2008): Community Based Adaptation in Action. A Case Study from Bangladesh. Improved Adaptive Capacity to Climate Change for Sustainable Livelihoods in the Agriculture Sector, Project Summary Report (Phase I), FAO, Rome, Italy, Department of Agricultural Extension, Dhaka, Bangladesh [e-book] (<ftp://ftp.fao.org/docrep/fao/010/i0481e/i0481e.pdf> [accessed May 2014])
- Babbit, E., Gutlove, P. & Jones, L. (1994): Handbook of Basic Conflict Resolution Skills: Facilitation, Mediation and Consensus Building. The Balkans Peace Project, Cambridge, Massachusetts, USA [book]
- Bach Tan Sinh (2002): Civil Society and NGOs in Vietnam: Some Initial Thoughts on Developments and Obstacles. [e-paper] (URL: <http://www.ngocentre.org.vn/files/docs/CSandNGOs%20in%20Vietnam.rtf> [accessed May 2014])
- Bach Tan Sinh (2010): Scoping Assessment on Climate Change Adaptation in Viet Nam. Summary. October 2010, Regional Climate Change Adaptation Knowledge Platform for Asia, Bangkok, Thailand [e-paper] (URL: <http://www.climateadapt.asia/upload/publications/files/4d4620457c5b1Vietnam.pdf> [accessed May 2014])

- Baerenbrinker, V. (2011): Sustainable Development Using Urban Governance Instruments. University of Glasgow, UK [thesis] (URL: <http://theses.gla.ac.uk/2973/1/2011baerenbrinkerllm.pdf> [accessed June 2014])
- Baker, J.L. (Ed.) (2012): Climate Change, Disaster Risk and the Urban Poor. Cities Building Resilience for a Changing World. The International Bank for Reconstruction and Development, The World Bank, Washington D. C [e-book] (URL: https://www.google.de/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=0CDMQFjAA&url=https%3A%2F%2Fopenknowledge.worldbank.org%2Fbitstream%2Fhandle%2F10986%2F6018%2F683580PUB0EPI0067869B09780821388457.pdf%3Fsequence%3D1&ei=yHmAU7PKNOL_ygO5vYDoBw&usq=AFQjCNG7ZD1nnlaX1tOsUEjRqyQ7Eb0qhg&sig2=dXy8HYoFKv_yJgOgQtUISA&bvm=bv.67720277.d.bGQ [accessed May 2014])
- Barros, G.B. & Borrel, X. (Eds.) (2011): Integrated Urban Governance. The Way Forward. Metropolis, World Association, Senate Department for Urban Development, Berlin [e-book] (URL: http://www.stadtentwicklung.berlin.de/internationales_eu/staedte_regionen/download/projekte/metropolis/C3_Manual_barrier_free.pdf [accessed May 2014])
- Bauer, M.W., Knill, C. & Pitschel, D. (2007): Differential Europeanization in Eastern Europe: The Impact of Diverse EU Regulatory Governance Patterns. In: Journal of European Integration, 29(4) pp. 405-423 [e-journal] (URL: http://kops.ub.uni-konstanz.de/bitstream/handle/urn:nbn:de:bsz:352-opus-76833/Differential_Europeanization_in.pdf?sequence=1 [accessed May 2014])
- Bebbington, A. (1999): Capitals and Capabilities: A Framework for Analysing Peasant Viability, Rural Livelihoods and Poverty. In: World Development 27(12):2021-2044 [e-journal] (URL: <http://intranet.catie.ac.cr/intranet/posgrado/Met%20Cual%20Inv%20accion/MCIAP2010/Semana7/DocumentosSem710/Capitals%20and%20capabilities%20Bebbington%201999.pdf> [accessed May 2014])
- Benson, C. & Twigg, J. (2007): Tools for Mainstreaming Disaster Risk Reduction: Guidance Notes for Development Organisations. International Federation of Red Cross and Red Crescent Societies, the ProVention Consortium, Geneva, Switzerland [e-book] (URL: http://www.preventionweb.net/files/1066_toolsformainstreamingDRR.pdf [accessed May 2014])
- Benz, A. (2007): Governance – A Political Science Perspective. In: Jansen, D. (Ed.) (2007): New Forms of Governance in Research Organizations - Disciplinary Approaches, Interfaces and Integration. Springer, Dordrecht, The Netherlands, pp. 1-22 [book]

- Berk, M.G. (2005): The Concept of Neighbourhood in Contemporary Residential Environments: An Investigation of Occupants' Perception. Delft University of Technology, Delft, The Netherlands [e-paper] (URL: http://mpira.ub.uni-muenchen.de/22481/1/Conference_paper_Berk_1_.pdf [accessed May 2014])
- Binswanger-Mkhize, H.P., de Regt, J.P., Spector, S. (Eds.) (2009): Scaling Up Local & Community Driven Development (LCDD). A Real World Guide to Its Theory and Practice. The World Bank, Washington D.C., USA [e-book] (URL: http://siteresources.worldbank.org/EXTSOCIALDEVELOPMENT/Resources/244362-1237844546330/5949218-1237844567860/Scaling_Up_LCDD_Book_rfilesize.pdf [accessed May 2014])
- Binswanger-Mkhize, H.P., de Regt, J.P., Spector, S. (Eds.) (2010): Local and Community-Driven Development. The World Bank, Washington D. C., USA [book]
- Blaikie, P., Cannon, T., Davis, I. & Wisner, B. (1994): At Risk: Natural Hazards, People's Vulnerability, and Disasters. Routledge, London, UK [book]
- Bolay, J.C., Cartoux, S., Cunha, A., Thai Thi Ngoc Du & Bassand, M. (1997): Sustainable Development and Urban Growth: Precarious Habitat and Water Management in Ho Chi Minh City, Vietnam. In: Habitat International 21(2) Elsevier, pp. 185–197 [e-journal] (URL: http://infoscience.epfl.ch/record/128186/files/sustainabledev_vnijbc.pdf [accessed May 2014])
- Bolay, J.C. & Thai Thi Ngoc Du (1999): Sustainable Development, Urbanization, and Environmental Risks: The Priority of Local Actions in Ho Chi Minh City, Vietnam. In: Journal of Urban Technology 6(2), pp. 65-85 [e-journal] (URL: <http://dx.doi.org/10.1080/10630739983669> [accessed May 2014])
- Boonyabancha, S. (2004): A Decade of Change: From the Urban Community Development Office to the Community Organization Development Institute in Thailand. In: Mitlin, D. & Satterthwaite, D. (Eds.) (2004): Empowering Squatter Citizen – Local Government, Civil Society and Urban Poverty Reduction. Earthscan, London, UK and Sterling, VA, USA, pp. 25 - 53 [book]
- Boonyabancha, S. (2005a): Going to Scale with “Slum” and Squatter Upgrading in Thailand. In: Environment and Urbanization 17(1), pp. 21-46 [e-journal] (URL: <http://eau.sagepub.com/content/17/1/21.full.pdf+html> [accessed May 2014])

- Boonyabanca, S. (2005b): Scaling Up Slums and Squatter Settlements Upgrading in Thailand Leading to Community-Driven Integrated Social Development at City-Wide Level. Conference Paper, 'New Frontiers of Social Policy', Arusha, Tanzania [e-paper] (URL: <http://siteresources.worldbank.org/INTRANETSOCIALDEVELOPMENT/Resources/Boonyabancapaper.rev.pdf> [accessed May 2014])
- Boonyabanca, S. (2009): Land for Housing the Poor - by the Poor: Experiences from the Baan Mankong Nationwide Slum Upgrading Programme in Thailand. In: Environment and Urbanization 21(2), Sage Publications, London, UK, pp. 309-329 [e-journal] (URL: <http://eau.sagepub.com/content/21/2/309> [accessed May 2014])
- Boonyabanca, S. & Mitlin, D. (2012): Urban Poverty Reduction: Learning by Doing in Asia. In: Environment and Urbanization 24(2), 403-421 [e-journal] (URL: <http://eau.sagepub.com/content/24/2/403.full.pdf+html> retrieved January 2013)
- Booth, T.H., Nguyen Hoang Nghia, Kirschbaum, M.U.F., Hackett, C. and Jovanovic, T. (1999): Assessing Possible Impacts of Climate Change on Species Important for Forestry in Vietnam. In: Climatic Change 41(1), Dordrecht, The Netherlands, pp. 109-126 [e-journal] (URL: <http://link.springer.com/article/10.1023%2FA%3A1005401200774> [accessed May 2014])
- Borrini-Feyerabend, G., Taghi Farvar, M., Nguinguirin, J.C. & Ndangang, V.A. (2007): Co-Management of Natural Resources. Organising, Negotiating and Learning-by-Doing, Kasperek Verlag, Heidelberg, Germany [e-book] (URL: http://www.conservaion-development.net/rsFiles/Datei/CoManagement_English_Auflage2.pdf [accessed May 2014])
- Bracht, N. (1999): Health Promotion at the Community Level. Sage Publications, London, UK [book]
- Brooks, N. (2003): Vulnerability, Risk and Adaptation: A Conceptual Framework. Working Paper 38, Tyndall Centre for Climate Change Research, Norwich, UK [e-paper] (URL: <http://www.tyndall.ac.uk/sites/default/files/wp38.pdf> [accessed May 2014])
- Brooks, N. & Adger, W.N. (2005): Assessing and Enhancing Adaptive Capacity. In: Lim, B., Spanger-Siegfried, E., Burton, I., Malone, E. & Huq, S. (Eds.): Adaptation Policy Frameworks for Climate Change: Developing Strategies, Policies and Measures. UNDP-GEF, Cambridge University Press, Cambridge, UK, pp. 165-181 [e-book] (URL: http://www.klimawandelanpassung.at/fileadmin/inhalte/kwa/pdfs/UNDP_Adaptation_policy_Frameworks_for_Climate_Change.pdf#page=170 [accessed May 2014])

- Cabigon, J.V. (2008): Cities in Globalization. In: Asia-Pacific Social Science Review 6(2), Manila, The Philippines, pp. 73–102 [e-journal] (URL: <http://ejournals.ph/index.php?journal=dlsu-apsr&page=article&op=view&path%5B%5D=1193&path%5B%5D=1280> [accessed May 2014])
- Cannon, T., Twigg, J. & Rowell, J. (2003): Social Vulnerability, Sustainable Livelihoods and Disasters. Report to DFID, Chatham, Kent, UK [e-paper] (http://www.nirapad.org/admin/soft_archive/1308222298_Social%20Vulnerability-%20Sustainable%20Livelihoods%20and%20Disasters.pdf [accessed May 2014])
- Carcellar, F.N. & Kerr, T. (2012): Assessing the ACCA Programme: Turning Asia's Community Upgrading Initiatives into an Open University. In: Environment and Urbanization 24(2), pp. 513-529 [e-paper] (URL: <http://eau.sagepub.com/content/24/2/513.full.pdf+html> [accessed May 2014])
- CARE International Vietnam (2009): Mainstreaming Climate Change Adaptation: A Practitioner's Handbook. Hanoi, Vietnam [e-book] (URL: http://www.careclimatechange.org/files/adaptation/CARE_VN_Mainstreaming_Handbook.pdf [accessed May 2014])
- CARE International (2010): Framework of Milestones and Indicators for Community-Based Adaptation. [e-pdf] (URL: http://www.careclimatechange.org/files/toolkit/CBA_Framework.pdf [accessed May 2014])
- CARE International (2012a): Who We Are. [website] (URL: <http://www.careinternational.org.uk/who-we-are> [accessed April 2012, May 2014])
- CARE International (2012b): Where We Work. [website] (URL: <http://www.careinternational.org.uk/where-we-work/vietnam> [accessed April 2012, May 2014])
- CARE International (n.d.a): Community-Based Adaptation Toolkit. [website] (URL: http://www.careclimatechange.org/tk/cba/en/cba_basics/key_concepts.html [accessed May 2014])
- CARE International (n.d.b): Community-Based Adaptation - Enabling Environment. [e-pdf] (URL: http://www.careclimatechange.org/files/adaptation/Adaptation_Framework_Diagram.pdf [accessed May 2014])

- Cao Duy, T., Nguyen Xuan, C., Nguyen Dai, M., Nguyen Huu, H. & Bui Tat, C. (2007): Typhoons and Technical Solutions Recommended for Existing and New Houses in the Cyclonic Regions in Vietnam. In: Electronic Journal of Structural Engineering, Special Issue: Selected Key Note Papers from the 1st International Conference on Modern Design, Construction and Maintenance of Structures, Hanoi, Vietnam, pp. 8 - 18 [e-paper] (URL: <http://www.ejse.org/Archives/Fulltext/2008/Special2/VET200802.pdf> [accessed May 2014])
- Carew-Reid, J. (2008): Rapid Assessment of the Extent and Impact of Sea Level Rise in Vietnam. Climate Change Discussion Paper 1, ICEM – International Centre for Environmental Management, Brisbane, Australia and Hanoi, Vietnam [e-pdf] (URL: http://www.icem.com.au/documents/climatechange/icem_slr/ICEM_SLR_final_report.pdf [accessed May 2014])
- CEFURDS Centre for Urban and Development Studies & VeT Villes en Transition (2011): The Evolution of HCMC Urban Space, XVIIIth – XXIst Century. Ho Chi Minh City, Vietnam [e-pdf] (URL: <http://www.villesentransition.org/docs/1.pdf> [accessed June 2013])
- Challenge to Change & Hue University (2009): Hazard, Capacity & Vulnerability Assessment in Da Nang. Report prepared for ACCCRN [e-pdf] (URL: http://www.acccrn.org/sites/default/files/documents/EHCVADaNang_0.pdf [accessed May 2014])
- Challenge to Change (2012): What We Do. [website] (URL: <http://www.challengetochange.org/whatwedo.htm> [accessed June 2012, May 2014])
- Chaudhry, P. & Ruyschaert, G. (2007): Climate Change and Human Development in Viet Nam. Human Development Report 2007/2008, Fighting Climate Change: Human Solidarity in a Divided World, Human Development Report Office [e-pdf] (URL: http://hdr.undp.org/sites/default/files/chaudhry_peter_and_ruyschaert_greet.pdf [accessed May 2014])
- CIVICUS (2005): Civil Society Index – Shortened Assessment Tool (CSI-SAT). A Guide for CSI-SAT Implementation Agencies. CIVICUS, Washington D.C.
- CIVICUS, VIDS, SNV & UNDP (2006): The Emerging Civil Society: An Initial assessment of Civil Society in Vietnam. Hanoi, Vietnam [e-paper] (URL: http://www.snvworld.org/sites/www.snvworld.org/files/publications/an_emerging_civil_society.pdf [accessed May 2014])

- Clarke, G. (1998): Non-Governmental Organizations (NGOs) and Politics in the Developing World. In: Political Studies XLVI, pp. 36 – 52 [e-journal] (URL: <http://onlinelibrary.wiley.com/doi/10.1111/1467-9248.00128/pdf> [accessed May 2014])
- CODI Community Organizations Development Institute (2004): Draft Baan Mankong Handbook: Implementing the Baan Mankong Community Upgrading Program in Thai Cities. [e-pdf] (URL: <http://www.codi.or.th/downloads/english/Paper/Implementing%20the%20Baan%20Mankong.pdf> [accessed May 2014])
- Chakrabarty, B.K. (2001): Urban Management: Concepts, Principles, Techniques and Education. In: Cities 18(5), Elsevier pp. 331-345 [e-journal] (URL: <http://www.sciencedirect.com/science/article/pii/S0264275101000269> [accessed May 2014])
- Chambers, R. (1996): ZOPP, PCM and PRA: Whose Realities, Needs and Priorities Count? In: Forster, R. (Ed.) (1996): ZOPP marries PRA? Participatory Learning and Action – A Challenge for our Services and Institutions. Workshop Documentation, GIZ Deutsche Gesellschaft für Technische Zusammenarbeit, Eschborn, Germany [book]
- Chambers, R. (1997): Whose Reality Counts? Putting the First Last. Practical Actions Publishing Ltd., Warwickshire, UK [book]
- Chaudhry, P. & Ruyschaert, G. (2007): Climate Change and Human Development in Viet Nam. Human Development Report 2007/2008, [e-pdf] (URL: http://hdr.undp.org/sites/default/files/chaudhry_peter_and_ruyschaert_greet.pdf [accessed May 2014])
- Chaskin, R.J. & Joseph, M.L. (2010): Building "Community" in Mixed-Income Developments: Assumptions, Approaches, and Early Experiences. In: Urban Affairs Review 45(3), pp. 299-335 [e-journal] (URL: <http://uar.sagepub.com/content/45/3/299.full.pdf+html> [accessed May 2014])
- Choguill, C. L. (1994): Crisis, Chaos, Crunch? Planning for Urban Growth in the Developing World. In: Urban Studies 31(6), pp. 935 - 945 [e-journal] (URL: <http://usj.sagepub.com/content/31/6/935.full.pdf> [accessed May 2014])
- Christensen, K. & Levinson, D. (Eds.) (2003): A 308, Communitarianism. Encyclopedia of Community: From the Village to the Virtual World, Vol 1, A-D, originally published by Sage Publications (2003), pp. 224-228 [e-journal], found as excerpt (URL: <http://www2.gwu.edu/~ccps/etzioni/A308.pdf> [accessed May 2014])

- Committee of Experts on Public Administration (2006): Definition of Basic Concepts and Terminologies in Governance and Public Administration, New York, USA [e-pdf] (URL: <http://unpan1.un.org/intradoc/groups/public/documents/un/unpan022332.pdf> [accessed May 2014])
- Coulthart, A., Nguyen Quang & Sharpe, H. (2006): Urban Development Strategy – Meeting the Challenges of Rapid Urbanization and the Transition to a Market Oriented Economy. [e-pdf] (URL: <http://siteresources.worldbank.org/INTEAPINFRASTRUCT/Resources/Urban.pdf> [accessed May 2014])
- Cutter, S.L. (1996): Vulnerability to Environmental Hazards. In: Progress in Human Geography 20 (4), Sage Publications, London, UK, pp. 529-539 [e-journal] (URL: http://webra.cas.sc.edu/hvri/docs/Progress_Human_Geography.pdf [accessed May 2014])
- Cutter, S.L., Boruff, B.J. & Shirley, W.L. (2003): Social Vulnerability to Environmental Hazards. In: Social Science Quarterly 84(2), Wiley-Blackwell [e-journal] (URL: <http://onlinelibrary.wiley.com/doi/10.1111/1540-6237.8402002/pdf> [accessed May 2014])
- Da Nang ACCCRN City Team and Da Nang Climate Change Working Group (2011): Da Nang City Climate Change Resilience Action Plan (2011 – 2020). Summary. [e-pdf] (URL: http://www.acccrn.org/sites/default/files/documents/1%20DaNang%20Resilience%20Strategy_0.pdf [accessed May 2014])
- DANIDA Ministry of Foreign Affairs of Denmark (2006): Vietnam – Denmark Partnership. Strategy for Development Cooperation 2006 – 2015. Copenhagen, Denmark [e-pdf] (URL: <http://vietnam.um.dk/en/~//media/Vietnam/Documents/Content%20English/Strategy%20Vietnam-Denmark%20Partnership.jpg> [accessed May 2014])
- DANIDA Ministry of Foreign Affairs of Denmark (2013): DANIDA Research Portal. [website] (URL: <http://drp.dfccentre.com/country/4843> [accessed September 2013, May 2014])
- Dasgupta, S., Laplante, B., Meisner, C., Wheeler, D. & Yan, J. (Eds.) (2007): The Impact of Sea Level Rise on Developing Countries: A Comparative Analysis. World Bank Policy Research Working Paper 4136, Washington, D.C., USA [e-paper] (URL: http://www-wds.worldbank.org/servlet/WDSContentServer/WDSP/IB/2007/02/09/000016406_20070209161430/Rendered/PDF/wps4136.pdf [accessed May 2014])

- Davies, S. (2009): Are Coping Strategies a Cop-Out? In: Schipper, E.L.F. & Burton, I. (Eds.) (2009): The Earthscan Reader on Adaptation to Climate Change, pp. 99-116, Earthscan, UK & USA [book]
- De Melo, J. & Mathys, N.A. (2010): Trade and Climate Change: The Challenges Ahead. Document de Travail, Série «Politiques de développement», No. 14, Fondation Pour Les Études Et Recherches Sur Le Developpement International [e-paper] (URL: http://www.google.de/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=0CDMQFjAA&url=http%3A%2F%2Fwww.researchgate.net%2Fpublication%2F228223754_Trade_and_Climate_Change_The_Challenges_Ahead%2Ffile%2Fd912f506c10b15ba72.pdf&ei=knyAU42_F4rOygPZrYDQAQ&usq=AFQjCNGIVGmWo6Cmj4wHDHX8uvbEsZfEHA&sig2=LzT_VukYAEY0Zv4T0wgbw&bvm=bv.67720277.d.bGQ [accessed May 2014])
- De Sherbinin, A., Schiller, A. & Pulsipher, A. (2007): The Vulnerability of Global Cities to Climate Hazards. In: Environment and Urbanization 19(1) Sage Publications, London, UK [e-journal] (URL: <http://eau.sagepub.com/content/19/1/39.full.pdf+html> [accessed May 2014])
- De Waal, A. (1989): Famine that Kills: Darfur, Sudan, 1984 – 1985, Clarendon Press, Oxford, UK [book]
- DPI Department for Planning and Investment HCMC (n.d.): Homepage. [website] (URL: <http://www.dpi.hochiminhcity.gov.vn/invest/html/abo2.html> [accessed January 2013])
- Dodman, D. & Mitlin, D. (2011): Challenges for Community Based Adaptation: Discovering the Potential for Transformation. In: Journal of International Development 25(5), pp. 640–659 [journal]
- Douglass, M. & Liling Huang (2007): Globalizing the City in Southeast Asia: Utopia on the Urban Edge - The Case of Phu My Hung, Saigon. In: International Journal of Asia Pacific Studies 3(2), pp. 1–42 [e-journal] (URL: <http://web.usm.my/ijaps/articles/1%20douglas%281-42%29A.pdf> [accessed January 2014])
- Dye, T.R. (1981): Understanding Public Policy (4th edition). Prentice-Hall, Englewood Cliffs, N. J., USA [book]

- Ebert, A. & Kerle, N. (2008): Urban Social Vulnerability Assessment Using Object Oriented Analysis of Remote Sensing and GIS Data. A Case Study for Tegucigalpa, Honduras. In: The International Archives of the Photogrammetry, Remote Sensing and Spatial Information Sciences. Vol. XXXVII, Part B7, Beijing, China [e-paper] (http://www.isprs.org/proceedings/XXXVII/congress/7_pdf/7_WG-VII-7/02.pdf [accessed May 2014])
- Eichler, M.P. (2007). Consensus Organizing: Building Communities of Mutual Self Interest. Sage Publications, Thousand Oaks, CA, USA [book]
- Ensor, J. & Berger, R. (2009a): Understanding Climate Change Adaptation. Lessons from Community-Based Approaches. Practical Action Publishing, Warwickshire, UK [book]
- Ensor, J. & Berger, R. (2009b): Community-Based Adaptation and Culture in Theory and Practice. In: Adger, N.W., Lorenzoni, I. & O'Brien, K. (Eds.) (2009): Adapting to Climate Change: Thresholds, Values, Governance. Cambridge University Press, New York, USA, pp. 227 – 239 [book]
- ENDA Vietnam Environment and Development in Action Vietnam (2011): Homepage. [website] (URL: <http://www.endavn.org.vn/> [accessed September 2011])
- Etzioni, A. (1967): Mixed Scanning: A 'Third' Approach to Decision-Making. In: Public Administration Review 27(5), pp. 385 – 392 [e-journal] (URL: <http://www2.gwu.edu/~ccps/etzioni/A49.pdf> [accessed May 2014])
- European Commission (2004): Aid Delivery Methods. Volume 1 – Project Cycle Management Guidelines. Brussels, Belgium [e-book] (URL: http://ec.europa.eu/europeaid/multimedia/publications/documents/tools/europeaid_adm_pcm_guidelines_2004_en.pdf [accessed May 2014])
- European Commission & Particip GMBH (2002): Project Cycle Management Handbook. Freiburg, Germany [e-book] (URL: http://www.sle-berlin.de/files/sletraining/PCM_Train_Handbook_EN-March2002.pdf [accessed May 2014])
- Farazmand, A. (2012): Sound Governance: Engaging Citizens through Collaborative Organizations. In: Public Organization Review 12(3), Springer Science+Business Media, USA pp. 223 – 241 [e-journal] (URL: <http://link.springer.com/article/10.1007%2Fs11115-012-0186-7> [accessed May 2014])

- Firowz Ahmad, A. (2010): Community Based Adaptation to Climate Change in Bangladesh: The Global Initiative at Local Level. Melbourne, Australia [e-paper] (URL: <http://www.iec.monash.edu.au/sustainability-institute/programs-initiatives/natural-resource-management-asia/workshops/community-based-adaptation-bangladesh.pdf> [accessed May 2014])
- Fischer, F. (2006): Participatory Governance as Deliberative Empowerment: The Cultural Politics of Discursive Space. In: *The American Review of Public Administration* 36(1), Sage Publications, pp. 19 – 40 [e-journal] (URL: <http://arp.sagepub.com/content/36/1/19.full.pdf+html> [accessed May 2014])
- Fraser, E.D.G., Dougill, A.J., Mabee, W E., Reed, M., McAlpine, P. (2006): Bottom Up and Top Down: Analysis of Participatory Processes for Sustainability Indicator Identification as a Pathway to Community Empowerment and Sustainable Environmental Management. In: *Journal of Environmental Management* 78, pp. 114–127 [e-journal] (URL: http://www.academia.edu/2990197/Bottom_up_and_top_down_Analysis_of_participatory_processes_for_sustainability_indicator_identification_as_a_pathway_to_community_empowerment_and_sustainable_environmental_management [accessed May 2014])
- Friend, J. & Jessop, N. (1969): *Local Government and Strategic Choice – An Operational Research Approach to the Processes of Public Planning*. First Edition, London, UK [book]
- Friend, J. & Jessop, N. (1977): *Local Government and Strategic Choice - An Operational Research Approach to the Processes of Public Planning*. Second Edition, Oxford, UK [book]
- Fritzen, S.A. (2006): Probing System Limits: Decentralisation and Local Political Accountability in Vietnam. In: *Asia-Pacific Journal of Public Administration* 28(1), pp. 1-24 [e-journal] (URL: <http://lkyspp.nus.edu.sg/wp-content/uploads/2013/04/APJPA2.pdf> [accessed May 2014])
- Fung, A. & Wright, E.O. (2003): *Deepening Democracy. Institutional Innovations in Empowered Participatory Governance*. New Left Books, London, UK & New York, USA [book]
- Ganser, K. (2006): Alles geplant – was nun? In: Selle, K. (Ed.) (2006): *Planung neu denken. Band 1. Zur räumlichen Entwicklung beitragen. Konzepte. Theorien. Impulse*. Dortmund, Germany, pp. 529 – 546 [book]
- Ganser, K., Siebel, W. & Sieverts, T. (1993): Die Planungsstrategie der IBA Emscherpark. Eine Annäherung. In: *RaumPlanung*, Vol. 61, pp. 112 – 118 [journal]

- Gardiner, S.M. & Hartzell-Nichols, L. (2012): Ethics and Global Climate Change. In: Nature Education Knowledge 3(10):5, Cambridge, MA, USA [e-journal] (URL: <http://www.nature.com/scitable/knowledge/library/ethics-and-global-climate-change-84226631> [accessed May 2014])
- Gaventa, J. (2004): Towards Participatory Governance: Assessing the Transformative Possibilities. In: Hickey, S. & Mohan, G. (Eds.) (2004): Participation. From Tyranny to Transformation. Exploring New Approaches to Participation in Development. Zed Books Ltd, London, UK & Room 400, New York, USA, pp. 25 – 4 [book]
- Gawler, M. (2005): Project Design in the Context of Project Cycle Management. WWF Introductory Course – Sourcebook. Artemis Services, Prévessin-Moëns, France [e-pdf] (URL: <http://www.humanitarianforum.org/data/files/resources/726/en/Project-design-project-cycle-management.pdf> [accessed May 2014])
- Geddes, M. & Benington, J. (Eds.) (2001): Local Partnerships and Social Exclusion in the European Union: New Forms of Local Social Governances. Routledge Chapman & Hall, London, UK & New York, USA [book]
- GSO General Statistical Office Vietnam (2011): Migration and Urbanization in Vietnam: Patterns, Trends and Differentials. Vietnam Population and Housing Census 2009, Hanoi, Vietnam [e-book] (URL: http://vietnam.unfpa.org/webdav/site/vietnam/shared/Census%20publications/7_Monograph-Migration-Urbanization.pdf [accessed May 2014])
- GSO Vietnam, General Statistical Office Vietnam (2013): Area, Population and Population Density in 2011 by Province. [website] (URL: http://www.gso.gov.vn/default_en.aspx?tabid=467&idmid=3&ItemID=12941 [accessed September 2013, May 2014])
- GIZ German Agency for International Cooperation, Deutsche Gesellschaft für Internationale Zusammenarbeit (2013a): Viet Nam: Fighting Coastal Climate Change. [website] (URL: <http://www.giz.de/Themen/en/34154.htm> [accessed January 2013])
- GIZ German Agency for International Cooperation, Deutsche Gesellschaft für Internationale Zusammenarbeit (2013b): Environmentally and Climate Friendly Urban Development in Da Nang. Homepage (URL: <http://www.giz.de/themen/en/36842.htm> [accessed January 2013])

- GTZ German Agency for Technical Cooperation, Deutsche Gesellschaft für Technische Zusammenarbeit (1997): ZOPP – Objectives-Oriented Project Planning. Eschborn, Germany [e-book] (URL: http://www.ecode.es/marco_logico/pdf/02.pdf [accessed May 2014])
- GTZ German Agency for Technical Cooperation, Deutsche Gesellschaft für Technische Zusammenarbeit (2009): Capacity Works. The Management Model for Sustainable Development. Eschborn, Germany [book]
- Gibbon, P., Havnekik, K.J. & Hermele, K. (1995): A Blighted Harvest: The World Bank and African Agriculture in the 1980s. Africa World Press, Trenton, NJ, USA [book]
- Gillespie, S. (2004): Scaling Up Community-Driven Development: A Synthesis of Experience. FCND Discussion Paper No. 181, International Food Policy Research Institute, Washington D. C, USA [e-paper] (URL: <http://www.ifpri.org/sites/default/files/publications/fcndp181.pdf> [accessed May 2014])
- GSE & C Goldstar Engineering and Construction (2007): Investor Relations News. [website] (URL: http://www.gsconstir.co.kr/english/news_04_view.asp?rnum=92&page=1&startpage=1&count=2 [accessed November 2007])
- GoV Government of Vietnam (2003): Vietnam Initial National Communication Submitted to the United Nations Framework Convention on Climate Change. Hanoi, Vietnam [e-paper]
- Graham, J., Amos, B. & Plumptre, T. (2003): Principles for Good Governance in the 21st Century. Policy Brief No.15, Institute On Governance, Ottawa, Ontario, Canada [e-paper] (URL: <http://unpan1.un.org/intradoc/groups/public/documents/UNPAN/UNPAN011842.pdf> [accessed May 2014])
- Gray, M.L. (1999): Creating Civil Society? The Emergence of NGOs in Vietnam. In: Development and Change, Vol. 30, No. 4, pp. 693-713 [e-pdf] (URL: <http://www.michaelgray.ca/writing/articles/VNGO.pdf> [accessed May 2014])
- Gray, V. (1973): Innovation in the States: A Diffusion Study. In: American Political Science Review, 67(4), pp. 1174–1185 [e-journal] (URL: http://www.unc.edu/~fbaum/teaching/PLSC541_Fall08/gray_1973.pdf [accessed May 2014])
- Grindle, M.S. (2004): Good Enough Governance: Poverty Reduction and Reform in Developing Countries. In Governance: An International Journal of Policy, Administration and Institutions, No. 17(4), pp. 525 – 548 [e-journal] (URL: <http://onlinelibrary.wiley.com/doi/10.1111/j.0952-1895.2004.00256.x/pdf> [accessed May 2014])

- Grindle, M.S. (2007): Good Enough Governance Revisited. In: *Development Policy Review* 25(5), pp. 553 – 574 [e-journal] (URL: <http://onlinelibrary.wiley.com/store/10.1111/j.1467-7679.2007.00385.x/asset/j.1467-7679.2007.00385.x.pdf?v=1&t=hvo0j66d&s=a7a4dfbb0b12e56f0a81ef71a8887bb87a1103de> [accessed May 2014])
- Guaraldo Choguill, M.B. (1996): A Ladder of Community Participation for Underdeveloped Countries. In: *Habitat International* 20(3), Elsevier, UK pp. 431-444, Elsevier [e-journal] (URL: <http://www.sciencedirect.com/science/article/pii/0197397596000203> [accessed May 2014])
- Habitat for Humanity (2012a): Who We Are. [website] (URL: http://www.habitat.org/eurasia/learn_about_habitat/who_we_are.aspx [accessed September 2012, May 2014])
- Habitat for Humanity (2012b): Habitat for Humanity Vietnam. [website] (URL: <http://www.habitat.org/intl/ap/221.aspx> [accessed September 2012, May 2014])
- Hallegatte, S. (2009): Strategies to Adapt to an Uncertain Climate Change. In: *Global Environmental Change* 19(2) pp. 240–247 [e-journal] (URL: <http://www.sciencedirect.com/science/article/pii/S0959378008001192> [accessed May 2014])
- Hamdi, N. & Goethert, R. (1997): *Action Planning for Cities. A Guide to Community Practice*. John Wiley and Sons, Chichester, Great Britain [book]
- Havens, A.E. & Flinn, W. (1975): Green Revolution Technology and Community Development: The Limits of Action Programmes. *Economic Development and Cultural Change* 23(3), The University of Chicago Press, pp. 469-481 [e-journal] (URL: <http://www.jstor.org/discover/10.2307/1153027?uid=3737864&uid=2&uid=4&sid=21104220123273> [accessed May 2014])
- Ho Ba Tham (2009): Urbanization for Ho Chi Minh City in the Future: Forecasting Cultural and Social Challenges and Opportunities. HCMC Institute of Development Studies [e-paper] (URL: http://www.eastwestcenter.org/fileadmin/resources/seminars/Urbanization_Seminar/HCMC_Workshop/Additional_Materials/Urbanization_for_HCMC_in_the_Future_Dr._Ho_Ba_Tham.pdf [accessed May 2014])

- HIDS Ho Chi Minh City Institute for Development Studies (2013): Introducing about HCMC Institute for Development Studies. [website] (URL: http://www.hids.hochiminhcity.gov.vn/web/vncpt-english/introduction1?p_p_id=EXT_ARTICLEVIEW&p_p_lifecycle=0&p_p_col_id=center-top&p_p_col_count=1&EXT_ARTICLEVIEW_groupId=39198&EXT_ARTICLEVIEW_articleId=247118&EXT_ARTICLEVIEW_version=1.0&EXT_ARTICLEVIEW_redirect=%2Fweb%2Fvn-cpt-english%2Fintroduction [accessed January 2013, May 2014])
- Hung, T., Uchiyama, D., Ochi, C. & Yasuoka, Y. (2006): Assessment with Satellite Data of the Urban Heat Island Effects in Asian Megacities. In: International Journal of Applied Earth Observation and Geoinformation 8, pp. 34–48 [e-journal] (URL: <http://www.deepdyve.com/lp/elsevier/assessment-with-satellite-data-of-the-urban-heat-island-effects-in-a8S0KaCIPm> [accessed May 2014])
- Huq, S. & Reid, H. (2007): Community-Based Adaptation. A Vital Approach to the Threat Climate Change Poses to the Poor. An IIED Briefing [e-paper] (URL: <http://pubs.iied.org/pdfs/17005IIED.pdf> [accessed May 2014])
- Ilati, I. (2008): The Potential of Civil Society in Climate Change Adaptation Strategies. In: Political Science 60(1), pp. 19-30, Sage Publications [e-journal] (URL: <http://pnz.sagepub.com/content/60/1/19.full.pdf+html> [accessed June 2014])
- Ife, J. (2009): Human Rights from Below. Achieving Rights Through Community Development. Cambridge University Press, Melbourne, Australia [book]
- Ingle, M. & Halimi, S. (2007): Community-Based Environmental Management in Vietnam: The Challenge of Sharing Power in Politically Guided Society. In: Public Administration and Development 27(2), pp. 95–109 [e-journal] (URL: <https://www.pdx.edu/sites/www.pdx.edu.eli/files/Community%20Based%20Environmental%20Management%20in%20Vietnam.pdf> [accessed May 2014])
- IDS Institute of Development Studies (2007): Governance Screening for Urban Climate Change Resilience-Building and Adaptation Strategies in Asia: Assessment of Ho Chi Minh City, Vietnam [e-pdf] (URL: <http://www.ids.ac.uk/files/dmfile/hcmc.pdf> [accessed May 2014])
- IMHEN Institute of Meteorology, Hydrology and Environment (2013): Overview. [website] (URL: http://www.imh.ac.vn/a_gioi_thieu?set_language=en&cl=en [accessed January 2013, May 2014])

- IPCC Intergovernmental Panel on Climate Change (2001a): Climate Change 2001. Synthesis Report. [e-book] (URL: http://www.grida.no/publications/other/ipcc_tar/ [accessed May 2014])
- IPCC Intergovernmental Panel on Climate Change (2001b): The Scientific Basis. Glossary [e-book] (URL: <http://www.ipcc.ch/ipccreports/tar/wg1/pdf/TAR-APPENDICES.PDF> [accessed May 2014])
- IPCC Intergovernmental Panel on Climate Change (2007a): Climate Change 2007: Synthesis Report. [e-book] (URL: http://www.ipcc.ch/pdf/assessment-report/ar4/syr/ar4_syr.pdf [accessed May 2014])
- IPCC Intergovernmental Panel on Climate Change (2007b): The Scientific Basis, Summary for Policy Makers. In: Solomon, S., Qin, D., Manning, M., Chen, Z., Marquis, M., Averyt, K.B., Tignor, M. & Miller, H.L. (Eds.) (2007): Climate Change 2007: The Physical Science Basis. Contribution of Working Group I to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change, Cambridge University Press, Cambridge, UK & New York, USA [e-book] (URL: <http://www.ipcc.ch/pdf/assessment-report/ar4/wg1/ar4-wg1-spm.pdf> [accessed May 2014])
- IPCC Intergovernmental Panel on Climate Change (2007c): IPCC Fourth Assessment Report (AR4) - Climate Change 2007: Impacts, Adaptation and Vulnerability. [e-book] (URL: http://www.ipcc.ch/publications_and_data/publications_ipcc_fourth_assessment_report_wg2_report_impacts_adaptation_and_vulnerability.htm [accessed May 2014])
- IPCC Intergovernmental Panel on Climate Change (2012): Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation. Special Report of IPCC, Cambridge University Press, New York, USA [e-book] (URL: https://www.ipcc.ch/pdf/special-reports/srex/SREX_Full_Report.pdf [accessed May 2014])
- ISET Institute for Social and Environmental Transition (2011): Homepage [website] (URL: <http://www.i-s-e-t.org/> [accessed January 2013])
- International Business Publications (2008): Vietnam Diplomatic Handbook. 5th edition, Washington, USA [book]
- ICEM International Centre for Environmental Management (2009): Ho Chi Minh City – Adaptation to Climate Change. Volume 2: Main Study Report. Fourth Draft [e-pdf] (URL: http://www.icem.com.au/documents/climatechange/hcmc_cc/hcmc_ccdraftreport_vol2_main_report.pdf [accessed May 2014])

- IIED International Institute for Environment and Development (2009): Community-Based Adaptation to Climate Change: An Update. IIED Briefing Papers, London, UK [e-journal] (URL: www.iied.org/pubs/display.php?o=17064IIED [accessed May 2014])
- IISD International Institute for Sustainable Development (2011): Community Based Adaptation to Climate Change. Fifth International Conference on Community Based Adaptation to Climate Change in Dhaka, Bangladesh, New York, USA [e-paper] (URL: <http://www.iisd.ca/download/pdf/sd/yimbvol135num4e.pdf> [accessed May 2014])
- ISG International Support Group, Ministry of Agriculture and Rural Development (MARD) (2012): Homepage. [website] (URL: http://www.isgmard.org.vn/ISGNetwork_NGO.asp [accessed December 2012, May 2014])
- JICA Japan International Cooperation Agency (2013): Viet Nam. [website] (http://www.jica.go.jp/project/english/area/asia/027_1.html [accessed May 2013, May 2014])
- Jayasuriya, K. (1999): Globalization, Law, and the Transformation of Sovereignty: The Emergence of Global Regulatory Governance. In: *Indiana Journal of Global Legal Studies* 6(2), Indiana University Press, pp. 425-455 [e-journal] (URL: <http://www.repository.law.indiana.edu/cgi/viewcontent.cgi?article=1159&context=ijgls> [accessed May 2014])
- Jessop, B. (2003): Governance and Meta-Governance: On Reflexivity, Requisite Variety and Requisite Irony. In: Bang, H.P. (Ed.) (2003): *Governance as Social and Political Communication*. Manchester University Press, Manchester, UK [book]
- Jessop, B. (2011): Metagovernance. In: Bevir, M. (Ed.) (2011): *Handbook of Governance*. Sage Publications, London, UK, pp. 106-123 [book]
- Jiang Xu & Yeh, A.G.O. (Eds.) (2011): *Governance and Planning of Mega-City Regions: An International Comparative Perspective*. Routledge, Oxon, UK [book]
- Kaplan, R. & Norton, D.P. (1992): The Balanced Scorecard – Measures That Drive Performance. *Harvard Business Review* 70(1), pp. 71-78 [journal]
- Kaplan, R. & Norton, D.P. (1996): Using the Balanced Scorecard as a Strategic Management System. *Harvard Business Review* 74(1), pp. 75 – 85 [journal]

- Katzschner, A. (2013): Project Brief: TP. HCMC (Ho Chi Minh City, Vietnam). [e-pdf] http://future-megacities.org/fileadmin/documents/forschungsergebnisse/PB-HCMC_20121019.pdf [accessed May 2014])
- Kelly, P.M. & Adger W.N. (2000): Theory and Practice in Assessing Vulnerability to Climate Change and Facilitating Adaptation. In: Climatic Change 47, Kluwer Academic Publishers, Netherlands, pp. 325–352 [e-journal] (URL: <http://nome.colorado.edu/HARC/Readings/Kelly.pdf> [accessed May 2014])
- Kliwer, K. (2010): Community-Based Planning. Engagement, Collaboration, and Meaningful Participation in the Creation of Neighbourhood Plans. Research Report Series No. 10-06, Saskatchewan, Canada [e-pdf] (URL: http://usaskstudies.coop/socialeconomy/wp-content/uploads/report_cl3_07_mb2.pdf [accessed May 2014])
- Koh, D., Dang Duc Dam & Nguyen Thi Kim Chung (2009): Government Organization Structure and Excellent Public Services: The Case of Viet Nam and some Recommendations for Change. In: Reforming Public Administration in Viet Nam – Current Situation and Recommendations, Reference Book, The National Political Publishing House, Hanoi, Vietnam, pp. 252-319 [e-book] (URL: http://www.law.unimelb.edu.au/files/dmfile/Reforming_public_adminstration_in_Viet_Nam_-_current_situation_and_recommendations1.pdf [accessed May 2014])
- Kooiman, J. (2007): Social-Political Governance. In: Public Management: An International Journal of Research and Theory 1(1), pp. 67-92 [e-journal] (URL: <http://www.tandfonline.com/doi/pdf/10.1080/14719037800000005> [accessed May 2014])
- Labaeys, A., Brugmann, J., Nguyen Van Phuoc, Bao Thanh, Ly Khanh Tam Thao, Nguyen Anh Tuan, Storch, H. & Schinkel, U. (2012): Reality Check: Ho Chi Minh City, Vietnam. In: Otto-Zimmermann, K. (Ed.) Resilient Cities 2: Cities and Adaptation to Climate Change, Proceedings of the Global Forum 2011, Local Sustainability 2, Springer, Dordrecht, Netherlands, pp. 367-376 [book]
- Landau, M. (1973): The Science of Muddling Through. In: Public Administration Review 19, pp. 79-88 [journal]

- Laquian, A.A. (2008): The Planning and Governance of Asia's Mega-Urban Regions. United Nations Expert Group Meeting on Population Distribution, Urbanization, Internal Migration and Development, United Nations, New York, USA [e-journal] (URL: http://www.un.org/esa/population/meetings/EGM_PopDist/P04_Laquian.pdf [accessed May 2014])
- Le Thanh Nghiep & Le Huu Quy (2000): Measuring the Impact of Doi Moi on Vietnam's Gross Domestic Product. In: Asian Economic Journal 14(3), pp. 317-332 [e-journal] (URL: http://viet-studies.info/kinhte/ImpactOfDoiMoi_AEJ.pdf [accessed May 2013])
- Le Van Thanh (2002): Population and Urbanization in Ho Chi Minh City (Vietnam). Towards New Policies on Migration and Urban Development. Institute of Economic Research IER, HCMC, Vietnam [e-paper] (<http://archive.iussp.org/Bangkok2002/S14Le.pdf> [accessed May 2014])
- Le Van Thanh (2007): Economic Development, Urbanization and Environmental Changes in Ho Chi Minh City, Vietnam: Relations and Policies. PRIPODE Workshop on Urban Population, Development and Environment Dynamics in Developing Countries, Nairobi, Kenya [e-paper] (http://www.academia.edu/4890316/ECONOMIC_DEVELOPMENT [accessed May 2014])
- Lebel, L., Bach Tan Sinh, Ngo Cong Chinh, Sakaradhorn Boontaveeyuwat & Ham Kimkong Risk (2013): Communication and Adaptation in Settlements on the Coast and Deltas of the Mekong Region. In: Moser, S.C. & Boykoff, M. (Eds.) (2013): Successful Adaptation to Climate Change - Linking Science and Policy in a Rapidly Changing World. Routledge, London, UK [book]
- Ledwith, M. & Springett, J. (2010): Participatory Practice. Community-Based Action for Transformative Change. The Policy Press, Bristol, UK [book]
- Lindblom, C.E. (1959): The Science of 'Muddling Through'. In: Public Administration Review 19 (2), pp. 79-88 [journal] (URL: <http://faculty.washington.edu/mccurdy/SciencePolicy/Lindblom%20Muddling%20Through.pdf> [accessed May 2014])
- Lindeman, E.C. (1921): The Community: An Introduction to the Study of Community Leadership and Organization. Association Press, New York, USA [book]
- Liu Ruo Xuan, Low, A. & Chua, S. (2012): A Study of Urban Planning and Management: Case Study on Ho Chi Minh City. 9th OAPS Working Paper Series Paper No. 2012-058 [e-paper] (URL: <http://oaps.lib.sjtu.edu.cn:8000/oaps/bitstream/123456789/217/1/2012-034-OAPS.pdf> [accessed May 2014])

- Live and Learn (2012): Live and Learn Vietnam. [website] (URL: <http://www.livelearn.org/locations/viet-nam> [accessed September 2012, May 2014])
- Luansang, C., Boonmahathanakorn, S. & Domingo-Price, M. L. (2012): The Role of Community Architects in Upgrading; Reflecting on the Experience in Asia. In: *Environment and Urbanization* 24(2), pp. 497-512 [e-journal] (URL: <http://eau.sagepub.com/content/24/2/497> [accessed May 2014])
- Lusthaus, C. Anderson, G. & Murphy, E. (1995): Institutional Assessment – A Framework for Strengthening Organizational Capacity for IDRC's Research Partners. International Development Research Centre, Ottawa, Canada [e-book] (URL: <http://idl-bnc.idrc.ca/dspace/bitstream/10625/16393/1/IDL-16393.pdf> [accessed May])
- Mansanet-Bataller, M. (2010): The Challenges of Adapting to Climate Change. Climate Report No. 21, CDC Climate Research, Arcueil, France [e-paper] (URL: http://www.cdclimat.com/IMG/pdf/21_Etude_Climat_EN_The_challenges_of_adapting_to_climate_change.pdf [accessed May 2014])
- Mansuri, G. & Rao, V. (2004): Community-Based and Driven Development: A Critical Review. In: *The World Bank Research Observer* 19(1), pp. 1-39 [e-journal] (URL: <http://wbro.oxfordjournals.org/content/19/1/1.full.pdf+html> [accessed May 2014])
- Mansuri, G. & Rao, V. (2013): Localizing Development: Does Participation Work? A World Bank Policy Research Report, International Bank for Reconstruction and Development, The World Bank, Washington, D.C., USA [e-book] (URL: http://siteresources.worldbank.org/INTRES/Resources/469232-1321568702932/8273725-1352313091329/PRR_Localizing_Development_full.pdf [accessed May 2014])
- Mant, J. (1988): The Instruments of Planning: Urban Management. In: Neutze, M. (1988): *Metropolitan Planning in Australia: Urban Management*, Urban Research Unit, Research School of Social Sciences, Australian National University, pp. 17-35 [journal] (URL: http://johnmant.com/gallery/pdf_125396216778692.pdf [accessed May 2014])
- March, J.G. (1976): The Technology of Foolishness. In: March, J.G. and Olsen, J. (Ed.) (1976): *Ambiguity and Choice in Organizations*. Bergen, Norway [book]
- Marks, G. & Hooghe, L. (2004): Contrasting Visions of Multi-Level Governance. In: Bache, I. and Flinders, M. (Eds.) (2004): *Multi-Level Governance*. Oxford University, New York, USA pp. 15-30 [book]

- Mayntz, R. (2002): Common Goods and Governance. In: Héritier (Ed.) (2002): Common Goods – Re-inventing European and International Governance. Rowman and Littlefield, Lanham, USA, pp. 15-27 [book]
- Mayntz, R. (2003): From Government to Governance: Political Steering in Modern Societies. [e-paper] (URL: http://www.ioew.de/fileadmin/user_upload/DOKUMENTE/Veranstaltungen/2003/SuA2Mayntz.pdf [accessed May 2014])
- McElwee, P., Nghiem Phuong Tuyen, Le Thi Van Hue, Vu Thi Dieu Huong, Nguyen Van Be, Le Quang Tri, Nguyen Hieu Trung, Le Anh Tuan Le Canh Dung, Le Quang Duat, Dang Thu Phuong, Nguyen Tri Dung & Graham Adutt (2010): The Social Dimensions of Adaptation to Climate Change in Vietnam. The World Bank Discussion Paper No.12, Washington, USA [e-paper] (URL: http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2011/01/11/000356161_20110111012856/Rendered/PDF/589030NWP0EACC10Box353823B01public1.pdf [accessed May 2014])
- McGill, R. (1998): Viewpoint: Urban Management in Developing Countries. In: Cities 15(6), Elsevier Science Ltd., Great Britain, pp. 463-471 [e-journal] (URL: <http://www.deepdyve.com/lp/elsevier/urban-management-in-developing-countries-hhL8N3Nq5E> [accessed May 2014])
- McGranahan, G., Balk, D. & Anderson, B. (2007): The Rising Tide: Assessing the Risks of Climate Change and Human Settlements in Low Elevation Coastal Zones. In: Environment and Urbanization 19, pp. 17–37 [e-paper] (URL: <http://eau.sagepub.com/content/19/1/17.full.pdf+html> [accessed May 2014])
- Megacity Research Project TP. Ho Chi Minh (2010): Results of Action Field 1: HCMC Flooding Scenario for 2050. Storch, H., Downes, N. & Rujner [figure]
- Megacity Research Project TP. HCM (2012): Climate Change Adaptation of Urban Planning in the City Region of Ho Chi Minh City. Draft Report, unpublished [report]
- Metzger, R. (2000): Sustainable Slum Upgrading. Architectural Analysis of the Slum Housing in Ward 15, Ho Chi Minh City. Research Report No. 134, IREC-EPFL, Lausanne, Switzerland [paper]

- Miller, J.P. (2012): Bottom-Up Driven Revitalization. Planning, Public Policy, and Management 532 (seminar paper) University of Oregon, USA [e-paper] (URL: <http://architecturefortomorrow.com/wp-content/uploads/2012/04/Bottom-up-revitalization.pdf> [accessed May 2014])
- MARD Ministry of Agriculture and Rural Development, Government of Vietnam (2008): Decision on Promulgation of the Climate Change Adaptation Framework Action Program for all Bodies involved in Agriculture and Rural Development in the 2008 – 2020 Period. No. 2730/QĐ-BNN-KHCN, Hanoi, Vietnam [legal text] (URL: <http://www.vietnam-redd.org/Upload/CMS/Content/Library-GovernmentDocuments/2730-QĐ-BNN.pdf> [accessed May 2014])
- MARD Ministry of Agriculture and Rural Development, Government of Vietnam (2012): Homepage of the Ministry. [website] (URL: <http://www.agroviet.gov.vn/en/Pages/mandate.aspx?TabId=AboutMARD> [accessed September 2012, May 2014])
- MoC Ministry of Construction, Government of Vietnam (2012): Homepage of the Ministry. [website] (URL: <http://www.moc.gov.vn/web/guest/english> [accessed September 2012])
- MoF Ministry of Finance, Government of Vietnam (2012): Homepage of the Ministry. [website] (URL: http://www.mof.gov.vn/portal/page/portal/mof_en/dn?pers_id=2420240&item_id=76002875&p_d_etails=1 [accessed January 2013, May 2014])
- MoNRE Ministry of Natural Resources and Environment (2008a): Urbanization Creates Health Problems in Southern Metro. [website] (URL: <http://www.monre.gov.vn/v35/default.aspx?tabid=675&CateID=58&ID=44053&Code=2GQXA44053> [accessed October 2013])
- MoNRE Ministry of Natural Resources and Environment (2008b): National Target Program to Respond to Climate Change (Decision No: 158/2008/QĐ-TTg), unofficial translation [e-pdf] (URL: <http://www.isgmard.org.vn/VHDocs/NationalPrograms/NTP%20RespondtoClimateChange.pDF> [accessed May 2014])
- MoNRE Ministry of Natural Resources and Environment (2009): Climate Change, Sea Level Rise Scenarios for Vietnam. Hanoi, Vietnam [e-paper] (URL: http://www.preventionweb.net/files/11348_ClimateChangeSeaLevelScenariosforVi.pdf [accessed May 2014])

- MPI Ministry of Planning and Investment, Government of Vietnam (2012): Homepage of the Ministry. [website] (URL: http://www.mpi.gov.vn/portal/page/portal/mpi_en/3094/Ministerial%20Functions%20and%20%20Responsibilities [accessed September 2012, May 2014])
- Mintzberg, H. (1978): Patterns in Strategy Formation. In: *Management Science* 24(9), pp. 934-948 [journal]
- Mintzberg, H., Ahlstrand, B. and Lampel, J. (1999): *Strategy Safari - Eine Reise durch die Wildnis des strategischen Managements*. Vienna, Austria and Frankfurt, Germany [book]; the German translation of Mintzberg, H., Ahlstrand, B. & Lampel, J. (1998): *Strategy Safari - A Guided Tour through the Wilds of Strategic Management*. The Free Press, New York, USA [book]
- Mintzberg, H. & McHugh, A. (1985): Strategy Formation in an Adhocracy. In: *Administrative Science Quarterly* 30(2), pp. 160 – 197 [e-journal] (URL: <http://www.jstor.org/discover/10.2307/2393104?uid=3737864&uid=2&uid=4&sid=21104076420157> [accessed May 2014])
- Mitchell, T. & Tanner, T. (2006): *Adapting to Climate Change: Challenges and Opportunities for the Development Community*. Institute of Development Studies, Tearfund Collaboration, Brighton, UK [e-book] (URL: <http://www.tearfund.org/webdocs/website/Campaigning/policy%20and%20research/Adapting%20to%20climate%20change%20discussion%20paper.pdf> [accessed May 2014])
- Mitlin, D. & Satterthwaite, D. (2012): Editorial: Addressing Poverty and Inequality; New Forms of Urban Governance in Asia. In: *Environment and Urbanization* 24(2) pp. 395-401 [e-journal] (URL: <http://eau.sagepub.com/content/24/2/395.full> [accessed May 2014])
- Mitlin, D. & Thompson, J. (1995): Participatory Approaches in Urban Areas: Strengthening Civil Society or Reinforcing the Status Quo? In: *Environment & Urbanization*, 1995:7, Sage Publications, pp. 231 – 250 [e-journal] (URL: <http://eau.sagepub.com/content/7/1/231.full.pdf> [accessed 2014])
- Moore, M.H. (2003): *The Public Value Scorecard: A Rejoinder and an Alternative to 'Strategic Performance Measurement and Management in Non-Profit Organizations'* by Robert Kaplan. Working Paper No. 18, the Hauser Center for Nonprofit Organizations, The Kennedy School of Government, Harvard University, Boston, USA [e-paper] (URL: http://papers.ssrn.com/sol3/papers.cfm?abstract_id=402880 [accessed May 2014])

- Morgan, P. & Taschereau, S. (1996): Capacity and Institutional Assessment: Frameworks, Methods and Tools for Analysis. Canadian International Development Agency, Policy Branch, Gatineau, Quebec, Canada [e-paper] (URL: <http://www.seesac.org/sasp2/english/publications/7/capacity/8.pdf> [accessed May 2010])
- Moser, C.O.N. (1998): The Asset Vulnerability Framework: Reassessing Urban Poverty Reduction Strategies. In: World Development 26(1), pp. 1-19 [e-journal] (URL: http://ac.els-cdn.com/S0305750X97100158/1-s2.0-S0305750X97100158-main.pdf?_tid=8b6458d6-e59d-11e3-9bb1-00000aab0f01&acdnat=1401195236_5ea55ae830094dcd85d6647bfdbdb2ed [accessed May 2014])
- Moser, C.O.N. (2009): A Conceptual and Operational Framework for Pro-Poor Asset Adaptation to Urban Climate Change. Paper presented at the 5th World Bank Urban Research Symposium, Marseille, France [e-paper] (URL: <http://siteresources.worldbank.org/INTURBANDEVELOPMENT/Resources/336387-1256566800920/6505269-1268260567624/Moser.pdf> [accessed May 2014])
- Moser, C.O.N. & Norton, A. (2001): To Claim our Rights: Livelihood Security, Human Rights and Sustainable Development. Overseas Development Institute (ODI), London, UK, [e-book] (URL: <http://www.odi.org.uk/sites/odi.org.uk/files/odi-assets/publications-opinion-files/1816.pdf> [accessed May 2014])
- Muller, J. (1992): From Survey to Strategy: Twentieth Century Developments in Western Planning Method. In: Planning Perspectives 1992:7, Routledge, London, UK, pp. 125–155 [e-journal] (URL: <http://www.tandfonline.com/doi/pdf/10.1080/02665439208725744> [accessed May 2014])
- Nagothu, U.S., Nguyen, T.P., Truong, H.M., White, P. & Dulyapark, V. (2009): Vulnerability and Adaptation of Climate Change with a Focus on Catfish Culture Systems: Stakeholder Analysis in the Can Tho Province, Vietnam. AquaClimate Technical Brief No.1, Bangkok, Thailand [e-paper] (URL: <http://de.scribd.com/doc/19506006/Vietnam-Catfish-Climate-Brief> [accessed may 2014])
- Nanda, V.P. (2006): The "Good Governance" Concept Revisited. In: The ANNALS of the American Academy of Political and Social Science No. 603, Sage Publications, pp. 269–283 [e-journal] (URL: <http://ann.sagepub.com/content/603/1/269.full.pdf+html> [accessed May 2014])

- National Centre for Social Sciences and Humanities & UNDP (2001): National Human Development Report 2001 - Doi Moi and Human Development in Vietnam. The Political Publishing House, Hanoi, Vietnam [e-pdf] (URL: <http://planipolis.iiep.unesco.org/upload/Viet%20Nam/Viet%20Nam%20HDR%202001.pdf> [accessed May 2014])
- NISTPASS National Institute for Science and Technology Policy and Strategic Studies (2011): Homepage. [website] (URL: http://www.nistpass.gov.vn/en/index.php?option=com_content&view=category&id=10&layout=blog&Itemid=22 [accessed January 2013, May 2014])
- Nauheimer (1997): Project Cycle Management (PCM) - New Project Management Tools or Recycled Approaches from Yesterday? AT Forum No. 9 [e-paper] (URL: http://www.bb.go.th/Evaluation/Part_in_Foreign/PARTmgt/PCM1.pdf [accessed May 2013])
- Nelson, J.M. & Eglinton, S.J. (1993): Global Goals, Contentious Means: Issues of Multiple Aid Conditionality. Overseas Development Council, Washington D.C., USA [book]
- Nguyen Ho Bac (2008): Housing Development in Viet Nam - Proposal for Urban Planning Approach with Integration of Housing Development for the Low-Income population. Lund, Sweden [e-paper] (URL: http://www.hdm.lth.se/fileadmin/hdm/alumni/papers/SDD_2008_242b/Nguyen_Ho_Bac_Vietnam.pdf [accessed May 2014])
- Nguyen Minh Hoa & Son Thanh Tung (2007): Governance Screening for Urban Climate Change Resilience-building and Adaptation Strategies in Asia: Assessment of Ho Chi Minh City, Vietnam. Institute of Development Studies (IDS), Brighton, UK [e-paper] (URL: <http://www.ids.ac.uk/files/dmfile/HCMC.pdf> [accessed May 2014])
- Nguyen Ngoc Hien (n.d.): Socialist Republic of Vietnam. CCLG Country Profiles, Partnership for Democratic Local Governance in South-East Asia (DELGOSEA) [e-pdf] (URL: <http://www.delgosea.eu/cms/Downloads/Country-Profiles> [accessed February 2014])
- Niven, P.R. (2009): Balanced Scorecard. Arbeitsbuch, 2. Auflage, Wiley Klartext, Wiley-VCH Verlag GmbH und KGaA, Weinheim, Germany [book]

- Njoh, A.J. (2010): Europeans, Modern Urban Planning and the Acculturation of 'Racial Others'. In: *Planning Theory* 2010, Sage Publications, pp. 1-10 [e-journal] (URL: <http://plt.sagepub.com/content/early/2010/07/12/1473095210368880.full.pdf+html> retrieved May 2013)
- Nørlund, I. (2007): Civil Society in Vietnam. Social Organisations and Approaches to New Concepts. In: *Asien* 105, pp. 68–90 [e-journal] (URL: http://www.asienkunde.de/content/zeitschrift_asien/archiv/pdf/a105_ref_art_norlund.pdf [accessed May 2014])
- OECD Organisation for Economic Co-operation and Development (2005): *Building Competitive Regions: Strategies and Governance*. Paris, France [e-book] (URL: <http://browse.oecdbookshop.org/oecd/pdfs/product/0405041e.pdf> [accessed May 2014])
- OECD Organisation for Economic Co-Operation and Development (OECD) (2008): *Climate Change: Meeting the Challenge to 2050*. Policy Brief, Paris, France [e-pdf] (URL: <http://www.oecd.org/env/39762914.pdf> [accessed May 2014])
- Ogawa, R.T. & Malen, B. (1991): Towards Rigor in Reviews of Multivocal Literature: Applying the Exploratory Case Method. *Review of Educational Research* 61(3), pp. 265-286 [e-journal] (URL: <http://rer.sagepub.com/content/61/3/265.full.pdf+html> [accessed May 2014])
- Ohmer, M.L. & DeMasi, K. (2009): *Consensus Organizing: A Community Development Workbook. A Comprehensive Guide to Designing, Implementing, and Evaluating Community Change Initiatives*. Sage Publications, Thousand Oaks, CA, USA [book]
- Oxfam (2008): *Viet Nam: Climate Change, Adaptation and Poor People*. Oxford, UK [e-pdf] (URL: http://www.preventionweb.net/files/7377_vietnamccadaptationpoverty.pdf [accessed May 2014])
- Oxfam International (2012a): Homepage. [website] (URL: <http://www.oxfam.org/en/about> [accessed September 2012])
- Oxfam International (2012b): Vietnam. Homepage [website] (URL: <http://www.oxfam.org/en/development/vietnam> [accessed September 2012])
- Papeleras, R., Bagotlo, O. & Boonyabancha, S. (2012): A Conversation about Change-Making by Communities: Some Experiences from ACCA. In: *Environment and Urbanization* 24(2), pp. 463-489 [e-paper] (URL: <http://eau.sagepub.com/content/24/2/463.full.pdf+html> [accessed May 2014])

- Pascale, S. & Carland, J.W. (1997): A Comparative Analysis of two Concept Evaluation Methods for New Product Development Projects. In: Project Management Journal 28(4) p46ff. [e-journal] (URL: <http://alvarestech.com/temp/PDP2011/emc6605.ogliari.prof.ufsc.br/Restrito/A%20comparative%20analysis%20of%20two%20concept%20evaluation%20methods.pdf> [accessed May 2014])
- Pearce, J. (2000): Development, NGOs, and Civil Society: The Debate and its Future. In: Eade, D. (2000): Development, NGOs, and Civil Society, A Development in Practice Reader, pp. 15 – 43, Oxfam, Great Britain [e-book] (URL: <http://www.developmentinpractice.org/sites/developmentinpractice.org/files/Development,NGOs%20and%20Civil%20Society.pdf> [accessed May 2014])
- Perkins, D.H. & Vu Thanh Tu Anh (2010): Vietnam's Industrial Policy - Designing Policies for Sustainable Development. Harvard Kennedy School, ASH Center for Democratic Governance and Innovation, United Nations Development Programme, UNDP – Harvard Policy Dialogue Papers, Series on Vietnam's WTO Accession and International Competitiveness Research, Policy Dialogue Paper Number 3, HCMC, Vietnam [e-paper] (http://vnaid.org/en/attachments/416_Industrial%20Policy.pdf [accessed May 2014])
- Paul, S. (1987): Community Participation in Development Projects. The World Bank Experience. Washington, D.C., USA [e-book] (http://www-wds.worldbank.org/servlet/WDSContentServer/IW3P/IB/1999/09/21/000178830_98101903572729/Rendered/PDF/multi_page.pdf [accessed May 2014])
- Pham Thi Thuy Hanh (2007): Impact of Sea Level Rise on Coastal Zone of Vietnam. Bulletin of the Faculty of Sciences Ryukyus No. 84, pp. 45–59 [e-paper] (URL: <http://ir.lib.u-ryukyu.ac.jp:8080/bitstream/123456789/5368/1/No84p45.pdf> [accessed May 2014])
- Phi Vinh Tuong (2011): Development of Special Economic Zones, Industrial Estates, Ports, Metropolis and Alternative Roads in the Greater Ho Chi Minh City Area. In: Ishida, M. (Ed.) (2011): Intra- and Inter-City Connectivity in the Mekong Region. Bangkok Research Center, Research Report No. 6, Bangkok, Thailand, pp. 322-376 [e-book] (URL: http://www.ide.go.jp/English/Publish/Download/Brc/pdf/06_chapter7.pdf [accessed May 2014])
- Phong Tran 2009: Institutional and Policy Landscaped of Disaster Risk Reduction and Climate Change in Vietnam. UNISDR Asia Pacific (URL: <http://www.unisdr-apps.net/confluence/download/attachments/9110568/01+CCA+and+DRR+linkage+report.pdf> [accessed May 2014])

- Pierre, J. (1999): Models of Urban Governance: The Institutional Dimension of Urban Politics. In: Urban Affairs Review, 1999:34, Sage Publications, pp. 372–396 [e-journal] (URL: <http://www.euro.centre.org/rescalingDocuments/files/ESP/UrbanGovernance.pdf> [accessed May 2014])
- Pierson, J. (2008): Going Local. Working in Communities and Neighbourhoods. Published in association with communitycare, Routledge, London, UK and New York, USA [book]
- Popper, K. (1945): The Open Society and Its Enemies. London, UK [book]
- Pound, B., Snapp, S., McDougall, C. & Braun, A. (2003): Managing Natural Resources for Sustainable Livelihoods: Uniting Science and Participation. Earthscan, London, UK [e-book] (URL: <http://www.ibcperu.org/doc/isis/5601.pdf> [accessed May 2014])
- Pretty, J., Guijt, I., Thompson, J. & Scoones, I. (1995): Participatory Learning and Action: A Trainer's Guide. IIED Participatory Methodology Series, London, UK [e-book] (URL: <http://pubs.iied.org/pdfs/6021IIED.pdf?> [accessed May 2014])
- Priambodo, C., Streiferdt, V., Tänzler, D. & Semmling, E. (2013): Status of Climate Finance in Vietnam. Country Assessment Report, CDKN-GIZ Project Roadmap for Vietnam, Castlerock Consulting & Adelphi, Singapore and Berlin, Germany [e-paper] (http://cdkn.org/wp-content/uploads/2012/05/VIETNAM-Country-Report_3Dec2013.pdf [accessed May 2014])
- Pugh, S. (1991): Total Design. Addison-Wesley Publishing Company. Wokingham, England [book]
- Quinn, J.B. (1980): Strategies for Change: Logical Incrementalism. Dow Jones-Irwin, Homewood, IL, USA [book]
- Quinn, J.B. (1982): Managing Strategies Incrementally. In: Omega, International Journal of Management Science 10(6), pp. 613–627 [journal]
- Randolph, J.J. (2009): A Guide to Writing the Dissertation Literature Review. In: Practival Assessment, Research and Evaluation 14(13) [e-journal] (URL: <http://pareonline.net/pdf/v14n13.pdf> [accessed May 2014])
- Regmi, B.R. (2012): Revisiting Community-Based Adaptation. Kathmandu, Nepal [e-paper] (URL: http://www.forestrynepal.org/images/publications/Revisiting_Community_BRegmi.pdf [accessed May 2014])

- Reid, H., Alam, M., Berger, R., Cannon, T., Huq, S. & Milligan, A. (2009): Community-Based Adaptation to Climate Change: An Overview. In: IIED (2009): Participatory Learning and Action, No. 60, Nottingham, UK, pp. 11-33 [e-journal] (URL: <http://pubs.iied.org/pdfs/14573IIED.pdf> [accessed May 2014])
- Reid, H., Huq, S. & Murray, L. (2010): Community Champions: Adapting to Climate Challenges. IIED (International Institute for Environment and Development), London, UK [e-book] (URL: <http://pubs.iied.org/pdfs/10028IIED.pdf> [accessed May 2014])
- Reyes, C.M. and Valencia, L.E. (2003): Poverty Reduction, Decentralization and Community-Based Monitoring Systems. MIMAP Research Paper No. 24, IDRC, Ottawa, Canada [e-paper] (URL: http://www.pep-net.org/fileadmin/medias/pdf/files_events/3rd_dakar/reyes_pa.pdf [accessed May 2014])
- Rhodes, R.A.W. (1997): Understanding Governance. Policy Networks, Governance, Reflexivity and Accountability. Open University Press, Buckingham, Philadelphia, USA [book]
- Robertson, S. & Tran Thi Hai (2004): NGO/ Civil Society Development in Vietnam. Viet Nam Assistance for the Handicapped. Working Reference [e-paper] (URL: http://www.iccsl.org/pubs/VNAH_Civil_Society_Development_in_Vietnam.pdf [accessed May 2014])
- Rockefeller Foundation (2009): Asia Cities Climate Change Resilience Network Initiative - Vietnam Country Report. Hong Kong [e-paper] (http://www.acccrn.org/sites/default/files/documents/ArupHK_Vietnam_Report_edited_May_09_Final.pdf [accessed May 2014])
- Sabates-Wheeler, R., Mitchell, T. & Ellis, F. (2008): Avoiding Repetition: Time for CBA to Engage with the Livelihoods Literature? In: IDS Bulletin 39(4), pp. 53-59 [e-journal] (<http://onlinelibrary.wiley.com/doi/10.1111/j.1759-5436.2008.tb00476.x/abstract> [accessed April 2013])
- Sabharwal, G. & Than Thi Thien Huong (2005): Civil Society in Vietnam. Global Policy Forum [website] (URL: <http://www.globalpolicy.org/component/content/article/176/32074.html> [accessed May 2014])
- Safier, M. (1983): The Passage to Positive Planning. In: Habitat International, 7(5/6), pp. 105-116, Pergamon Press Ltd., Great Britain [journal]

- Salemink, O. (2003): Disjunctive Developments: The Politics of Good Governance and Civil Society in Vietnam. SOAS/EIDOS Conference, "Order and Disjuncture: The Organisation of Aid and Development: An informal workshop", London, UK [paper]
- Sampson, R.J. (1999): What 'Community' Supplies. In: Ferguson, R.F. & Dickens, W.T. (Ed.) (1999): Urban Problems and Community Development. Brookings Institution, Washington D.C., USA, pp. 241-292 [book]
- Sampson, R.J. (2004): Neighbourhood and Community. In: New Economy (2004), pp. 106-113 [e-journal] (URL: http://www.icjia.state.il.us/public/2012_LE_Workshop/pdf_Files/Reading%20Materials/Neighborhood%20and%20Community.pdf [accessed May 2014])
- Santisio, J. (2001a): Good Governance and Aid Effectiveness: The World Bank and Conditionality. The Georgetown Public Policy Review 7(1), pp.1-22 [e-paper] (URL: http://www.sti.ch/fileadmin/user_upload/Pdfs/swap/swap108.pdf [accessed May])
- Santisio, J. (2001b): International Co-Operation for Democracy and Good Governance: Moving Towards a Second Generation. In: European Journal of Development Research 13(1) pp.154-180 [e-journal] (URL: <http://eldis.org/fulltext/secondgeneration.pdf> [accessed May 2014])
- Schinkel, U. (2013): Community-Based Adaptation in Urban Areas – A Bottom-Up Approach for Ho Chi Minh City. In: Gurrán, N., Phibbs, P. & Thompson, S. (Eds.) (2013): UPE 10 Next City – Planning for a New Energy & Climate Future, Symposium Proceedings, Sydney, Australia, pp. 373-384 [e-paper] (URL: <http://sydney.edu.au/architecture/documents/prc/UPE10/UPE10%20Proceedings.pdf> [accessed May 2014])
- Schinkel, U., Le Dieu Anh & Schwartze, F. (2011): How to Respond to Climate Change Impacts in Urban Areas. Brandenburg University of Technology Cottbus, Cottbus, Germany [e-book] (URL: https://www-docs.tu-cottbus.de/megacity-hcmc/public/04_Capacity/How_to_respond_to_Climate_Change_Impacts_in_Urban_Areas_E-Paper.pdf [accessed May 2014])
- Schinkel, U. (2014): Lessons Learnt from a Community-Based Adaptation Project in Ho Chi Minh City, Vietnam. In: Schinkel, U., Jain, A. & Schröder, S. (Eds.) (2014): Local Action and Participation - Lessons Learnt from Participatory Projects and Action Research in Future Megacities. Jovis, Berlin, Germany, pp. 135-152 (in print) [book]

- Schinkel, U., Jain, A. & Schröder, S. (2014): Theoretical Departures. In: Schinkel, U., Jain, A. & Schröder, S. (Eds.) (2014): Local Action and Participation - Lessons Learnt from Participatory Projects and Action Research in Future Megacities. Jovis, Berlin, Germany, pp. 17-24 (in print) [book]
- Schmidt, M., Katzschner, A., Downes, N., Gravert, A., Burghardt, R. & Storch, H. (2012): Urban Development, Climate Change, and associated Risks in Ho Chi Minh City – Vulnerabilities and Adaptation Challenges for a Rapidly Growing Megacity. In: Mieg, H. & Töpfer, K. (Eds.) (2012): Institutional and Social Innovation for Sustainable Urban Development. Routledge, Abingdon, Oxon, UK, pp. 180 – 192 [book]
- Schmitt, K. (2009): Protection and Sustainable Use of Coastal Wetlands through Co-Management and Mangrove Rehabilitation with Emphasis on Resilience to Climate Change. Management of Natural Resources in the Coastal Zone of Soc Trang Province, GTZ, Soc Trang Province People's Committee, Soc Trang, Vietnam [e-pdf] (URL: <http://czm-soctrang.org.vn/Publications/EN/Docs/Mangrove%20protection%20and%20co-management%20Soc%20Trang%202009.pdf> [accessed May 2014])
- Scholte, J.A. (2004): Civil Society and Democratically Accountable Global Governance. In: Government and Opposition 39(2), pp. 211–233, [e-journal] (URL: <http://hapinternational.org/pool/files/aartscholteaccountable.pdf> [accessed May 2014])
- Schwartz, F., Gravert, A., Eckert, R., Kersten, R. & Schinkel, U. (2011): Research News for Climate Compliant Cities – The Case of Ho Chi Minh City, Vietnam. In: Zimmermann, K.O. (Ed.) (2011): Resilient Cities. Cities and Adaptation to Climate Change, Proceedings of the Global Forum 2010, Springer, Bonn, Germany, pp. 339-348 [book]
- Schwartz, F. & Schinkel, U. (2013): Herausforderung nachhaltiger und integrierter Stadtplanung für Ho-Chi-Minh-Stadt, Vietnam. In: VHW Bundesverband für Wohnen und Stadtentwicklung, Forum Wohnen und Stadtentwicklung, Heft 2/2013, pp. 91-96 [e-journal] (URL: http://www.vhw.de/fileadmin/user_upload/Forum_Wohneigentum/PDF_Dokumente/2013/2_2013/FWS_2_13_Schwartz_Schinkel.pdf [accessed May 2014])
- Scott, A.J. (2001): Globalization and the Rise of City-Regions. In: European Planning Studies 9(7), pp. 813 – 826 [e-journal] (<http://www.metu.edu.tr/~gedikli/GlobalisationAllenScott.PDF> [accessed May 2014])

- Shaw, R. (2003): Community-Based Climate Change Adaptation in Vietnam: Interlinkages of Environment, Disaster, and Human Security. Multiple dimension of global environmental changes, pp. 117-129 [paper]
- Shaw, R. (2006): Community-Based Climate Change Adaptation in Vietnam: Inter-linkages of Environment, Disaster, and Human Security. In: Sonak, S. (2006): Multiple Dimension of Global Environmental Changes, TERI publication, 521-547 [e-paper] (URL: http://unfccc.int/files/adaptation/application/pdf/nwpexpert_shaw_2006.pdf [accessed May 2014])
- Sidel, M. (2002): Analytical Models for Understanding Constitutions and Constitutional Dialogue in Socialist Transitional States: Re-Interpreting Constitutional Dialogue in Vietnam. In: Singapore Journal of International & Comparative Law No. 6, pp. 42 – 89 [e-journal] (URL: <http://law.nus.edu.sg/sybil/downloads/articles/SJICL-2002-1/SJICL-2002-42.pdf> [accessed May 2014])
- Simon, H. (1947): Administrative Behaviour. The Macmillan Co., New York, USA [book]
- Smit, B., Burton, I., Klein, R.J.T. & Wandel, J. (2009): An Anatomy of Adaptation to Climate Change and Variability. In: Schipper, E.L.F. and Burton, I. (Eds.) (2009): The Earthscan Reader on Adaptation to Climate Change, Earthscan, London, UK, pp. 63-87 [book]
- Smit, B. & Pilifosova, O. (2001): Adaptation to Climate Change in the Context of Sustainable Development and Equity. In: IPCC (2001): Climate Change 2001: Impacts, Adaptation, and Vulnerability. Chapter 18, pp. 877-912 [e-book] (URL: <http://www.ipcc.ch/ipccreports/tar/wg2/pdf/wg2TARchap18.pdf> [accessed May 2014])
- Smock, K. (2004): Democracy in Action: Community Organizing and Urban Change. New York: Columbia University Press, New York, USA [book]
- Smyle & Cooke (2011): Climate Change Analysis and Adaptation Responses. Prepared for Informing IFAD's Country Strategic Opportunities Program 2012 – 2017 for Viet Nam. [e-paper] (URL http://www.ifad.org/climate/asap/cc_vietnam.pdf retrieved May 2014)
- Speer, P. & Hughey, J. (1995): Community Organizing: An Ecological Route to Empowerment and Power. In: American Journal of Community Psychology 23(5), pp. 729 – 748 [e-journal] (<http://link.springer.com/article/10.1007%2FBF02506989#page-1> [accessed May 2014])
- Spelchan, D.G., Nicoll, I.A. & Nguyen Thi Phuong Hao (Eds.) (2010): Co-Management/ Shared Governance of Natural Resources and Protected Areas in Viet Nam. Proceedings of the National

- Workshop on Co-Management Concept and Practice in Viet Nam, Soc Trang [e-paper] (URL: <http://czm-soctrang.org.vn/Publications/EN/Docs/Proceedings%20Master%20EN.pdf> [accessed May 2014])
- Standing Office of Danang Steering Committee for Response to Climate Change and Sea Level Rise (2014): Danang Climate Change Coordination Office. [website] (URL: http://ccco.danang.gov.vn/106_108_960/Danang_Climate_Change_Coordination_Office.aspx [accessed March 2014])
- Stern, N. (2010): The Economics of Climate Change. In: Gardiner, S.M., Caney, S., Jamieson, D. & Shue, H. (Eds.) (2010): Climate Ethics. Essential Readings. Oxford University Press, New York, USA, pp. 39–75 [book]
- Storch, H. & Downes, N. (2011): A Scenario-Based Approach to Assess Ho Chi Minh City's Urban Development Strategies Against the Impact of Climate Change. In: Cities 28(6), pp. 517–526 [e-journal] (URL: <http://www.sciencedirect.com/science/article/pii/S026427511100093X%20retrieved%20October%202012> [accessed May 2014])
- Storch, H., Downes, N., Katzschner, L. & Nguyen Xuan Tinh (2011): Building Resilience to Climate Change Through Adaptive Land Use Planning in Ho Chi Minh City, Vietnam. In: Otto-Zimmermann, K. (Ed.) (2011): Resilient Cities: Cities and Adaptation to Climate Change. Proceedings of the Global Forum 2010, Local Sustainability 1, Springer, Berlin, Germany, pp. 349–363 [book]
- Straus, D. (2002): How to Make Collaboration Work: Powerful Ways to Build Consensus, Solve Problems and Make Decisions. Berrett-Koehler Publishers, San Francisco, USA [book]
- Stromseth, J.R. (1998): Reform and Response in Vietnam: State-Society Relations and the Changing Political Economy. Unpublished Ph.D. dissertation, Columbia University, New York, USA [book]
- Sunzi (1988): Die Kunst des Krieges. Droemersch Verlagsgesellschaft Th. Knaur Nachf. GmbH + Co., Munich, Germany [book]
- SIDA Swedish International Development Cooperation Agency (2013): Our Work in Vietnam. [website] (URL: <http://www.sida.se/English/Countries-and-regions/Asia/Vietnam/Our-work-in-Vietnam/> [accessed January 2013])

- Tandon, R. (2008): Participation, Citizenship and Democracy: Reflections on 25 Years of PRIA. In: Community Development Journal 43(3), pp. 284–96 [e-journal] (URL: <http://cdj.oxfordjournals.org/content/43/3/284.full.pdf+html> [accessed May 2014])
- Tanner, T., Mitchell, T., Polack, E. & Guenther, B. (2009): Urban Governance for Adaptation: Assessing Climate Change Resilience in Ten Asian Cities. IDS Working Paper 315, Brighton, UK [e-paper] (URL: http://onlinelibrary.wiley.com/store/10.1111/j.2040-0209.2009.00315_2.x/asset/j.2040-0209.2009.00315_2.x.pdf?v=1&t=htslyvfv&s=c7d9161938b65b63fdf73df477d07b013d9cc9be [accessed April 2014])
- Tasan-Kok, T. & Vranken, J. (2011): Handbook for Multilevel Urban Governance in Europe. Analysing Participatory Instruments for an Integrated Urban Development. European Urban Knowledge Network, The Hague, The Netherlands [e-book] (URL: [https://www.google.de/search?client=safari&rls=en&q=Tasan-Kok,+T.+%26+Vranken,+J.+\(2011\):+Handbook+for+Multilevel+Urban+Governance+in+Europe.+Analysing+Participatory+Instruments+for+an+Integrated+Urban+Development.+European+Urban+Knowledge+Network,+The+Hague,+The+Netherlands&ie=UTF-8&oe=UTF-8&gfe_rd=cr&ei=YvmFU9TKLsuK8Qfg2oGYAQ#](https://www.google.de/search?client=safari&rls=en&q=Tasan-Kok,+T.+%26+Vranken,+J.+(2011):+Handbook+for+Multilevel+Urban+Governance+in+Europe.+Analysing+Participatory+Instruments+for+an+Integrated+Urban+Development.+European+Urban+Knowledge+Network,+The+Hague,+The+Netherlands&ie=UTF-8&oe=UTF-8&gfe_rd=cr&ei=YvmFU9TKLsuK8Qfg2oGYAQ#) [accessed May 2014])
- Taylor, P. & Mayo, M. (2008): Editorial to Special Issue: Participatory Approaches in Community Development: Transition and Transformation. In: Community Development Journal 43(3), pp. 263–268 [e-journal] (URL: <http://cdj.oxfordjournals.org/content/43/3/263.full.pdf+html> [accessed May 2014])
- Thai Thi Ngoc Du (2001): Governance and Participation in Vietnam. Discourses on Political Reform and Democratization in East and Southeast Asia in the Light of new Processes of Regional Community Building, Project Discussion Paper No. 12/2001 [e-paper] (URL: <http://duepublico.uni-duisburg-essen.de/servlets/DerivateServlet/Derivate-5269/dpr12.pdf> [accessed May 2014])
- Thayer, C.A. (2008): One-Party Rule and the Challenge of Civil Society in Vietnam. Presentation to Remaking the Vietnamese State, Implications for Vietnam and the Region, Vietnam Workshop, City University of Hong Kong [e-paper] (URL: http://www.viettan.org/IMG/pdf/Civil_Society_in_Vietnam_-_Carlyle_Thayer.pdf [accessed May 2014])

- TERI The Energy and Resources Institute (2010): Enhancing Public Participation through Effective Functioning of Area Sabhas. Project Report No. 2009UD04, New Delhi [e-pdf] (URL: http://urbanindia.nic.in/programme/lsg/TERI_Sabhas_Report.pdf [accessed June 2014])
- The Socialist Republic of Vietnam (1992): Constitution of the Socialist Republic of Vietnam. [legal text] (URL: <http://www.vietnamlaws.com/freelaws/Constitution92%28aa01%29.pdf> [accessed May 2014])
- The Socialist Republic of Vietnam (1998): Decree No.29/1998/ND-CP of May 11, 1998 Promulgating the Regulation on the Exercise of Democracy in Communes. [legal text] (URL: <http://vbqpp.l.moj.gov.vn/vbqpp/en/layouts/printeng.aspx?id=1578> [accessed May 2014])
- The Socialist Republic of Vietnam (2003a): Decree 79 – Grass Roots Democracy, Decree No. 79/2003/ND-CT The Exercise of Democracy in the Communes. In: Robertson, S. & Tran Thi Hai (2004): NGO/ Civil Society Development in Vietnam. Viet Nam Assistance for the Handicapped. Working Reference [legal text] (URL: http://www.iccsl.org/pubs/VNAH_Civil_Society_Development_in_Vietnam.pdf [accessed May 2014])
- The Socialist Republic of Vietnam (2003b): The Comprehensive Poverty Reduction and Growth Strategy (CPRGS). (Approved by the Prime Minister: 2685/VPCP-QHQT and No. 1649/CP-QHQT), Hanoi, Vietnam [legal text] (URL: http://siteresources.worldbank.org/INTVIETNAM/Overview/20270134/cprgs_finalreport_Nov03.pdf [accessed May 2014])
- The Socialist Republic of Vietnam (2010): The 1992 Constitution of the Socialist Republic of Viet Nam. Questions and Answers. The Gioi Publishers, Hanoi, Vietnam, VN-TG-41.32-1 [leaflet]
- The Socialist Republic of Vietnam & MONRE Ministry of Natural Resources and Environment (2003): National Strategy for Environmental Protection until 2010 and Vision toward 2020. [e-pdf] (URL: http://www.theredddesk.org/sites/default/files/national_env_strategy_1.pdf [accessed May 2014])
- The Socialist Republic of Vietnam & the National Assembly (2002): Law on State Budget. Law No. 01/2002/QH11, Hanoi, Vietnam [legal text] (URL: <http://www.google.de/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=0CDMQFjAA&url=http://www.worldbank.org/publicsector/2Fpe%2FBudgetLaws%2FVietnamStateBudget.doc&ei=tTOHU429A8GwOdCZgLG&usq=AFQjCNG0HS0abv4ziMixut1xy -- hvxnYQ&sig2=0leldo4TC8rE0ZY-5K51vQ&bvm=bv.67720277,d.ZWU> [accessed May 2014])

- The Socialist Republic of Vietnam & The National Assembly (2009): Law on Urban Planning, No.32/2009/QH12 [legal text]
- The Socialist Republic of Vietnam & The Prime Minister of Government (2001): Decision No. 136/2001/QĐ-TTg of September 17, 2001 Approving the Overall Program on State Administrative Reform, the 2001 – 2010 Period. [legal text] (URL: http://laws.dongnai.gov.vn/2001_to_2010/2001/200109/200109170002_en/print_default [accessed May 2014])
- The Socialist Republic of Vietnam & the Prime Minister (2007): National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020. Hanoi, Vietnam [legal text] (URL: <http://www.isgmard.org.vn/VHDocs/NationalPrograms/National%20Strategyfordisasterprevention2020.pdf> [accessed February 2014])
- The Socialist Republic of Vietnam & The Standing Committee of National Assembly (2003): Population Ordinance. Resolution No. 06/2003/PL-UBTVQH11, Hanoi (URL: <http://www.google.de/url?sa=t&rct=j&q=&esrc=s&source=web&cd=7&ved=0CIABEBYwBg&url=http%3A%2F%2Fwww.hsph.harvard.edu%2Fpopulation%2Fpolicies%2Fvietnam.03.doc&ei=FMGjT9TBJlfh4QS8qJ2TCQ&usq=AFQjCNGzhnxjcaVcH8E-YA4kMx3tP8zHOQ&sig2=ZVeBq9Oqcp9O0NPREQ4ytA> [accessed May 2014])
- Thompson, J. (1995): Participatory Approaches in Government Bureaucracies: Facilitating the Process of Institutional Change. In: *World Development* 23(9), pp. 1521–1554 [e-paper] (URL: <http://www.staff.ncl.ac.uk/david.harvey/AEF806/Specific%20References/ThompsonWD23.1995.participatory-facilitation.pdf> [accessed May 2014])
- Tolki, H., Haveri, A., Airaksinen, J. & Valkonen, E. (2010): Governance in Regional Development – between Regulation and Self-Regulation. In: *Public Organization Review* 11(4), p. 313-333 [e-paper] (URL: <http://ideas.repec.org/a/kap/porgrv/v11y2011i4p313-333.html> retrieved April 2013 [accessed May 2014])
- Tompkins, E.L. & Adger, W.N. (2004): Does Adaptive Management of Natural Resources Enhance Resilience to Climate Change? In: *Ecology and Society* 9(2):10, n.p. [e-journal] (URL: <http://www.ecologyandsociety.org/vol9/iss2/art10> [accessed May 2014])

- Tran Viet My (2004): Vietnam. Country Paper In: Wijayaratra, C.M. (Ed.) (2004): Report of the APO Seminar on Role of Local Communities and Institutions in Integrated Rural Development held in Islamic Republic of Iran, Asian Productivity Organization, Auckland, New Zealand pp. 246-250 [e-paper] (URL: http://www.apo-tokyo.org/projreps_acd/04_ICD-SE-3-01.pdf [accessed May 2014])
- Ulrich, K. & Eppinger, S. (1995): Product Design and Development. McGraw-Hill Inc., New York, USA [book]
- UNCHS United Nations Centre for Human Settlements (Habitat) (2001): Building Bridges Through Participatory Planning. [book]
- UNDP United Nations Development Programme (1997): Governance and Sustainable Human Development. New York, USA [book]
- UNDP United Nations Development Programme (2006): Deepening Democracy and Increasing Popular Participation in Vietnam. Policy Dialogue Paper 2006:1, Hanoi, Vietnam [e-paper] (URL: http://rutgers.academia.edu/PamelaMcElwee/Papers/247436/Deepening_Democracy_and_Increasing_Popular_Participation_In_Vietnam [accessed May 2014])
- UNDP United Nations Development Programme (2009): Reforming Public Administration in Vietnam. Current Situation and Recommendations. Reference Book, The National Political Publishing House, Hanoi, Vietnam [e-book] (URL: http://www.undp.org.vn/digitalAssets/21/21790_19008_Reforming_Public_Administration_in_Vietnam_Current_Situation_and_Recommendations__ENG_.pdf [accessed May 2014])
- UNDP United Nations Development Programme Vietnam (2011): Annual Report 2011. [e-book] (http://www.google.de/url?sa=t&rct=j&q=&esrc=s&source=web&cd=2&ved=0CDkQFjAB&url=http%3A%2F%2Fmptf.undp.org%2Fdocument%2Fdownload%2F9016&ei=LDqHU6GiHMvYPM3TgYgL&usq=AFQjCNG6FmZ7Lu8m4e_UCv8vVfGZkTjoTQ&sig2=ZaGt37krkAKYOseqB5ifew&vm=bv.67720277.d.ZWU [accessed May 2014])
- UNDP United Nations Development Programme Vietnam (2012): Homepage (URL: <http://www.undp.org.vn/?languageld=1> [accessed May 2014])
- UNDP United Nations Development Program & GEF Global Environment Facility, Homepage (2012) [website] (URL: https://sgp.undp.org/index.php?option=com_countrypages&view=countrypage&country=118&Itemid=204 [accessed March 2014])

- UNESCAP United Nations Economic and Social Commission for Asia and the Pacific (n.d.): What is Good Governance? Bangkok, Thailand [e-paper] (URL: <http://www.unescap.org/sites/default/files/good-governance.pdf> [accessed May 2014])
- UNESCO United Nations Educational, Scientific and Cultural Organization Bangkok (2012): Education Sector Responses to Climate Change. Background Paper with International Examples. Bangkok, Thailand [e-paper] (URL: <http://unesdoc.unesco.org/images/0021/002153/215305e.pdf> [accessed May 2014])
- UNESCO United Nations Educational, Scientific and Cultural Organization Hanoi (2012): New Centre to Promote Climate Change Training and Disaster Risk Reduction Opened in Ha Noi. [website] (URL: http://www.unesco.org/new/en/hanoi/about-this-office/single-view/news/new_centre_to_promote_climate_change_training_and_disaster_risk_reduction_opened_in_ha_noi/ [accessed May 2014])
- UNEP United Nations Environment Programme & CEU (2007): Assessment of Policy Instruments Reducing Green House Gas Emissions from Buildings. Summary and Recommendations. Nairobi, Kenya [e-book] (URL: <http://www.unep.org/pdf/policytoolbox.pdf> [accessed May 2014])
- UNISDR United Nations International Strategy for Disaster Reduction (2009): UNISDR Terminology on Disaster Risk Reduction. [e-pdf] (URL: http://www.unisdr.org/files/7817_UNISDRTerminologyEnglish.pdf [accessed May 2014])
- United Nations System Task Team (2012): Governance and Development. Thematic Think Piece, UNDESA, UNDP, UNESCO [e-pdf] (URL: http://www.un.org/millenniumgoals/pdf/Think%20Pieces/7_governance.pdf [accessed May 2014])
- United Nations Vietnam (2009): Viet Nam and Climate Change: A Discussion Paper on Policies for Sustainable Human Development. [e-paper] (URL: http://reliefweb.int/sites/reliefweb.int/files/resources/C937491C128DF8BAC1257680004B3188-Full_Report.pdf [accessed May 2014])
- US Aid (2013): Vietnam. [website] (URL: <http://transition.usaid.gov/rdma/countries/vietnam.html> [accessed May 2014])

- Van Aalst, M.K., Cannon, T. & Burton, I. (2008): Community Level Adaptation to Climate Change: The Potential Role of Participatory Community Risk Assessment. In: *Global Environmental Change* 18(1), Elsevier, pp. 165–179 [e-journal] (URL: <http://www.sciencedirect.com/science/article/pii/S0959378007000453> [accessed May 2014])
- Van Canh Nguyen (1983): *Vietnam Under Communism, 1975-1982*. Hoover Press Publication, Stanford University, Stanford, USA [book]
- VUFO Vietnam Union of Friendship Organizations (2012): Homepage. [website] (URL: http://www.vietpeace.org.vn/express/express_detail_e.aspx?id1=5&id2=12&id3=378 [accessed September 2012])
- VUFO-NGO Resource Centre Vietnam (2008): *Forms of Engagement between State Agencies and Civil Society Organizations in Vietnam*. Study Report. [e-pdf] (URL: <http://www.icnl.org/research/library/files/Vietnam/engage.pdf> [accessed May 2014])
- VUFO-NGO Resource Centre Vietnam (2011a): *HCM City Needs \$58.25M for Climate Change Plan by 2015*. [website] (URL: <http://www.ngocentre.org.vn/news/hcm-city-needs-5825m-climate-change-plan-2015> [accessed May 2014])
- VUFO-NGO Resource Centre Vietnam (2011b): *Vietnam Biggest City Raises Budget for Climate Change Plan to \$769.23M*. [website] (URL: <http://www.ngocentre.org.vn/news/vietnam-biggest-city-raises-budget-climate-change-plan-76923m> [accessed May 2014])
- VUFO-NGO Resource Centre Vietnam (2012a): *COMINGO, VUFO and PACCOM*. Homepage of the Resource Centre [website] (URL: <http://www.ngocentre.org.vn/content/comingo-vufo-and-pacom> [accessed May 2014])
- VUFO-NGO Resource Centre Vietnam (2012b): *Climate Change Working Group*. [website] (URL: <http://www.ngocentre.org.vn/ccwg> [accessed May 2014])
- VUFO-NGO Resource Centre Vietnam (2013): *Disaster Management Working Group*. (URL: <http://www.ngocentre.org.vn/dmwg> [accessed May 2014])
- Vietnam Women's Union (2012): Homepage. [website] (URL: <http://www.hoihpn.org.vn/?Lang=EN> [accessed May 2014])
- Voice of Vietnam (2011): *Sweden Assists Vietnam in Coping with Climate Change*. [website] (URL: <http://english.vov.vn/Society/Sweden-assists-Vietnam-in-coping-with-climate-change/230109.vov> [accessed May 2014])

- Von Clausewitz, C. (1998): Vom Kriege. Berlin, Germany, new edition of Von Clausewitz, C. (1832) [book]
- Von Hayek, F.A. (1969): Freiburger Studien. Tübingen, Germany [book]
- Von Hayek, F. A. (1980): Recht, Gesetzgebung und Freiheit. Munich, Germany [book]
- Waibel, M., Eckert, R., Bose, M. & Volker, M. (2007): Housing for Low-income Groups in Ho Chi Minh City between Re-Integration and Fragmentation. In: ASIEN (2007), pp. 59-78 [journal]
- Walloth, C. (2012): Integrated Bottom-Up and Top-Down Governance of Cities – A Systems Approach. 48th ISOCARP Congress 2012 [e-paper] (URL: http://www.isocarp.net/Data/case_studies/2232.pdf [accessed May 2014])
- Webster, D. & McElwee, P. (2009): Urban Adaptation to Climate Change: Bangkok and Ho Chi Minh City as Test Beds. In: World Bank (Ed.) (2009): Proceedings of the 5th Urban Research Symposium, 28-30 June 2009, Marseille, France [e-paper] (URL: <http://siteresources.worldbank.org/INTURBANDEVELOPMENT/Resources/336387-1256566800920/6505269-1268260567624/Webster.pdf> [accessed May 2014])
- Werna, E. (1995): The Management of Urban Development, or the Development of Urban Management? Problems and Premisses of an Elusive Concept. In: Cities 12(5), pp. 353-359 [e-journal] (URL: http://ac.els-cdn.com/026427519500069X/1-s2.0-026427519500069X-main.pdf?tid=37730e06-e684-11e3-8ba3-00000aacb360&acdnat=1401294309_abc557a89aef5604d9a3506f45ed7925 [accessed May 2014])
- Wiechmann, T. (2008): Planung und Adaption. Strategieentwicklung in Regionen, Organisationen und Netzwerken. Rohn, Detmold, Germany [book]
- Wischermann, J. & Nguyen Quang Vinh (2003): The Relationship between Civic Organizations and Governmental Organizations in Vietnam: Selected Findings of an Empirical Survey. In: Kerkvliet, B.J., Heng, R. & Koh, D. (Eds.): Getting Organized in Vietnam – Moving in and around the Socialist State. Institute of Southeast Asian Studies, Singapore, pp. 185-233 [e-book] (URL: http://www.giga-hamburg.de/sites/default/files/publications/relationship_vietnam.pdf [accessed May 2014])
- Wismer, S. & Mitchell, B. (2011): Community-Based Approaches to Resource and Environmental Management. In: Environments 33(1), pp. 1-4 [journal]

- Wisner, B., Blaikie, P. M., Cannon, T. & Davis, I. (2004): *At Risk: Natural Hazards, People's Vulnerability and Disasters*. Routledge, New York, USA [book]
- Wood, C. & Dejedour, M. (2012): Strategic Environmental Assessment: EA of Policies, Plans and Programmes. In: *Impact Assessment* 10(1), pp. 3-22 [journal]
- World Bank (1994): *The World Bank and Participation: Report on the Learning Group on Participatory Development*. Fourth Draft (revised), World Bank, Washington, D.C., USA [book]
- World Bank (2005): *The LogFrame Handbook – The Logical Framework Approach to Project Cycle Management*. Washington, USA [e-book] (URL: http://gametlibrary.worldbank.org/FILES/440_Logical%20Framework%20Handbook%20-%20World%20Bank.pdf [accessed May 2014])
- World Bank (2010a): *Climate Change Activities in Vietnam*. [excel-sheet] (URL: <http://web.worldbank.org/WBSITE/EXTERNAL/COUNTRIES/EASTASIAPACIFICEXT/EXTEAPREGTOPENVIRON-MENT/0,,contentMDK:22422610~pagePK:34004173~piPK:34003707~theSitePK:502886,00.html> [accessed May 2014])
- World Bank (2010b): *The Social Dimensions of Adaptation to Climate Change in Vietnam*. Development and Climate Change, Discussion Paper No. 12, Washington, USA [e-paper] (URL: http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2011/01/11/000356161_20110111012856/Rendered/PDF/589030NWP0EACC10Box353823B01public1.pdf [accessed May 2014])
- World Bank (2010c): *The Costs to Developing Countries of Adapting to Climate Change*. New Methods and Estimates. The Global Report of the Economics of Adaptation to Climate Change Study, Consultation Draft, Washington, USA [e-book] (URL: <http://siteresources.worldbank.org/EXTCC/Resources/EACC-june2010.pdf> [accessed May 2014])
- Wust, S., Bolay, J.C. & Thai Thi Ngoc Du (2002): *Metropolization and the Ecological Crisis: Precarious Settlements in Ho Chi Minh City, Vietnam*. In: *Environment and Urbanization* 14(2), pp. 211-224 [e-journal] (URL: http://nccr-ns.epfl.ch/public_pdf/metro_eco_crisis.pdf [accessed May 2014])

- Yacoob, M. & Rosensweig, F. (1992): Institutionalizing Community Management: Process for Scaling Up. WASH Technical Report No. 76, Washington D.C., USA [e-pdf] (URL: http://pdf.usaid.gov/pdf_docs/PNABK882.pdf [accessed May 2014]) [e-book]
- Yin, R.K. (1992): The Case Study Method as a Tool for Doing Evaluation. In: *Current Sociology* 40(1), pp. 121-137 [e-journal] (<http://csi.sagepub.com/content/40/1/121.full.pdf> [accessed May 2014])
- Yodmani, S. (2001): Disaster Risk Management and Vulnerability Reduction: Protecting the Poor. Paper presented at the Asia and Pacific Forum on Poverty [e-paper] (URL: http://www.pacificdisaster.net/pdnadmin/data/original/DRM_Vulnerability_Reduction.pdf [accessed May 2014])

ANNEXE I

The Application of Participatory Planning Approaches in Contemporary Vietnam

REPORT

Ulrike Schinkel

Brandenburg University of Technology (BTU) Cottbus

January 2013 (unpublished)

Table of Contents

TABLE OF CONTENTS..... I

LIST OF FIGURESIII

1 BACKGROUND OF THE STUDY 1

2 TIMEFRAME 1

3 METHODOLOGY 1

4 SCOPE AND INTERVIEWEES 2

5 RESEARCH QUESTIONS 2

6 RESULTS..... 3

6.1 The Current State of Participatory Planning Practice in Vietnam.....3

6.1.1 Do Tu Lan, Ministerial Level, MoC, VUDA.....3

6.1.2 Nguyen Anh Tuan (PhD), Municipal Level, DPA.....5

6.1.3 Le Van Thanh, Research Institute, HIDS.....6

6.1.4 Nguyen Cam Duong Ly, University, HCMUARC.....7

6.1.5 Do Van Nguyet, VNGO, Live & Learn.....7

6.1.6 Nguyen Thi Xuan, INGO, Enda Vietnam9

6.1.7 Le Dieu Anh, Regional Organisation, ACCA.....10

6.1.8 Pham Thuy Duong, International Development Organisation, GIZ11

6.2 What are Constraints for Participatory Approaches to Planning?12

6.2.1 Do Tu Lan, Ministerial Level, MoC, VUDA.....12

6.2.2 Le Van Thanh, Research Institute, HIDS.....12

6.2.3 Do Van Nguyet, VNGO, Live & Learn.....12

6.2.4 Nguyen Thi Xuan, INGO, Enda Vietnam13

6.2.5 Le Dieu Anh, Regional Organisation, ACCA.....13

6.2.6 Pham Thuy Duong, International Development Organisation, GIZ13

6.3 Which Trends Occur?.....14

6.3.1 Do Tu Lan, Ministerial Level, MoC, VUDA.....	14
6.3.2 Nguyen Anh Tuan (PhD), Municipal Level, DPA.....	14
6.3.3 Do Van Nguyet, VNGO, Live & Learn.....	14
6.3.4 Nguyen Thi Xuan, INGO, Enda Vietnam	14
6.3.5 Le Dieu Anh, Regional Organisation, ACCA.....	14

7 CONCLUSIONS 15

List of Figures

Fig. A1- 1: Citizen Participation in the Master Planning Process Led by VUDA4

Fig. A1- 2: Public Participation in Urban Design Processes (DPA)5

Fig. A1- 3: Citizen Participation in Urban Research (HIDS)6

Fig. A1- 4: Environmental Education Projects (Live & Learn).....8

Fig. A1- 5: The Initiation of Policy Change through Participatory Development Projects
(ENDA Vietnam).....9

Fig. A1- 6: Community-Based Urban Upgrading (ACCA)..... 10

Fig. A1- 7: Co-Management Approach (GIZ Soc Trang)..... 11

1 Background of the Study

The study was undertaken within the scope of the Megacity Research Project TP. Ho Chi Minh, a research project undertaken within the “Future Megacities” initiative funded by the German Federal Ministry of Education and Research (BMBF). The project itself focuses on the assessment of climate change impacts on the urban area of Ho Chi Minh City and on the development of feasible adaptation measures at all spatial levels. One focus of the research project is laid on community-based adaptation to climate change (CBA); within the scope of the project, a CBA action planning activity has been implemented together with a local community, the respective local government agency and the non-governmental organisation Enda Vietnam. While the community took the centre stage in the activity, all other stakeholders facilitated the process. This model activity has been successful at the local level; however, it raises questions with regard to the replication of this activity and with regard to the integration of existing local-level knowledge, concerns and capacity into planning and decision-making procedures.

One of the main concerns of the research project is to identify opportunities for the integration of bottom-up and top-down approaches to planning and climate change adaptation. This study has been conducted in order to assess the current practice of citizen involvement in urban planning processes in Vietnam and to identify options for the integration of local-level initiatives into higher-level strategic planning.

2 Timeframe

The study was undertaken in March 2012, within a short period of two weeks, in order to capture the status at a certain point of time.

3 Methodology

The study is based on interviews with representatives of different stakeholder groups. The face-to-face interviews were conducted based on a semi-structured questionnaire. The interviews were recorded and retyped.

4 Scope and Interviewees

In order to produce a broad picture, interviews were conducted with a limited number of experts from different backgrounds and fields. Experts were chosen from government agencies at ministerial level (MOC) as well as from the local level (DPA), from research institutes (HIDS) and from universities (HCMUARC), from civil society organisations - namely from a VNGO (Live & Learn) as well as from an INGO (Enda Vietnam) and from a regional organisation (ACCA) - as well as from international development agencies (GIZ). The experts interviewed and their positions at the time of the interview are summarised here:

- **Do Tu Lan, Deputy General Director, Vietnam Urban Development Agency (VUDA), Ministry of Construction (MoC)**
- **Nguyen Anh Tuan (PhD), Head of the Centre of Architecture Research, HCMC Department for Planning and Architecture**
- **Le Van Thanh, senior researcher at the HCMC Institute for Development Studies**
- **Nguyen Cam Duong Ly, lecturer in the field of urban regeneration, Department for Urban Planning, HCM University of Architecture**
- **Do Van Nguyet, director, VNGO Live & Learn**
- **Nguyen Thi Xuan, project officer (retired), Enda Vietnam**
- **Le Dieu Anh, country coordinator, Asian Coalition for Community Action**
- **Pham Thuy Duong, project officer, GIZ German Agency for International Cooperation**

5 Research Questions

The study aimed at assessing the current state of participatory planning practice undertaken by relevant stakeholders active in different societal sectors and at different planning levels. The focus has been laid on public participation and on the actual perception and role of participatory planning approaches in day-to-day routines of the stakeholders.

6 Results

6.1 The Current State of Participatory Planning Practice in Vietnam

This section summarises, how public participation is integrated into the current planning practice of different stakeholders and which tools and methods are used.

6.1.1 Do Tu Lan, Ministerial Level, MoC, VUDA

VUDA has started to mobilise local people to contribute their opinions to ongoing planning issues. In order to do that, VUDA organises meetings at the ward and district level; participants can come up with their own ideas orally or in writing; in other cases, they can choose from a selection of pre-determined options. An important tool used by VUDA is ‘brainstorming’; a consultant supports the local people in presenting their ideas or concepts clearly.

According to the Urban Planning Law, the public needs to be informed on ongoing planning processes; all processes shall be transparent, information shall be easily accessible and the process of collecting people’s contributions shall be eased. According to the interviewee, the process of collecting people’s contributions has not been very successful in the past; the contribution of people’s comments is dependent on the scale of the project under the spotlight - local people show a higher interest in detailed planning than in master planning issues. Detailed planning is related to their particular living environment and urban planning at the conurbation level, in contrast, is partly incomprehensible for them. Therefore, VUDA plans to develop a methodology to simplify the communication of the master plan contents.

Every VUDA project is led by a project management unit (PMU), being part of the overall management board. Together with the local authority, the PMU is in charge of organising meetings with the local people. In some cases, other institutions, like the University of Architecture, NGOs and Associations, like ACVN (Association of Cities of Vietnam), the Association of Planning and Urban Development or the Architects’ Association, are integrated as external support.

In order to involve people in the planning process, different kinds of methods are applied; one of these methods are workshops. Workshops are arranged for people with a higher or medium level of education. People with a lower level of education are informed by explanato-

ry presentations. Using these different formats, different target groups are addressed and provided with different options to contribute to the master planning process, either orally or by filling in a questionnaire; in some cases, interviews are conducted with key persons during the planning phase.

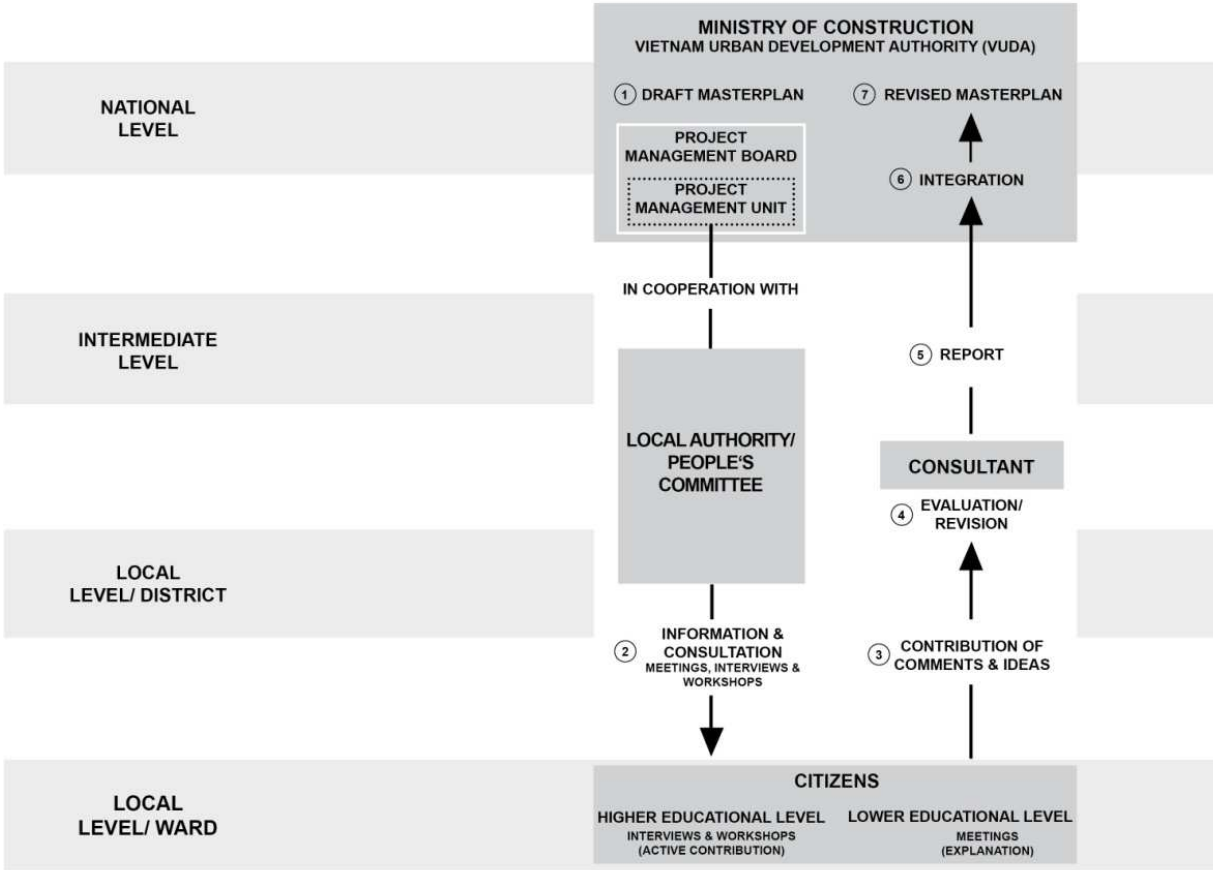


Fig. A1- 1: Citizen Participation in the Master Planning Process Led by VUDA
(own figure)

After collecting the comments, a consultant undertakes an evaluation of the comments; based on the comments, a report is formulated on the main important issues raised by the people. However, the consultant does not only evaluate the comments, but also differentiates between comments that are ‘correct’, ‘incorrect’ or ‘based on a false understanding of the national-level strategy’. Consequently, VUDA dismisses people’s contributions, where they are not in line with the national strategy or draft master plan: “Because sometimes the people may be right, sometimes they may not be right; sometimes they may not understand the

strategy of the national level. So, we have to lead; not everything has to be learned from the people”.

6.1.2 Nguyen Anh Tuan (PhD), Municipal Level, DPA

According to the expert, Nguyen Anh Tuan, public participation is applied in one urban design project in Binh Duong. Here, the DPA follows the legal provisions of the MoC. Thus, at first, the DPA has to develop a project brief that is submitted to the city authority. In a next step, the city authority involves citizens by seeking their comments. Based on the comments, the DPA revises the project brief and develops a plan. This phase is again followed by a presentation to the city authority and by another feedback round to seek citizens’ comments. In these formal participation processes, the DPA experts do not actively discuss planning related issues with the local people. In other projects, such as research projects that target the rural-urban communities of HCMC, the DPA conducts interviews or surveys based on questionnaires. Here, the experts meet the locals directly to assess the people’s demands and opinions.

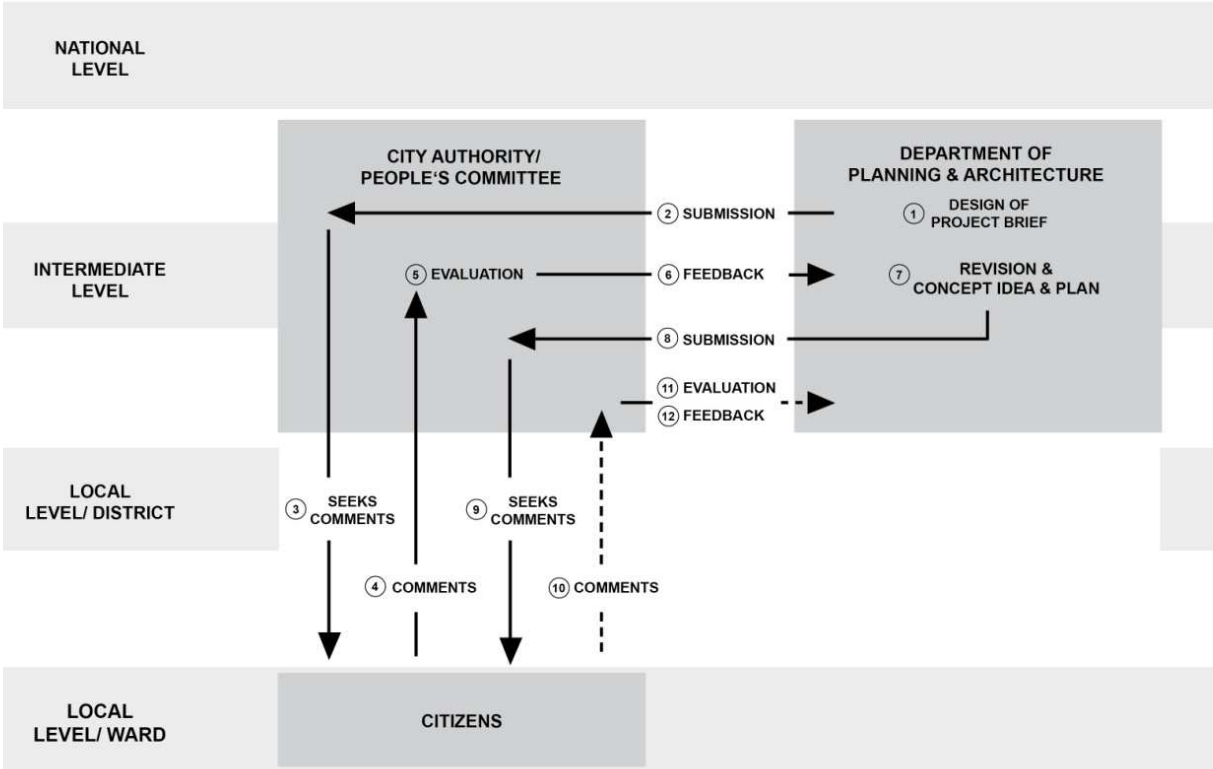


Fig. A1- 2: Public Participation in Urban Design Processes (DPA)
(own figure)

6.1.3 Le Van Thanh, Research Institute, HIDS

HIDS conducts research with regard to social issues related to urban development, with public participation being one of the topics. The expert clearly distinguishes between two kinds of participation, namely ‘participation of associations’ on the one hand and ‘participation of the people’ on the other. In order to involve different target groups into urban development issues, in assessments and planning processes, HIDS conducts workshops with different focus groups. These focus groups are representatives of one particular social group, e.g. of the Chinese community or of migrant groups. HIDS also undertakes surveys and evaluation workshops after projects have been finished. According to the expert, HIDS has not yet conducted any preparatory surveys prior to project implementation.

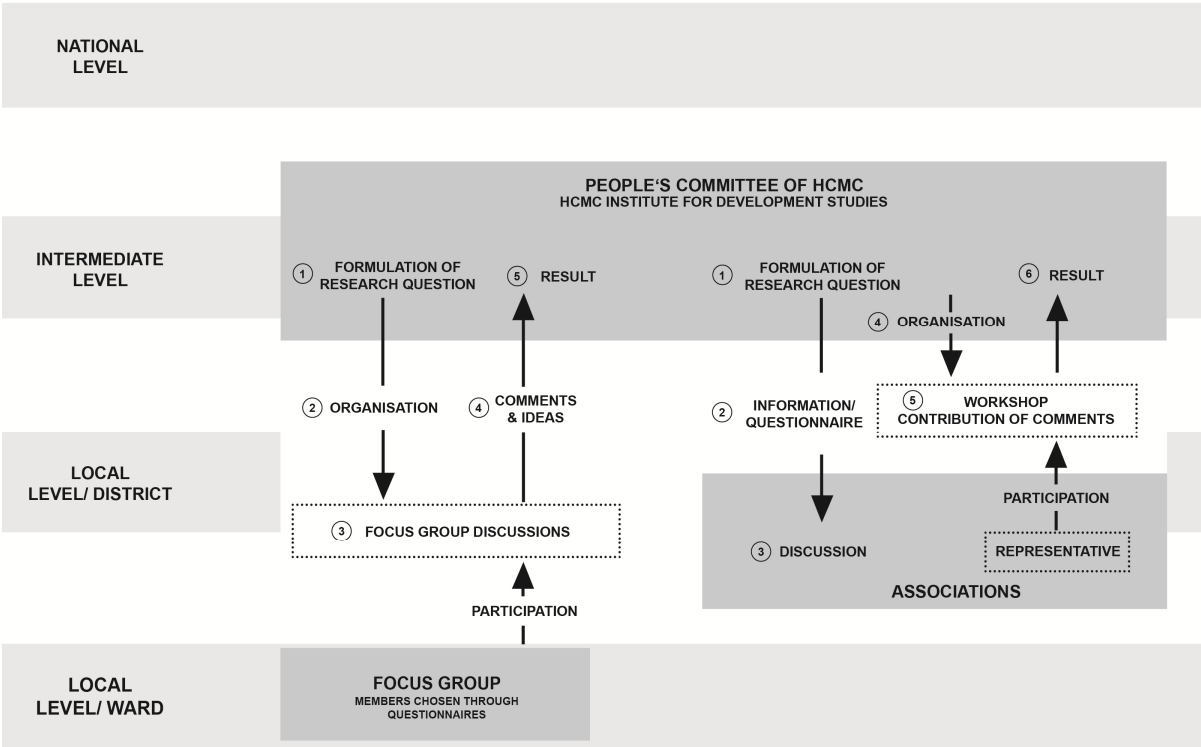


Fig. A1- 3: Citizen Participation in Urban Research (HIDS) (own figure)

Meetings and workshops involving stakeholder groups’ representatives generate one main challenge. Prior to the meeting or workshop, the relevant stakeholder group is informed about the issues to be discussed so that they may come to an agreement among themselves. In the official meeting or workshop, the group’s representatives are in charge of speaking for the entire group; however, in some cases, the views expressed by the groups’

representatives reflect their individual opinions and not that of the group they are representing.

Another challenge is related to the provision of information; in long-term planning processes, many stakeholder groups and organisations, which are not supported by the government, do not raise their voice. Here, information must be provided earlier in order to encourage these individuals and organisations to participate. According to the government's policy, citizens shall be involved in planning and decision-making related to urban issues in order to foster democratisation processes.

For the focus group discussions, HIDS chooses people from the local community rather than from the local government. In particular, Party members are selected as they have the ability to come up with ideas and opinions. The participants of focus groups are selected through household surveys/ questionnaires; here, people who are most active and who contribute many ideas are chosen. A focus group leader is selected who moderates and harmonises the discussion. Focus group discussions are scheduled for three or four hours; ideas and opinions raised during the discussion are collected and confirmed by the focus group.

6.1.4 Nguyen Cam Duong Ly, University, HCMUARC

The lecturer integrates aspects of community participation in her lectures, seminars and study projects on urban regeneration; she organises field trips to local projects and small conferences with key stakeholders.

6.1.5 Do Van Nguyet, VNGO, Live & Learn

Live & Learn undertakes education projects, mainly in urban areas addressing young people, students and youth groups. Live & Learn focuses on training and on the promotion of responsible actions related to climate change, environmental issues and good governance. The VNGO has established networks involving different stakeholder groups; Live & Learn also works with government agencies, like the Ministry of Education and Training or with the Environmental Protection Agency, with the Ministry of Agriculture and Rural Development (MARD) as well as with other NGOs and private businesses.

Live & Learn applies genuine participatory planning approaches; thus, facilitators encourage the people to discuss instead of presenting their point of view. Live & Learn mainly works

with youth groups, but also encourages dialogue between different groups, networking activities (national and international) and mutual learning. Live & Learn supports the initial steps of young people’s activities, through establishing links between them, the local government and private businesses. Live & Learn has a better working relationship with local governments in smaller cities (compared to large cities), like Nam Dinh, Dong Hoi and Thanh Hoa; here, the projects have a manageable size. Live & Learn brings the voice of the community to the government and tries to integrate local initiatives into national and government action plans. Live & Learn also works with international NGOs (INGOs).

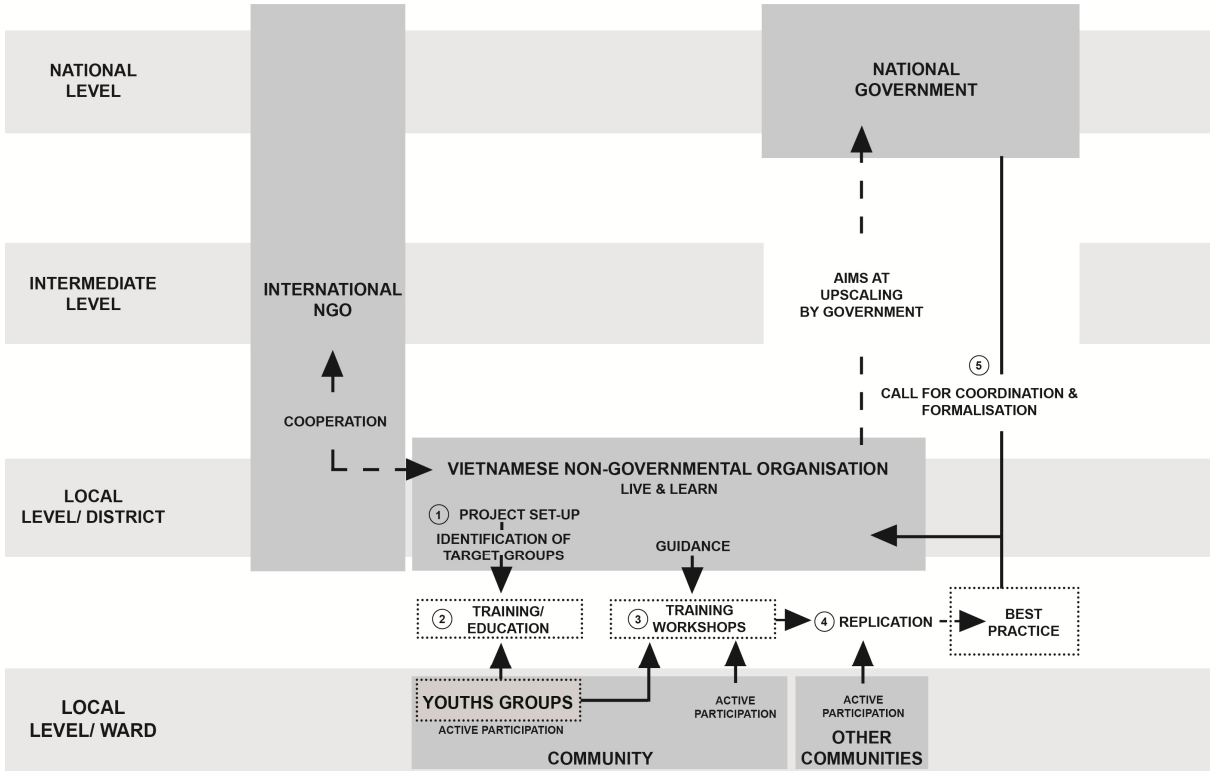


Fig. A1- 4: Environmental Education Projects (Live & Learn)
Hown figure)

For their local-level activities, Live & Learn, as a Vietnamese NGO (VNGO), does not have to seek approval from the government in many cases. In a first step, a pilot activity or a good practice example is initiated; when the activities are replicated and reach a certain level and attention, the national government in general asks for their formalisation. As a VNGO, Live & Learn does not work with the government first, but convinces governmental agencies by implementing successful activities.

6.1.6 Nguyen Thi Xuan, INGO, Enda Vietnam

Enda Vietnam has been working on community development projects focusing on awareness raising and training as well as on environmental education, sanitation, gender issues, health care and democratisation in both, rural and urban areas. Enda Vietnam often mediates between local communities and city authorities.

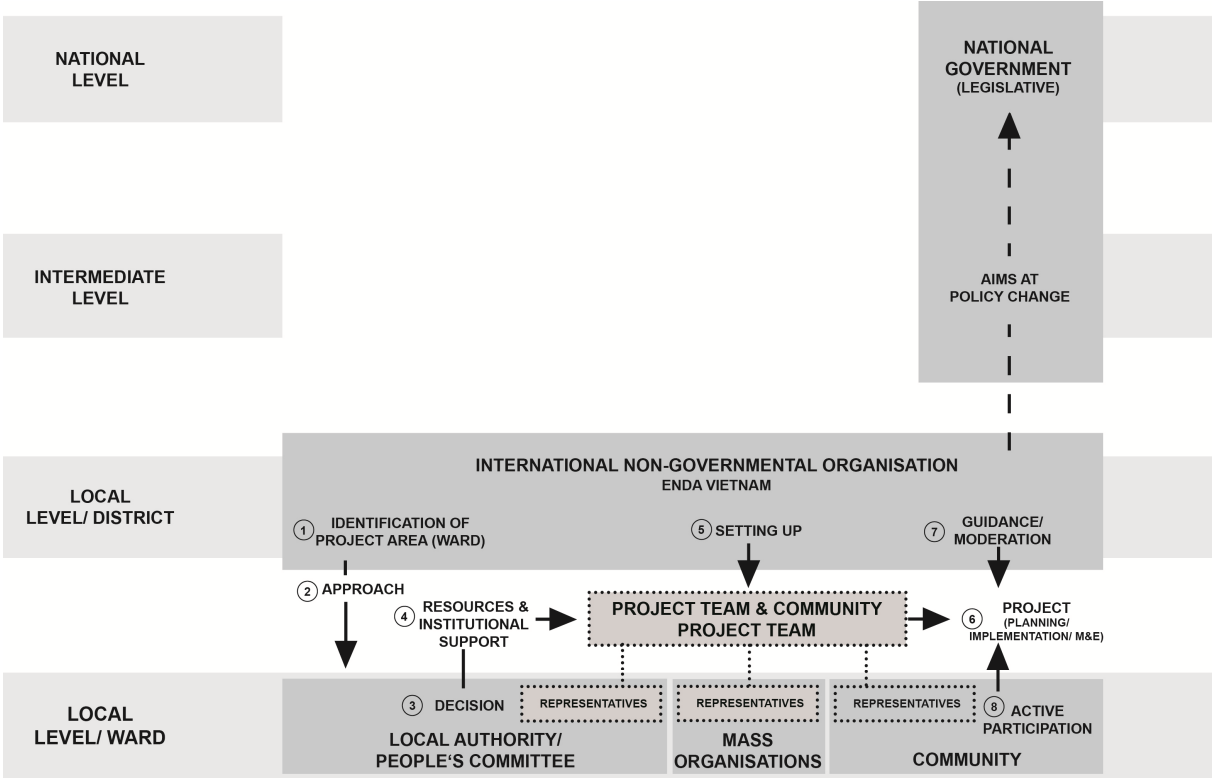


Fig. A1- 5: The Initiation of Policy Change through Participatory Development Projects (ENDA Vietnam)
(own figure)

Together with Villes-en-Transition, Enda Vietnam has supported a participatory upgrading project in District 2 [A.N. in 2004 – 2005]. The expert emphasised that local people can be integrated into each planning phase, such as in initial surveys, implementation, control, monitoring and evaluation. Tools utilised in participatory processes supported by Enda Vietnam are discussions and the problem tree tool, the selection from pre-determined solutions and priority ranking; moreover, simplified mind-maps are applied during community meetings and assessments are undertaken prior and during the implementation of upgrading projects.

In Enda’s projects, the NGO chooses the location and the community. Then, a project team is formed, composed of a member of the local authority and of a member of a mass organi-

sation. Besides, a community project team is formed, consisting of elected community representatives or cell leaders, of a member of a mass organisation and of a member of the local authority. Both project teams jointly develop the project and are involved in all project phases. Enda guides and supports the activities.

6.1.7 Le Dieu Anh, Regional Organisation, ACCA

The expert represents the Asian Coalition for Community Action (ACCA), a programme supported by the Asian Coalition for Housing Rights (ACHR).

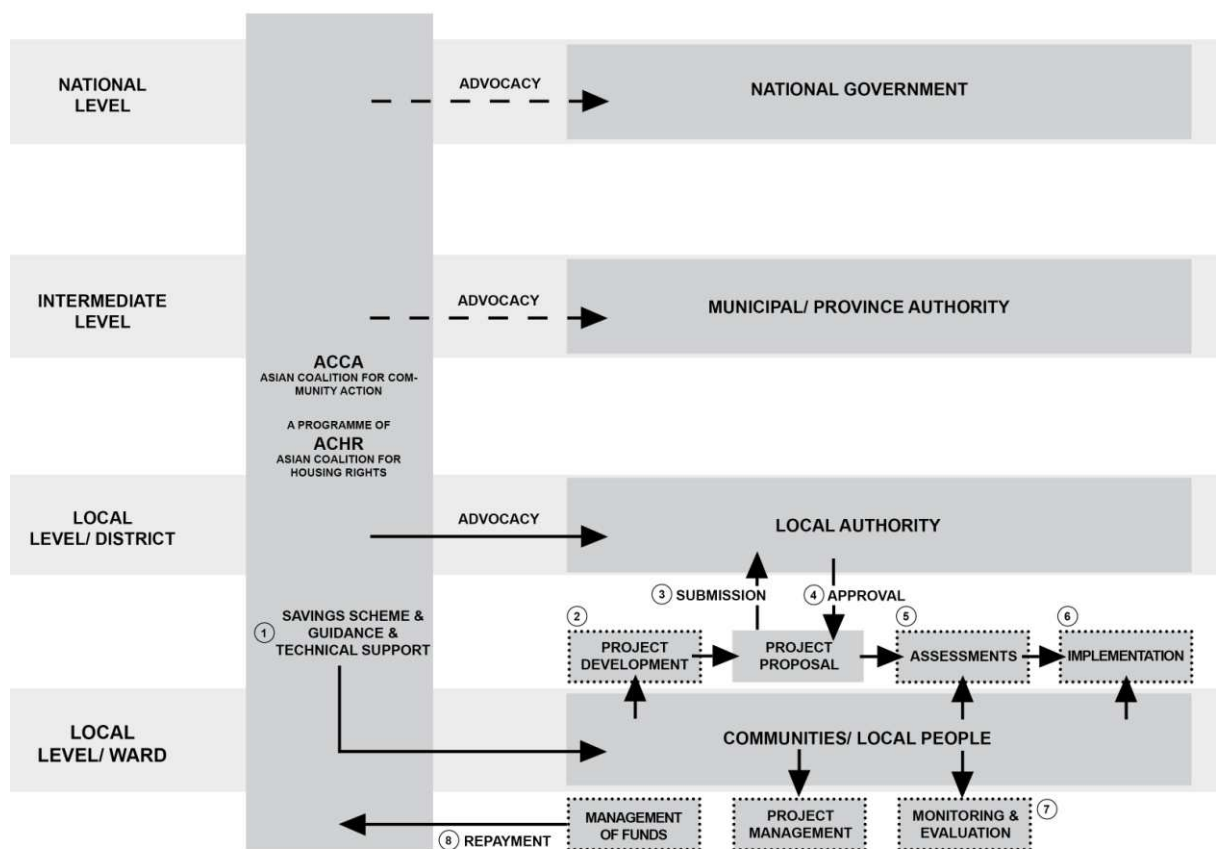


Fig. A1- 6: Community-Based Urban Upgrading (ACCA)
(own figure)

ACCA works with CDF Community Development Funds (CDF) and encourages local people to undertake their own assessments, to plan and develop their own projects as well as to raise and to manage their own funds. ACCA provides funding to community-based projects

and facilitates community activities. ACCA aims at stimulating the creation of supportive policies with regard to community participation in urban planning processes.

In the case of community-based upgrading projects, ACCA approaches the government first. However, in earlier best-practice cases, the projects started at the community level. The communities made their own assessments and plans and raised their own funds. After clarifying all details concerning the project, ACCA approached the city authorities and encouraged the communities to present their project proposals and all required steps in order to seek the authorities' approval.

6.1.8 Pham Thuy Duong, International Development Organisation, GIZ

The GIZ branch in Soc Trang (Mekong Delta) focuses on the sustainable management of mangrove forests by applying the co-management approach. The co-management approach is based on partnership building between the local people and their local government; the GIZ facilitates the processes from outside. Co-management involves four phases, namely Consultation & Organisation, Negotiation, Implementation, Monitoring & Evaluation.

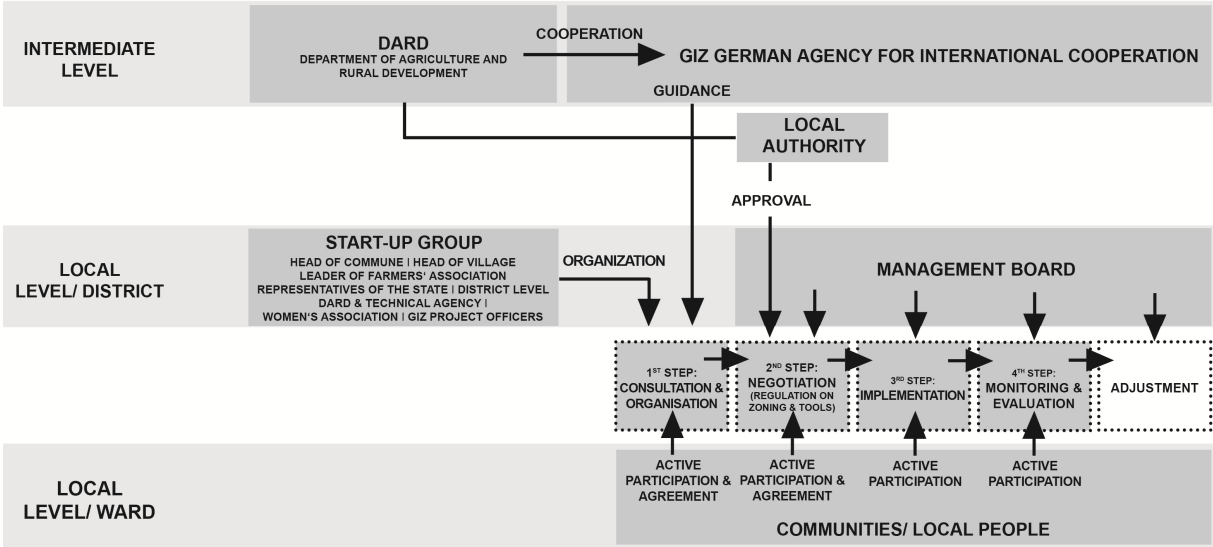


Fig. A1- 7: Co-Management Approach (GIZ Soc Trang)
(own figure)

In the first phase, the Consultation & Organisation phase, a start-up group is formed and the awareness of the local people with regard to co-management is raised; the participation of the people and of other stakeholders is voluntary. In the second phase, the Negotiation

phase, representatives of all relevant stakeholders jointly formulate a regulation on the management of local natural resources, determining zones for protection, sustainable use or regeneration. In the third phase, the Implementation phase, all people are informed about the regulation and the zoning plan. The fourth phase is the Monitoring & Evaluation phase. In the co-management project, GIZ works with multi-stakeholder and community meetings.

6.2 What are Constraints for Participatory Approaches to Planning?

6.2.1 Do Tu Lan, Ministerial Level, MoC, VUDA

Integrating citizen participation into planning procedures is time-consuming and very complicated. However, the new planning law [A.N. Law on Urban Planning] prescribes the increased citizen involvement in planning procedures; however, in some cases people's participation is still not integrated - or just superficially [A.N. tokenism] - into planning and decision-making.

6.2.2 Le Van Thanh, Research Institute, HIDS

The community's capacity for participation in research is limited; people are valuable informants for local-level issues that concentrate on the past or the present; issues focusing on a larger scale, e.g. on the city level, or on the future overburden the community. Therefore, questions have to be carefully selected in order to receive useful feedback from the community. Moreover, the researchers' academic way of communication has to be changed into a way more familiar to the people.

6.2.3 Do Van Nguyet, VNGO, Live & Learn

In many cases, the success of a project depends on the motivation of individuals working for government institutions or NGO partners rather than on the system or the organisation. A great number of good practice examples have been implemented; however, it is difficult to scale these activities up and to integrate them into government plans and policies. For up-scaling, political support is required that is not strong at the moment.

For community-based disaster management, the Government of Vietnam has formulated supportive policies; however, the government has not allocated resources to local actors, local civil society organisations in particular, to put these policies into practice. Moreover, not all provinces apply community-based approaches, as these are dependent on individual initiatives and on close cooperation between the provincial/ local governments with NGOs, which are unequally distributed over the country.

6.2.4 Nguyen Thi Xuan, INGO, Enda Vietnam

Like other experts, the interviewee stated that local activities are dependent on the willingness of the local authority. One major constraint is that government members change according to election periods. As a result, government support for single activities does not remain constant over time.

6.2.5 Le Dieu Anh, Regional Organisation, ACCA

Working with the government causes constraints for the application of participatory approaches; the planning law in particular is very strict and the procedures are pre-determined and leave little space for participation. Moreover, the law is mono-disciplinary, not multi-disciplinary. City development plans developed by the World Bank or Cities Alliances are not considered for implementation.

6.2.6 Pham Thuy Duong, International Development Organisation, GIZ

The expert emphasises that there are differences with regard to the willingness shown by local authorities (e.g. in Soc Trang and Ho Chi Minh City) to support participatory approaches. Moreover, the local people's awareness on environmental issues is low. Furthermore, very poor people have other priorities, such as food production and income generation; they may not be willing to participate in projects focusing on environmental issues. Moreover, it is difficult to apply co-management as a participatory approach, where state-management has been dominant in the past; people just slowly get used to active participation in local projects. In workshops and community meetings, language barriers hinder the communication (Vietnamese – Khmer).

6.3 Which Trends Occur?

6.3.1 Do Tu Lan, Ministerial Level, MoC, VUDA

People and associations want to participate and to have the chance to contribute. The internet is an important tool for people to seek information and to make comments.

6.3.2 Nguyen Anh Tuan (PhD), Municipal Level, DPA

The planning process is more open today than it used to be before - due to increased social interaction and information sharing. Today, people have more rights to access information - a basic condition for participation. On the other hand, collecting information and socio-economic data, which reflect the reality on the ground, is important for the planning of feasible and sustainable projects and for the formulation of socio-economic development plans.

6.3.3 Do Van Nguyet, VNGO, Live & Learn

The government has acknowledged the role of communities in disaster management; earlier, disaster relief was provided without involving local communities. Now, the government works in close cooperation with NGOs. A national programme has been launched, using government and donor funds to promote and support community-based disaster risk management.

6.3.4 Nguyen Thi Xuan, INGO, Enda Vietnam

Since the Doi Moi period, the government and its way of thinking has changed a lot; the government now has started to approach the people and to involve them [A.N. in planning and decision-making]; however, people are still reluctant to actively contribute to decision-making. There is a wide gap between people residing in urban and remote areas with regard to their openness (and empowerment) to participate in decision-making.

6.3.5 Le Dieu Anh, Regional Organisation, ACCA

Achieving real people's participation in planning and decision-making in Vietnam is a long-term process. However, the policy level has to foster this development; the Party [A.N. the Communist Party of Vietnam] also has to enhance its image among the population.

7 Conclusions

The interviews have clearly revealed that the application of participatory planning and assessment methods are still in their infancy; the concerned institutions lack the capacity, resources and expertise to actively involve citizens into the planning process. However, there is a trend towards increasing citizen participation in planning in the future; here, mass media such as the internet and social media act as drivers - people get access to information on the government's plans, laws and policies as well as on their right to participate in public decision-making. Civil society organisations and international organisations are actively engaged in promoting participatory planning, management and decision-making; they have the skills and experience to guide these processes. However, government institutions still do not make use of this capacity in all cases; the integration of civil society organisations as mediators, moderators and mobilisers into planning processes is still limited.

The Application of Participatory Planning Approaches in Contemporary Vietnam

TRANSCRIPTION of Expert Interviews

Ulrike Schinkel

Brandenburg University of Technology (BTU) Cottbus

January 2013

Interview with Do Tu Lan (Vietnam Urban Development Agency VUDA)

Date: 13.03.2012

I Experiences with citizen/ grassroots participation

Q: In which position do you work and on which level?

A: I work in the national level. My responsibility is the... I am the Deputy Director of the Urban Development Agency in the Ministry of Construction. In this position, we have to study for the policy, the mechanism system to prepare the strategy for urban development; and we have to prepare for the law and for the decree and all the regulation to be used as a tool for urban management. So, in this case we have to think and to study for the investor and for the beneficiaries, the people, the citizens living in the area. We also do the management for some project; so in this project we also have the chance to work with the local people in the area. We try to understand what are their expectations and maybe they have a lot of idea to contribute to the project. So, we can do with them and we try to mobilise the finances to have investment and to meet the demand of the locals.

Q: So, your work is related to the Grassroots Democracy Decree?

A: Not every time. But sometimes we can work with them. But we can direction by the regulation and some like a document.

Q: Do you (yourself) have any experience with participation?

A: Yes, we have a lot of experience. When we work with some project; when we started with the environmental improvement for the city, so we mobilise the people in the local area; they contribute the idea. During the meeting; we organise so many meetings with the participant in the ward, the district. So they have the chance to attend the meetings and they can vote and they can give the idea, by speaking or writing, so that we can understand what they want to do and we can mobilise the finance for them.

Q: So, basically, you give an idea or a choice of ideas and people can vote for different ideas?

A: We have some different method. For example, we also encourage the people to think for themselves and they can contribute the idea by themselves, like the brainstorming. And we also have some consultant who also have guidelines for the people, to explain and to help them to make the presentation of the idea, so the consultant helps them. And sometimes we also give them some options, so they can select what they want and they can vote. Then we use this option to implement.

Q: Who carries these workshops out?

A: In our agency we have a management board for projects. So, in the project we have a management unit. The people in this unit organise the meeting together with the local authority. And sometimes, we also mobilise the institute, like the architecture university work together with us. Because the students as well can help us to explain and to organise, to help the people, because there are numerous people in the ward and in the district.

Q: Do you also integrate civil society organisations in the process?

A: Yes, sometimes we integrate the NGO, like the Association, like ACVN (Association of Cities of Vietnam), Association of Planning and Urban Development, Architect Association. So, we integrate them to work together with us, maybe as a consultant. Sometimes we have experts to organise, so they work with us.

Q: You answered many of my questions, which are going to come. So, let me summarise: Citizen participation

is a topic even on the national level. Again, I would like to ask you: Do you also formulate guidelines about how to do it? I mean my understanding is that you work in the national level, so, you are responsible for the master plan of Hanoi and Ho Chi Minh City, and you are also responsible for the National Upgrading Programme. So, do you formulate guidelines for public participation?

A: Yes, we have to do. For example, when we do the master plan, we also have to organise for the consultant to research the master plan. At the same time, we have to organise for the people to contribute their idea and to make something like a brief comment from different partner in the social. So, in the social we have different level of education. So when we want to mobilise the idea from the high education, or from the middle, or from the people who have a very low education, we have to make the guidelines for them to understand; because the master plan is not easy to understand. We make the guidelines for different groups.

When we make the explanation for the people to see the result of the master plan, then they can contribute their idea or make the comment. Or maybe sometimes they fill the idea in the guideline, but sometimes they are writing based on the understanding they are writing. So, different method. And sometimes we interview directly with the people who are interested in the master plan during the planning. So what we have to do in the regulation, because due to the planning law, we also mention about all the processes should be open and make information; it should be very easy for the people to access information and to contribute the idea. But in the past it has not worked very much because for detailed planning the people are interested, but for the master planning the people are not interested very much, because it is very difficult to understand and they don't know how to contribute. For detailed planning it is very easy to understand, like for example this road, or this building or this garden can be for physical design. So, I think we have to do the guideline for easier to understand, for different groups.

Q: So, what I understood is that you ask the opinions of different target groups, namely the higher educated people, the medium educated people and the lower educated people, and that you do this by workshops?

A: Sometimes by workshops. Normally the workshops for higher education, or for the medium. But for the low educated people we don't do this by workshops, we do it by presentations in the whole, like an explanation. So, numerous people can come and also contribute the comment.

Q: Given that you made your plan, and you display it to the public and the people give their comment, how are the comments integrated into the planning?

A: When we get the comments, then the consultant has to study the comments. The consultant reports to the decision-maker. We make a report so that the decision-maker can understand what the people want to do. And the consultant has to revise. Because sometimes the people may be right, sometimes they may not be right; sometimes they may not understand the strategy of the national level. So, we have to lead; not everything has to be learned from the people.

Q: So, again to revise, you consider citizen participation important for urban planning and regeneration; that is what I learned, especially for projects on the local level, where people are directly affected. How is your work affected by that? Because, what I learned from your explanation is that this is a very long and time-consuming process. When did you start to adopt this kind of method? And have you worked in a different way before? Was that easier?

A: Actually, it takes time and it is very complicated. But now we have a planning law; and in the planning law more forced; all the planning consultants have to do and also the organisers have to do the participation of the people. But sometimes they still do... sometimes it is not reality. Sometimes they make something similar but it is not right. But I think in some case now, the people in the city and many associations, they make announcements, they want to participate and they want to have a chance to contribute. So they make comments. And now, we have the internet. So the internet is also one tool. It is easy for the people to access the information and to make comments. And this is also a way to know what the participants want to mention in the content of the master plan, for example. So, now we cannot avoid, we have to do. And we have to improve the method. Now, it is easy to get access to the people, and they can contribute. Because

some group they do not contribute and they want to make complicated.

Q: How do you see the future of participatory planning?

A: I think that the future should be more open, more integrated all the partners. Because now the internet and the information more open, so everyone can have information. For example about the consultant, what are they doing; and then even the knowledge, the education from the people now also improved. They understand about the planning more compared with the past. They understand more and they can contribute and they can make assessment. So, I think in the future, in the planning, in the urban law, we also have a part mentioning about making more participation of the community. So, all the partners, the social can contribute their experience and knowledge. And we try to organise the right way for them to contribute; so very systematic, not free contribute, systematic, so that we can get the real contribution.

Q: On which level do you think it is most appropriate to integrate participation (participatory planning)? At the national level, district level or on the local level?

A: For the integrated people, I think the local level, the city level. So that is why we now try to educate for all the leaders, training for the leaders. The leaders of the city are very important. They have to lead the people in the city and they have to organise for them and mobilise them to contribute their ideas and also a lot of actions. When they implement the planning also. So, on this level we want to give them more training for the method.

Q: This is my last specific question: In which phases do you think citizen participation is most appropriate? I am talking mostly about the local level. If communities contribute to local level projects, especially in urban regeneration and upgrading projects. So, where do you think they should contribute? I will give you a choice: In assessment, planning, decision-making, budgeting, implementation, operation and maintenance (e.g. for provided infrastructure), monitoring and evaluation.

A: I think they can contribute some part. When we make the planning they also contribute, because the planning relating to the existing area. So they can understand, they can contribute for the plan; and they can also contribute for the budget. Because sometimes we need the contribution from the community and they can manage by themselves the part of what they contribute together. That is also we have experience. And they can also send a group together with the consultant to make the assessment; or they can also together with the supervisor, construction supervisor, monitoring and evaluation and maintenance. So, they can also participate.

Q: For my reference, do you remember any project with grassroots or citizen participation, which has been implemented and which you think has been successful?

A: Yes. For example when we implemented the project funded by DANIDA, that was a project for environmental planning, we made a pilot in Thái Nguyên. In Thái Nguyên, 100% contributed the idea for us to make a pilot. Then we analysed and combined all the ideas we do for the sub-project. So, we implement. And during implementation the community they manage by themselves. And they also organise by themselves to protect for the construction; and after finishing construction, they also manage for maintenance and using for all the activities, community activities very successful. That is a small but very interesting project.

And there was a project for urban improvement in six cities in the central region; we also implemented a project there and we have a CMC, a group they call CMC, that means Community Committee, lead by the women group (Women's Association?). So we have like a small budget for housing repair and household environment improvement. They can loan, they can re-loan, they manage by themselves.

Q: This is like a savings group?

A: Yes. And then they also contribute the idea when we implement the construction in the area; they design they give some option, so the people can contribute the idea, select which option is the best one for them; more benefit. So in all this the six cities, like Thanh Hóa, Hà Tĩnh, Quảng Ngãi, Tam Kỳ, Làng Cô, Đông Hà, so they contribute the land, they contribute labour, they contribute the idea and sometimes community

they have meeting together to make their contribution and to share the experience. Then we can meet with them to implement sometimes the road pass, some area they have to repair the house, then they are willing to do, we do not need to force them. So, very successful.

Q: This was my last question already. But I would like to know if you have anything else to share on this topic. Something, which I have not mentioned in the questionnaire.

A: In this case we can say for example, sometimes we think it is not too like say a megacity, very big city. But the group study about the house, saving energy house, I think that is the very good way to think. And now related to the people, to the community, and for the housing, for the family, they can make very easy to test the model house and the design. I think later if we study by that way we also can make the presentation for the people and contribute with us. In the area they have the traditional experience so we can combine with the idea from the designer; so we can get the better result.

Q: Thank you very much for the interview and for your time. The insights you gave were very interesting and valuable for me.

Interview with Nguyen Anh Tuan

Date: 12.03.2012

I Experiences with citizen/ grassroots participation

Q: In which position do you work? And on which level?

A: Currently, I work for two main organisations. Firstly, I work for the DPA (Department of Construction) which is the city level. I am the Vice-Director of the Architecture Research Center of the DPA and I am the chief designer of some urban design projects. Secondly, I am teaching at university (HCMUARC, Ho Chi Minh City University of Architecture).

Q: Is your current work related to citizen/ grassroots participation?

A: Yes, in one project.

Q: In which project?

A: In an urban design project in Binh Duong or along the corridor or boulevard leading to a new city centre. Along the boulevard corridor (about 150m-wide strip from the middle towards 2 side of the road) we do urban design and urban development; and partly urban regeneration. So, in some sections we are dealing with rehabilitation.

Q: How do you integrate the citizens or local communities into the project?

A: We have to follow the legal framework provided by the Ministry of Construction; for example in order to do the planning project, we have got to design a project brief, which has to be present to the city or town authority. Then the authority asks for the citizens' ideas and comments and then we revise the brief based on the comments. Subsequently, we generate the concept idea and we develop the plan. Then again, we present the plan to the authority and ask for local citizen's and local people's opinions.

In current urban design projects we follow a quite formal process, we follow the sequence; in the community meetings that are organised, we do not actively talk to the people.

Another independent research project concerning rural communities locates around the city has a different approach. We conduct interviews or use questionnaire forms and surveys; we go directly to the village to ask the people about their opinions, about their likings and dislikings.

Q: So, I assume that your work is related to the Grassroots Democracy Decree?

A: Yes, it is.

Q: Judging your experiences with citizen or grassroots participation, are they predominantly positive or negative?

A: It depends on the project. For example, when we deal with urban regeneration or rehabilitation, the local people are mainly concerned about their own house, about the height of the compensation paid by the government, about the change of the housing design in order to respond to personal demands (car parking in front of the house, set back). The people ask very specific questions and they are concerned about their personal profits and about how the project will impact their lives. We collect all kinds of comments and give them to the local authority in order to find adequate solutions.

Q: So, do you find participation exhausting, or do you find it positive or negative or is it somewhere in the middle?

A: Not exhausting, but very interesting. I have had positive experiences; with community participation, we design and we try to find the best solutions to meet the demands of the people and to improve the living conditions.

II Relevance of citizen participation in urban planning/ regeneration and/ or cc adaptation

Q: Based on your experiences: Do you consider citizen/ grassroots participation as important for urban planning/ regeneration/ cc adaptation projects, especially where residents are directly affected?

A: I think when the residents are directly affected, it is very important for us to understand their demands; this makes the project feasible and socially sustainable.

Q: Based on your experiences: Do you think that citizens/ communities have relevant capacities to actively participate in or to contribute to urban planning/ regeneration or cc adaptation processes?

A: For the climate change adaptation process I believe that communities can contribute their small part. But for the planning process at the moment there is only a small chance, because of the low level of the education; I don't believe that many people can understand the planning concept. Another point is that people may not be very concerned about city or neighbourhood planning; they may not have much imagination to think about it. What they are concerned about is very close to them and very practical, e.g. concerning their benefit.

Q: So, your main point is that citizen participation is important e.g. in urban regeneration processes, where people are directly affected; in urban upgrading and in relocation projects and also in local level climate change adaptation. Is that right?

A: Yes.

III Integration of citizen participation into urban planning/ regeneration processes and/ or cc adaptation

Q: The next question is directly related to your previous answer: In which phases could citizen participation/ these capacities be integrated? (Choice: Assessment, Planning, Decision-Making, Budgeting, Implementation, Operation & Maintenance, Monitoring, Evaluation)

A: I think that people can participate in a couple of stages. Firstly, in assessment. If we have an appropriate methodology we can integrate their comments, their needs and desires into our planning. Then, I am not sure whether they have a common understanding of the project and whether they can participate in the decision-making but a representative can do it; this would be one way of integrating community into decision-making. In the implementation phase they could participate in the construction works; they can gain knowledge on garbage handling and environmental issues. People can also participate in maintenance works. They know that it is their place so they are doing it for themselves.

Q: Given that people can contribute to assessment and implementation of a project; what do you think are the capacities of planners and planning authorities facing the task of integrating local people into the process?

A: The first capacity of the planner is the knowledge, depending on the way they do the planning process; if they for example work close to reality, if they go to the site, take pictures and do surveys. The local authority, which makes the plan, shall more focus on the project's logic rather than on making beautiful spaces

and buildings.

Another capacity is the support of the authority and the way the project is organised and managed; special attention has to be paid to project management and the availability of funding. The overall planning approach needs to be effective.

Another capacity is that planners should participate in the monitoring process. And also that planners can convince the investor; the investors normally pressurise the planner to gain the highest profit possible. In HCMC now, the planning process is under high pressure of these economic forces.

Q: Coming back to the process of integrating citizens or local communities into planning, do you recommend any participatory tools and approaches? I heard that you have experiences with community workshops and surveys.

A: The project that I am doing is an official programme, a national or city programme. And the specific task of the city authority is to re-design the housing typologies along the boulevard. The project is organised from top-down. It is good, it focuses on the improvement of the city and on the improvement of the living environment of local communities, but in order to do it right we have to understand the desires and expectations of the people.

Q: You have already mentioned the project that you are working on; the next question would be: Do you know any successful projects working with citizen/ grassroots participation? Would you please tell me again clearly the titles of the projects?

A: The first one is “Living Pattern and Housing Module on New Rural Areas of Ho Chi Minh City”. It is actually hard to define whether it is really a rural area or whether it is a peripheral area near the fringe of the central areas of the urban centre. It is a project under the National Programme of Rural Development.

The second one is the urban design for the corridor of the boulevard. It is urban development and renewal project along the boulevard leading to the new administrative centre of Binh Duong City.

About seven years ago, I participated in an urban regeneration and sanitation project implemented by the Belgium government and Ho Chi Minh City in the area along the Den Canal (Black Canal). The project focused on landscape design; we designed gardens for the local people. I believe that the project was successful due to the good cooperation between the two parties, and due to the good project management from the start and timely implementation. The project contributed to the improvement of the living environment in the city. The open space is not only attractive but it is a place to be used by the locals. It is predominantly used in the afternoon, especially by paper kiting playing children.

Q: Why is the place so successful? Did you involve the public into designing the space?

A: At that time we did not have any public consultation and people’s participation. We made a good survey on the site. One interesting aspect is that the community alleys go straight to the boundary of the lagoon. The landscape ring along the boundary is directly used by the community; the place directly related to the community. Right now parts of the project area are not open to public as part of the lagoon plan is unsafe.

Q: This was my last question. Do you have other aspects to share on citizen/ community participation?

A: I heard about community participation in planning first about ten years ago. At that time I heard lectures of Mr. Hung - he is now the chief of the Department for Planning and Architecture (at HCMUARC) – on planning and participation. Then I spoke with one of my friends, who is a planning expert here; according to his opinion (he was trained in Europe in the 1960s) he is still not convinced about the participation in planning. Here in Vietnam, participation planning was still a new concept then.

But today, I feel that the process is more open, there is more social interaction; more information can be shared and the people have more rights to access information. I think this is one of the basic conditions for participation. According to the Urban Planning Law we need to have consultation with the public in planning processes. But this is still more an informal process rather than the real process.

In most of the projects, the local authority acts as the investor, so the method of organising the planning process is quite critical. They are in a better condition to be feasible. For example, there are social data surveys, more surveys on real conditions. The planner can have more connections to reality; socio-economic conditions are studied beforehand so that the planner can have sufficient data. Local authorities can integrate socio-economic development into the planning. By doing that there are a lot of conflicts, which need to be solved.

Q: Thank you very much for sharing your views and experiences with me.

Interview with Le Van Thanh

Date: 14.03.2012

I Experiences with citizen/ grassroots participation

Q: In which position do you work? Where and on which level?

A: Now I am working for the Ho Chi Minh City Institute for Development Studies, it belongs to the Ho Chi Minh City People's Committee. It is a local institution and it does not belong to the centre. It is focus on specific service like agriculture.

Our institute has four aspects; firstly study on how to develop our economy; the second one is about urban issues, it studies about urban planning, anti-flood and social issues; the third one is about social and cultural urban issues; and the final one is about policies to develop urban area.

Q: Thank you very much for this insight. So, I assume, your work is somehow related to grassroots or citizen participation? Is that right?

A: Yes.

Q: And is the Grassroots Democracy Decree relevant for your work?

A: There are many social issues and community participation is one of them. In Vietnam we have two groups of social organisations. The first one is more about political issues, like women's organisation, youth organisation; and the second one is more about social issues like associations, for example urban association. In Ho Chi Minh City we have some representatives to say the idea in the project. For example in our institution we are doing the project of urban planning for develop economy and social issues. We had to ask the social organisation about that. And recently, we have just organised a two-day workshop to ask the business men, the department for example and individual, and organisation about how is their idea about the project.

Before we did not ask the businessmen about this, but now we see that the participation of the community is more important. And this will do more democracy and also provide us with more information, for them and for us, to solve the problem.

I want you to pay attention that this kind of work comes from the policy of the government. 10:47

This is only the first step that we ask the community to participate in the development of Ho Chi Minh City. There are many improvements in comparison to before. I think that they develop more relation between us and the other social organisations, because we are just at the beginning and we are not familiar with this. And we also did not have the time to understand about the social organisations. And we did not have time to have information about the government.

The people they earlier in the process of how to develop the city, for example when we have the how to reduce the poverty in the city, we asked them what it takes to reduce; and people said their idea about this.

And the participation of the people in the first step of making decision of the government more earlier than the social organisations. Increasingly all the social organisation in the bigger issues of the city. So we can distinguish between the two; one is the participation of the association, and the other is the participation of the people.

II Relevance of citizen participation in urban planning/ regeneration and/ or cc adaptation

Q: After learning how you work and what you envisage, how do you do this kind of participation? How do you do this kind of participation? Which kind of methods do you apply? Do you do workshops? How do you ask for the opinions of the people? And which stakeholders do you integrate in this process?

A: We are an institution and our work is research. So, if we want to ask people involved in our project, in the decision of the project, we often have discussion group, focus group. And we also ask them how they want to be. These focus groups ask people about their idea and for support for our project.

For example, if we want to ask them something about the Chinese community here in Ho Chi Minh City, we will ask the focus group of Chinese people; and if we want to ask about migrants, we will have a group of migrant people. There are many opinions, many ideas. But the ideas have to be discussed and approved; more common than the idea of an individual.

Another idea is that about how to get the opinion of association for the big problem. We do this when everything is done, when the project is finished. We ask them to have their comment or their feedback. Not like in other countries like they will ask from the beginning, but we ask from the end. This has the limitation that the people we ask there is a gap of enough information to understand their issues. So, their feedback is not fulfilling. Not enough for our project. So, for example in our workshop last week on urban planning, we see this problem and in the future we will face this.

When we ask them to come here and say their idea and their opinion about the project, their comments or their feedback is not... It depends on the person that participates in the workshop. It is very individual, it is not representative for the idea of the organisation. We send questions for them and they will come and talk. Further they can discuss the issue before; but when they come here, they will only say their opinion. So, it is not representative for the group. So we think that we have to provide information earlier so they can discuss about these issues.

For example in long-term planning, many organisation do not have the support from the government, so they do not usually raise their opinion. So, we want to provide information more earlier; because I think you just like learning something if you do not learn by that ...

The government of the city requires that there are many issues that have to ask for the participation of the social organisation and researchers for support. And as I said before this is also the policy of the government to ask them to participate and this will help to influence the democracy.

Q: Thank you, this is a very interesting point. To this answer I have one specific question. You said that you ask the community, especially the Chinese community. If you ask for their opinion related to issues directly affecting them, you said, they have a focus group discussion and then one representative will come and talk to you. How do you find this focus group? Who are these people in the focus group, are they the key members of the community or is it the local government on the ward level or the community leader? What comprises this focus group of? Who participates in the focus group?

A: To have a focus group we often ask the people not the local government. We select the party people who can raise many ideas and opinion. And we set up, select people to the focus group in a situation when we go to each house and ask them with a questionnaire. We will chose the one who is more active, who has many ideas; and then after asking the questionnaire we will come back and select the people.

And I think that the people doesn't have many idea... the research will not be successful.

And also I think that the leader has to have the main job how to harmonise the focus group, how to read the question for them so that they can answer and discuss in the group.

And I have many experiences about this and reduce poverty and resettlement project. And this focus group

we often do with researchers in our institution; there are sociologists, anthropologists, because they have learned about this method.

We recommend that in research about community we should use this kind of method like recording. But finish the focus group we can collect all the idea and ask them to agree with that. And this focus group usually stands three or four hours, and this has a more community than if you ask individual.

Q: So, I assume personally you consider citizen participation as important for urban planning?

A: Community participation is very important but there is one requirement that the community has to have enough information. Because if they understand all the issues they will give the correct answer.

Q: The next question is directly related to this answer. What is or what are the capacities of the community? What can local people actually contribute? First of all, on small scale projects, projects which there are directly affected by; and also to bigger scale projects, on the city scale. So what do you think, which are the capacities that communities have?

A: The capacity of the community, I think, is still slow, on the low level. And they only know about the area that they live, so they can have more practical answers and response. But in the higher level, for example in the city level, they often do not have an idea about that. For example, in a recent research on poverty in the District 8, when we asked about the area that they live, they often answered very quick and very correct. But when we asked which ward is poorer than this ward; then they do not know. So, I think that the community participation is more suitable for local project than for the city level.

That was more about the limitation of the area, and this also has the limitation about time. If we ask them how the future in five years, ten years, then they don't know. And we have to select the questions to ask them. Because, if we do not ask them correct and suitable, they will give the wrong answer.

We often use the more academic way, so we had to turn it into some familiar way with the people we ask.

Q: So, it is better to integrate communities in local level projects?

A: Yes, at the local level, in small-scale projects.

III Integration of citizen participation into urban planning/ regeneration processes and/or cc adaptation

Q: What do you think, which phases of a project could a community contribute to? I give you a choice, for example in assessment, planning, decision-making, budgeting, implementation, operation and maintenance (for example for provided infrastructure), monitoring and evaluation? What do you think, which phases could the community contribute to?

A: The participation of the community in projects of the city is on the low level. They can participate in all the aspects. For example, how to make a road; they can participate in planning, how long the project, something like that. When the construction they can participate in testing the effect of the controlling of implementation and check about the quality of the project. And finally they can participate in the assessment, when the project is done. It does the study for the requirement...because in the low level, this is one part of the daily life; so they can participate in all the aspects of the low level project.

But in the bigger one, like the project of the city, like urban planning, we need a committee of people who understand more about the city, who are more experienced about that. If we do urban planning, people are only concerned about their rights. The others, they don't care.

Q: I have a question, which just came into my mind. It is not related to the question order, it goes a little bit back to what we discussed earlier. Do you integrate civil society organisations when you for example or-

ganise focus groups with the community? Have you ever considered integrating civil society organisations, like Vietnamese NGOs for doing the ground work?

A: First, in our study, in our city, there are not so many Vietnamese NGOs. And secondly, the budget for our study is limited. So it is difficult for us to invite them to participate in our project. But in some of our projects we will invite some of the people who work for NGOs as a role, like a social worker. For example when we do the project of resettlement, I invite people who are familiar with the social work and interview. But I just invite them as individuals, not as organisations, representative of an organisation.

Q: So, thank you very much for this little excursus. My next question is, what capacities should planners and authorities have who are dealing with citizen participation?

A: First, in my opinion, I think that the planners in Vietnam often have a high level. And they have some academic word, like not suitable with the people. So, I think the problem here is the communication with the community. And one capacity is to translate their idea to the community. This requires them to practice and go to the field more often. Before I had many kinds of field work and I had familiar with people in the community with their daily life talk; I think this will change the planner and the community will have something in common, so the communication will be easier. And second, we need to have some selected information for the community, like second floor. If we ask them something that does not relate to their rights they will not care about that.

Q: So, I come to the last question, which is a little more complex; it is an open question. I have heard that you mentioned the resettlement project which you are active in. Would you please tell me a little bit more about this resettlement project? What kind of project it was, the name maybe, how people participated and your experience with this project.

A: I have a project, I study the lives of people of resettlement; we do research about their lives before and after the resettlement, in some aspect like employment, family, health care and education. This is all about the daily life aspects. I did it in 2005/2006 and I took many samples in many different projects. Some was very long time ago, like the Nhiêu Lộc – Thị Nghè Canal project 59:27, some like the Tan Hoa – Lo Gom project; this project... we would like to know about the people after the resettlement. Maybe my research is not accurate enough, but I think that resettlement project needs to have some indicators, some factors.

For example in the Tan Hoa – Lo Gom project, a part of people in this kind of project settle right where they live; they had to leave for 10 km, they live in Binh Hung Hòa, and the people in Binh Hung Hòa they have their own house, a beautiful house. But then after a period they come back to the place where they have lived before and I think that is... because they have lived in District 6 for a long time; so if they go to the other, we just assure for them about the place where they live or where they can stay; but the other things like education for their children, employment, they cannot take them, so they had to come back. So, I think is an important factor, we should see about when we do resettlement project.

The second phase I think about the recommendation of World Bank or ADB, that is that Vietnam has a limitation because of the budget; the budget is very small and not enough for the resettlement project. Because, this usually have social workers to guide or to support the people of the resettlement project. But in Vietnam, we don't have this. If we have, we have social workers in the beginning of the project; but after that ... PMU, the social workers we don't have. So, this will cause difficulties for people of the resettlement project; they will not be familiar with the place where they live and they need support because most of them are poor and their education is not high. They have problems with adjusting with the new environment.

I can talk many things about the resettlement project, but maybe because of the time we will talk about this more.

Q: Do you have anything to add? Anything which I did not ask? Or which is important for you to mention?

A: The participation of community in Ho Chi Minh City is more effective and it has more caution of the government about this. And this is good, but the thing is how to do it, and we need to have more research about this, we need to have more experience about this. Now I think that we need to pay more attention

about the how to provide information and select information for the people in the community; how to bring this to them so that they have time to understand and respond to us; and the third one is the awareness of the government that is good but in the lower level, they do not have a good awareness about these issues and this usually happens in Vietnam. So, this is the three things about community participation in Ho Chi Minh City that I wanted to share with you.

Q: Thank you very much for your time and this very interesting interview.

Interview with Nguyen Cam Duong Ly

Date: 13.03.2012

I Experiences with citizen/ grassroots participation

Q: In which position do you work? At university, what is your job?

A: I work as lecturer at university.

Q: So, you work as a lecturer at the Department of Urban Planning at the Ho Chi Minh City University of Architecture.

A: Yes, that is right.

Q: So, as a lecturer you teach in the field of urban regeneration, is that right.

A: Yes, I teach urban regeneration and highly related to citizen participation.

Q: The third question is related to the Grassroots Democracy Decree. Have you heard of it? It is the Regulation on the integration of democracy on the ward, township and commune level. Is this Decree anyhow related to your current work?

A: Do you mean my teaching job or my field study?

Q: It depends. What else do you do?

A: I think it is relevant for my work, because in my course I teach my students how to work with community and how to do a project based on community studies.

Q: Do you have any non-work related experience? Are you active in any kind of organisation?

A: Not yet.

Q: Have you yourself actively participated in a project?

A: Not yet.

Q: So, you integrate participation into your teaching. Do you have any relevant experience in working with community? Have you ever done that yourself?

A: We have made field trips and we have conducted some small conference with deputies of the community related to project, which had been implemented.

Q: Was that a good experience? Do you think that it was positive or did you see any critical points?

A: I think it was very interesting; a good experience for me and my students to meet the community.

II Relevance of citizen participation in urban planning/ regeneration and/ or cc adaptation

Q: Based on your experiences, do you consider citizen or grassroots participation important for urban planning?

A: I think this is one of the most important things for urban planning and urban regeneration.

Q: Why?

A: Nowadays, we have a planning approach based on the community analysis. So, the good urban regeneration projects should be based on community action.

Q: Do you think that citizens or communities have relevant capacities to actively participate in and contribute to urban planning projects?

A: Yes, I think they have potential capacity to participate. But it is important that the authorities consider community participation as important. We should have educational programmes for community building. Like in the Tan Hoa – Lo Gom Project.

I think in the Ho Chi Minh City context, we can apply the community-based approach.

Q: What do you think what kind of capacities so community leaders or community members have? What can they contribute to the process?

A: First of all communities should be informed about the project and in the context of their neighbourhood. Communities have the capacity to actively participate in the discussion with the authority and with other stakeholders concerning their need and desire. They can comment on the design of a project in order to adapt it to their needs. During the project implementation they can also give feedback about what has been done on the project. And after finalising the project, the community can be integrates into the evaluation.

III Integration of citizen participation into urban planning/ regeneration processes and/ or cc adaptation

Q: You have been quite positive about the capacities of the communities; and you have already partly answered the next question. In which phases could citizen participation, or the capacities which you have just named, be integrated? I give you a choice: in the assessment phase, planning phase, in decision-making, budgeting, in the implementation, operation and maintenance (e.g. for infrastructure), in monitoring and evaluation.

A: Citizen participation is important in all these phases; only then, the process is transparent. Citizens should be informed about the decision-making, budgeting, implementation.

Q: According to your answer, participation is only information and consultation. Is that true?

A: Not only information. People can also suggest alternative design solutions and they can actively participate in maintenance activities.

Q: Do you recommend any participatory tools or approaches? At the beginning you mentioned the action planning approach... And maybe I combine this question with another one: How do you teach your students to work with community?

A: For example in my job as a lecturer I show my students documents or short movies on community architects. In the beginning, the students are not very attracted to this kind of activities, but they get an idea of what can be done with the community. I think when they work in reality these participatory approaches and tools can be useful. And I also advise the students to integrate a community action programme into their project and to appreciate the role of the community in their project.

Q: You said in the beginning your students are not so happy with or not so attracted to the community approach. Which year do you teach?

A: I teach the third year of the four-year programme in urban design. I think the students are more interested

in splendid urban design projects. And when they see a movie on how to work with community to build a small house, which is not very attractive, having just a very simple design and on action-based processes, some students do not really pay attention. But others show interest; and at the end of our course, some students propose their project integrating the community-based approach.

Q: For the future, do you think that your course contributes to awareness-raising among your students concerning community participation? What do you observe? How do your students develop? Are there some who will adopt the approach later on, in the future?

A: I hope that some of them learn from this practice and that they can apply in their future projects. I have taught this course for several years, and we always have some part, for example, on how to do the project without financial resources or on how to respond to the community's needs. So, with the reality from the construction practice and with the development in Ho Chi Minh City, this is one important approach; a good approach to work with communities and based on the communities' resources. We cannot wait for the government to provide resources.

Q: Do you know any projects, which are currently implemented with the community-based approach? This could be an architecture project, an upgrading project, or even a waste management project. Do you know any project that is going on apart from the Tan Hoa – Lo Gom Project?

A: I know one project in the city of Vinh; but in Ho Chi Minh City, there are small-scale projects implemented by the private sector. These projects are spontaneous and not really community-based projects. The projects focus on the restoration of colonial villas or shop houses; the shop owners implemented the projects by themselves for their own benefit. If we can achieve the support from the municipality to encourage people to restore their own house and heritage, I think this is the good approach.

Q: So, you are very familiar with the Tan Hoa – Lo Gom Project. Is this because you show it to your students or have you been involved?

A: No, I did not have the chance to be involved in this project; I just present this project. It is a best-practice project in the area of Ho Chi Minh City, so every year we make a site visit with the students.

Q: So, this was already my last question. I would like to ask you whether you have anything else to share with me, related to this field, any opinion or problem you face.

A: I think I have a positive point of view related to community participation, and at the same time quite negative on the top-down approach. So, I think it is time for citizens to be aware of their opportunities to influence planning; and also it is time for experts like architects or urban planners to be also aware of the strong role of community and community resources. So we should explore.

Q: This is interesting. So what is your vision?

A: I think the universities and the students are quite important and also the civil society; we should have stronger NGOs to participate in participatory planning and related activities.

Q: Thank you very much for the interview!

Interview with Nguyen Thi Xuan

Date: 15.03.2012

I Experiences with citizen/ grassroots participation

Q: In which position do you work? And on which level?

A: I have retired from my work, so I do not know if I can give the right information.

Q: I am mainly interested in your personal experience gained with grassroots participation during your work. I am interested in the question, what role does grassroots participation play in Vietnam.

A: So, in my previous position I used to work with local level, if we consider the district level also as local level. So in some projects we work with district partners. This very much depends on the size of the project. We also work with the grassroots community.

Q: Enda Vietnam is still an INGO, is that right?

A: Yes. The partners of Enda are from the city and the district level, depending on the size of the project and on the policy. When we carry out a project, we always start with the grassroots community.

Q: You have worked with Enda for a long time. What is your experience with participatory processes in general? And how do you judge these experiences?

A: Like other social workers, I am a local person, so I know about our culture, our tradition and our habit. Everywhere in Vietnam, in the South or in the city, we more or less have the same culture. So, I understand our people.

For projects, in the beginning we often face difficulties. That is why we prefer the long-term projects, with duration of about 3-4 years. And for the community I think that they are eager to talk. Sometimes they are very reserved (in the beginning) but when they understand that we are from the INGO, that we have a social project and that we create a room for them to talk, then they talk very openly. In my experience, our people are very open. And when they feel secure, they talk about all topics related to their life.

We have also learned that we should be patient and that we should cooperate very closely to the local authority or to the mass organisations, like the Youth's Union, the Women's Union or the Red Cross. The key members of these organisations have potential and can have good influence on the people.

For example for the first year of the project, we made the project team, we did a lot of awareness raising and used participatory methods. These people fully agreed and they were very active and motivated. To us, the starting point is very important, if we have a smooth starting, it (the project) will be okay. During the time of the project implementation, the members who are already aware of everything and who are ready to support; then, we come to the grassroots community.

In Vietnamese cities, we have the administrative system, we have the ward and the sub-ward and the cell and through this the community is already organised. We develop our project implementation together with the community. The local authorities know what we are doing and they know what we develop, so they give us space for our work with the community. This is a good opportunity for the grassroots people to develop their idea and their initiative.

Q: In which fields have you worked with local communities?

A: Firstly, we focus on the awareness raising. We chose a poor location. We do not look at the people as poor in terms of money but poor in knowledge. So, so we step by step integrate activities; but the most important

activity is the awareness raising and the training. We try to strengthen the social knowledge of the people. They are so busy with their life, so they send their children to school and leave everything to the school. And they have a lack of knowledge in the fields of sanitation, gender issues, health care, democracy and their rights and opportunities to communicate with the local authority. We let them know that our project is a space or a bridge to the local authority. Because there, in the project team there is a member of the local authority and of the mass organisation.

We also organise another project team, the community project team, consisting of representatives the community elects; or we take the existing ones, the cell leaders of the sub-ward. And of course, there is a member of the Women's Union or the Youth Union and from the local authority; so they work together. And then, we are always there to help them and support them and guide them to find the orientation in the project.

We work in the social field, we focus on awareness raising, on all aspects related to community life.

For example, women realise what gender is; and after talking to their husbands, they also realise that their wives work so much. We do not talk about this issue directly; we apply an exercise after which they realise how many hours the women work and which is the base for adjustment. The gender issue is somehow new to the community. So, in the meetings we share and discuss about the reality in the families.

Q: Are these initiatives initiated by Enda or do you have other partners or donors?

A: To answer your question I have to go back to the beginning, why we start up projects and why we chose particular locations. So we chose an area and the field which would be appropriate. But in order to get the project we need to have a proposal, and the proposal we cannot do ourselves. We just say from Hanoi to Ho Chi Minh City, where we want to carry out this project. So we chose HCMC, and as HCMC is still very large, 24 districts, we chose one of the central districts. Among all the districts, we never chose District 1; we prefer one of the poorer districts. And then we visit the 2 or 3 or 4 districts. As the district is still a very large area, we identify the poor wards, wards which are recognised as poor by the city's statistic. The city has already made a survey, so we do not have to make a bigger survey. Most of the areas have similar problems, like the sanitation, education, poverty, financial problems; in all the poor areas they mainly have the same problems. And then we meet the leaders, and they take interest in our project and are eager to cooperate and solve local problems. They welcome us and they chose. In the beginning it is very important to get the support of the local authority. Then, together with them, we make a general survey again. We approach people from the local authority to work with us, we do not need the high ranking people, we need the staff only and we make a general survey.

And we ask them: like in District 4, Ward 8, there are four sub-wards, of which two are poor; so we did the survey in the poorest first and then chose the poorest.

In the first year we started the project; we needed the time for the agreement, for the preparation, for the survey. In the second year we enlarged to the second poor one, we did the same process. And for the four year project we expanded to the other areas. The other two sub-ward joint in the last minute.

The people there have some educational level; they work here and there.

So we integrate different aspects, such as micro-credit, sanitation, education of their children and environmental problem. Then it was very convenient that your project on climate change came. So we just continued with the project together with a new team, a different budget and we used the same participatory method of our community development project. And I am worried that when we stop and in the future Enda will not have any further contact or project with the people, I do not know how long our work will last.

And then the government members will change. The leaders will not stay for so long, the leaders will just stay for one or two election periods and then they change. And if the new leaders do not support the programme, it is very difficult for the community leader.

The local authorities have the resources. And if the leaders support, they can give the resources or they

give the support. But if they are busy or if they have other concerns, they do not care much about the project or if the life of the people is more advanced or they make trouble when they talk too much.

And we start thinking but we could not do anything, yet. We have heard of a civic society. We have thought of that. But maybe it is too early. Because we still have the same system. If you want to develop a civic society you will have to change a lot.

Q: But you (Enda Vietnam) belong to the civil society...

A: We belong to the civil society, but the system... even as an INGO having a social project, we go through the system. So, in our work there is no discussion about the administrative system, we have to go through the available one.

Q: So, Enda Vietnam is not involved in policy change?

A: We wished very much, but this is not our level. We need international interference, but this is not our mission.

Q: So then how do you work? You mentioned that you work through the system. This is very interesting for me.

A: We work through the existing administrative system. We have the grassroots from the cell, the sub-ward, the ward and the district and the city and then the province. Attached to each level, there is a different section, a different department they have. But what is different, is that they have a lot of power, they can decide everything for us. For a civic society, what the local authority does is just administration.

For the other things, we are empowered to functional bodies. The functional bodies work under the People's Committee, so everything must be approved. And for anything, any project or any activity to be approved, the national policy is binding.

Q: I understand what you mean, when you say that you go through the system.

A: We can take a very concrete example, I take our office. You do not see any foreigner working, you can see our leaders, we are all local people, we manage ourselves and all our projects; we make our own agreement with the donors and with our partners; we implement our projects. We do everything on ourselves. We have our advisory staff far away. And our advisory board has very different (ideological) expectations of our work, but we cannot fulfil them as their suggestions are not applicable in our local environment.

With you, you came to us, you joined the meetings, saw the people and you can suggest something.

(...) The recording was interrupted due to the wish of the interviewee.

Q: When I interviewed a decision-maker on the national level, this person told me that now the national level also needs to integrate views, suggestions and contributions from the local level into their plan and that they also integrate local civil society organisations into the process, such as NGOs. Have you ever, or has Enda ever contributed to this kind of participatory process? Have you ever done anything together with the government?

A: We had a pilot project five or six years ago in District 2. It was a rehabilitation project in one of the wards of District 2; they wanted to move the evicted people. And Enda Vietnam joined a French NGO, the VeT, the Villes-en-Transition. We took care of the social matter and they took care of the technical one. And together with the local authority on the district level to make a pilot project.

Instead of evacuating the people, we had to upgrade it on the spot. The local people illegally occupied the land; and there was a tomb, some cemetery. Then we asked the government of District 2 to give the land (as according to the law, the land belongs to the government). So, as a contribution to the project, they gave the piece of land.

And then, we developed the project together with VeT, an upgrading project on the spot. It started as a pilot

project in a small area of the district. Later, the chair-man of the local authority changed. The chair-person who had joined our project was a lady, she is very motivated, very eager and very active. And she was replaced by another, who did not care. And there is a lot of social problem happening there.

After the upgrading, the people had nice, renovated houses; and then the poor people sold their house, and they had the right to do so.

So there was no funding for a post-project; the local authority changed and the people themselves they did not have any obligation; so I do not know what happened in the area.

This is a pilot project; we have to do the whole process. And the important phase is not the starting or the middle, but the post phase, the post project; whether, after implementation, the project is sustainable or not. That is the only project that I know where we contributed to the local urbanisation.

For the higher levels, we join many seminars, meetings with the functional bodies; but there is just talk in the meeting; but after the meeting this is the problem of the housing department of the People's Committee, the city's People's Committee.

II Relevance of citizen participation in urban planning/ regeneration and/ or cc adaptation

III Integration of citizen participation into urban planning/ regeneration processes and/ or cc adaptation

Q: But from your point of view, citizen or grassroots participation is important for any kind of project?

A: Yes, very much.

Q: Now I would like to focus a bit more on the planning process; and I would like to get into details of the project that you have just mentioned, the in-situ upgrading project. From your point of view, what kind of capacities do local communities have? And in which project phases can these capacities be integrated? I provide you with a list: Assessment, planning, decision-making, budgeting, implementation, operation and maintenance, monitoring and evaluation?

A: In fact, like our social project, they can contribute to all these phases. There is proof that they can contribute to the assessment. Planning and decision-making is difficult, they need to have their representative voice from the grassroots; that means from the ward authority, or there is a group leader or cell leader.

Because there is one thing I learned; we did not pay attention to who are the community people. They are like me, like Ha, we work here and there, we may be professor, we may be representative of the upper house, we may be the priest or the singer, we may be all the people in the society and we have the house there. So, there are a lot of resources from the community. I got it from the ward 8, there are teachers, there are some high-ranking people; they have their separate lives; in the society there are someone and then they come home and this is the problem of the wife and the children, so they do not care. So we do not use these resources. For the planning process and the decision-making, we cannot ask the housewife, they are limited. For the concrete example they can give comment, but as I told you before, men, they think. And if a man has a working position and in society, and if he is a member of a family, and if he belongs to the grassroots, why not use these resources? That is the problem that many social or community development forgot that. And then the retired people; many of them held high positions in the society. Now they are retired, but they still work and still contribute their idea. And if these members are selected by the communi-

ty to join the decision-making, they can give their own idea.

In some cases, like the upgrading on the spot, they even can contribute; in our project, they could make the internal backway. In other projects, they can observe if the implementation is okay; they control the quality of the material, the price, everything. And I think that the resources in the community are related to the work. Like construction work, there are a lot of masons and carpenters in the community. What I already told you about the project is monitoring and evaluation.

So, the community can participate in the entire process depending on the phase; so, the survey in the beginning is important. They will make the survey on the infrastructure, but also anthropology, about the people.

Q: I have another question, which is not in the list. Can you please describe the participatory approach, which you apply in the projects?

A: We have a lot of methodologies, a lot of tools. We just put the tool in the participatory method, like in the meeting or in the discussion. We use the problem tree; it is very applicable, it makes people talk; and then the solution from the problem tree. You let them talk; and for the solution you make a selection. And from this selection, they make a priority ranking. This is one of the methods. We also apply the mind map and we simplify it. We also have open question for the higher-level people. Like "What do you think about this problem?" When we put the method, there is a space for somebody to give the idea. But they only focus on the line you throw out. But the open question is for people who think, who have initiative.

In upgrading urbanisation there is a special tool, like the assessment of the individual houses, the concrete situation of the house.

The government classifies the houses in levels; level 4, level 3, level 2 and level 1; but we do not follow this classification.

Q: Is the assessment related to the housing condition?

A: Housing condition is quite large, you can take pictures; you can describe, but most important is the legal situation, the legal papers. The heritage is of importance, too. You have to refer to the law. You have to know about the existing law, the law always changes. And then the people in the house; the most important paper is on the tenants in the house. You know Vietnamese culture, we have many generations living together in one house. And sometimes you have three or four different, independent families in one house, and they have separate economy.

If you make a survey with a large question, with many sections, this is very time and energy consuming. But during the process we might need to refer to that.

Q: What kind of problems or constraints do you face while working with community or with participatory approaches?

A: It depends on what phase of the project. The most difficult phase is the first phase; like I told you, in the first year we could not do anything, we just made a survey and some preparations. And the people had a look; they saw that we joined the government; they are used to the government project. But then people realised that this is an international social project; this is a non-lucrative one and they come for our benefit. And if just a few members of the community are aware of that they can spread the news. And they also observe what you are doing. You came and you brought us something. You are the bridge between the community and the government, you create a room.

What I can say today is that the major problem we face is not in the community part; they are the beneficiaries, we work with them in order to improve their situation and in order to empower them.

The most difficult thing is to deal with the local authority. We have to know all the laws related to their mandate. We have to know their mandate and we have to adjust according to their mandate in order to serve people. So we approach them, we talk to them and make clear that this is your people, this is your man-

date, to look after your people. We just come with little financial and human resources, with little know how, with a little technology in order to help you. So, they become the owners of the project. We always integrate something new and sometimes the local authority comes up with its own idea. And we also talk to the community and tell them about the initiative of their leaders; they allow you to do this. We do not need a name or merit, for us the result is important and encouraging.

So, to your question, the difficulties faced in social projects come from the local government. There are different sections in the local government; the Fatherland section, the Youth Union, the Women's Union, the Red Cross, the police, the social affairs, and on the top is the Party.

Q: Did you ever have problems to get a project approved?

A: The upgrading on the site in District 2. Before District 2, we went to District Ben Chanh. Personally, I knew the chair-woman. And I took all the Enda people there to contact her. But she did not have a strong influence on her colleagues, so there was some difficulty. She said that she did not have land budget, no local land. Each district has the right to use some land. That is why we came to District 2 where we were able to start the project.

We have some successful projects and some failures; from the failures we learn a lot.

A long time ago we had a project called the "spring saving", it is microcredit-saving activity carried out with the women in a community. It was for one year. After the project ended the project was transferred to the Women's Union. So, the Women's Union took the power, and they still use the fund, but more like a Women's Union fund, in a top-down manner. They give credit to women without knowing who they are, whether they are poor or not. The project was quite good during the project time (when Enda was involved). So it is a pity that we did not have any available funds to continue with the project.

Q: As you said you have worked with NGOs for about 16 years.

A: Yes, before Enda, I worked for another NGO, but in a totally different field. That was an American NGO, I got a lot of experience. In 1993/94, I joined ICMC; we took care of the returnees, we helped them to integrate into the society.

All the returnees came from the asylum camps, in Ho Chi Minh City. After they were integrated into society and did not need any further help, we closed the project in 1995/96. My boss is the leader of the section, she went to Hanoi. And we started, and then I went there to help her for a field trip, because I do not want to live in Hanoi. And we had the attorney from Hong Kong island asylum camp and not from Hanoi. But in Hanoi she could not apply for the license so we just make the pilot programme and then we stopped. And after ICMC I joined Enda.

Q: So with these many years of experience, can you give me an idea how participatory decision-making or participation in general has developed over time, between 1994, when you started to work with civil society organisations, and 2012?

A: It improved a lot. Like at my time people were very scared of security, of the police. Our beneficiaries in the ICMC project there were so scared. In the 1990s people still tried to escape from Vietnam by one way or another. Even if they knew about the UN regulation, they still go by road to Cambodia; and people who stayed here did not take part in the government. So they felt scary for their daily life; this is very hard life. They care for the children, where to study; they care for the daily consumption; so much material thinking occupies their time. And there is a fact, I don't say that people who come from the north or people from here in the city they are more or less involved in the previous government. They feel like okay, we have to stay away from the risk, even if they are in the community and they also organise a meeting, they just come there and keep silent and wait till the end of the meeting and go home. So, they don't participate. Due to the fear, due to the unstable life, due to the more difficult occupants, they have to care for their own life. And the government is totally separate. But with the time, the people did not think of escaping any more, they started to settle their life.

In 1989 we have the open Doi Moi, the new change, the open policy, from 89, so something must be changed. So people do have a smoothly life, so people do not think of escaping but think of settling their life here, to work here and to get your children here. And yes, from the early years of 2000 – I started the project with Enda in 1998 – they started in 1994, I joined them in 1998, and we started the waste collector project, I saw the same thing. They are also separate, the people's lives and the government. And the government more and more changes, slowly, but still. They give access to people to feel more approaching and easy, to approach them; and still, they keep silent, even approaching but still keep silent. But with the time and through the interference from local NGOs, the INGOs, they have space; they feel secure. They speak up something that is right and that is not against the law; that is important. So I just talk about the participation in meeting, in giving idea. This is very far from action. They can talk and they can give idea, but to make these ideas to concrete activity, this is a long way. And by today it has improved, there has been a good improvement. Here and there you can see in the newspaper, they have the strong leader, there is the representative of the community, he is strong, and he knows a little bit about the law; that is very important; then he contribute his energy and his time with a very good intention. In some residential area where there is a very strong leader and very strong representative, then things work.

This is the one part of the community, but there is also the other part of the local authority; they have to have an open mind, they can accept the idea from the community, they can improve. And if they improve and they do something good, they get the merit. That is also some encouraging things. So, that are the good factors that contribute. That was a long way from 2000 to 2012. To me things are still slow. Of course we have a very particular political situation. After (19)75 we had the war with Cambodia, and then with the north. This also contributes to slow the speed. We admire very much the Japanese. After World War II only 20 years, they grow up and occupy the whole market of the world, even the American market. Just recently, after the tornado, after the Fukushima earthquake. And I think this must come from both sides, from the government and from the people themselves. And Japanese people, I admire them very much. They are very courageous and very strong.

Our people, there is something to say, about Vietnamese people. But there is one thing; I think if you go further to the countryside, to the remote areas; you can see the people from the megacity like Hanoi, Danang and Ho Chi Minh City; there is a big difference of what people have to say about freedom and power of the people. There is a big gap...

Q: You mean between the countryside and the city?

A: Yes, the small provinces, the further provinces and the big city. It is still different. Like in the city, people can talk. They have not much fear. If they realise that they have the right, and they talk about the writings and they talk about what the law has, state...

Q: How do you see the future of participation? For example in the coming ten years. Will it improve?

A: I don't know. If we base on the speed, between 2000 and 2012 and ten more years; I don't see bright, I don't see the potential.

Q: Is there anything else you want to tell me; because this was my last question.

A: There is a limitation everywhere. First, who are you? Who are you doing the interview? The second, about the topic. The third, it is dependent on the level; how much you organise, if one is free to talk, that there is no risk, no fear, anything. Of course to you, I talk; you are a social worker, you were in our project, and if I have like an official meeting, I talk differently.

Q: I can learn a lot from your experience and I hope to get the chance to continue working here. So it is good to learn about the different circumstances, about the different constraints. So thank you very much, this interview has been very valuable for me, it has been very interesting.

Interview with Do Van Nguyet – Live & Learn

Date: 20.03.2012

I Experiences with citizen/ grassroots participation

II Relevance of citizen participation in urban planning/ regeneration and/ or cc adaptation

III Integration of citizen participation into urban planning/ regeneration processes and/ or cc adaptation

Q: What kind of projects does Live & Learn carry out?

A: Live & Learn works on education projects, mainly in urban areas and mainly addressing young people. A main part of our programs focus on working with youth groups and student groups. Our main fields of activity are education, awareness-raising and promoting responsible actions among these groups in the fields of climate change, environmental issues and good governance.

We work through the establishment of networks between the different stakeholders.

We work with different government agencies, like the Ministry of Education and Training or with the Environmental Protection Agency. These agencies can integrate our skills, our knowledge and our learning tools into their system. At the moment, they approve our education material on climate change and they involve us in some of their projects.

Q: How is the community integrated? Are they pure recipients of your training or do they actively participate? Is it community learning or more teaching?

A: We apply the participatory planning approach; we sit together with the people who are concerned about the problem, we do not give lectures, we learn from them instead. Some representatives of the youth groups have good knowledge on environmental issues; so we facilitate them to talk, to network, to share their opinion and also to learn from each other.

And we introduce initiatives from abroad, from other countries or else from different places in Vietnam; so then they can come up with different solutions and with different networking activities.

Q: Is this kind of education or training sometimes linked to other kind of projects; like you said you raise awareness on environmental issues and on climate change issues; is this sometimes linked to urban planning projects or rural planning projects?

A: Not in Hanoi or Ho Chi Minh City, but in smaller cities, like Nam Định, Đồng Hới, Thanh Hóa. There, the working relation to the government is stronger and also the scale is not too big. During the process we bring the voice of the community to the government and we try to integrate local initiatives, like the vulnerability assessment into the national/ government action plan.

Q: What kind of capacities do communities have, especially if integrated in urban planning? How can they

contribute, e.g. in which phases: Assessment, planning, decision-making, budgeting, implementation, operation and maintenance, monitoring and evaluation?

A: I think that communities, particularly in urban areas, can participate in any phase of the project. In the beginning they may be reluctant or they will not have the trust to participate first; but they can be very practical.

Q: Can you please give me an example of your experience?

A: A good example is a health care project in Nam Đjnh. There were a lot of old people, who suffered from the lack of health care facilities. In order to overcome this constraint, a retired doctor/ medical practitioner decided to volunteer; he does health check-ups, gives advice on health care. The community provides the community house for the timings of his consultation hours, two or three times a week. The municipality has supported this approach and promoted it to other communities.

Other examples are community security activities; policemen can only patrol in bigger roads, but they rarely patrol in smaller lanes. In order to warrant the security in the neighbourhood, communities have developed a rotating system; patrol in the smaller lanes. This has become a good participatory approach integrating community into the government plan; the government also promotes this model for other places as well.

Q: You mentioned the government; you said that you cooperate with the Ministry of Education.

A: Yes, at the moment.

Q: When you make your campaigns, what kind of different stakeholders do you integrate? What is the role of the community? What is your role? How is the government integrated?

A: We start with young people, because they are willing to change and replicate and they don't cause costs for training. We also work with INGOs. When the young people start their activities, we support them; we get in touch with the local governmental organisations and with private businesses and bring them together; private businesses can support and learn from the process as well. When our work spreads out, the government on the national level asks us to coordinate with them.

A good example is our education material on climate change which we shared in one workshop. Some of the government officials asked us to work with them to get the approval for the formalisation of the material.

So, first of all, we carry out an activity or good practice; then we cooperate with other stakeholders related to that, included the Ministry of Agriculture and Rural Development and other different governmental agencies and private businesses. As a local NGO, we do not work with the government first, because we lack financial resources. So, we do something successful and convince the governmental agencies.

Q: But then for the initiation of the project you do not ask for approval, is that right?

A: As locally registered, Vietnamese NGOs do not have to seek approval in many cases.

Q: Very interesting. May I also ask you what kind of constraints you face when you do projects?

A: At the moment many good practical examples exist but it is really hard to scale them up. For the up-scaling, we need the political support, which is not strong yet. The political support needs to go along with action. If for example different organisations replicate our model and have the financial resources from the government. For new NGOs like Live & Learn, it is very hard to apply for bigger funding; the government can provide big amounts of financial resources but there is no chance for local NGOs.

Q: So, this is your major constraint?

A: I think so, there are many constraints; but funding and up-scaling is our major concern at the moment.

Q: Is there anything else you want to share, from your experience on working with participatory planning or on working with international NGOs?

A: At the moment we want to do a lot with the participatory planning approach. After a long time there are a couple of good examples for community-based projects, but it is difficult to scale them up and to integrate the approach into the government plan.

There are many different development agendas, like gender, HIV, climate change or domestic violence. And sometimes the success of a project strongly depends on the interest and motivation of the individual person working for the concerned governmental agency or for the NGO partner, rather than on the system or the organisation. In the ideal case, we suggest the approach or project to the government and the government implements it.

I work a lot with a group of NGOs on community-based disaster risk management and to me it is the most successful participatory process that the government has adopted in Vietnam. The government has realised that the role of the community in disaster risk management is very important. Earlier, the government provided disaster relief, but the communities' capacity was not build; the communities could not participate in surveys, planning and preparation. But now they work quite closely together with NGOs. There has been a national programme established, using government and donor funds in order to promote community-based disaster risk management.

Now, the political will is there, related policies have been formulated; but not every province applies the approach. The approach relies on individual initiative, a close cooperation between the government and NGOs. Still a major constraint is that the government has formulated the policy but they could not implement the approach; at the same time the government did not give the resources to local civil society organisations.

Q: Thank you for mentioning the Community Based Disaster Risk Reduction Programme; I searched for it on the internet but could not access any further information...

A: I have worked in this programme with one NGO; it is a very good programme. It requires a close team; we can communicate and exchange with government very openly. But for promoting and scaling up the participatory work and methods in disaster management, it is still a long way to go. The approach strongly requires cooperation of the government with NGOs and community-based organisations.

Q: So, your solution is that the government and civil society should work closely together?

A: If NGOs do something successful, it needs to be scaled up by the government. But at the same time it needs to be scaled up from the bottom-up as well; because if the government does the up-scaling, it will use the same top-down approach.

Q: Thank you so much for sharing these insights with me.

Interview with Le Dieu Anh

Date: 19.03.2012

I Experiences with citizen/ grassroots participation

Le Dieu Anh is the national coordinator of ACCA Asian Coalition for Community Action.

The beginning of the recording was disturbed and could not be restored.

A: Very specific project; it depends on the very specific project. And in some project there is some kind of compromise from the government in the planning standards, in the urban planning. Because usually, the planning has already been done, the master plan is already done before the community integration takes place. So, one example is in the District 10, there they wanted to do something by the community, provided that the master plan already there. How we can ... and ... the district government to do the way that the community people want to do; not what the city wants to do, or the district wants to do, but what the people want to do. That is the first thing.

But in the framework of this, CDF network in Vietnam in the new agreement with the Cities Alliance, we want to have kind of the city participative policy in urban planning with community participation.

We now want to have a city case; a community case. Like in ... Tan An (?). Tan An (?) has the housing problem. But this is a dream, they still don't know how to do that. And there is a way that we want to that and we show them that is the way to do. So, we can help. And by doing so, of course they have to reply...

For the District 10 we are approaching the city. They already have the plan, master plan, the detailed plan. So, if we change the planning they have to ask the higher level, like the DPA, about that. So, that is the process to discuss.

The key thing is that we want to choose one city, to do it from the beginning, that the government plan is designed with the participation of different stakeholders. Not limited to physical planning, but development planning.

Q: That sounds very reasonable. So, what is now the government doing? In Vinh for example?

A: In Vinh, in Vinh City it started first with the case – the case that we know. Because Vinh City has more than 150/60 (?) collective housing. So, but now we come to Vinh City to have overall programme, for all the collective housing; not in the centre, not for high-rise but for the middle and low- rise. All the demanding on that we can share experience and can know, I mean can learn them and can have a programme how to do that. That should be associated... Because the first project that we had ... but now, the city, the CDF now, at the city level, doesn't have any help. So what... that is only for helping chose, not for others.

Q: So, how do you start? What is the first step and what are the following steps?

A: So far the first step is that we talk to the government, to the city government, for example. But now we started in a different way, we started from the community people. Asking them... so that they concern they have their own fund. (...) So we can talk about the financial situation and the government. We don't need money and we explain that they do all by themselves; either the housing or whatever. They have to present, the community shall present their own plan and the step that they want to do and how they want to do;

kind of a proposal, programme proposal to the government, to the financial institutions.

Q: And then it is approved?

A: Yes, and once it is approved, the community can go ahead. (...)

Q: So, you integrate the community in all planning phases? In assessment, planning, budgeting, decision-making, ...

A: and saving resources...

Q: implementation, monitoring and evaluation?

A: Yes. For evaluation we will not do it the way that the normal project will do. The community will do the assessment by themselves. By learning from other communities and replace what they have been doing. So, not by external one.

Q: Do you face any constraints in Vietnam? I mean by working with community?

A: Yes. Not by working with communities, the constraints with working with the government. Because the government has the planning law. There are all the procedures how the planning is done and ...; it is done by the Ministry of Construction; that means this is a mono-disciplinary, not multi-disciplinary. (...)

The World Bank, or Cities Alliance or (...), they have done city development strategies for a few cities here in Vietnam. But they don't get into implementation; that means; it is just a study, a paper to put in the desk.

But the ... of the Cities Alliance will be done at the ministry also; so we will ... first, it is not according to the law; we plan to do the pilot in order to prepare, to suggest the procedure, the process for the participatory planning for the ministry.

Q: That sounds very interesting. Do you also integrate civil society organisation? I mean who does the grass-roots work? The community architect?

A: Not only the community architect. Because this is the city planning strategy, so, it includes many things, we need to involve many people from other area, not only urban planning.

Q: What is your vision for the future?

A: In urban planning?

Q: In participatory planning.

A: I think from the process that we are doing now, the participation of the community is not there (?)... but to ... it can really take a long time. I think we study some other incidents in other cities. I think this is the must to do for Vietnam, if the country wants to have the kind of support to push the development. And also to some extent politically; the party needs to strengthen the image in the population.

Q: So, just for the recording, you are the national coordinator for ACCA?

A: Yes, for Vietnam.

Q: I have met Xuan and she has told me that you have founded your own NGO. Is that true?

A: I wanted to do so, but when I worked with this I am really overloaded.

Q: Is there anything else you want to share. Because normally, I ask people what they do and how far the grassroots democracy decree influences their work; I ask about their experiences. With you it is different, because I know that you believe in citizen participation.

A: Yes.

Q: So, is there anything you want to share, maybe on the capacity of community or any anecdote?

A: First of all about the capacity of community, that is immense. Last time we organised a meeting with the team from Cambodia, to visit the community in Da Nang City. They have a lot of initiative, (...). Some initiative can be integrated and coordinated, for example as a policy. For example, if a woman, a poor woman, can save 500000 Dong, then the city will give more 500000 Dong, one – one, to set up their own fund. For income generation. So, in that case, we can integrate, we can see these initiatives and we can coordinate the initiatives.

Q: What about Ho Chi Minh City? I followed the presentations and there is no project in Ho Chi Minh City.

A: In Ho Chi Minh City there are many interest groups...

Q: So, economic development is much more important?

A: Yes... somehow, somewhere there are factors... in the District 10... it makes more difficult to do that. So, now we want to try District 10, where there is a woman... now she is the deputy of the government So, she also wants to do something. Not only one project, but district wide. And district wide here can be city wide somewhere else. So, there is one student now spending internship there, so we wanted to join us in Da Nang, and we come back we can see how to do.

Q: This is very interesting, because on Monday, I talked to a lecturer from university, teaching urban regeneration, and who wants to encourage her students to apply the participatory approach and to work with community. And the students are not concerned.

Q: So, all the other countries that you visit frequently, like the Philippines or Thailand... do you think it is because of the specific political situation of Vietnam that it is so difficult to set up participatory planning in Vietnam?

A: I think it is almost similar. Like when we visited ... City in the Philippines... the communities there are not at the level like in Manila, for example. I think there is something similar between the cities and the countries.

Somewhere the communities are strong, the government is weak. Somewhere the government has the strong control and the communities are weak. But I think the challenge in Vietnam is more, as it is very rigid in the way of thinking. But in other countries, like the Philippines, donation defines the action. Their political fate is related to the fate of the people. So, that is challenging.

Q: I have one more question, which is more related to the process. If you do a project with community, how does it exactly work? In the presentation, I saw different phases, for example the survey, then there is the community information, then there is the second survey... so, do you have experience yourself?

A: Yes.

Q: Here in Vietnam?

A: After learning experience from other countries.

First, we started like in Tam Binh, first of all we started with city wide mapping, with community participation. We identified the areas with housing issues and infrastructure problem. On the city level, all the wards. Not precisely, like number of households, number of members, we order from census, but close to the reality. And that is by the community representative, not by the government officials in the urban area.

Second step, after the identification we did the scoring, poverty scoring card, and then we ranked them according to the score. And after ranking, we had a meeting with the representatives. And we also introduced community housing and the urban upgrading and then we asked, them, why are those highly ranked weaker in community saving? Three components, community saving, community process in the upgrading and housing process To see which are interested. So, that is one question, one choice. So, the community chose this. And it ends up with a proposal.

Q: ???

A: No, the community wants to do first and then we give them guidance. They have to have a community meeting. They really want to do the way that we did for that project. There were many pictures.

A: And after that we started to bring it to the city to learn experience of the communities, how to be housing project, how to do community saving. We also had to discuss all the technical things, about measuring, (...)

And then they just started. And they do it. And they discuss about the budget they have, about payment. And for the construction they also have some vision.

They ask themselves, because they want to save money.

I want to tell you a bit, some information. Recently the ... for Restoration (?); they want to ... funding for ACCA project. They say that this way of community fund; that this is ..., very very ... and that is the movement of Asia. And that is the way that they also want to mobilise the money... So they ask the DIG, Development Innovation Groups, to come to visit three countries in Asia within the ACCA network; Nepal, Sri Lanka and Vietnam, to learn how the community fund works. Because it is really a kind of mobilising... it is a different kind of organisation. It is different from co-finance by the government. They said that they want the meta-funds. (...)

I was about to talk about meta-finance. That is what we want to do in planning and political... and this is the way how to really level-up; together they can have fund. They have their own fund and we are going to set-up regional fund, national fund. (...)

Because now the community development fund is managed by the government;

Q: So, I guess, I will have some further questions, but I will ask you per e-mail. So, thank you very much for the interview.

Interview with Pham Thuy Duong

Date: 16.03.2012

I Experiences with citizen/ grassroots participation

II Relevance of citizen participation in urban planning/ regeneration and/ or cc adaptation

III Integration of citizen participation into urban planning/ regeneration processes and/ or cc adaptation

Q: In which position do you work? Where and on which level?

The recording was interrupted unexpectedly.

Q: For the recording I summarise your answer to the first question which was not recorded: Daisy (Pham Thuy Duong) works for the German GIZ in Soc Trang Province, at a local level project, focusing on co-management. Can you tell me more about co-management, please?

A: In a co-management project, we encourage the participation of the local people and the state/ government. We do not support the traditional concept, the state management of the mangrove forest; there is a model where the state has a contract with the local people according to which the local people are responsible for the management of the mangrove forest. Our work is individual, we foster the cooperation of the state and the local people; and we facilitate the process. Participation in co-management involves the people, the local authority and many different stakeholders.

Q: In the co-management process, there is the community on one side and the government, the local government, on the other side; and you are the mediator or facilitator. Is that correct?

A: Yes.

Q: What other stakeholders do you integrate in this process and what do they do? What is their task or responsibility in co-management?

A: Beside the state and the local people, it is also, the local authority here they also have some technical assistance (agency); this is also related to the state, but let us consider it as a technical assistance from the DARD, Department of Agriculture and Rural Development, at district level and also at the province level. They are in the district project team as a technical agency; and also we have the local authority as the head of the People's Committee of the commune. With co-management, we just start at the village level, on the grassroots level.

We have a start-up group, a kind of a core team. And in the core team, we have the head of the village, the local of the district project team; and there are the people from DARD, but at the district level. And DONRE,

in some villages. And also one representative of the Women's Union, the head of the village and the head of the commune. The head of the commune is higher than the head of the village.

In addition, the leader of the Farmers' Association is a member of the start-up group as well; there are two groups of sugar planters and farmers, somehow; they are also represented in the start-up group. Moreover, representatives of the state, from the technical agency, are also part of the start-up group.

The start-up group as such brings together the representatives of these different stakeholder groups, the local people and us, the GIZ project officers.

Q: And do you also integrate representatives of the community?

A: Yes, the head of the village. But, we work with the local people as well. They are in the core team which we come to meet, in the meeting with the local people.

Q: So, this is the start-up group.

A: Actually, our project has many activities; co-management is just one key activity of the project; we also have environmental awareness activities and also we support the plant cooperative, because in the long-term for co-management we try to have the plant cooperative as operation partner. Because, this will provide financial support for co-management in the long term. We have to think of the financial sustainability, the project has to run by itself. When the mangrove forest is protected, well managed by co-management, the clam cooperative will gain more benefit from the forest; the clam cooperative will have more clams. So, the clam cooperative will receive the non-monetary benefit from the co-management and again, they have to again contribute the monetary benefit for the co-management process.

Q: In the project, if you have the start-up group, the core group, then what does the community do? If you have this start-up group, what happens next?

A: We as project officers have the responsibility of mainly presenting the approach of co-management and we facilitate the start-up group. In the start-up group there are the representatives from many stakeholder groups; if they understand about the benefit of co-management, they, as the key persons, will disseminate the idea to the organisation that they are representing. And they will help us a lot in organising meetings with the local people. In the start-up group we have the head of the commune and the head of the village, so they will organise meetings with the local people.

Q: So, the members of the core group disseminate the idea and contribute to awareness raising...

A: We, as project officers, also have to be present during the dissemination activities; they will not do it by themselves, we attend any meeting and we give them support.

Q: Does this core group decide anything? How to address a special problem?

A: We already have one co-management model already running in Au Tho B village; I joined in the second phase.

I just recently started one co-management site in Cù Lao Dung; the project is in the first phase/ step of Consultation.

Co-management is based on four steps: the first step is Consultation and Organisation; in which we assemble the start-up group and talk a lot with the local people in order to raise awareness on the purpose and operation of co-management. In this phase people have to voluntarily agree to join the co-management project. It is important that the decision is made without pressurising the people; the participatory process is essential. After the people's agreement, they join the co-management group.

The second step is Negotiation. In this step, we work with the local people and we form another group, a kind of management board; not all people from the start-up group will be in the management board.

Here I come to your question; the decisions which are made should be made in a participatory process, as

many stakeholders as possible should be integrated. The management does not decide; it is just a group of representatives of the stakeholders.

Then all representatives of the different stakeholders work together in order to formulate a regulation. One important principle of co-management is zonation; where should be a protection zone, where should be sustainable use or where should be the regeneration tree planting. So, there are different zones and it should be agreed by all the representatives. But the Negotiation step is not only about zonation, it also broaches the issue of tools which people use. The regulations formulated set rules which tools can be used in the mangrove forest. In the protection zone, for example, any tools are strictly prohibited. In the zone for sustainable use, the use of some tools is allowed while others are restricted. When the regulation is drafted and approved by the authority and agreed on by the local people, the second step is finalised.

The subsequent step is Implementation. We inform people about the zonation and about the regulations so that people agree and work accordingly.

Q: So, it is like a cycle?

A: Yes, it is like a cycle.

Q: Which step is the fourth one?

A: Monitoring and Evaluation. So that we can adjust.

Q: Are you working according to Capacity WORKS?

A: I have heard about this, but I did not have the real course on this, yet.

Q: What happens, if in step 3, Implementation, for example, the local people do not agree to what the core group or the management group has decided? You said that the management group informs the people about the regulation about the zoning. Then, what happens if the local people do not agree?

A: I think the people have to agree before. There are four principles of ICAM co-management. The first one is integrated coastal area management; that means we see everything integrated; the second one is participation and information, the third one you already know which is zonation, and the last one is monitoring. Monitoring is one principal and also one step itself. We need participation in every step.

People have to agree in every step; we inform people to disseminate the regulations and to inform the neighbours in order to get their respect for the regulations. Because only the people who are in the co-management they can go to the co-management mangrove forest.

Q: And I assume that you have this core team, and meetings, and representatives of the communities will also have their own meeting with their communities where they do the decision-making; this is how I understand, that the representatives come back to the core group and represent the decision of the community. Is it like that?

A: I have only been in the first step, so I don't know how it will be. As far as I understand it is like we try to integrate the participation of the people as much as possible; we train the start-up group and then together with the start-up group we meet the people and train them. The start-up group is trained many times, because whenever we go to the people they go with us.

Q: Once the regulation is finalised, what do the locals do? Is it just that, I mean practically, is it that they protect or that they do not harm the forest? As you said, there are some zones where they can use tools to work on mangroves or there are some zones that are strictly protected. But is there some active part for the local population, for example, are they planting?

A: Yes. Actually, in the co-management project in Au Tho B there is also the program for forest rehabilitation. The people actively contribute, not only in protection of what is already there but also in planting more.

Q: I learned about mangrove protection also for the preparation of this interview, I heard that also the people

are trained, they are trained to protect the mangroves and they also raise awareness among their neighbours who are not trained. Because if you have only one group of locals who is trained not to harm the forest, there may be other groups, violating the rules...

A: Actually, this is the big problem, the local people participate, but the outsiders, they do not. And one more thing I have to note here. In Au Tho B village the people use the mangrove as a resource. But where I work now in Cù Lao Dung, mostly people do not use the tree, the plant as a resource. Instead, they use the aquatic resources; that means the aquatic resources benefit from the mangrove co-management. They do not touch the tree; that is the difference. In Cù Lao Dung island, the mangroves are bigger and they are better protected than in the Au Tho B village. People there have the tradition of protection. Before there was a kind of state farming in Cù Lao Dung island; nobody cut the tree, otherwise they would have been caught by the ranger. People only collect aquatic resources like fish, crab or shrimp.

But in Au Tho B village, the people do not have much experience with mangroves; there is no tradition like in Cù Lao Dung. In Au Tho B, the people are poorer than in Cù Lao Dung; that is why they do not use aquatic resources only, but also the mangroves. The important point is that the people in Au Tho B village only had narrow mangroves before the project started or even none; that is why they did not know about the benefit of mangrove forests. By joining the co-management project, they got to know and they see the difference. Before, the area was very vulnerable to storm, now the mangroves protect the area; and also the aquatic resources were much less than now. The people see the difference; they experience the benefit of co-management and that is why they are convinced.

We just started the project in Cù Lao Dung; the mangroves forest has been there for a long time; that is why people will not see much the difference. The people in Cù Lao Dung are in charge of protecting the mangroves; before joining the co-management project, they did not notice the necessity of protection as the forest was there and the people were protected by it.

Q: According to your response or your reply, I assume, that you have many positive experiences with people's participation. Is that true?

A: We have positive experiences; the local authorities in Soc Trang are quite positive and motivated; they really want to cooperate with us. In Ho Chi Minh City, in contrast, it is not easy to get the cooperation from the local authorities.

But the people at the local district, in the local district project team, and at DARD province at province level, they are very willing to work with us and they really want to have co-management. So, this is very positive.

But we also have many challenges; in reality the people's awareness is still low. Many people are Khmer, they do not understand Vietnamese. In Cù Lao Dung I don't have many problems, but in Au Tho B, they need a translator. And people there are very poor; they have many other priorities than forest protection, especially food production is more urgent. This is also a challenge, but the people are very sincere.

We also face problems with outsiders. When outsiders come from other provinces to exploit the forest, the locals feel that they cannot do anything. Because in Cù Lao Dung the number of outsiders is higher than the number of the insiders.

Q: Do you also work with civil society? With NGOs for example?

A: In Soc Trang, I think we do not work with NGOs; we work mostly with local organisations and local departments.

Q: I feel that you are overall positive about participatory approaches, despite the constraints. I know you already talked a little bit about this, but I have a specific question. In your project, where do you integrate the community? In which phases? I know you have the community's representatives in the core team and later on in the management team; but where do you integrate the community itself, the local people, not only the representatives? In assessment, planning, decision-making, budgeting, implementation, operation and maintenance, monitoring and evaluation? You can also refer to the cycle.

A: Our project is not an urban planning project, so we only work in co-management of mangrove forests. So, we have only four steps. Like Consultation, Negotiation, Implementation and Monitoring; and from what I know, from Au Tho B village, we try to integrate participation in all of the four phases. But of course, this is an ideal situation. In reality, it may not be as perfect, due to many problems.

As I said in the first step, it is very clear that all people join the co-management process; but the co-management is voluntarily, so, not all the people of the village will join the co-management. It is voluntarily, so we cannot say that all the people in the village participate. But of course, we try to expand it; the more people join the better.

So, Consultation is our first step. We meet all the people who belong to our target group and we talk to them. For example in the start-up group there are eight people, including us two, so ten people. We come to talk to about 60 people (one household is represented by one person). This is not the entire population of the village. Our group is quite small; we have only 60 people, so I think we can integrate them in any step.

Q: According to your experience, what capacities does the community have or do local people have? What can they do or what can they contribute to the process?

A: Firstly, especially in the Consultation process, the people can contribute their own experience, local knowledge. That is why it is important to work with local people, because they are the ones who live in the area; they know the area, the situation and their reality.

The technical team on district level, they have theoretical technical knowledge; but the local people have practical knowledge.

Especially in the zonation activity. We would need a map while local people know where the forest should be protected. The people have local knowledge about the area, about the biological system, about the animals, which aquatic resources are available, and when, at which time of the year, in which season. They can contribute in the formulation of the regulations, this is very important.

And after agreeing in the Negotiation phase, the local people will put them into action.

So, I think, the local knowledge on the area, on the seasons and on the resources is very important for co-management.

Q: But then which capacities should environmental planners or urban planners have, who deal with participation, who deal with local people.

A: I think the communication skill is important, how to talk to people. And not only talking but also listening to people. Co-management is a participatory process; that is why we have to listen to each other.

And planners should also have an open mind. Because planners have to work with different stakeholders in order to bring them together. So, one has to have an open mind and respect for different ideas and for diversity. We are the facilitators for the integration of different stakeholders. And we need negotiation and conflict solving skills, to resolve conflicts between different groups of stakeholders. And planners need to have presentation skills of course; because we have to talk a lot with the local people. Talking to local people is different; farmers are different from students. So, we do not use powerpoint but flip charts and we talk face to face. And we try to make them enjoy the meeting, like talking to them as normal as possible and trying to be among the people, not separate from them.

Q: This was already my last question. But I would like to encourage you to share with me any other idea or any other point which I have not asked before. So, any opinion or anything, which is related to participation and co-management.

A: I want to add something to the previous question, about the step Monitoring and Evaluation. We can integrate participation in a way that the people themselves will recognise violations. They then will inform the head of the village or the head of the management board. In co-management we apply the approach of participatory monitoring, by the grassroots level. Not only the ranger does the monitoring, but also people.

So, I just want to comment about participation; not only about my project but about its role in Vietnam. I think co-management is a quite new approach in Vietnam. Traditionally, we used to have state management; or in another way, the state had a contract with the local people. That is why we have a lot of challenges now; challenges in the way that people already have the mind-set of the top-down approach. It is very difficult to change it.

That is why in the process, we constantly have to remind the people, especially the local authority, that co-management is a participatory process; it is not related to ordering or commanding.

We try everything to guarantee that co-management is a participatory process. Even when we chose place and time for meetings, we try to concern all the people; we listen to the people and respect their idea; they chose by themselves; even if we should divide the group into sub-groups or we remain in one group. The local authority would normally divide the group without considering the people's opinion, but we don't want to act this way. We want to ask the local people, and if they agree, we do that.

This is a new approach which requires a new mind-set; this is a challenge.

In Vietnam, we have a long history of top-down planning and now it is quite a challenge to apply a bottom-up approach.

But I think it is necessary. We try to empower the people so that they can cooperate with the ranger. In Au Tho B this approach is already successful. People see the ranger as a friend, not as a higher-level authority; this is what we want to achieve. I think participation is very good as it empowers people. It is related to democracy but maybe this is a bit off topic...

Q: Not at all...

A: In Vietnam, some groups also call for participation and for democracy. This is a good development if these groups have positive intentions for the common goods; but some groups take advantage of the concepts of participation and democracy for their own interests. But if it is real democracy is very good.

Democracy needs public awareness; only when the public awareness has reached a certain level, it has a good outcome. Because different groups want to raise their voice; and only when the public awareness and the education level is high enough, people's opinions can be harmonised; people need to respect each other and listen to each other. There is still a long way to go.

The first step is raising public awareness, and education of people about the human rights, about environmental issues. Otherwise, people cannot participate satisfyingly in participatory budgeting or participatory planning. Participatory meetings are hard to handle; the more people there are in a meeting, the more difficult is it to moderate. I think that it would be good to have a leader for the meeting in order to curb the discussion.

The participatory process is applied as a site-specific solution; we do not apply the participatory process in all situations. But participation or the participatory process in general is good.

Q: This raises another question, just a short one. Which ministry on which level approves the activities of the GIZ in Soc Trang?

A: Our projects are approved by DARD (Department of Agriculture and Rural Development) at the provincial level. Actually, we also work with DONRE, and we also have meetings with the Department of Planning and Investment. But DARD is the main partner. DARD has many sub-departments like the Department of Forest Protection and the Department of Aquatic Resources. DARD is like an umbrella for many different departments.

Q: Thank you very much Daisy, this interview was very interesting!

ANNEXE II

Climate Change Related Activities in Vietnam

Based on

World Bank (2010a): Climate Change Activities in Vietnam. [excel-sheet] (URL: <http://web.worldbank.org/WBSITE/EXTERNAL/COUNTRIES/EASTASIAPACIFICEXT/EXTEAPREGT-OPENVIRON-MENT/0,,contentMDK:22422610~pagePK:34004173~piPK:34003707~theSitePK:502886,00.html>) [accessed May 2014])

List of Figures

Fig. A2- 1: Timeline of Climate Change Related Activities in Vietnam
– Implementation (Part 1).....1

Fig. A2- 2: Timeline of Climate Change Related Activities in Vietnam
– Implementation (Part 2).....2

Fig. A2- 3: Timeline of Climate Change Related Activities in Vietnam
– Funding (Part 1)3

Fig. A2- 4: Timeline of Climate Change Related Activities in Vietnam
– Funding (Part 2)4

List of Tables

Tab. A2- 1: Climate Change Related Activities undertaken in Vietnam.....5

Tab. A2- 2: Investments in Climate Change Related Activities undertaken in Vietnam16

1. Timeline of Climate Change Related Activities in Vietnam: Implementation

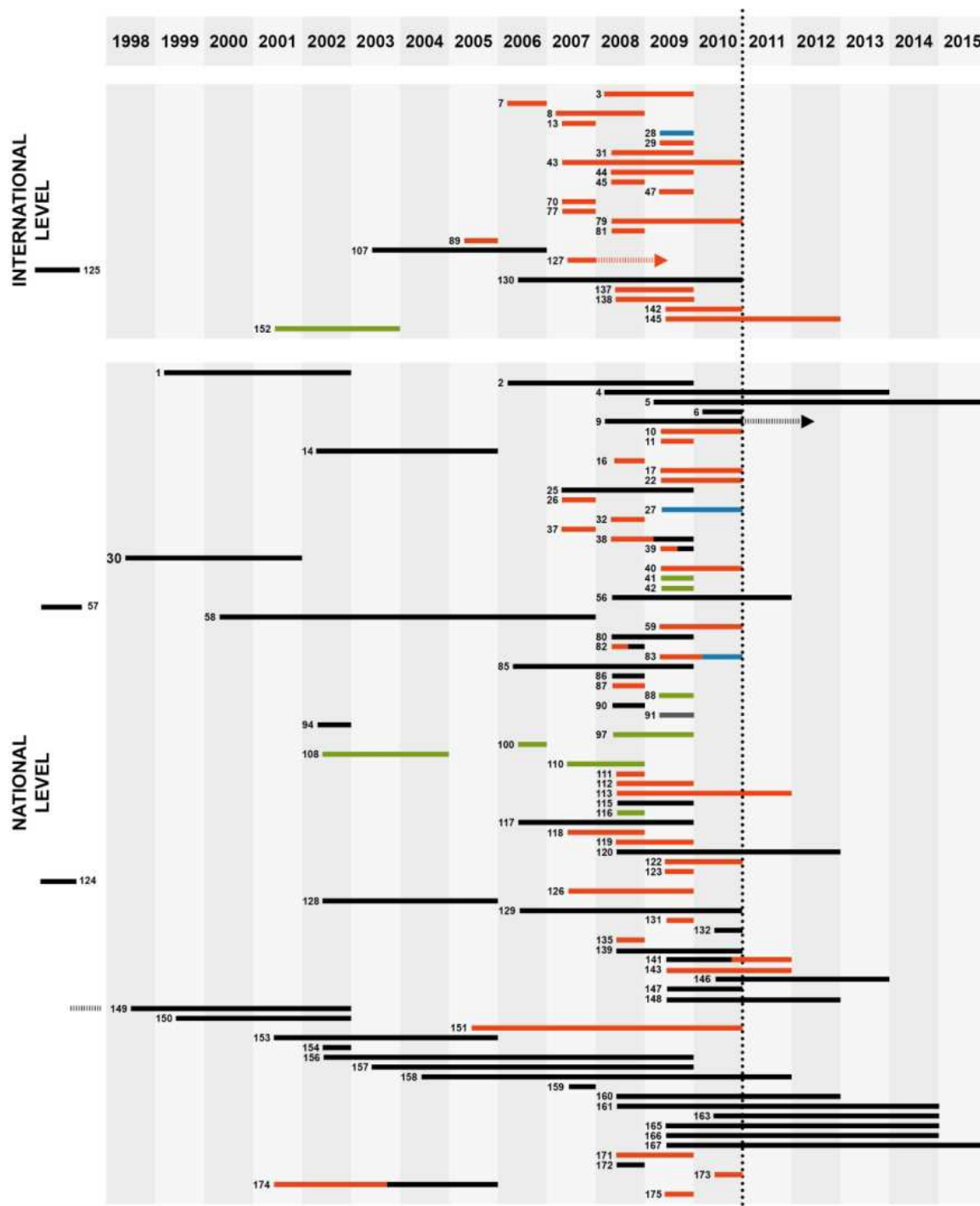


Fig. A2- 1: Timeline of Climate Change Related Activities in Vietnam – Implementation (Part 1) (based on World Bank 2010a)

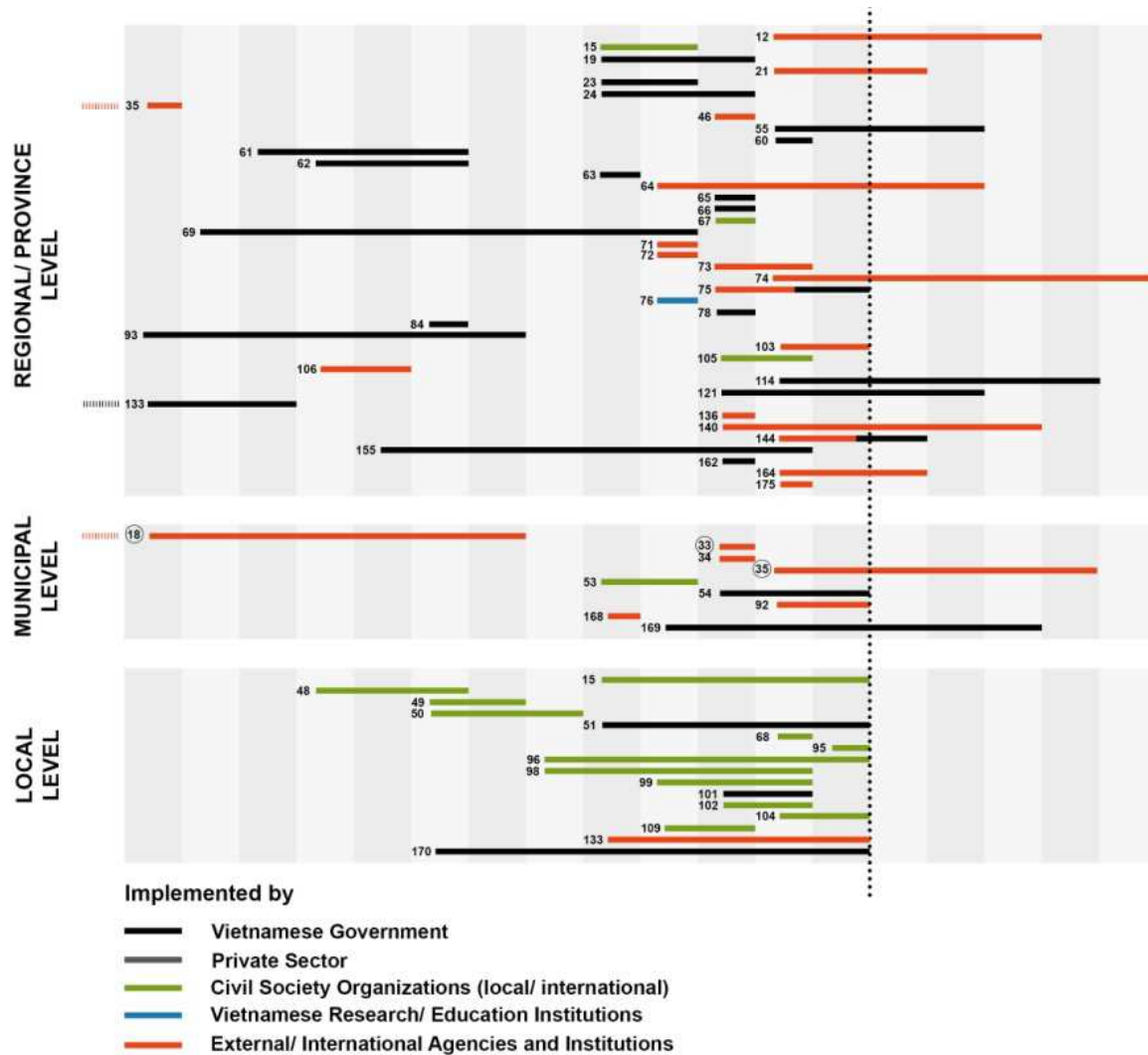


Fig. A2- 2: Timeline of Climate Change Related Activities in Vietnam – Implementation (Part 2)
(based on World Bank 2010a)

2. Timeline of Climate Change Related Activities in Vietnam: Funding

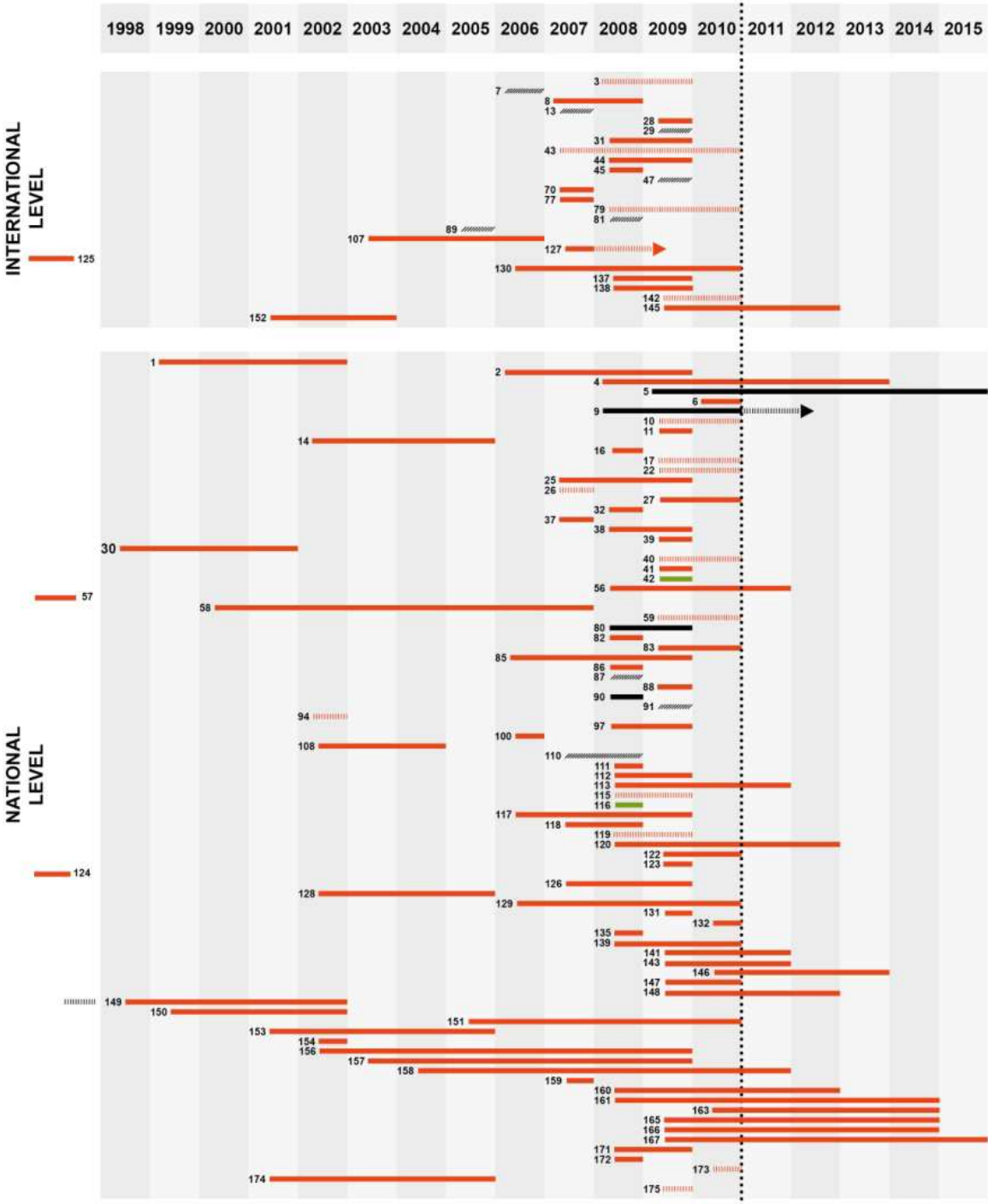


Fig. A2- 3: Timeline of Climate Change Related Activities in Vietnam – Funding (Part 1) (based on World Bank 2010a)

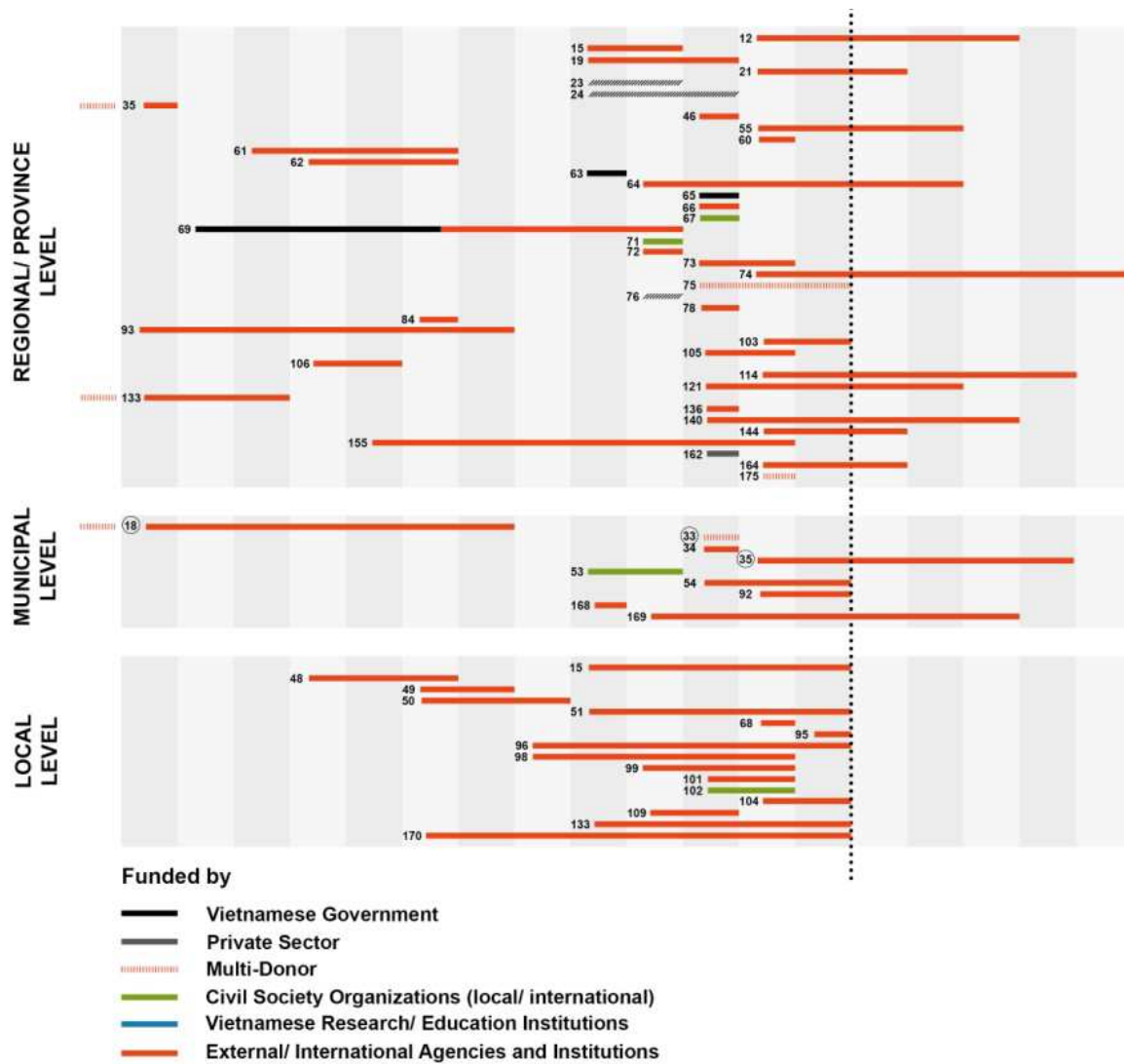


Fig. A2- 4: Timeline of Climate Change Related Activities in Vietnam – Funding (Part 2)
(based on World Bank 2010a)

3. Climate Change Related Activities

Tab. A2- 1: Climate Change Related Activities undertaken in Vietnam
(based on World Bank 2010a)

No. Title of Activity

General

1	Vietnam Initial National Communication to UNFCC
2	Preparation of the Second National Communication to the UNFCCC
3	Climate Change vulnerability mapping for southeast Asia
4	Support to NTP (National Target Programme on Climate Change)
5	National Target Programme on Climate Change
-	Regional Climate Change Initiatives
6	Vietnam Assessment Report on Climate Change
7	Final Technical Report: Assessment of Impacts and Adaptation to Climate Change in Multiple Sectors and Multiple Regions (AIACC): Regional Study AS07

Adaptation – Agriculture

8	Linking Climate Change Adaptation to Sustainable Development in Southeast Asia
9	Develop an Action Plan Framework for CC Adaptation and Mitigation of CC of the Agriculture and Rural Development
10	Economics of Adaptation to Climate Change (EACC) – Agriculture and Water Sector Study in Vietnam
11	Agriculture and Climate Change
12	Helping poor Farmers in Rice-Based Systems in the Mekong Delta of Vietnam Adapt to Climate Change
13	Climate Risks and Rice Farming in the Lower Mekong River Countries

Adaptation – Forestry

14	Forestry Sector Support Programme
15	Reforestation to Adapt to Climate Change in Quang Binh
16	Assistance to Forest Protection Department on Forest Management

- 17 Economics of Adaptation to Climate Change (EACC) – Forestry Sector Study in Vietnam
- 18 Social Forestry: Mangrove in Can Gio District, HCMC
- 19 Mangrove Management Information System
- 20 Mangrove Management and Reforestation
- 21 Sustainable Management of Forest Ecosystems for Coastal Protection in Bac Lieu Province Project

Adaptation – Fisheries

- 22 Sector Review of Climate Change and Aquaculture in Vietnam (EACC)

Adaptation – Water

- 23 Build Drought and Water Scarcity Map in Southern Center and West Highlands
- 24 Build Flashflood Zoning Maps
- 25 Impacts of Climate Change on Water Resources and Adaptation Measures
 - Impact of Climate Change on Rural Water and Sanitation
 - Report on Impacts of Climate Change and Sea-Level Rise on Water Resource Use
- 26 Water Sector Review
- 27 Developing Integrated Catchment Management Strategies for Sustainable Water Use in Response to Climate Change
- 28 Evaluating the Connections and Contributions of Climate Change Vulnerability Assessments to Adaptation Strategies in the Health and Water Sectors

Adaptation – Health

- 29 ASEM Workshop on Sharing Experiences on Preparedness to Response to Global Climate Change and Emerging Diseases

Adaptation – Energy

- 30 National Hydropower Masterplan Study – Stage 1
 - Estimating Global Climate Change Impacts on Hydropower Projects: Applications in India, Sri Lanka and Vietnam

Adaptation – Urban Areas

- 31 Climate Change Resilient Cities: A Primer on Reducing Vulnerabilities to Climate Change Impacts and Strengthening Disaster Risk Management in East Asian Cities
- 32 Assessment of Impact of Climate Change on Design of Drainage Systems in Coastal Cities in Vietnam
- 33 Climate Change Impact and Adaptation in Asian Coastal Cities. In Vietnam: Study of Climate Change Impacts and Adaptation in Ho Chi Minh City
- 34 Asian Cities Climate Change Resilience Network (ACCCRN)
- 35 **Megacity Research Project TP. Ho Chi Minh**

Adaptation – Social

- 36 Socio-Economic and Physical Approaches to Analyzing Climate Change Impacts in Viet Nam
- 37 Human Development Report 2007/ 2008. Fighting Climate Change: Human Solidarity in a Divided World
- 38 Evidence Based Natural Disaster Risk Management, an Empirical Application from Vietnam
- 39 Scoping Research on Climate Change and the Poor in Vietnam
 - Institutions and Gender-Differentiated Vulnerability to Floods in Central Vietnam
- 40 Economics of Adaptation to Climate Change (EACC) – Social Issues Study in Vietnam
- 41 Responding to Climate Change in Viet Nam: Opportunities for Improving Gender Equality
- 42 The Impact of Climate Change on Migratory Patterns and Arising Issues Facing Migrant Populations

Adaptation – Economy

- 43 Economics of Adaptation to Climate Change (EACC)
- 44 A Regional Review of the Economics of Climate Change in Southeast Asia (RRECCS)

Adaptation – Ecology

- 45 Climate Change and Conservation Work: A Changing Paradigm
- 46 Climate Change Impacts and Vulnerability in Mekong Delta – A Missing Link between Biodiversity Conservation and Climate Change Adaptation
- 47 Climate Change Impacts on the Conservation of Birds in Asia

- Biodiversity Program in Dong Nai River Basin

Adaptation – Natural Disasters

- 48 Central Viet Nam Disaster Mitigation Project
- 49 Disaster Mitigation and Prevention Project
- 50 Quang Ngai Natural Disaster Mitigation Project
- 51 Natural Disaster Risk Management Project (NDRMP) (P073361)
- 52 Urgent Investment in Improving Forecast Capacity of Hydrometeorology Station for Disaster Preparedness, Especial Focus on Storm Forecast
- 53 Support Disaster Management Programme in Vietnam
- 54 Flash-Flood Control and Adaptation to Climate Change
- 55 Disaster Risk Management Portfolio
 - Vietnam Disaster Reduction Programme
 - NDM-Partnership (Natural Disaster Mitigation Partnership)
- 56 Capacity Building for Mitigation and Adaptation of Geodisasters Related to Environment and Energy Development in Vietnam

Adaptation – Coastal Areas

- 57 Vietnam Coastal Zone Vulnerability Assessment
- 58 Vietnam Netherlands Integrated Coastal Zone Management Project (VNICZM)
- 59 Economics of Adaptation to Climate Change (EACC) – Coastal Infrastructure Sector Study in Vietnam (Ports)
- 60 Climate Resilient Infrastructure Planning and Coastal Zone Development
 - Adaptive Strategies for Coastal Livelihoods most at Risk to Climate Change Impacts in Central Vietnam

Adaptation – Area Specific

- 61 Vietnam Integrated Coastal Zone Management (Nam Dinh, Thua Thien, Hue, Ba Ria, Vung Tau)
- 62 Protection of Coastal Environment in Binh Thuan
 - Climate Change Impacts in Huong River Basin and Adaptation in its coastal District Phu Vang

63	Economics of Adaptation Measures in Dong Nai River Basin
64	Management of Natural Resources in the Coastal Zone of Soc Trang Province
65	Preliminary Assessment of Climate Change Impacts to Red River Delta, Central River Basin, Hai Phong and Hue Cities
66	Strategy and Tasks for Coastal Zone Management and Adaptation to Climate Change in SEMLA Programme
67	Assessing the Implications of Climate Change at the Provincial Level: Ca Mau, Vietnam
68	Assessing Effects of and Responses to Climate Change on Environment and Socio-Economic Development in Mid-Central Vietnam

Adaptation – Mekong Delta

69	Vietnam Coastal Wetlands Protection and Development Project (P042568)
70	Delta Research and Global Observation Network (DRAGON)
71	Drought-Management Considerations for Climate Change Adaptation: Focus on the Mekong Region – Ninh Thuan Province
72	Finance the Completion of the GMS Southern Coastal Corridor (GMS-SCC)
73	Gearing up for Climate Change in the Greater Mekong
74	Climate Change Initiative Framework of the Mekong River Commission
75	Mekong Delta Climate Change Impact and Adaptation Project

Trends of Climate Change

76	Dendrochronology Project
77	The Impacts of Sea Level Rise on Developing Countries. A Comparative Analysis
78	Delta Research and Global Observation Network (DRAGON) Institute in Can Tho
-	Sea Level Rise Scenarios Development
79	Economics of Adaptation to Climate Change (EACC) – Global CC Scenarios
80	Climate Change Scenarios for Vietnam
81	Challenges in Developing Regional Climate Scenarios for Southeast Asia Region

National Scientific and Technological Programme

82	Working Group on CC under Bilateral Science & Technology Agreement
83	Linkages of Academic and Research Institutions with Communities on Climate Change
Capacity Building	
84	Vietnam: Expedited Financing for Measures for Capacity Building in Priority Areas (Phase II)
85	Capacity Building for CC Focal Point
86	Strengthening National Capacities to Respond to Climate Change in Vietnam, Reducing Vulnerability and Controlling GHG Emissions
87	Leadership Institute on Creative Responses to Global Climate Change
-	Enabling Activities for the Preparation of Initial National Communication Related to the UNFCCC
-	Capacity Building for Staff of NRE Sector
88	Capacity Building Program for NGOs in CC
89	Final Technical Report: APN CAPABLE CB-01/02 – Building Capacity of Mekong River Countries to Assess Impacts from Climate Change: Case Study Approach on Assessment of Community Vulnerability and Adaptation to Impact of Climate Change on Water Resource and Food Production (2003 – 2005)
90	Providing Special Loans for Promoting Cleaner Production and Energy Efficiency in Industry
91	Vietnam Business Council for Sustainable Development: A Business-Led Initiative
92	Leadership Training for VN City Officials
93	Support to the Disaster Management System in Vietnam
94	Natural Disaster Mitigation Partnership (NDMP)
95	Coping with Disaster and Climate Change (CDCC) in Northern Mountains
96	Community Resilience to Natural Disasters in the Mekong Delta
97	Enhancement of Vulnerability and Capacity Assessment in Vietnam
-	Building Disaster-Resilient Societies in Central Vietnam
98	Community Resilience to Natural Disasters in the Mekong Delta
99	Community Based Disaster Preparedness Project
100	Livelihood Recovery after 2007 and 2008 Flood and Cold Snap
101	Awareness Raising and Vulnerable Assessment in Coastal Vietnam: Case Study in Giao Thuy, Nam Dinh
102	Community-Based Adaptation to CC in Quang Tri Province

103	CC Policy Formulation and Advice to Provincial and Civil Society Organizations
104	CC Awareness Component in Community-Based Governance Project in Can Bang
-	Community-Based Adaptation to CC in Nam Dinh Province
105	Climate Change Adaptation Survey
-	Strengthen the Integration of Community-Based Disaster Risk Reduction and Climate Change Adaptation (SICCA) in Son Tay Area Development Program (ADP)
106	Capacity Building in Coastal Management
107	Capacity Development for CDM
-	Capacity Building for Improving National Green House Gas Inventories

Awareness-Raising

108	VACNE Environmental Report
109	Tree Planting Campaign
110	VGBC – GCI Joint Training and Research Project: Sustainable Climate Change Adaptation Building and Planning
111	Awareness Raising for Vietnam National Assembly on Climate Change Issues
112	Awareness Raising Material
113	MediaNet Programme
-	Changing the Organizational Climate: Reducing Global Warming through the Strategy of Behaviour
-	Community Based Adaptation to Climate Change and Policy Linkages

International Cooperation

-	NGO Climate Change Working Group Vietnam (CCWG)
114	Sector Budget Support to NTP: Adaptation Component
115	Preparation Workshops for the VN Delegation for COP 15
-	Internal CC Strategy of World Bank
116	Climate Change Stakeholders Mapping and Policy Analysis

Mainstreaming

- 117 Support to Formulation of a Law on Energy Conservation
- 118 Integration of CC into Land Use Planning
- 119 PRSC 8 (Poverty Reduction Strategy Credit)
- 120 Mainstreaming CC into Socio-Economic Development Planning
- 121 Policy Measures for Investments for GHG Emission Control
 - Integration of CC into SEA process
- 122 Capacity Building on Mainstreaming Climate Change APN Issues into Administrative and Legislative System in Vietnam
- 123 Viet Nam and Climate Change: A Discussion Paper in Policies for Sustainable Human Development

Mitigation – General

- 124 Climate Change in Asia: Vietnam
- 125 Asia Least-Cost GHG Abatement Strategy (ALGAS)
- 126 Capacity Building for Carbon Finance (CF Assist Program)
- 127 Methane to Markets Partnership
 - Economics of GHG Limitation (Phase 1)
 - Mitigating the Impact of Climate Change and Land Degradation through IFAD's COSOP for Vietnam

Mitigation – Agriculture

- 128 Biogas Support Programme for the Animal Husbandry Sector in Vietnam
- 129 Vietnam National CFC & Halon Phase Out (P083593)
- 130 Livestock Waste Management in East Asia Project (P079610)
 - Reducing Methane Emissions from Paddy Fields through Water Management
- 131 Testing the POA CDM methodology: the Viet Nam Biogas Program
- 132 Transfer and Demonstration of Medium to Large Scale Biogas Digesters in Viet Nam
 - Partnership Development for Market Access and Climate Change Activities

Mitigation – Forestry

133	Rehabilitation of Mangrove Forests in the Mekong Delta
134	“Golden Forest” Project
135	Carbon Market Survey
136	The National Trial PES Policy (Decision 380 of the Prime Minister in 2008)
137	Understanding REDD: Implications for Viet Nam, Laos and Nepal
138	Managing Forests in Mekong Countries for REDD
139	REDD Participant Grant
140	Forest Carbon Estimation Method Study
141	Improved Forest Management: Integrating VCS and FSC
142	UN-REDD
143	Screening of Forestry Land Suitable for Carbon
144	Pro-Poor REDD Pilot Project
145	Poverty and Sustainable Development Impacts of REDD Architecture
146	Sustainable Land and Forest Management
-	REDD-Net
-	REDD Network of Vietnam
147	Collecting Information and Analyzing Trends of Forest Resources and Forest Carbon Stock for Establishment of the Interim Baseline Reference Scenarios
148	Development of Management Information Systems for the Forestry Sector (FORMIS)

Mitigation – Energy

149	Vietnam Energy Conservation Program
150	Phase 1 DSM Program
151	Energy-Efficient Public Lighting
152	Promotion of Awareness of Energy Conservation and Renewable Energy Among Women in Viet Nam, Laos and Cambodia
153	Promoting Energy Conservation in Small and Medium-Sized Enterprises (PECSME)

154	Renewable Energy Action Plan
155	System Efficiency Improvement, Equitization & Renewables (P066396)
156	System Efficiency Improvement, Equitization & Renewables Project (GEF Renewable Component) (P073778)
157	DSM Management & Energy Efficiency (P071019)
158	VN-GEF Rural Energy II (P080074)
159	Supporting Implementation of the National Energy Efficiency Program
160	Removal to Implement Cost Effective Energy Efficient Standards and Labeling (BRESL)
161	Phasing Out Incandescent Lamps through Lighting Market Transformation in Vietnam
-	Reducing GHG Emission by Using Wind Power for Electricity Generation in Coastal Areas of Central VN
162	Jatropha Development in Vietnam
-	Improved Cooking Stove Programme with Climate Change Issue in Energy Management & Improving Quality of Life for VN Rural Population Communities
-	Energy Efficiency in Commercial Building EE
-	Energy Access for Sustainable Energy of the Poor
163	Energy-Efficiency Improvement in the Public Building in VN
164	Wind Energy
-	United States Eco Asia Program
165	Sector Budget Support to NTP: Mitigation Component
166	Vietnam Renewable Energy (P103238)

Mitigation – Industry

-	National Energy Efficiency Program Project (TA 7024)
167	Waste Heat Recovery for Power Generation (HRPG) in Vietnam's Cement Industry

Mitigation – Urban

168	Clinton Climate Initiative (CCI)
169	Hanoi Urban Transport Project (P085393)
-	Usage of LPG for means of road transport in Hanoi, HCMC and Da Nang

Financial Mechanisms

170	Small Grants Programme of Global Environment Facility (b)
171	Fiduciary Risk Assessment Mission of the Danish Sector Budget Support Programme on Climate Change Mitigation and Adaptation
172	Vietnam Climate Change Framework Loan
173	Vietnam Innovation Day Climate Change Grants for 2010
174	Vietnam National Strategy Study on Clean Development Mechanism (CDM)
-	Voluntary Carbon Markets for the Poor
175	Clean Technology Fund

Monitoring and Evaluation

176	Testing of Mathematical CC Prediction Models for Selected Provinces
------------	---------------------------------------------------------------------

4. Investments

Tab. A2- 2: Investments in Climate Change Related Activities undertaken in Vietnam
(based on World Bank 2010a)

Government of Vietnam	UN (DP, EP)	Development Banks			EU	Belgium	Netherlands	Germany
		WB	ADB	Multi-Donor				
143.878.788	191.000	75.000	3.500.000	200.000	446.850	177.513	350.000	2.240.000
	405.000	150.000	75.000.000	100.000	1.089.450		25.650	120.463
	4.000.000	86.000.000	2.600.000	100.000	285.000		464.400	4.500.000
	100.000	39.100.000	925.000	200.000	140.000.000		3.314.000	100.000
	4.660.000	100.000	925.000	333.800			57.000	1.400.000
	230.000	40.000		100.000			40.000	
	3.985.594	1.500.000		200.000			1.000.000	
	349.500	1.000.000		100.000				
	3.600.000	200.000		4.300.000				
	10.000.000	100.000						
	25.000	16.600						
	2.300.000	4.500.000						
	3.000.000	18.563.441						
	5.500.000	5.250.000						
	1.000.000	239.400.000						
	10.975.000	9.800.000						
	50.000							
	800.000							
	2.000.000							
	410.000							
	2.600.000							
	1.500.000							
143.878.788	57.681.094	405.795.041	82.950.000	5.633.800	141.821.300	177.513	5.251.050	8.360.463
Denmark	Sweden	Finland	Norway	Switzerland	UK	AusAID	USA	others
517.078	30.000	202.500	2.000.000	5.000.000	150.000	1.000.000	2.000.000	35.000
800.000	300.000	310.000	220.000	40.000	904.200	470.000		438.125
502.776	100.000	200.000			250.000	160.000		1.125.000
450.000	250.000	100.000				300.000		100.000
40.000.000	220.000	223.000				300.000		59.000
	100.000	4.300.000				505.499		70.000.000
	2.800.000					8.134.820		260.500
	133.333					4.000.000		18.375.000
						5.425.500		130.800
						165.000		12.121.212
						220.000		200.000
								250.000
								99.000
								30.000
								50.000
								56.500.000
								120.000
								25.000
								70.000
42.269.854	3.933.333	5.335.500	2.220.000	5.040.000	1.304.200	20.680.819	2.000.000	159.988.637
Government of Vietnam	UN	Development Banks		Multi-Donor	Europe	USA	Australia	others
143.878.788	57.681.094	488.745.041		5.633.800	215.713.213	2.000.000	20.680.819	159.988.637
Investments in in USD		TOTAL						
		1.094.321.392						