



Annual Review 2018
And Final Evaluation of the
UN-REDD Viet Nam Phase II Programme
Final Report

November 8th 2018

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Disclaimer:

The views and opinions expressed in this report are the sole responsibility of the evaluation team members and do not represent the official opinion of UNDP.

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November 2018, Hanoi, Viet Nam and Heteren, The Netherlands, **Hans van Noord and Vu Van Me**

Abbreviations and Acronyms

AR	Annual Review
AWP/B	Annual Work Plan and Budget
ADB	Asian Development Bank
BDS	Benefit Distribution System
CFM	Community Forest Management
CIPs	Co-Implementing Partners
CITES	Convention on International Trade in Endangered Species
CPC	Commune Peoples' Committee
CSMD	Centre for Sustainable Development in Mountainous Areas
CSO	Civil Society Organization
CTA	Chief Technical Advisor
DARD	Department of Agriculture and Rural Development
DMHCC	Department of Meteorology, Hydrology and Climate Change
DNC	Department of Nature Conservation of VNFOREST
dNPD	Deputy National Programme Director (for the UN REDD Viet Nam Phase II Programme)
DoF	Department of Forestry
DONRE	Department of Natural Resources and Environment
DOSTIC	Department of Science, Technology and International Cooperation (MARD)
DPC	District Peoples' Committee
DPI	Department of Planning and Investment (of MARD)
EB	Executive Board (for the NRAP and the NRF)
EC	European Commission
EF	Emission Factors
EG	Executive Group (for the UN REDD Viet Nam Phase II Programme)
ER-PD	Emissions Reduction Program Document
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FREL	Forest Reference Emission Level
FIPI	Forest Inventory and Planning Institute
FLEG	Forest Law Enforcement and Governance
FLEGT	Forest Law Enforcement, Governance, and Trade
FLEGT-VPA	FLEGT Voluntary Partnership Agreement
FMB	Forest Management Board
FORMIS	Forest Management Information System
FPD	Forest Protection Department
FPDP	Forest Protection and Development Plan

FREL	Forest Reference Emission Level
FRL	Forest Reference Levels
FSC	Forest Stewardship Council
GHG-I	Greenhouse Gas Inventory
GIZ	German International Cooperation
GoN	Government of Norway
GoV	Government of Viet Nam
GRM	Grievance Redress Mechanism
GSO	General Statistics Office
ICD	International Cooperation Department (MARD)
IFEE	Institute for Forest Ecology and Environment
INDC	Intended Nationally Determined Contributions
IPSARD	Institute of Policy and Strategy for Agriculture and Rural Development
IPCC	Inter-governmental Panel on Climate Change
JCG	Joint Coordination Group
JICA	Japan International Cooperation Agency
LMS	Land Monitoring System
LULUCF	Land Use, Land Use Change and Forestry (as defined by UNFCCC)
LUP	Land Use Planning
MARD	Ministry of Agriculture and Rural Development
MBFP	Management Board for Forestry Projects
M&E	Monitoring and Evaluation
MoF	Ministry of Finance
MONRE	Ministry of Natural Resources and the Environment
MoU	Memorandum of Understanding
MPI	Ministry of Planning and Investment
MRV	Measurement, Reporting and Verification
NCCC	National Climate Change Committee
NDC	Nationally Determined Contribution (to be submitted to UNFCCC)
NFA	National Forest Assessment
NFDS	National Forest Development Strategy, 2006 – 2020
NFI	National Forest Inventory
NFIMAP	National Forest Inventory, Monitoring and Assessment Program
NFMS	Nation Forest Monitoring System
NIE	National Implementing Entity (for the NRAP)
NIP	National Implementing Partner (for UN Programmes and Projects)
NPC	National Programme Coordinator
NPD	National Programme Director (for the UN REDD Viet Nam Phase II Programme)

NRAP	National REDD+ Action Programme
NRF	National REDD+ Fund
NRIP	National REDD+ Mid-term Implementation Plan
NRIS	National REDD+ Information System
NRSC	National REDD Steering Committee (for the NRAP)
NTP-RCC	National Target Programme to Respond to Climate Change
PaMs	Policies and Measures
PC	People's Committee
PCM	Participatory Carbon Monitoring
PIM	Programme Implementation Manual
PEB	Programme Executive Board (for the UN REDD Viet Nam Phase II Programme)
PES	Payment for Ecosystem Services
PFES	Payment for Forest Ecosystem Services
PFM	Participatory Forest Monitoring
PGA	Participatory Governance Assessment
PMU	Programme Management Unit (for the UN REDD Viet Nam Phase II Programme)
PPC	Provincial Peoples' Committee
PPMU	Provincial PMU (for UN-REDD Phase II Programme)
PRAP	Provincial REDD+ Action Plan
REDD	Reducing Emissions from Deforestation in Developing Countries
REDD+	Reducing Emissions from Deforestation and Forest Degradation in Developing Countries; and the role of Conservation, Sustainable Management of Forests and Enhancement of Forest Carbon Stocks in Developing Countries
REL	Reference Emission Level
RIA	REDD+ Implementation Agreement
RIL	Reduced impact logging
RL	Reference Level
RT	Review Team (for this report)
SBSTA	Subsidiary Body for Scientific and Technological Advice
SEDP	Social and Economic Development Plan
SiRAP	Site-based REDD+ Action Plans
SIS	Safeguards Information System
SFE	State Forest Enterprise
SFM	Sustainable Forest Management
SNV	Netherlands Development Organization
SOC	State-Owned Company
SRD	Center for Sustainable Rural Development
SSCFPD	State Steering Committee of the Target Programme for Sustainable Forest Development
SSCO	State Steering Committee Office

STWG	Sub-Technical Working Group
TFF	Trust Fund for Forests
TWG	Technical Working Group
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme, presently known as UN Environment
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD programme	United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
USAID	US Agency for International Development
VND	Viet Nam Dong
VNFF	Viet Nam Forest Protection and Development Fund
VICOFA	Association of Vietnam Coffee and Cocoa
VNFOREST	Viet Nam Administration of Forestry (in MARD)
VPA	Voluntary Partnership Agreement (under FLEGT)
VRO	Viet Nam REDD+ Office
WB	The World Bank
WWF	World Wide Fund for Nature

Executive Summary

Introduction

The UN-REDD Vietnam Phase II Programme's Objective is: *"To enhance Viet Nam's ability to benefit from future results-based payments for REDD+ and undertake transformational changes in the forestry sector."* The Programme has six Outcomes and focuses on completing the establishment of required capacities and provides technical assistance to build up the emerging REDD+ implementation framework in Viet Nam. It builds essential capacity for REDD+ in national institutions and key stakeholder groups. However, the main focus is on six pilot provinces – Bac Kan, Binh Thuan, Ca Mau, Ha Tinh, Lam Dong and Lao Cai, where the Programme will create the foundations for REDD+ piloting at commune, district and provincial levels. FAO, UNDP and UN Environment are jointly implementing the UN-REDD Programme for Vietnam, whereas the Vietnam Administration of Forestry (VNFOREST), under the Ministry of Agriculture and Rural Development (MARD), is the national implementing partner of the Programme.

Objectives

In line with standing procedures and as expressed in the Programme Document, the Programme requires annual independent reviews and in its last quarter a final evaluation (FE). The Executive Group (EG) has requested a two-stage external review and evaluation process, combining the 2017 Annual Review (AR) to be completed in 2017 and a final Programme Evaluation to be completed in 2018, partially building on the 2017 AR. This two-stage review and evaluation process builds further on the methodological framework of the 2016 AR and thus:

- Assesses responses to past recommendations,
- Assesses effectiveness (progress and delivery), and
- Assesses overall relevance, impact and sustainability of the Programme.

The 2017 AR did not limit itself to activities related to the 2017 AWPB, but reviewed and evaluated the full Programme's implementation up to October 2017 date, but also provided actionable recommendations for the last year of implementation in 2018. Based on the 2017 AR the evaluation team updated the 2017 AR in the last quarter of 2018 into a Final Evaluation Report, adding and consolidating the results and outcomes achieved in the final year of implementation.

The ultimate objective, as stated in the ToR, consists in formulating the final evaluation of the UN-REDD Vietnam Phase 2 Programme. This objective will be achieved, in follow up and addition to the AR 2017 by reviewing 2018's specific progress and by producing a "Programme's final evaluation report" building on the structure and content of the 2017 review report.

The temporal scope of the 2018 AR covers the full period of the Phase 2 Programme, in preparation for consolidation and synthesis in the final evaluation in 2018. The geographic focus will be the whole programme reach, with special attention to implementation in the six pilot provinces. The 2018 AR gives focused attention to the period from October 1, 2017 to September 30, 2018, but considering the annual work plan cycle, the review will focus on the first three quarters of 2018. The scope of the FE in 2018 will be on progress since October 2017 and updating the overall review elements of the 2017 AR.

The main objectives of the Final Evaluation are to:

- Assess Programme performance since the beginning of the Programme (with consolidation of the yet uncovered implementation period since the 2017 AR)
- Assess the level, sufficiency and implementation of the Programme's responses to any outstanding past mid- term and annual reviews' recommendations (in particular the 2017 AR recommendations (10 in total) and the programme's management response to these

recommendations) as well as the directions provided by EG meetings (in particular the EG5 decisions, 6 in total).

- Identify and prioritize measures to improve performance of the REDD+ national process beyond 2018 (Post-Programme), with a particular focus on readiness for RBPs and implementation of the NRAP/NRIP.

Methodology

The AR 2018 and FE made use of several data collection methods, to capture primary and secondary data, spread over three distinct phases. Primary data has been collected by interviews, direct on-site observation, focus group discussions and key informant interviews by the evaluators. Secondary data is collected by review of existing Programme documentation and relevant literature and policy documents. The three evaluation phases are:

1). A desk review phase: in this initial stage of three days, the evaluation team reviewed the recent documentation related to the Programme, including technical reports of consultants and various additional reports, in particular the large collection of documents prepared for the Fifth Executive Group meeting (EG5) and other more recent documents prepared by the Programme in 2018,

2). A field mission phase, of 17 days, to meet the Programme team members in Hanoi, meet key stakeholders at national and provincial level and other partners, and to visit the actual programme site through a field trip to 1 additional pilot provinces, Lam Dong, where activities are developed on the ground. This field visit allowed to better understand the institutional set-up and coordination at provincial level, with the PPMU and the various line department representatives at provincial level, but also the collaboration with district authorities and communes. During the site visit to Lam Dong focus group discussions and fields visits were held with provincial staff working on innovative pilots related to agroforestry, near real-time monitoring of forest change (TERRA-I) and the One Master Plan pilot. For the meetings with the PMU members and key stakeholders, a combination of focus group discussions and interviews were used. At the end of the field mission period in Hanoi the evaluation team presented preliminary findings and discussed main findings to the Chair of the Executive Group (EG), the Vice-Minister of MARD, and to the UN Agencies (and UNDP as client) on October 5th to receive further feedback and guidance in preparation of the draft report and the broader stakeholder debriefing. This stakeholder debriefing presentation was held on 9th of October to discuss key findings and recommendation and get additional guidance and feedback on particular areas of attention in the further development of the draft review report (see Annex 3 for an overview of the participants), and

3) A reporting phase, a period of 7 days, to compile the AR 2018 and FE, based on the data collected during the desk phase and the field mission and guided by the feedback and comments of the PMU members, key stakeholders and informants. The conceptual framework chosen for the evaluation is consistent with result-based management (RBM) as widely applied with the UN system, and addresses the five key evaluation criteria as proposed by OECD-DAC: relevance, efficiency, effectiveness, sustainability and impact. As guided by the ToR, the evaluation team made use and built on the evaluation framework as used for the 2016 and 2017 AR, with grouping into the OECD evaluation criteria.

Progress assessment for 2018

In Chapter 3 an assessment is presented of progress the UN-REDD Phase II Programme has been able to make in 2018 per Outcome. The assessment is based on comparing actual implementation result or progress compared to what initially has been planned as activity for each output under the six Programme outcomes. A detailed overview of this assessment is presented as Annex 5, based on the

2018 annual work plan and budget¹, with inclusion of indicators, set targets and key achievements and comments on progress.

For each output under the six Outcome areas a short overview is presented of key milestones and/or challenges, comparing what was initially planned with what actually has been implemented. For all outputs an indication is given if the respective outputs are fully, partly or not on track to achieve the planned outcome. Based on the achievements as reported for the individual outputs and the six outcomes areas the AR team finds that the Programme has maintained its momentum in 2018 and has made tangible progress in contributing to the development of the Warsaw REDD+ elements, through the:

- National strategy and action plan: NRAP-NRIP development,
- Safeguard Information System and Summary of Information: Sol-SIS (PGA, GRM),
- Forest Reference Level: submission of FREL, and
- National Forest Monitoring System: the emerging MRV, the NFIMAP cycle, GeoPortal integration into FORMIS.

With the imminent finalization of these key national REDD+ instruments in compliance with UNFCCC requirements for the 4 Warsaw Framework pillars, the Programme has played a key role in facilitating the REDD+ readiness state of Viet Nam. In addition to these achievements the Programme has made important contributions to the transformation and development of the forestry sector in Viet Nam through facilitation and support of a series of processes. These include high level workshops and conferences and constructive dialogues, bringing together multi-sectoral stakeholders. There is credible evidence that during the Programme's life span there has been a substantial movement towards achieving a sustainable forestry development agenda. The following policies and directives are to be noted: Directive 13 of the Communist Party (January 2017), the updated NRAP (April 2017), The Target Programme on Sustainable Forest up to 2020 (Programme 886), contribution to the new Forest Law development (2017) and emerging Decrees, and the Planning Law (2017).

In implementation of the final 2018 annual work plan, focus has been put on the progressing and finalizing of the PRAP and SiRAP implementation and the continuation of piloting of innovative approaches. Another key area of focus has been the advancement of the regional dialogue on REDD+ implementation in the Lower Mekong Subregion. The Programme has finally progressed in the thus far lagging Component 6 producing credible outputs for continued and enhanced regional collaboration. The Vietnam-Lo PDR Bilateral exchange (May 2018) on addressing transboundary displacement and drivers of deforestation and forest degradation focused on the developments in the forestry sector, particularly those related to REDD+ and transboundary displacement issues. This bilateral exchange encouraged discussions on the potential domestic and cross-border impact and risks, and identified mechanisms for monitoring of risks. An upcoming multi-sectoral meeting on transboundary forest crime and law enforcement between Vietnam, China, Lao PDR, Myanmar and Cambodia is supporting the regional collaboration and dialogue effort. Various other regional meetings between Viet Nam, Cambodia and Laos are planned for the coming months, including a FPD – DOFI MoU review meeting (planned for October, delayed due to Dam incident in Laos PDR) and a tri-partite meeting, including Ha Tinh-Viet Nam, Bolikhamsay and Khammuoan Provinces –Lao PDR (planned for November). Under Component 6 the Programme has also supported the commitment of the wood processing industry to sourcing legal and sustainably harvested timber through capacity building effort and support to the recent FLEGT-Voluntary Partnership Agreement. Based on the initiatives and dialogue initiated under Component 6 the UN-REDD agencies are working on the formulation of a regional initiative on sustainable and responsible land-based investments. Quantification and attribution of impact is complex, as displacement and leakage are driven by many independent external factors. The contribution of the Programme to enhanced regional collaboration

¹ AWP/B 2018, version of 20th March 2018 with carry-over of 2017 budget

is however assessed as a practical and an essential first step to enhance REDD+ collaboration in the region.

For a majority of its outputs (20 of the 22) satisfactory progress has been made in 2018 (completed or almost completed) and only for a few outputs (2 of 22) the Programme was facing slight delays.

Assessment of overall performance

In Chapter 4 an assessment is made of the overall performance of the Programme, making use of the OECD evaluation criteria. Although the focus is partly on the performance in 2018, the assessment looks more broadly at the Programme since its inception for these evaluation criteria.

Design

The AR team's assessment is that the design of the Programme, as reflected in the Programme Document (ProDoc), signed in July 2013, contained several serious flaws. The ambition level to build, after the initial phase I, essential capacity at national and provincial level on a complex concept as REDD+ and progressively implement activities, in retrospect, was unrealistic. After the first 2 years of implementation a situation of "near standstill" was reached and an external Mid-Term Review was commissioned to evaluate options to facilitate the Programme to become better positioned to deliver on its goals. Considering the need for a 3 year no-cost extension, as long as the initial foreseen implementation period, the initial design was thus too ambitious. As a result, the logframe has been redesigned with a reduction and simplification of outputs and related indicator and target sets. The simplification and harmonization of the institutional set-up and coordination structure intended has had a tangible impact on improved coordination structure and clarity in procedural responsibilities with Programme Management Unit (PMU) Director appointed from the Management Board of Forestry Projects. The review team also notes the pragmatism of the management team in readjusting and redefining targets and realistic outputs for the Programme components, in dependence of evolution of national circumstances.

The Programme forms an example of the "One UN" approach of the UN in Vietnam, attempting to work closely and in synergy, mirroring in essence the UN-REDD core of integrated collaboration of UNDP, UN Environment and FAO. Although this has caused at the start of the Programme some confusion, to coordinate the involvement of the various UN agencies and the complexity of a combined NIM and DIM implementation modality, there is now a clearer understanding of the respective roles and inputs and a better reflection of a realistic "One UN" approach. A UN joint mission to learn key lessons from the harmonization effort, the process to streamline coordination among the UN partners including fund transfer modalities, reported in December 2016 with a detailed documentation² of the initial coordination issues the Programme was struggling with in its initial years. In retrospect, the Programme has offered the opportunity for valuable learning on how to strengthen UN technical and operational coordination and harmonization, and reach a corresponding improvement in overall delivery progress.

Relevance

The Programme is assessed as **very relevant** for Vietnam in support of and in alignment with national policies on REDD+, climate change and sustainable forest management and development priorities. Recent policy decisions (the new Forestry Law³, valuation of environmental services beyond the economic, Resolution 71 to close natural forests⁴ and prohibit logging and recent online review with

² David Paine, UN-REDD 2016: UN-REDD Viet Nam Phase II Programme - Report on Lessons Learnt in the Harmonization Process among Related UN Agencies within the Programme.

³ This law has been passed in 2017 and will come into force 1/1/2019.

⁴ Resolution No. 71 / NQ-CP dated 8/8/2017 of the Government on the Government's Action Program to implement the Party Central Committee's Directive No. 13-CT / TW of January 12, 2017.

all stakeholders, Directive 13 from the Communist Party on enhanced forest protection and sustainable development⁵, urging all sectors to collaborate in forest protection, Decree 119 to protect coastal forests⁶, the new Planning Law, Agricultural restructuring program and Targeted program in Response to Climate Change and Green Growth) reflect a positive trend towards a more multi-sectoral integrated landscape approach to SFM and REDD+. Besides the strong national relevance of the theme and objectives of the Programme, the regional perspective through its Component 6 on addressing transboundary issues and fostering regional collaboration on REDD+ and its multiple co-benefits, is seen as relevant and appropriate.

Effectiveness

The Programme has maintained in its final year of implementation the momentum, gained in 2016 and 2017, as presented in more detail in Chapter 3. It is continuing to make tangible progress towards achieving its set outcomes, with as highlights such as the NRAP endorsement and related NRIP development, contribution to the approved Forest Law, the emerging MRV system and its constituting elements, and finalization of PRAP and SiRAP implementation with piloting of innovative approaches for the forestry sector. A more detailed overview reflecting the effectiveness of the Programme in achieving its set targets and with related indicators is presented as Annex 5. For a majority of its outputs (20 of 22) satisfactory progress has been made (fully on track) and only for a few outputs (2 of 22) the Programme is facing slight delays (on track), see section 3.7. Progress assessments for the six outcomes and related 22 outputs with distinct indicators reflect a satisfactory level of effectiveness to reach the set targets. This is in line with the self-assessment as presented in the National Programme Progress Report of September 2018, which reports 2 outcomes as achieved and four outcomes as on track for completion in this last year of implementation.

The AR team notes a broad-based appreciation for the work of the Programme and acknowledgement of the gained momentum in the last years of implementation and the quality of the technical assistance provided, efficiency and effectiveness, including its efforts, as cross-cutting criterion, to reach meaningful engagements of CSOs and ethnic minorities and include public private partnerships (PPPs).

The AR team commends the Programme for its efforts to stimulate and implement participatory approaches. The inherent nature of the complex REDD+ concept requires a multi-stakeholder approach, which is often complicated, time-consuming and requires shifting mind-sets and behavioral change. The AR team noted clear appreciation of this participatory approach at provincial level with the PRAP consultation process as example how all key stakeholders have been engaged, supported with capacity building and involved with implementation and monitoring activities, with inclusion of CSOs and ethnic minority networks.

Such a broad-based participatory approach requires substantial energy to build capacity and raise awareness of all stakeholders involved and come to a consensus between all stakeholders involved, with as key example the participatory approach to the PRAP planning, but ultimately will support an effective implementation and embedding within governmental structures, including joint monitoring procedures. Stakeholder engagement, through the ethnic minority networks at provincial level, the REDD+ communication networks, the PGA groups, joint monitoring approaches and the provincial REDD+ Steering Committees, is therefore seen as effective.

⁵ Directive No. 13-CT / TW dated 12/1/2017 of the Secretariat of the Central Committee on strengthening the leadership of the Party for the management, protection and development of forests.

⁶ Decree No. 119/2016 dated 23/8/2016 of the Government on the policies for the sustainable management and protection of coastal forests in response to climate change.

The communication outreach of the Programme has been effective with a growing output of newsletters, brochures, outreach and awareness raising materials, use of social media and a dedicated website (<http://www.vietnam-redd.org/>) and with a particular appreciation of the videos produced, distributed via a dedicated YouTube channel, <https://www.youtube.com/channel/UC2EnmAsUh2oXuN251XydmMQ>. The provincial communication networks, with team members in each province, are seen as an effective participatory set-up to enhance REDD+ knowledge and awareness at decentralized level. The case studies being produced for all pilot provinces are an effective manner to disseminate the pilot experiences and key lessons. The AR and FE team notes the limited human resources available for the finalization of all knowledge products in the final months of the Programme and the limited time for timely and quality delivery of all knowledge products being finalized. With so many reports and final documents being finalized in the last quarter, there is only a limited window of opportunity for knowledge sharing, dialogue, handing-over and follow-up.

Efficiency

In 2018 the Programme has shown **satisfactory financial delivery** so far (up to end of September) with NIM delivery at 34% (57% including BDS) and DIM delivery at 55%, combined 44%, with inclusion of BDS payments (being verified and settled at the end of Q3) up to **56%**. This which would lead to **80+%** financial delivery at year end as projection, following similar trends in 2016 and 2017, see Table 10. The financial delivery rates of the period 2014-2018 clearly indicate the initial low efficiency of the Programme as a result of the coordination and resulting implementation issues and the marked improvement in the last years of implementation.

The PMU has a competent accountant team and financial management and control mechanisms are understood to be all functional and no main issues were reported by the PMU, MARD (DoF) or through external audits. Serious constraints to Programme delivery, as reported to have occurred in the initial years, with long delays in budget endorsement processes, are now absent and the documentation is reported to be of good quality. Some minor issues, as reported in the AR 2017, have been followed up satisfactory as reflected in the Management Response to the AR 2017 recommendations and as reported by the MARD-DoF staff. As the closure of the Programme is imminent, there is a clear need to carefully prepare for implementation and financial closure (implementation closure by 31st of December 2018 and financial closure spilling over to end of June 2019) and to follow guidelines to enable use of VAT and interest return by year end (an estimated \$120,000+). PMU has proactively prepared a proposal⁷ with proposed provisions for a smooth implementation and financial closure, referring to Chapter 12 of the PIM and with a proposed timeline for implementation and financial closure.

In 2018 the Programme has been able to implement a high percentage of the activities it planned for, in particular at provincial level (often more than 90%). This reflects the matured experience of the PPMUs to be more realistic planning and budgeting of activities in their annual work plan and actually efficiently implement a high percentage of these planned interventions.

Looking back on previous Programme years, stakeholders report an increased efficiency in timeliness and quality of delivered outputs, both at national and at provincial level, in line with expectations of a maturing Programme, also reflected in the satisfactory level of reached targets for respective outputs. The AR team notes satisfactory level of corrective measures taken to mitigate any significant delays, e.g. for outcome 6, where the Programme has been able to follow-up on a series of recommendations and gained momentum in the implementation that was lagging behind. The

⁷ UN-REDD PMU, September 2018: Proposed Provisions for Programme closing

regional backstopping, with TA support and infusing global experience and best practices, has greatly influenced quality of TA support and is widely appreciated by the stakeholders.

The review team has noted a satisfactory level of stakeholder involvement, both at provincial and local level (District and commune) as at national level, with increased involvement of private sector and active participation of ethnic minorities and civil society organisations (CSOs), partly in response to earlier review recommendations. The AR team is pleased to note a broad-based appreciation by the stakeholders for the work of the Programme and the quality of the support provided, the efficiency and effectiveness, including its efforts to reach meaningful engagement of CSOs and ethnic minorities. Engagement and participation of CSOs and ethnic minorities is well arranged at national level, with representation in the PEB and a corresponding budget to help both representatives fulfil their roles, and observer status in the EG and with good organization levels of the national networks. At provincial level, the CSO and Ethnic Minority Networks set-up under the Programme implementation support are less likely to sustain post-Programme without the present financial and coordination support⁸, although they clearly contributed to an effective participatory engagement and planning approach in the pilot provinces.

Adaptive Programme Management

In Chapter 5 the management of the Programme is assessed with attention to the ability of the Programme's management to effectively plan and implement REDD+ activities, to engage all key stakeholders in this process, how it has reacted to emerging issues and challenges and how it has made best use of the available financial and human resources. The governance structure and performance is evaluated and the level to which the management has been able to respond to the AR 2017 recommendations and the EG5 decisions.

In general, the day-to-day management of the Programme by the Programme Management Unit (PMU), directed by the National Programme Director as head of the Forest Project Management Board, the Deputy Head of Office of the State Steering Committee on the Target Program for Sustainable Forest Development and REDD+ implementation, Vietnam as Deputy Director and supported by the National Programme Coordinator, is regarded to be effective. Common feedback by stakeholders to the AR/FE team is that they are pleased with the present management execution and its ability to plan, coordinate, implement and communicate the various REDD+ interventions at national and provincial level. The role of the former CTA, now TA to the Programme, has been lauded by many stakeholders in facilitating various dialogues, engaging new stakeholders and enhancing overall Programme delivery. The role of the UNTT (UN Technical Team) in providing necessary, technical backstopping support and quality assurance through technical experts, either in-country or from the region and UN agency headquarters, has been important for the Programme to assure quality technical guidance and to infuse global best practices and international standards and experiences to the national stakeholders and Programme implementers. Overall, taking stock of the initial management set-up linked to the One UN coordination intention, the management team has shown stamina, flexibility and perseverance. This has resulted in an eventual effective management set-up (after a very complicated start-up), linking the UN-REDD system with the Government of Vietnam, CSO, private sectors, academia and the provincial piloting stakeholders.

The governance structure of the Programme through the Programme Executive Board (PEB) and the Executive Group (EG) has supported the management with technical guidance and overall steering through recommendations and decisions. Present frequency, timing and functioning are reported as satisfactory. Inclusion of key stakeholders in the PEB and EG has enabled active engagement and participation of key governmental agencies as well as representatives of CSOs and ethnic minorities.

⁸ Pers.com. representatives of SRD and CSMD

It is also assessed as good practice to include CSOs and EM representatives, and occasionally PEB members, in joint M&E missions in the pilot provinces, resulting in more transparent and independent monitoring and offering a good dialogue platform for discussion and knowledge transfer for provincial authorities involved.

The review team has taken note of a large number of publications in the last months of the Programme as the various pilots and innovative approaches undertaken are nearing completion, which requires full attention of the Programme to disseminate the key lessons and learning and to facilitate efficient knowledge exchange and hand-over with key stakeholders.

The MTR and the 2015 and 2016 Annual Reviews have had a strong focus on improving the organizational set-up of the Programme management and coordination with key stakeholders. The management response and follow-up to the recommendations of the 2015, 2016 and 2017 Annual Reviews and to respective EG decisions forms a good indication of adaptive and responsive management. The management response and the assessment of the AR/FE team to the Annual Review 2017 recommendations (10 in total) and the EG5 decisions (6 in total) are presented in more detail in Annex 6 and Annex 7. The AR/FE team finds the follow-up by the management pro-active and satisfactory, reflecting the general impression, as expressed by the stakeholders consulted, that the management team has shown effective adaptive management in addressing the issues and challenges it has been confronted with.

A series of recommendations in previous Annual Reviews were targeted to identify measures to support the REDD+ unit (VRO), to strengthen its institutional embedding in its new position as a part of the Office of State Steering Committee to Sustainable Forest Programme (SSCO), and to be technically capable with financial sustainability to coordinate and conduct M&E of the NRAP implementation. This will require continued targeted effort to enhance its function Post-Programme, also in terms of staffing and funding, which were partly contracted through Programme support. The six Sectoral Technical Working Groups (on safeguards, BDS, MRV, local implementations, private sector and governance) have convened regularly, or as required, co-chaired by governmental agencies, the UN-REDD Programme and other REDD+ projects. The review team understands that a donor dialogue will be organized to look into post-Programme bridging funding of the SSCO, additional to regular state budget lines and in anticipation of direct funding support from 2021 when RBPs could be used for the organizational support.

The review team is pleased to see the close coordination of the Programme with other projects and programmes active in the pilot provinces in order to avoid duplication and to make use of already existing successful models and work complementary (e.g., Ca Mau and Lam Dong). This also accounts for national level coordination (e.g. WB-FCPF, SNV, JICA, GiZ) to ensure effective knowledge management and explore synergy potential and opportunities for replication of emerging good practices.

The Programme has maintained its ambition level in the late stages of the Programme evolution by thinking “outside of the box”, by supporting and facilitating innovative approaches, e.g. the support to MPI in piloting the One Master Plan concept and integration of the Green Growth Plan related to the new Planning Law, collaboration with financial institutions (green accounting) and the TERRA-I monitoring tool piloting. The review team appreciates this willingness of the management to continue to explore innovations as opportunities arise and the active facilitation role to open up new partnerships, e.g. with the MoJ, with MPI and with financial institutions.

In Chapter 6 the impact of the Programme is assessed and the overall sustainability, towards lasting and sustained impact, is discussed and the prospect, looking ahead beyond the finalization of the Programme in the last quarter of 2018, of the actual state of REDD+ readiness and the ability of

Vietnam to aspire for result-based payments. In this context the exit strategy of the Programme is evaluated and its likelihood to enhance permanence of impact and to facilitate a smooth transition post-Programme.

Impact

The FE team takes note of meaningful impact on the ground as result of the REDD+ implementation in the 6 pilot provinces, including Forest Land Allocation (5.271ha), agroforestry models, SFM plans (200,000ha), FSC for 19,541 ha, livelihood impact for 440,927 households and 345 community groups through MoUs with enterprises on specific commodities and through 34 SiRAPs of which 17 SiRAPs without BDS and 17 SiRAPs with BDS. Overall, the impact is limited in improvement of forest cover or forest quality, which will need more time to quantify. It has to be emphasized that the main objective of the Programme is more towards capacity building on planning, implementing and monitoring REDD+ and SFM interventions and in catalyzing a transformational change in the forestry sector towards broader forest valuation and sustainable management of forest resources and less in achieving a large areal increase of forest areas or carbon stock.

Greater impact of the Programme is related to clearly enhanced capacity of the Government of Viet Nam and other key stakeholders in planning of and implementation of REDD+/SFM related interventions to enhance carbon stocks and multiple social and environmental services and benefits as evidenced in the developed NRAP-PRAP-SiRAP planning and implementation, the overall MRV and NFMS set-up, including FREL-GHG-I development, establishment of an environmental and social safeguard system, coordination and knowledge management set-up and institutional embedding and awareness creation and capacity building through a targeted academic curriculum.

Building on the founding work of the UN-REDD Programme Phase I, the preparation of national REDD+ instruments and architecture in compliance with UNFCCC, development of a NRAP-NRIP, a Safeguard Information System and Sol, submitted FREL and operational NFMS is a tangible legacy and impact of the UN-REDD Programme. The review team is comfortable with the assessment that the Programme has succeeded in building robust awareness on climate change and REDD+ at national and provincial level. A quick capacity survey (October 2017) indicated that about 94% of province officials involved in REDD+ have a good or very good understanding of it. Impact is also evident in increased awareness, grown knowledge and skills and local regulations enhancing SFM, all leading to a shift in mindset and behavioural change.

The review team assesses that the Programme has taken important steps in supporting Viet Nam in terms of its readiness for REDD+ and to reach the overall Programme objective “to enhance Viet Nam’s ability to benefit from future results-based payments from REDD+ and undertake transformational changes in the forestry sector”. In terms of planning, policy development and regulations, the approval of the NRAP for the period 2017-2030, including a national vision for 2030, is seen as significant progress towards a transformative approach to REDD+ and sustainable forest development in Viet Nam. Arrangements for REDD+ implementation have been enhanced with REDD+ coordination and steering functions being integrated into the government’s multi-sector steering mechanism for sustainable forest development and support to a revised and enhanced SSCO (VRO) functioning. The development of a mid-term implementation plan (NRIP) facilitates transition from planning to implementation and investment and is seen as supportive to lasting impact, beyond only the intended NRAP.

Sustainability

Sustainability of the Programme and permanence of impact, how benefits and impacts will be maintained after Programme end will be largely determined by ensuring that Viet Nam has sufficient capacity, both at national and provincial level, to implement a national REDD+ programme independently with minimal external technical assistance. A number of existing challenges have been

addressed by the Programme in order to create an enabling environment for future REDD+ implementation.

In assessing the Programme sustainability the FE team recognizes a series of critical elements that will support continued impact, divided over the elements ownership, institutional embedding, capacity and financial resources. These key elements determine if the existing impact the Programme has generated, REDD+ readiness and overall national capacity as outcomes of the Programme support, will be sustained in the longer-term. REDD+ Readiness should be understood as a continuous improvement cycle: with an ever-evolving context at (i) international level (moving climate/REDD+ negotiation and financial landscape), and in particular at (ii) national level (institutional and commercial landscape), awareness and capacity should be further enhanced and updated and systems and process need to be adapted to new challenges and compliance with new emerging requirements

Critical for longer-term sustainability of impact of the Programme is the exit strategy⁹, or phase out plan, of the Programme. This has been gradually developed on request of the EG4 and EG5 and in its latest form represents a comprehensive longer-term approach. The exit strategy of the Programme depicts a strategic approach to anchor REDD+ and SFM into a strategic national agenda building conditions to effectively coordinate the implementation of the NRAP, to pilot multi-sectoral partnerships, promote political commitment and a conducive legal and regulatory framework. This is combined in the exit strategy with securing funding from various sources, integrating/mainstreaming of REDD+ methods and tools into national-level policies and guidelines and active REDD+ knowledge management. The exit strategy details with a time line which actions need to be taken Post-Programme, in the periods 2019-2020 and 2021-2022, in order to enhance and support ownership, institutional embedding, capacity and financial resources. The evaluation team welcomes the exit strategy as a detailed and practical guiding document that sketches essential elements for enhancing post-Programme sustainability in support of full NRAP implementation.

The exit strategy is also realistic in the sense that it acknowledges a remaining financial gap Post-Programme to fully implement the NRAP in the coming years. Although considerable domestic public resources through state budget lines are or will be available for implementation, additional funding sources will be needed, including potential funding from PFES in support of NRAP implementation, engagement of the private sector including financial institutions and emerging REDD+/SFM related project opportunities with ODA funding as the GCF project concept for the Central Highland (FAO), the Deforestation Free Jurisdiction Approach in the Central Highlands (UNDP and partners), the Regional project on sustainable and responsible land-based investments (Government of Norway), the recent ER-P (WB-FCPF), JICA REDD+ Programme and others. However, these opportunities are all still tentative and with still uncertain prospects, in a global context of growing competition of more proposals for more limited funding.

Apart from potentially mobilizing additional funding for NRAP implementation and additional capacity support, these emerging projects and programmes – if and once confirmed – offer opportunities to continue development and replicate and scale-up approaches, methodologies and tools as developed and piloted by the UN-REDD Programme. Overall, the evaluation team sees good scope for broader replication and scaling-up of piloted mechanisms and innovations initiated by the Programme (BDS-PFES integration, agroforestry and FLA models, value addition models, TERRA-I monitoring tool, PRAP-SiRAP methodology etc.). This also accounts for the recent Integrated Master Planning piloting at provincial level and parallel Green Growth Planning, in close coordination with MPI and potentially an important methodology for integration of REDD+ and SFM into provincial

⁹ UN-REDD Phase II Programme, Exit Strategy, June 2018 and related PPT draft, September 2018

spatial planning and Green growth Plans, in line with the implementation of the new Planning Law in all provinces by 2020.

Involvement and engagement of the private sector through piloting PPP schemes, stakeholder value chain dialogues and drafting of industry plans for sustainable production of selected commodities (e.g. coffee, rubber, aquaculture and timber) is seen as an essential pathway to enhance sustainability of impact and to contribute to sustainable livelihood development of communities. The engagement of the private sector does not only support a shift towards more sustainable production practices and reduction of deforestation drivers, but also promotes a pathway for sustained support for livelihood generation activities that are likely to continue post-Programme and contribute to securing financial resources and needed investments for implementation of the NRAP as detailed in the NRIP.

One of the essential conditions for enhancing Post-Programme sustained impact, and as addressed in the exit strategy, is a conducive legal and regulatory environment, enabling REDD+, SFM, agriculture and sustainable land management integration into the broader forest policy agenda, reflecting a transition towards a more holistic landscape approach, with broader valuation of the environmental services and other co-benefits forests provide. This links directly to the question to what degree the Programme has been able to facilitate and “undertake” transformational change of the forestry sector, as one of the overall ambitious outcome goals of the Programme. The evaluation team sees credible contributions of the Programme that warrant a positive answer to this question. Apart from the semantic question what transformational change of the forestry sector exactly means, there is credible evidence that during the Programme’s life span there has been a substantial movement towards achieving a sustainable forestry development agenda. The following policies and directives are to be noted:

- Directive 13 of the Communist Party (January 2017) expressing high-level commitment to strengthening the Party's leadership in forest protection and development,
- The updated NRAP (April 2017), as national REDD+ Vision document,
- The Target Programme on Sustainable Forest up to 2020 (Programme 886)
- The new Forest Law (2017) and emerging Decrees, and
- The Planning Law (2017).

The Programme has facilitated and supported the development of these policies and legal frameworks through a series of processes including high level workshops and conferences and constructive dialogues, bringing together multi-sectoral stakeholders. Transformation of the forestry sector is linked to a series of conceptual changes:

1. A vision to change from a goal to achieve more forest to better forest, thus from “area to quality”,
2. A more holistic and integrated valuation of forest, as expressed in the Forest Law, not only valuing timber, but approaching forest as a multifunctional provider of multiple benefits (direct and indirect) and environmental services,
3. A development towards multi-sectoral multi-year spatial planning, with NRAP and PRAP experiences and the Planning Law offering new approaches for improved integration of REDD+ and SFM into spatial and Green Growth plans,
4. Private sector involvement, beyond only the forest sector and including agriculture, in an effort to make supply chains more sustainable and deforestation or forest degradation free, and
5. Improved land tenure and use rights of ethnic minorities as reflected in the Forest Law, and providing livelihood opportunities for forest dependent communities.

Transformation of the forestry sector is an open-ended dynamic process, but based on the above arguments the evaluation team acknowledges the substantial contribution the Programme has made towards achieving a more sustainable forestry agenda. The draft White Paper on the forestry sector, a kind of Vision 2030 document, that the Programme is supporting to develop, would be another contribution of the Programme to catalyze and facilitate the forestry sector transformation.

As recommended by previous annual reviews and as emphasized in the exit strategy, the embedding of REDD+ in broader SFM coordination and advocacy within the Government of Vietnam, through the Vietnam REDD+ Office and its functioning as the State Steering Committee Office (SSCO), is evidence of ownership of the Government of Vietnam. The continued functioning and linked capacity needs are critical from a sustainability perspective and require sufficient human and financial resources to bridge its function Post-Programme to the moment when RBPs could provide these necessary resources.

In the context of assessing impact and sustainability of the Programme one has to consider if the other overall outcome of the Programme “to enhance Viet Nam’s ability to benefit from future results-based payments for REDD+” has been achieved. First of all, the evaluation team is confident that the Programme has contributed extensively to the present advanced state of REDD+ readiness of Viet Nam, the preparation of national REDD+ instruments and architecture (the four Warsaw pillars) in compliance with UNFCCC, existing of a NRAP-NRIP, a Safeguard Information System and Sol, submitted FREL and operational NFMS. However, and as expressed earlier, REDD+ readiness is a continuum that requires continued effort, updating of information, upscaling and adaptation to emerging global requirements. The Programme has certainly enhanced Viet Nam’s ability and enabling environment to benefit from future RBPs, by supporting its capacity from a technical and institutional perspective to become eligible and fulfill existing requirements (qualifying on basis of technical requirements for compliance to MRV and Safeguards). This does not answer the fundamental question if the results are there to be able to benefit from RBPs. In other words, it has to be proven in the coming years that positive results can be reported in carbon stock enhancement through validated proof of more and/or better forests over time.

The evaluation team agrees with the assessment of the exit strategy that the UN-REDD Program at the global level will continue to provide international technical assistance for a number of key areas, beyond 2019. As part of the UN-REDD technical assistance, it is anticipated that FAO will keep providing support on updating the forest reference level, MRV design, NRAP M&E framework and PRAP monitoring system, and UNDP will keep assisting with implementation of the NRAP M&E framework, forest integration into land use planning, and broad stakeholders’ coordination and engagement including with regional countries. Another possible area of support to Viet Nam is in building experience in assessing, monitoring safeguards implementation, and in private sector engagement in agricultural investments. Agencies are also exploring ways to keep providing assistance beyond the UN-REDD Programme, for instance through the UN Environment Finance Initiative on progress towards forest carbon pricing and connection to international finance opportunities for investment projects like in the Central Highlands.

This leads the FE team to assess sustainability to be moderately likely.

Key concerns are availability of funding resources for continuation of REDD+/SFM related developments, including the financial resources necessary for staffing of VRO (State Steering Committee Office) as critical element for effective REDD+ implementation in the country, requiring support to cross-sectoral coordination (which is complex) and guidance to sectors in aligning their interventions with REDD+, and continued recognition of the value of REDD+ and SFM in broader forestry policy development.

In Chapter 7 key learning is assessed, based on the findings presented as important lessons from the programme management and programme design and the evolution of the REDD+ Programme together with some additional lessons on REDD+ planning, implementation and coordination. After these lessons, a series of emerging good or best practices are presented, as key learning and innovations developed by the UN-REDD Programme. For each of these practices, ranging from methodology, models and planning approaches to tools, a summary is presented on why it is considered a best practice, indicating causal factors why it is assessed as a potential best practice. Challenges and limitations are discussed that could reduce future applicability and replicability and need to be mitigated or addressed to enable wider application or use. Where possible, measurable impact of the emerging best practice are presented and targeted beneficiaries. Opportunities and potential for wider application are finally discussed, together with relevant documentation for further information on the best practice or adding to the relevant conditions and context. The following emerging good or best practices are described in more detail:

1. **NRAP-PRAP-SIRAP planning methodology:** a REDD+ centered integrated participatory land-based planning approach, identifying key drivers and prioritizing specific actions, feeding into national development of NRAP building on decentralized experiences/lessons, ultimately linked in the NRIP.
2. **Engagement of CSOs/Ethnic Minorities and private enterprises in the REDD+ process:** meaningful and effective participation of EM/CSOs at national and provincial level ensuring broad-based consultation and contributing to independent monitoring.
3. **Agroforestry models,** as alternative approach to address in principle illegal encroachment into forest land through encouraging intercropping, diversifying livelihood resources, while improving forest cover and improving land tenure status.
4. **Integrated Master Plan development,** piloting an approach with a more holistic landscape approach to integrate REDD+ and SFM in multi-year, multi-sectoral integrated planning at provincial level, in parallel with the Green Growth plan development.
5. **TERRA-I,** an innovative tool for near RT monitoring to support a participatory process monitoring of forest change and direct guidance to on the ground forest monitoring and patrolling for improved prioritization and law enforcement, with possible integration into current forest cover monitoring system (FORMIS) and with the fire early warning system.
6. **Value addition in the commodity chain,** to enhance and broaden forest valuation through certification of timber and NTFPs (e.g. medicinal plants), and enhance sustainable supply chains through the development of agriculture sub-sectoral action plans with PAMs integrated ((aquaculture, coffee and rubber).

Conclusions and Recommendations

In Chapter 8 conclusions are presented, all reflected in the Executive Summary and linked with the series of recommendations presented in Chapter 9, as guidance for the Programme for focus in its operational and financial closure, to the Government of Vietnam for building on the Exit Strategy for the Programme and to UN-REDD and UN Agencies for Post-Programme support.

The Programme is recommended:

1. To ensure timely finalization in Q4 of a series of key knowledge documents on pilot activities and extraction of emerging good practices to enable sufficient time for knowledge exchange and dialogue with key partners on follow-up steps and application/replication potential (e.g. wrap-up meeting, presentation of final results (Sol-SIS, GeoPortal-FORMIS, BDS-PFES integration, PGA-GRM piloting etc.).
2. To prepare for **appropriate closure** of the Programme (end of implementation of activities by December end 2018, financial reporting by end of June 2019), including clearance to make use of

remaining funds for implementation and financial closure related to VAT return and interest on Programme funds.

The Government of Vietnam is recommended to:

3. **Build on the detailed exit strategy** developed, intended to anchor REDD+ and SFM into the strategic national policy agenda, to implement and sustain the transformation of the forestry sector, in order to ensure continuation of NRAP implementation through the key elements of ownership, institutional embedding, capacities and financial resources.

4. While recognizing the **pivotal role of the State Steering Committee Office** (former VRO) in coordinating REDD+ related initiatives and interventions in Vietnam, supporting capacity development and knowledge exchange, **securing** Post-Programme **funding** is essential for effective continuation of its role in transition to future internal funding through RBPs from 2021.

UN-REDD regional/global and UN Agencies are recommended to:

5. Consider the need for additional support, Post-Programme, for certain specific thematic areas where and when needed to be provided by UN-REDD regional or global support and/or through the technical expertise of the UN agencies (as reflected in the exit strategy), e.g. specific global experience related to requirements for future RBPs, monitoring of safeguards implementation, private sector engagement in agricultural investments etc.

1 Introduction

Context

Vietnam has been an early mover to integrate REDD+ in national forestry strategies, climate change and development plans in order to develop national capacity and structures related to REDD+. In its efforts towards building its REDD+ readiness, the country has been supported by UN-REDD for almost a decade, starting 9 years ago with the UN-REDD Phase I Programme for Vietnam, which ended in 2012. Starting in 2013 and ending in 2018, the follow-up Phase II Programme focuses on piloting and pre-implementation, enhancing the readiness for result-based payments. As stated in the ProDoc, “this UN-REDD Viet Nam Phase II Programme (“Programme”) is broadly equivalent to the Cancun second phase, in which countries are to focus on “the implementation of national policies and measures and national strategies or action plans that could involve further capacity-building, technology development and transfer and results-based demonstration activities.”

The Programme’s Objective is: *“To enhance Viet Nam’s ability to benefit from future results-based payments for REDD+ and undertake transformational changes in the forestry sector.”*

The Programme focuses on completing the establishment of required capacities and provides technical assistance to build up the emerging REDD+ implementation framework in Viet Nam. It builds essential capacity for REDD+ in national institutions and key stakeholder groups. It builds essential REDD+ capacity in all provinces with significant forest cover. However, the main focus is on six pilot provinces – Bac Kan, Binh Thuan, Ca Mau, Ha Tinh, Lam Dong and Lao Cai, where the Programme will create the foundations for REDD+ piloting at commune, district and provincial levels.

The Programme has six Outcomes, which are:

- Outcome 1: Capacities for an operational National REDD+ Action Programme (NRAP) are in place
- Outcome 2: The six pilot provinces enabled to plan and implement REDD+ actions
- Outcome 3: National Forest Monitoring System (NFMS) for Monitoring and Measurement, Reporting and Verification and National REDD+ Information System (NRIS) on Safeguards are operational
- Outcome 4: Stakeholders at different levels are able to receive positive incentives
- Outcome 5: Mechanisms to address the social and environmental safeguards under the Cancun Agreement, established
- Outcome 6: Regional cooperation enhances progress on REDD+ implementation in the Lower Mekong Sub-Region.

FAO, UNDP and UN Environment are jointly implementing the UN-REDD Programme for Vietnam, whereas the Vietnam Administration of Forestry (VNFOREST), under the Ministry of Agriculture and Rural Development (MARD), is the national implementing partner of the Programme.

In 2014 a Mid-Term Review of the Programme was carried out, noting limited progress and various critical issues, with recommendations to simplify and to operationalize the Programme at all levels. The 2015 Annual Review (AR) reported a more positive progress of Programme implementation and effective follow-up of the recommendations of the MTR. The 2016 AR reflected that the Programme has entered a new stage of development with the granted three-year no cost extension up to the end of 2018. This required a revision of the Programme’s log frame and a stronger focus on content and quality, sustainability and impact, as critical indicators. The 2016 AR reported strong implementation progress with significant progress towards set targets. All together 22

recommendations were made, grouped into four themes, offering a review framework for the 2017 AR and the Final Evaluation (FE) of the Programme. These 4 themes are:

1. Programme management, including sustainability and a phase out plan,
2. Programme activities,
3. National REDD+ Action Programme and strategic positioning, including improvements of intersectoral coordination arrangements, and
4. REDD+ Governance and coordination

Objectives

In line with standing procedures and as expressed in the Programme Document, the Programme requires annual independent reviews and in its last quarter a final evaluation. The Executive Group (EG) has requested a two-stage external review and evaluation process, combining the 2017 AR to be completed in 2017 and a final Programme Evaluation to be completed in 2018, partially building on the 2017 AR. This two-stage review and evaluation process builds further on the methodological framework of the 2016 AR and thus: Assesses responses to past recommendations,

- Assesses effectiveness (progress and delivery) on the four themes presented above, and
- Assesses overall relevance, impact and sustainability of the Programme.

The 2017 AR did not limit itself to activities related to the 2017 AWPB, but reviewed and evaluated the full Programme's implementation up to October 2017 date, but also provided actionable recommendations for the last year of implementation in 2018. Based on the 2017 AR the evaluation team updated the 2017 AR in the last quarter of 2018 into a Final Evaluation Report, adding and consolidating the results and outcomes achieved in the final year of implementation.

Annual Review 2018 objective

The temporal scope of the 2018 AR covers the full period of the Phase 2 Programme, in preparation for consolidation and synthesis in the final evaluation in 2018. The geographic focus will be the whole programme reach, with special attention to implementation in the six pilot provinces. The 2018 AR gives focused attention to the period from October 1, 2017 to September 30, 2018, but considering the annual work plan cycle, the review will focus on the first three quarters of 2018. **The scope of the FE in 2018** will be on progress since October 2017 and updating the overall review elements of the 2017 AR.

The 2018 AR and Final Evaluation will assess the Programme's performance in terms of accomplished and ongoing activities, including (1) the effectiveness of the Programme to achieve the outputs and outcomes; (2) its efficiency; (3) its relevance against broader REDD+, forestry and development processes; (4) its impacts its sustainability and 5), the degree of readiness for RBPs and other relevant funding sources.

The Final Evaluation is intended to:

- Assess Programme performance since the beginning of the Programme (with consolidation of the yet uncovered implementation period since the 2017 AR)
- Assess the level, sufficiency and implementation of the Programme's responses to any outstanding past mid- term and annual reviews' recommendations (in particular the 2017 AR recommendations (10 in total) and the programme's management response to these recommendations) as well as the directions provided by EG meetings (in particular the EG5 decisions, 6 in total).
- Identify and prioritize measures to improve performance of the REDD+ national process beyond 2018 (Post-Programme), with a particular focus on readiness for RBPs and implementation of the NRAP/NRIP.

In order to achieve these objectives, **the annual review and final evaluation will assess:**

- Progress towards targets specified in the most updated results framework,

- Progress towards annual targets and budget,
- Quality assurance mechanisms and enforcement, and
- Management arrangements of the Programme.

The annual review and final evaluation will be disseminated to the GoVN (NRSC, VRO, and VNFOREST/MARD), the 3 UN- Agencies, the donor, the UN-REDD Global Programme, and other Programme main stakeholders.

Guidance and adherence

The evaluation complies with evaluation norms and standards and follows ethical safeguards, with overall guidance and adherence to Norms and Standards as defined by UNEG (2016).

Independent nature and learning focus

The evaluation team consists of two members, who are both independent from UNDP and UN-REDD agencies, and have an adequate technical and professional background to allow them to judge the programme objectively and unbiased. The evaluation team acknowledges the demonstration nature of the Programme and focuses on identifying and capturing emerging good/best practices and lessons learned to be used potentially for replication and scaling-up opportunities. The final evaluation is intended to serve and support the learning process of the Programme, with the understanding that reporting constraints, challenges and failures is often as important as presenting emerging best practices.

Constraints

The evaluation team is aware of certain constraints, limiting its ability to perform its review and evaluation tasks. First of all, the sheer amount of documentation the Programme has produced over its years of implementation since inception phase in 2013 up to October 2018 is considerable and poses a real challenge to read, absorb and digest this volume of reports, concept notes, decisions, Laws, guidelines and other related documentation. As the Programme is maturing and many activities are in final stages there is a large amount of documentation to be reviewed. Secondly, the need for the assistance of a translator for many of the stakeholder consultations limited the direct interaction with the interviewees to some extent, losing some of the nuances of questions and answers, and proved time-consuming. Thirdly, the tight time schedule, for both missions, with over 70 stakeholder consultations in just 5 weeks, proved to be challenging and offered relatively limited time for interaction with the stakeholders. Although a very representative part of the stakeholders has been consulted, not all foreseen interviews could take place because of time constraints and logistical issues. Also, the team has only be able to visit three (Ca Mau, Lam Dong and Lao Cai) of the 6 pilot provinces, limiting their understanding of specific conditions in the remaining 3 provinces (Bac Kan and Binh Thuan and Ha Tinh).

Report Outline

After this initial introduction, attention will be given to the methodological approach for the AR and FE in **Chapter 2**. In **Chapter 3**, the focus will be laid on the progress assessment for 2018 presented per Outcome area, with more detailed description of implementation per output. An assessment of the overall performance of the programme since its inception is presented in **Chapter 4**, divided over an evaluation with use of the OECD criteria. In **Chapter 5** specific attention is given to the programme management and its performance, with focus on coordination, governance, stakeholder engagement, adaptive management and risks and challenges and finally financial and resource management. **Chapter 6** is assessing the impact the Programme has been able to make and to evaluate the sustainability of this impact. Key lessons are presented in **Chapter 7** identifying key learning and emerging best practices. Conclusions are presented in **Chapter 8** and the report ends with a series of recommendations presented in **Chapter 9**, complemented with a series of Annexes.

2 Methodology

Review and Evaluation Methodology

In addition to the AR 2017 methodology, the AR 2018 and FE made use of several data collection methods, to capture primary and secondary data, spread over three distinct phases. Primary data has been collected by interviews (face-to-face, telephone and computer-assisted), direct on-site observation, focus group discussions and key informant interviews by the evaluators. Secondary data has been collected by review of Programme documentation and relevant literature and policy documents produced after the AR 2017. The three evaluation **phases** are:

1. **A desk review phase:** in this initial stage of three days, the evaluation team reviewed the recent documentation related to the Programme, including technical reports of consultants and various additional reports, in particular the large collection of documents prepared for the Fifth Executive Group meeting (EG5) and other more recent documents prepared by the Programme in 2018.

The wealth of information assembled by the Programme forms a clear reflection of the complex institutional setting and the need to align and coordinate the Programme closely with a variety of stakeholders at national, provincial and local levels. The documentation gives also a good overview of the challenging environmental and socio-economic settings of the pilot areas. The desk review also clearly reflected the difficult start-up phase of the Programme after its inception with a range of coordination issues and limited implementation progress, resulting in the need for a no-cost extension period and redesign of the logframe and simplification and harmonization of the institutional coordination and management set-up. The desk review phase resulted in the work plan for the 2018 AR and FE, presenting the appreciation of the ToR, the methodological framework and foreseen work schedule.

2. **A field mission phase,** of 17 days, to meet the Programme team members in Hanoi, meet key stakeholders at national and provincial level and other partners, and to visit the actual programme site through a field trips to 1 additional pilot provinces, Lam Dong, where activities are developed on the ground. This field visit allowed to better understand the institutional set-up and coordination at provincial level, with the PPMU and the various line department representatives at provincial level, but also the collaboration with district authorities and communes. Through site visits the team could meet beneficiaries at commune and household level and assess ground realities, challenges and opportunities. For a detailed time schedule, see Annex 1, with an overview of all stakeholders consulted during this mission phase and Figure 1 for 2017 and Figure 2 for 2018. Overall, more than 76 stakeholder consultations were carried out of which 61 at national level and 15 at provincial/district or community level, involving more than 190 individuals.

During the site visit to Lam Dong focus group discussions and fields visits were held with provincial staff working on innovative pilots related to agroforestry, near real-time monitoring of forest change (TERRA-I) and the One Master Plan pilot. Besides a more detailed consultation with the PPMU, the team could also participate in a workshop on agroforestry trials in encroached forest land converted to coffee plantations.

For the meetings with the PMU members and key stakeholders, a combination of focus group discussions and interviews were used. At the end of the field mission period in Hanoi the evaluation team presented preliminary findings and discussed main findings to the Chair of the Executive Group (EG), the Vice-Minister of MARD, and to the UN Agencies (and UNDP as client) on October 5th to receive further feedback and guidance in preparation of the draft report and the broader stakeholder

debriefing. This stakeholder debriefing presentation was held on 9th of October to discuss key findings and recommendation and get additional guidance and feedback on particular areas of attention in the further development of the draft review report (see Annex 3 for an overview of the participants).

3. **Reporting phase**, a period of 7 days, to compile the draft AR 2018 and FE, based on the data collected during the desk phase and the field mission and guided by the feedback and comments of the PMU members, key stakeholders and informants. After submission of the first draft AR the evaluation manager will gather feedback from PMU, UNDP, FAO and UN Environment and send a compilation of comments and suggestions to the evaluation team. The final AR 2018 and FE, with incorporation of final comments, will be submitted by the evaluators by the 7th of November.

The conceptual framework of the evaluation

The conceptual framework chosen for the evaluation is consistent with result-based management (RBM) as widely applied with the UN system, and addresses the five key evaluation criteria as proposed by OECD-DAC: relevance, efficiency, effectiveness, sustainability and impact. The evaluation team assessed the logical framework of the Programme, with defined development and immediate objectives and related outputs, indicators and targets of the Programme's Monitoring & Evaluation mechanism, as a source of information to weigh the achievements made. Additional attention was given to the cross-cutting criteria/themes of gender equality promotion, monitoring and evaluation, and knowledge sharing and learning environment, also considering the demonstration nature of the programme and its piloting, knowledge-developing focus.

The ToR presented for each evaluation criteria a first series of questions and the evaluation team has taken these questions as a starting point and added a number of additional questions, grouped per criteria, see Annex 4 for a complete overview with the added questions indicated in italics. These questions were considered to guide the evaluation process and were used in the targeted interviews with key informants and focus group discussions. All together they form a long list of questions from which the evaluation team compiled questionnaire formats for interviews and focus group discussions.

Key questions to put forward to stakeholders, divided over the OECD criteria.

The intention was to make use of these questions and, in dependence of the target audience, select questions for a focus-group discussions and key informant interviews. The key questions were intended for the evaluation team to have a systematic set of queries, clustered according to evaluation criteria, to guide the data collection. During interviews and focus group discussions other questions arose and were recorded by the evaluators accordingly.

As guided by the ToR, the evaluation team made use and built on the evaluation framework as used for the 2016 AR, with grouping into the OECD evaluation criteria and with indication of specific indicators related to these criteria and specific data sources. This framework is presented as Annex 8. To review and evaluate the implementation progress since the 2017 AR and in particular of the 10 recommendations discussed, the team made use of a Table of Assessment, Annex 6, as developed and applied in the 2016 and 2017 AR. In addition, the AR team has assessed the follow-up by the management of the Programme to the EG5 decisions of November 2017, as presented in Annex 7.

Focus on learning

Focus of the AR and FE has been put on learning lessons and trying to obtain a deeper understanding why the Programme performance developed as is observed, identifying, where possible, key processes and drivers that have affected the Programme outcomes. Documenting key lessons and emerging good practices as well as describing critical constraints and barriers provide a basis for such

an analytical exercise. In Chapter 7 this focus on key learning is reflected in the description of six emerging best practices that are seen as having good potential for replication and scaling-up and as presenting key lessons learned within the Programme.

Beyond stocktaking of results and particular processes (what worked, what did not and why?) and important element of the AR and FE is the sustainability perspective Post-Programme. How can future REDD+ implementation be further strengthened, what are still gaps in capacity, coordination and governance? What are interventions or areas to replicate or scale up / roll out?

Figure 1 Overview of stakeholders consulted for the Annual Review 2017

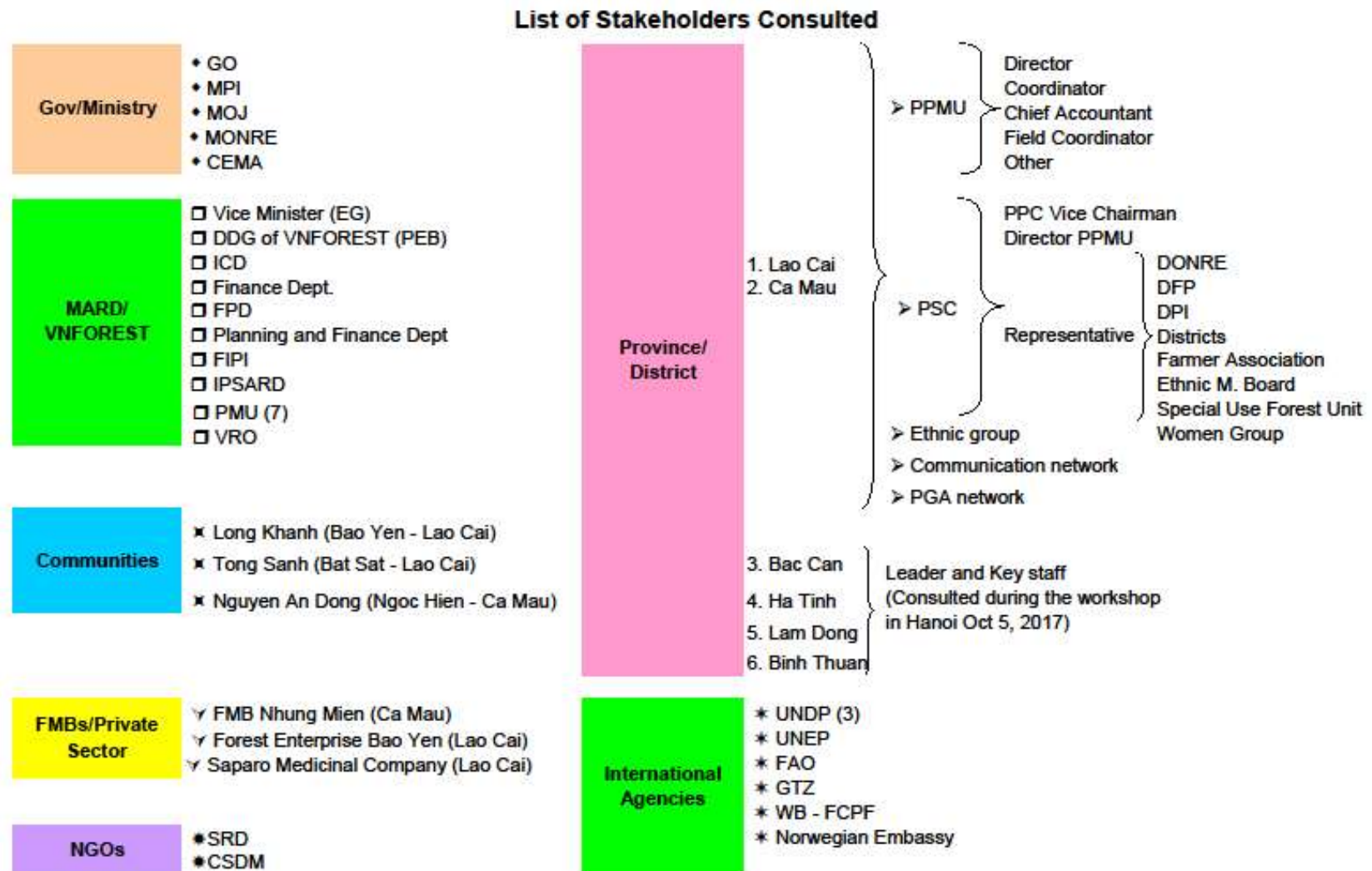
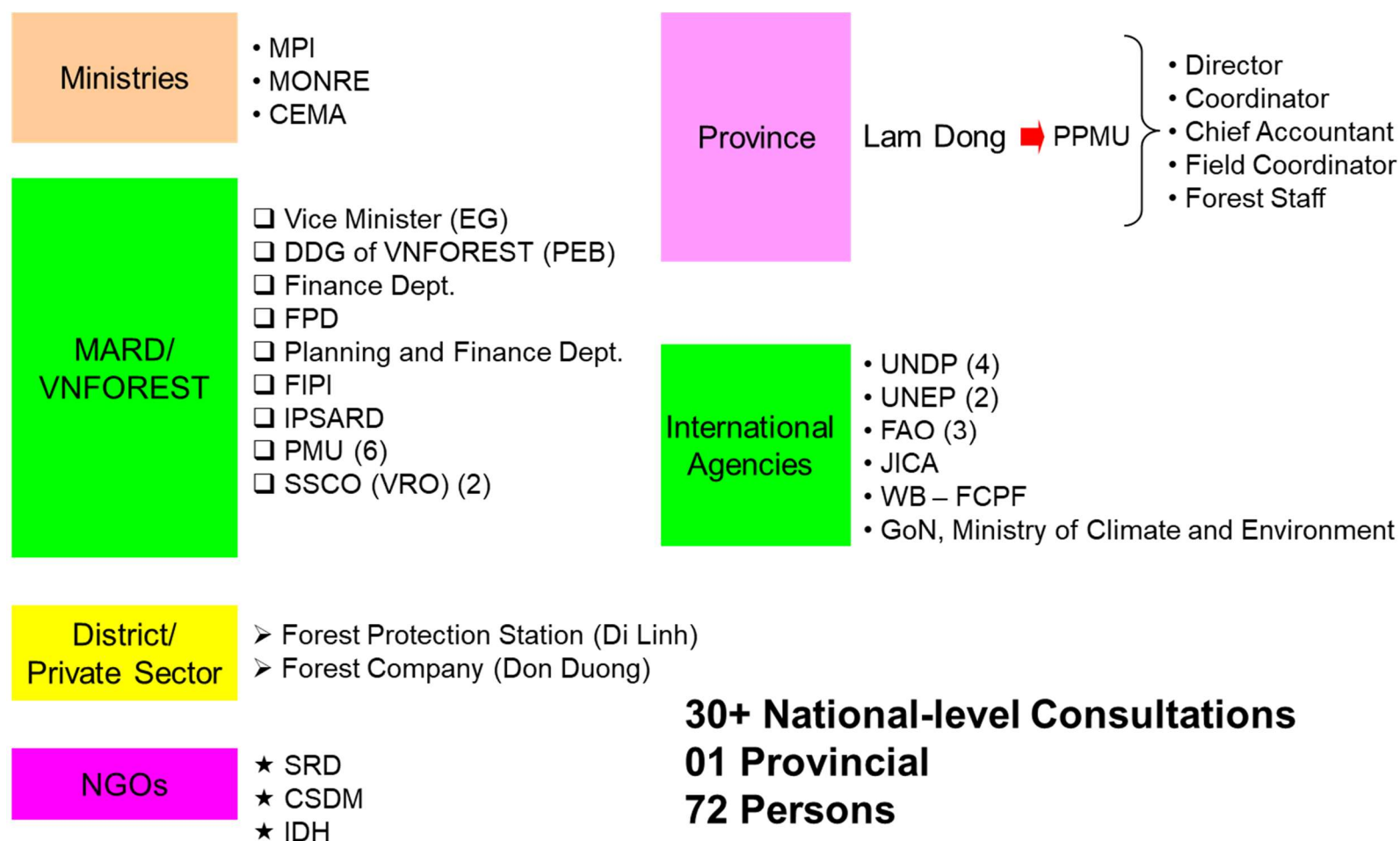


Figure 2 Overview of stakeholders consulted for the AR2018 and FE



3 Progress Assessment for 2018

In this Chapter an assessment is presented of progress the UN-REDD Phase II Programme has been able to make in 2018 per Outcome. The assessment is based on comparing actual implementation result or progress compared to what initially has been planned as activity for each output under the six Programme outcomes. A detailed overview of this assessment is presented as Annex 5, based on the 2018 annual work plan and budget¹⁰, with inclusion of indicators, set targets and key achievements and comments on progress.

3.1 Outcome 1

Outcome 1 Capacities for an operational National REDD+ Action Programme (NRAP) are in place

Output 1.1 NRAP implementation

- The NRIP (NRAP Mid-Term Implementation Plan) is in final version for approval after extensive consultation rounds with all line ministries and banks and from 17 REDD+ Provinces (due end of October). The NRIP is a key document as it provides practical implementation support to the NRAP, backstopping the implementation process and prioritizing specific areas of interventions with linkage to government budget lines and engagement of private sector actors.
- A mapping of existing (secured) financial resources potentially relevant for REDD+ has been conducted as part of the NRIP process, with a very significant potential identified (>USD 1B¹¹). However, whether or not these financial resources will in effect contribute to the NRAP/NRIP implementation and REDD+ objectives, and to which extent, will highly depend on the way they are implemented. Ensuring an alignment of these resources with REDD+ objectives would demand proactive efforts (i.e. gathering relevant actors and supporting the policy dialogue, bringing in additional technical expertise and at times co-financing, etc.), that require dedicated resources (financial, staff) that aren't available yet. **The resources required to ensure such alignment could have however a very high leverage effect (catalyser) and go a long way towards the viable financing of REDD+ implementation on the long-term.** The mapping represents but one preliminary step taken by the Government towards this. Aside from this important potential for alignment, the mapping highlights some important funding gaps for implementation of as well as for the overall coordination (essential for alignment efforts also). It is to be noted that, despite intense efforts to mobilize funding for REDD+ implementation (GCF, GEF, Norway, etc as noted previously), none is secured yet. A time gap between the end of this programme and any other seems unavoidable in even the most optimistic scenario.
- In close collaboration with the Ministry of Planning and Investments (MPI), the PPC of Lam Dong province and the INGO IDH, the Programme has initiated the piloting of the development of an integrated One Master Plan in Lam Dong Province, parallel to Green Growth Plan development for the Province (in collaboration with the Lam Dong PPC), both related to the new Planning Law. The new Law requires all Provinces to develop an integrated spatial Master Plan, replacing the many sectoral plans, by the end of 2019. The piloting in Lam Dong and followed by additional piloting in Lao Cai Province, will be very useful for developing and improving a practical planning approach to be rolled out to all Provinces and offers an excellent opportunity to build conditions and a legal framework to mainstream REDD+ and SFM objectives into spatial planning.
- The new Forest Law has been formally enacted (endorsed by the National Assembly) in November 2017 with material support by the Programme. The Law reflects a better more holistic understanding of REDD+ and SFM with a broader valuation of forest functions and environmental services. The general Law is supported by further development of specific Decrees and Directives by the Programme (e.g. Directive 13-CT / TW (1/2017) of the Communist Party to strengthen the engagement of relevant agencies and the responsibility of local leaders in forest management and protection).
- Evaluation of pilot model of contracting local economic entities for protection forest in Lao Cai province (report to be finalized by November 2018), showing initial evidence of effective protection forest

¹⁰ AWP/B 2018, version of 20th March 2018 with carry-over of 2017 budget

¹¹ A tentative sum up of both REDD+ contribution and REDD+ relevant amounts

management contracted to local economic entities (private sector) and PPP models in protecting natural forest.

- A study of the forest sector contribution to GDP of Vietnam has been initiated including scenario analyses of how some Policies and Measures (PAMs) in the NRIP through their implementation will affect and contribute to GDP and value addition of other sectors in the economy. Initial results show the multiplier and spillover effects of forest subsectors contributing to overall economic growth and to other sectors in the economy (e.g., increase of forest cover, conversion from short rotation to long rotation plantation forest and increased PFES fund).
- A high-level development forum and a technical workshop were supported, chaired by Deputy Prime Minister and Chairman of CEMA, to enhance the position of ethnic minorities in the development and implementation of natural forest goods and services value chains in August 2018.

Output 1.2 Building effective mechanism to generate knowledge, organize policy dialogues, and feed policy recommendations is adopted and functioning

- In line with the Decision 823 of MARD on the establishment of the State Steering Committee office (SSCO) for the Target Program on Sustainable Forest Development for 2016-2020 and REDD+ implementation, the Vietnam Redd+ Office's (VRO's) function is further embedded within the Government structure as key institution for coordination of REDD+ and related knowledge management. Further operational guidelines were revised and approved in April, 2018, including the chairmanship and gradual staffing (although still insufficient at this stage for effective coordination of REDD+ implementation).
- Sub-Technical Working Groups were convened on SIS-Sol, PGA reports as part of the Safeguards and NRIP draft versions for consultation and feedback.
- The Programme continued close coordination with key partners on post-Programme support on Results-Based Payments (RBPs) through consultations and dialogue on the development of a national roadmap for RBPs (with a.o. VRO, FCPF, JICA and GiZ).

Output 1.3 Law enforcement capacity and mechanisms are developed to enhance effective forest law enforcement in pilot provinces and national level

- VNForest leads the forest violation database development, which was started in previous years with Programme support, funding the further development with national budget lines. The planned budget for this activity has been reallocated to 7 other activities, which are being implemented in Q4 of 2018, namely:
 - Strengthening law enforcement in the Central Highlands.
 - Support a national conference on sustainable timber processing industry in Viet Nam.
 - Support to review the implementation of Communist Party Directive #13 with high level guidance for forest protection.
 - Strengthening multi-ministerial collaboration on forest protection.
 - Support to organize an annual donor conference on implementing NRAP.
 - Support to review/update Vietnam's NDC and GHG inventory in LULUCF.
 - Support to consultation on GCF Project Proposal in Central Highlands
- Support is provided to the Regional Forest Protection Department in strengthening its capacity on law enforcement in the Central Highlands and to Ha Tinh PPMU/PFPD to enhance cooperation in law enforcement with adjacent provinces.
- FLEGT-Voluntary Partnership Agreement (FLEGT-VPA) has been signed in early October 2018 by the EU and Vietnam. The Programme has contributed to the development of Annex 8 to the VPA, which is closely aligned to the core activities of output 1.3 in joint efforts to reduce illegal timber trade; as well as the readiness of private sector actors for implementing the FLEGT VNTLAS (under Outcome 6).

Output 1.4 Awareness on climate change and REDD+ raised among key stakeholders at national and sub-national levels through enhanced communication and dissemination of lessons learned

- The awareness assessment, conducted from late 2016 and completed in early 2017 and reported in November 2017, showed good progress overall with high percentages of awareness of key stakeholders (as reported in the AR 2017) and provided recommendations and inputs for further improvement of communication activities, focusing more on documentation and dissemination of lessons learnt.

- The VNUF REDD+/Climate Change 2 year Master curriculum has now been enrolled by more than 200 students, and has reached more than 100 teachers, linked to a network of 6 Universities. The curriculum is initially based on the REDD+ Academy curriculum, but has been broadened to include wider climate change subjects. The Masters programme will ensure continued knowledge dissemination and interest in academic research linked to REDD+ and SFM and a key output for continued awareness creation and academic interest in REDD+ and SFM and the broader context of climate change adaptation and mitigation.
- The Programme has supported a publication on spatial analysis as tool for PRAP development: UN-REDD, VNUF and IFEE (2018) Spatial Analyses as a tool for developing PRAPs, in English and Vietnamese, <http://ifee.edu.vn/en/news/news/spatial-analysis-as-a-tool-for-developing-provincial-redd-action-plans-handbook-34.html>. This publication builds on the PRAP experience of the pilot provinces and the use of GIS tools for multi-sectoral spatial planning and prioritizing actions.
- A series of knowledge products were developed and disseminated: films on sustainable coffee and shrimp production, medicinal plant protection and production and others still in production. The Programme made use of social media (Facebook, YouTube) and published REDD+ Newsletters in collaboration with VRO and is preparing the publication of case studies for all six pilot Provinces (Lao Cai case study is already finalized).
- A White Paper on the Viet Nam Forest Sector (a “Vision 2030” development) is supported to further guide and facilitate the intended transformational change of the forestry sector.
- A Wrap-Up Meeting will be organized in Q4 in order to present key outcomes of the Programme, hand-over outputs of the different outcome areas and offer a dialogue and knowledge exchange platform with the key stakeholders on continuation and scaling-up/replication opportunities.

Output 1.5 Action plans for greater sustainability of production of raw materials from key industries (e.g. aquaculture, coffee, rubber and timber) implemented

- Updated action plans are being finalized in collaboration with commodity associations (rubber, coffee, shrimp) and are reflected in the final NRIP to ensure private sector engagement and additional funding for continued implementation of PAMs.
- A sustainable rubber training manual is being developed to enhance sustainable rubber production and to contribute to the related PAM in the NRIP.
- TERRA-I is being piloted in Lam Dong (Di Linh District) providing a near Real-Time monitoring tool in collaboration with CIAT, FPD, SRD, CSOs, etc. The initial introduction last year has been scaled up to a pilot in Di Linh District. Based on MODIS satellite imagery, provided every 16 days, forest change can be detected with good accuracy, enabling the forest rangers to prioritize and plan their forest patrolling and law enforcement activities based on indications of high, medium or low level disturbances or forest changes. The Provincial authorities are keen to roll out the pilot to the other districts of Lam Dong and Lao Cai Province is also interested to scale up the pilot in their Province¹². See Chapter 7, Emerging best Practice 5, for more detailed information on TERRA-I.

Table 1 Progress assessment for Outcome 1

Outcome 1	Fully on track >75%	Partly on track 50-75%	Partly on track 25-50%	Not on track <25%
1.1				
1.2				
1.3				
1.4				
1.5				

¹² DARD Lam Dong: briefing document to Lam Dong PPC, No: 1577/SNN-KL, About the pilot results assessment of Terra-I system to monitor the forest land use changes in Di Linh district, September 2018.

Overall, the Programme is **fully on track** to achieve the set outcome by Programme End. Slight delays in outputs 1.2 and 1.3 are minor and the management team has expressed to be confident that all planned activities for these two outputs will be completed in Q4.

Recommendation: While recognizing the pivotal role of the State Steering Committee Office (SCCO and VRO) in coordinating REDD+ related initiatives and interventions in Vietnam, supporting capacity development and knowledge exchange, securing Post-Programme funding is essential for effective continuation of its role in transition to future internal funding through RBPs from 2021.

3.2 Outcome 2

Outcome 2 The six pilot provinces enabled to plan and implement REDD+ actions

Output 2.1 REDD+ institutions in the six pilot provinces established, and REDD+ mainstreamed into provincial PFPDs

- The six PPMUs are supported and functional. The visit to Lam Dong Province and meeting with the Lam Dong PPMU confirmed the proper functioning and effectiveness of the provincial set-up. Implementation rates at provincial level remain high and the PPMUs are confident to be able to implement a high percentage of the remaining activities planned for in 2018, more than the 80% set as annual target. PFPDs have integrated REDD+ activities into their work plans and express to continue this approach post-Programme¹³. The awareness survey of November 2017 reported that > 80% of pilot provinces officials involved in REDD+ institutions are assessed to have good¹⁴ capacities.

Output 2.2 Awareness on climate change and REDD+ raised among provincial, district and commune officials and other stakeholders in six pilot provinces

- Training and capacity building related to PRAP-SiRAP implementation has continued in 2018.
- The awareness survey (November 2017) confirmed high awareness levels of the stakeholders at provincial level (average 6.5%, good 84.3% and very good 9.3%).
- A series of case study booklets on the REDD+ experiences and lessons learned and change in the Pilot Provinces is being finalized, though support of the communication networks of the pilot provinces, with the first on Lao Cai already published.
- According to the Annual Progress Report 2018 (draft September 2018) 7856 local people have been trained on REDD+, forest protection and livelihood development in the SiRAPs without BDS, of which 3,144 are women and 2,834 are ethnic minorities. Nearly 500 people have been given loans from Community Development Funds with total loan of 263,196 USD (5,790,313,618 Vietnam Dong).

Output 2.3 Site-based REDD+ Activity Plans and Provincial REDD+ Action Plans in the six provinces are finalized and approved (5PRAPS, 34 SiRAPs (17 BDS-SiRAPs))

- The output was completed with the approval of the 5 PRAPS¹⁵ and 34 SiRAPs (of which 17 BDS-SiRAPs). Implementation is covered under output 2.4.
- Review and reporting on BDS piloting and lessons on integration with PFES in 2 Provinces is being finalized. The provincial draft reports are being consolidated into an overall report and will be finalized in Q4. Final payments of the BDS schemes were being verified during the AR and FE and are expected to be finalized in November 2018.
- M&E of ongoing PRAP/SiRAP implementation progress has continued by the provincial M&E teams, including members of the provincial REDD+ steering committees.

¹³ Based on consultations with PFPD staff in Lam Dong, Lao Cai and Ca Mao.

¹⁴ This refers to the set target for output 2.1: " >80% of pilot provinces officials involved in REDD+ institutions are assessed to have "good" capacities". The percentage of pilot provinces officials involved in REDD+ institutions are assessed to have "good" capacities is 94%. Of the 108 persons interviewed the results are: Poor: 0 respondents, -Average: 7 respondents (accounting for 6.5%), -Good: 91 respondents (84.3%), -Very good: 10 respondents (9.3%).

¹⁵ Lam Dong PRAP was developed with support from another project (USAID/SNV LEAF)

Output 2.4 Provincial REDD+ Action Plans are implemented

- Finalization of PRAP/SiRAP implementation on the ground of the approved 6 PRAPs and 34 SiRAPs.
- Support to Forest Companies on SFM plan development (200,000+ha) and FSC certification (19,541 ha) in order to improve the overall forest management practices of the Forest Companies and enhance the technical skills of their staff. The improved SFM plans and the value addition through the FSC certification of timber and NTFPs are tangible outputs, including improved labour conditions for staff and improved equipment. Companies report that their revenue will decrease in the short-term as their harvest areas are now reduced through the improved but more stringent SFM plans (and due to Government's forest closure policy), but at the same time state that their management plans and skills have clearly developed, rights for land tenure are now clearer and defined and they see improved livelihood conditions for communities dependent on forest resources and they have gained access to international markets at better prices through their certification (value addition). Support to small households in two provinces has been provided to strengthen their technical and institutional capacity in SFM and to get benefits from their plantation being FSC certified (nearly 1,500 ha for smallholders).
- Continuation of household-group support and Forest Land Allocation (FLA). For a total of 5,271ha tenure has been clarified and allocated to households.
- Agroforestry model development has been piloted and reviewed in Lam Dong Province, as an alternative approach to address in principle illegal encroachment into forest land. The smallholders are mostly growing coffee on the encroached land and are encouraged to start intercropping to diversify their livelihood resources, while improving forest cover and improving their land tenure status. The provincial proposal on the agroforestry models supported by the Programme was presented during a workshop with all key stakeholders. The approach is seen as promising and as having clear scaling-up potential. Besides the general environmental benefits and beneficial livelihood impact, the agroforestry model also is seen as an innovative approach to mediate and settle cases of forest land encroachment, supporting economically vulnerable households in promoting more sustainable production practices instead of rigid eviction and legal punishment.
- Continued support to livelihood support models (shrimp, medicinal plants), connecting communities and household-groups with private enterprises through MoUs, creating a framework for continued collaboration after Programme ends.

Output 2.5 Integrated with 2.4 Monitoring

- In the AWP/B 2018 output 2.5 on monitoring is integrated with output 2.4, reflecting the continuing M&E at provincial level of ongoing PRAP/SiRAP implementation and related reporting, including joint M&E visits with CSO and PEB representatives.

Table 2 Progress assessment for Outcome 2

Outcome 2	Fully on track >75%	Partly on track 50-75%	Partly on track 25-50%	Not on track <25%
2.1				
2.2				
2.3				
2.4				
2.5				

Overall the Programme is on **fully on track** to reach the set outcome. With the formulation and approval of the PRAPs and SiRAPs full focus has been on implementation and finalization of last remaining activities, leading up to a PRAP Experience Sharing workshop planned by the end of November 2018.

3.3 Outcome 3

Outcome 3 National forest monitoring system (NFMS) for monitoring and measurement, reporting and verification, and national REDD+ information system (NRIS) on Safeguards are operational

Output 3.1 National REDD+ Information System is operational

- The DID staff are trained (October 2018) in handling and updating the REDD+ Information Portal and its integration into FORMIS. The REDD+ Information Portal will be handed over to DID within 2018. Previous issues such as related to administrative boundaries and data sharing have been resolved.

Output 3.2 NFMS – Land Monitoring System (LMS) developed

- Continued training on M&E in pilot provinces, selected indicators developed and being reported. The indicators are based on FRMS updates available in the FORMIS Forestry Data Sharing System. Joint effort with JICA, also in training of provincial staff and in the development of REDD+ indicators.
- Historical maps are being revised in collaboration with FIPI, to take into consideration, FCPF method, FREL/FRL TA recommendations and the requirements of the GCF scorecard for RBPs. The maps have been revised making use of change detection methods and are evaluated for their accuracy with an uncertainty assessment.

Output 3.3 NFMS-Emission Factors (EF) developed

- NFIMAP mapping cycle for NFI reinitiated with Programme support for the development of the mapping methodology to be applied in the 2016-2020 period. The mapping exercise is fully funded by the Government of Viet Nam and will provide essential data on forest cover, types and change and provide updated EF information. Interim EF can be deduced from fixed plot measurements (with larger uncertainty)
- A comparative study between NFIMAP and NFIS forest carbon stock was concluded, recommending not to use NFIS carbon stock in REDD+ MRV due to methodological differences.

Output 3.4 Institutional arrangements for compiling National REDD+ GHG-Inventory clarified

- A report presenting the technical details on the inconsistencies between FREL/FRL and GHG-I was developed. It contains recommendations to overcome these inconsistencies¹⁶.
- A review of new GCF requirements (scorecard) for piloting RBPs was conducted in collaboration with JICA and FIPI.

Table 3 Progress assessment for Outcome 3

Outcome 3	Fully on track >75%	Partly on track 50-75%	Partly on track 25-50%	Not on track <25%
3.1				
3.2				
3.3				
3.4				

Outcome 3 is overall **fully on track** to reach set outcome. Note that output 3.5 has not been included in the AWP/B 2018, as the output was reached, however with the developments in the year regarding the Government's NFI (i.e. NFIMAP cycle VI), and GCF scorecard for RPB piloting, a reassessment of data including drafting of a resubmission of the FRL to better align with the GCF scorecard requirements is taking place. The different components of the National Forest Monitoring System for MRV are in place and functional with their respective institutions. Functionality of the system is not a steady state and has to be updated and reviewed as international requirements for MRV and RBP eligibility change over time.

¹⁶ A workshop with MONRE and MARD officials was conducted to review the inconsistencies in December 2017.

3.4 Outcome 4

Outcome 4 Stakeholders at different levels are able to receive positive incentives

Output 4.1 National REDD+ Fund (NRF) operational

- In line with the EG4 decision, the Programme has monitored the political status quo, outside of the direct control of the Programme, hampering the further development and operationalization of the NRF. In earlier years guidelines were developed together with an operational manual, but presently the whole process is “on hold”, awaiting the evolution of financial opportunities (GCF RBP piloting, bilateral agreements etc.). Current draft of Benefit Sharing Plan (BSP) of FCPF/WB Emission Reduction Program of Viet Nam (ER-P) has incorporated the roles/functions of NRF to operationalize the BSP as the joint working product of FCPF2 Project and UN-REDD Viet Nam Phase 2.

Output 4.2 National and provincial-level mechanisms and standards for distribution of REDD+ positive incentives researched and drafted

- BDS lessons, based on the 17 SiRAPs with BDS schemes, are drafted at provincial level and consolidated into a final report. The experiences and lessons are the basis for further guideline development and recommendations for integration with the PFES system at national level. The BDS experience is utilized for further development and finalization of BSP of ER-P and application in the FCPF provinces of the ER-P.

Output 4.3 Grievance redress mechanism (GRM) established

- A draft report based on pilot province experiences is being finalized, as key input for national guideline development, leading to a full national GRM mechanism, in close collaboration with the MoJ. Final reporting is expected in November. The information from the GRM is essential input to the Sol/SiS.

Table 4 Progress assessment for Outcome 4

Outcome 4	Fully on track >75%	Partly on track 50-75%	Partly on track 25-50%	Not on track <25%
4.1				
4.2				
4.3				

Overall **fully on track** to achieve outcome, with finalization of key outputs in the final months of the Programme. Definition of outcome targets have been gradually changed and rephrased due to changing circumstances: the NRF has not materialized as expected and the BDS lessons have not led to formal national level adoption of guidelines but are researched and drafted. Although formally one could conclude that initial targets have not been met, it is seen as appropriate adaptive management to readjust and rephrase targets and expected outcomes in line with evolution of national circumstances.

3.5 Outcome 5

Outcome 5 Mechanisms to address the social and environmental safeguards under the Cancun Agreement established

Output 5.1 Scope of country safeguards approach defined and safeguards information system determined

- The SIS Framework is being finalized: a demo version is shared and key stakeholders are being consulted for finalization and final integration into FORMIS.
- The final compilation and submission of the Sol-SIS is close (expected in late October-early November and constituting a key deliverable). The first Sol is undergoing a final consultation process with relevant government stakeholders, following various consultations workshops held with government and non-government stakeholders. Formal submission of the first Sol to UNFCCC by Viet Nam is expected by Late 2018.

Output 5.2 Policies and measures to address and respect social and environmental safeguards operationalized

- The Participatory Governance Assessment (PGA) exercise is being finalized with the PGA report of 3 pilot provinces being consolidated into an overall report. Outcomes of the PGA exercise inform the emerging Sol.
- The Programme has supported CSOs and Ethnic Minorities in their engagement related to safeguards and monitoring, e.g. an NGO (SRD) has been trained in the basics and application of the TERRA-I tool in Lam Dong and intends to apply this in their monitoring role in the ER-P (FCPF).
- A high-level forum on Ethnic Minorities and the development of a sustainable value chain of forest products was organized in collaboration with CEMA and the private sector and attended by the Deputy Prime Minister on 20th August 2018.
- A FPIC review study is being finalized.

Table 5 Progress assessment for Outcome 5

Outcome 4	Fully on track >75%	Partly on track 50-75%	Partly on track 25-50%	Not on track <25%
5.1				
5.2				

The outcome is **fully on track** to reach its set outcome. With the finalization of the SIS and Sol key elements of the country safeguard system have been developed and beyond only the development of a mechanism, national capacity of key stakeholders, including CSOs and ethnic minorities, has been enhanced through their active engagement in piloting safeguard approaches.

3.6 Outcome 6**Outcome 6 Regional cooperation enhances progress on REDD+ implementation in Lower Mekong Sub-Region****Output 6.1** Effective cooperation between governments in the Lower Mekong Sub-Region on reducing illegal logging and trade

- A Vietnam-Lao bilateral exchange on addressing transboundary displacement and drivers of deforestation and forest degradation was organized in May 2018 in Luang Prabang (Lao PDR) with private sector engagement. See: the [Vietnam-Lao PDR Bilateral Exchange](#). The exchange focused on the developments in the forestry sector, particularly those related to REDD+ and transboundary displacement issues. Both countries are engaged in REDD+ and this represents an opportunity to place forests and land use on a more sustainable footing, and provide incentives for doing so. But, illegal and/or unsustainable logging and timber trade between countries can undermine REDD+ efforts. This bilateral exchange thus encouraged discussions on the potential domestic and cross-border impact and risks, and identified mechanisms for monitoring of risks.
- MoU with Myanmar is emerging, well aligned with the recent high-level commitment from Vietnam and regional countries on collaboration on transboundary forest crimes through multi-ministry dialogue engaging law enforcement agencies and the forestry sector (<http://www.mpi.gov.vn/en/Pages/tinbai.aspx?idTin=39404&idcm=94>: 2018 Prime Ministers' Joint declaration on collaboration between Cambodia-Lao PDR and Viet Nam).
- An upcoming multi-sectoral meeting on transboundary forest crime and law enforcement between Vietnam, China, Lao PDR, Myanmar and Cambodia in November 2018, organized in collaboration with the Ministry of Public Security (MPS) and co-organized with UNODC and INTERPOL.
- Various other regional meetings between Viet Nam, Cambodia and Laos are planned for the coming months, including:
 - FPD – DOFI MoU review meeting (planned for October, delayed due to Dam incident in Laos PDR)
 - Tri-partite meeting, including Ha Tinh-Viet Nam, Bolikhamsay and Khammuoan Provinces –Lao PDR (planned for November)

- MoU review meeting between VNFOREST and its counterpart in Cambodia (planned for October).

Output 6.2 Commitments by the wood processing industry in Viet Nam and other regional countries to sourcing legal and sustainably harvested timber

- The Programme's support facilitated the capacity building process of timber associations and their members on due diligence systems to verify legal and sustainable sourcing of wood materials in support of the VNTLAS system under development by VNForest in order to ensure the use of legal and sustainable harvested timber both from imports and domestic sources.
- This output is directly linked to the FLEGT-Voluntary Partnership Agreement (VPA) signed early October, for which the Programme has contributed to the development of the VNTLAS.

Output 6.3 REDD+ strategies across the Lower Mekong Sub-region and beyond are informed by Vietnamese lessons. Enhanced biodiversity conservation through REDD+ collaboration.

- A regional REDD+ e-network is under investment and awaiting political decision from stakeholders.
- Support for organization and participation in various regional exchange events in 2018 to share experiences and lesson learnt from Viet Nam, including bilateral meeting on responsible investment in agri-business in Laos (May 2018), South-South exchange on REDD+ safeguards in Ghana (June 2018) and regional exchange on REL/FREL in India (Sept 2018).
- Voluntary guideline development with VRG, PanNature and Oxfam on responsible and sustainable investment. Further collaboration with MPI on exploring valuation of co-benefits through the multi-stakeholder integrated planning approach and the concept development of deforestation-free jurisdiction approach
- The UN-REDD agencies are working on a formulation of a regional initiative that will learn from and advance the developments as experienced under Outcome 6.
- The planned focus on multiple benefits and in particular on biodiversity benefits of REDD+ and SFM interventions has been difficult to develop and the Programme has not succeeded in sharing this perspective in the regional collaboration (e.g. CITES alignment, tool development for biodiversity benefit valuation/quantification).

Table 6 Progress assessment for Outcome 6

Outcome 4	Fully on track >75%	Partly on track 50-75%	Partly on track 25-50%	Not on track <25%
6.1				
6.2				
6.3				

The outcome is **fully on track** to reach its set outcome.

Quantification and attribution of impact is complex, as displacement and leakage are driven by many independent external factors. The contribution of the Programme to enhanced regional collaboration is however assessed as a practical and an essential first step to enhance REDD+ collaboration in the region. Some of the initial targets, as share of legal and sustainably harvested timber in Vietnamese timber imports from neighbour countries increased, have not been met due to Government decisions (internal funding of forest violation database and integration into FRMS under FORMIS) and related shift of output focus.

3.7 Overall Progress Assessment

The Programme has maintained its found momentum in 2018 and is expected to achieve its set outcomes, see Table 7 for an overview of progress made for the 6 outcome areas and its various outputs:

- National strategy and action plan: NRAP-NRIP development,
- Safeguard Information System and Summary of Information: Sol-SIS (PGA, GRM).
- National Forest Monitoring System: the emerging MRV, the NFIMAP cycle, REDD+ Information Portal integration into FORMIS

With the imminent finalization of these key national REDD+ instruments in compliance with UNFCCC requirements for the 4 Warsaw Framework pillars, the Programme has played a key role in facilitating the REDD+ readiness state of Viet Nam.

In addition to these achievements the Programme has made important contributions to the transformation and development of the forestry sector in Viet Nam through:

- progressing PRAP and SiRAP implementation and piloting of innovative approaches,
- contribution to the new Forest Law development (+Decrees),
- dialogue on transboundary displacements with Lao PDR.

For a majority of its outputs (20 of the 22) satisfactory progress has been made in 2018 (completed or almost completed) and only for a few outputs (2 of 22) the Programme is facing slight delays. See Table 8 for an overview over all six Programme outcome areas.

Table 7 Overview of progress made for the 6 Outcome areas and related outputs

	Fully on track - very significant progress	Partially on track – significant progress	Partially on track – limited progress	Not on track – very limited progress
Number of outcomes	6	0	0	0
% of outcomes	100%	0 %	0%	0%
Number of outputs	20	2	0	
% of outputs	90.9%	9.1%	0%	0%

In Table 8 the clear progress of the Programme in achieving its set outcomes can be seen by the arrows, indicating how outputs have developed from the assessment in the AR2017 to the present state of near completion.

Table 8. Overall assessment of progress achievement in 2018 for the outcomes and related outputs.
Arrows indicate the progress achieved as compared to the AR 2017 assessment.

	Fully on track >75%	Partly on track 50-75%	Partly on track 25-50%	Not on track <25%
Outcome 1				
1.1				
1.2				
1.3				
1.4				
1.5				
Outcome 2				
2.1				
2.2				
2.3				
2.4				
2.5				
Outcome 3				
3.1				
3.2				
3.3				
3.4				
Outcome 4				
4.1				
4.2				
4.3				
Outcome 5				
5.1				
5.2				
Outcome 6				
6.1				
6.2				
6.3				

4 Assessment of overall performance

In this Chapter an assessment is made of the overall performance of the Programme, making use of the OECD evaluation criteria. Although the focus is partly on the performance in 2018, the assessment looks more broadly at the Programme since its inception for these evaluation criteria.

Design

The review team's assessment is that the design of the Programme, as reflected in the ProDoc, signed in July 2013, contained several serious flaws. **The ambition level** to build, after the initial Programme Phase I, essential capacity at national and provincial level on a complex concept as REDD+ and progressively implement activities, in retrospect, has been **unrealistic**. This ambition level was partly related to an initial anticipation of a longer implementation time frame of five years, which was eventually agreed on just three years. Feedback of the stakeholders reflect their initial confusion with the institutional set-up of the Programme, the challenges to build consensus on the interpretation of the REDD+ concept and the lack of clear guidance in the initial PIM.

After the first 2 years of implementation a situation of “near standstill” had been reached and an external Mid-Term Review was commissioned to evaluate options to facilitate the Programme to become better positioned to deliver on its initial goals. Considering the recommended need for a 3 year no-cost extension, as long as the initial foreseen implementation period, the initial design has thus been too optimistic and ambitious. As a result, **the logframe has been revised with a reduction and simplification of outputs and related indicator and target sets**. The review team now sees a more balanced ratio between ambition level and realism, considering available resources and work load in its execution during 2016 and certainly in 2017 and 2018. The review team also notes the pragmatism of the management team in readjusting and redefining targets and realistic outputs for the Programme components, in dependence of evolution of national circumstances.

The initial lack of clarity with regard to coordination resulted in a series of recommendations made during the Mid-Term Review and following annual reviews. The simplification and harmonization of the institutional set-up and coordination structure was intended with the transition of the PMU Director assigned under the Management Board of Forestry Projects, which has had a tangible impact on improved coordination structure and clarity in procedural responsibilities.

The Programme forms an example of the “One UN” approach of the UN in Vietnam, attempting to work closely and in synergy, mirroring in essence the UN-REDD core of integrated collaboration between UNDP, UN Environment and FAO. Although this has caused at the start of the Programme some confusion, to coordinate the involvement of the various UN agencies and the complexity of a joined NIM and DIM implementation modality, there is now a clearer understanding of the respective roles and inputs and a better reflection of the desired “One UN” approach. A joint mission to learn key lessons from the harmonization effort, the process to streamline coordination among the UN partners including fund transfer modalities, reported in December 2016 with a detailed documentation¹⁷ of the initial coordination issues the Programme was struggling with in its initial years. In retrospect, the Programme has offered the opportunity for valuable learning on how to strengthen UN technical and operational coordination and harmonization, and reach a corresponding improvement in overall delivery progress. “The complex implementation modality linking three participating UN organizations, each having different operational procedures and working modalities” proved to be a source of issues hampering the Programme's progress. Key learning was reported linked to two key issues: *harmonization and simplification of operational procedure* and *approaches to ensure coordination and accountability*. An important finding was also that: “Each participating UN organization was ultimately able to apply significantly more flexibility in the Programme within their existing rules and procedures than was previously thought possible during Programme design, inception and initial implementation”. Another key finding is that the United Nations Technical Team (UNTT) set-up has proven to be “a highly valuable mechanism for fostering the

¹⁷ David Paine, UN-REDD 2016: UN-REDD Viet Nam Phase II Programme - Report on Lessons Learnt in the Harmonization Process among Related UN Agencies within the Programme

intensive and rigorous technical exchanges necessary for consensus-building as an essential basis for consistent technical advice and assistance to national REDD+ efforts through the Programme.”

Relevance

The Programme is assessed **as very relevant** for Vietnam in support of and in alignment with national policies on REDD+, climate change and sustainable forest management and development priorities. Stakeholders were unanimous in their opinion on the relevance of the Programme and its alignment and fit with national policies and priorities. Recent policy decisions (the new Forest Law, valuation of environmental services beyond the economic, Resolution 71 to close National Forests and prohibit logging and recent online review with all stakeholders, Directive 13 from the Communist Party on enhanced forest protection and sustainable development, urging all sectors to collaborate in forest protection, Decision 119 to protect coastal forests and the new Planning Law) reflect a positive trend towards a more multi-sectoral integrated landscape approach to SFM and REDD+. Besides the strong national relevance of the theme and objectives of the Programme, the regional perspective through its Component 6 on addressing transboundary issues and fostering regional collaboration on REDD+ and its multiple co-benefits is seen as relevant and appropriate.

Effectiveness

The Programme has maintained in its final year of implementation the momentum, gained in 2016 and 2017, as presented in more detail in Chapter 3. It is continuing to make tangible progress towards achieving its set outcomes, with as highlights the NRAP endorsement and related NRIP development, contribution to the approved Forest Law, the emerging MRV system and its constituting elements, and finalization of PRAP and SiRAP implementation with piloting of innovative approaches for the forestry sector. A more detailed overview reflecting the effectiveness of the Programme in achieving its set targets and with related indicators is presented as Annex 5. For a majority of its outputs (20 of 22) satisfactory progress has been made (fully on track) and only for a few outputs (2 of 22) the Programme is facing slight delays (on track), see section 3.7. Progress assessments for the six outcomes and related 22 outputs with distinct indicators reflect a satisfactory level of effectiveness to reach the set targets. This is in line with the self-assessment as presented in the National Programme Progress Report of September 2018, which reports 2 outcomes as achieved and four outcomes as on track for completion in this last year of implementation.

The AR team notes a broad-based appreciation for the work of the Programme and acknowledgement of the gained momentum in the last years of implementation and the quality of the support provided, efficiency and effectiveness, including its efforts, as cross-cutting criterion, to reach meaningful engagements of CSOs and ethnic minorities and include public private partnerships (PPPs).

The AR team commends the Programme for its efforts to stimulate and implement participatory approaches. The inherent nature of the complex REDD+ concept requires a multi-stakeholder approach, which is often complicated, time-consuming and requires shifting mind-sets and behavioral change. The AR team noted clear appreciation of this participatory approach at provincial level with the PRAP consultation process as example how all key stakeholders have been engaged, supported with capacity building and involved with implementation and monitoring activities, with inclusion of CSOs and Ethnic Minority Networks.

Such a broad-based participatory approach requires substantial energy to build capacity and raise awareness of all stakeholders involved and come to a consensus between all stakeholders involved, with as key example the participatory approach to the PRAP planning, but ultimately will support an effective implementation and embedding within governmental structures, including joint monitoring procedures. Stakeholder engagement, through the Ethnic Minority Networks at provincial level, the REDD+ communication networks, the PGA groups, joint monitoring approaches and the provincial REDD+ Steering Committees, is therefore seen as effective.

The communication outreach of the Programme has been effective with a grown output of newsletters, brochures, outreach and awareness raising materials, use of social media and a dedicated website (<http://www.vietnam-redd.org/>) and with a particular appreciation of the videos produced, distributed via a dedicated YouTube channel, <https://www.youtube.com/channel/UC2EnmAsUh2oXuN251XydmMQ>. The provincial communication networks, with team members in each province, are seen as an effective participatory

set-up to enhance REDD+ knowledge and awareness at decentralized level. The case studies being produced for all pilot provinces are an effective manner to disseminate the pilot experiences and key lessons. The evaluation team notes the limited human resources available for the finalization of all knowledge products in the final months of the Programme and the limited time for timely and quality delivery of all knowledge products being finalized. With so many reports and final documents being finalized in the last quarter, there is only a limited window of opportunity for knowledge sharing, dialogue, handing-over and follow-up.

Efficiency

In 2018 the Programme has shown **satisfactory financial delivery** so far (up to end of September) with NIM delivery at 34% (57% including BDS) and DIM delivery at 55%, combined 44%, with inclusion of BDS payments (being verified and settled at the end of Q3) up to **56%**, see Table 9. This which would lead to **80+%** financial delivery at year end as projection, following similar trends in in 2016 and 2017, see Table 10.

Table 9 Estimated financial delivery and delivery rate for 2018 up to Q3 (source PMU)

	Estimated financial delivery (Jan-Sep 2018)	Approved budget (AWP 2018)	Estimated financial delivery rate
DIM	1,176,012	2,125,721	55%
NIM	922,703 (1,522,703 incl. BDS)	2,694,86	34% (57% incl. BDS)
Total	2,098,715	4,820,588	44 % (56% incl. BDS)

Source: PMU, 6-monthly report (July 2018) and PMU, 2018 Progress Report Draft (September 2018)

Table 10 Estimated financial delivery and delivery rate for 2015, 2016, 2017 and 2018

Year	Estimated Financial delivery (Jan – Sept)	Approved budget (AWP)	financial delivery rate (Jan- Sept)	Annual financial delivery rate
2015	3,503,225	11,981,806	29%	55%
2016	4,716,967	10,452,990	45%	76% (vs. estimated 85% in AR 2016)
2017	3,753,419	7,680,433	49%	72% (vs. estimated 80+% in AR 2017)
2018 (estimated)	2,098,715 (2,698,715 incl. BDS)	4,820,588	44% (56% incl. BDS settlements)	(Projected) 80+%

The financial delivery rates of Table 10 clearly indicate the initial low efficiency of the Programme as a result of the coordination and resulting implementation issues and the marked improvement in the last years of implementation. See also Figure 3 for an overview of financial delivery since 2014.

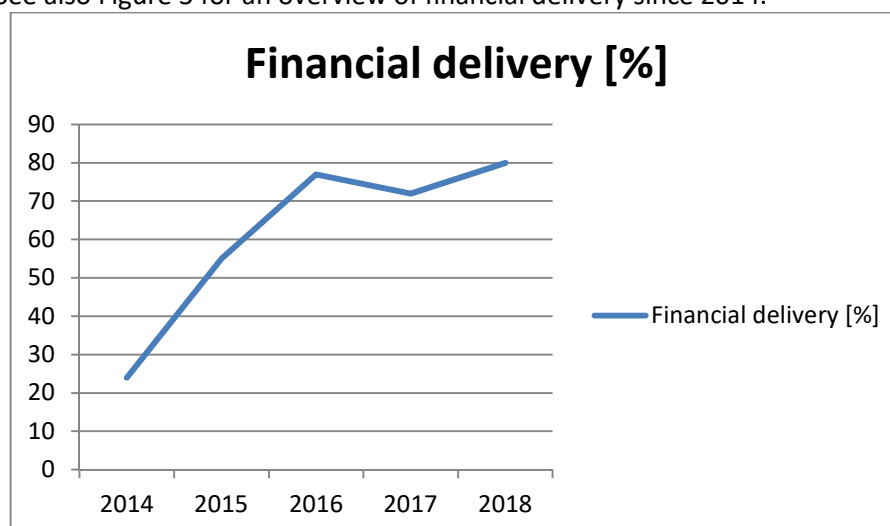


Figure 3 Financial delivery in the period 2014-2018 (2018 projection)

The PMU has a competent accountant team and financial management and control mechanisms are understood to be all functional and no main issues were reported by the PMU, MARD (DoF) or through external audits. Serious issues, as reported to have occurred in the initial years, with long delays in budget endorsement processes, are now absent and the documentation is reported to be of good quality. Some minor issues, as reported in the AR 2017, in the financial management, referring to contracting/accounting of CIPs and procurement and administrative procedures of equipment to ensure proper handing over, have been followed up satisfactorily as reflected in the Management Response to the AR 2017 recommendations and as reported by the MARD-DoF staff. As the closure of the Programme is imminent, there is a clear need to carefully **prepare for implementation and financial closure** (implementation closure by 31st of December 2018 and financial closure spilling over to end of June 2019) and to follow guidelines to enable use of VAT and interest return by year end (an estimated \$120,000+). PMU has proactively prepared a proposal¹⁸ with proposed provisions for a smooth implementation and financial closure, referring to Chapter 12 of the PIM and with a proposed timeline for implementation and financial closure.

- Recommendation: the need to careful **prepare for financial closure** (spilling over to end of June 2019) and to follow guidelines to enable use of VAT and interest return by year end. (PMU proposal)

In 2018 the Programme has been able to implement a high percentage of the activities it has planned for, in particular at provincial level (often more than 90%). This reflects the grown experience of the PPMUs to come to a realistic amount of activities in their annual work plan and actually efficiently implement a high percentage of these planned interventions.

Looking back on previous Programme years, stakeholders report an increased efficiency in timeliness and quality of delivered outputs, both at national as at provincial level, in line with expectations of a maturing Programme, also reflected in the satisfactory level of reached targets for respective outputs. The AR team notes satisfactory level of corrective measures taken to mitigate any significant delays, e.g. for outcome 6, where the Programme has been able to follow-up to a series of recommendations and gained momentum in the implementation that was lagging behind. **The regional backstopping**, with TA support and infusing global experience and best practices and providing quality assurance of approaches and products, has greatly influenced quality of TA support and **is widely appreciated by the stakeholders**.

The AR has noted a satisfactory level of stakeholder involvement, both at provincial and local level (District and commune) as at national level, with increased involvement of private sector and active participation of ethnic minorities and civil society organisations (CSOs), partly in response to earlier review recommendations. The AR team is pleased to note a **broad-based appreciation by the stakeholders** for the work of the Programme and **the quality** of the support provided, the efficiency and effectiveness, including its efforts to reach **meaningful engagement of CSOs and ethnic minorities**. Engagement and participation of CSOs and ethnic minorities is well arranged at national level, with representation in the PEB and a corresponding budget to help both representatives fulfil their roles, and observer status in the EG and with good organization levels of the national networks. At provincial level, the CSO and ethnic minority networks set-up under the Programme implementation support are less likely to sustain post-Programme without the present financial and coordination support¹⁹, although they clearly contributed to an effective participatory engagement and planning approach in the pilot provinces.

Stakeholders are generally expressing that they have seen a clear improvement in management and coordination mechanisms, after a very difficult start-up phase and several national stakeholders express to have learned and to be more confident in how to collaborate and engage in a relatively complex multi-stakeholder programme set-up, involving three UN agencies. This improved confidence and appreciation of the Programme influences the country ownership of the Programme in a positive sense; stakeholders report that the effort and time invested start to pay off and they feel more committed.

¹⁸ UN-REDD PMU, September 2018: Proposed Provisions for Programme closing

¹⁹ Pers.com. representatives of SRD and CSMD

5 Programme Management

In this Chapter the management of the Programme is assessed with attention to the ability of the management team to effectively plan and implement REDD+ activities, to engage all key stakeholders in this process, how it has reacted to emerging issues and challenges and how it has made best use of the available financial and human resources. The governance structure and performance is evaluated and the level to which the management has been able to respond to the Annual Review 2017 recommendations and the EG5 decisions.

In general, the day-to-day management of the Programme by the Programme Management Unit (PMU), directed by the National Programme Director as head of the Forest Project Management Board, the director of VRO as Deputy Director and supported by the National Programme Coordinator, is regarded to be effective. Common feedback by stakeholders to the AR/FE team is that they are pleased with the present management execution and its ability to plan, coordinate, implement and communicate the various REDD+ interventions at national and provincial level. The role of the former CTA, now TA to the project, has been lauded by many stakeholders in facilitating various dialogues, engaging new stakeholders and enhancing overall Programme delivery. The role of the UNTT (UN Technical Team) in providing, where and when deemed necessary, technical backstopping support through technical experts, either in-country or from the region, has been important for the Programme to assure quality technical guidance and to infuse global best practices and international standards and experiences to the national stakeholders and Programme implementers. Overall, taking stock of the initial management set-up linked to the One UN coordination intention, the management team has shown stamina, flexibility and perseverance. This has resulted in an eventual effective management set-up (after a very complicated start-up phase), linking the UN-REDD system with the Government of Vietnam, CSOs and Ethnic Minorities, private sectors, academia and the provincial piloting stakeholders.

The governance structure of the Programme through the Programme Executive Board (PEB) and the Executive Group (EG) has supported the management with technical guidance and overall steering through recommendations and decisions. Present frequency, timing and functioning are reported as satisfactory. Inclusion of key stakeholders in the PEB and EG has enabled active engagement and participation of key governmental agencies as well as representatives of CSOs and ethnic minorities.

The planning cycle has taken into account a review of implementation progress (stocktaking) and a projection of needed interventions (forward looking) in the coming year to achieve set targets for the various outcomes and related outputs. The resulting Annual Work Plan and Budget (AWP/B) are reviewed and endorsed by MARD/VNForest and ultimately the EG and the present planning cycle has not led, contrary to the initial years of the Programme, to material delays in implementation. Contingency budgets allow the provincial teams to start implementation if endorsement delays would take place. Although efficiency in delivery has greatly improved since 2015, the programme management has had to adjust AWP/Bs with carry-over of non-utilized budget to ensure full implementation of planned interventions.

The monitoring of implementation progress is supported by an established M&E network, organized by a M&E officer at PMU and the PPMU coordinators. Implementation progress at provincial level is reported monthly, quarterly and annually to PMU and combined with the progress reports of the CIPs and consolidated with the PMU monitored activities at national level. PMU reports monthly to VNForest / DOSTIC in a dedicated template, added with a consolidated report by PMU, based on the reports of the outcome leaders and the field coordinators. A quarterly and 6-monthly ODA report is submitted by PMU to MARD/MPI, 6-monthly and annual reports are submitted to PEB and EG. Additionally, ad-hoc report requests are submitted by MARD and PMU compiles an annual report for UN-REDD Global. Thematic monitoring and reporting is aimed at the SiRAP implementation progress through site monitoring teams comprised of the key stakeholders involved in the SiRAPs and BDS schemes and aimed at a participatory approach of the M&E cycle. Overall, the M&E system is considered to be relatively “heavy” and demanding in time and human resources. As often with more complex Programmes, it remains a challenge to effectively produce timely and accessible M&E reports and to compile consolidated and aggregated information to inform the PMU timely and effectively. The quality of M&E reporting is also questioned by technical backstopping staff of the UN, as reports from the PPMUs tend to be generic and output-based, not addressing the critical technical issues at hand. The decision by the PMU to ask all PPMUs to document their key learning and experiences in case studies is a good initiative to enable effective

learning and knowledge sharing, informed by and based on the M&E exercises linked to the piloting and demonstration activities on e.g. FLA, BDS, GRM and PGA. It emphasizes the importance that the M&E system not only enables adequate quantification and documentation of the implementation progress, but also facilitates and enables the extraction of key challenges and emerging good practices.

The review team has taken note of a large number of emerging publications in the last months of the maturing Programme as the various pilots and innovative approaches undertaken are nearing completion. It is also assessed as good practice to include CSOs and EM representatives, and occasionally PEB members, in joint M&E missions in the pilot provinces, resulting in more transparent and independent monitoring and offering a good dialogue platform for discussion and knowledge transfer for provincial authorities involved.

The MTR and the 2015 and 2016 Annual Reviews have had a strong focus on improving the organizational set-up of the Programme management and coordination with key stakeholders. The management response and follow-up to the recommendations of the 2015, 2016 and 2017 Annual Reviews and to respective EG decisions forms a good indication of adaptive and responsive management. The management response and the assessment of the AR/FE team to the Annual Review 2017 recommendations (10 in total) and the EG5 decisions (6 in total) are presented in more detail in Annex 6 and Annex 7. The AR/FE team finds the follow-up by the management pro-active and satisfactory, reflecting the general impression, as expressed by the stakeholders consulted, that the management team has shown effective adaptive management in addressing the issues and challenges it has been confronted with.

A series of recommendations in previous Annual Reviews were targeted to identify measures to support the REDD+ unit (VRO), to strengthen its institutional embedding in its new position as a part of the Office of State Steering Committee to Sustainable Forest Programme (SSCO), and to be technically capable with financial sustainability to coordinate and conduct M&E of the NRAP implementation. This will require continued targeted effort to enhance its function Post-Programme, also in terms of staffing and funding, which were partly contracted through Programme support. The six Sectoral Technical Working Groups (on safeguards, BDS, MRV, local implementations, private sector and governance) have convened regularly, co-chaired by governmental agencies and CSOs. The review team understands that a donor dialogue will be organized to look into Post-Programme bridging funding of the SSCO, additional to regular state budget lines and in anticipation of direct funding support from 2021 when RBPs could be used for the organizational support.

Recommendation: The institutional embedding of the SSCO (Vietnam REDD+ Office) to ensure its key role in REDD+ coordination within the Government of Vietnam is welcomed as a tangible result, but **will require targeted effort to ensure continuity in its functioning and capacity Post-Programme**, also in terms of staffing and funding.

The AR team is pleased to see the close coordination of the Programme with other projects and programmes active in the pilot provinces in order to avoid duplication and to make use of already existing successful models and work complimentary (e.g. Ca Mau). This also accounts for national level coordination (e.g. WB-FCPF, SNV, JICA, GiZ) to ensure effective knowledge management and explore synergy potential and opportunities for replication of emerging good practices.

The Programme has maintained its ambition level in the late stages of the Programme evolution by **thinking “outside of the box”**, by supporting and facilitating **innovative approaches**, e.g. the support to MPI in piloting the One Master Plan concept and Green Growth Plan related to the new Planning Law, collaboration with financial institutions (green accounting) and the TERRA-I monitoring tool piloting. The review team appreciates this willingness of the management to continue to explore innovations as opportunities arise and the active facilitation role to open up new partnerships, e.g. with the MoJ, with MPI and with financial institutions.

6 Impact and Sustainability and the Post-Programme Perspective

In this Chapter the impact of the Programme is assessed and the overall sustainability, towards lasting and sustained impact, is discussed and the prospect, looking ahead beyond the finalization of the Programme in the last quarter of 2018, of the actual state of REDD+ readiness and the ability of Vietnam to commit to result-based payments. In this context the exit strategy of the Programme is evaluated and its likelihood to enhance permanence of impact and to facilitate a smooth transition post-Programme.

Impact

In retrospect, the very difficult start-up phase of the Programme, with many coordination issues, very limited implementation progress and widespread confusion between and among key stakeholders, has initially negatively impacted the Programme by loss of momentum and the related risk of loss of interest of stakeholders as the near-standstill continued. At the same time, this has resulted in a serious redesign of the coordination structure and in a harmonization effort of the UN agencies intended to turn around the Programme and enhance its efficiency in implementation and delivery. This redesign, reorientation and intense dialogue has, although unintended and out of necessity, lead to a clearly improved Programme set-up, with enhanced efficiency and effectiveness in implementation and delivery and with a positive collaboration in a complex setting with national and provincial stakeholders on a multi-disciplinary multi-sectoral theme.

The FE team takes note of meaningful impact on the ground as result of the REDD+ implementation in the 6 pilot provinces, including Forest Land Allocation (5.271ha), agroforestry models, SFM plans (200,000ha), FSC for 19.541 ha, livelihood impact for 440.927 hhs and 345 community groups through MoUs with enterprises on specific commodities and through SiRAPs and BDS. Overall, the impact is limited in improvement of forest cover or forest quality, which will need more time to quantify. It has to be emphasized that the main objective of the Programme was more towards capacity building on planning, implementing and monitoring REDD+ and SFM interventions and in catalyzing a transformational change in the forestry sector towards broader forest valuation and sustainable management of forest resources and less in achieving a large areal increase of forest areas or carbon stock.

Greater impact of the Programme is related to clearly enhanced capacity of the Government of Viet Nam and other key stakeholders in planning of and implementation of REDD+/SFM related interventions to enhance carbon stocks and multiple social and environmental services and benefits as evidenced in the developed NRAP-PRAP-SiRAP planning and implementation, the overall MRV and NFMS set-up, including FREL-GHG-I development, establishment of an environmental and social safeguard system, coordination and knowledge management set-up and institutional embedding and awareness creation and capacity building through a targeted academic curriculum.

Building on the founding work of the UN-REDD Programme Phase I, the preparation of national REDD+ instruments and architecture in compliance with UNFCCC, existing of a NRAP-NRIP, a Safeguard Information System and Sol, submitted FREL and operational NFMS is a tangible legacy and impact of the UN-REDD Programme. The AR team is comfortable with the assessment that the Programme has succeeded in building robust awareness on climate change and REDD+ at national and provincial level. A quick capacity survey (October 2017) indicated that about 94% of province officials involved in REDD+ have a good or very good understanding of it. Impact is also evident in increased awareness, grown knowledge and skills and local regulations enhancing SFM, all leading to a shift in mindset and behavioural change.

The review team assesses that the Programme has taken important steps in supporting Viet Nam in terms of its readiness for REDD+ and to reach the overall Programme objective “to enhance Viet Nam’s ability to benefit from future results-based payments from REDD+ and undertake transformational changes in the forestry sector”. In terms of planning, policy development and regulations, the approval of the second NRAP for the period until 2030, is seen as significant progress towards a transformative approach to REDD+ and sustainable forest development in Viet Nam. Arrangements for REDD+ implementation have been enhanced with REDD+ coordination and steering functions being integrated into the government’s multi-sector steering mechanism for sustainable forest development and support to a revised and enhanced VRO functioning. The development

of a mid-term implementation plan (NRIP) facilitates transition from planning to implementation and investment and is seen as supportive to lasting impact, beyond only the intended NRAP.

Sustainability

Sustainability of the Programme and permanence of impact, how benefits and impacts will be maintained after the Programme ends will be largely determined by ensuring that Viet Nam has sufficient capacity, both at national and provincial level, to implement a national REDD+ programme independently with minimal external technical assistance. A number of existing challenges have been addressed by the Programme in order to create an enabling environment for future REDD+ implementation.

In assessing the Programme sustainability the FE team recognizes **a series of critical elements** that will support continued impact, divided over the elements **ownership, institutional embedding, capacity and financial resources**. These key elements will be determining if the existing impact the Programme has generated, REDD+ readiness and overall national capacity as outcomes of the Programme support, will be lasting in the longer-term. REDD+ readiness is not a steady state, it forms a continuum that needs updating, additions and maintenance and will require adaptation to new challenges and compliance with new emerging requirements.

Critical for longer-term sustainability of impact of the Programme is the exit strategy²⁰, or phase out plan, of the Programme. This has gradually developed on request of the EG4 and EG5 and in its latest form represents a comprehensive longer-term approach. The exit strategy of the Programme depicts a strategic approach to anchor REDD+ and SFM into a strategic national agenda building conditions to effectively coordinate the implementation of the NRAP, to pilot multi-sectoral partnerships, promote political commitment and a conducive legal and regulatory framework. This is combined in the exit strategy with securing funding from various sources, integrating/mainstreaming of REDD+ methods and tools into national-level policies and guidelines and active REDD+ knowledge management. The exit strategy details with a time line which actions need to be taken Post-Programme, in the periods 2019-2020 and 2021-2022, in order to enhance and support ownership, institutional embedding, capacity and financial resources. The evaluation team welcomes the exit strategy as a detailed and practical guiding document that sketches essential elements for enhancing Post-Programme sustainability in support of full NRAP implementation.

The exit strategy is also realistic in the sense that it acknowledges a remaining financial gap Post-Programme to fully implement the NRAP in the coming years. Although considerable domestic public resources through state budget lines are or will be available for implementation, additional funding sources will be needed, including potential funding from PFES in support of NRAP implementation, engagement of the private sector including financial institutions and emerging REDD+/SFM related project opportunities with ODA funding as the GCF project concept for the Central Highland (FAO), the Deforestation Free Jurisdiction Approach in the Central Highlands (UNDP-GEF), the Regional project proposal on sustainable and responsible land-based investments (Government of Norway), the recent ER-P (WB-FCPF), JICA REDD+ Programme and others.

Apart from potentially mobilizing additional funding for NRAP implementation and additional capacity support, these emerging projects and programmes offer opportunities to continue development and replicate and scale-up approaches, methodologies and tools as developed and piloted by the UN-REDD Programme. Overall, the evaluation team sees good scope for broader replication and scaling-up of piloted mechanisms and innovations initiated by the Programme (BDS-PFES integration, agroforestry and FLA models, value addition models, TERRA-I monitoring tool, PRAP-SiRAP methodology etc.). This also accounts for the recent Integrated Master Planning piloting at provincial level and parallel Green Growth Planning, in close coordination with MPI and potentially an important methodology for integration of REDD+ and SFM into provincial spatial planning and Green growth Plans, in line with the implementation of the new Planning Law in all provinces by 2020.

Involvement and engagement of the private sector through piloting PPPs, stakeholder value chain dialogues and drafting of industry plans for sustainable production of selected commodities (e.g. coffee, rubber,

²⁰ UN-REDD Phase II Programme, Exit Strategy, June 2018 and related PPT draft, September 2018

aquaculture and timber) is seen as an essential pathway to enhance sustainability of impact and to contribute to sustainable livelihood development of communities. The engagement of the private sector does not only support a shift towards more sustainable production practices and reduction of deforestation drivers, but also promotes a pathway for sustained support for livelihood generation activities that are likely to continue post-Programme and contribute to securing financial resources and needed investments for implementation of the NRAP as detailed in the NRIP.

One of the essential conditions for enhancing Post-Programme sustained impact, and as addressed in the exit strategy, is a conducive legal and regulatory environment, enabling REDD+ and SFM integration into the broader forest policy agenda, reflecting a transition towards a more holistic landscape approach, with broader valuation of the environmental services and other co-benefits forests provide. This links directly to the question to what degree the Programme has been able to facilitate and “undertake” transformational change of the forestry sector, as one of the overall ambitious outcome goals of the Programme? The evaluation team sees credible contributions of the Programme that warrant a positive answer to this question. Apart from the semantic question what transformational change of the forestry sector exactly means, there is credible evidence that during the Programme’s life span there has been a substantial movement towards achieving a sustainable forestry development agenda. The following policies and directives are to be noted:

- Directive 13 of the Communist Party (January 2017) expressing high-level commitment to strengthening the Party's leadership in forest protection and development,
- The updated NRAP (April 2017), as national REDD+ Vision document,
- The Target Programme on Sustainable Forest up to 2020 (Programme 886)
- The new Forest Law (2017) and emerging Decrees, and
- The Planning Law (2017).

The Programme has facilitated and supported these documents through a series of high-level conferences and workshops and constructive dialogues, bringing together multi-sectoral stakeholders. Transformation of the forestry sector is linked to a series of conceptual changes:

1. A vision to change from a goal to achieve more forest to better forest, thus from “area to quality”,
2. A more holistic and integrated valuation of forest, as expressed in the Forest Law, not only valuing timber, but approaching forest as a multifunctional provider of multiple benefits (direct and indirect) and environmental services,
3. A development towards multi-sectoral multi-year spatial planning, with NRAP and PRAP experiences and the Planning Law offering new approaches for improved integration of REDD+ and SFM into spatial and Green Growth plans,
4. Private sector involvement, beyond only the forest sector and including agriculture, in an effort to make supply chains more sustainable and deforestation or forest degradation free, and
5. Improved land tenure and use rights of ethnic minorities as reflected in the Forest Law, and providing livelihood opportunities for forest dependent communities.

Transformation of the forestry sector is an open-ended dynamic process, but based on the above arguments the evaluation team acknowledges the substantial contribution the Programme has made towards achieving a more sustainable forestry agenda. The emerging White Paper on the forestry sector, a kind of Vision 2030 document, would be another supporting contribution of the Programme to catalyze and facilitate the forestry sector transformation.

As recommended by previous annual reviews and as emphasized in the exit strategy, the embedding of REDD+ in broader SFM coordination and advocacy within the Government of Vietnam, through the Vietnam REDD+ Office and its functioning as the State Steering Committee Office (SSCO), is evidence of expressed ownership of the Government of Vietnam. The continued functioning and linked capacity needs are critical from a sustainability perspective and require sufficient human and financial resources to bridge its function Post-Programme to the moment when RBPs could provide these necessary resources.

In the context of assessing impact and sustainability of the Programme one has to consider if the other overall outcome of the Programme “to enhance Viet Nam’s ability to benefit from future results-based payments for REDD+” has been achieved? First of all, the evaluation team is confident that the Programme has contributed extensively to the present advanced state of REDD+ readiness of Viet Nam, the preparation of national REDD+ instruments and architecture (the four Warsaw pillars) in compliance with UNFCCC, existing of a NRAP-NRIP, a Safeguard Information System and Sol, submitted FREL and operational NFMS. However, and as expressed earlier, REDD+ readiness is a continuum that requires continued effort, updating of information, upscaling and adaptation to emerging global requirements. The Programme has certainly enhanced Viet Nam’s ability to benefit from future RBPs, by supporting its capacity from a technical and institutional perspective to become eligible and fulfill existing requirements (qualifying on basis of technical requirements for compliance to MRV and Safeguards). This does not answer the fundamental question if the results are there to be able to benefit from RBPs. In other words, it has to be proven in the coming years, that positive results can be reported in carbon stock enhancement through validated proof of more and/or better forests over time.

The evaluation team agrees with the assessment of the exit strategy that the UN-REDD Program at the global level will continue to provide international technical assistance for a number of key areas, beyond 2019. As part of the UN-REDD technical assistance, it is anticipated that FAO will keep providing support on updating the forest reference level, MRV design, NRAP M&E framework and PRAP monitoring system, and UNDP will keep assisting with implementation of the NRAP M&E framework, forest integration into land use planning, and broad stakeholders’ coordination and engagement including with regional countries. Another possible area of support to Viet Nam is in building experience in assessing, monitoring safeguards implementation, and in private sector engagement in agricultural investments. Agencies are also exploring ways to keep providing assistance beyond the UN-REDD Programme, for instance through the UN Environment Finance Initiative on progress towards forest carbon pricing and connection to international finance opportunities for investment projects like in the Central Highlands.

This leads the FE team to assess sustainability to be moderately likely.

Key concerns are availability of funding resources for continuation of REDD+/SFM related developments, including the financial resources necessary for staffing of VRO (State Steering Committee Office) as critical element for effective REDD+ implementation in the country, requiring support to cross-sectoral coordination (which is complex) and guidance to sectors in aligning their interventions with REDD+, and continued recognition of the value of REDD+ and SFM in broader forestry policy development.

7 Key Lessons

In this Chapter key lessons from the UN-REDD Programme are presented together with a series of emerging good or best practices are presented, as key learning and innovations developed by the Programme.

Based on the findings presented the following key learning is assessed as important lessons from the programme management and programme design and the evolution of the REDD+ Programme:

- The redesign, reorientation and intense dialogue, needed to address the very difficult start-up of the Programme in its first two years, has, although unintended and out of necessity, lead to a clearly improved Programme set-up, with enhanced efficiency and effectiveness in implementation and delivery and with a positive collaboration in a complex setting with national and provincial stakeholders on a multi-disciplinary multi-sectoral theme.
- The Programme forms an example of the “One UN” approach of the UN in Vietnam, attempting to work closely and in synergy, mirroring in essence the UN-REDD core of integrated collaboration between UNDP, UN Environment and FAO. Although this has caused at the start of the Programme some confusion, to coordinate the involvement of the various UN agencies and the complexity of a joined NIM and DIM implementation modality, it has resulted in a clearer understanding of the respective roles and inputs and a better reflection of the desired “One UN” approach.
- In retrospect, the Programme has offered the opportunity for valuable learning on how to strengthen UN technical and operational coordination and harmonization, and reach a corresponding improvement in overall delivery progress. “The complex implementation modality linking three participating UN organizations, each having different operational procedures and working modalities²¹” proved to be a source of issues hampering the Programme’s progress. Key learning was reported linked to two key issues: *harmonization and simplification of operational procedure* and *approaches to ensure coordination and accountability*. An important finding was also that: “Each participating UN organization was ultimately able to apply significantly more flexibility in the Programme within their existing rules and procedures than was previously thought possible during Programme design, inception and initial implementation”. Another key finding is that the United Nations Technical Team (UNTT) set-up has proven to be “a highly valuable mechanism for fostering the intensive and rigorous technical exchanges necessary for consensus-building as an essential basis for consistent technical advice and assistance to national REDD+ efforts through the Programme.”

Additional lessons on REDD+ planning, implementation and coordination:

- The Programme has set high ambitions in intending to undertake transformational change of the forestry sector of Viet Nam. The evaluation team argues that there is credible evidence that during the Programme’s life span there has been a substantial movement towards achieving a sustainable forestry development agenda, which is a key achievement. A key lesson has been however, that this transformative process and the establishment of such an enabling environment (policies, legal and regulatory framework) requires substantial time and energy. The initial 3 year programme cycle was therefore very ambitious. The Programme has facilitated and supported the development of these policies and legal frameworks through a series of processes including high level workshops and conferences and constructive dialogues, bringing together multi-sectoral stakeholders. Transformation of the forestry sector is linked to a series of conceptual changes, ultimately leading to behavioral change and more sustainable practices.
- Linked to this lessons, is the need to engage multiple sectors and their representatives in the REDD+ planning and implementation process. In reflection of the inherently holistic and integrated landscape-base of the REDD+ concept, multi-sectoral approaches have been pursued by the Programme, both in planning, implementation and monitoring of REDD+ interventions. This was combined with facilitating

²¹ Citations from: David Paine, UN-REDD 2016: UN-REDD Viet Nam Phase II Programme - Report on Lessons Learnt in the Harmonization Process among Related UN Agencies within the Programme.

innovative approaches to support broader integration of the REDD+ concept into governmental policies, e.g. through the support to the new Planning Law and its implementation at provincial level (One Master Plan and Green Growth Plan piloting). Reaching out and connecting to the private sector, including financial institutions and engaging dialogues with additional stakeholders as MPS and MoJ, reflects the understanding of the Programme for the need to go far beyond the traditional forestry sector, but involve key stakeholders in spatial planning and landscape based approaches, including essentially agriculture. Just as transformational sector change requires sufficient time, multi-sectoral collaboration and coordination, involving key stakeholders of landscape-based interventions and policies, is complex and time-consuming, requiring strong facilitation and coordination to bring sectors together and governmental embedding of a strong coordination entity.

- The evaluation team has noted a proactive and practical gender approach of the Programme, supported by the fact that gender has been appropriately considered in programme design, e.g. embedding in the key PRP and SiRAP development guidelines and sufficiently mainstreamed into implementation and monitoring efforts, e.g. the involvement of Women's Unions and guidelines to enhance a balanced gender level in Programme interventions (promotion of women participation in meetings and implementation activities, targeting vulnerable households including female-headed households in livelihood support activities etc.). The fact that a considerable number of PMU and PPMU staff are female, does not per definition contribute to a proactive gender approach, but enhances a well-balanced participation of men and women in Programme activities.

Emerging best practices

For each of the practices presented below, ranging from methodology, models and planning approaches to tools, a summary is presented on why it is considered a best practice, indicating causal factors why it is assessed as a potential best practice. Challenges and limitations are discussed that could reduce future applicability and replicability and need to be mitigated or addressed to enable wider application or use. Where possible, measurable impact of the emerging best practice are presented and targeted beneficiaries. Opportunities and potential for wider application are finally discussed, together with relevant documentation for further information on the best practice or adding to the relevant conditions and context.

The following emerging good or best practices are described in more detail:

1. **NRAP-PRAP-SiRAP planning methodology:** a REDD+ centered integrated participatory land-based planning approach, identifying key drivers and prioritizing specific actions, feeding into national development of NRAP building on decentralized experiences/lessons, ultimately linked in the NRIP.
2. **Engagement of CSOs/Ethnic Minorities and private enterprises in the REDD+ process:** meaningful and effective participation of EM/CSOs at national and provincial level ensuring broad-based consultation and contributing to independent monitoring.
3. **Agroforestry models,** as alternative approach to address in principle illegal encroachment into forest land through encouraging intercropping, diversifying livelihood resources, while improving forest cover and improving land tenure status.
4. **Integrated Master Plan development,** piloting an approach with a more holistic landscape approach to integrate REDD+ and SFM in multi-year, multi-sectoral integrated planning at provincial level, in parallel with the Green Growth plan development.
5. **TERRA-I,** as innovative tool for near RT monitoring of forest change and direct guidance to on the ground forest monitoring and patrolling for improved prioritization and law enforcement, with possible integration into current forest cover monitoring system (FORMIS) and with the fire early warning system.
6. **Value addition in the commodity chain,** to enhance and broaden forest valuation through certification of timber and NTFPs (e.g. medicinal plants), and enhance sustainable supply chains through the development of agriculture sub-sectoral action plans with PAMs integrated ((aquaculture, coffee and rubber).

Emerging Best Practice 1 NRAP-PRAP-SiRAP Action Planning Methodology	
Brief summary of the best practice (causal factors why this is assessed as a potential best practice)	A REDD+ centered integrated participatory land-based planning approach, identifying key drivers and prioritizing specific actions. The planning approach is developed at decentralized, provincial level and leads to a provincial REDD+ action plan or PRAP, visually reflected in maps and based on and assisted by a GIS data base. Prioritized actions are implemented at local or site level through a SiRAP, a site-based action plan at community or municipal level. These local and provincial planning approaches and the lessons from this approach are infused into the national level development of NRAP, the national REDD+ action plan. The implementation of NRAP is further guided by an implementation plan with identification of priority interventions and earmarking of targeted budget, the NRAP Mid-Term Implementation Plan (NRIP), with phased implementation horizons of near (a couple of years) and medium-term (up to 10-15 years). Gender was embedded in the participatory action planning methodology and appropriately considered in the PRP and SiRAP development guidelines. Women union representatives were part of the PRAP planning team and provincial REDD+ Steering Committees. Women participation in consultation meetings, planning process, implementation and monitoring activities has been proactively encouraged.
Relevant conditions and Context: challenges and limitations in terms of future applicability and replicability	The REDD+ action planning approach requires a multi-sectoral participation, which is more demanding on time, staffing and budget than conventional sectoral planning methodologies but key to delivering REDD+ results, and also needs appropriate awareness and capacity building of involved staff. Effective implementation of the REDD+ action plans requires longer-term commitment and the securing of sufficient budget.
Indicate measurable impact and targeted beneficiaries	Supported by the UN-REDD action planning methodology and related national guidelines, PRAPs have been compiled for in total 17 provinces, including non UN-REDD provinces. The national level NRAP gives longer-term guidance on REDD+ interventions and is linked with a targeted implementation plan with earmarked budget amounts for continued impact Post-Programme and identifying yet existing budget gaps.
Opportunities and potential for replication and by whom	PRAP development is replicated by a number of other provinces, guided by NRAP and related national guidelines and is supported by other REDD+/SFM linked projects as the E-RP and potentially by the Central Highland provinces targeted under the GCF project concept and the Deforestation Free Jurisdiction project proposal (UNDP-GEF).
Other documents or relevant comments	NRAP 2017 (April 2017) NRIP final draft October 2018 PRAP-SiRAPs of Bac Kan, Binh Thuan, Ca Mau, Ha Tinh, Lam Dong and Lao Cai UN-REDD, VNUF and IFEE (2018) Spatial Analyses as a tool for developing PRAPs. In English and Vietnamese. http://ifee.edu.vn/en/news/news/spatial-analysis-as-a-tool-for-developing-provincial-redd-action-plans-handbook-34.html Hicks, C., Ravilious, C., Nguyen, P. (2016) Spatial Analysis to support provincial REDD+ action planning in Viet Nam: Joint working session for the UN- REDD Viet Nam Phase II Programme. Prepared on behalf of the UN-REDD Programme. UNEP World Conservation Monitoring Centre, Cambridge, UK. Viet Nam's 2017 NRAP (Decision No. 419 / QD-TTg dated 05/04/2017)

Emerging Best Practice 2 Engagement of CSOs/Ethnic Minorities and private enterprises in the REDD+ process

Brief summary of the best practice (causal factors why this is assessed as a potential best practice)	The UN-REDD Programme has conscientiously invested in its design and implementation approaches to include a broad-based representation of stakeholders, reflected the multi-sectoral approach chosen for REDD+ awareness building, action planning, implementation and monitoring. Both at national level, where NGOs/CSOs and Ethnic Minorities are represented in the Programme's Executive Board, and a corresponding budget to help both representatives fulfil their roles, and the Executive Group, as representation of national level networks, as well as at provincial level where CSOs and EM network groups are formed and represented in the provincial PPMUs and PSCs, there is full and meaningful representation. The Programme has also actively sought to engage the private sector, alongside academia and government representation, as an essential pathway to seek sustainable finance opportunities in creating alliances and business opportunities, linking private enterprises and household groups, communities and forest owners. Meaningful and effective participation of EM/CSOs at national and provincial level is essential in ensuring broad-based consultation and is contributing and facilitating independent monitoring.
Relevant conditions and Context: challenges and limitations in terms of future applicability and replicability	Sustainability of the national level entities and continued engagement in REDD+ is likely through the existing and proven networks, with existing funding, but the provincial networks were dependent on programme support and are less likely to sustain Post-Programme.
Indicate measurable impact and targeted beneficiaries	The CSOs/EMs have proven to be an effective bridge between rural communities and the provincial entities of the Programme, both in raising awareness and building capacity of communities and local stakeholders for the Programme, as well as in helping the communities to voice their concerns and priorities in action planning, prioritization and in implementation and independent monitoring.
Opportunities and potential for replication and by whom	Programme stakeholders as e.g. SRD have built capacity in REDD+ activity monitoring and have expressed interest in using TERRA-I as a monitoring tool in their collaboration with the E-RP (FCPF). Emerging project concepts in the Central Highlands are also offering good cope for replication of the CSO/EM participation approach.
Other documents or relevant comments	Stakeholder engagement review (in process).

Emerging Best Practice 3 Agroforestry models

Brief summary of the best practice (causal factors why this is assessed as a potential best practice)	Forest land encroachment by smallholders (often illegal migrants and settlers) is in certain Viet Nameese provinces a widespread and serious issue and key driver of deforestation and forest degradation. In the Central Highlands this deforested land is turned into coffee and rubber plantations, offering often limited livelihood conditions to the illegal settlers (e.g. in Lam Dong province there is >52,000ha of encroached forest land). The Programme has piloted a series of agroforestry models as an alternative approach to address illegal encroachment into forest land through encouraging intercropping, diversifying livelihood resources, while improving forest cover and improving land tenure status. Intercropping pilots with forest tree species such <i>Cassia siamea</i> ²² (timber source, providing wind shelter and shadow), fruit tree and <i>Macademia</i> species proved promising as coffee yields can be maintained, while additional revenue is generated by the intercropping approach and as additional benefit a reduced need for less irrigation water as the result of shading and beneficial impact on soil moisture. Farmers consulted are very favourable (92%) to this approach as 62% see higher profits/yields and 36% see the benefits of diversification of income streams making them less vulnerable.
Relevant conditions and Context: challenges and limitations in terms of future applicability and replicability	The pilot models provide support for encroached forest land before 2015 with supply of agroforestry seedlings. Newer encroachment areas will not be supported to avoid the support to become an incentive for deforestation. Most vulnerable households will rely on direct livelihood impact and will be less interested in timber or agroforestry seedlings with longer-term impact. Forest Land Allocation to secure land tenure to the households can only be done when the land is officially returned to forest, which requires assurance of the households of their sustained use of the land.
Indicate measurable impact and targeted beneficiaries	Positive impact on smallholder settlers, who are enabled to continue their agroforestry practice, instead of being expelled from the illegally deforested land. Diversification of livelihood sources, turning households less vulnerable. Multiple environmental benefits on soil moisture conditions, reduced erosion rates and positive impact on biodiversity and biomass.
Opportunities and potential for replication and by whom	The large areas of encroached forest land, e.g. in the Central Highlands, offer good replication opportunities with provincial authorities supportive for further scaling-up of the models. Upcoming project concepts in the Central Highland would present scaling-up opportunities.
Other documents or relevant comments	Report on agroforestry pilots in Lam Dong province (October 2018 in Vietnamese).

²² Also known as *Cassia siamea*, often used as shade tree in coffee gardens

Emerging Best Practice 4 Integrated Master Plan Development

Brief summary of the best practice (causal factors why this is assessed as a potential best practice)	The UN-REDD Programme is piloting an approach with a more holistic landscape approach to integrate REDD+ and SFM in multi-year, multi-sectoral integrated planning at provincial level. The new Planning Law, to be enacted in early 2019, requires at provincial the development of one single integrated Master Plan, replacing conventional sectoral plans. In Lam Dong province, a provincial task force consisting of the Department of Planning and Investment (DPI), Department of Natural Resources and Environment (DONRE) and the Department of Agriculture and Rural Development (DARD) is supported by UN-REDD, IDH, GIZ and ICRAF to pilot the development of One Provincial Master Plan, in parallel with the development of a Green Growth Action Plan (GGAP). The GGAP focuses on six sectors, namely agriculture, forestry, tourism, water, transportation and energy, and the pilot aims at a concurrent development of the GGAP and the Master Plan, mapping out potential conflicts for the short-term (2020-2030) and the long-term (2030 to 2050). A participatory spatial planning methodology is piloted that seeks to be inclusive, integrative and informed, making use of GIS-based modelling to assist a multi-stakeholder decision-making process. The One Master Plan and the GGAP are aimed at establishing an integrated planning base for sustainable development, mitigating GHG emissions from different sectors while simultaneously maintaining economic growth. The pilot experience from Lam Dong is going to be replicated in Lao Cai province and is intended to serve as a model for other provinces to develop in the coming 2 years their Master Plan and in parallel a GGAP.
Relevant conditions and Context: challenges and limitations in terms of future applicability and replicability	It is a challenge to bring together at the planning table all relevant provincial sectors and to map out all potential short-term and long-term conflicts. This requires full participatory engagement of all relevant sectoral stakeholders, requiring a mind shift from conventional sectoral spatial planning approaches. There is clear time pressure to come to a successful spatial planning model, concurrent with a GGAP to be replicated and rolled-out to all Vietnamese provinces in the coming two years.
Indicate measurable impact and targeted beneficiaries	An integrated spatial master plan with a parallel GGAP is seen as an important step forward towards a more holistic multi-sectoral landscape-based planning, integrating REDD+ and SFM objectives into overall spatial planning. Ultimately provincial authorities will benefit from this more integrated spatial planning approach, as sectoral conflicts are identified and mapped out and GHG emissions can be timely mitigated without obstructing economic growth.
Opportunities and potential for replication and by whom	With the new Planning Law being enacted there is a direct and pressing need for an integrated spatial planning approach concurrent with a GGAP methodology to be rolled-out in the coming 2 years to all Viet Nameese provinces.
Other documents or relevant comments	Planning Law 2017 Mulia, R, Pham, V. T., Do, H. T., Nguyen, K. Q., Nguyen, D. K., Dewi, S., Ekadinata, A, Dwiputra, A. and Johanna, F. (September, 2018). Inception report of the project "Integrating Green Growth Acton Plan into Master Plan towards Green Growth in Lam Dong province of Viet Nam".

Emerging Best Practice 5 TERRA-I Forest Monitoring Tool

Brief summary of the best practice (causal factors why this is assessed as a potential best practice)	TERRA-I is an innovative system for near real time (RT) monitoring of forest change (vegetation loss detection) based on MODIS satellite imagery, first implemented in South America and under development in Africa and Asia. TERRA-I data is free accessible at www.terra-i.org with a new map of vegetation loss available every 16 days. TERRA-I has been piloted in a 10 month period in Lam Dong province in Di Linh district by the district FPD staff with support by UN-REDD, FAO and CIAT. The forest staff expressed that they feel the system is very good and useful for them in directing and prioritizing their monitoring and patrolling towards recent areas of forest cover change, indicated by the TERRA-I imagery. After training and further development, an approach has been chosen with three levels of priority: high, medium and low, pinpointing to areas of forest cover loss on district maps. The forest rangers report the system to be useful, accurate and detailed, supporting and guiding their field verification work and improving their efficiency in law enforcement. In addition to forest staff, CSO members (of SRD) have been trained in the principles and application of TERRA-I. For CSOs TERRA-I can be a practical and accessible way to play an effective role in monitoring safeguarding and documenting REDD+ and SFM implementation results. SRD has planned to make use of TERRA-I in its monitoring function within the E-RP provinces (WB-FCPF project).
Relevant conditions and Context: challenges and limitations in terms of future applicability and replicability	The imagery source, MODIS, has a spatial resolution of 10m: more detailed imagery would help to improve detection accuracy. There have been technical issues with conversion of geographic coordinates of the TERRA-I maps, provided in UTM, but with the need to convert to the Viet Namese VN2000 coordinate system. The system gives updates on land cover change, but does not detect forest quality changes (CIAT is presently developing an additional module to enable this and to link this to the FORMIS system). The present communication set-up needs to be improved for better data exchange and data sharing. No clear responsibilities for all stakeholders defined and difficulty to follow-up to all changes /detected areas because of the large area.
Indicate measurable impact and targeted beneficiaries	Clearly improved monitoring and detection of almost RT forest cover change leads to targeted and accurate field verification and law enforcement capability of the district forest staff.
Opportunities and potential for replication and by whom	The provincial forest authorities intend to replicate the pilot to all provincial districts. They intend to combine the TERRA-I information with fly cam imagery for further detection and enhancing the quality of imagery and accuracy. SRD has expressed interest to make use of TERRA-I in their monitoring work for E-RP in the Northern coastal provinces.
Other documents or relevant comments	Un-REDD PMU (November 2017). TERRA-I for forest monitoring and protection in Vietnam, note to the EG5 DARD Lam Dong, September 2018: Pilot results of Terra-I in Di Linh district, No: 1577/SNN-KL http://www.Terra-i.org

Emerging Best Practice 6 Value addition in the commodity chain

Brief summary of the best practice (causal factors why this is assessed as a potential best practice)	To promote a broader and more holistic valuation of the forest landscape the Programme has supported initiatives to enhance a more diversified forest valuation through certification of timber and NTFPs (e.g. medicinal plants), aquaculture and contributions to a more sustainable coffee and rubber production (sustainable supply chains/action plans). Forest companies have been supported in developing improved sustainable forestry management plans (200,000+ha) in collaboration with household groups and communities and about 20,000ha have been FSC certified, adding value to the timber resources. Support to small households in two provinces has been provided to strengthen their technical and institutional capacity in SFM and to get benefits from their plantation being FSC certified (nearly 1,500 ha for smallholders). NTFP groups have been supported in enhancing their sustainable management of forest resources such as medicinal plants, partly building on traditional indigenous technical knowledge, and establishing longer-term MoUs with private enterprises. In the Mekong delta of Ca Mau province households have been trained in the management and certification of organic shrimp forestry models in mangrove forests, adding value to their produce while shifting to more sustainable production practices. Together with rubber and coffee associations the Programme has supported the development of improved commodity action plans towards more sustainable supply chains and production practices, enabling certification and value addition while at the same time limiting deforestation and forest degradation.
Relevant conditions and Context: challenges and limitations in terms of future applicability and replicability	Forest owners express that the more stringent SFM plans and FSC requirements reduce their forest production area and the relatively high upfront investment to improve their SFM plans and achieve FSC compliance. The organic shrimp forestry model also needs a relatively high upfront investment for mechanized support for levee construction for mangrove seedling plantation, which limits replicability without external support.
Indicate measurable impact and targeted beneficiaries	200,000ha of SFM plans and almost 20,000ha of FSC certification provide value-addition to forest owners and linked household and community groups. The MoU with a private enterprise for supply of medicinal plants provides longer-term livelihood support for household part of the community group. Shrimp farmers are able to receive premium prices for their certified organic produce and improved commodity action plans contribute to implementation of NRAP through supporting improved sustainable supply chains for e.g. coffee and rubber. It has to be noted that many other actors have contributed to any measurable impact, e.g. SNV for the shrimp models, GiZ-ForestTrend for the FSC-certification etc.), so attribution is rather complicated.
Opportunities and potential for replication and by whom	Forest companies have reported that other forest owners are interested in pursuing similar upgraded SFM plans and certification of timber and NTFPs. The organic shrimp forestry model has good potential for replication along the delta and in other mangrove coastal systems (e.g. by the GCF mangrove project). The medicinal plant MoU has good potential for replication in suitable areas for NTFPs and with existing indigenous technical knowledge by the ethnic minorities or other forest dwellers.
Other documents or relevant comments	GFA website with FSC certification of supported forest companies. NRIP with sectoral commodity action plans MoU of private enterprise with Lao Cai community Organic Shrimp Forestry model documentation. Government Proposal on Sustainable Forest Management and Forest

	Certification: https://thuvienphapluat.vn/van-ban/Tai-nguyen-Moi-truong/Quyet-dinh-1288-QD-TTg-2018-phe-duyet-De-an-Quan-ly-rung-ben-vung-va-Chung-chi-rung-395899.aspx
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8 Conclusions

In this Chapter a series of conclusions is presented based on the findings as discussed in the previous Chapters.

1. The Programme is assessed as very relevant for Vietnam in support of and in alignment with national policies on REDD+, climate change and sustainable forest management and development priorities. Stakeholders were unanimous in their opinion on the relevance of the Programme and its alignment and fit with national policies and priorities. Recent policy decisions reflect a positive trend towards a more multi-sectoral integrated landscape approach to SFM and REDD+.
2. The initial design has been too optimistic and ambitious. After “near-standstill” and a 3-year extension, with redesign leading to simplification and harmonization of coordination structure, fund transfer and logframe, the improved clarity in procedural responsibilities, better in line with the intended “One UN” approach, has had a tangible impact since 2016.
3. The UN-REDD Viet Nam Phase II Programme has maintained its found momentum in 2018 and is expected to achieve its set outcomes by year end, reaching a series of key deliverables.
4. The evaluation team is pleased to note a broad-based appreciation by the stakeholders, including its efforts to reach meaningful engagement of CSOs and ethnic minorities.
5. The Programme has finally progressed in the thus far lagging Component 6 producing credible outputs for continued and enhanced regional collaboration.
6. The knowledge management of the Programme has been effective, but leaving a limited window of opportunity for knowledge sharing and follow-up in the final months of the Programme.
7. Engagement with the private sector has continued and resulted in updated sectoral commodity action plans (e.g. rubber, coffee and aquaculture) and piloting of certification and value-addition.
8. In 2018 the Programme has shown satisfactory financial delivery so far with 44% delivery and with inclusion of BDS payments up to 56%, which would lead to 80+% financial delivery at year end as projection, following similar trends in 2016 and 2017.
9. In 2018 the Programme has been able to implement a high percentage of the activities it has planned for, in particular at provincial level (often more than 90%).
10. No issues are reported in the financial management, including audits, except for the need to carefully prepare for operational and financial closure (spilling over to end of June 2019) and to follow guidelines to enable use of VAT and interest return by year end.
11. The AR team has seen satisfactory and pro-active follow-up by the management of the AR 2017 recommendations (10) as reflected in its management response and of the EG5 decisions and recommendations (6).
12. The institutional embedding of the SSCO (VRO) to ensure its key role in REDD+ coordination within the Government of Vietnam is welcomed as a tangible result, but will require targeted effort to ensure continuity.
13. The AR team is pleased to see the close coordination with other projects and programmes active in the pilot provinces and at national level (FCPF-WB, GiZ, GEF-GCF, SNV, JICA etc.).
14. The Programme has maintained its ambition level by thinking “outside of the box” by supporting and facilitating innovative approaches

15. Overall, taking stock of the initial management set-up linked to the One UN coordination intention, the management team has shown stamina, flexibility and perseverance.
16. The FE team takes note of meaningful impact on the ground as result of the REDD+ implementation in the 6 pilot provinces. Greater impact is related to clearly enhanced capacity of GoV in planning, implementation and monitoring of REDD+/SFM related interventions
17. A series of Emerging Best Practices have been identified: NRAP-PRAP-SiRAP planning methodology, Engagement of CSOs/Ethnic Minorities and private enterprises in the REDD+ process, Agroforestry models, Integrated Master Plan development, TERRA-I and Value addition in the commodity chain.
18. In assessing the Programme sustainability the FE team recognizes a series of critical elements that will support continued impact, divided over the elements ownership, institutional embedding, capacity and financial resources
19. The evaluation teams sees good scope for broader replication and scaling-up of piloted mechanisms and innovations, through e.g. emerging project/programme opportunities to continue development/replicate and scale-up, Integrated Master Planning piloting at provincial level and parallel Green Growth Planning.
20. The Post-Programme sustainability is assessed to be moderately likely.
21. Key concerns are availability of funding resources for continuation of REDD+/SFM related developments, including the financial resources necessary for staffing of VRO (State Steering Committee Office) as critical element for effective REDD+ implementation in the country, requiring support to cross-sectoral coordination (which is complex) and guidance to sectors in aligning their interventions with REDD+, and continued recognition of the value of REDD+ and SFM in broader forestry policy development.

9 Recommendations

In this last Chapter a series of recommendation is presented as guidance for the Programme for focus in its last period of implementation and for the Government of Vietnam and international partners beyond 2018..

The Programme is recommended:

1. To ensure timely finalization in Q4 of a series of key knowledge documents on pilot activities and extraction of emerging good practices to enable sufficient time for knowledge exchange and dialogue with key partners on follow-up steps and application/replication potential (e.g. wrap-up meeting, presentation of final results (Sol-SIS, GeoPortal-FORMIS, BDS-PFES integration, PGA-GRM piloting etc.).
2. To prepare for **appropriate closure** of the Programme (end of implementation of activities by December end 2018, financial reporting by end of June 2019), including clearance to make use of remaining funds for implementation and financial closure related to VAT return and interest on Programme funds.

The Government of Vietnam is recommended to:

3. **Build on the detailed exit strategy** developed, intended to anchor REDD+ and SFM into the strategic national policy agenda, to implement and sustain the transformation of the forestry sector, in order to ensure continuation of NRAP/NRIP implementation through the key elements of ownership, institutional embedding, capacities and financial resources.
4. While recognizing the **pivotal role of the State Steering Committee Office** (former VRO) in coordinating REDD+ related initiatives and interventions in Vietnam, supporting capacity development and knowledge exchange, **securing** Post-Programme **funding** is essential for effective continuation of its role in transition to future internal funding through RBPs from 2021.

UN-REDD regional/global and UN Agencies are recommended to:

5. Consider the need for additional support, Post-Programme, for certain specific thematic areas where and when needed to be provided by UN-REDD regional or global support and/or through the technical expertise of the UN agencies (as reflected in the exit strategy), e.g. specific global experience related to requirements for future RBPs, monitoring of safeguards implementation, private sector engagement in agricultural investments etc.

Annexes

Literature and Legal Documents

Annex 1	Work schedule
Annex 2	List of Stakeholders consulted
Annex 3	Debriefing Workshop Participants (October 24 th 2017)
Annex 4	Questions Long List, divided over the OECD evaluation criteria
Annex 5	Detailed Progress Assessment
Annex 6	Follow-up to AR 2016 recommendations
Annex 7	Follow-up to EG4 decisions
Annex 8	Evaluation Framework
Annex 9	ToR

Literature and Legal Documents

A Legal documents as decided and published by the Government of Vietnam, MARD and VNFOREST

No	Decision/Directive No., title	Date of issue	Issuing body
1	No 419/QĐ –TTg , Decision on Approval of the National Action Programme on the Reduction of Green-house Gas Emissions through the reduction of Deforestation and Forest Degradation, Sustainable Management of Forest Resources, and Conservation and Enhancement of Forest Carbon Stocks (REDD+) by 2030	5 April 2017	The Prime Minister
2	No. 886/QĐ-TTg Decision on approving the target programme for sustainable forest development for the 2016-2020 period	June 16, 2017	The Prime Minister
3	No. 13-CT/TW Directive of the Secretariat on enhancing Party's leadership in forest management, protection and development	12 January 2017	The communist Party of Vietnam
4	No. 300 /QĐ-BNN-HTQT on extension the time of UN REDD+ second phase implementation until 31/12/2018	25/1/2016	MARD Minister
5	No. 5337/QĐ-BNN-TCLN Approval of the proposal on setting up NRF	23/12/2015	MARD Minister
6	No. 5414/QĐ-BNN-TCLN Approval of the guidelines for UN REDD+PRAP building	25/12/2015	MARD Minister
7	No. 5399/QĐ-BNN-TCLN Regulation on piloting REDD+ BDS	25/12/2015	MARD Minister
8	No. 569/QĐ-BNN-TCLN Approval of AWP 2017	1/3/2017	MARD Minister
9	No. 05/QĐ-UNREDD Guidelines for SIRAP building and RIA	31/3/2016	PMU Director
10	No. 04/QĐ-UNREDD Communication management	15/3/2016	PMU Director
11	No. 14/QĐ-UNREDD Approval of financial guidelines for SIRAP implementation	23/6/2016	PMU Director
12	Resolution No. 71 / NQ-CP of the Government on the Government's Action Program to implement the Party Central Committee's Directive No. 13-CT / TW	8/8/2017	NQ-CP
13	Decree No. 119/2016 of the Government on the policies for the sustainable management and protection of coastal forests in response to climate change	23/8/2016	Government of Vietnam

B List of Consulted Background Documents for the EG 5 Meeting

Document No.	EG 5 Background Document	EG4 Decision reference
Session 1 - Opening and approval of the Agenda		
5.1.1	Provisional Agenda – Viet Nam Phase II – 5 th Executive Group Meeting	
Session 2 - Update on previous EG/PEB meeting		
5.2.1	Minutes of the PEB Meeting, 15 Nov 2017	
5.2.2	Update on EG4 Decisions	
	<i>Documents related to the EG Decisions</i>	
5.2.3	Brief explanatory note on audits (January 2017, updated October 2017)	EG4.2
5.2.4	Update on transboundary displacement actions	EG4.3
5.2.5	Updated note on results and impacts of forest tenure and forest land allocation	EG4.4
5.2.6	TOR for the 2017 Annual Review and 2018 Final Evaluation	EG4.5
5.2.7	2017 Annual Review report	EG4.5, EG4.10
5.2.8	Management response to the 2017 Annual Review	EG4.5, EG4.10
5.2.9	Approved NRAP, 2017-2030	EG4.6
5.2.10	Note on engaging the business sector	EG4.7
5.2.11	Draft NRAP Medium-Term Implementation Plan (NRIP)	EG4.7
5.2.12	Note on cross-sectoral engagement (through NRIP and other initiatives related to NRAP implementation)	EG4.7, EG4.9
5.2.13	Strengthening the VRO mandate and resources	EG4.8
5.2.14	Strengthening CSO/EM Participation and Engagement in UN-REDD and REDD+	EG4.9, EG4.7
5.2.15	Annual Progress Report 2017	EG4.10
5.2.16	Note on outcome 3 major progress and remaining gaps until RBP	EG4.11
5.2.17a	Updated Results Framework (April 2017)	EG4.13
5.2.17b	Supporting document on verification and documentation of the Results Framework (April 2017)	EG4.13
5.2.18	Improvement in forest-related policy framework in Vietnam in 2017	EG4.14
5.2.19	Brief note on Communication Progress in 2017	EG4.14
	<i>Other Discussion Papers for EG5</i>	
5.2.20	Briefing note on PRAPs and SiRAPs in 2017 (6 notes)	
5.2.21	Brief note on GRM	
5.2.22	Note on PFES and REDD+	
5.2.23	Note on Safeguards – progress and outlook	
5.2.24	Forestry Law 2017	
	<i>See 5.2.15 – Annual Progress Report 2017)</i>	
	<i>See 5.2.17a – Updated Results Framework (April 2017)</i>	
	<i>See 5.2.17b – Supporting document on verification and documentation of the Results Framework (April 2017)</i>	
	<i>See 5.2.7 - 2017 Annual Review report</i>	
	<i>See 5.2.8 - Management response to the 2017 Annual Review</i>	
5.3.1	Funding Framework	
5.3.2	Financial Report for 2017 and financial needs for 2018	
	<i>See 5.2.3 - Brief explanatory note on audits (March 2017)</i>	
5.4.1	UN-REDD Viet Nam Phase II Programme Sustainability and Phase-Out Plan	
5.5.1a	Introductory narrative to the AWPB 2018	
5.5.1b	Annual Workplan and Budget (AWPB) 2018	
	EG5 Summary of decisions	

C Literature consulted

- Hicks, C., Ravilious, C., Nguyen, P. (2016) Spatial Analysis to support provincial REDD+ action planning in Viet Nam: Joint working session for the UN- REDD Viet Nam Phase II Programme. Prepared on behalf of the UN-REDD Programme. UNEP World Conservation Monitoring Centre, Cambridge, UK.
- MARD (2016) Vietnam's modified submission on reference levels for REDD+ results based payments under UNFCCC , final version, December 2016
- MARD (2017) Emission Reduction Programme Document, (ER-PD), for the FCPF Carbon Fund, Final Draft Version for Consultation, September 2017
- MONRE (2015) Intended Nationally Determined Contribution of Viet Nam, submitted to UNFCCC September 2015
- MONRE (2016) Vietnam's NDC Implementation Plan, The 5th Asia Regional Dialogue Mitigation Action Implementation Network (MAIN-Asia), Da Nang, 29/11-02/12/2016
- Mulia, R, Pham, V. T., Do, H. T., Nguyen, K. Q., Nguyen, D. K., Dewi, S., Ekadinata, A, Dwiputra, A. and Johanna, F. (September, 2018). Inception report of the project "Integrating Green Growth Action Plan into Master Plan towards Green Growth in Lam Dong province of Viet Nam".
- David Paine (2016) UN-REDD Viet Nam Phase II Programme - Report on Lessons Learnt in the Harmonization Process among Related UN Agencies within the Programme.
- RECOFTC (2015) Policy Brief: Forests, climate change, and equity in Viet Nam. REDD+ equity challenges and solutions according to national stakeholders
- PMU-UN-REDD (2016) Engagement beyond the forestry sector, EG Discussion Paper 2b.1, Fourth EG meeting
- PMU-UN-REDD (2016) Minutes of PEB meeting, 31 October 2016
- PMU-UN-REDD (2016) External Annual Review 2016, November 2016
- PMU-UN-REDD (2016) Fourth Executive Group meeting, December 2016
- PMU-UN-REDD (2017) Milestones and Log Frame follow-up to EG4 recommendations
- PMU-UN-REDD (2017) AWPB 2017 (excel file)
- PMU-UN-REDD (2017) 2016 Annual Review management response, final draft
- PMU-UN-REDD (2017) Annual Progress Report 2016, Final version, May 2017
- PMU-UN-REDD (2017) Proposal for Programme's Consolidation in 2018, Final Draft, July 2017
- PMU-UN-REDD (2017) Perspective 2018 logframe milestones and narrative AWP2017, EXCEL file
- PMU-UN-REDD (2017) Environmental and Social Co-benefits and Risks Associated with NRIP Interventions, DRAFT document
- PMU-UN-REDD (2017) National Programme Progress Report UN-REDD Programme Viet Nam, January-September 2017
- PMU UN-REDD (2017) TERRA-I for Forest Monitoring and Protection in Vietnam, Note to EG5, November 2017
- PMUUN-REDD (2018) NRIP final version (in Vietnamese)
- PMU UN-REDD (2018) AWP/B 2018, updated version of March 2018 with 2017 carry over, Excel file
- PMU UN-REDD (2018) UN-REDD Vietnam Phase II Programme, Exit Strategy, June 2018
- PMU UN-REDD (2018) Lao Cai case study (in Vietnamese)
- PMU UN-REDD (2018) Proposed Provisions for Programme closing, September 2018
- TEREA (2017) Output 5a: NRAP Implementation Action Plan, October 2017, Draft
- TEREA (2018) National REDD+ Action Programme (NRAP) Mid-term Implementation Plan 2017-2020 of Viet Nam, January 2018
- UNFCCC (2017) Report of the technical assessment of the proposed forest reference emission level of Viet Nam submitted in 2016
- UN-REDD (2013) Programme Document. UN-REDD Viet Nam Phase II Programme: Operationalizing REDD+ in Viet Nam, 29 July 2013
- UN-REDD (2015) Programme Implementation Manual (PIM), Draft 6, July 2015
- UN-REDD (2016) Newsletter No. 1, December 2016
- UN-REDD (2017) Realizing economic opportunities from natural forests in Viet Nam, PPT, contributors: Dr. Tran Dai Nghia: IPSARD, Dr. Phan Van Thang: VAFS, Dr Nguyen Manh Hai – CIEM, MSc. Nguyen Thi Hai Binh - National Institute for Finance , MSc. Pham Hong Luong – VNFOREST, Fabien Monteils – CTA, UN-REDD Viet Nam Phase II Programme

UN-REDD, VNUF and IFEE (2018)	Spatial Analyses as a tool for developing PRAPs. In English and Vietnamese, http://ifee.edu.vn/en/news/news/spatial-analysis-as-a-tool-for-developing-provincial-redd-action-plans-handbook-34.html
UN-REDD (2018)	Viet Nam-Lao PDR Bilateral Exchange Collaboration in Sustainable Forest Management and Addressing Regional Displacement under REDD+ 29-31 MAY 2018 LUANG PRABANG, LAO PDR. Vietnam-Lao PDR Bilateral Exchange .
VRO (2017)	Monitoring Progress developing and approving PRAP updated to 04.10.2017, Excel file
VRO (2017)	REDD+ Progress in Vietnam
VRO (2017)	Report on Implementation of Decision 799
DARD (2018)	DARD Lam Dong: briefing document to Lam Dong PPC, No: 1577/SNN-KL, About the pilot results assessment of Terra-I system to monitor the forest land use changes in Di Linh district, September 2018.

Annex 1 Work schedule for the UN-REDD Programme II Final Evaluation mission

Time	Activity / meeting	Focus
23-9	Arrival Hans van Noord in Hanoi	
24/9 (Mon)		
8.30 – 9.30	FE team meeting	Detailed work plan, methodology, logistics
9.30 – 10.30	Meet PMU: Mr. Thon NPD; Ms Phuong CO; CTA; Mr. Dung NPC, Ms. Loan (UNDP), Mr. Thong (FAO), Mr. Phuong (UNEP), Ms.Hicks (UNEP)	Briefing meeting: guidance from PMU; discuss and make agreement on FE time schedule from 24/9-9/10/2018
11.00-12.00	Meeting with Mr. Dzung	AWPB2018 progress, achievements, challenges, issues etc.
13.30-14.30	Dr Nghia and Ms.Loan – for Outcome 1	Summarize of Outcome 1 activities, challenges, achievements and lessons learnt
14.30-15.00	Meeting with Fabien- TA/CTA FCPF	Guidance, feedback on progress 2017-18
15.30-16.30	Communication officer meeting	Documentation in publications on progress 2017-2018, case studies, best practices, key lessons, outreach communication output/strategy
16:30-18:00	FE team	Incorporate feedback, prepare
25/9 (Tue)		
8:30-10:00	Outcome 5 officer- Le Ha Phuong	Summarize Outcome 5 activities, challenges, achievements and lessons learnt
10.00	Meeting with FAO (Mr. Thong, Akiko and others)	Progress-achievements of FAO guided components/activities
1:30-3:00	Fabien - CTA	
4.00 – 5.00	Meeting with UN Environment	Progress-achievements of UNEP guided components/activities
26/9 (Wed)		
13:00 - 13:30	SSCO VRO - Le Ha Phuong	Progress-achievements
13:30-14:00	Meeting with Mai Anh and Accountant's team	Financial delivery and closing issues
Afternoon 14:00- 15:00	Meeting with Vice Director, Finance Department (MARD)- Mrs. Huyen	Financial and closing issues
27/9 (Thu)		
9.30-10.00	Meeting with CEMA	EM involvement, 2017-2018 achievements, best practices, REDD+ sustainability
10:00-10:30	Meeting Gael Sola - TA FAO	Component 3 achievements, lessons
11:00-12:00	Akiko -FAO Regional Expert	Programme Progress, achievements,

		lessons
13.30 - 14.30	Meeting with MPI	The DG of Planning Department 2017-2018 achievements, overall lessons, best practices, sustainability of REDD+
16:00 - 16:30	Meeting with Norwegian Ministry of Climate and Environment Senior Adviser Mr. Leif John Fosse	Programme Progress, experiences, prospects, lessons
16:30 - 17:30	Celina Yong-UNDP Regional Expert	Programme Progress, experiences, prospects, lessons
28/9 (Fri)		
8:30-9:30	Meeting FIPI	2017-2018 progress, overall lessons, sustainability of REDD+
14:30-15:30	Ms Truong (CSDM)	NGO feedback, engagement, REDD+ sustainability, lessons
16:00-17:00	Ms. Hop (SRD)	NGO feedback, engagement, REDD+ sustainability, lessons
30/9 (Sun)		
	Meeting with IDH Mr. Hieu	08.00 Integrated Planning Pilot in Lam Dong
	Fly to Da Lat	11.20 Hanoi-Da Lat
1/10 (Mon)		
	Working in Di Linh	
	Community field visit + TERRA-I, Agroforestry, FSC Late Afternoon: Meeting with PPMU	TERRA-I, certification/SFM plans/Agroforestry trials 2017-2018 progress, overall lessons, sustainability of REDD+
2/10 (Tue)		
8:00-9:30	Consolidation WS on Agroforestry development proposal	
	Meeting with DARD who chairs the workshop	- Situation of PRAP Lam Dong -Orientation in integrating REDD+ activities into the integrated planning of the province
13.55 - 16.30	Fly back to Ha Noi	
17.00- 18.30	Meeting with Mr. Pham Van Dien, Vice Director General of VNFOREST	2017-2018 achievements, overall lessons, best practices, sustainability of REDD+, path towards RBPs
3/10 (Wed)		
9:00-10:00	Meeting with World Bank-FCPF Mr. Minh	Overall impact, looking ahead and post- Programme sustainability for REDD+ in Vietnam, key lessons and emerging best practices
10:00 -11:00	Meeting with Ms. Thuy, REDD+ Office /SSCO	Progress 2017-2018, VRO prospect, REDD+ sustainability

14:00-15:00	Meeting FPD	2017-2018 progress, overall lessons, sustainability of REDD+
15:30 - 16:30	MONRE	Discuss on the update NDC and the role of REDD+ /forest sector in NDC
4/10 (Thu)		
	Preparation of debriefings	FE team
5/10 (Fri)		
Morning 9.00-9.30	Meeting with Mr. Ha Cong Tuan (Chair person of EG)	2017-2018 achievements, overall impact, looking ahead and post-Programme sustainability for REDD+ in Vietnam, towards RBP, financial viability
13.30- 15.00	Meeting UNDP	2017-2018 achievements, overall impact, looking ahead and post-Programme sustainability for REDD+ in Vietnam, towards RBP, financial viability
15.30-16.30	Baku Takahashi, CTA JICA REDD+ Programme	Collaboration with UN-REDD Programme, roadmap development, prospects nad challenges of REDD+ in Vet Nam
6-7/10 (Sat-Sun)	Preparation debriefing	FE team
8/10 (Mon)	Preparation debriefing	FE team
	Preparation debriefing	FE team
9/10 (Tue)		
9.30 – 12.00	FE Debriefing meeting: VNFOREST, UN agencies and other stakeholders	The team
23.00	Departure IC	Hans van Noord (Team Leader)

For the work schedule of the Annual Review 2017 mission please consult ANNEX 1 of the 2017 Annual Review Report.

Annex 2 List of Stakeholders consulted

No	Name	Agency/organization	Position
	At Central level		
1	Vu Quang Cac	MPI	Deputy Director
2	Nguyen Thu Phuong	MPI	Staff
3	Pham Van Tan	MONRE	Deputy Director
4	Nguyen Thanh Cong	MONRE	Staff
5	Nguyen Thu Hien	MONRE	Staff
6	Pham Nam Hung	MONRE	Staff
7	Tran Bich Ngoc	MONRE	Staff
8	Ha Viet Quan	CEMA	Deputy Director
9	Ha Cong Tuan	MARD/EG	Vice Minister/Chair Person
10	Nguyen Quoc Tri	VNFOREST	General Director
11	Pham Van Dien	VNFOREST	Vice General Director
12	Pham Thanh Huyen	Finance Dept.-MARD	Deputy Director
13	Nguyen Thi Thu	Finance Dept.-MARD	Staff
14	Do Quang Tung	FPD-MARD	Director
15	Nguyen Van Trung	FPD-MARD	Staff
16	Nguyen Dinh Hung	FIPI-MARD	Head of Division
17	Tran Dai Nghia	IPSARD	Head of Dept. and Outcome 1 coordinator
18	Vu Xuan Thon	PMU	National Programme Director
19	Nguyen Thi Thu Thuy	SSCO/VRO	Vice-Director
20	Nguyen Huu Dzong	PMU	National Programme Coordinator
21	Fabien Monteils	PMU	TA and CTA to FCPF
22	Le Ha Phuong	PMU	Staff, Outcome 5 coordinator
23	Nguyen Thi Xuan	PMU	M&E officer
24	Tran Minh Phuong	PMU	Communication Officer
25	Phan Mai Anh	PMU	Chief Account
26	Dao Xuan Lai	UNDP	ACD/Team leader Climate Change and Environment
27	Ngo Thi Loan	UNDP/PMU	Programme Officer
28	Nguyen Trung Thong	FAO/PMU	Staff
29	Nguyen Thanh Phuong	UNEP/PMU	Staff
30	Vu Hoai Minh	WB-FCPF	Coordinator
31	Nguyen Thi Le Trang	WB-FCPF	Communication Officer
32	Vu Thi Bich Hop	SRD	Director
33	Luong Thi Truong	CSDM	Director
34	Nguyen Huu Hieu	IDH	Staff
35	Leif John Fosse	Norwegian Ministry of Climate and Environment	Senior Adviser

36	Gael Sola	FAO	Technical Advisor
37	Celina Yong	UNDP	UN-REDD Stakeholder Engagement Specialist
38	Caitlin Wiesen	UNDP	Country Director
39	Akiko Fujii	UNDP	Deputy Country Director
40	Akiko Inoguchi	FAO	Regional Technical Advisor
41	Emelyne Cheney	UNEP	Regional Technical Advisor
42	Baku Takahashi	JICA	CTA UN-REDD Programme
43	Charlotte Hicks	UN Environment	Regional Technical Advisor
44	Albert T. Lieberg	FAO	Country Representative
45	Alexis Corblin	UNEP	Regional Technical Advisor
	At Provincial level		
46	Vo Danh Tuyen	Lam Dong DARD	Deputy Director
47	Le Van Trung	Lam Dong PPMU	Coordinator
48	Diep Van Dung	Lam Dong PPMU	Staff
49	Nguyen Thi To Nhu	Lam Dong PPMU	Accountant
50	Hoang Van Mat	Lam Dong PPMU	Field Coordinator
51	Vo Van Hai	Don Duong Forest Company	Director
52	Ngo Mien	Don Duong Forest Company	Head of Division
53	Tran Kim Thanh	Don Duong Forest Company	Staff
54	Nguyen Van Tuan	Don Duong Forest Company	Head of Division
55	Doan Thi Hanh	Don Duong Forest Company	Staff
56	Tran Pham Hoai Thu	Don Duong Forest Company	Staff
57	Do Thi Thu Hien	Don Duong Forest Company	Staff
58	Nguyen Thi Kim Oanh	Don Duong Forest Company	Head of Division
59	Nguyen Truc Thanh Ngoc	Don Duong Forest Company	Staff
60	Ho Thi Dien Thu	Don Duong Forest Company	Staff
61	Pham Ngoc Cuong	Don Duong Forest Company	Staff
62	Pham Doan Thang	Don Duong Forest Company	Staff
63	Touprong Nghia	Don Duong Forest Company	Head of Division
64	Nguyen Dinh Thang	Di Linh FPS	Director
65	Ta Duc Thu	Di Linh FPS	Vice Director
66	Le Viet Dung	Di Linh FPS	Staff
67	Nguyen Tran Hung	Tam Hiep Forest Company	Staff
68	Nguyen Duy Hung	Di Linh Forest Company	Staff
69	Tran Dinh Nga	Hoa Bac-Hoa Nam FPMB	Staff
70	Tran Van Luong	Tan Thuong FPMB	Staff

For the overview of the people consulted during the 2017 Annual Review please consult ANNEX 2 of the 2017 AR report and see an overview reflected in Figure 1.

Annex 3 - List of participants in the Debriefing Workshop

UN-REDD Vietnam Programme Phase II 2018 Annual Review and Final Evaluation
Hanoi, 9 October 2018

TT	Name	Position	Organization
1	Vu Xuan Thon	Director PMU	UN-REDD PMU
2	Nguyen Huu Dung	Programme Coordinator	UN-REDD PMU
3	Fabien Monteils	CTA	UN-REDD PMU
4	Pham Manh Dong	Officer	UN-REDD PMU
5	Hoang Thi Viet Ha	Account	UN-REDD PMU
6	Nguyen Thi Thu Thuy	Interpreter	UN-REDD PMU
7	Do Thanh Tam	Officer	UN-REDD PMU
8	Phạm Quang Huy	Officer	UN-REDD PMU
9	Ngo Thi Loan	Programme officer	UNDP
10	Nguyen Trung Thong	Officer	FAO
11	Nguyen Thanh Phuong	Programme officer UN-REDD	UNEP
12	Le Ha Phuong	Officer	VRO
13	Tran Ngoc Tue	Officer	SRD
14	Nghiem Phuong Thuy	Officer	DOSTIC
15	Hans Van Noord	Consultant	FE Team
16	Vu Van Me	Consultant	FE Team

Annex 4 Questions Long List, divided over the OECD evaluation criteria

The questions added by the AR-FE team, in addition to the initial set of questions reflected in the ToR, are indicated in italics.

Relevance

- a) The National Programme's relevance to:
 - Country needs; *Has this changed over time? Is there a change between Phase 1 and 2?*
 - National development priorities as expressed in national policies and plans as well as in sector development frameworks; *Is it evident and verifiable that REDD is now more explicitly expressed in national policies and plans and other developmental agenda's?*
 - UN Country Programme or other donor assistance framework approved by the government; *Has REDD been consistently an important theme in the UNCP and other donor's programmes? Has this evolved over time? If so, how and why?*
 - The UNDAF and the UN Joint Programme on Climate Change;
 - The UN-REDD Programme Framework Document;
 - Other REDD+ related programmes in the country, in particular the National REDD+ Action Programme;
- b) Robustness and realism of the theory of change underpinning the Programme, including logic of causal relationship between inputs, activities, expected outputs, outcomes and impacts against the specific and development objectives and validity of indicators, assumptions and risks. *Has the ToC changed over time (Phase 1 to 2), have new risks surfaced, have objectives and related indicators been adjusted over time? Looking back, was there a realistic ToC to start with?*
- c) Quality and realism of the Programme design, including:
 - Duration; *Considering the no-cost-extension, was the initial design too optimistic?*
 - Stakeholder and beneficiary identification; *Have all relevant stakeholders been identified, were new stakeholders added over time?*
 - Institutional set-up and management arrangements; *How has the set-up and have arrangement changed over time? Was there effective adaptive management? Was the initial set-up realistic?*
 - Overall programme results' framework; *Was the results framework realistic, were objectives and set targets attainable?*
 - Approach and methodology.
- d) Evolution of Programme objectives since initial formulation.

Effectiveness

- e) Extent to which the expected outputs have been produced, their quality and timeliness. *What were key impediments to produce expected outputs? How have outputs evolved over time?*
- f) Extent to which the expected outcomes have been achieved. *Have outcomes been achieved considering the actual outputs?*
- g) Assessment of gender mainstreaming in the Programme. This will cover:
 - Analysis of how gender issues were reflected in Programme objectives, design, identification of beneficiaries and implementation; *How has gender mainstreaming been ensured effectively in the Programme set-up?*
 - Analysis of how gender relations and equality are likely to be affected by the initiative; *Have gender relations been changed as a direct/indirect result of the Programme's interventions?*
 - Extent to which gender issues were taken into account in Programme management. *Examples, reflections in documentation/M&E?*
 - Assessment of likely distribution of benefits and costs between stakeholders. *Do incentive mechanism developed and piloted incorporate gender considerations?*
- h) Use made by the Programme of the UN-REDD Programme's normative products, guidelines and safeguards, e.g. the UN-REDD Programme Guidelines on Free, Prior and Informed Consent (FPIC), and the UN-REDD / FCPF Guidelines on Stakeholder Engagement in REDD+ Readiness, and the extent of which they have contributed towards national safeguards. *Have safeguards and guidelines as developed been consistently applied? Is there a tangible impact/contribution on national safeguards/guidelines?*

- i) Actual and potential contribution of the Programme to the normative work of the three participating UN Organizations, e.g. contribution towards the “Delivering as One” initiative and lessons learned incorporated into broader organizational strategies. *How has the Programme been able to contribute to the “Delivering as One” initiative (specifically integration of UNEP, FAO and UNDP programmes related to REDD+) and is there more room to do so?*

Efficiency

- j) Cost and timeliness of key outputs delivered compared to national and regional benchmarks. *What are relevant national and/or international benchmarks? Has efficiency improved over Programme progress? And if so, how? E.g.: Most of the procurement work has been done via open recruitment, so its cost is decided by the international and national market, which enhances cost efficiency.*
- k) Administrative costs (including costs for supervision and coordination between participating UN agencies) compared to operational costs. *Has this ratio changed over time?*
- l) Any time and cost-saving measures taken by the programme. *Examples?*
- m) Any significant delays or cost-overruns incurred, reason why and appropriateness of any remedial measures taken. *How have efficiency bottlenecks been addressed/mitigated? Could they have been avoided?*

Sustainability

- n) Major factors influencing the achievement or non-achievement of sustainability of the programme. *How is REDD+ anchored in national Institutions? How is REDD+ mainstreamed in policy development and related plans/strategies and guidelines? Is there sufficient budgetary support for effective REDD+ sustainability (national / external donors)?*
- o) The prospects for sustaining and up-scaling the Programme’s results by the beneficiaries after the termination of the initiative. The assessment of sustainability will include, as appropriate:
- Institutional, technical, economic and social sustainability of proposed technologies, innovations and/or processes;
 - Perspectives for institutional uptake, support and mainstreaming of the newly acquired capacities, or diffusion beyond the beneficiaries or the Programme. *Are there evidences of uptake/replication/diffusion of REDD+ initiatives, also at Provincial level, beyond the Programme’s target areas?*

Impact

- p) Extent to which the initiative has attained, or is expected to attain, its social and environmental objectives; this will also include the identification of actual and potential positive and negative impacts produced by the initiative, directly or indirectly, intended or unintended. *Have unforeseen positive or negative impacts been identified?*
- q) Presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact. *Have all key drivers of deforestation and/or forest degradation been identified and targeted. Have drivers been addressed so that impact has been actually mitigated/halted/reduced?*

Factors affecting performance

- r) The evaluation will assess factors and processes that affected project results with particular attention to preparation and readiness of the project, country ownership, and stakeholder involvement, effectiveness of national and local implementing agencies, financial planning and management and coordination mechanisms. *What have been key factors influencing the overall Programme results, in either positive or negative sense? Use prompting of above factors if needed.*
- s) Management and implementation of the National Programme, including:
- Quality and realism of work plans; *Was there a trend to be noticed? (learning curve, redefinition of realistic targets...etc.)*
 - Quality of operational management; *(and change over time, also potential difference between national and decentralized level).*
 - Performance of coordination and steering bodies; *(frequency, quality of advice and recommendations, involvement/ownership)*

- Quality and quantity of administrative and technical support by the three participating UN Organizations; (*frequency, reports, minutes, involvement/ownership, M&E participation etc.*) and
- Timeliness, quality and quantity of inputs and support by the Government and partners.
- t) Financial resources management of the Programme, including:
 - Adequacy of budget allocations to achieve outputs; (*per output/outcome, realism*)
 - Coherence and soundness of budget revisions in matching implementation needs and programme objectives; (*if so, frequency, nature/amounts*)
 - Rate of delivery and budget balance at the time of the evaluation. (*% of actual delivery vs. planned, trend over years*)
 - Efficiency of fund-management arrangements. (*budget release delays, other financial fund flow bottle necks, accounting issues*)
- u) Assessment of coordination mechanisms :
 - Between the three participating UN organizations to ensure joint delivery. (*Coordination set-up, frequency between UNDP, FAO, UNEP, between national offices and HQs, relation with “One UN” coordination set-up in Vietnam*)?
 - Between the Government and the three participating UN organizations to ensure programme outcomes are achieved. *Steering Bodies, minutes, frequency, recommendations*
 - Within and between Government ministries in order to ensure programme outcome is achieved. *National coordination set-up / information exchange, linkage between National and Provincial authorities.*
 - Between the Programme and other bilateral and multilateral REDD+ initiatives. *REDD+ platform / National coordination entity / information exchange.*

Annex 5 Table of detailed progress assessment of the 2018 AWP/B

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
Outcome 1: Capacities for an operational National REDD+ Action Programme (NRAP) are in place							
Output 1.1 (UNDP) NRAP implementation (Previously: 1.1 Implementation guidelines for the NRAP approved and rolled out)	NRAP guides the REDD+ process in Vietnam REDD+ investment plan under implementation Forest Law revised	1.1.1	Support the roll out of revised NRAP and related monitoring framework under VRO coordination	Independent assessment report of NRAP implementation	45187	Decision : 823 /QD-BNN-TCCB of MARD on the establishment of the State Steering Committee office for the Target Program on Sustainable Forest Development for 2016-2020 and REDD+ implementation identified VRO as a national REDD+ coordination body.	Mostly achieved.

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
		1.1.2	Support formulation of the Investment Plan with consultation process	Workshop and meeting reports	37532	Final version of NRIP to be approved after elaborate consultation process	NRIP approved by MARD minister
		1.1.3	Formulate the National REDD+ Investment Plan	National REDD+ Investment Plan approved by GoVN	87911	NRIP approval due October /November 2018	23 different Government line ministries and state banks and 17 representative provinces contributed to the NRIP finalization.
		1.1.4	Support the M&E for Directive 13, forestry law development and other related policies	Robust reporting on NRAP implementation in 2018 to National Steering Committee	30000	The Forestry Law was endorsed by National Assembly in November 2017	
		1.1.5	Chief Technical Adviser		5000		Now with TA function and part-time CTA to FCPF E-RP.

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
		1.1.7	Support deployment of NRAP policies and measures 1.1 and 2.3 on integrated and cross-sectoral planning, in partnership with MONRE and MPI, and IPSARD as per priority activities identified during REDD+ investment planning. This include contribution to the initiative for determining forest contribution to GDP	Report on priority activities formulated	18000	<p>Analysis of forest sector into GDP of Vietnam and scenario analyses of how some PAMs in NRIP implemented will affect and contribute to GDP and value added of other sectors in the economy.</p> <p>Development of sustainable rubber production manual to show activities and commitments of the rubber sector in implementing assigned activities in NRAP</p>	Mostly achieved, with clear linkage to potential contribution in PAM of the NRIP.

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
		1.1.8	Support deployment of prioritized business models to leverage private sector's investment into profitable and sustainable activities contributing to natural forests' protection and enhancement, as part of NRAP policies and measures 2.2, in partnership with MOF and CEMA, as per priority activities identified during REDD+ investment planning	Report on priority activities formulated	28000	Supported High-level policy forum and technical workshop chaired by Deputy Prime Minister and Chairman of CEMA to enhance the position of ethnic minorities in the natural forest value chain in August 2018.	Mostly achieved, with clear recognition by CEMA of support provided by the Programme.
		1.1.9	Provide technical backstopping/expertise to secure related activities delivery and quality	Quality check and improvement of related outputs	51500		Regular backstopping also provided by regional TA when and where needed.

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
					21219		
					324349		
Output 1.2 (UNDP) Building effective mechanism to generate knowledge, organize policy dialogues, and feed policy recommendations is adopted and functioning	Mechanisms are supported and sustained during transition to full implementation	1.2.2	Support recurring activities and meetings from STWG, NRSC, PMU and additional meetings and travels connected to policy dialogue as relevant, including participation to international meetings	Meeting and dialogue reports formulated	113828	In 2018, STWGs were organized up to September 2018 to discuss SOI, SIS, PGA reports of 3 provinces and NRIP's draft reports.	Mostly achieved, some international meetings only scheduled for Q4, leading to some delay in financial delivery.
		1.2.7	Support VRO: salary for 2 technical staff including on coordination of NRAP implementation	2 qualified staff on board	47500	Technical staff supported and facilitation of transition to SSCO.	Availability of sufficient and capable staff Post-Programme remains a concern for full operational capacity of VRO/SSCO, in transition to reception of RBPs to fund directly the coordination entity.
					11293		
					172621		

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
Output 1.3 (FAO) Law enforcement capacity and mechanisms are developed to enhance effective forest law enforcement in pilot provinces and national level(Previously: 1.6 Mechanisms to enhance forest law enforcement)	Capacity and mechanism sustained	1.3.11	Support finalization of forest violators' database and guideline development for organization classification system	Database and OCS set up	215000	VNFOREST has taken full responsibility for development of Forest Violation Database and linkage to FORMIS.	Budget reallocated to in total 7 other activities to be implemented in Q4: Support for Ha Tinh province's inter-provincial collaboration in law enforcement Strengthening law enforcement in the Central Highlands. Support a national conference on sustainable timber processing industry in Viet Nam. Support to review the implementation of Party Directive #13 Strengthening multi-ministerial collaboration on forest protection Support to organize an annual donor conference on implementing NRAP Support to review/update Vietnam's NDC and GHG inventory in LULUCF. Support to consultation on GCF Project Proposal in Central Highlands

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
		1.3.13	Trainings/workshops/ meetings on law enforcement in pilot provinces with neighboring provinces	Inter-provincial law enforcement mechanisms identified and tested in 6 pilot provinces	10049		Ha Tinh supported in their inter-provincial collaboration on law enforcement.
		1.3.15	Support the development of guidelines to operationalize FLEGT VPA	Guidelines formulated	43000	FLEGT-VPA signed in early October 2018.	Programme supported ANNEX 8 of VPA.
					18763		
					286812		
Output 1.4 (UNEP) Awareness on climate change and REDD+ raised among key stakeholders at national and general provincial levels through enhanced communication and dissemination of lessons learned (Previously: 1.7 Awareness on	Awareness assessment is conducted at national and provincial levels	1.4.9	Strengthen the collaboration with training institutions to integrate REDD+ knowledge into training programmes	Relevant REDD+ knowledge integrated in curricula through the development of training materials and presentations	10000	VNUF has formally developed a Master curriculum on REDD+ and CC and more than 200 students have participated in the curriculum. A network of 6 universities is further working on academic research on REDD+ and	The awareness report of November 2017 reported very good to good levels of awareness of provincial and national stakeholders. Besides the REDD+ curriculum development the Programme published a manual on Spatial

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
<p>climate change and REDD+ to provincial authorities and administration, increased</p> <p>1.8 Awareness on CC and REDD+ for stakeholders at national level through enhanced communication and dissemination of lessons learned)</p>						SFM curriculum development and research, with more than 100 researchers involved.	Analyses for PRAP development.
		1.4.10	Produce knowledge and communication products based on experience learnt from local to regional levels	4 films, 4 brochures, 6 articles and contribution to other national products (newsletters...)	40427		First case study for Lao Cai finalized, other provincial case studies to be finalized soon. Series of thematic films published and under process in Q4. Other knowledge products disseminated through social media and traditional media outlets.
		1.4.11	Continue dialogue and partnership with private sector's organizations on forests with UNIDO, VCCI, VPSF, PCC for Economics, HATCH, VNUF, WCMC etc.	At least 2 meeting reports demonstrating progress on engaging private sector on sustainable forest management et protection	27000		High-level meetings with CEMA and private enterprises on sustainable supply chain.

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
		1.4.12	Promote voluntary guidelines for transboundary investments by piloting and disseminating throughout private enterprises	At least one private enterprise successfully pilots and advocates for voluntary guidelines for transboundary investments	49000		Dialogue with timber association on voluntary guideline development in alignment with FLEGT-VPA and in follow-up of the Luang Prabang Regional Meeting on transboundary displacement..
		1.4.13	Organize a National Programme wrap-up meeting and related communication	Report from wrap-up meeting	13000		To be organized in Q4.
		1.4.14	Carry out programme final evaluation of activities and impacts, and related assessments	Comprehensive programme evaluation report	23000		This report.
					11370		
					173797		

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
Output 1.5 (UNDP) Action plans for greater sustainability of production of raw materials from key industries (e.g. aquaculture, coffee, rubber and timber) implemented		1.5.6	Support to coordinate implementation and implement some targeted actions	Pilot actions are implemented effectively	32741	<p>Pilot support for safeguard implementation in three rubber concessions has been implemented as part of the regional collaboration</p> <p>The sustainable rubber production manual has been developed by Viet Nam Rubber Association under the support of the UNREDD program. The manual will also introduce the activities that rubber sector does in order to implement the respective PAMs in</p>	<p>Sustainable production action plans are linked and integrated into the NRIP, including identification of private sector funding.</p> <p>High-level meetings with CEMA and private enterprises on sustainable supply chain.</p>

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
						the NRAP Beyond targeted sector meeting, broader dialogue and awareness raising campaign continues in 2018, in partnership with Viet Nam Private Sector Forum, CEMA.	
	Implementation of industry action plans is reviewed and assessed "satisfactory" in at least 75% of sectors	1.5.7	Complete 2017 piloting and consolidate lessons learnt and planning towards deforestation free coffee supply chain, including real-time monitoring dissemination and policy development, in partnership with IPSARD, IDH, CIAT and SNV among	Report on activities and lessons learnt formulated, including work plan ahead	33000	Pilot on TERRA-I initiated in Lam Dong province with CIAT and FPD. Agroforestry models piloted in Lam Dong province in forest land encroached by small settlers for coffee cultivation.	Successful pilot an intention of provincial authority to scale up pilot to whole province. Agroforestry models reported and guidelines developed. Workshop with key provincial and national stakeholders organized in October 2018.

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
			others. Implement other relevant actions as agreed with private companies				
		1.5.8	Provide technical leadership to secure related activities delivery and quality through recruitment of a CTA (partially) and other technical experts	Technical lead, quality check and improvement of related outputs	110000		Ongoing. CTA now TA and CTA to FCPF. Support by UNTT through regional FAO, UN Environment and UNDP experts.
					12302		
					188043		
Sub-total of Outcome 1					1145622		
Outcome 2: The six pilot provinces enabled to plan and implement REDD+ actions							

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
Output 2.1 (UNDP) REDD+ institutions in the six pilot provinces established, and REDD+ mainstreamed into FPDP	Average of 80% of RIAs annual targets is achieved >80% of pilot provinces officials involved in REDD+ institutions are assessed to have "good" capacities	2.1.8	Maintain minimum staff in place to carry out REDD-specific activities of dialogue, capacity building and liaison with NRAP and PRAP implementation	Key positions in pilot provinces ensure effective implementation of closing activities	165469		PPMUs functional.
		2.1.10	Cost of 3 field coordinators salary and operations to support 6 pilot provinces	Activities better implemented and timely reported to PMU	79000		Ongoing.
		2.1.12	Provide support to provincial officials and experts (including ex-PPMU) to carry out REDD-specific activities of dialogue, capacity building and liaison with NRAP and PRAP implementation	6 REDD+ coordinators/focal points in pilot provinces are supported with spare travel costs, material, stationary and technical assistance A wrap-up meeting is organized in	60000		Ongoing.

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
				each province			
					21313		
					325781		
Output 2.2 (UNEP) Awareness on climate change and REDD+ raised among provincial, district and commune officials and other stakeholders in six pilot provinces	70% of stakeholders at provincial, district and commune level in six provinces are assessed to have a “good understanding” of REDD+ (see awareness assessment 1.4)	2.2.1	Develop and adapt various types of communication and awareness raising materials to be used both at provincial and site levels	Events reports	27870	Case studies being finalized for all pilot provinces.	Lao Cai case study published.
		2.2.2	Implementation of awareness and training measures to support PRAP and SiRAP implementation process (at least 4 provincial events for key relevant stakeholders)		2537		Awareness assessment of November 2017 confirmed good to very good levels of awareness of provincial staff stakeholders (average 6.5%, good 84.3% and very good 9.3%).

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
					2128		
					32535		
Output 2.3 (UNDP) Site-based REDD+ Activity Plans and Provincial REDD+ Action Plans in the six pilot provinces finalized and approved		2.3.8	M&E on SiRAP-BDS and support for final evaluation		59244	M&E carried out on quarterly basis.	At the end of Q3 a final verification of BDS payments was carried out, in line with the conditionality of the BDS payments. The M&E information serves as input for the final report on BDS-PFES integration and lessons learned on BDS.
					4147		
					63391		
Output 2.4 (FAO) Provincial REDD+ Action Plans are implemented (Includes previous output 2.5: "Improved land tenure arrangements assured in the six pilot provinces")		2.4.1	Implementation of prioritized provincial level PRAP activities as outlined by the approved PRAP for 2017 (some activities will be carried over from 2016)	Monitoring reports	349845		PRAPs and SiRAPs implementation being finalized in Q4.

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
		2.4.5	Continue supporting SFCs for SFM and certification process that started in 2015 (carry over from 2016)	Draft national standards and Training curriculums	5862		In total 200,000ha of SFM plans of forest companies supported of which nearly 20,000ha (19,541 ha) have been FSC certified.
		2.4.10	Support 4 HH groups (2 each in Bac Kan and Ha Tinh) to develop and implement SFM plans and other REDD+ activities (Carry over from 2016)	\$ HH groups established, 4 RIAs signed, 4 SFM plans developed and implemented.	5017		Ha Tinh and Bac Kan: household groups of forest owners supported to receive FSC certification.
		2.4.11	Carry out forest land allocation to households/communities based on the PRAP and implement it through SiRAPs in Lao Cai (carry over from 2016)	Forest and forest land allocation in 12 prioritized communes in PRAPs implemented	14607		Continuation of household-group support and Forest Land Allocation (FLA). The tenure of in total 5,271ha has been clarified and allocated to households.
					26273		

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
					401604		
Output 2.4 (UNDP) Provincial REDD+ Action Plans are implemented		2.4.2	Implement of the priority activities of 2017 (3rd year of implementation) of SiRAPs which were approved in 2015	All SiRAPs developed in 2015 are supported for implementation	31426		Being finalized.
		2.4.7	Subsidy for local facilitators for PPMUs (Max 3 per provinces - @ lumpsum budget 10,000 per province)	SiRAP/PRAP monitoring reports available timely	1578		Ongoing.
	Implementation of PRAP and RIA is comprehensively reviewed and assessed "satisfactory"	2.4.8	Complete deployment of the benefit distribution system as per RIA contracts signed in 2016	SiRAP commitment are fully implemented as part of BDS pilot	710996		See 2.3: At the end of Q3 a final verification of BDS payments was carried out, in line with the conditionality of the BDS payments.
					52080		
					796081		
OUTCOME 2 sub-total					1619392		
Outcome 3 (FAO): National forest							

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
monitoring system (nfms) for monitoring and measurement, reporting and verification, and national redd+ information system (nris) on safeguards are operational							
Output 3.1 (FAO) National REDD+ Information System (NRIS) operational (NFMS related information is systematically achieved, and made accessible according to permission standards)		3.1.1	Complete the structure for the NFMS/MRV functions of the Geo-portal including integration with FORMIS Platform	REDD+ Geoportal maintained and updated regularly	16000		Geo-portal functional and integrated into FORMIS. Boundary and data-sharing issues resolved.
		3.1.3	Continuation of OJT for DiD for updating and maintaining the Geo-portal for its NFMS functions	At least 2 DiD staff capable to update and maintain REDD+ Geoportal	15000		Training course for DiD conducted on handling and updating Geo-portal as part of formal hand over in early October 2018.
	Relevant REDD+ related information (including geo-spatial information and others) available	3.1.4	Update activity data, emission factors and REDD+ implementation in the REDD+	REDD+ Information Portal operational and up to date	11500		Monitoring indicators for PRAPs developed and being tested. These are based on FRMS updates linked to

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
	through the FORMIS Platform and other related tools		information Portal				the FORMIS system.
					2975		
					45475		
Output 3.2 (FAO)-NFMS – Land Monitoring System (LMS) developed		3.2.1	Support implementation of NFI&S (Decision 594/QD-TTg) as requested by VNFOREST	Results of NFI&S in Lao Cai approved in Quarter 1/2016			Historical maps are being revised and an uncertainty assessment is being carried out.
		3.2.2	Implement FRMS mobile app in six provinces	- Mobile app will be provided for piloting FRMS - 6 trainings on piloting FRMS completed	48295		Continued monitoring in pilot provinces with mobile app and linked to the Forest Resource Monitoring System as repository of provincial monitoring data.
	Upgraded set of data integrated	3.2.5	Testing of PRAP monitoring by reviewing how SiRAP activities are captured in FRMS system	PRAP Monitoring system quality controlled	27500		Linked to 3.1.4
					5306		

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
					81101		
Output 3.3 (FAO) NFMS-Emission Factors (EF) developed		3.3.8	Implementation of NFIMAP V to generate new EF	New EF (partial)	85000		Programme has supported FIPI in development of mapping methodology of the new NFIMAP cycle. Recommendation not to use NFIS carbon stock in REDD+ MRV due to methodological differences. NFIMAP will provide new EF.
					5950		
					90950		
Output 3.4 (FAO) NFMS – Institutional arrangements for compiling National REDD+ GHG-Inventory clarified		3.4.1	Develop a coordinating and implementing mechanism in GHGs estimation and inventory in REDD+ activities	Guideline for data collection for LULUCF and capacity building	36400		A report presenting the technical details on the inconsistencies between FREL/FRL and GHG-I was developed, following a workshop with MARD and MONRE staff. It contains recommendations to overcome these inconsistencies.

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
					1050		
					37450		
Outcome 3 sub-total					254076		
Outcome 4 (UNDP): Stakeholders at different levels are able to receive positive incentives							
Output 4.1 (UNDP) National REDD+ Fund (NRF) operational (Previously: Output 1.4 - National REDD+ Fund (NRF) operational)		4.1.1	Hire consultants to support development of regulations and implementation manual for NRF	Guidelines for financial management developed and NRF functioning	25744		Process on hold in line with EG4 decision. Guidelines and manual developed.
		4.1.4	Chief Technical Adviser	Cost of CTA (partly)	10000		Now TA.
					2502		
					38246		
Output 4.2 (UNDP) National and provincial-level mechanisms and standards for distribution of REDD+ positive incentives		4.2.8	Hire consultants to support the development of national BDS and pilot at site level	M&E framework of 17 new SiRAPs finalized and operational	35000		Draft available, the pilot at 17 sites has been reviewed and documented but would still require final consultation.

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
researched and drafted (Previously: 4.1 National-level guidelines for distribution of REDD+ positive incentives researched and drafted 4.2 Provincial-level mechanisms, guiding principles and criteria, which are non-discriminatory, for distribution of REDD+ benefits researched and drafted 4.3 Design of an integrated and non-discriminatory BDS for full REDD+ implementation established)		4.2.12	Explore design and options for aligning REDD+ BDS with PFES, offset replanting and leveraging private sector finance	Circulars for financial delivery of offset replanting Technical inputs to PFES revision Report on private sector consultation and options	16607		Draft BDS outline for FCPF provinces is under development basing on the lessons learnt of UN-REDD. Pilot activities on integrating REDD+ BDS and PFES with VNFF, Lao Cai and Lam Dong are under implementation and will be evaluated in Oct.2018
		4.2.13	Chief Technical Adviser	Cost of CTA (partly)	10000		Part-time TA.
	All elements of a national IAS (BDS) tested, designed and operational	4.2.14	Complete assessment and analysis of BDS/IAS mechanism, finalize and issue BDS policy and guidelines	MARD Decision on BDS guidelines	21500		See 4.2.12
	Mechanism integrating REDD+ IAS, PFES and other incentives designed and approved by GoVN				5818		

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
					88925		
Output 4.3 (UNDP) Grievance/ redress mechanism established <i>New output</i>		4.3.6	Support agencies at national level with guidelines development and institutional arrangements for piloting GRMs	Detailed pilot plan with specific contents developed	24572		Final report expected in November 2018 and based on dialogue with MoJ. Lessons intended to guide a GRM for REDD+ at national scale. Linkage to Sol.
		4.3.7	Pilot GRM at local level linked with BDS pilot and SiRAPs	Lessons learnt and recommendations after 1 pilot year	1000		See 4.3.6
	GRM upgraded if deemed necessary	4.3.9	Explore integrating of GRM guidelines and findings into mainstream legal and institutional framework in collaboration with Ministry of Justice	Draft upgrade of relevant legal texts	21500		See 4.3.6
					3295		
					50367		
Outcome 4 Sub-total					177.538,00		

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
Outcome 5: Mechanisms to address the social and environmental safeguards under the Cancun Agreement established							
Output 5.1 UNEP Scope of country safeguards approach defined and safeguards information system determined <i>(New output restructured outputs from old outcome 5)</i> (Previously: 5.1 Transparent and effective national forest governance structures established 5.2 Measures to ensure respect for knowledge and rights related to forest	SIS and Sol upgraded if deemed necessary	5.1.1	Salary for REDD+ Safeguards Officer to coordinate Outcome 5 activities (from VRO)	Outcome delivered with expected quality level	18000		As planned.
		5.1.9	Develop SIS framework	SIS design adopted/ endorsed by GoVN	48313		Demonstration version of SIS is under testing for stakeholder's feedback and expected to be "live " available from end of October 2018. Roadmap for further development and updating being developed.

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
<p>management designed and adopted</p> <p>5.3 Full and effective stakeholder participation mechanisms, especially for women, local communities and ethnic minorities, established and adopted</p> <p>5.4 Environmental safeguards related to avoidance of conversion of natural forests, risk of reversals, and displacement)</p>		5.1.13	Compile and submit safeguards summary of information (Sol)	A comprehensive draft containing main elements and facts for current safeguards status in Vietnam prepared	50000		First Sol finalized in conclusive consultation round with key stakeholders. Sol expected to be formally published and submitted by MONRE to UNFCCC in November 2018. Key output of Programme with representing a substantive repository of existing information related to laws, guidelines and procedures.
		5.1.14	Support continuous dialogue between safeguard national experts and practitioners to build on international feedback and local/national experience, and eventually upgrade SIS and Sol as	Meetings' reports are formulated. SIS and Sol upgraded versions are formulated as deemed necessary	28000		Technical working groups conducted and support to DID staff given for formally handling and updating SIS / Sol and linkage to FORMIS.

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
			deemed necessary (including support to DID-FORMIS to develop SIS database)				
					10102		
					154415		
Output 5.2 UNDP Policies and measures to address and respect social and environmental safeguards operationalized <i>(New output restructured outputs from old outcome 5 as above)</i>	PGA reports of 4 provinces and national level are available and inform the SOI and implementation measures Key selected measures to address safeguards gaps identified by PLR/SIS report and PGA process are implemented	5.2.1	Identify gaps in forest law enforcement and governance arrangements using PGA tools	Data collected, analyzed and presented in 4 reports of the provinces; an overall report with recommendations for improvement of forest governance and future data collection and analysis is compiled and	108510		PGA report of 4 pilot provinces being finalized and compiled into a consolidated final report. PGA report based on extensive PGA survey carried out by PGA networks in the pilot provinces. Initial survey existed of 19 survey questionnaires, but has been simplified and reduced to a more limited survey format to make it practical and focusing on key indicators.

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
				endorsed			
		5.2.6	Strengthen policies, laws and regulations, and institutional capacity to address and respect social safeguards		9046		Support to CSO network in their capacity to carry out independent monitoring (SRD trained in TERRA-I tool in Di Linh, Lam Dong). Support provided for formulation of ethnic minority law.
		5.2.9	Provide technical leadership to secure related activities delivery and quality through recruitment of a CTA (partially)	Technical lead, quality check and improvement of related outputs	60000		TA in part-time function.
		5.2.10	Support implementation of key safeguards related to law enforcement	Agencies supported. Report on handling specific cases of forest	18000		Support to FPD on e.g. the use and application of TERRA-I to identify forest violation cases and to support direct law enforcement based

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
			through identification, backstopping to relevant agencies and monitoring investigation and prosecution process on a few concrete cases of forest crime	crime including lessons learnt and action plan formulated			on near real time monitoring. VNFOREST has taken full ownership of further development of forest violation data base (see 1.3).
		5.2.11	Implement priority activities to promote active role of ethnic minorities in monitoring transboundary displacement and support EM law formulation (include FPIC study of lessons learnt)	Report on priority activities formulated	23000		The Programme worked closely with CEMA and Ethnic Minorities Network to organize a technical dialogue among the stakeholders (private sector, government, communities and forest owners) on how to enhance the position of EM as equal partners in value chains of sustainable forest goods and services. A high level development forum chaired by Deputy Prime Minister

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
							was organized on 20 th August 2018 and became a part of his conclusion and directives to CEMA and other ministries for follow up. FPIC assessment being finalized in Q4 2018.
					15299		
					233855		
Outcome 5 sub-total					388270		
Outcome 6: Regional cooperation enhances progress on REDD+ implementation in the Lower Mekong Sub-Region							
Output 6.1 (FAO): Effective cooperation between governments in the Lower Mekong Sub-Region on reducing illegal logging and trade <i>(New output</i>	Based on issues and proposed solutions from piloting the risk-based verification system, a revised system is developed Data sharing between pilot provinces	6.1.4	As part of Vietnam's plan on transboundary displacement and following dialogue with Lao in 2017, organize a regional discussion/meeting	Workshop reports formulated, including emphasis on best practices, lessons learnt at regional level	32176		Vietnam-Lao PDR Bilateral Exchange in May 2018 on addressing displacement of deforestation was organized in May 2018 in Luang Prabang (Lao PDR) with private

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
<p>restructured outputs from old outcome 6)</p> <p>(Previously: 6.1 Effective cooperation between Governments in the Lower Mekong Sub-region on reducing illegal logging and trade</p> <p>6.4 Lower Mekong Sub-regional strategy to address displacement of deforestation and forest degradation developed LMS-regional strategy to address displacement of deforestation and forest degradation, developed)</p>	continued at frequency and applying format agreed		on data sharing and transparency	and concrete actions forward in Vietnam on regional collaboration			sector engagement. The exchange focused on the developments in the forestry sector particularly those related to REDD+ and transboundary displacement issues. Both countries are engaged in REDD+ and this represents an opportunity to place forests and land use on a more sustainable footing, and provide incentives for doing so. But, illegal and/or unsustainable logging and timber trade between countries can undermine REDD+ efforts. This bilateral exchange thus encouraged discussions on the potential domestic and cross-border impact and risks, and identified mechanisms for

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
							monitoring of risks. Provided the basis for formulation of regional project to address drivers of deforestation.
		6.1.6	Implement priority activities as identified in MoU signed between Vietnam and Lao or Vietnam and Cambodia in 2017	Reports formulated	119366		<p>Collaboration between Viet Nam, Cambodia and Laos, including: FPD – DOFI MOU review meeting (planned for October, delayed due to Dam incident in Laos PDR)</p> <p>Tri-partite meeting, including Ha Tinh, Bolikhamsay and Khammuoan Provinces (planned for November)</p> <p>MOU review meeting between VNFOREST and its counterpart in</p>

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
							Cambodia (planned for October)
		6.1.9	Regular training and backstopping of frontline law enforcement officers (Customs, Police and Forestry) based in border crossings (in collaboration with WCO-ITTO)		8993		A workshop to discuss collaboration between Vietnam, China, Lao, Myanmar and Cambodia on cross-border timber crime is being organized for November 2018, hosted by the Ministry of Public Security, and co-organized with UNODC and INTERPOL.
		6.1.11	Build on past experiences and best practices as documented in 2017 to promote formulation of a MoU for active collaboration with Myanmar on	MoU signed	50000		See 6.1.9

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
			transboundary displacement and forest crime				
		6.1.12	Promote inter-agency collaboration on criminal justice	SOP upgraded and proposed for final endorsement Report on second pilot completed	33000		See 1.3 on VNTLAS development by VNFOREST. High level commitments from Vietnam and regional countries, including the 2018 Prime Ministers' Joint Declaration on collaboration between Cambodia-Lao PDR-Vietnam which includes in its scope collaboration on transboundary forest protection.

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
		6.1.13	Provide technical backstopping/expertise to secure related activities delivery and quality	Quality check and improvement of related outputs	51500		Ongoing, supported by regional TA when and where needed.
					20652		
					315688		
Output 6.2 (FAO): Commitments by the wood processing industry in Viet Nam and other regional countries to sourcing legal and sustainably harvested timber (New output restructured outputs from old outcome 6) (Includes a part of previous output 6.4: Lower Mekong Sub-regional strategy to address displacement of deforestation and forest degradation developed)	Share of legal and sustainably harvested timber in Vietnamese timber imports from neighbor countries increased	6.2.2	Complete the development of the due diligence system with timber association, pilot the system and develop a national decision to pave the way for replication of the system at national scale	System completed. Pilot activity report formulated National guidelines formulated	21243		The Programme contributed to the promotion of legal and sustainably harvested timber through engagement with a number of significant industry associations and support to their due diligence systems. Quantification of direct impact however is difficult as attribution is complex and also strongly linked to e.g. the recent approval of the FLEGT-VPA and related compliance requirements.
					1155		

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
LMS-regional strategy to address displacement of deforestation and forest degradation, developed")							
					22398		
6.3 (UNEP)REDD+ strategies across the Lower Mekong Sub-region and beyond are informed by Vietnamese lessons. Enhanced biodiversity conservation through REDD+ collaboration(New output restructured outputs from old outcome 6)(Previously:6.3 REDD+ strategies	Regional REDD+ Coordination Forum and e-network operate regularly Assessment of effectiveness of forest biodiversity management tool	6.3.1	Organize and participate in dialogues and exchange of lessons learnt with other REDD+ countries in the region	Report on events formulated	25471		Regional REDD+ E-network under investment and awaiting political decision. REDD+ knowledge exchange continued, see also 6.1. Participation in South-South exchange on REDD+ safeguards in Ghana (Jun 2018) and regional exchange on REL/FREL in India (Sept 2018).

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
across the Lower Mekong Sub-region and beyond are informed by Vietnamese lessons6.4 Lower Mekong Sub-regional strategy to address displacement of deforestation and forest degradation developedLMS-regional strategy to address displacement of deforestation and forest degradation, developed6.5 Lower Mekong Sub-regional collaboration on enhancing biodiversity conservation through REDD+)		6.3.2	Developing of tool for promoting biodiversity conservation through REDD+	<p>Assessment report on the impact of REDD+ implementation on biodiversity</p> <p>Manual and guidelines for addressing risks and integrating biodiversity co-benefits in REDD+ activities</p> <p>Capacity of REDD+ planning officer in using guidelines and tools for biodiversity assessment (about 20 officers attend regional training, 4 participants per country)</p>	40323		<p>The planned focus on multiple benefits and in particular on biodiversity benefits of REDD+ and SFM interventions has been difficult to develop and the Programme has not succeeded in sharing this perspective in the regional collaboration (e.g. CITES alignment, tool development for biodiversity benefit valuation/quantification).</p> <p>Efforts on exploring opportunities to include considerations of multiple benefits) has been further strengthening, finning-tune and started to materialize and mainstream into various processes, including the</p>

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
							integrated planning process (with MPI and MONRE) as well as in finance and banking sector (through the development of deforestation-free jurisdiction approach).
		6.3.3	Promote responsible investments abroad by supporting partnership with SBV and MPI and implementing priority actions identified through piloting of	Report on collaborations formulated	24000		Voluntary guideline development with MPI and banks on sustainable investment guidelines (conditional loans).

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
			voluntary guidelines and other relevant collaborations with private enterprises and financial institutions.				
		6.3.4	Provide technical backstopping/expertise to secure related activities delivery and quality	Quality check and improvement of related outputs	51500		
		6.3.5	Provide technical leadership to secure related activities delivery and quality through recruitment of a CTA and other technical experts	Technical lead, quality check and improvement of related outputs	55000		
					10045		
					206339		
Outcome 6 sub-total					544425		
TOTAL OF 6					413022		

Outcome/Output	Target 2018	Activity #	Consolidation activities	Expected output	Total budget of 2018	Key achievements 2018	Comments on Progress
OUTCOMES					2		
Management costs					375000		
Functioning costs					163.600		
					315366		
					4820588		

Annex 6 Table of Assessment of 2017 Annual Review recommendations implementation

Issues	Recommendations	What ?	Joint management responses	Updated in Sept 2018	AR2018 / Final Evaluation
1	To ensure that the present PRAP pilots on effective monitoring of SFM/REDD+ activities in SiRAPs, including safeguard indicators from subnational level, are aggregated and embedded at provincial level, without creating an additional extra information system	All relevant monitoring information captured at PRAP and FRMS level	Agreed. The streamlining of monitoring on REDD+ interventions is well-noted and agreed. However, there are at least two different intentions to the monitoring, including the monitoring for performance, and monitoring against implementation. For the former, the PRAP monitoring system will serve its purpose. For the latter, various monitoring activities will need to be conducted including at field level (i.e. SiRAPs and other PRAP interventions), and to be integrated into the Forest Resources Monitoring System (FRMS) as appropriate.	A set of PRAP monitoring indicators, focus largely on the output level of PRAP interventions as part of FRMS has been developed and consulted with PRAP-piloting provinces. This will support the pilot implementation of PRAP monitoring framework which will be tested in at least two PRAP provinces to inform the NRIP monitoring.	Done. Based on consultations it was confirmed that a set of PRAP indicators has been developed at province level, linked to the FRMS, and intended to be used as progress indicators for NRIP implementation.
2	To support the submission of the 3rd NDC by MONRE, with an emphasis on improved LULUCF parameters and activity data to be provided to MONRE based on the TAR, with an orientation to 2030, including, before the 3rd Quarter of 2018, a more detailed estimation how REDD+ activities can contribute to GHG mitigation and infusion of critical learning and lessons on REDD+ actions into the NDC.	Recommendations to MONRE Estimate of NRAP contribution to NDC by 2020 Report on dialogue of forestry and NDC targets by 2030 Report of REDD+ lessons to support NDC	Agreed. There are three dimensions in the recommendations where the Programme can contribute in 2018. First, the Programme will provide recommendations to MONRE on process for improving the 2nd NDC due by 2020. On December 1st 2017, the Programme supports a workshop that will be led by MARD and participation from MONRE on harmonization of GHG-I and REDD+ data, which will contribute to this recommendation. Second, by comparing the NRIP (to be completed during Q1 2018) with current the NDC, the Programme can provide an estimate of how the NRAP	Under the first dimension, significant efforts have been taken by the Programme towards consistent and coherent reporting between GHG-I and the REDD+ MRV/FRLs. Apart from the workshop participated by the two main ministries involved, a technical review was implemented in 2018 involving the key contributors to these two reporting processes. The situation to date is that while the REDD+ data has general superiority from a technical perspective, there is reluctance to use this dataset for the GHG-I, as the data is not part	Done. The consultation meetings with the key stakeholders (MONRE, FIPI, DARD) confirmed that the Programme has facilitated the consensus building process on consistent and coherent reporting between GHG-I and REDD+ MRV/FRLs. There is technical agreement on recommendations to overcome these inconsistencies. A workshop with MONRE and MARD officials was conducted to review the inconsistencies. Collaboration with JICA and GiZ, supported by the Technical

		achievement	<p>implementation could contribute to NDC by 2020. Also, by the end of the Programme in 2018 there won't be reliable information on 2030 REDD+ specific targets to contribute to NDC and forest-related GHG emissions reduction in general. On this last point though, the Programme can offer MARD and MONRE to organize a dialogue to discuss current NDC targets and forestry vision by 2030, so as to contribute to the formulation of an updated and clearer political target for forestry contribution to NDC by 2030. Third, in 2018, the Programme can also formulate a quality-based review of how REDD+ practices and lessons can be disseminated and support broader NDC achievement.</p>	<p>of the dataset officially considered as national forest statistics according to the General Statistics Office. A separate forest dataset is registered under the GSO, and used for the GHG-I. While there is continued follow up to raise awareness of the issue of inconsistent dataset, the Programme is also aware that globally, there is reduced pressure to penalize countries (ie. GCF scorecard) where there are differences between the reporting, particularly for the past reports.</p> <p>Under the second dimension, the programme currently is working closely with other initiatives supported by UNDP and GIZ to make further the clarity of forestry contribution in the updated NDC.</p> <p>Under the third dimension, the Programme is helping MARD to develop a publication that clarifies the position of sustainable forestry agenda in achieving SDGs of Viet Nam</p>	<p>Working Group under VRO, is supporting the development of a national roadmap for pilot GCF RBPs, identifying action groups (updating FREL/FRL, report results (MRV) etc.), specific actions with specific deadlines and responsible partners.</p>
3	To build on the emerging lessons learnt and best practices documented, to further strengthen and support regional initiatives on REDD+ implementation and knowledge	Progress report on implementation of VNFOREST plan for regional	<p>Agreed.</p> <p>In 2018, the Programme plans to further strengthen and support regional initiatives to address regional displacement issues, including implementing priorities activities such as Laos - Vietnam exchange on REDD+ and</p>	<p>There has been significant advancement under Outcome 6 of the Programme. As planned, the Programme supported the Vietnam-Lao bilateral exchange on addressing displacement of deforestation. There was</p>	<p>Agreed. The Programme has seen good progress in advancing the range of activities under Component 6 in order to be able to share lessons learnt and engage with and build a constructive dialogue with key</p>

	management under Component 6, such as private sector action plans and guidelines.	collaboration on transboundary displacement	those identified in MOUs signed between Viet Nam and Laos, Cambodia, respectively, promoting formulation of a MOU with Myanmar; inter-agency/regional collaboration on transboundary issues, VPA implementation and lesson learned; public participation; voluntary guidelines on responsible investment.	demonstrated willingness and interest among the participants to interact and learn about the transboundary deforestation dynamics of the two countries, and discussions for further collaboration into the future. Within the meeting, private sector actors including timber associations and the Vietnam Rubber Group participants shared their views for mainstreaming responsibility and sustainability principles in their investment policies. Meetings with Myanmar and Cambodia are being planned, as is a multi-sector meeting on transboundary forest crime and law enforcement, led by the Ministry of Public Security. Outside the Programme, the UN-REDD agencies are working on a formulation of a regional initiative that will learn from and advance the developments as experienced under Outcome 6.	regional partners on issues related to transboundary displacement, law enforcement and guideline development for more sustainable production. The involvement of partners from the private sector, as in the Luang Prabang event in May 2018, is an essential step for continued follow-up by sector /commodity organisations in improving the legal sourcing of timber and enhancing the sustainability of the supply chain of key agricultural commodities as coffee and rubber. The support by the Programme to the FLEG-VPA is supportive in this context. The opportunity to define a follow-up regional project, building on the foundation work of the UN-REDD Programme, would offer the possibility to further deepen and intensify the regional dialogue.
4	To support the finalization of the forest violation data base, including securing/reallocating sufficient funding to establish it and train staff. Also, align and optimize the data base functionality with	Forest violation database finalized Report on gaps to full operation (capacities...)	Partly agreed. Approximately \$63,000 (plus possible carry-over) has been provisionally earmarked in the AWP 2018 for this activity, to support further development. Further resource mobilization is not	VNFOREST has also agreed about the need to develop such a data base. However, the agency has informed the Programme that it will develop the forest violators' database to be integrated with FORMIS which is a forestry information platform to optimize	Noted. The review team has taken notice of the fact that VNFOREST has taken the full responsibility and funding of the forest violation data base, making use the preparatory work of the Programme and integration with VNTLAS and FORMIS. The

	the related FLEGT initiative.		considered feasible.	resources. Consequently, VNFORESST has requested the Programme to revise this activity (1.3.11) and use its funding to fund other forest law enforcement related activities.	Programme has proactively sought permission to reallocate the freed budget to support a series of 7 activities to a range of forest law enforcement related activities, being implemented in Q4.
5	To address some minor issues related to financial management, the budget approval, contracting and accounting of CIPs and the proper administration of procured goods in order to enable good hand-over practices, through slight amendments or addenda to the PIM	PIM revised	Partly agreed. The related chapter in PIM on procurement management and asset handing-over will be reviewed with the participation of MARD's Financial Department, VNFOREST's Financial/Planning Department, PMU and UN agencies in December/Jan.2018. Suggestion on revision will be made to PEB/EG according to level of decision making as defined by PIM accordingly.	All related agencies have reviewed the procedures and come up with solutions. The progress has been accelerated and the need for PIM revision is no longer relevant at this point of time. A detailed provisions on programme closing and handing-over are under further development basing on Chapter 12 of the PIM	Done. The review team has been informed that the minor issues observed have been reviewed and resolved, without the need to formally change the PIM so late in the Programme implementation. The Programme is preparing for appropriate financial and operational closure, based on the PIM and in consultation with the Finance Department of DARD.
6	To focus in the last year of implementation on finalizing activities, with an emphasis on documentation of piloted initiatives, extracting best or emerging good practices and on knowledge management through knowledge sharing and exchanging events and podia at decentralized, national and regional level.	Annual progress report and final assessment report	Agreed. The 2018AWP truly reflects the focus on finalizing the commitments at provincial level and documentation of lessons learnt. However, at the national level, the programme is not only focusing on finalizing its support but also maintaining the momentum and partnership developed in 2016-2017 to support some targeted activities, so to eventually foster the implementation of NRAP and sustainability of the Programme.	Please refer to the Programme Progress summary for detailed information. At provincial level: all Provinces are documenting their REDD+ stories with focus on new lessons that Programme has generated in term of forest change monitoring, private sector engagement, or PPP with the participation of Ethnic Minorities, etc. At the national level, the documentation of Programme lessons learnt continues and sharing events are organized for targeted audience (e.g. joint Sept.	Agreed. The Programme is documenting its lessons with a series of case studies from all the pilot provinces, a film series and through thematic reports on specific thematic studies or innovative approaches. The AR team expresses some concern that there remains little time in Q4 for effective knowledge sharing, dialogue and determination of needed or prioritized follow-up action as the focus of the team will be on timely and quality delivery of final products.

				workshop with CiFOR) for Chief Editors of key newspapers in Viet Nam	
7	To build further on the initiated public-private partnership with the private sector, CSOs and industry associations as a pathway to sustainable forest protection and (alternative) livelihood generation, e.g., support to enable replication of community-based SFM, establishment of cooperatives, finalization of industry action plans and support to replication of successful best practices.	Annual progress report and final assessment report	Agreed. In 2018, the Programme will continue piloting existing initiatives, including some that are being scoped lately (standards in ecotourism and financial system). It will also look more at reviewing relevant similar initiatives, support consultations and consolidate findings on potential ways forward. The key challenge is to turn current experiments into concrete recommendations on mechanisms and arrangements to scale up engagement with NRIP implementation.	In 2018, the Programme continues to support FSC for households and companies in 6 provinces. The Programme also supports an assessment of a PPP pilot for protection forest management in Lao Cai to withdraw lessons for policy recommendations. At national level, the Programme continues working with rubber sector to enable the implementation of their sustainable development plan. In August 2018, the Programme supported CEMA to organize a high level forum (chaired by Deputy Prime Minister) to discuss and find strategic solutions to enhance the access to and position of Ethnic Minorities in value chains of forest goods and services. The Programme is consolidating its approach in working with private sectors and other stakeholders and will update its paper “engaging private sector” for EG6	Agreed. The review team sees clearly focus of the Programme on effective and meaningful participation of CSO, ethnic minorities and private enterprises. The various longer-term agreement between households, community groups and private enterprises, e.g. the FSC certification and SFM plans of forest companies linked to their partnerships with households, the MoUs on medicinal plants and organic shrimp production , are indicative of continued impact of the collaboration in PPPs. The continued work on commodity action plans with a clear linkage to investment in NRIP implementation are another sign of emerging partnerships that have been facilitated and supported.
8	To continue targeted support to VRO to ensure its effective and critical role in facilitation and coordination of REDD+	Annual progress report and final assessment	Agreed. In 2018 budget, 3 positions will still be funded including 2 more focused on NRAP implementation, monitoring and evaluation, and 1 position on supervising	The briefing notes on VRO was submitted to EG5. As of September 2018, the Programme is supporting the Vietnam REDD+ Office with the	Agreed. The Programme has continued to support the functioning of the VRO and now SSCO in recognition of its importance in continued

	activities and related policy development and technical support.	report	the safeguard completion. Specific budget (1.1.6) is also allocated to provide additional and targeted support to VRO coordination and monitoring activities. The challenges and opportunities to sustain and strengthen VRO's role and capacity are further clarified by the VRO's briefing note submitted to EG5	formulation of a REDD+ full implementation project. This project will build on the NRIP including action plan, financial analysis and resource mobilization, and monitoring and evaluation framework, as well as build on the new institutional arrangements for REDD+. It aims at ensuring robust capacity in the Vietnam REDD+ Office and the Office of the State Steering Committee together with an action plan to effectively coordinate the implementation of the NRAP, provide backstopping to the various relevant sectors and stakeholders involved, and closely monitor and evaluate activities and impacts during the 2019-2022 period, at the critical time of REDD+ take-off and transition towards the new national planning phase 2021-2030.	coordination of REDD+/SFM related themes in the forestry agenda and in future continued knowledge exchange and M&E of the NRAP-NRIP implementation progress. The Government of Vietnam also expressed the importance of the continued functioning of the entity, but there is some concern that bridging funding will be necessary until direct funding from RBPs can be supporting the office after 2021.
9	In order to enhance and maximize a smooth transition, hand-over and sustainability of impact, and enhance the prospects of continuation of Programme activities post-Programme, the Programme is recommended to work out a detailed phasing out plan (exit strategy). Some of the recommended elements	Phase out plan detailed Report on implementation of the phase out plan	Agreed. The Programme agrees with the interest of formulating a more detailed phasing out plan, building on the 2016 plan and related progress. Among the elements recommended, the Programme agrees with also looking at ways to leverage future funding for continued activities, as already provisioned under the NRIP formulation work. However, it must be clear that responsibility for securing such funding	In 2018, the Programme has updated its exit strategy which was submitted to EG5. At national level, the Programme continues supporting the implementation of Planning Law. It facilitates the pilot of "one plan process" in Lam Dong and Lao Cai provinces, which is expected to help MPI to develop related guidance for other 61 provinces.	Done. The review team has taken notice of the advancement of the exit strategy (or phase out plan) from an initial draft to a detailed and comprehensive document, addressing key elements of sustained impact and assurance of continued implementation and ownership. Building and detailing on four key elements of ownership, institutional embedding, capacity and financial

	<p>are:</p> <ul style="list-style-type: none"> • formal embedding of REDD+ steering committees at provincial level, • cooperative establishment at commune and district level, • continue PRAP implementation through prioritized interventions and replication of successful models with securing available funding from regular budget lines, • finalization of NRIP, communication of key lessons from REDD+ piloting into the forestry sector (support to national guidelines related to BDS-P(FES), GRM, PGA, community protection forest co-management, FSC, FLA etc.). • retention of build capacity at VRO and at provincial level (securing that staff on 		<p>(for PRAP implementation or staff retention) goes beyond the capacities of the Programme.</p> <p>The Programme will continue to promote a smooth hand over to national/provincial actors and impact sustainability, including:</p> <ul style="list-style-type: none"> ▪ formal embedding of Provincial REDD+ steering committees into Provincial committees for Sustainable Forest Development Target Programme ▪ Further strengthening the capacity of cooperatives established ▪ Complete implementing PRAP priority interventions which will provide demonstration for replication to be funded by Government/other donors' budgets. ▪ Lessons learned on Programme's support, including NRIP development, pilot BDS and its integration with PFES, FLA, PPP such as FSC, value added medicinal supply chain, PGA, GRM, co-management, will be drawn and disseminated ▪ Provide mandate for VRO to support the National Committee for SFDTP that will secure its staff and funding. Similar arrangement will follow suit at the provincial level. 		<p>resources, the review team feels that the Programme has very conscientiously tried to address key processes to safeguard continued impact and to facilitate a smooth handing-over and transition Post-Programme.</p>
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	secondment continues working on REDD+/SFM) etc.				
10	To continue dialogue with key partners to mobilize continued funding for REDD+ activities and institutional capacity building and further embedding in governmental entities, including options for funding through UN-REDD, as requested by many stakeholders and other sources (WB-FCPF (ER-PD), GCF, USAID, UN-REDD global, PFES, GoNorway etc.) .	Report on policy dialogue, if so decided at EG5	<p>Agreed.</p> <p>It is suggested that EG5 discusses the opportunity and feasibility of engaging a policy dialogue between Vietnam and international partners in 2018, to share perspectives on recent transformational changes, changes in international context, respective interests and priorities, and find solutions for sustaining and strengthening coordination, backstopping and monitoring capacities to effectively implement NRAP.</p> <p>.</p>	<p>MPI (as GCF National Designated Authority) endorsement in January 2018f GCF concept note “Achieving Emission Reductions in the Central Highlands to support NRAP goals”. CN submitted to GCF Secretariat in May 2018 and full proposal development initiated. Draft feasibility study shared with MARD/VNFOREST in Sept 2018. Provincial and national-level consultation process ongoing for completion of proposal package by end Dec 2018.</p> <p>JICA and UN-REDD Programme has been working together to support Vietnam review FREL/FRL methodology to make it align with GCF. And at the same time, JICA provides support to Vietnam to develop GCF proposal for regions other than Central Highland The programme plans to support VNFOREST to organize a forestry donors conference in 2018 to discuss about opportunity to finance NRAP</p>	<p>Agreed. The review team is pleased to note that several promising project concepts are emerging, in different stadia of development, with a clear linkage to further develop approaches, mechanisms and innovations piloted under the Programme. Except the mentioned GCF-Central Highland proposal and the GEF-UNDP Central Highland proposal on Deforestation Free Jurisdiction the named collaboration with JICA and GiZ on national roadmap for pilot GCG RBPs is another initiative to facilitate the mobilization of future funding and continued capacity building support. Lastly, the potential follow-up regional project, building on the framework of the Component 6 elements, would contribute to further dialogue and regional knowledge exchange on REDD+.</p>

Annex 7 Follow-up to EG5 decisions

EG Decision No.	Content	AR 2018 Comments
EG 5.1	The EG endorses the 2017 Annual Progress Report, commending the progress made.	-
EG5.2	The EG takes note of the 2017 Annual Review report and the related management response.	See ANNEX 6 for a more detailed overview of management response and AR 2017 comments.
EG 5.3	The EG notes the good progress on Outcome 6 during 2017, and encourages continued progress during 2018.	See ANNEX 6 and section 3.6 on progress assessment of Outcome 6 in 2018.
EG5.4	The EG requests the Programme to provide an overall Exit Strategy within March 2018, including the identification of strategies and funding opportunities to ensure sustainability of results and Programme impacts.	See ANNEX 6 and Chapter 6 on Post-Programma Impact and Sustainability reflecting the assessment of the Exit Strategy.
EG5.5	The EG notes that the Programme will consider organizing a working meeting in around May 2018 to review the Exit Strategy.	Done. Updated exit strategy and related presentation provided by PMU.
EG5.6	The EG endorses the overall priorities set out in the AWPB 2018 presented by the Programme. The EG takes note of the difference between the current estimate of available funds and the funding request. The EG requests the Programme to submit a revised budget within one week with a total amount equivalent to the estimate of fund availability, for approval by the EG on a 'no objection' basis. The EG notes that the MPTF Office and the Programme will follow up with Norway to clarify the reasons for the difference between the funding amount requested from Norway to date and the funding need of the Programme as presented in the AWPB 2018, and notes that the MPTF Office and the Programme may request Norway to consider the possibility of providing funds to cover this difference.	Done. The AR team has taken note of the updated AWP/B with agreed budget and activities, including recent reallocation of budget under component 1.3 and formal agreement for implementation of related activities.
EG6	The EG approves the six decisions listed above as discussed at the fifth EG meeting.	-

Annex 8 Evaluation Framework

Effectiveness		
Questions	Indicators	Data sources
To which extent progresses towards outputs or outcomes have been achieved?	% of outputs and outcomes achieved	M&E reports, Interviews (PMU)
Is the quality of the outputs sufficient?	RT and Stakeholders perception of the quality of outputs	Interviews
	Quality of expertise involved	Interviews, CV of main experts
To what extent gender has been sufficiently mainstreamed in project implementation?	Gender appropriately considered in programme design	Logframe, PIM Interviews with women civil society organizations
	Gender appropriately considered in key outputs (PRAP, NRAP, BDS, SIS...)	Key outputs (PRAP, NRAP, BDS, SIS...) Interviews of responsible persons of key outputs, gender specialist among project team, Women civil society organizations
	% of women among consulted / trained persons	M&E reports
	% of women among beneficiaries	M&E reports
Efficiency		
Questions	Indicators	Data sources
To which extent progresses towards outputs or outcomes have been achieved on time or are on-track to do so?	% of activities planned for 2017 implemented	M&E reports, Interviews (PMU)
	% of outputs and outcomes planned for 2017 achieved or on-track to be achieved	M&E reports, Interviews (PMU)
Is the project able to spend on-time its budgeted?	Rate of delivery against budget	M&E reports
Is Programme implementation improving?	Budget spent Q4 2016 – Q3 2017 vs Budget spent Q4 2015 -Q3 2016	M&E reports
	Budget rate of delivery Q4 2016– Q3 2017 vs Budget rate of delivery Q4 2015 -Q3 2016	M&E reports
Sustainability		
Questions	Indicators	Data sources
To which extent the programme is fully anchored in permanent national institutions?	% of PMU and PPMUs staffs anchored in permanent national institutions	Interviews (PMU, PPMUs)
	Number of permanent government staff (Central and Provincial, districts, communes), not part of PMU or PPMUs, involved or trained by the programme	M&E reports
To which extent REDD+ has been mainstreamed in relevant national and provincial strategies?	% of REDD+ relevant strategies where REDD+ objectives are considered	national climate change mitigation strategies national and provincial socio-economic development plans

		(SEDPs), forest protection and development plans (FPDPs) land use planning (LUP) processes Agriculture strategy
Are sufficient fundings for REDD+ implementation in the coming years secured?	Fundings secured for REDD+ implementation (2018-2020)	Interviews (donors, VNForest)
	Activities engaged (fundraising, communication...) to secure sufficient fundings for REDD+ implementation (2018-2020)	Interviews (PMU, donors)
What are the prospects for REDD+ results-based payment in Viet Nam, in particular through component 2 of the programme?	Discussions already engaged on component 2 of the programme	Interviews (Norway, PMU) Any documents related to component 2 of the programme
Impact		
Questions	Indicators	Data sources
Is the REDD+ process on the way to achieve results in terms of increasing forest cover and alleviating poverty?	Evolution of forest cover	Reference documents
	Poverty level of forest-dependent communities	Reference documents
Has the activity implemented by the programme been able to have positive impact in terms of forest cover and poverty alleviation or are conducive to such impact?	Real problems addressed by actions and strategies	M&E reports, Interviews (PMU, PPC) and field visits
Relevance		
Questions	Indicators	Data sources
What is the relevance of the Programme's and the REDD+ process' design from the perspective of national development priorities, climate change and forest agenda, and the national REDD+ process in general?	Programme's and REDD+ process' contribution are viewed as relevant by stakeholders associated with national development, climate change and forest / REDD+ agenda	Interviews (stakeholders associated with national development, climate change and forest / REDD+ agenda)
Factors affecting performance		
Questions	Sub-questions	Data sources
Is forest/REDD+ agenda gaining more weight in the national and provincial political agendas?	High-level declarations, or initiatives on forest	Interviews (donors, VNForest, UN...)
	Weight of LULUCF in INDC	INDC
Does the program support an intersectoral REDD+ vision and process?	Are SIRAP / PRAP and potentially revised NRAP truly intersectoral?	Revision of PRAP and SIRAP Interviews (PMU, PPMU, PPC, MONRE, MIP, donors, NRAP consultants...) Field visits
	Are the institutional arrangements of the programme and the REDD+ process truly intersectoral?	Interviews (PMU, MONRE, MIP, donors, VFF...)
Is the coordination effective between the different REDD+	Are the coordination arrangements and team for the REDD+ process	Interview (representatives from other REDD+ projects,

programmes?	solid enough?	PMU, VRO...)
Are strategic options chosen in the design of REDD+ implementation framework likely to contribute to REDD+ success?	Are works on national REDD+ fund, REL, NFMS, safeguards, DBS... approached in an adequate manner?	Interviews (PMU, UN, donors...)
Is the programme well designed?	Does the project logical framework allow for good project management?	Logframe Interview (PMU)
	Has the programme been able to adapt successfully to changing circumstances?	Interviews
Is the programme's governance effective?	Is the programme's governance structure well-designed?	Interviews
	Do the governance bodies (EG? PEB) function well?	Interviews, Minutes of EG and PEB
Is the programme's management efficient	Are all parties (MARD, VNForest, PMU, PPMU, CIPs) involved in project management working efficiently?	Interviews, M&E reports
	Are planning and budgeting activities carried out well?	AWP, Budgets and M&E reports Interviews
	Are the fund management arrangements effective?	PIM Interviews
	Are effective quality-assurance arrangements established?	PIM Interviews
	Is the work organization efficient of PMU and PPMUs?	PIM Interviews
Is the programme well monitored and evaluated?	Are results well monitored and evaluated in terms of activities, outputs and outcomes?	M&E report, Interviews (PMU, PPMU)
Has the programme been able to develop successful partnerships?	Is there a good coordination with other REDD+ initiatives?	Interviews with personal from other REDD+ initiatives
	Do CIP deliver results?	Interviews (CIP, PMU)
	Are effective working relationship established with key sectors (Agriculture, land allocation...) at national and provincial levels?	Interviews (PMU, PPMU) Any documents related
	Is there a good coordination between UN and GoV?	Interviews (UN organizations, MARD)
	Is there a good coordination among the 3 UN agencies?	Interviews (UN organizations, MARD, PMU)
	Are effective working relationships established between VN Forests and PPCs?	Interviews (PMU, PPC)
	Are effective working relationships established between provincial DARD and communes?	Interviews (DARD, communes)
	Are the relevant stakeholders effectively engaged?	Interviews (PMU, Civil society)

Annex 9 ToR**TERMS OF REFERENCE****Annual Review 2017 and Final Programme Evaluation (2013-2018)**

TITLE:	Annual Review 2017 and Final Evaluation of UN-REDD Vietnam Phase II Programme
Duty Station:	Hanoi and travel to provinces
Procurement	01 International (team leader, TL) and 01 national (team member, TM)
Duration	Estimated 60 working days for TL and 50 working days for TM, including: <ul style="list-style-type: none"> - 45 TL days and 38 TM days between September and November 2017 - 15 TL days and 12 TM days in October 2018 - A minimum of 50% of each consultants' time in Hanoi
Reporting	UNDP and National Programme Director of UN-REDD Vietnam Phase II Programme
Budget	Programme Management Costs (allocated to UNDP)
Project code	00085319

1. Background and Context

Viet Nam took early steps to integrate REDD+ in its national strategies for the forestry sector, climate change and other relevant development plans to develop national capacity and structures for REDD+ through different REDD+ initiatives, including the UN-REDD Phase I Programme for Viet Nam, which ended in 2012. In the following Phase II (starting mid-2013 and extended until December 2018), the piloting and pre-implementation phase of REDD+ began. The UN-REDD Programme for Viet Nam is implemented jointly by three UN Agencies: FAO, UNDP and UN Environment. The Viet Nam Administration of Forestry (VNFOREST) under the Ministry of Agriculture and Rural Development (MARD) is the national implementing partner of the Programme. The UN-REDD Programme provides technical expertise to establish, sustain, and support national REDD+ through direct and complementary support. More information about the UN-REDD Viet Nam Phase II Programme can be found at <http://vietnam-redd.org/Web/Default.aspx?tab=project&zoneid=110&lang=en-US>.

Viet Nam has been supported by international partners in this context, notably the Government of Norway through the UN-REDD Programme, the multi-donor World Bank Forest Carbon Partnership Facility, the Governments of Germany, Japan, the United States, and various NGOs. Recognizing the growing scale and diversity of international partners, the GoVN called for increased coordination and established a REDD+ organizational set-up at (pilot-) provincial level as well as at the national level, inclusive of National REDD+ Steering Committee, Vietnam REDD+ Office, National REDD+ Network and its sub-technical working groups (STWGs).

Mid-Term Review 2014 and Annual Reviews 2015 and 2016

As indicated in the Programme Document, a comprehensive review of the UN-REDD Phase II Programme's implementation (from October 2013 until 30 September 2014) was carried out in 2014. As the review took place at the mid-point of the then three-year programme, it has been regarded and referred to

as the “Mid Term Review” (MTR). The MTR noted limited progress and raised concerns on various critical issues. 12 major recommendations were provided. Overall, organizational restructuring and rationalizing roles and responsibilities on the part of Government as well as the UN was recommended. The MTR recommended that the Programme should be simplified and operationalized at all possible levels.

The 2015 Annual Review revealed a more positive progress of Programme implementation, as a result of better understandings on REDD+ concept and Programme guidelines, and also of the effective implementation of MTR’s follow-up actions.

The 2016 Annual Review undertaken between September and November 2016 (covering programme’s implementation from January to September 2016) noted that “the programme has recently entered a new stage of development. It was decided in January 2016 to grant programme implementation a three-year, no cost extension up to the end of 2018. The programme’s logical framework was also revised in April 2016”. The revision also moved beyond governance and arrangements, and took a stronger focus on the programme’s content and quality, sustainability and impact. Programme’s implementation was assessed to be strong, with very significant progress towards targets on 83% of outcomes and outputs. 22 recommendations were made, grouped into four themes that offer a relevant framework to run the 2017 and final review of the Programme:

- Programme management, including a sustainability and phase out plan
- Programme activities
- National REDD+ Action Programme and strategic positioning, including improvements of intersectoral coordination arrangements
- REDD+ Governance and coordination

The annual work plan and budget for 2017 (AWPB2017) was approved by the Programme Executive Board (PEB) in early November 2016 and subsequently by the Executive Group (EG) in December 2016. A formal revision of the 2017 AWPB and related result framework is expected to be completed by the end of September.

Basis/Justification

The Programme Document prescribes the need to undertake annual independent reviews and a final evaluation to assess the relevance and effectiveness of the activities and measures carried out by the Programme. The review should serve primarily as “stocktaking” but should also assess the impact of the results achieved to date and provide directions for further implementation. The review should focus on the strengths and shortfalls of the Programme’s delivery and assess the capacity of the participating UN Agencies to deliver on administrative and technical aspects. The review should address the management and delivery capacity of the PMU (Programme Management Unit) and its main contractors, especially the CIPs (Co-implementing Partners).

At its 4th meeting held in December 2017, the EG requested the Programme to propose terms of reference for a two-stage external review and evaluation process to be initiated in 2017, encompassing (i) the 2017 Annual Review to be completed in 2017, and (ii) a final Programme Evaluation to be completed in 2018.

This assignment follows the EG’s direction and covers the 4th review and final evaluation of the Programme. The annual review 2017 and final evaluation should also assess the progress of implementing past recommendations, and particularly those from PEB and EG meetings in November and December 2016. The annual review 2017 will build on the methodological framework used for the 2016 annual review:

- Assess responses to past recommendations
- Assess effectiveness (progress and delivery) on the four themes above
- Assess relevance, impact and sustainability

It must be noted that the 2017 review will not be limited to activities in 2017. It will review and evaluate the full Programme’s implementation to date, besides a systematic review and discussion on the 2017-specific activities. Building on this overall evaluation and on specific attention to the 2017 results and trend, it will also provide recommendations for the last year of operations in 2018.

Considering that the 2017 Annual Review methodology and report complies with requirements and expectations from a programme’s final evaluation, the same format will be used for the final evaluation in 2018, which will mainly consist in an updating exercise, run by the same team of national and international

experts, during the last quarter of 2018. We refer to the two consultants as “the team”, covering both the 2017 and 2018 parts of the annual review and Programme's final evaluation.

Scope and Objectives

The ultimate objective of these terms of reference consists in formulating the final evaluation of the UN-REDD Vietnam Phase 2 Programme. This objective will be achieved in two steps:

- From September to November 2017, the team of consultants will review the overall progress of the Programme since the beginning, with an emphasis on 2017 activities. They will produce a “2017 annual review report” in the format of the Programme's final evaluation.
- During Quarter 4 2018, the team of consultants will review 2018's specific progress and produce a “Programme's final evaluation report” building on the structure and content of the 2017 review report.

The 2017 AR covers the full period of the Programme, paving the way for consolidating the final evaluation in 2018. with special attention to the period from October 1, 2016 up to September 30, 2017. However, considering that the Programme's implementation is organized around annual work plans, the review will focus on the first three quarters of 2017. It shall provide the 2017 annual review report for an EG meeting in December 2017, and a draft and synthetic report to inform the PEB meeting in November 2017.

The Final Evaluation to be conducted in 2018 will cover the full period of the Programme until September 30, 2018. In practice, it will focus on progress since October 2017, since the previous period shall be already covered in the 2017 annual review report.

The 2017 AR and Final Evaluation will assess the Programme's performance in terms of accomplished and ongoing activities, including (1) the effectiveness of the Programme to achieve the outputs and outcomes; (2) its efficiency; (3) its relevance against broader REDD+, forestry and development processes; (4) its impacts (5) its sustainability and 6), the degree of readiness for RBPs and other relevant funding sources.

Throughout this review and evaluation process, key factors of success and challenges possibly undermining the Programme's implementation and performance will be identified and consolidated. It should also identify measures for improvement, to be considered for the implementation in 2018 and to guide Vietnam's REDD+ process beyond 2018. The review will answer questions like: Is Programme implementation improving? Is coordination between sectors of importance for success in REDD+ improving? Are activities on track and are there crucial issues to be addressed? Are there realistic solutions to such issues and can they get the political/government support needed to improve? Is the technical backstopping sufficient, relevant, manageable, and consistent? Are the communication and management lines, responsibilities and authorities, content, and issues optimal or could they be improved? Are monitoring system/quality assurance mechanisms working well to track performance of outcomes/outputs/activities against its expected results, and from national to local level? Has a process of developing a sustainability and phase out plan made progress? What are the prospects for continuation of programme activities in a post-programme setting? Is regional coordination in forest governance improving? What synergies have been developed between the REDD+ programme and other forest sector programmes including FLEGT?

The main objectives of the 2017 Annual Review are:

- Assess Programme performance in 2017 and since the beginning of the Programme
- Assess the level, sufficiency and implementation of the Programme's responses to the previous mid-term and annual reviews' recommendations, as well as the directions provided by EG meetings
- Identify and prioritize measures to improve performance for the Programme in 2018, and for the REDD+ national process beyond 2018, with a particular focus on readiness for RBPs and other relevant funding sources.

The main objectives of the Final Evaluation are:

- Assess Programme performance since the beginning of the Programme
- Assess the level, sufficiency and implementation of the Programme's responses to previous mid-term and annual reviews' recommendations, as well as the directions provided by EG meetings
- Identify and prioritize measures to improve performance of the REDD+ national process beyond 2018, with a particular focus on readiness for RBPs and other relevant funding sources.

In order to achieve these objectives, the annual review and final evaluation will assess:

- Progress towards targets specified in the most updated results framework;

- Progress towards annual targets and budget;
- Quality assurance mechanisms and enforcement; and
- Management arrangements of the Programme.

The annual review will be disseminated to the GoVN (NRSC, VRO, and VNFOREST/MARD), the 3 UN-Agencies, the donor, the UN-REDD Global Programme, and other Programme main stakeholders.

Methodology

The Review and Evaluation should develop and adopt the most effective method to carry out the above tasks and reach the above objectives, whilst ensuring constant and high-level quality standards. Overall guidance and adherence to the UNEG Norms & Standards¹ is used as a reference. A tentative *Table of Content* is outlined in Annex B.

By reviewing past and present activities and practices, the Team will analyze their success and efficiency and provide recommendations for their improvement in 2018, and for informing the national REDD+ process beyond 2018.

Findings should be based on facts, sound evidence and analysis, they should be crosschecked and the evidence should be clearly documented in final reports. Analysis leading to judgments should always be clearly reasoned. The limitations of conclusions based on methods applied shall be addressed in final reports.

The Review and Evaluation will assess the Programme with respect to a minimum set of criteria, see Annex A and Annex C.

In attempting to attribute any outcomes and impacts to the programme, the evaluators should consider the difference between what has happened with and what would have happened without the programme. This implies that there should be consideration of the baseline conditions and trends in relation to the intended programme outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the Programme. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about Programme's performance.

As this is a final evaluation, particular attention should be given to learning from the experience. Therefore, the "why?" question should be at the front of the consultants' minds throughout the evaluation exercise. This means that the consultants need to go beyond the assessment of "what" the programme performance was, and make a serious effort to provide a deeper understanding of "why" the performance turned out the way it did, i.e. of processes affecting attainment of programme results. This should provide the basis for the lessons that can be drawn from the programme. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultant to explain "why things happened" as they happened and are likely to evolve in this or that direction, which goes well beyond the mere assessment of "where things stand" today. The consultants are also expected to provide recommendations for the way forward.

Tools

- Desk review of all relevant background documentation, including the UN-REDD Programme Framework Document, project reports (Programme Document, annual workplans, budgets, revisions to the logical framework and project financing), and other relevant documents (e.g. new national policies, sector plans, UNFCCC papers, COPs, Policy Boards Minutes, etc.);
- Surveys in 2 pilot provinces (to be determined) for the 2017 Annual Review;
- Semi-structured interviews (face-to-face or through any other appropriate means of communications) with key informants, stakeholders and participants, including:
 - Government stakeholders including ministries participating in coordinating bodies or steering committees;
 - Civil Society Organizations;
 - Ethnic Minorities Organizations;
 - Country and regional personnel from the three UN Agencies involved including Country Office staff, Resident Coordinator and Regional Technical Advisers (RTA); and

¹ (<http://uneval.org/normsandstandards>)

- Representatives from other relevant bi-lateral or multi-lateral initiatives and partners.

An extensive series of interviews will be carried out in 2017 for the Annual Review serving as pre-final evaluation. In 2018, a second round of interviews, mainly with the same interlocutors, will allow to assess changes, update and complete the evaluation of the Programme.

- Consultation workshops at provincial and national level as agreed with PMU and UNDP.

A list of key stakeholders and individuals to be consulted will be shared with the Team.

Consultation process

The Review and Evaluation should apply a transparent approach with internal and external stakeholders. Throughout the process the Team will maintain close liaison with the country office and the regional advisors of the three UN Agencies, and the PMU. The Team is not authorized to make any commitment on behalf of the Government of Viet Nam, the donor or the participating UN Agencies.

The draft annual review and final evaluation reports will be circulated among the three Participating UN Agencies and PMU for comment before finalization; suggestions will be incorporated as deemed appropriate by the Team.

Deliverables

Inception report

Before proceeding with data collection and analysis, the Team should prepare an inception report including work plan and methodology to demonstrate understanding of the ToRs. The inception report will detail schedules of tasks, activities and deliverables to be achieved, including the 2017 Review and the Final Evaluation reports.

Any gaps in information should be identified, and methods for additional data collection, verification and analysis should be specified. A review and evaluation framework will present in detail the questions under each criterion with their respective indicators and data sources. A list of important documents and web pages that the Team should read at the outset will be provided. The inception report will be shared with the PMU, with UNDP (for further sharing among the three participating UN Organizations), and other relevant stakeholders.

2017 Review Report

The Team shall prepare a *draft 2017 review report* to ensure that the review meets the required criteria described in the Terms of Reference. The Team Leader bears responsibility for submitting the draft report within two weeks from the conclusion of the review to UNDP for further sharing to three participating UN Organizations and the PMU. Comments and suggestions will be incorporated as deemed appropriate by the Team.

To present and discuss the findings of the Review, a *seminar or hearing* (organized by UNDP and the PMU) will be held prior to the end of the mission.

The *final 2017 review report* will entail conclusions, recommendations, discussions etc. In order to avoid subjective and personalized views penetrating the analysis excessively, the report shall refer to and link to evidence and/or solid indications found to substantiate findings and analysis. The length of the final report should be 6-7,000 words, excluding executive summary and annexes. Supporting data and analysis should be annexed to the report when relevant. The recommendations will be directed to the different stakeholders and prioritized: they will be evidence-based, relevant, focused, clearly formulated and actionable.

The Team shall propose the outline of the report early in the process (example in Annex B, to serve as a basis for finalization), to be agreed by PMU in UNDP (in consultation with other participating UN agencies). The report shall be prepared in English, and translated into Vietnamese. Annexes to the final report will include at least the following:

- ☐ Terms of reference for the annual review;
- ☐ Additional methodology-related documentation;
- ☐ Profile of team members;
- ☐ List of documents reviewed;
- ☐ List of institutions and stakeholders interviewed by the team;

- ☐ List of programme outputs/Programme results framework;
- ☐ Evaluation tools

The final 2017 Review Report should be submitted to the PMU and UNDP for further sharing among the three participating UN organizations for comments before it is finalized. The Team is fully responsible for its independent report and for applying international quality and standards towards Programme Reviews.

Final Evaluation Report

The *Programme's final evaluation report* will significantly build on the 2017 review report, in the sense that it will have the same structure and criteria, the scope will only be expanded to include the year 2018, and most of the analytics will have been developed already in the 2017 review report.

The Programme Evaluation Report will be developed in two steps.

Step 1: A draft version will be developed based on:

- Structure and methodology from the 2017 review report
- Content as already summarized and consolidated from previous annual review reports in the 2017 review report
- Identification of any additional evaluation elements to be reviewed based on the 2017 review and recent developments in the programme
- Content and analysis updated based on additional desk review and interviews conducted in Q4, 2018

Step 2: This draft Programme's final evaluation report should be submitted to the PMU and UNDP for further sharing among the three participating UN organizations for comments before it is finalized. The Team is fully responsible for its independent report and for applying international quality and standards towards Programme Reviews.

The Team

The Team should work under the supervision of Head of Unit at UNDP Viet Nam Office and the National Programme Director of the PMU. In 2017, both consultants are requested to work in Hanoi for 23 working days at least to prepare for and carry out the interviews with national stakeholders, and also to travel to the two selected provinces (3-4 days for each) to gather information from the provinces. In 2018, the team leader will also be requested to spend at least 8 days in Hanoi to run interviews and work together with the national consultant.

Responsibilities

Team leader: TL is responsible for the progress and quality of all products produced through the assignment.

- ☐ (S)he leads the development of a joint work-plan for the review and evaluation.
- ☐ Further, the TL develops the tools and methodology for the assignment.
- ☐ The Mission conducts solitary and team interviews and dialogues as deemed necessary. However, desk reviews are likely to be the main source of information and will always be required to provide validation, precision, clarity, and context for information captured verbally.
- ☐ The TL will report and present with inputs from the TM.

Team member:

As for the Team Member (TM), apart from joint activities,

- ☐ (s)he is responsible for facilitating the consultation processes with national and provincial partners; and
- ☐ to provide inputs and conduct all tasks as assigned or agreed on by the TL.

More details on the work division should be developed by the selected consultants through their work-plan.

Both consultants must not be working as staff of the Gov., FAO, UNDP or UNEP.

Team Leader's Profile

Competency:

- ☐ Good technical understanding of REDD+; and

- ☐ Having in-depth knowledge of Viet Nam, ODA management regulations and operational modalities of UN/Gov. projects.
- ☐ Demonstrated experience in evaluations of similar types of programmes.
- ☐ Excellent writing and editing skills.
- ☐ Attention to detail and respect for timelines.

Qualifications:

- ☐ Advanced university degree in social, environmental or development science, agronomy, forestry, M&E, or other relevant field.
- ☐ Minimum 10 years of related, identical, or similar professional experience is required in development projects, including proven experience from developing and middle income countries;
- ☐ Fluency in English language, both written and spoken is a requirement. Knowledge of Vietnamese would be a distinctive advantage

Team Member's Profile

Competency:

- ☐ In-depth knowledge of policy making process and/or ODA project management in Viet Nam;
- ☐ Demonstrated experience from evaluations of similar types of programmes;
- ☐ Attention to detail and respect for timelines

Qualifications:

- ☐ Advanced university degree in social, environmental or development science, agronomy, forestry, M&E, or other relevant field relevant;
- ☐ Minimum 7 years of related, identical, or similar professional experience is required in ODA funded projects, including proven experience from forestry related sector(s);
- ☐ Fluency in Vietnamese and English languages, both written and spoken is a requirement.

Timing and payments

The assignment is designed with 60 working days for team leader and 50 working days for the team member. Both consultants are requested to work in Hanoi for a minimum of 23 working days in 2017, 8 days in 2018, and travel to 2 pilot provinces for an estimated 3 days per province in 2017. The consultants should factor all travel costs into their financial proposal. Final financial agreement will be adjusted considering actual selection of Provinces to be visited. Provinces will be selected before the team finalizes its methodology and detailed work plan, based on the following criteria:

- Degree of progress in implementing activities, and prospects for significant results by the end of 2018
- Relevance of activities and local challenges compared to national challenges and priorities (cross-sector coordination, regional collaboration, stakeholders' engagement...)"

Activities, time budget, deliverables and payments in 2017:

Activity	Team Leader	Team Member	Deliverables	Payment*
Preparation of inception report	4 days	3 days	Inception report	20%
Review mission and desk review	20 days	18 days		
Missions to provinces	8 days	8 days		
Present preliminary findings and recommendations to stakeholders	2 days	2 days		
Draft review report - Draft 1	5 days	3 days	Draft 1 - 2017 Review Report	40%
Revise review report - Draft 2	4 days	2 days		
Final 2017 annual review report	2 days	2 days	Final 2017 Review Report	15%
Total	45 days	38 days		

Activities, time budget, deliverables and payments in 2018:

Activity	Team Leader	Team Member	Deliverables	Payment*
Build on comments to the 2017 Review report and possible changing circumstances to update the scope of the report and work plan.	2 days	2 days	Detailed work plan and final table of content of the Final Evaluation report	
Update mission, desk review and consultations	11 days	10 days		
Draft and finalize Programme's final evaluation report	4 days	2 days	Programme's Final Evaluation Report	25%
Total	15 days	12 days		

Tentative timetable

Dates	Activity	Responsibility / Notes
11-15 Sept. 2017	Preparation of Inception report	The Team (consultants). Inception report reviewed by three UN organizations, PMU, and CTA
18 th Sept. – 20 th Oct. 2017	Desk work, consultations in Hanoi and provinces	The Team (consultants). Logistical support provided by the PMU and UNDP
Between 23-25 Oct. 2017	Workshop presentation/ handout	Half-day debriefing workshop with stakeholders to be held by the Team. Assistance by PMU secretariat
27 th Oct. 2017	Draft Report 1 submitted	TL
30 th Oct. – 10 th Nov. 2017	Review draft Report 1 (including translation into VN)	PMU, 3 UN agencies, VNFOREST and others - review draft and share comments to the Team
16 th Nov. 2017	Draft 2 Report submitted	TL
17-21 Nov. 2017	Review draft Report 2	PMU, 3 UN agencies, VNFOREST and others - review draft and share comments to the Team
24 th Nov. 2017	Submit the final 2017 review report	TL
12 th Oct. 2018	Prepare detailed work plan and possibly update the table of the content of the Final Evaluation report	TL
2 nd Nov. 2018	Draft Report on Programme's Final Evaluation	TL
5-9 Nov. 2018	Review draft report	PMU, 3 UN agencies, VNFOREST and others - review draft and share comments to the Team
16 th Nov. 2018	Submit the Programme's Final Evaluation report	TL

Annex A. Review Criteria and Elements

The following list includes standard questions and issues that Annual Review and Final Evaluation should address:

Effectiveness

Assess, to which extent:

- Progress towards outputs or outcomes has been achieved:
 - Assess qualitatively and quantitatively factors that enabled or affected attaining project results. Look at stakeholder involvement, financial planning, effectiveness of national and local implementing agencies and supervising agencies, coordination with donors and other projects. List, prioritize, and analyze reasons for any delays in delivery of project outputs, outcomes, as well as outstanding factors for success
 - Implementation approach – including an analysis of the project's result framework, performance indicators, adaptive management to changing conditions, overall project management and mechanisms applied in project management in delivering project outcomes and outputs. Analyze and suggest necessary revisions of the Programme's log frame (when relevant, for 2018)
 - Assess and evaluate the set-up at present as compared to earlier years
- Expected outputs have been produced, their quality and timeliness.
- Gender has been mainstreamed in the Programme. This will cover:
 - Analysis of how gender issues are reflected in the Programme objectives, design, identification of beneficiaries, and implementation
 - Extent of gender issues taken into account in Programme management
- The Programme contributed towards the “Delivering as One” initiative and lessons learned were incorporated into broader organizational strategies
- The Programme contributed to the overall rationale of readiness for RBPs and other relevant funding sources

Efficiency

The review will assess factors and processes that affected project results with particular attention to preparation and readiness of the project's inputs, country ownership, stakeholders' involvement, effectiveness of the UN agencies, national and local implementers, financial planning and management and coordination mechanisms.

Financial resources management of the National Programme, including:

- How efficient are resources (funds, expertise and time) converted to achieve outcomes outputs?
- Coherence and soundness of budget revisions in matching implementation needs and programme objectives;
- Rate of delivery against annual work plan at the time of the review; and
- Gaps and delays if any between planned and achieved outputs, the causes and consequences of delays and assessment of any remedial measures taken.
- Management and implementation of the National Programme, including:
 - Efficiency in producing outputs; and
 - Efficiency of fund-management arrangements

Relevance

The 2017 review and Programme's final evaluation are also expected to discuss the relevance of the Programme's design from the perspective of national development priorities, climate change and forest agenda, and the national REDD+ process in general. Are initial outputs and outcomes still relevant in the changing context? How did they evolve to ensure continued relevance?

Relevance concerns the extent to which the National Programme and its intended outcomes or outputs are consistent with national and local policies and priorities and the needs of the intended beneficiaries. Relevance

also considers the extent to which the initiative is aligned with the UN-REDD Programme Strategy 2011-2015, and the corporate plans of the three participating UN Organizations. Relevance vis-a-vis other REDD+ or REDD+-related programmes implemented in the country will be examined in terms of synergies, complementarities and absence of duplication of efforts.

Impacts

The review and assessment will measure to what extent the National Programme has contributed to, or is likely to contribute to intermediate states towards impact, such as changes in the governance systems and stakeholder behaviour, and to impact on people's lives and the environment. The evaluation will assess the likelihood of impact by critically reviewing the programmes intervention strategy (Theory of Change) and the presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact.

Considering initial goals and objectives of the Programme, and evolving context and expectations in 2017, in 2018 and throughout the life of the Programme, what is the potential of impact of the programme – including but not focusing on emissions reductions? What are the key factors of success and challenges to maximize such impacts in the current context and in future developments of the REDD+ national process, particularly through the implementation of the National REDD+ Action Programme and access to result-based payments, readiness for and access to result-based payments and other relevant funding mechanisms.

Sustainability

The Review shall include assessment and analysis of sustainability in a broad sense which includes institutional, technical, economic, environmental, governance, financial, and social sustainability of proposed technologies, innovations and/or processes in/by the Programme.

Assess investment by GoV and institutional capacity mainstreaming REDD+ into national climate change mitigation strategies and into national and provincial socio-economic development plans (SEDPs), forest protection and development plans (FPDPs)/Target Program on Sustainable Forest Management (TPSFM), and land use planning (LUP) processes.

Factors affecting performance

- Assessment of coordination and decisions taken among the 3 UN Agencies
- Assessment of coordination and decisions between UN and GoVN
- Assessment coordination of Programme within GoVN
- Assessment coordination between the Programme and other REDD+ initiatives.
- Governance and management and implementation of the Programme, including:
 - Design and implementation of Programme governance;
 - Efficiency of management, including quality and realism of work plans;
 - Efficiency of coordination and steering bodies;
 - Quality and quantity of administrative and technical support by the three UN's
 - Timeliness, quality and quantity of inputs and support by GoVN and partners.

Annex B: Suggested Table of Content (to be adapted to 2017 AR and Final Evaluation)

- 1 Executive Summary
 - 1.1 Background
 - 1.2 Highlights and Innovations
 - 1.3 Summary of Findings
 - 1.4 Recommendations
- 2 Introduction
 - 2.1 Background to the Project
 - 2.2 Project Review Methodology
- 3 Objectives, Outcomes and Outputs
 - 3.1 Critical Success Factors
 - 3.2 Outcomes and Target Outcomes
 - 3.3 Outputs
- 4 Project Documentation
 - 4.1 Project Management Plans
 - 4.1.1 Project Proposal/Brief
 - 4.1.2 Project Execution Plan
 - 4.1.3 Outcome/Benefits Realizations
 - 4.2 Maintenance of Project Records
- 5 Project Management
 - 5.1 Planning and Scoping
 - 5.2 Governance
 - 5.3 Organizational Change Management
 - 5.4 Stakeholder Engagement
 - 5.5 Risk Management
 - 5.6 Issues Management
 - 5.7 Resource Management
 - 5.7.1 Budget
 - 5.7.2 Human Resources
 - 5.7.3 Information
 - 5.8 Quality Management
 - 5.9 Status Reporting
- 6 Project Performance
 - 6.1 Performance against Objectives and Outcomes
 - 6.2 Performance against Critical Success Factors
 - 6.3 Performance against Outputs
 - 6.4 Performance against Budgets and Schedule
 - 6.5 Response to past annual reviews
 - 6.6 Other Findings
- 7 Discussion
- 8 Lessons Learned
 - 8.1 What Worked Well?
 - 8.2 What could be improved?
- 9 Conclusions
- 10 Recommendations (what could be improved? And how?)
- 11 Appendices

Annex C: Suggested evaluation questions

The following list includes standard questions and issues that the UN-REDD National Programme evaluation should address. It is based on the internationally accepted evaluation criteria mentioned above, i.e. relevance, efficiency, effectiveness, impact and sustainability, as well as an additional category of questions regarding factors affecting programme performance. This list will be reviewed and completed by consultants and included in the work plan.

Relevance

- a) The National Programme's relevance to:
 - Country needs;
 - National development priorities as expressed in national policies and plans as well as in sector development frameworks;
 - UN Country Programme or other donor assistance framework approved by the government;
 - The UNDAF and the UN Joint Programme on Climate Change;
 - The UN-REDD Programme Framework Document;
 - Other REDD+ related programmes in the country, in particular the National REDD+ Action Programme;
- b) Robustness and realism of the theory of change underpinning the Programme, including logic of causal relationship between inputs, activities, expected outputs, outcomes and impacts against the specific and development objectives and validity of indicators, assumptions and risks.
- c) Quality and realism of the Programme design, including:
 - Duration;
 - Stakeholder and beneficiary identification;
 - Institutional set-up and management arrangements;
 - Overall programme results' framework
 - Approach and methodology.
- d) Evolution of Programme objectives since initial formulation.

Effectiveness

- e) Extent to which the expected outputs have been produced, their quality and timeliness.
- f) Extent to which the expected outcomes have been achieved.
- g) Assessment of gender mainstreaming in the Programme. This will cover:
 - Analysis of how gender issues were reflected in Programme objectives, design, identification of beneficiaries and implementation;
 - Analysis of how gender relations and equality are likely to be affected by the initiative;
 - Extent to which gender issues were taken into account in Programme management.
 - Assessment of likely distribution of benefits and costs between stakeholders.
- h) Use made by the Programme of the UN-REDD Programme's normative products, guidelines and safeguards, e.g. the UN-REDD Programme Guidelines on Free, Prior and Informed Consent (FPIC), and the UN-REDD / FCPF Guidelines on Stakeholder Engagement in REDD+ Readiness, and the extent of which they have contributed towards national safeguards.
- i) Actual and potential contribution of the Programme to the normative work of the three participating UN Organizations, e.g. contribution towards the "Delivering as One" initiative and lessons learned incorporated into broader organizational strategies.

Efficiency

- j) Cost and timeliness of key outputs delivered compared to national and regional benchmarks
- k) Administrative costs (including costs for supervision and coordination between participating UN agencies) compared to operational costs

- l) Any time and cost-saving measures taken by the programme
- m) Any significant delays or cost-overruns incurred, reason why and appropriateness of any remedial measures taken

Sustainability

- n) Major factors influencing the achievement or non-achievement of sustainability of the programme.
- o) The prospects for sustaining and up-scaling the Programme's results by the beneficiaries after the termination of the initiative. The assessment of sustainability will include, as appropriate:
 - Institutional, technical, economic and social sustainability of proposed technologies, innovations and/or processes;
- ii) Perspectives for institutional uptake, support and mainstreaming of the newly acquired capacities, or diffusion beyond the beneficiaries or the Programme.

Impact

- p) Extent to which the initiative has attained, or is expected to attain, its social and environmental objectives; this will also include the identification of actual and potential positive and negative impacts produced by the initiative, directly or indirectly, intended or unintended
- q) Presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact.

Factors affecting performance

- r) The evaluation will assess factors and processes that affected project results with particular attention to preparation and readiness of the project, country ownership, and stakeholder involvement, effectiveness of national and local implementing agencies, financial planning and management and coordination mechanisms.
- s) Management and implementation of the National Programme, including:
 - Quality and realism of work plans;
 - Quality of operational management;
 - Performance of coordination and steering bodies;
 - Quality and quantity of administrative and technical support by the three participating UN Organizations; and
 - Timeliness, quality and quantity of inputs and support by the Government and partners.
- t) Financial resources management of the Programme, including:
 - Adequacy of budget allocations to achieve outputs;
 - Coherence and soundness of budget revisions in matching implementation needs and programme objectives;
 - Rate of delivery and budget balance at the time of the evaluation.
 - Efficiency of fund-management arrangements.
- u) Assessment of coordination mechanisms :
 - Between the three participating UN organizations to ensure joint delivery.
 - Between the Government and the three participating UN organizations to ensure programme outcomes are achieved.
 - Within and between Government ministries in order to ensure programme outcomes is achieved.
 - Between the Programme and other bilateral and multilateral REDD+ initiatives.

In addition, the evaluation will review crucial questions, including:

- What is the status of REDD+ readiness in the country, looking at the typical REDD+ readiness components, and to which extent the programme contributed to each.

- What are the prospects for follow-up and scaling-up REDD+ in Vietnam, and for the country to access Result-Based Payments and leverage other sources of finance.