

Project Title: Enhancing Capacity for Implementing Rio Conventions

***Country: Viet Nam
Region: Asia and the Pacific***

GEF Agency: United Nations Development Programme
Project Management Organization: Ministry of Natural Resources and Environment
(MONRE)
Project Executive Agency: Institute of Strategy and Policy on Natural Resources
and Environment (ISPONRE)
UNDP-GEF Project ID: PIMS# 5099
GEF Project ID: PMIS# 5097
UNDP Atlas Project ID: 00089760
Evaluation Timeframe: Nov 2018 - May 2019
UNDP/GEF/Government of Viet Nam
CCCD Multi Focal Areas

GEF Strategic Objectives:

***CD2: to generate, access and use information and knowledge
CD3: to strengthen capacities to develop policy and legislative frameworks***

Final Terminal Evaluation Report 08 May 2019

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Abbreviations

Note: See UNDP Editorial Manual

ADB	Asian Development Bank
CCCD	Cross-Cutting Capacity Development
CRES	Centre for Natural Resources and Environmental Studies
DARD	Provincial Department for Agriculture and Rural Development
DONRE	Provincial Department for natural resources and environment
EPA	Environmental Performance Assessment
EPI	Environmental performance indices
GDLA	General Department of Land Administration
GEF	Global Environment Facility
GGS	Green Growth Strategy
GHG	Green House Gas
GSO	General Statistics Office
GiZ	German technical implementing agency
ISPONRE	Institute of Strategy and Policy on Natural Resources and Environment
LUP	Land-use planning
MARD	Ministry of Agriculture and Rural Development
MONRE	Ministry of Natural Resources and Environment
MPI	Ministry of Planning & Investment
M&E	Monitoring and Evaluation
NAP	National Action Plan on land degradation
NBSAP	National Biodiversity Strategic Action Plan
NCSA	National Capacity Self-Assessment
NPD	National Project Director
NPM	National Project Manager
NRE	Natural Resources and Environment
PIRs	Project Implementation Reviews
PMU	Project Management Unit
PSC	Project Steering Committee
SDG	Sustainable Development Goal
SEDP	Socio-Economic Development Plans
UNCSD	United Nations Conference for Sustainable Development
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programmed
UNFCCC	United Nations Framework Convention on Climate Change
UNSD	United Nations Statistical Division
VEA	Viet Nam Environment Administration
VNFOREST	Viet Nam Administration of Forestry
VSIS	Viet Nam Statistics Indicator System

Executive summary

The GEF Cross-Cutting Capacity Development (CCCD) is a programme that does not lend itself readily to programme indicators, such as the reduction of greenhouse gas emissions over a baseline average for the years 1990-1995 or the percentage of increase of protected areas containing endangered endemic species. Instead, CCCD projects are measured by output, process, and performance indicators that are proxy indicators of improved capacities for the global environment. To this end, the CCCD projects look to strengthen cross-cutting capacities in the five major areas: (i) stakeholder engagement, (ii) information and knowledge, (iii) policy and legislation development, (iv) management and implementation, and (v) monitoring and evaluation.

Project summary table

Project Title:	Enhancing capacity for implementing Rio conventions			
GEF Project ID:	5097		at endorsement (US\$)	at completion (US\$)
UNDP Project ID:	00089760	GEF financing:	975,000	975,000
Country:	Viet Nam	IA/EA own:	725,000	725,000
Region:	Asia and the Pacific	Government:	440,000	1,140,000
Focal Area:	Multi-Focal Areas	Other:	179,646	100,000
Focal Area Objectives (OP/SP):	CD2: to generate, access and use information and knowledge CD3: to strengthen capacities to develop policy and legislative frameworks	Total co-financing:	1,344,646	1,965,000
Executing Agency:	Ministry of Natural Resources & Environment (MONRE)	Total Project Cost:	2,579,646	3,160,000
Other Partners involved:	Institute of Strategy and Policy on Natural resources and environment (ISPONRE) Viet Nam Environment Administration (VEA) Rio Convention Focal Points The General Directorate of Land Administration (GDLA) Ha Giang and Ha Tinh's DONREs	ProDoc Signature (date project began):		18 August 2015
		(Operational) Closing Date:	Proposed:	Actual:
			18 August 2018	31 December 2018

Project description and overview of terminal evaluation

This report presents the results of the terminal evaluation (TE) of the project *Enhancing capacity for implementing Rio conventions* (hereafter “Three Rios” project), executed under UNDP’s National Implementation (NIM) modality, with the Institute of Strategy and Policy on Natural resources and environment (ISPONRE) of Ministry of Natural Resources and Environment (MONRE) acting as the National Implementing Partner (NIP) with a financial grant provided by the Global Environment Facility (GEF). Total project costs amounted to US\$2,579,646, including the GEF project grant of US\$975,000, government in-kind and cash support amounting to US\$590,000 and cash contributions from UNDP (US\$725,000) and others (US\$179,646). The project is within the GEF multi-focal areas. The project was officially approved by the GEF on 18 August 2015.

Vietnam has taken many measures to protect its natural resources and environment, notably developing its legislative, regulatory, and legal framework. The emphasis in the baseline for the coming years is on operationalizing this framework, mostly through the use of dedicated tools/instruments and building national and provincial implementation capacity. However, in this baseline, most attention is paid to local sustainable development and environmental issues, overlooking important global environmental benefits.

This GEF-supported project complemented this baseline, providing necessary incremental support to activities in order to mainstream attention to global environment factors into the impressive baseline. The National Capacity Self-Assessment (NCSA) set out the barriers to implementing the three Rio Conventions and the capacity needs. This project builds directly on the NCSA findings and recommendations, addressing many of the important capacity needs identified therein. Capacity development, notably at the provincial level, was a key force running through all outputs in this project.

GEF support, working closely with a range of national, international, governmental, and NGO partners, included the following:

- Developing a set of indicators for *monitoring the three Rio Conventions* and their implementation,
- Developing a *methodology for natural resource valuation* that is optimally applicable to global environmental factors,
- Supporting activities to develop Environmental Performance Indices (EPI),
- Supporting national and subnational environmental and natural resources planning,
- Increasing capacity to undertake integrated land-use and environmental planning that generates global environmental benefits.

The terminal evaluation's objectives are to analyze and assess the achievements and progress made towards achieving the original project's objectives as well as to synthesize lessons that can help to improve the selection, design and implementation of future GEF financed UNDP. Achievements and progress are assessed against five key criteria, namely Relevance, Effectiveness, Efficiency, Sustainability and Impacts.

An evaluation team of two experts, international consultant Ms. Stephanie Hodge and national consultant Ms. Le Ha Thanh conducted the TE in the period of November 2018 - May 2019. An evaluation mission took place in January 2019, in which the key project stakeholders were interviewed and consulted.

Main findings

RELEVANCE¹ - Relevant

Key Result 1. The project is highly relevant to the current Viet Nam development context and has successfully sensitized and built some capacity of governmental departments and stakeholders on implementing the three Rio Conventions and strengthening monitoring systems for environmental management/monitoring. Particularly, the project is contributing to the implementation of a new national Law on Planning 2017, a Law on Statistics that was amended in 2015, the in-country work on Sustainable Development Goals (SDGs), Agenda 2030 and 2015 Global Climate and Disaster Agreements. The recent global directives on Agenda 2030. Climate Change and Disaster Risk Reduction both in (2015) also offered a unique window of opportunity to advance the importance of this national environmental management and SDG planning related work. The project is highly relevant to the United Nations One Plan in Viet Nam. It notably contributed to Outcome 1.4: *by 2016, key national and subnational agencies, in partnership with the private sector and communities, implement and monitor laws, policies, and programmes for more efficient use of natural resources and environmental management and implement commitments under international conventions*. More specifically, under Outcome 1.4, the project directly contributed to the outputs 1.4.2. under the One UN Plan.²

The project was formulated to deal with cross-cutting capacity barriers related to environmental management and policy and mainstreaming environment into subnational and national development planning (including linking to post 2015 SDGs work). In this sense, this small scale project focused on

¹ To the national and international context and log frame coherence, strategy, logical path of expected results

² UN One Plan Output 1.4.2: A set of coherent policies and plans is prepared or updated to strengthen (1) management of protected areas and biodiversity conservation and (2) environment management at national and community levels.

indicator development, data collection, and integrated planning and was highly ambitious yet not fully thought through in terms of pathways towards longer-term expected results around institutional and public capacity outcomes. Such outcome pathways involve a longer time frame and systematic capacity building, cross-sectoral work on monitoring and integration of global (three Rio Conventions) standards and norms, and approaches in national monitoring systems. The project (log frame and strategy) did not set realistic targets in this sense. As there was no mid-term evaluation required for this smaller project, there was no time to reflect on design issues and make a course correction. The team applied adaptive management and thoughtful work planning to implement use of a steering committee. Finally, the original project design framework, in hindsight, was missing an overarching learning component for monitoring, knowledge management, coordination, communication or policy learning support. Communications was highlighted as a need by over two thirds of the respondents interviewed. Many of the knowledge products still need to be packaged, disseminated, and rolled out.

EFFECTIVENESS³ - Satisfactory

Key Result 2. The project has effectively supported policy and decision making and showcased lessons (with stakeholders) employing the consideration of the three Rio Conventions and concretely working on indicator development, tools (ecosystem valuation, etc.), and a pilot showcasing integrated planning approaches incorporating the three Rio Conventions concerns at the provincial level. However, the end results—the tools, indicators development, and pilot—will still require packaging and an exit strategy for scaling up integrated environmental assessments and will thus need a more systemic capacity building approach. The project dutifully implemented all the core work as planned and successfully contributed—as it set out to do—to policy and decision making. It has succeeded in securing the enactment of various legal instruments of national or local (provincial) scope that enabled the three Rio Conventions implementation and integration of global environmental concerns into its national strategic planning and development processes. For instance, the project supported new Decisions 5018/QD-BNN-TCLN from 6 December 2017 of MARD on approving “Proposal on voluntary land degradation neutrality target setting in Viet Nam in the period of 2017-2020 with vision to 2030”, Decision 38/NQ-CP from 9 May 2018 on “Land use planning for Ha Giang to 2020 and land use planning for the last 5 years (2016-2020)”. In addition, there was a no objection to the decision of MONRE instated in 2018 in the office of Climate Change to support the work of UNFCCC and etc. The project has also supported MONRE in development of the policy on strengthening the regional linkage in natural resources and environmental (NRE) management and the climate change response. The policy has been approved by the MONRE Minister and submitted to the Prime Minister for approval.

The approach was “to build capacity by doing”- building key tools and guidance on strategic areas ecosystem valuation and natural capital accounting, EPI, and mainstreaming of the three Rio Conventions considerations at provincial level. Team had determined (based on desk review) that, while learning by doing and piloting were valid means for capacity building and contributed to the three Rio Conventions implementation in practice, an embedded national learning process is needed to support the transformative results desired. The last baseline for capacity development was the NCSA in 2005. An up-to-date capacity baseline for MONRE and MARD and other sectors at national and at provincial levels is needed to inform the approach. In particular, wide institutional capacities will need to be strengthened to support integrated planning at the national and subnational level. Although awareness of the three Rio Conventions and mainstreaming them and environmental considerations into the policy-making process of stakeholders has increased through separate activities, the efforts to strengthen the knowledge and capacities *systematically* can be more effective than following a generic or nontargeted approach to capacity and awareness-raising activities.

Log Frame—Expected Results

³ Project Management-Work planning, Capacity Development Approach, Results, Oversight (technical and monitoring), Monitoring, Finance and Fiduciary, UNDP Comparative advantage, Monitoring

Taking note that the original design might have been better served with smarter indicators, more realistic targets, a third component on knowledge management, and possibly articulation of a phased approach in the strategy to reach the transformative outcomes as stated in the documents and possibly implying a more systemic capacity building approach in partnership with relevant national institutions (department of statistics, public administration learning academies, university and schools), the project achieved all it set out to do. A review of the project achievements via stated indicators is provided in the results section. Generally, the project provided good results as follows:

- Completed report on reviewing sets of environmental indicators (used for reporting the three Rio Conventions and relevant SDGs)
- Held technical meetings and consultation workshops in collaboration with VEA/MONRE to propose environmental indicators which will be submitted to the Prime Minister for approval,
- Supported GEF Viet Nam to update its website
- Completed report of national and international best practices on ecosystem services valuation,
- Had a manual on conducting economic valuation of ecosystem services finalized and approved by Vice Minister of MONRE
- Provided training courses for national and provincial official on ecosystem services and ecosystem services valuation
- Worked with GIZ to develop the website on Naturalcapital.vn and in collaboration with UNDP, GIZ, and ADB to organize two workshop on “Natural Capital Platform”
- Collected and calculated data for EPI (water quality, forest and air) in 63 provinces in Viet Nam
- Began developing EPI indicators covering land degradation and biodiversity (i.e. mangrove) to support the reporting requirement of CBD and CCD focal point
- Supported UNFCCC focal point to review the organization and implementation of UNFCCC structure and provide solutions to improve the structure for implementation of UNFCCC, Paris Agreement (PA), and Kyoto Protocol (KP)
- Conducted a natural capital assessment, focusing on mangrove ecosystem, for Mekong Delta region with an assessment that has provided input for MPI to develop the Master Plan for Mekong Delta region
- Supported development of a mechanism to enhance regional collaboration for NRE management and climate change response in Red River delta. (The study has supported MONRE to develop the policy on strengthening regional linkage in NRE management and climate change response to be approved by Prime Minister.)
- Completed “Review of provincial land use planning to identify the entry points for mainstreaming environmental concerns into provincial planning”
- Supported Ha Giang province to mainstream environmental concerns into its revised land-use planning
- In cooperation with VEA, developed the technical guideline for Environmental Protection Planning (EPP).

EFFICIENCY - Satisfactory

Key Result 3. The project was highly cost-effective for a small financial input that had begun to tackle the most challenging environmental result areas for Viet Nam. This included advancing tools for ecosystem services and integrated environmental management and planning and building capacity of tools and approaches *by doing* in one province. The work at the provincial level expresses a good Viet Nam practice and might be further documented as a case study for a follow-up in a full-scale capacity building programme focused on the three levels: institutional (enforcing regulation, ecosystems services etc.), organizational (public sector certification), and individual (public, schools and universities). The project delivered what it stated it would on time. Delivery has reached 98.3% of the GEF grant at the time of the terminal evaluation and receives a high efficiency rating. Total project disbursement is US\$958,438 (98.3%). Although the level of coordination between PMU, the three Rio Conventions focal point, and stakeholders was highlighted as an area that could have been improved with a good knowledge

management and communication strategy, the project implementation arrangements were reported as functioning.

IMPACT - Significant and SUSTAINABILITY - Likely

This project’s support for strengthening the capacity for implementing the three Rio Conventions has laid foundations for future impact. Its contribution by developing and demonstrating the application of tools that will eventually lead to national and global environmental benefits is enormous. While policy-making itself is a function of government (central and local) and indeed a complex process in Viet Nam, the project approach and efforts, together with other initiatives implemented in parallel and supported by different development partners, have contributed to the strengthening of environmental management in Viet Nam.

Summary of conclusions, recommendations and lessons learned

See the list of lessons learned on page 30.

Table 1. Summary of recommendations

	Recommendations	Responsible Entities
1	Present project results with development partners and pitch for a full-scale capacity development project for monitoring sustainable development involving ISPONRE as a knowledge manager and technical capacity building and training supporter.	UNDP/GEF/PMU
2	UNDP/GOV/GEF to use project results to advocate further work on a full set of environmental management indicators (using Rio Conventions as benchmark standards) and for developing a monitoring system including information management for sustainable development in Viet Nam using the three Rio Conventions and SDG as an entry point to advance “knowledge and monitoring” work already started.	UNDP/GEF/GOV
3	Partner with the academic community and the education ministry to develop a training package for ecosystem services and integrated planning for public servants and for public at large.	UNDP/GEF/UOV
4	Dissemination and communications strategy for knowledge products	UNDP/GEF/PMU
5	Take forward the natural capital learning platform and host activities for broader public and private sector awareness of the three Rio Conventions and SDGs and building national monitoring systems. Take forward work on the natural capital platform as potential learning platform.	UNDP/GEF/ISPORE
6	Involve key actors and sectors in designing and implementing the follow-up initiative that includes planning, education, financial, and industry ministries in activities. New project can lead from behind, i.e. build capacity for policy actions with these ministries on board and if they are actively involved in capacity development activities.	UNDP/GOV

Evaluation rating table

The following is a summary of rating for key parameters specified by the GEF and UNDP guidelines for terminal evaluation.

Table 2. Evaluation rating table

Criteria	Rating	Comments
1. Monitoring and Evaluation		
M&E design at entry	S	M&E system was well conceived and was useful for adaptive management purposes
M&E plan implementation	S	
Overall quality of M&E	S	

2. IA & EA Execution			
	Executing agency performance	S	
	Quality of UNDP implementation: Implementing agency (IA)	S	Provision of required technical and administrative support
	Quality of execution: Executing agency (EA)	S	
	Overall quality of implementation/execution	S	Project implemented within expected timeframe
3. Assessment of Outcomes			
	Relevance	R	Outcomes strongly linked to policy objectives
	Effectiveness	S	Targets mostly achieved
	Efficiency	S	Outputs delivered within budgetary and time frameworks
	Overall project outcome rating	S	There have been improvements/contribution in mainstreaming the three Rio Conventions in planning approaches and tools partially driven by the project
4. Sustainability			
	Financial sustainability	L	State and donor support
	Socio-economic sustainability	L	Some degree of competition between environmental protection and development objectives
	Institutional sustainability	L	Enabling regulatory framework and sufficient know-how at local level
	Environmental sustainability	L	Increasing level of threats to environmental problems in Viet Nam
	Overall likelihood of sustainability	L	
5. Impact			
	Improved management effectiveness	S	Significant contribution by developing and demonstrating the application of tools that will eventually lead to national and global environmental benefits

Rating scale used:

Ratings for Outcomes, Effectiveness, Efficiency, M&E, IA&EA Execution

- | | |
|-----------------------------------|--------------------------|
| 6: Highly Satisfactory (HS) | no shortcomings |
| 5: Satisfactory (S) | minor shortcomings |
| 4: Moderately Satisfactory (MS) | |
| 3: Moderately Unsatisfactory (MU) | significant shortcomings |
| 2: Unsatisfactory (U) | major problems |
| 1: Highly Unsatisfactory (HU) | severe problems |

Sustainability ratings

- | | |
|-----------------------------|------------------------------------|
| 4: Likely (L) | negligible risks to sustainability |
| 3: Moderately Likely (ML) | moderate risks |
| 2: Moderately Unlikely (MU) | significant risks |
| 1: Unlikely (U) | severe risks |

Relevance ratings

- | |
|----------------------|
| 2: Relevant (R) |
| 1: Not relevant (NR) |

Impact ratings

- | |
|--------------------|
| 3: Significant (S) |
| 2: Minimal (M) |
| 1: Negligible (N) |

1. Introduction

1.1 Purpose of the evaluation

In accordance with UNDP and GEF M&E policies and procedures, all full- and medium-sized UNDP supported, GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) set out the expectations for a Terminal Evaluation (TE) of the project *Enhancing Capacity for Implementing Rio Conventions*.

1.2 Scope and methodology of the evaluation

The NCSA set out the barriers to implementing the Rio Conventions and the capacity needs. This project builds directly on the NCSA findings and recommendations, addressing many of the important capacity needs identified therein. Capacity development, notably at the provincial level, will be a key force running through all Outputs of the following two Outcomes:

- Outcome 1: Viet Nam has the environmental management tools that fully address global environmental concerns.
- Outcome 2: Viet Nam is integrating global environmental concerns into its national strategic planning and development processes.

The TE has been conducted according to the guidance, rules, and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects. The objectives of the evaluation are to assess the achievement of project results and to draw lessons that can both improve the sustainability of benefits from this project and aid in the overall enhancement of UNDP programming.

Methods

An overall approach and method⁴ for conducting the project terminal evaluations of UNDP-supported, GEF-financed projects has developed over time. The evaluators framed the evaluation by these criteria: relevance, effectiveness, efficiency, sustainability and impact, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed projects. A set of questions covering each of these criteria was drafted. The Evaluation Design Matrix - EDM is included (Annex 5). The evaluators amended, completed, and submitted the TOR evaluation design matrix as part of the process to develop the evaluation inception report. It is included as an annex to this final report.

For this evaluation, consultants were guided closely by the methods outlined by the TOR (Annex 1). It outlined *specific objectives, including assessing two categories of project progress* (see below). The evaluation's number one objective has been to make an external objective assessment of the performance of the project across the categories of project progress using mixed methods and to provide an evaluation that is useful and compelling to read. The analytical approach has taken into consideration key questions provided by the TOR and the stated barriers and updated situation context. The logical framework (Annex 6) and inception outcome documents were reviewed in order to judge whether the expected results and implementation plan are the correct results and strategy for implementation and vetted by stakeholders.

Desk review

The TE team conducted a desk review of project documents (PIF, UNDP Initiation Plan, Project Document, Project Inception Report, PIRs, finalized GEF focal area tracking tools, Project Appraisal Committee meeting minutes, Financial and Administration guidelines used by Project Team, project

⁴ For additional information on methods, see the Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 7, p. 163, a minimum coverage of the criteria of: relevance, effectiveness, efficiency, sustainability, and impact. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary.

operational guidelines, manuals and systems, etc.) provided by the Project Team and Commissioning Unit.

Inception report and briefing meeting

The team prepared an inception report that included the evaluation design plan and toolkit (with evaluation matrix and survey tools). The questions were designed based on the OECD DAC criteria and oriented to assess the stakeholder's participation and perception of progress based on involvement in the project activities as per the original plan (Pro Doc stakeholders' roles in the project). The evaluation matrix questions were outlined in the EDM (Annex 5). The matrix provided guidance for the survey tool for consults with individual groups (See stakeholder list and indicative questions in Annex 5). The team participated in a TE inception workshop with PMU (9 January 2019) in order to clarify stakeholders' understanding of the objectives and methods and to finalize the TE inception report. During inception meetings with UNDP and PMU, the team learned of strategic areas: (i) technical guiding challenges, (ii) mainstreaming progress at provincial level, (iii) capacity building challenges, (iv) policy leadership and ownership, (v) technical committees, and (vi) data collection and absence of strong knowledge management strategy.

Capacity development project

The three Rios Conventions is an institutional capacity development initiative. The evaluators have considered the overall project strategy for capacity development across expected outputs. The team considered the technical assistance provided during implementation and at design stage (GEF/UNDP).

Stakeholder meetings and data collection

The TE mission interviewed key stakeholders, including UN, government personnel, NGOs, and private sector groups. The team interviewed all stakeholders involved in the implementation (mission program and list of stakeholders interviewed, Annex 2, 3), including females as an affected group, with the intention of gathering all relevant stakeholders' perceptions of activities and outcomes to date, i.e. whether they are positive and or negative. The evaluation aimed to provide evidence-based credible, reliable, and useful information. The evaluators followed a participatory and consultative approach, ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region, and key stakeholders. The mission schedule is included in the annex. Interviewees included the following organizations and individuals:

- Rio Project Management Unit (PMU)
- ISPONRE
- Department of Climate Change (the UNFCCC Focal Point)
- Viet Nam Environment Administration (VEA)
- Biodiversity Conservation Agency BCA, (the UNCBD Focal Point)
- Department of International Cooperation, Vietnam Administration of Forestry (the UNCCD Focal Point)
- Ha Gang DONRE
- Center for land investigation and planning of General Directorate of Land Administration (GDLA).

Annex 2 contains a list of key stakeholders interviewed by TE consultants for the project. The consultants met with as many of these stakeholders as was physically possible.

Limitations

The limitations included a language barrier for the international consultant, who had to rely on interpretation. The time was also limited for the field part of the evaluation. While the TE consultants

visited participating government leaders and stakeholders and engaged in extensive interviews at the national level, they did not visit every single project-supported field activity. The TE consultants assumed that the sites selected by evaluation reference group (MONRE, UNDP) and visited during the evaluation mission were representative of the project's full scope of work. During consultation with participants in the project implementation, the concern of whether the visits were in fact representative was confirmed. A full-time national consultant supported the international team leader in conducting and translating interviews and documents. The time limitation was dealt with by targeting strategic questions in focused question areas and selecting cases for study that would represent the project's overarching learning goals. The evaluators reviewed key information, i.e. the project document, project reports (including Annual APR/PIR, project budget revisions, progress reports, and GEF focal area tracking tools, project files, national strategic and legal documents), and any other materials that the evaluator considered useful for this evidence-based assessment. A list of documents is included in Annex 4.

Evaluation criteria and ratings

An assessment of project performance was carried out based on expectations set out in the Project Logical Framework/Results Framework (see Annex 6), which provided performance and impact indicators for project implementation along with their corresponding means of verification.

1.3 Structure of the evaluation report

This report has the following sections: 1. Introduction, 2. Updated project description and development operating context, 3. Findings, 4. Conclusions, recommendations, and lesson learned, and Annexes.

2. Updated project description and development operating context

2.1 Updated country context

The Socialist Republic of Viet Nam lies at the crossroads of two major biogeographic realms: the Palearctic realm's Himalayan and Chinese subregions and the Indo-Malayan realm's Sundaic subregion. The country extends over 1,650 km from north to south between 23°30'N and 8°30'N, covering a total area of 329,314 km², with a maximum width of approximately 600 km and a minimum width of little more than 50 km. The country shares its border with China to the north, Laos to the northwest, Cambodia to the southwest and the East Sea to the east. Three quarters of the country is hilly or mountainous, while its lowland areas include two major river deltas: the Red river in the north and the Mekong River in the south. A narrow coastal plain runs along much of the country's 3,260 km coastline. With a population of around 92 million, 65.5% of who live in a predominantly rural agrarian society (GSO, 2017), Viet Nam is one of the most densely populated agriculture-based countries in the world.

Viet Nam's biogeographic location combined with the great variation in topography, climate,⁵ and soils across the country, has given rise to Viet Nam's diverse and distinct biodiversity. The country is estimated to harbor some 10% of the world's known species and is considered among ten most biologically diverse countries. Viet Nam's natural resources have contributed greatly to this recent economic development, both directly and indirectly, as they underpin numerous economic activities, notably within the agriculture, fisheries, and tourism sectors. Growths in wet rice cultivation and aquaculture have been key elements driving Vietnam's economic transformation and both these economic activities made a significant contribution to export growth from 1989–2016 (GSO, 2017). Paddy cultivation has expanded greatly over the past two decades, with some 4 million ha under rice in 2015, nearly doubling national production and making Viet Nam one of the major rice-exporters in the world. Meanwhile, aquaculture production, which is dominated by freshwater production, averaged over 12% growth annually since

⁵ Vietnam has a tropical monsoonal climate dominated by the southwesterly monsoons from May to October and northeasterly monsoons during the winter months (November to April). Annual rainfall averages between 1,300 mm to 3,200 mm, but can be as much as 4,800 mm in some areas and as little as 400 mm in others. Snow occasionally falls in the higher elevations in the north. In the south, temperatures rarely drop below 20°C; in the north, they seldom drop below 10°C.

1990, contributing more than 40% to total fishery production and accounting for nearly 4% of Viet Nam's GDP in 2013 (VASEP, 2017).

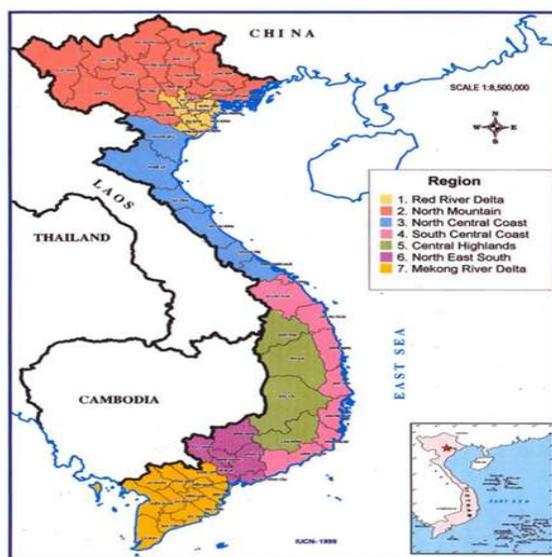


Figure 1. Map of Viet Nam

Source: MONRE

Viet Nam has been undergoing a series of political and economic reforms to move towards a more market-based economy since 1986. Rapid economic growth, especially over the past two decades, has resulted in Viet Nam transitioning to a lower middle-income country (as defined by the World Bank) with a per capita GDP of US\$2,170.6 in 2016.⁶ The country has made significant progress on human development indicators, particularly on education, health, and living standards, as reflected in the steady increase of its human development index (HDI) over the last decade. With the dramatic decrease in recorded poverty rate, however, many households have risen barely above the poverty line and growth has also been associated with an increase in inequality, particularly a widening rural-urban income gap. Three regions account for more than three-fourths of Viet Nam's poor: the Northern uplands, Mekong River delta, and Central coast (GSO, 2017). Ethnic minorities, which comprise 14.6% of the population and live mainly in the remote upland areas, are disproportionately affected by poverty, representing almost 48.2 percent of the poor. About 85% of the poor live in the rural areas (GSO, 2017)

Viet Nam's long coastline, geographic location, and diverse topography and climates contribute to its being one of the most hazard-prone countries of the Asia-Pacific region, with storms and flooding, in particular, responsible for economic and human losses. Given that a high proportion of the country's population and economic assets (including irrigated agriculture) are located in coastal low lands and deltas, Viet Nam has been ranked among the five countries likely to be most affected by climate change.⁷ These vulnerabilities and emerging phenomena ultimately present serious risks toward achieving Viet Nam's development objectives. During the past two decades, Viet Nam's record on the environment shows progress with regard to biodiversity, forest cover, land, and access to clean water. This, however, has not altered the fact that degradation of the environment has accelerated significantly, challenging progress toward sustainable development and equitable poverty reduction.

Updated major policies and laws of relevance to the three Rio Conventions and sustainable development in Viet Nam

⁶ Source: <http://data.worldbank.org/indicator/NY.GDP.PCAP.CD>

⁷ http://sdwebx.worldbank.org/climateportalb/home.cfm?page=country_profile&CCCode=VNM

Viet Nam has issued a comprehensive set of policies, programmes, laws, and decisions in recent years related to sustainable development and environmental protection. Some of the more important of these include:

Policy on environmental protection and sustainable development

- Socio-economic development strategy 2011–2020 and vision to 2030 (SEDS)(2011) and 5 Year Plan for socio-economic development 2016–2020 (Resolution No. 142/2016/QH13 of National Assembly from 12 April 2016)
- Strategic orientation for sustainable development in Vietnam (Vietnam Agenda 21) (2004),
- Resolution on active response to climate change and improving the management of natural resources and environmental protection (Resolution No. 24-NQ/TW of Communist central party from 3 June 2013)
- National strategy on sustainable development 2011–2020 (SDS) (Decision No. 432/QD-TTg of PM from 12 April 2012) and national action plan to implement 2030 Agenda for sustainable development (NAP) (Decision No. 622/QD-TTg by PM from 10 May 2017)
- National strategy for environmental protection until 2020 and vision toward 2030 (Decision No. 1216/QD-TTg of PM from 5 September 2012) and action plan on national environmental protection strategy to 2020 and vision to 2030 (Decision No.166/QD-TTg of PM from 21 January 2014)
- National strategy for green growth for the period of 2011–2020 and vision to 2050 (Decision No. 1393/QD-TTg of PM from 25 September 2012) and the national action plan on green growth for 2014–2020 (Decision No.403/QD-TTg of PM from 20 March 2014)
- Law on environmental protection (Law No.52/2014/QH13, last revised 2014)
- Guidelines for implementation of some articles of law on environmental protection (Decree No.19/2015/ND-CP from 14 February 2015)
- Law on Statistics (Law No.89/2015/QH13, last revised 2015).

Policy on biodiversity and CBD

- Biodiversity Law (Law No.20/2008/QH12)
- Detailed guidelines for implementation of some articles of Biodiversity Law (Decree No.65/2010/ND-CP from 11 June 2010)
- National action plan on biodiversity up to 2010 and orientations towards 2020 for implementation of the Convention on Biological Diversity and the Cartagena Protocol on Biosafety (Decision No.79/2007/QD-TTg from 31 May 2007)
- National biodiversity strategy (NBSAP) to 2020, vision to 2030 (Decision No.1250/QD-TTg from 31 July 2013)
- Biodiversity conservation master plan to 2020, vision by 2030 (Decision No.45/QD-TTg from 08 January 2014)
- Law on fisheries (Law No.17/2003/QH11, last revised 2003)
- Law on forest protection and Development (Law No.29/2004/QH11, last revised 2004)
- Law on water resources 2012 (Law No.17/2012/QH13).

Policy on climate change and UNFCCC

- National target programme to respond to climate change (Decision No. 158/2008/QD-TTg of PM from 2 December 2008)
- National climate change strategy (Decision No. 2139/QD-TTg of PM from 5 December 2011)
- National action plan to respond to climate change (NTP-RCC) for 2012–2020 (Decision 1474/QD-TTg from 05 October 2012)
- The plan for management of GHG emissions (management of the activities of trading carbon credits to the international market) (Decision No. 1775/ QD-TTg from 21 November 2012),
- Law on natural disaster prevention and control (Law No. 33/2013/QH13)

- National strategy for prevention and mitigation of natural disasters in 2020 (Decision No. 172/2007/QĐ-TTg from 16 November 2007).

Policy on land degradation and UNCCD

- National action plan to combat desertification period 2006–2010 and orientation toward 2020 (Decision No. 204/2006/QĐ-TTg of PM from 02 September 2006)
- Law on land (Law No. 45/2013/QH13)
- Law on planning (Law No. 21/2017/QH14) (law took effect from 1 January 2019).

Updated institutional context

MONRE has responsibility for environment management and governance, including monitoring biodiversity, climate change, and land use planning with other ministries managing aspects that relate to their mandate, e.g. MARD and the Ministry of Planning and Investment (MPI).

MONRE is the national focal point for various multilateral environmental agreements, including the CBD and UNFCCC. The Viet Nam UNCBD focal point is under the Biodiversity Conservation Agency (BCA), while UNFCCC focal point is under the Department of Climate Change within MONRE. Responsibility for biodiversity conservation, environmental protection, climate change, and land use management and planning was assigned to MONRE under the Decree No. 21/2013/ND-CP from 4 March 2013. Within MONRE, the Viet Nam Environment Administration (VEA) is mandated to advise and assist MONRE on all aspects of environmental management, including the development and promulgation of environmental laws and policies and overseeing their implementation. Department of Climate Change (former name until 2018 was Department of Meteorology, Hydrology, and Climate Change) is responsible for state management over climate change issues. BCA, which falls under VEA, has been given the mandate for state management of biodiversity. General Department of Land Administration (GDLA) is responsible for land use planning and management.

MARD has long-standing responsibility for forest and fisheries management through its Administration for Forestry and Administration for Fishery. MARD is also a focal point for UNCCD. MPI is the focal ministry for the advancement and application of sustainable development, green growth, etc. It reports on these issues through its General Statistics Office (GSO). MPI is responsible for the overall planning framework in the country, as guided by the 10 year socio-economic strategy and the 5 year socio-economic development plans.

Local government

Under Viet Nam’s decentralization policies, Provincial People’s Committees PPCs also play a major role in environmental management, including biodiversity conservation, land use planning, and climate change. At the provincial and district levels, national line ministries usually have specialized departments that mirror their parent ministries in administrative structure and function. These departments receive technical instructions from their national line ministries, but are accountable to the PPCs. In addition to national government, the state system of governance in Viet Nam includes three further tiers: Provincial, District, and Commune People’s Committees. Viet Nam currently has 63 provinces and cities (under the central government) with approximately 698 districts and over 11,000 communes.

Project start and duration

The project *Enhancing Capacity for Implementing Rio Conventions* funded by GEF through UNDP in three years from 2015-2018 was approved under Decision No.1960/QĐ-BTNMT on 5 August 2015 by the Minister of MONRE. The Institute of Strategy and Policy on Natural Resources and Environment (ISPONRE) was assigned as the National Implementing Partner (NIP).

Table 3. Project key milestone dates

Project Dates	August 2015-December 2018
Project Signed	18 August 2015
Project Begins Implementation	5 August 2015
Project Inception Phase	August-December 2015
Project Inception workshop	18 December 2015
Mid Term Evaluation	N/A
Final Evaluation	November 2018-May 2019
Expected date of operational closure	18 August 2018
Revised expected date of operational closure	31 August 2018
Actual closing date	5 September 2018

With 36 months duration approved the project was expected to be closed by August 2018. However due to the time difference between the GEF approval for the project until August 2018, while the MONRE's approval was issued for the period from 2015-2017, project requested and was granted a no-cost extension under Decision No.1023/QD-BTNMT on 28 March 2018 by the Minister of MONRE and extension letter of UNDP from 18 October 2017. According to UNDP's extension letter and MONRE Decision No.1023/QD-BTNMT, the proposed closing date is no later than 30 August, 2019. Due to some delays in bank transfer, the actual closing date of the project is 5 September 2018.

2.2 Problems that the project sought to address

Since the NCSA was completed in 2006, Viet Nam has continued the process of establishing a comprehensive policy and institutional and legal framework for achieving environmental goals and generating global environmental benefits. Viet Nam has also moved to remove some of the barriers and key capacity weaknesses listed in the above table. The feasibility and needs assessment undertaken in the design/preparation of this project document identified three key areas restricting implementation of the three Rio Conventions.

- Lack of instruments for the complete implementation of policies, in particular, to ensure that they fully cover the issues covered by the three Rio Conventions: The array of laws, policies, and plans is considered adequate, and the individual laws are each considered appropriate. However, implementation of the laws and policies requires a series of practical tools and instruments. Experience shows that these tools could include good environmental indicator systems, environmental performance indices, economic valuation, and integrated land-use planning. Whereas Viet Nam has made progress on developing each of these tools, they are not yet ready for full application. More focused work is needed to develop these and to adapt them to the Vietnamese context.
- Weak local capacity: Once the appropriate implementation instruments have been developed and adapted to the Vietnamese context, capacity will be needed by the individuals and departments responsible for their use. This exists already at national level and in some provinces; however, it is lacking in most provinces.
- Coordination: In order to achieve synergies and increase effectiveness, experience from other countries shows that a strong and regular coordination and collaboration across the three Rio Conventions implementation structures is necessary, including with and across the three focal points. Currently, in Viet Nam, as in many countries, despite a commitment to coordination, this has not yet been operationalized, and the required constructive mechanisms have not yet been created.

2.3 Immediate development objectives of the project

Project sites were selected by a working group that included officials from MONRE, MARD and specific objective is “to enhance the capacity for implementing the three Rio Conventions by developing and applying tools that will lead to global environmental benefits”.

Project components:

- **Outcome 1:** Viet Nam has environmental management tools that fully address global environment concerns. Under Outcome 1, there are three main outputs: (i) a set of national indicators to monitor environmental status and pressure proposed, in line with SDG and the three Rio Conventions indicators; (ii) economic valuation of environmental and natural resources and capacity to undertake this valuation, and (iii) continued support of the development and monitoring of EPI in line with international standards.
- **Outcome 2:** Viet Nam is integrating global environmental concerns into its national strategic planning and development processes. Under Outcome 2, there are two major outputs: (i) increased planning capacity to undertake effective environmental and natural resources management and (ii) increased capacity to undertake integrated land-use and environmental planning.

Table 4. Baseline indicators established

Objective/ outcome	Baseline Indicator (ProDoc)	Evaluator comments	
		Evaluation	Notes
Objective: To enhance the capacity for implementing the Rio Conventions by developing and applying tools that will lead to global environmental benefits.	1. Government Decision on integrating a set of indicators for the Rio Conventions (RCSI) into SEA and land-use planning process	<i>This indicator was removed in the inception report.</i>	The inception report set 2 indicators: - Quality National Reporting to Rio Conventions and SDG, with adequate representation of global environmental concerns - Capacity Development Scorecard The end-of-project targets are set as follow: - National reports timely submitted, taking all relevant data into account - Capacity development score card increases by 30% to 30.
	2. Capacity Development Scorecard	Done	
	3. Effectiveness of coordination/ collaboration of among the three Rio Conventions focal points on data collection, reporting, and monitoring.	<i>This indicator was removed in the inception report.</i>	
Outcome 1: Viet Nam has the environmental management tools that fully address global environmental concerns.	1.1. Set of indicators covering the three Rio Conventions (RCSI)	New set of EPI was developed and submitted by VEA to MONRE for approval and partially covered 3 Rio conventions. <i>This indicator was changed/modified in the inception report.</i>	In the inception report, these 4 indicators have merged into 2 indicator: - Set of indicators covering the Rio Conventions and relevant SDGs - EPI piloted and introduced The following end-of project targets are set: - New set of indicators fully covers Rio Conventions and relevant SDG reporting requirements.
	1.2. Number of successful government run training courses on use of the indicators	The trainings on EPI, ecosystem services valuation were provided.	
	1.3. Number of provincial professional gaining knowledge on how to conduct economic	Number of provincial professional gaining knowledge on how to conduct economic	

Objective/ outcome	Baseline Indicator (ProDoc)	Evaluator comments	
		Evaluation	Notes
	valuation of natural resources	valuation of natural resources	<ul style="list-style-type: none"> ▪ Manual approved, available and used in MONRE and other relevant trainings ▪ Core group of trainers established and training for all relevant staff held ▪ Ecosystems valuation used in reporting and planning - EPI piloted and introduced widely available
	1.4. Number of provincial level professionals successfully trained on the use of EPI	EPI piloted in 63 provinces	
Outcome 2: Viet Nam is integrating global environmental concerns into its national strategic planning and development processes.	2.1. Guidelines to integrate RCSI into the official SEA process at provincial level	Technical guideline on environmental planning and technical guideline for provincial environmental zoning were developed. <i>In the inception report specific reference to SEA omitted, as this is already being undertaken by other activities and projects. Instead project focused on increasing planning capacity.</i>	<p>In the inception report, these 4 indicators have merged into 2 indicator with 1 new indicator:</p> <ul style="list-style-type: none"> - Guidelines for improved environment and natural resources planning introduced - New: Integrated Land Use Plan in 1 Province <p>The following end-of project targets are set:</p> <ul style="list-style-type: none"> - Technical guideline on Environmental Protection plans developed, approved, and used at national level - Core group of trainers established and planners from MONRE, MPI and other relevant organizations engaged in planning trained in Environmental Planning - New: Land Use Plan integrating environmental concerns in 1 Province, to be used as example for other provinces
	2.2. Number of trained provincial level professionals on the use the Guidelines to integrate RCSI into the official SEA process	The trainings were provided and number of provincial professional gaining knowledge on environmental planning and land-use planning	
	2.3. Guidelines to integrate RCSI into the official land-use planning process	Technical guideline on environmental planning and technical guideline for provincial environmental zoning were developed	
	2.4. Number of trained professionals on the use the Guidelines to integrate RCSI into the official land-use planning process.	The trainings were provided and number of provincial professional gaining knowledge on environmental planning and land-use planning	

2.3 Main stakeholders

The key governmental and certain non-governmental agencies, and their roles related to this project, are listed in the table below.

Table 5. Project stakeholders

Organization	Mandate/operation	Role in project
State Management		

Organization	Mandate/operation	Role in project
Ministry of Natural Resources and Environment (MONRE)	Environmental protection and implementation of multi-lateral environmental agreements. Focal point for CBD, UNFCCC and GEF	To cooperate in the activities concerning cross-cutting, regional and international issues. Benefit from the improved tools and trained staff.
Institute of Strategy and Policy on Natural Resources and Environment (ISPONRE). ISPONRE is an agency under MONRE	Strategy and policy analysis and development for MONRE.	Manages Project. Contributes co-financing, expertise and guidance. Benefits from the improved tools and trained staff
Viet Nam Environment Administration (VEA)	Provide technical support to environmental protection.	Cooperate in development of technical guideline on EPP. Benefits from the improved tools and trained staff
Climate Change Department	Provide technical support on many issues related to climate change and climate change adaptation.	To cooperate in the activities concerning climate change issues. Benefits from the improved tools and trained staff.
General Department of Land Administration (GDLA, MONRE)	All issues related to Land-use planning and processes.	To cooperate in the activities concerning land-use issues. Benefits from the improved tools and trained staff.
Department of International Cooperation (ICD, MONRE)	Deals with issues related to international cooperation.	To cooperate in the activities concerning cross-cutting, regional and international issues. Benefit from the improved tools and trained staff.
Department of Legal Affairs	Drafts and oversees legal aspects in environmental affairs	Cooperate in the activities concerning the negotiation, appraisal and implementation of international legislation, in the field of natural resources and environment in particular. Benefit from the improved tools and trained staff.
Ministry of Agriculture and Rural Development (MARD)	Sustainable development of agriculture. Adapting agriculture to climate change. Focal point for UNCCD.	Cooperate on issues dealing with biodiversity, in particular surrounding forests and PAs, and land degradation.
Viet Nam Administration of Forestry (VAF, in MARD)	Oversees state management forestry issues, provides technical support to sustainable forest development and is Focal Point of UNCCD.	To cooperate in the activities concerning UNCCD issues. Benefits from the improved tools and trained staff.
Research Institute for Forest Ecology and Environment (MARD)	Research on issues relating to Forestry.	To cooperate in the activities concerning economic valuation issues. They have experience in economic valuation for forestry resources. Benefits from the improved tools and trained staff
Ministry of Foreign Affairs (MoFA)	Coordination with regards to reporting on and implementing international agreements.	
Ministry of Planning and Investment (MPI)	Coordinating the implementation of government plans and programmes across ministries and down through the levels of government.	Specific mandate and responsibility to plan and report on sustainable development/green growth
General Statistics Office (GSO)	Collects, reports and disseminates the national data and statistics according to the Statistics Law and its further guidance	Instrumental in monitoring on SDGs and Rio Conventions
Ministry of Finance (MoF)	Coordinating the preparation and execution of the national budget. Key role in fiscal issues and national accounting.	
Academic or Research Institutes		
National Economic University	Provide technical support on a wide range of issues.	To cooperate in activities concerning economic valuation issues.
Centre for Natural Resources and Environmental Studies	Conducts multi- and inter-disciplinary research on biodiversity and environmental issues for	Contributes co-financing and participates in many activities, notably under Output 1.2

Organization	Mandate/operation	Role in project
under the Vietnam National University (CRES)	decision making and sustainable development; Promotes human resources development. Provides advice, support. Promotes networking, partnership and linkages	
Center for Development of Community Initiative and Environment (C&E)		To cooperate in activities concerning Land- use and economic valuation. Benefits from the improved tools and trained staff.
Hanoi National University	Learning and research	Technical cooperation on a wide range of potential issues.
Ho Chi Minh National University	Learning and research	Technical cooperation on a wide range of potential issues.
Institute of Meteorology, Hydrology and Environment	Undertakes research and manages projects on meteorology and climate change	Technical cooperation on a wide range of potential issues.
Ha Noi University for Natural Resources and Environment (HUNRE), under MONRE)	The issues related to economic valuation of natural resources.	To cooperate in activities concerning economic valuation issues. Benefits from the improved tools and trained staff.
Other		
International organizations		
WWF	WWF Viet Nam is part of the WWF Greater Mekong Programme, which works on environmental and conservation issues in the region. Finances and technically supports a range of national and local projects related to environmental protection.	Contributes co-financing, and participates in many activities, notably under Outcome 2.
German Government / GiZ	Is supporting ISPONRE/MONRE through parallel initiatives.	Expected to continue to support ISPONRE/MONRE through parallel initiatives.
ADB	Supports government, mainly through its environment regional programme. Especially interested in Natural Capital Accounting	Different ENR projects, also in ISPONRE (e.g. CEP. Possibly instrumental in creating knowledge on and a forum around Natural Capital Accounting)
Hanns Seidel Foundation (NGO)	Support on environmental issues in Viet Nam through ISPONRE	Continue collaboration, especially around policy debates concerning LUP, EPI and SDGs
UNEP	Different Projects and technical support related to Natural Capital, environmental accounting, Global Outlook, etc.	Continued discussions and technical support around environmental accounting, natural capital, performance indices, etc.
UN Statistical Division	Support to Environmental Accounting and Statistics	Continued discussions and support to environmental accounting and statistics (including SDG?)
National		
CSOs in Viet Nam	Financing and technical supporting a range of national and local projects related to environmental protection.	

2.4 Expected Results

Outcome 1: Viet Nam has environmental management tools that fully address global environment concerns

Output 1.1 A set of national indicators to monitor environmental status and pressure proposed, in line with SDG and Rio Conventions indicators. Building on baseline initiatives to propose systems of

indicators to monitor environmental status and pressure, GEF support will ensure there are indicators covering biodiversity, climate change, and land degradation. These will cover status, trends, threats, and performance, based on best practices from across the region and internationally. The project will support analysis, training, developing methods for researchers, and testing indicators, possibly through modeling.

Output 1.2 *Economic valuation of environmental and natural resources, and capacity to undertake this valuation.* Building on baseline initiatives to develop capacity for economic valuation of environmental and natural resources, GEF support will ensure that economic valuation of biodiversity, biodiversity loss, climate change mitigation, climate change adaptation, and land degradation can be undertaken. The project will support determination of best practices from across the region and training and developing methods for Viet Nam, helping to create a center of capacity for economic valuation.

Output 1.3 *Continue to support the development and monitoring of Environmental Performance Indices, in line with international standards.* Building on the progress on EPI already undertaken by ISPONRE and UNDP in Viet Nam, GEF support will ensure that the EPI fully integrates biodiversity, climate change, and land degradation. This will involve analysis, training, and developing protocols. It will also involve developing the communication tools to disseminate the EPI. This Output is mostly covered by co-financing from UNDP.

Once developed and implemented, Output 1.1, 1.2, and 1.3 will serve as permanent tools for future environmental monitoring and management in Viet Nam. They will also feed into the Outputs under Outcome 2.

Outcome 2: Viet Nam is integrating global environment concerns into its national strategic planning and development processes

Output 2.1 *Increased planning capacity to undertake effective environmental and natural resources management.* Viet Nam, with support from international partners, has already taken major steps to develop the planning capacity required to undertake NRE management. Building on this, GEF support will develop capacity at provincial/regional level to further ensure that these planning processes account for the global environment. Case studies on natural capital assessment for Mekong Delta will be developed for integrating natural capital into master planning for the region. It will most notably involve the use of the tools from Outcome 1, especially the indicator system, to strengthen the regional and provincial planning, enabling a quantitative assessment of the impacts on the global environment of strategies and key plans at provincial level. The findings and experiences from the provincial case studies will be shared with leading national authorities and stakeholders working with planning issues.

Output 2.2 *Increased capacity to undertake integrated land-use planning and environmental planning.* GEF support will develop capacity and tools to integrate global environment and global environment benefits into the ongoing strengthening of integrated land-use planning in Viet Nam. This integration will involve an analysis of the present procedures, the determination of entry points, and training for key personnel on the use of the tools from Outcome 1. It will also support the first steps in the process to introduce ecological function zones and preparation of guidelines on environmental protection planning (EPP).

3. Findings

3.1 Project design/formulation

3.1.1 Analysis of LFA/results framework (Project logic/strategy and indicators)

Based on the strategy and consults with stakeholders involved in implementation, the project was formulated to support capacities and deal with barriers to environmental monitoring, data collection, and management and support mainstreaming environment into subnational and national development

planning (including linking to post 2015 SDG work). In this sense, the project was highly ambitious. However, it was not fully thought through in terms of pathways towards the expected outcomes, which necessitate a longer-term capacity building process, work on monitoring, and integrating global issues and data collection standards in national systems. This required consideration of cross-sectoral work on the environmental dimensions of SDGs. It might have been optimal to have written all the log frame end targets as the project’s “making a contribution to” a greater goal.

The project strategy (as written in ProDoc) aimed to make a significant contribution through capacity building, training, learning by doing, and development of relevant tools to support changes in the approach to planning and support to management systems. The support was aimed at an ambitious change agenda, including teaching and translating highly technical content for public sector civil servants and public use. There was insufficient time and too few resources for the longer-term effects desired. The project team is commended for delivering what the document stated and for sensitizing stakeholders, including policy makers, about the ongoing need for tools that to strengthen capacities for mainstreaming and monitoring. The project (log frame and strategy) did not set realistic targets, and there was no reflection on larger structural issues and course correction. The team applied adaptive management to annual work planning and implemented guided by high level steering committee.

Hindsight: The project was missing the “third” project component for effectiveness and sustainability: monitoring, learning, and knowledge sharing.

Respondents concurred that the original project framework and strategy many have been missing an overarching enabling component for sustainable and environmental management - knowledge management, as a coordination, communication, or policy learning support component. Communications and the need for KM were highlighted by over two thirds of the respondents. Policy advocacy, learning, and dynamic knowledge sharing and coordination are key, however, for building capacity in the longer term. The policy advocacy and documentation work was built into the separate outputs areas, but might rather have been more effective across components, using a programme approach directed at targeted areas for policy changes. The project team did a lot to compensate for these structural issues in terms of adaptive management. It implemented a number of capacity building activities to support policy and advocacy around the tools developed, i.e. economic valuation toolkit workshops and policy briefs, etc. Many of the knowledge products need to be further disseminated and rolled out.

Table 6. SMART analysis of results framework

	Indicator	End-of-Project Target	S: Specific	M: Measurable	A: Achievable	R: Relevant	T: Time-bound
Project Objective: To enhance the capacity for implementing the Rio Conventions by developing and applying tools that will lead to global environmental benefits							
	<i>Quality National Reporting to Rio Conventions and SDG, with adequate representation of global environmental concerns</i>	<i>National reports timely submitted, taking all relevant data into account</i>					
	Capacity Development Scorecard	Increase by 30% to 30					
Outcome 1: Viet Nam has the environmental management tools that fully address global environmental concerns							
	Set of indicators covering the Rio Conventions and relevant SDGs	New set of indicators fully covers RCs and relevant SDG reporting requirements.					
		<i>Manual approved, available and used in MONRE and other relevant trainings</i>					
		<i>Core group of trainers established and</i>					

		<i>training for all relevant groups held</i>					
		<i>Ecosystems valuation used in reporting and planning</i>					
	EPI piloted and introduced	<i>EPI piloted and introduced widely available</i>					
Outcome 2: Viet Nam is integrating global environmental concerns into its national strategic planning and development processes							
	<i>Guidelines for improved environment and natural resources planning introduced</i>	<i>Technical guideline on Environmental Protection plans developed, approved, and used at national level</i>					
		<i>Core group of trainers established and planners from MONRE, MPI and other relevant organizations engaged in planning trained in Environmental Planning</i>					
	New: Integrated Land Use Plan in 1 Province	New: Land Use Plan integrating environmental concerns in one province, to be used as example for other provinces					
<p>Note: The color coding is described as follows: Green indicates that the indicators and targets are SMART-compliant; yellow indicates that there is questionable compliance with SMART criteria; and red indicates that the indicator and/or target is not compliant with SMART criteria.</p>							

Capacity development approach (ProDoc) See all capacity building activities in Annex 12

The project was a capacity development project. Normally, it would conform to the operational principles of capacity development as identified in the GEF Strategic Approach to Capacity Building. Annex 12 summarizes the project documents' stated conformity with the 11 operational principles and was reviewed. Annex 12 lists all project training activities conducted. The actual capacity building approach was "to build capacity by doing" building key tools and guidance on strategic areas ecosystem valuation and natural capital accounting, EPI, and mainstreaming the three Rio Conventions considerations in planning at provincial level. In the absence of a capacity building strategy (targeting three levels of capacities: organizational, institutional, and individual). However, as a knowledge management and policy advocacy strategy, the project made a limited contribution to the future implementation of the three Rio Conventions. Team had determined (based on desk review) that while learning by doing and piloting in one project was a valid means for capacity building and has contributed to the implementation of the three Rio Conventions implementation in practice, a more systematic approach to embed a national learning process towards longer-term results is required for transformative expected results. In addition, an up-to-date capacity baseline for MONRE and MARD is needed across-sectors to inform the approach. Institutional capacities, in particular, need to be strengthened to support integrated environmental assessments and planning at the national and subnational level.

3.1.2 Assumptions and risks

(See risk log in Annex 10)⁸

The project was designed with key assumptions of cross-sector and higher-up policy ownership in addition to a basic understanding of the three Rio Conventions, the requirements for capacity building, and how that links to environmental management, monitoring, and policy/sector mainstreaming. In addition, key assumptions included a focus on tools development and a single pilot that would lead to systemic changes and policy agreements, design, and strategy around tools and transformative results. For instance, (i) capacity building approach, (ii) design linked to pilot-influenced planning outcomes, (iii) sustainability and scale-up approach, (iv) cross-sectoral work, (v) data collection and monitoring accountabilities, and (vi) integration of SDGs indicators with the three Rio Conventions work. While some of these assumptions hold true, many did not.

3.1.3 Planned stakeholder participation

⁸ There are high training needs related to collecting and storing and reporting on the information, in particular at provincial level.

The project document includes a stakeholder analysis, with a summary table of the main stakeholders and their expected roles and responsibilities in project implementation (See table 7). This table was updated and revised during the project inception period. For the most part, the proposed roles and responsibilities of stakeholders were fulfilled during project implementation as detailed in the table below.

Table 7. Key stakeholders and roles and responsibilities vis-à-vis the project

Organization	Proposed responsibilities in the project (updated text from Project Inception Report)	Actual involvement in project
State Management		
Ministry of Natural Resources and Environment (MONRE)	To cooperate in the activities concerning cross-cutting, regional and international issues. Benefit from the improved tools and trained staff.	Project Steering Committee (PSC) members include representative of UNFCCC focal point, International Cooperation Department, Department of Finance and Planning, Department of Human Resources, Viet Nam Environmental Administration (VEA). PSC provides guidance on project strategy and approve project annual work plan. Number of staffs in related departments has participated in training activities/consultation workshops.
Institute of Strategy and Policy on Natural Resources and Environment (ISPONRE). ISPONRE is an agency under MONRE	Manages Project. Contributes co-financing, expertise and guidance. Benefits from the improved tools and trained staff	ISPONRE, in line with its mandate, played a crucial in implementing and coordinating project activities which lead to the success of project ISPONRE has provided co-finance for the project and provide its expertise through participated staffs in project; participate in training activities on Ecosystem Services valuation (ESV); contribute and participate in number of project activities (i.e. development of environmental indicators, EPI, regional collaboration activity, etc.) Number of ISPONRE's staff trained on ESV.
Viet Nam Environment Administration (VEA)	Cooperate in development of technical guideline on EPP Benefits from the improved tools and trained staff	VEA, in coordination with ISPONRE, has developed and proposed a comprehensive set of indicators for monitoring the environment issues; technical guideline on EPP. Number of staffs of VEA were trained on ESV and participated in consultations meeting/workshops
Climate Change Department	To cooperate in the activities concerning climate change issues. Benefits from the improved tools and trained staff.	Working closely with PMU on 'Review the organization and implementation structure of UNFCCC in Viet Nam and provide solutions for improvement'. Number of staffs of Department of Climate Change were trained on ESV and participated in consultations meeting/workshops.
General Department of Land Administration (GDLA, MONRE)	To cooperate in the activities concerning land-use issues. Benefits from the improved tools and trained staff.	GDLA actively cooperated in support Ha Giang province to mainstream global environmental issues into the process of revising land use planning. Number of staffs of GDLA were trained on ESV and participated in consultations meeting/workshops.
Department of International Cooperation (ICD, MONRE)	To cooperate in the activities concerning cross-cutting, regional and international issues. Benefit from the improved tools and trained staff.	The project supported ICD of MONRE to update the information on the GEF website. Number of staffs of ICD were trained on ESV and participated in consultations meeting/workshops.
Department of Legal Affairs	Cooperate in the activities concerning the negotiation, appraisal and implementation of international legislation, in the field of natural resources and environment in particular. Benefit from the improved tools and trained staff.	Department of Legal Affairs produced and printed a review of MEA requirements was with the support of the project.
Ministry of Agriculture and Rural Development (MARD)	Cooperate on issues dealing with biodiversity, in particular surrounding forests and PAs, and land degradation.	MARD has assigned a deputy director general - department of science, technology & environment, as a member of PSC. UNCCD focal point has provided guidance and participated in producing the EPI for land degradation.

Organization	Proposed responsibilities in the project (updated text from Project Inception Report)	Actual involvement in project
Viet Nam Administration of Forestry (VAF, in MARD)	To cooperate in the activities concerning UNCCD issues. Benefits from the improved tools and trained staff.	VAF, MARD, is a focal point of UNCCD in VN. Thus, the project has supported VAF to collect and calculate EPI relating to land degradation in Viet Nam. Staffs of VN Forest were trained on ESV.
Research Institute for Forest Ecology and Environment (MARD)	To cooperate in the activities concerning economic valuation issues. They have experience in economic valuation for forestry resources. Benefits from the improved tools and trained staff	This Institute played an important role during consultation workshop on developing 'Manual on conducting economic valuation of ecosystem services'. Staff of the Institute has participated in ESV training activities.
Ministry of Foreign Affairs (MoFA)		During project proposal, project document has been sent to stakeholders and ministries (including MoFA) for consultation.
Ministry of Planning and Investment (MPI)	Specific mandate and responsibility to plan and report on sustainable development / green growth	MPI is a key ministry during project proposal process. In addition, PMU has consulted MPI on activity "Natural capital assessment for Master Planning in Mekong Delta".
General Statistics Office (GSO)	Instrumental in monitoring on SDGs and three Rio Conventions	GSO actively coordinated with the project on reviewing the present sets of environmental indicators in Viet Nam
Ministry of Finance (MoF)		MoF strongly supported project proposal & implementation process especially on fiscal issues and national accounting
Academic or Research Institutes		
National Economic University	To cooperate in activities concerning economic valuation issues.	Some trainers from economic university have joined trainings on economic valuation
Centre for Natural Resources and Environmental Studies under the Vietnam National University (CRES)	Contributes co-financing and participates in many activities, notably under Output 1.2	Actively contributed to trainings on economic valuation through expertise support
Center for Development of Community Initiative and Environment (C&E)	To cooperate in activities concerning Land- use and economic valuation. Benefits from the improved tools and trained staff.	Participated in economic valuation trainings and relevant workshops
Hanoi National University	Technical cooperation on a wide range of potential issues.	Participated and shared experiences/lesson learnt in trainings/workshops
Ho Chi Minh National University	Technical cooperation on a wide range of potential issues.	Participated and shared experiences/lesson learnt in trainings/workshops
Institute of Meteorology, Hydrology and Environment	Technical cooperation on a wide range of potential issues.	Participated in trainings/workshops especially on climate change issues
Ha Noi University for Natural Resources and Environment (HUNRE), under MONRE)	To cooperate in activities concerning economic valuation issues. Benefits from the improved tools and trained staff.	Participated and shared experiences/lesson learnt in trainings/workshops
Other		
International organizations		
WWF	Contributes co-financing, and participates in many activities, notably under Outcome 2.	Actively participated in many trainings and workshops
German Government / GiZ	Expected to continue to support ISPONRE/MONRE through parallel initiatives.	GiZ has coordinated with ISPONRE to organize an awareness-raising workshop on "Valuing, Assessing and integrating ecosystem services into development

Organization	Proposed responsibilities in the project (updated text from Project Inception Report)	Actual involvement in project
		planning". In addition, GIZ also supported to organized Natural Capital Platform under Rio project
ADB	Different ENR projects, also in ISPONRE (e.g. CEP. Possibly instrumental in creating knowledge on and a forum around Natural Capital Accounting)	Actively supported the organization of Natural Capital Platform
Hanns Seidel Foundation (NGO)	Continue collaboration, especially around policy debates concerning LUP, EPI and SDGs	Participated and shared experiences/lesson learnt in trainings/workshops Participated in Natural Capital Platform
UNEP	Continued discussions and technical support around environmental accounting, natural capital, performance indices, etc.	Previous/ongoing UNEP projects are good sources of reference for project reports
UN Statistical Division	Continued discussions and support to environmental accounting and statistics (including SDG?)	Start to discuss on application of natural capital accounting in Viet Nam
National		
CSOs in Viet Nam		Actively participated in project trainings and communication activities

3.1.4 Replication approach

The project was designed to replicate the learning and to contribute to implementation of standards arising from the three Rio Conventions in the Viet Nam context. Although awareness and mainstreaming of the three Rio Conventions and environmental considerations in the policy-making process of stakeholders have increased through many training activities, the efforts to strengthen the knowledge and capacities systematically were effective however there might be more thinking about the post project links to institutions of learning. The approach and knowledge transfer system with target beneficiaries, i.e. three Rio Conventions focal points, might have benefited from a role in technical monitoring and oversight. For longer-term capacity building, linkages could have been fostered through MONRE's department of human resources and universities and academia. In addition, knowledge material and case lessons from the pilot can be better documented and disseminated to a target audience for learning purposes and scale-up. A peer reviewed academic public policy learning case study that maps the institutional relationship and longer-term capacity strengthening needs based on project implementation could help to consolidate the work.

3.1.5 Management arrangements

The project was implemented under NIM modality. The Implementing Partner was ISPONRE of MONRE. Implementing Entity/Responsible Partners: ISPONRE of MONRE, UNDP. Project implementation arrangements as reported by respondents were functioning well. One criticism was that *the level of joint coordination* between PMU, three Rio Conventions focal points, and stakeholders could have been improved i.e. knowledge management, learning together, and communication strategy.

All the required project oversight mechanisms were in place. A key lesson learned has been about the role of the steering and technical committees in management, monitoring, and learning by doing (discussed in more detail in the results section). These mechanisms could have made an enhanced contribution toward results with an inclusive stakeholder approach in project monitoring and technical oversight. By inclusion of them and having better prepared meetings, technical vetting, and priority setting, influence could be gotten for future scaling and an enabling environment leading toward the pathway for more transformative results around integrated planning and environmental management and monitoring.

3.2 Project implementation

3.2.1 Adaptive management (changes to the project design and project outputs during implementation)

Neither the project strategy nor the implementation approach made full use of the technical or steering committee for policy advocacy (through steering committee technical presentation of work) and capacity building (i.e. to undertake assessment in subnational work, as one example). Consensus of three focal points (one reportedly a member of the steering committee) was that there were no regular meetings or mechanisms for their technical inputting and vetting of products and activities (tools development and the provincial mainstreaming work). On the other hand, the project management unit says they invited focal points to all meetings, but at the time they could not attend due to scheduling conflicts.

Adaptive management is facilitated by inclusive work planning and use of the steering committee and technical committee member to be consulted and involved in guiding the development of activities to ensure that the project stays on track (see further commentary on this below). Stakeholders shared an overwhelming consensus that the PMU might have provided policy and learning communications, knowledge sharing, and documentation/targeted dissemination of the many knowledge products, tools, and trainings, including policy briefs and guidelines and the results of workshops. Project management confirms there was a set of communication materials developed, including a brochure, a poster, and policy briefs for project outputs.

3.2.2 Partnership arrangements (with relevant stakeholders involved in the country/region)

With an ambitious project learning agenda, the strategy was to implement through a partnership approach (see stakeholders analysis). To a degree, stakeholders reported activities done in partnership, i.e. WWF were included and three Rio Conventions focal points were consulted. Synergies with other GEF projects might have been explored during work planning. The team noted that PMU did involve GIZ and WWF in training workshops on ecosystem valuation. In addition, a partnership on natural capital platform was established to facilitate the collaboration among related initiatives. For the future, *developing a partnership engagement plan could be considered at the onset. This was a deficient implementation and a lesson learned.*

3.2.3 Feedback from M&E activities used for adaptive management

A shortcoming reported consistently by interviewees was that the strategy and the implementation pathway were not reflective of involving key stakeholders in implementation and monitoring. This included involving key stakeholders like statistics department, who were outside MONRE, MARD, and in cases, the three Rio Conventions UN focal points, in monitoring and planning. Several three Rio Conventions focal points reported not being included in the project monitoring, planning, and decision-making in a substantive way, i.e. on overall strategy and management activities—a criticism of the implementation approach. Respondents stated that the project was small and the work was not perceived as a priority. They concurred that the project might have been raised in importance as to the strategic nature of its content, which might have been better communicated to the high-level participants. The PMU countered this view, stating that they did invite all the technical groups and line ministries to all relevant project activities, and the consultants also arranged learning meetings during their consultancies.

PMU might consider the important role of involving the technical leads in monitoring and policy making. In addition, more three Rio Conventions participants could be active on the steering committee to make the case for the work to continue.

3.2.4 Project finances

Financing

As mandated by the Viet Nam-UN Harmonized Programme and Project Management Guidelines (HPPMG) Harmonized Approach to Cash Transfers (HACT) guidelines, UNDP disbursed project funds to the implementing partners through a direct cash transfer (DCT) modality on a quarterly basis on a request from the PMU, who in turn reported and certified the expenditure back. Both request and report were linked to quarterly work plans, part of the annual work plan approved by the project board. Most of the project funds were disbursed in this manner. However, UNDP supported the project by directly paying for some services as foreseen in the project document, for instance, consultancies and associated travel as well as audit fees. The project's audits in 2016, 2017, and 2018, conducted by the international auditing firms and UNDP, concluded that the project "did not note any matters involving internal control and other operational matters of the project."

The project's total approved budget amounted to US\$2,579,646, including a GEF grant of US\$975,000.

Table 8. Project cost by components (US\$)

Project budget component by contribution type	Contribution (US\$) As per Prodoc	% of total project cost	% of total GEF contribution
Component 1: GEF	484,000	19%	50%
Component 1: Co-Financing	1,199,500	46%	
Component 2: GEF	411,000	16%	42%
Component 2: Co-Financing	295,000	11%	
Project Management: GEF	80,000	3%	8%
Project Management: Co-Financing	110,146	4%	
Total	2,579,646	100%	

At project inception and annual planning and budgeting, the allocation of GEF budget per component was modified to reflex the project adjustments with the total GEF fund remained unchanged. All the adjustments were verified by PSC and approved by UNDP.

To the date of the terminal evaluation, the project had executed 98.3% of the total GEF grant, including 6% of total expenditure for management costs (against 8% management costs budgeted). Actual expenditure schedule caught up with planned delivery and will achieve full delivery, as the less of 2% of the project funds still to be executed correspond to activities such as tax refund, terminal evaluation as well as some minor activities conducted in 2018 but not yet paid. Moreover, the remaining budget is executed by UNDP since the project has been operationally closed, and no longer transferred to the PMU.

Table 9. Budget and expenditures per outcome (US\$, GEF grant only)

	Budget	Expenditure	%
Outcome 1	414,224.66	394,174.21	95.15%
Outcome 2	499,971.60	502,987.88	100.6%
Project management	60,803.74	61,278.18	100.78%
Total	975,000	958,438.27	98.3%

Table 10. Original targeted GEF financing vs. actual GEF financing (US\$ thousand)

Project activities/ outcome	Targeted GEF financing years				Actual spending						% of targeted spending achieved
	1	2	3	Total	1	2	3	4	5	Total	
Outcome 1	159	174	81	414		188	139	67		394	95.15%
Outcome 2	135	147	218	500	16	38	248	193	9	503	100.6%
Project Management	27	27	7	61	4	19	13	24		61	100.78%
Total	321	348	306	975	20	245	400	284	9	958	98.3%

Co-financing

As per project document and inception report, co-finance in cash amounted to US\$1,344,646 with in-cash contribution from UNDP (US\$725,000), GoV (US\$440,000), and others (US\$179,646). Actual disbursements were, respectively, US\$725,000, US\$1,140,000, and US\$100,000. Actual co-finance in-cash exceeded planned co-finance by 46%. The GoV expressed strong support to the project through increasing contribution to project costs amounted of US\$1,140,000 (Table 11).

There are some differences between original and actual co-financing for the project. Thus, NGOs, including CRES and WWF, have reduced their funding; however, ISPONRE has strongly supported project implementation via both grant and in-kind funding.

Table 11. Co-financing

No.	Sources of Co-financing	Name of Co-financier	Type of Co-financing	Original Amount (US\$)	Actual Amount (US\$)
1	Government	ISPONRE	Cash	440,000	1,140,000
2	Government	ISPONRE	In kind	150,000	150,000
3	GEF's implementing agency	UNDP	Cash	725,000	725,000
4	NGO	CRES	Cash	79,646	
5	NGO	CRES	In kind	60,000	40,000
6	NGO	WWF	Cash	100,000	100,000
7	NGO	WWF	In kind	50,000	30,000
			Cash	1,344,646	1,965,000
			In kind	260,000	220,000
			Total	1,604,500	2,185,000

Cost effectiveness

The project was highly cost effective as a contribution to ongoing activities. Its contribution provides good international comparative experiences, tools, and approaches to ongoing environmental management reform efforts and added value. How these tools and the learning are to be scaled was a concern of evaluators. The UNDP/GEF project was designed to influence investments already being made by government and development partners and to record an impact beyond the limited GEF contribution. For both Outcomes, the strategic use of GEF funds is to mainstream into/onto ongoing processes and to modify them in order to yield global environmental benefits. This is far more cost-effective than if GEF were to support the entire initiative.

For Outcome 1, project baseline was supported by UNDP, ISPONRE, and other partners, addressing the issues of indicator systems, resource valuation, and EPI. Almost all the EPI related outputs have been covered by UNDP. GEF supports contributions and additional activities and inputs to ensure that the three Rio Conventions are integrated into the baseline process.

3.2.5 Project management and work planning

The project implementation structure included a Project Steering Committee (PSC) and a Project Management Unit (PMU), which ISPONRE established for the day-to-day management of project activities. The PMU was hosted in the ISPONRE building and comprised the following positions:

- NPD (part time, financed by government)
- National Project Manager (part-time, financed by government)
- National Project Accountant (part-time, financed by government)
- Project Administration/Interpreter (full-time, financed by project).

In general all respondents agreed that the project management team at ISPONRE did an excellent job hosting, planning, and implementing activities with the PSC and convening stakeholders per the project plans. The implementation was visibly aligned with what was stated in the project documents, reports, and the inception document. The PMU focused implementation on the delivery of the expected outputs and had been recognized by peers for work with stakeholders. The effort of ISPONRE was recognized by all stakeholders for professionalism, its knowledge base and strategic planning and tools development

role, and value added. In the future their role might be enhanced and framed around the knowledge management and facilitation role, including scaling up the learning activities around integrated environmental assessments, communication, and knowledge management.

3.2.6 Monitoring and evaluation: design at entry and implementation

Project monitoring and evaluation were conducted in accordance with established UNDP and GEF procedures. A plan was developed (Annex V of ProDoc) which provides a logical and practical structure for monitoring project performance. The GEF tracking tool for CCCD, a key part of project monitoring and evaluation activities to assess project delivery, was used and is included in Annex 9. The project fulfilled the basic monitoring requirements, including inception, annual reporting, three steering committee meetings, and annual and quarterly reports. The inception report consultant might have conducted a capacity needs assessment as a first step, after which he could have caught some of the structural project learning design problems. A lesson learned is that with the three Rio Conventions cross-cutting learning projects, it is good to include internationals that have background in capacity development and learning or knowledge management. However, the basic finding is that the PMU took forward activities not in the original log frame and plans (based on the inception report and log frame analysis).

The project used the following monitoring and evaluation instruments: indicator framework with specified quantitative baselines, targets, and means of verification established in the project document and slightly modified at the inception workshop, which were annually reported at the project implementation reports (PIR). The PMU also prepared quarterly progress reports (QPR). The UNDP prepared annual financial reports (Combined Delivery Reports CDR) as well as independent audit reports.

Responsibility for M&E activities was divided between UNDP (for the inception workshop and report and terminal evaluation) and PMU (for monitoring and reporting through indicator framework and reports). A budget of US\$80,000, or 8% of the total budget of US\$975,000 was allocated for all management activities (including monitoring) at ProDoc (UNDP, 2015). Monitoring information was communicated and discussed during weekly coordination meetings between project director and PMU staff as well as through quarterly and monthly written reports.

The PMU completed and submitted all required reports, including annual GEF project implementation reports PIR, with assessment by the UNDP at country and regional level. Reports contained accurate information as confirmed by the terminal evaluation's primary sources. The main shortcoming of the project's reporting system was unnecessary duplication of narrative statements in different report sections. Such reporting activities reportedly consumed a significant part of the PMU's staff time. While it is true that project management units will always need to dedicate time to writing reports at the expense of other project activities, reporting can be easily made more efficient through a proper knowledge management system, i.e. information kept on a tabulated form to be used in different quarterly and annual formats.

In summary, the project included an appropriate mix of M&E instruments and allocated sufficient budget and clearly defined responsibilities for the conduct of monitoring and evaluation activities. Monitoring and reporting was properly conducted by the PMU with some shortcomings in reporting.

Technical monitoring and oversight

According to PMU, a technical working group was comprised of independent experts, technical government agency representatives, and representatives from stakeholder groups who met regularly to discuss and deliberate on project outputs, help design project activities, and support resources to project. However, a criticism was that the project management did not fully employ the technical committee to include the three Rio Conventions focal point as per the objectives of learning by doing activities, especially regarding the pilot implementation. The three Rio Conventions goals might have been included in implementation for technical oversight on all knowledge products and part of the pilot's objectives to show the need for in-house capacity on environmental monitoring and assessment and for the PSC to persuade and advocate for policy changes around environmental mainstreaming in planning. Such a role

would include joint advocacy for additional longer-term work on capacity building to support the implementation of the tools piloted, building indicators, developing monitoring systems, and undertaking planning with high level participants.

The PSC was reported by key stakeholders as “not functioning like that”. Respondents stated that their role in PSC was limited. Interviewees complained of a need to be better prepared as to the strategic nature and importance of the project for links to SDGs and the new Law on Planning. One respondent reported that the small scale of the financing did not represent the strategic nature of the work. He needed to be told why the project was strategically so important. The activities were being planned by PMU, supported by UNDP, and not necessarily including the input of other key stakeholders, including financing partners WWF, academia, the three Rio Conventions focal points, GDLA, and VEA. The PMU stated that they did in fact consult with the three Rio Conventions focal points and stakeholders on the project activities, i.e. the retreat with the three Rio Conventions focal points organized at the ASEAN resort. This was verified.

3.2.7 UNDP and implementing partner implementation/execution coordination, UNDP value added, and operational implementation

The project was implemented according to UNDP’s National Implementation Modality as per NIM guidelines agreed upon by UNDP and the Government of Viet Nam. UNDP was the GEF Implementing Agency, with the UNDP Country Office responsible for transparent practices, appropriate conduct, and professional auditing. The Executing Agency was the ISPONRE of MONRE. UNDP thus *supervised the project activities in accordance with the Viet Nam-UN Harmonized Programme and Project Management Guidelines (HPPMG)*.

ISPONRE was the NIP responsible for overall implementation of project activities. ISPONRE assigned a senior staff member as National Project Director NPD and provided its staff and network of experts as support to Project Management Unit as part of government co-financing. The PMU was established to undertake the day-to-day operations of the project and the overall operational and financial management and submit *progress reports to MONRE and GEF/UNDP in accordance with NIM guidelines*. The NPD, responsible for project management oversight, also devoted a significant part of his working time to the project. In the fulfillment of his responsibilities, the NPD was supported by the PMU, *including a National Project Manager NPM, a project accountant, and a project administrator/interpreter*. The evaluation team met several times and worked with this team on the TE. The evaluation team found ISPONRE to be accountable with project management to the Government and UNDP for ensuring: (i) the substantive quality of the project; (ii) the effective use of both national and UNDP resources; (iii) the availability and timeliness of the national contributions to support project implementation, and (iv) proper coordination among all project stakeholders in line with the project documents.

According to interviews with partners, UNDP carried out its role and added value to the implementation on two levels, by being instrumental for international comparative experiences and identifying technical inputs and by being a dependable partner, providing day-to-day strategic and management guidance to the PMU to implement with a focus on results. The implementing Partner ISPONRE and project team responded about the high quality and timeliness of technical support to the Executing Agency and project team. Examples were given, such as UNDP’s use of its global platform in the convening and conducting of tools workshops to identify and bring technical knowledge to the table. UNDP was diligent in annual reporting and worked with the project manager to provide quality, results-based reports. MTE reviewed these PIR and PPR reports. Risk management was obvious, based on the good relationship established between the UNEP and the implementing partner.

The PMU on all accounts has been found to have fulfilled its responsibilities for the following:

- Preparing detailed annual work plans
- Supporting the PSC and translating the guidance and decisions of the PSC into day-to-day project coordination and management

- Providing technical support to ISPONRE, MONRE, MARD, and other stakeholders for implementation efforts
- Mobilizing technical assistance in support of the achievements of all project outcomes
- Undertaking project monitoring, budget management, detailed work planning (annual, quarterly) and fulfilling reporting requirements to government and international donors.

Stakeholders agreed that UNDP’s comparative implementation support was timely, relevant, and appreciated. UNDP is recognized for its experience with CCCD projects within the region and globally and its on-the-ground presence. UNDP’s comparative advantage was highlighted as its presence in country and day-to-day backstopping support. It was also highlighted for great work in giving international technical and monitoring/evaluation support when needed. The team learned that the UNDP RTA visited and provided technical and monitoring input early in the project implementation.

3.3 Project results

3.3.1 Overall results (attainment of objectives)

Overall project results are rated *satisfactory*. See annex 6 for full analysis of project outputs and outcomes. Despite the fact that the design might have been better served with smarter indicators, more realistic targets, a third component and, possibly, a phased approach for more systemic capacity building in partnerships with national institutions, the project achieved all it set out to do. The review of the project achievements via stated indicators is attached in the results section as a table.

3.3.2 Relevance

The project is considered *relevant*, as the project is in line with national laws, regulations and policies, and is relevant to local user needs and priorities as well. The project supports agreed UNDP country priorities as well as GEF strategic priorities for multi-focal area.

Key Result 1:

The project is highly relevant to the current Viet Nam development context and has successfully sensitized and built some capacity of governmental departments and stakeholders on implementing the three Rio Conventions and strengthening monitoring systems for environmental management/monitoring in general. Various new laws and agreements as previously noted offered a unique window of opportunity to advance importance of project-related work. The project contributes directly to the current United Nations One Plan Outcome 1.4: *by 2016, key national and subnational agencies, in partnership with the private sector and communities, implement and monitor laws, policies, and programmes for more efficient use of natural resources and environmental management and implement commitments under international conventions*. More specifically, the project contributes to UN One Plan Output 1.4.2: *A set of coherent policies and plans was prepared and updated to strengthen (i) management of protected areas and biodiversity conservation, and (ii) environment management at national and community levels*. The project is highly relevant to the Viet Nam context as a signature of the SDGs, the new national Law on Planning instituted in 2017, and the new Law on Statistics amended in 2015. This carries forward national cross-sector work on SDGs’ planning and developing environmental mainstreaming and monitoring tools. Nonetheless, more is needed to build cross-sectoral consensus and ownership, build policy momentum, and entrench a public capacity building plan for sustainability.

Structural design issues—Overambitious and unclear pathway for transformative changes expected

The project was designed to support capacity-related barriers related to environmental management and mainstreaming the three Rio Conventions and environment into subnational and national development planning including linking to post 2015 SDGs work. Highly ambitious and not logically thought through in terms of longer-term expected outcomes and involving the need for more systematic capacity building and cross-sectoral work on monitoring and integration of global standards and norms and approaches for

linking to national monitoring systems, the project also required consideration of the cross-sectoral work on the environmental dimension of all SDGs. Having a phased approach and wording in log frame, such as “making a contribution,” might have been a better articulation of the targets. The project was aimed at transformation of planning and management systems by end date. With a large scope with highly technical content, time was too short and resources too few for the longer term impacts desired. The project team is commended for delivering what the documents stated and for sensitizing stakeholders, including policy makers, about the ongoing need for tools that to strengthen capacities for mainstreaming and monitoring.

The project’s log frame and strategy did not have realistic targets. With no mid-term evaluation required, there was no reflection on larger structural issues and course correction. The team was, however, applying the rule of adaptive management and work planning to implement with a steering committee. For instance, Outcome 1 included an indicator on a finalized set of monitoring indicators integrating the three Rio Conventions. However, *the MTE found the project partnership strategy was not well articulated for achieving results*. It was designed based on a very old baseline (NCSA was 2005).

Design, sustainability, and scale-up issues—missing a third project component for monitoring learning and knowledge sharing

The original project framework and strategy were reviewed by consultants and found to be missing an overarching enabling learning component: a monitoring knowledge management coordination communication, or policy learning support component. Key stakeholders interviewed concurred widely on this gap. Communication was highlighted by over two thirds of those interviewed. Policy advocacy, learning, and dynamic knowledge sharing and coordination are key, moreover, for building capacity in the longer term. The policy advocacy and documentation work was built into the separate output areas but might have been more effective across components, using a program approach and directed at targeted areas for policy changes. This was done ad hoc, and the design was missing a third component on knowledge management, learning, and communication. The project team compensated for these structural issues in terms of adaptive management and capacity building activities to support policy and advocacy around the tools developed, i.e. economic valuation toolkit workshops and policy briefs. Many of the knowledge products produced will need to be disseminated and rolled out.

3.3.3 Effectiveness

Project effectiveness is rated *satisfactory*.

Key Result 2:

The project effectively showcased lessons (with stakeholders) on the three Rio Conventions and SDGs indicator development, developed tools (ecosystem valuation, etc.), and successfully mainstreamed the three Rio Conventions into planning approaches and tools in one pilot at the provincial level. The tools, indicators, development, and pilot need further dissemination packaging. Project successfully contributed and sensitized the key government environment departments, i.e. MONRE, VEA, Biodiversity and Climate Change, ISPONRE, and MARD for further work.

The project had many positive unintended policy consequences

The project secured commitment to various legal instruments of national or local scope that will pave the way for future three Rio Conventions implementation and integration of global environmental concerns into its national strategic planning and development processes, including Decision 5018/QD-BNN-TCLN from 6 December 2017 of MARD on approving “Proposal on voluntary land degradation neutrality target setting in Viet Nam in the period of 2017–2020 with vision to 2030” and Decision 38/NQ-CP of Government from 9 May 2018 on “Land use planning for Ha Giang to 2020 and land use planning for the last five years (2016–2020).” No objection decision has come from MONRE since 2018 on the Office of Climate Change to support the work of UNFCCC, etc. The project supported MONRE in development of the policy on strengthening regional linkage in NRE management and climate change response. The

policy has been approved by the MONRE Minister and has being submitted to the Prime Minister for approval. Moreover, officials from MONRE, MARD, and provincial departments benefited from the training materials and capacity development activities led by PMU in cooperation with other ODA projects.

Capacity building—Implementation approach

Ultimately, the three Rio Conventions is a capacity building project. The approach employed was “to build capacity by doing”: building key tools and guidance on strategic area ecosystem valuation and natural capital accounting, EPI, and mainstreaming three Rio Conventions considerations at provincial level. The absence of a capacity building strategy (three targeted levels of capacities: organizational, institutional, and individual), knowledge management, and policy advocacy strategy, limited the project’s contribution to the sensitization implementing of the three Rio Conventions. The team had determined (based on desk review) that while learning-by-doing and piloting were a valid means for capacity building and have contributed to the implementation of the three Rio Conventions implementation in practice, an embedded national learning process is needed to get longer-term desired results. The basic issue is that a capacity baseline for MONRE and MARD is needed across sectors to inform the approach. The last capacity assessment was the NCSA in 2005. In particular, a focus on building institutional capacities to support planning at the national and subnational level would be a good start. Although awareness of the three Rio Conventions and mainstreaming them and environmental considerations into the policy-making process of stakeholders has increased through project activities, the efforts to strengthen the knowledge and capacities systematically could have been more effective than generic or non-targeted awareness-raising activities. The approach and knowledge transfer system with target beneficiaries, i.e. the three Rio Conventions focal points, might have benefited from a role in technical monitoring and oversight. For the longer term, capacity building, partnerships, and long linkages might have been fostered with the Government departments of public service and learning certification, human resources of MONRE, universities, and academia.

Log Frame—Expected results

While the design might have been better served with smarter indicators, more realistic targets, a third component and, possibly, articulation of a phased approach in the strategy for more systemic capacity building in partnership with national institutions (mentioned above), the project achieved all it set out to do. The review of the project achievements via stated indicators is attached in the results section as a table. Generally, the project provided good results as follows:

- Completed report on reviewing sets of environmental indicators (used for reporting three Rio Conventions and relevant SDGs)
- Held technical meetings and consultation workshops were held In collaboration with VEA/MONRE to propose environmental indicators to be submitted to the Prime Minister for approval
- Supported GEF Viet Nam to update its website
- Completed report of national and international best practices on ecosystem services valuation
- Finalized and got approval from Vice Minister of MONRE for a manual on conducting economic valuation of ecosystem services
- Provided training courses for national and provincial official on ecosystem services and ecosystem services valuation
- Organized two workshops on “Natural Capital Platform” in collaboration with UNDP, GIZ, and ADB and worked with GIZ to develop the website on Naturalcapital.vn
- Collected and calculated data for EPI (water quality, forest and air) in 63 provinces in Viet Nam
- Worked on developing EPI indicators covering land degradation and biodiversity (i.e. mangrove) to support the reporting requirement of CBD and CCD focal point
- Supported UNFCCC focal point to review the organization and implementation structure of UNFCCC and provide solutions for improving the structure for implementation of UNFCCC, Paris Agreement (PA), and Kyoto Protocol (KP)

- Conducted a natural capital assessment focusing on mangrove ecosystem for Mekong Delta region, providing input for MPI to develop the Master Plan for that region
- Supported development of a mechanism to enhance regional collaboration for NRE management and climate change response in Red River Delta, assisting MONRE to develop the policy on strengthening regional linkage in NRE management and CC response to be approved by Prime Minister
- Completed a report on “Review of provincial land use planning to identify the entry points for mainstreaming environmental concerns into provincial planning”
- Supported Ha Giang province to mainstreaming environmental concerns into its revised land-use planning
- Worked in cooperation with VEA to develop the technical guideline for Environmental Protection Planning.

Evaluation commentary on components one and two follows:

Outcome 1. While all work plan activities were delivered and tools and guidance have been developed, key stakeholders interviewed reported confusion over the project’s indicators and the approach of working on two sets of indicators, one for the three Rio Conventions and SDGs and one on EPI. The VEA (key beneficiary and project stakeholder) reported they needed support with their work on EPI performance monitoring but had been confused when approached for work on quality environmental indicators in relation to EPI work. They reported not being approached in relation to their needs to support EPI performance indicators explicitly (see Steering Committee minutes). The response by PMU team was that the VEA were consulted on project design and had been a PSC member. This was verified. An agreement was reached (see Steering Committee meeting notes) for PMU to continue working on a set of three Rio Conventions indicators to bring in global good practice from other countries and to pilot at subnational level as contributions to the VEA work. In principle, MONRE VEA is the business owner for the environmental monitoring and management work. The project strategy was also to make project contributions to the three Rio Convention reporting exercises by supporting the UNCBD focal point in developing a set of indicators to monitor the area changes in mangrove forests in the period of 2000–2015 for the reporting process and to support UNCCD in building a baseline of land degradation for the period of 2000–2015 period, focusing on three main indicators, including forest cover, land productivity, and carbon organic in soil, and identifying high priority areas for land degradation in Viet Nam (in the North West region, South Central Coast, and Central Highlands). However, this work—including the overall intention and indicators—was not systematically visible to evaluators.

While the project was intended to contribute (according to a VEA respondent), VEA has ongoing EPI activities that are complementary to the three Rio Conventions work, and these projects might have been planned and implemented in tandem. The PMU clarified that this projects work was not the only initiative that contributed to the development of tools, but there are other government measures, with or without official development assistance (ODA) support. While some respondents gave the impression that there had been a misunderstanding around the conceptualization of the strategies for work on the two separate activities, EPI (more about performance monitoring and developing a set of indicators for SDGs and the three Rio Conventions), other key respondents stated the actual strategy was to make a contribution by bringing in comparative global practices and technical support to new tools and the work process. The project’s contribution in this sense has been to add on to the ongoing initiatives for the environmental performance indexing and foster the cooperation and information sharing among the stakeholders on EPI, which can receive important benefits for environmental monitoring and management effectiveness at local and national level.

Outcome 2. The project successfully piloted an integrated environmental assessment and planning process at the provincial level, using the three Rio Conventions issues as guides. It implemented a successful demonstration on how the provision of technical support provided to provinces for mainstreaming and integration of the three Rio Conventions can improve subnational planning. However, MTE noted a gap in the plan per expected results to build training teams and ownership of this work at MONRE and MARD for scale-up, especially for integrated environmental assessments to scale up and

roll out. The need for capacity for environment assessment can be scaled up, horizontally scaled, and downscaled.

3.3.4 Efficiency

The project efficiency is rated *satisfactory*

Key Result 3:

The project was cost effective and gave value for money as a small financial input that began to tackle very challenging environmental results areas for Viet Nam. This includes advancing tools for ecosystem services and integrated environmental management and planning and building capacity of tools and approaches “by doing” in one province. The work at the provincial level expresses a good Viet Nam practice and might be further documented as a case study for a full-scale follow-up (focused on the three levels of capacities: institutional (enforcing regulation, ecosystems services, etc.), organizational (public sector certification), and individual (public schools and universities) capacity building programme.

Timely implementation

The project delivered all that it stated it would and on time. Delivery has reached 98.3% of the GEF grant at the time of the terminal evaluation and is receiving a high efficiency rating. Total project disbursement was US\$958,438 (98.3%). Project implementation arrangements were reported functioning although the level of coordination between PMU, three Rio Conventions focal point, and stakeholders was highlighted as an area that could have been improved, i.e. with a good KM and communication strategy. All the required project oversight mechanisms were in place. *A key lesson learned was that the role of the steering and technical committees might have been enhanced to provide more monitoring oversight and buy-in capacity, and/or policy influence for future scaling and enabling environment toward more transformative results around integrated planning and environmental management and monitoring.*

3.3.5 Country ownership

The project was executed through national implementation modality NIM. The government counterparts to UNDP expressed a high degree of ownership over the final results. This project was implemented to advance quality data collection and SEA in planning as set by the three Rio Conventions for environmental monitoring/management based on a number of global and national policies. This included supporting work on SDGs planning, reporting, and developing an agenda on environmental mainstreaming and supporting mainstreaming and monitoring tools.

3.3.6 Policy mainstreaming

This project was implemented during a *unique window of opportunity* with global standards around SDGs and the three Rio Conventions for national data collection, cross-country guidance for environmental monitoring/management, and an approved national Law on Planning in 2017, amended Law on Statistics in 2015. The cross-sector work on SDGs and national planning are also representing mainstreaming . Nonetheless, while the project demonstrated subnational level mainstreaming in one province, much more is needed to take it to scale, including building cross-sectoral consensus and ownership and policy momentum and entrenching a public capacity building plan for all province and national departments for sustainability.

The project was aligned in support of Outcome 1.4 of the 2012-2016 United Nations One Plan in Viet Nam: *by 2016, key national and subnational agencies, in partnership with the private sector and communities, implemented and monitored laws, policies, and programmes for more efficient use of natural resources and environmental management, and implemented commitments under international conventions.* More specifically, under Outcome 1.4, the project directly contributed to the outputs 1.4.2. under the One UN Plan: *A set of coherent policies and plans was prepared or updated to strengthen (i)*

management of protected areas and biodiversity conservation and (ii) environment management at national and community levels.

The project's targets were very specific in terms of *enhancing the capacity for implementing the three Rio Conventions by developing and applying tools that will lead to global environmental benefits*. The potential impacts of improved management on gender roles in environmental protection and/or gender roles in the society of Viet Nam at large are well beyond the scope of this project. In this context, however, *it must be noted that the project has taken some measures to address gender inequalities and empowering women*. The leader of PSC was a woman, and the project coordinator and senior official of the ISPONRE was also a woman. Up to 40% of participants of training courses provided by the project were female. *Viet Nam's Gender Development Index shows that the country is making some progress closing the gap in gender inequality. However, in the area of women's leadership, the rates in the public sector are low (UNDP, 2012), and in fact, most of officials interviewed for this evaluation report were men.*

3.3.7 Sustainability

The project overall sustainability is rated *likely*. The financial and institutional dimensions of sustainability are considered *likely*, as the current legal and regulatory framework does indeed enable good environment for environmental protection in Viet Nam. Moreover, sustained state and donor support for environmental protection is very likely. The socio-economic and environmental dimensions of sustainability are assessed as *likely* as the level of threats to environmental problems in Viet Nam is likely to increase over the next decade due to population growth, economic development and the vulnerability of Viet Nam's environment.

Financial risk

The project has done its work, successfully contributing to policy and decision-making, and succeeding in securing the enactment of various legal instruments of national or local scope that enabled the three Rio Conventions implementation and integrating global environmental concerns into its national strategic planning and development processes through the following means:

- Working with a range of partners,
- Building on existing initiatives and stakeholders,
- Ensuring all aims and outputs are pragmatic and realistic,
- Ensuring the project is aligned with political processes and developing political support,
- Capacity building and learning by doing.

These issues have been assessed above. In general, the project might do basic things, such as dissemination strategy and a national level workshop and/or a series of policy-science seminars on the results, to ensure the continuation and consolidation of the knowledge products and to mobilize interest in a phase two for a full scale-up-project linked to planning and MONRE and MARD.

Socio-economic risk

First, stakeholders at national and local level on the project sites expressed their support for the three Rio Conventions implementation and integrating global environmental concerns into its national strategic planning and development processes. However, the understanding of the three Rio Conventions and integrating global environmental concerning national strategic planning and development processes is different among stakeholders.

Second, the population of Viet Nam increased from 52.7 million to 92 million people during the period 1979-2016, and it is projected to increase to about 122 million people by 2050. With population density surpassing 240 people per km² in some areas, Viet Nam is facing serious environmental problems, such as water and air pollution from factories and households, contaminated water sources due to overuse of chemical fertilizer and pesticide in farming, and biodiversity loss, etc. At the same time, Viet Nam's

economy keeps on growing, creating benefits in terms of increasing welfare and opportunities for the society, but it is also increasing consumption of natural resources (MONRE, 2014) that will likely increase pressure on natural resources and the environment.

Institutional and governance risk

The project has contributed to the enabling environment with legal documents approval. These important decisions/laws provide the foundation for monitoring/replication (i.e. Decisions 5018/QD-BNN-TCLN from 6 December 2017 of MARD on approving the “Proposal on voluntary land degradation neutrality target setting in Viet Nam in the period of 2017–2020 with vision to 2030”; Decision 38/NQ-CP from 9 May 2018 on “Land use planning for Ha Giang to 2020 and land use planning for the last 5 years (2016-2020)”, and a no objection decision of MONRE in 2018 on the office of climate change to support the work of UNFCCC. The government decision on list of indicators will also provide the basis for scale-up and help implement in 63 provinces of Viet Nam.

Moreover, technical capacities among environmental protection agencies and staff involved in the environmental management are gradually increasing with the support of this project, among others. However, there are still important differences among the staff at different levels. More is now needed to build cross-sectoral consensus and ownership of the next phase, including building policy momentum and entrenching a longer-term capacity building plan for sustainability.

Environmental risk

Based on the recent environmental screening, meetings with environmental specialists and officials of international institutions involved in environmental programs, the following are some of environmental issues facing the country:

- Loss of habitat and biodiversity as a result of changes in land use,
- Increased demand for energy,
- Soil degradation caused by compaction, loss of nutrients, and erosion,
- Degradation of freshwater resources and increase in the risk of waterborne disease,
- Reduction in the quantity of freshwater resources caused by increased use,
- Increased greenhouse gas emissions,
- Increases in solid, liquid and organic waste,
- Degradation of environmental quality and effects on human health due to the misuse and overuse of fertilizers and pesticides.

The current policy and regulatory framework in Viet Nam offers sufficient support for effective environmental protection and sustainable development. However, there is a risk of environmental objectives having lower priority in front of development goals. For instance, in 2008, about 100 km² of primary dipterocarp rain forest of the Annamite range were lost to a rubber plantation, under a government MONRE plan (2014).

3.3.8 Impact

The project impact is rated as *significant*. This project’s support for the strengthening the capacity for implementing the three Rio Conventions has laid foundations for future impacts, making an enormous contribution by developing and demonstrating the application of tools that will eventually lead to national and global environmental benefits. While policy-making itself is a function of government (central and local) and a complex process in Viet Nam, the project approach and efforts, together with other initiatives implemented in parallel and supported by different development partners, have contributed to the strengthening of environment.

4. Conclusions, recommendations and lessons learned

The project made significant contributions in terms of piloting tools and integrating global environmental concerns into its national strategic planning and development processes, including developing a pilot case study to showcase. Several things need to happen before the project can be formally closed. While it produced a series of publications in different case studies, the tools, documentation, and sharing should continue. The natural capital platform would be a good way to continue sharing the knowledge products with documentation of the pilot as an academic public policy-type showcase study. The tools and cases might be included in a post project dissemination strategy with all the knowledge products and tools. The project should develop a formal exit strategy. *It was phase one of a much larger capacity building strategy, taking consideration of the three levels of capacity needed toward transformative results.*

Lessons learned

Key Lessons: *issues relating to relevance, performance and success*

Capacity building is central to mainstreaming of global environmental concerns into planning processes including linking to SDGs. Capacity building requires a technically guided systems approach and an up-to-date baseline. The SDGs offer a unique opportunity to garner political momentum for environmental monitoring and mainstreaming.

Participation of the three Rio Conventions focal point is required in project monitoring and guided technical learning.

Close collaboration with different development partners/initiatives is important to ensure the synergy/resources to archive project objectives.

Design and Formulation

- Good project design with smart measurable indicators and TOCs (causal pathways) are critical for realizing results-based management.
- The project log frame is a monitoring tool, and it should be used by oversight mechanisms.
- The SDGs presented a unique window of opportunity to advance policy and capacity building results and to get momentum for advancing work on monitoring and institutional capacity development.

Project Implementation and Results

- Technical committees are very critical for technical projects involving technical departments.
- Risk informed capacity needs assessments are very important for setting project baseline and targeting the level of capacities needed for transformative results, i.e. organizational, institutional, and individual.
- As a capacity building project, this project required a basic level of capacity to build capacity. For instance, in order to strengthen capacity at ministries and provinces, the concerned ministries needed to first institute the practice of providing technical and learning support to provinces and other stakeholders.
- Having a strong communication and learning strategy is key for achieving teamwork and ownership of implementation and results. As a priority, using simple language is the best way to convey what the project is attempting to do in Viet Nam. This project was to contribute to implementing the three Rio Conventions, to learn about them, and to implement them in practice. The project needed to convey simply and effectively what it intended to do to help Viet Nam use the knowledge and norms as set by the conventions to effectively mainstream and develop relevant indicators for national and international reporting, keeping the environment under review.
- All agencies/stakeholders involved needed to start with a common understanding of the extent to which the chosen issues and indicators represent changes in the real world and of the limitations and factors affecting those changes.
- It takes a long-term capacity development strategy to transform tools and guidance products towards impacts.
- The Steering Committee can be used as a policy advocacy mechanism.
- The Technical Committee is a good way to build consensus and get cross-sector buy in of projects.
- To represent their stakes and interest as well as to achieve policy buy in and sustainability, it is important to ensure that key stakeholders in a cross-sectoral and interdisciplinary project are identified and involved at a very early stage in the project design process.

Sustainability/Scale up

- The project has been very helpful for both Ha Giang and the GDLA in terms of methodology and capacity building for environmental mainstreaming to support LUP planning. Further efforts and capacity need to

Key Lessons: <i>issues relating to relevance, performance and success</i>	
	<p>be built at district and lower levels to build institutional capacity for environmental assessment and monitoring LUP at district level</p> <ul style="list-style-type: none"> ▪ The scaling-up activities are not fully ready for further implementation as only one pilot study for Ha Giang has been completed. Ha Giang is typical of northern mountainous region. For the potential of the pilot and scaling, more pilot studies in other geographical regions and a greater partnership approach to learning objectives at the central level are needed. For example, more pilots should be done at the coastal, river delta, etc. to draw the lessons learned and build capacity for norms and tools. ▪ A systematic approach to the technical capacity building guide (three levels: individual, institutional, and organizational) with an up-to-date capacity needs assessment on environmental mainstreaming is needed at all levels, central, provincial, and district, and specific guidelines, indicators, and standards for environmental and climate change mainstreaming are needed to ensure that the key issues will be integrated in national and provincial strategies and plans.

Recommendations

	Recommendations	Responsible Entities
1	Present project results with development partners and pitch for a full-scale capacity development project for monitoring sustainable development involving ISPONRE as a knowledge manager and technical capacity building and training supporter.	UNDP/GEF/PMU
2	UNDP/GOV/GEF use project results to advocate for further work on a full set of environmental management indicators (using three Rio Conventions as benchmark standards) and to develop a monitoring system including information management for sustainable development in Viet Nam, using the three Rio Conventions and SDG as an entry point to advance knowledge and monitoring work already started.	UNDP/GEF/GOV
3	Partner with the academic community and the education ministry to develop a training package for ecosystem services and integrated planning for public servants and for public at large.	UNDP/GEF/UV
4	Develop a dissemination and communications strategy for knowledge products.	UNDP/GEF/PMU
5	Take forward the natural capital learning platform and host activities for broader public and private sector awareness of the three Rio Conventions and SDGs and building national monitoring systems. Take this work forward on the natural capital platform as a potential learning platform.	UNDP/GEF/ISPORE
6	Involve key actors and sectors in designing and implementing the follow-up initiative, including planning, education, financial, and industry ministries in activities. New projects can lead from behind, i.e. build capacity for policy actions with these ministries on board and actively involved in capacity development activities.	UNDP/GOV

Annex 1. Terms of reference

Terminal evaluation terms of reference

Introduction

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the Project “*Enhancing Capacity for Implementing Rio Conventions*” (PIMS #.5099)

The essentials of the project to be evaluated are as follows:

Project summary table

Project Title:		Enhancing capacity for implementing Rio conventions		
GEF Project ID:	5097		<u>at endorsement (US\$)</u>	<u>at completion (US\$)</u>
UNDP Project ID:	00089760	GEF financing:	975,000	975,000
Country:	Viet Nam	IA/EA own:	725,000	725,000
Region:	Asia and the Pacific	Government:	440,000	(TBC)
Focal Area:	Multi-Focal Areas	Other:	179,646	179,646
Focal Area Objectives (OP/SP):	CD2: to generate, access and use information and knowledge CD3: to strengthen capacities to develop policy and legislative frameworks	Total co-financing:	1,344,646	(TBC)
Executing Agency:	Ministry of Natural Resources & Environment (MONRE)	Total Project Cost:	2,579,646	(TBC)
Other Partners involved:	Institute of Strategy and Policy on Natural resources and environment (ISPONRE) Viet Nam Environment Administration (VEA) Rio Convention Focal Points The General Directorate of Land Administration (GDLA) Ha Giang and Ha Tinh's DONREs	ProDoc Signature (date project began):		18 August 2015
		(Operational) Closing Date:	Proposed: 18 August 2018	Actual: September 2018

Objective and scope

The National Capacity Self-Assessment set out the barriers to implementing the Rio Conventions and the capacity needs. This project builds directly on the NCSA findings and recommendations, addressing many of the important capacity needs identified therein. Capacity development, notably at the provincial level, will be a key force running through all Outputs of the following two Outcomes:

- **Outcome 1: Viet Nam has the environmental management tools that fully address global environmental concerns.**
- **Outcome 2: Viet Nam is integrating global environmental concerns into its national strategic planning and development processes.**

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of

UNDP programming.

Evaluation approach and method

An overall approach and method⁹ for conducting project terminal evaluations of UNDP supported GEF financed projects have developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects. A set of questions covering each of these criteria have been drafted and are included with this TOR (*Annex C*) The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to Ha Giang province. Interviews will be held with the following organizations and individuals at a minimum:

- The RIO Project Management Board
- The Institute for Strategy and Policies on Natural Resources and Environment
- The Department of Climate Change (UNFCCC Focal Point)
- The Viet Nam Environment Administration (VEA)
- The Biodiversity Conservation Agency (UNCBD Focal Point)
- Department of International Cooperation – Vietnam Administration of Forestry (UNCCD Focal Point)
- The Ha Giang DONRE
- The General Directorate of Land Administration (GDLA): Land Planning Agency and Land Registration and Inventory Agency

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in Annex B of this Terms of Reference.

Evaluation criteria & ratings

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework, which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: relevance, effectiveness, efficiency, sustainability and impact. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in Annex D.

Project finance / cofinance

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

⁹ For additional information on methods, see the Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 7, pg. 163

Co-financing (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants	725,000	725,000	440,000	(TBC)	179,646	(TBC)	1,344,646	(TBC)
Loans/Concessions	-		-		-		-	-
In-kind support			150,000	TBC			150,000	TBC
Other	-		-		-		-	
Totals	725,000	725,000	590,000	TBC	179,646	(TBC)	1,494,646	(TBC)

Mainstreaming

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

Impact

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.

Conclusions, recommendations & lessons

The evaluation report must include a chapter providing a set of conclusions, recommendations and lessons.

Implementation arrangements

The principal responsibility for managing this evaluation resides with the UNDP CO in Viet Nam. The UNDP CO will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team, and support to VISA application if requested by the Consultant. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

Evaluation timeframe

The total duration of the evaluation will be over a time period of 10 weeks (25 days for IC and 25 for NC) according to the following plan:

Activity	Timing		Completion Date
	International consultant (Team leader)	National consultant	
Preparation	2 days	2 days	15 September, 2018
Evaluation Mission	12 days	12 days	30 September, 2018
Draft Evaluation Report	8 days	8 days	10 October, 2018
Final Report	3 days	3 days	30 October, 2018

Evaluation deliverables

The evaluation team is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
Inception Report	Evaluator provides clarifications on timing and method	No later than 2 weeks before the evaluation mission: 15 September, 2018	Evaluator submits to UNDP CO
Presentation	Initial Findings	End of evaluation mission: 30 September , 2018	To project management, UNDP CO
Draft Final Report	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission: 10 October, 2018	Sent to CO, reviewed by RTA, PCU, GEF OFPs
Final Report*	Revised report	Within 1 week of receiving UNDP comments on draft: 30 October, 2018	Sent to CO for uploading to UNDP ERC.

*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

Team composition

The evaluation team will be composed of 01 international consultant (team leader) for 25 days and 01 national consultant for 25 days. The consultants shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

1. The Team members must present the following qualifications:
 - At least Master's Degree in Climate and Environment, Natural Resources, Land Administration or relevant areas.
 - Minimum 10 years of relevant professional experience
 - Knowledge of UNDP and GEF and
 - Knowledge of Rio conventions related areas.
 - Previous experience with results-based monitoring and evaluation methodologies
 - Technical knowledge in the targeted multi- focal area(s) of climate change, land degradation, and biodiversity conservation
 - Experience in environmental/biodiversity strategic/land use planning
 - Experience with the IUCN Red List and plant and animal taxonomy in Viet Nam desired
 - Excellent command of the English language (oral and written)

Evaluator ethics

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles out- lined in the [UNEG 'Ethical Guidelines for Evaluations'](#)

Annex 2. Mission itinerary/Stakeholders interviewed

Time	Activities	Participants	Venue
Monday, 7 January 2019			
14.00 - 15.30	Meeting with UNCCD focal point – Vietnam Administration of Forestry, MARD	<ul style="list-style-type: none"> Mr. Nguyen Phu Hung - UNCCD focal point Ms. Stephanie Hodge - International consultant Ms. Le Ha Thanh - National consultant 	UNCCD office
Thursday, 8 January 2019			
8.30 - 10.00	Opening meeting to discuss 1) planning for the Terminal Evaluation and 2) project's results	<ul style="list-style-type: none"> Mr. Nguyen Trung Thang - Project director, ISPONRE Ms. Kim Thi Thuy Ngoc - Project manager, ISPONRE Mr. Nguyen Anh Tuan - Project officer, ISPONRE Ms. Stephanie Hodge - International consultant Ms. Le Ha Thanh - National consultant 	ISPONRE office
10.30 - 11.30	Meeting with UNCBD focal point – Biodiversity Conservation Agency (BCA), MONRE	<ul style="list-style-type: none"> Ms. Nguyen Ngoc Linh - Representative UNCBD focal point Ms. Stephanie Hodge - International consultant Ms. Le Ha Thanh - National consultant 	BCA office
14:00 - 15.30	Meeting with UNFCCC focal point – Department of Climate Change, MONRE	<ul style="list-style-type: none"> Mr. Mr. Pham Van Tan – UNFCCC focal point, Deputy director general, Department of Climate Change, MONRE Ms. Chu Thi Thanh Huong, Deputy director Division of science, technology and international cooperation, SP-RCC secretary Ms. Stephanie Hodge - International consultant Ms. Le Ha Thanh - National consultant 	UNFCCC office
Wednesday, 9 January 2019			
8.30 - 9.30	Meeting with Vietnam Environment Administration (VEA), MONRE	<ul style="list-style-type: none"> Mr. Dang Quoc Thang - Deputy chief of VEA office Ms. Stephanie Hodge - International consultant Ms. Le Ha Thanh - National consultant 	VEA office
10.00-11.30	Meeting with WWF	<ul style="list-style-type: none"> Mr. Hoang Viet - Program coordinator water and climate change Ms. Stephanie Hodge - International consultant Ms. Le Ha Thanh - National consultant 	WWF office
14.00-15.30	Meeting with Center for land investigation and planning, General Department of Land Administration, MONRE	<ul style="list-style-type: none"> Mr. Nguyen Duc Hung, Vice director Ms. Stephanie Hodge - International consultant Ms. Le Ha Thanh - National consultant 	Center for land investigation and planning
Thursday, 10 January 2019			
9.30 - 10.30	Meeting with Center for natural resources and environmental studies (CRES), Hanoi National University	<ul style="list-style-type: none"> Mr. Vo Thanh Son - Vice director Mr. Nguyen Thi Van Hue - Staff Ms. Stephanie Hodge - International consultant Ms. Le Ha Thanh - National consultant 	CRES office
13.30	Internal work of consulting team	<ul style="list-style-type: none"> Ms. Stephanie Hodge - International consultant 	

Time	Activities	Participants	Venue
		<ul style="list-style-type: none"> • Ms. Le Ha Thanh - National consultant 	
Friday, 11 January 2019			
10.00 - 12.00	Wrap up meeting and presentation of initial findings	<ul style="list-style-type: none"> • Mr. Nguyen Trung Thang - Project director, ISPONRE • Ms. Kim Thi Thuy Ngoc - Project manager, ISPONRE • Mr. Nguyen Anh Tuan - Project officer, ISPONRE • Mr. Dao Khanh Tung - UNDP officer • Ms. Stephanie Hodge - International consultant • Ms. Le Ha Thanh - National consultant 	UNDP office

Annex 3. Summary of field visits

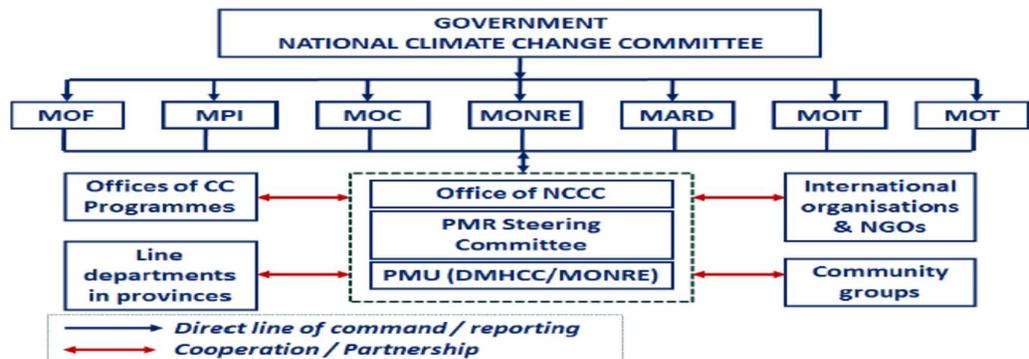
Meeting 1

Climate Change Department

1.1 Role and responsibility of the interviewee

- Department of Climate change (former name Department of Meteorology, Hydrology and Climate change till 2018) is an organization under MONRE, responsible for state management over climate change issues. The interviewee is among four vice directors of Department responsible for international cooperation.

[NOTE] The institutional arrangement for climate change in Vietnam



1.2 The project activities with UNFCCC and impact

The context

Vietnam signed the UNFCCC in 1992 and ratified it in 1994; signed the Montreal Protocol in 1994, the Kyoto Protocol (KP) in 1998 and ratified it in 2002; set up a National Steering Committee to implement the UNFCCC and KP; submitted to the UNFCCC Secretariat its Initial National Communication (2003), the Second National Communication (2010), and the Initial Biennial Update Report (2014), reflecting the latest climate change response efforts and GHG inventories. Vietnam ratified the Paris Agreement on Climate change in 2016. In the past there were three organs under Department of CC responsible for UNFCCC, Kyoto Protocol, and Paris Agreement.

The process

UNFCCC focal point was involved in the project design phase. The Rio project team asked the Department of CC and UNFCCC about their needs. At that time the main issue for Department of CC was organizational. The Rio project has supported the UNFCCC Focal Point to Review the organization and implementation structure of UNFCCC in Viet Nam and provide some suggestions for improvement. Accordingly, the study has (i) Review legal documents related to the implementation of the UNFCCC, the Kyoto Protocol and the Paris Agreement on Climate Change; and (ii) Evaluating the implementation of the UNFCCC, the Kyoto Protocol and the Paris Climate Change Agreement in Viet Nam. During the implementation, the consultant team agreed with the UNFCCC focal point on the findings of the study and provided with specific recommendations to improve the institution and promote the work of the UNFCCC in Viet Nam.

The result

With the support from the Rio project, Department of CC has submitted the proposal to MONRE Minister on establishing National office of CC by merging 3 organs (UNFCCC, Kyoto Protocol and Paris Agreement) → **There is no official decision from MONRE leaders on the establishment of this new organ. The process is as follows: Department of CC submitted the proposal to MONRE leaders. MONRE leaders gave no objection to this.**

There were no other activities of Rio project with UNFCCC. No indicator from UNFCCC was integrated into EPI. UNFCCC has not been involved in piloting the application of EPI at provincial level etc. No policy dialogue has been organized.

Note: PMU stated however that there are CC-related indicators in the EPI such as forest coverage, waste management etc., but they are key environmental indicators and UNFCCC focal point is not responsible for these indicators (Forest is under MARD's function and waste is under function of VEA, etc.)

1.3 Opportunities and Challenges

- GoV and MONRE give priority to climate change issue. The National Climate change committee is now headed by Prime Minister.
- There is high demand on technical support in formulation of legal framework and capacity building to deal with climate change.
- There has been limited monitoring of climate change related policy actions and their integration with other existing sectoral plans and policies.
- The UNFCCC has not been involved in designing EPI. Even serving a member of PSC, Mr. Tan has not paid much attention to the EPI.

Coordination and management issue:

As noted by interviewee, the PSC, which is the main project oversight mechanism, has only met once per year during the project implementation period. Mobilization of members of the PSC must be substantial with sufficient time and opportunities provided for contact and input.

Note: PMU stated that for PSC meetings, reports and documents are sent to PSC members a week before the meeting. PSC members are busy; some did not participate in the meeting.

The major shortcoming in the project's partnership approach thus far in the involvement of stakeholders including 3 UN focal points in terms of achieving the project results is not sufficient enough. The project appears to have been effective in collaborating with some stakeholders (Consultants, researches, provinces etc.) on some technical issues, it has remained as entirely separate entity that are managing distinct activities within the project. It should be noted that responsibility for this problem does not lie with the technical staff, but rather with project management and approach.

To ensure the proper and effective coordination and collaboration among various stakeholders, the role of PSC should be strengthened.

There are a number of good experiences in project management and oversight mechanism, such as establishment of a project technical committee. Experiences from GCF and National Determined Contribution, SP-RCC program should be served as valuable lessons for Rio project.

1.4 Sustainability of the project and some recommendations

- The project is helpful for UNFCCC focal point to deal with organizational issue.
- There are some shortcomings in project's coordination and management mechanism. Given the challenges of this complex project, and the need for high level policy support to successfully address the policy, regulatory objectives of the project, more frequent meetings of the PSC would likely have been helpful not only in ensuring that the project was on track, but also in getting PSC members to actively involve themselves at a high level in promoting project objectives. The role of PSC should be strengthened.
- There is a need to ensure the proper and effective coordination and collaboration among various stakeholders especially the three Rio Conventions UN focal points.
- There are a number of good experiences in project management and oversight mechanism, such as establishment of a project technical committee. Experiences from GCF and National Determined Contribution, SP-RCC program should be served as valuable lessons for Rio project.

- To ensure the sustainability of the project, the project's results/indicators should be legalized and ready for further scaling up and implementation.

Meeting 2

Center for Land investigation and planning

Role and responsibility of the interviewee

- Interviewee is the vice director of Center for land investigation and planning (Center). The Center is a public non-business unit under the General Department of Land Administration with the main functions of making and adjusting land use planning and plans; investigation and evaluation of land resources; monitoring land resources; performing other activities according to the requirements of state management on land; providing service activities in the field of land in accordance with the law including provincial land use planning. Mr. Hung leads the revised land use planning for Ha Giang.

2.2 The project activities and impact

- The Land Law approved by the National Assembly in 2013 (Law No. 45/2013/QH13), and several other legal documents pertaining to Land use planning (LUP), including the Law on Natural Disaster Prevention and Control in 2013 (Law No. 33/2013/QH13), new Planning Law in 2017 (Law No. 21/2017/QH14) (law will take effect from January 1, 2019), Decree 43/2014/ND-CP guiding the implementation of the Land Law have provided a solid foundation for land use planning and management in Vietnam. According to these documents environmental protection, effective natural resources use, natural disaster prevention and climate changes issues should be integrated in LUP. However specific guidelines, indicators and standards for environmental and climate change mainstreaming to ensure that the key issues will be integrated in national, provincial strategies and plans are not in place.
- Project has supported Ha Giang province to mainstream global environmental issues (biodiversity, climate change, landslides and degradation) into the process of revising land use planning to 2020 and land-use planning for the last 5 years (2016-2020) through the development of land use plans in the context of climate change in the locality, limiting the impact of land use options on ecosystems and multi-biological types. More specifically 3 Rio project provided with following supports/activities to Ha Giang through the work of the Center:
 - Review provincial LUP to understand the approaches and tools currently used for mainstreaming environmental issues in to LUP
 - Work with local authorities (i.e. PPC, DONRE) to get agreement on the LUP supports, detail work plan for provincial LUP.
 - Work with LUP drafting team of the province to identify the interventions for environmental mainstreaming in different stages of LUP
 - Have a system of land degradation maps at provincial level
 - Support the drafting team to prepare enhanced LUP with environmental consideration
 - Support provincial authorities to consult with related stakeholders on LUP with environmental considerations
 - Prepare report on LUP mainstreaming process and assessment report on general capacity building, and data, needs within provincial departments for mainstreaming environmental considerations into LUP using ecosystem service valuation tool and outline the requisite training program requirements.
- **Provincial land use planning has been approved by the GoV under the Resolution No. 38/NQ-CP from 09 May 2018.**
- The reason for choosing Ha Giang as 3 Rio project site is that Ha Giang is a northern mountainous province which is rich in biodiversity but vulnerable for climate change and land degradation. The leaders of Ha Giang PPC give priority to environmental and climate change issue.

2.3 Opportunities and Challenges

- The LUP team received strong supports from provincial PPC.
- There has been limited capacity on environmental mainstreaming at both central (General department of land administration, MONRE and provincial levels). With the supports of the project, capacity has been improved for around 10 people joining the LUP team (both staff of Center and local staff of Ha Giang).

2.4 Sustainability of the project and some recommendations

- The project is helpful for both Ha Giang and the Center in terms of methodology and capacity building for environmental mainstreaming to support LUP planning.
- The LUP is just at provincial level. Further efforts and capacity need to be built at district and lower levels to own LUP at district level.
- The scaling up activities are not fully ready for further implementation as only one pilot study for Ha Giang has been completed. Ha Giang is typical for northern mountainous region. For better replacement, more pilot studies in other geographical regions for example coastal, river delta etc. should be done to draw the lessons learned.
- Further technical capacity building on environmental mainstreaming at all level central, provincial and district and specific guidelines, indicators and standards for environmental and climate change mainstreaming to ensure that the key issues will be integrated in national, provincial strategies and plans need to be done.

Meeting 3

Viet Nam Environment Administration (VEA), MONRE

Role and responsibility of the interviewee

The project activities and impact

3 Rio project has supported VEA in following activities:

- PMU has coordinated with VEA to propose a set of environmental indicators as a basis for developing the “*Decision on the set of indicators and procedures for assessing and ranking the environmental protection results of the provinces*” by providing VEA with the report to review the present set of environmental indicators in Viet Nam and international best practices on EPI.
- To co-organize two consultation workshops on EPI in 2017 (one in Hai Phong and another in HCMC).
- VEA is also benefiting from past ISPONRE’s work/study on EPI. Mr. Thang is not so sure if the ISPONRE’s work/study on EPI is under the 3 Rio project or not.

According to the interviewee, the 3 Rio project plays important supporting role in developing EPI by providing background paper on international best practices in EPI and lessons learned for Vietnam. However the approach of 3 Rio project on EPI somehow differs from what VEA would like to do. The EPI developed by VEA is mostly on environmental protection results and achievements, while EPI initiated by 3 Rio project and past ISPONRE’s study focused mostly on environmental quality based on the Yale University’s approach. More over 3 Rio conventions and indicators are not included in the EPI of VEA since they are not the focus of VEA work. This issue has been raised in the second meeting of PSC on 20 January 2017. Madam Nguyen Thi Phuong Hoa, chairwoman of PSC concluded that EPI of VEA should strictly follow the regulations of GoV. PMU in collaboration with UNDP may work on other independent set of environmental indicators for reference purpose. This issue should be reported to MONRE’s vice minister responsible for environment for further guidance.

Currently, the EPI developed by VEA has 2 main components: (i) one related environmental protection results/performance and covered 65% of total marks and (ii) the other related citizen's satisfaction on public environmental services and was equal to 35% of total marks. The information on first component will be collected and reported by provincial government, while the other will be based on the citizen's survey.

The first version of EPI developed by VEA in 2017 consisted of 27 indicators, and the second revision in 2018 consisted of 24 indicators (22 indicators for component 1 and 2 - for component 2). Among these 24 indicators developed by VEA, 14 indicators are the same as in EPI initiated by PMU. Two pilot studies on EPI testing were conducted by VEA in 2017 and 2018 to adjust the set of indicators. Meanwhile as reported by PMU, under the *Activity 1.3.1 Support piloting and introduction of Viet Nam EPI*, the project has signed a contract with Centre for Environmental Monitoring (CEM) in 2016 to collect data for EPI calculation on water surface quality in 63 provinces in Vietnam and developed EPI indicators covering land degradation and biodiversity (i.e. mangrove) support the reporting requirement of CBD and CCD focal point in 2017.

3.3 Opportunities and Challenges

- GoV and MONRE give priority to EPI. Draft "*Decision on the set of indicators and procedures for assessing and ranking the environmental protection results of the provinces*" has been submitted by VEA to MONRE minister for approval twice (one in 2017 and the other in August 2018). Further improvement need to be done in terms of implementation and reporting mechanism.
- Under the project, there have been no or few activities on capacity building and trainings to implement the EPI.
- Coordination and management issue: Project's stakeholders, VEA and policy makers should be deeper involved to solve the real practical issue
- Improve the quality of research to better support the decision making process

3.4 Sustainability of the project and some recommendations

- The project is supportive.
- There are some shortcomings in project's coordination and management mechanism. The role of PSC should be strengthened. The establishment of technical committee and proper and effective coordination and collaboration among various stakeholders are of great importance.
- More supports on capacity building and trainings are needed to implement the EPI
- Long-term consultancy and better cooperation with consultants are essential to support decision making process.

Annex 4. Documents reviewed

No.	Activity	Content	Project reports/outputs	Document provision status
OUTPUT 1.1				
1	Activity 1.1.1	Process of reviewing the present sets of environmental indicators in Viet Nam and internationally for reporting on Three Rio Conventions and relevant SDGs	1. TOR 2. Final report	DONE
2	Activity 1.1.2	Propose a comprehensive set of indicators for monitoring the national and global environment issues under the Three Rio Conventions and that reflect the SDG Targets	1. TOR 2. Final report	DONE
3	Activity 1.1.3	Supported GEF focal point to update the information on the GEF website	1. TOR 2. Final report	DONE
OUTPUT 1.2				
1	Activity 1.2.1	Review report of national and international best practices on using economic valuation of ecosystem services to support policy and decision-making	1. TOR 2. Final report	DONE
2	Activity 1.2.2	Prepare manual on conducting economic valuation of ecosystem services	1. TOR 2. Final report/Publication	DONE
3	Activity 1.2.3	Provide training and guidance for national level decision makers	1. Agenda 2. Presentations 3. Minutes 4. Communication materials	DONE
4	Activity 1.2.4	Provide training on economic valuation of ecosystem services for a number of provinces	1. Agenda 2. Presentations 3. Minutes 4. Communication materials	DONE
5	Activity 1.2.5	Support a policy dialogue/forum to inform policy makers	1. Agenda 2. Presentations 3. Minutes	DONE
6	Activity 1.2.6	Produce policy briefs/ communication materials	1. ES Manual 2. International laws 3. Policy briefs 4. Communication materials of ecosystem services valuation	DONE

No.	Activity	Content	Project reports/outputs	Document provision status
OUTPUT 1.3				
1	Activity 1.3.1.1 (2016)	Collect data for EPI calculation on water surface quality in 63 provinces in Viet Nam	1. TOR	DONE
	Activity 1.3.1.2 (2016)	Calculation EPI water quality in Viet Nam	2. Final report	
2	Activity 1.3.1.1 (2017)	Data collection and calculation of EPI relating to land degradation and biodiversity in Viet Nam	1. TOR 2. Final report	DONE
OUTPUT 2.1				
1	Activity 2.1.1.1	Review the organization and implementation structure of UNFCCC in Viet Nam and provide solutions for improvement	1. TOR 2. Final report	DONE
2	Activity 2.1.1.2	Natural capital assessment for Master Planning in Mekong Delta	1. TOR 2. Final report	DONE
3	Activity 2.1.2	Support to develop government proposal on enhancing regional collaboration in NRE management and climate change response	1. TOR 2. Final report	DONE
OUTPUT 2.2				
1	Activity 2.2.1.1	Review of provincial land use planning to identify the entry points for mainstreaming	1. TOR 2. Final report	DONE
2	Activity 2.2.1.2	Support one pilot province to mainstream/apply tools into provincial planning	1. TOR 2. Final report	DONE
2	Activity 2.2.2	Support preparation of guideline on environmental protection planning (EPP)	1. TOR	DONE
		Support implementation of EPP in Ha Tinh province	2. Final report	
OTHERS				
1	03 Rios Conventions			DONE
2	Annual Report			DONE
3	Inception Report			DONE
4	Lesson Learnt + QA Assessment			DONE
5	Project Document			DONE
6	Project Steering Committee Meetings			DONE
7	HPPMG			DONE

Check list

- PIF
- UNDP Initiation Plan
- UNDP Project Document
- UNDP Environmental and Social Screening results
- Project Inception Report

- All Project Implementation Reports (PIR's)
- Quarterly progress reports and work plans of the various implementation task teams
- Audit reports
- Finalized GEF focal area tracking Tools at CEO endorsement and Capacity Scorecards – Baseline and Terminal Results)
- Oversight mission reports
- All monitoring reports prepared by the project
- Financial and Administration guidelines used by Project Team
- The following documents will also be available:
- Project operational guidelines, manuals and systems
- UNDP country/countries programme document(s)
- Minutes of PSC – PMU Meetings and other meetings (i.e. Project Appraisal Committee meetings)

Annex 5. Evaluation question matrix

Evaluation questions	Indicators	Sources	Methodology
(include evaluative question(s))	(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)	(i.e. project documents, national policies or strategies, websites, project staff, project partners, data collected throughout the TE mission, etc.)	(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)
Relevance: How does the project related to the main objectives of the GEF focal area, and the environment and development priorities at the local, regional and national levels?			
<ul style="list-style-type: none"> • Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results? • To what extent is the project strategy in line with UNDP priorities? 	<ul style="list-style-type: none"> • Level of participation of the concerned agencies in project activities • Consistency with national strategies and policies. 	<ul style="list-style-type: none"> • Project documents • National policies and strategies 	<ul style="list-style-type: none"> • Desk review • Interviews with project team, UNDP and other partners.
<ul style="list-style-type: none"> • To what extent is the project aligned to the main objectives of the GEF focal area? 	<ul style="list-style-type: none"> • Consistency with GEF strategic objectives. 	<ul style="list-style-type: none"> • Project documents • GEF focal areas strategies and documents 	<ul style="list-style-type: none"> • Desk review • GEF website • Interviews with project team and UNDP
Effectiveness: Progress towards Results: To what extent have the expected outcomes and objectives of the project been achieved? To what extent have the expected outcomes and objectives of the project been achieved thus far?			
<ul style="list-style-type: none"> • Has the project been effective in achieving its expected outcomes? 	<ul style="list-style-type: none"> • See indicators in project document results framework. 	<ul style="list-style-type: none"> • Project document • Project team and stakeholder • Data reported in project annual and quarterly reports 	<ul style="list-style-type: none"> • Desk review • Interviews with project team and relevant stakeholders
<ul style="list-style-type: none"> • Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? 	<ul style="list-style-type: none"> • Steering committee meetings • PMU and UNDP notes 	<ul style="list-style-type: none"> • Data collected throughout the evaluation 	<ul style="list-style-type: none"> • Desk review
<ul style="list-style-type: none"> • To what extent are project-level monitoring and evaluation systems, reporting, and project 	<ul style="list-style-type: none"> • Steering committee meetings • PMU and UNDP notes 	<ul style="list-style-type: none"> • Project document • Project team and stakeholder • Data reported in project annual and quarterly reports 	<ul style="list-style-type: none"> • Desk review • Interviews with project team and relevant stakeholders

Evaluation questions	Indicators	Sources	Methodology
communications supporting the project's implementation?			
<ul style="list-style-type: none"> To what extent have partnerships and linkages between institutions/organizations were encouraged and supported? What was the level of efficiency of cooperation and collaboration arrangements? 	<ul style="list-style-type: none"> Specific activities conducted to support the development of the cooperative arrangements between partners Examples of supported partnerships Evidence that particular partnerships /linkages will be sustainable Types/quality of partnerships cooperation methods utilized 	<ul style="list-style-type: none"> Project documents 	<ul style="list-style-type: none"> Desk review Interviews with project team and relevant stakeholders
Efficiency: Was the project implemented efficiently, in line with international and national norms and standards?			
<ul style="list-style-type: none"> Were the accounting and financial system in place and adequate for project management and producing accurate and timely information? Was the project efficient with respect to incremental cost criteria? Were progress reports produced accurately, timely and represented to reporting requirements including adaptive management changes? Was the project implementation as cost effective as originally proposed (planned vs. actual)? Was procurement carried out in a manner making efficient use of project resources? 	<ul style="list-style-type: none"> Availability and quality of financial and progress reports Timeliness and adequacy of reporting provided Level of discrepancy between planned and utilized financial expenditures Planned and actual fund leveraged Quality of actual funds leveraged Quality of results based management reporting (progress reporting, monitoring and evaluations) 	<ul style="list-style-type: none"> Project documents and evaluations UNDP Project team 	<ul style="list-style-type: none"> Document analysis Key interview
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			
To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			
<ul style="list-style-type: none"> How does the project support resource mobilization for the protected areas implementation? 	<ul style="list-style-type: none"> Amount of national budget allocation 	<ul style="list-style-type: none"> Legal regulation 	<ul style="list-style-type: none"> Document analysis

Evaluation questions	Indicators	Sources	Methodology
<ul style="list-style-type: none"> • How does the project support personnel allocation for the Three Rio and system approach to implementation? 	<ul style="list-style-type: none"> • Personnel allocation 	<ul style="list-style-type: none"> • Legal regulation 	<ul style="list-style-type: none"> • Document analysis
<ul style="list-style-type: none"> • To what extent is biodiversity conservation related issues considered in land use planning? 	<ul style="list-style-type: none"> • Government agencies aware and committee to Three Rio integration and sustainable development in Vietnam. • Legislation and planning documents show evidence of mainstreaming? 	<ul style="list-style-type: none"> • Legal regulation • Project document /reports 	<ul style="list-style-type: none"> • Document analysis • Interviews with stakeholders
<ul style="list-style-type: none"> • Are there any political risks that may threaten the sustainability of the project outcomes? 	<ul style="list-style-type: none"> • Government agencies aware of Three Rio? 	<ul style="list-style-type: none"> • Government policies 	<ul style="list-style-type: none"> • Analysis
Impact: Are there any indication that the project has contributed to, and enabled progress towards, reduced environmental stress and or improved ecological status?			
<ul style="list-style-type: none"> • Has the project strengthened local capacity? 	<ul style="list-style-type: none"> • Awareness and understanding of the global norms and standards and related conventions at the provincial level 	<ul style="list-style-type: none"> • Interviews • Provincial level plans /strategies 	<ul style="list-style-type: none"> • Interviews • Document analysis
<ul style="list-style-type: none"> • Has the project developed tools to support mainstreaming process? 	<ul style="list-style-type: none"> • Evidence of development of different tools to support the mainstreaming process 	<ul style="list-style-type: none"> • Interviews • Provincial level plans /strategies 	<ul style="list-style-type: none"> • Interview • Document analysis
<ul style="list-style-type: none"> • Has the project supported mainstreaming of global environmental concerns into system in Viet Nam? 	<ul style="list-style-type: none"> • Evidence of incorporation of Biodiversity, Climate change and land Degradation in planning processes at the provincial level. 	<ul style="list-style-type: none"> • Interviews • Provincial level plans /strategies 	<ul style="list-style-type: none"> • Interview • Document analysis

Annex 6. Log frame analysis

A. Full log frame analysis

Objective / Outcome	Indicator	Baseline	End-of-project target	Source of information	Level at 31 December 2018
To enhance the capacity for implementing the Rio Conventions by developing and applying tools that will lead to global environmental benefits.	<i>Quality National Reporting to Rio Conventions and SDG, with adequate representation of global environmental concerns</i>	<i>Reports for Rio Conventions submitted, but at times lacking quality and appropriate inclusion of global environmental concerns; No SDG reporting</i>	<i>National reports timely submitted, taking all relevant data into account</i>	<i>Project Reports National Reports (Rio, SDGs)</i>	In 2017, the project has supported focal points of UNCCD and UNCBD to collect and develop indicators of land degradation and biodiversity for the preparation of reports on the implementation of the conventions in Viet Nam. Indicators on mangrove forest has been used for reporting CBD implementation in Viet Nam EPI on land degradation was used to report to UNCCD Secretariat.
	Capacity Development Scorecard (CDS)	23	Increase by 30% to 30.	Project reports.	Achieved. More detail see Annex 10
Outcome 1: Vietnam has the environmental management tools that fully address global environmental concerns.	Set of indicators covering the Rio Conventions and relevant SDGs	<i>National Environmental Indicator set does not cover all parameters that are necessary for Rio and SDG reporting</i>	New set of indicators fully covers RCs and relevant SDG reporting requirements.	Project reports. <i>Proposed indicator sets National Rio and SDG reports</i>	PMU has coordinated with VEA to propose a set of environmental indicators as a basis for developing the ‘Decision on the set of indicators and procedures for assessing and ranking the environmental protection results of the provinces’ for implementation of Directive No.25/CT-Tag dated 31/8/2016 of the Prime Minister on a number of urgent tasks and solutions for environmental protection. Proposal of the national consultants and stakeholders have been taken in consideration to improve the set of national indicators, especially those covering parameters of the three Rio Conventions and relevant SDGs. Currently, the draft decision is being finalized for approval.
		<i>No manual</i>	<i>manual approved, available and used in MONRE and other relevant trainings</i>	Project reports. <i>Training Reports Guidelines</i>	<ul style="list-style-type: none"> Coordinated with Legal Department - MONRE to publish documents on ‘<i>International Environmental Law - Multilateral Environmental Agreements</i>’. The document has reviewed and updated the multilateral environmental agreements (MEA) in which Vietnam is a member.

Objective / Outcome	Indicator	Baseline	End-of-project target	Source of information	Level at 31 December 2018
			<i>Core group of trainers established and training for all relevant staff held Ecosystems valuation used in reporting and planning</i>		<ul style="list-style-type: none"> ▪ Designed and printed leaflets, policy briefs and standees of 'Introduction on Economic Valuation of Ecosystem Services' ▪ Developed resource book on 'Applying Ecosystem Service (ES) Valuation into Planning and Policy Making Process in Viet Nam' and used as ES manual and training materials during national/provincial training workshops. The resource book was approved by the Vice Minister of MONRE ▪ Published policy briefs (natural capital assessment; environmental protection planning; land-use planning).
	<i>EPI piloted and introduced</i>	<i>Feasibility study on Provincial EPI undertaken</i>	<i>EPI piloted and introduced widely available</i>	Project reports. <i>EPI reports;</i>	<p>To support the development and monitoring of EPI, in 2016, the project started collecting data for EPI calculation on water surface quality in 63 provinces in Viet Nam from 2013 to 2015. EPI calculation was processed, focusing on water quality, forest and air pollution.</p> <p>In 2017, the project has supported focal points of UNCCD and UNCBD to collect and develop indicators of land degradation and biodiversity for the preparation of reports on the implementation of the conventions in Viet Nam. In addition, UNCBD focal point has developed the baseline for land degradation, proposed and submitted to the Minister of MARD for approval 'Project on setting voluntary land degradation targets for Vietnam period 2017-2020 with vision 2030'.</p> <p>Currently, the comprehensive report and relevant data have been sent to the international consultant team for revising EPI Report for Vietnam.</p> <p>EPI report has been widely introduced to range of participants through consultation workshops/meetings</p>
<i>1.1 A set of national indicators to monitor environmental status and pressure proposed, in line with SDG and Rio Conventions Indicators</i>					<p>The project has completed:</p> <p>Activity 1.1.1 'Process of reviewing the present sets of environmental indicators in Viet Nam and</p>

Objective / Outcome	Indicator	Baseline	End-of-project target	Source of information	Level at 31 December 2018
<p>The following activities should be carried out:</p> <p>1.1.1: Review the present sets of environmental indicators in Viet Nam and internationally, for reporting on Rio Conventions and relevant SDGs</p> <p>1.1.2: Propose a comprehensive set of indicators for monitoring the national and global environment issues under the three Rio Conventions and that reflect the SDG Targets</p> <p>1.1.3: Train Convention focal points, provincial GSO and associated governmental and non-governmental partners on the application of the national environmental indicators sets in reporting → No information</p> <p>1.1.4: Support the understanding and selection of relevant national environmental indicators through awareness raising and advocacy</p> <p>1.1.4.1 Develop GEF Website to support information of 3 Rio Conventions</p> <p>1.1.4.2 Develop policy brief on environmental indicator (including linkage to advocate for SDG targets and Rio convention reporting indicators) → No information</p> <p>1.1.4.3 Publication of policy brief → No information – Changed to Activity 1.2.6</p> <p>1.1.4.4 Public awareness raising on environmental indicators → No information</p> <p>PMU comment</p> <p>These activities are taken from overall work plan in the inception report. However, when develop annual work plan, PMU has consulted with UNDP to change some activities for proper implementation. The adjusted activities do not affect the results of Output 1.1</p>					<p><i>internationally for reporting on the three Rio Conventions and relevant SDGs’</i> with the focus on: (i) reviewing of Rio Conventions reporting requirements; (ii) reviewing of environmental indicators in national and sectoral indicator system in Vietnam; (iii) identifying environmental indicators and its use; (iv) analyzing of Vietnam environmental indicators for international reporting.</p> <p>Activity 1.1.2 ‘Propose a comprehensive set of indicators for monitoring the national and global environment issues under the three Rio Conventions and that reflect the SDG Targets’. During the implementation, PMU has coordinated with the VEA to propose a set of environmental indicators as a basis for developing the ‘Decision on the set of indicators and procedures for assessing and ranking the environmental protection results of the provinces’ for implementation of Directive No.25/CT-TTg dated 31/8/2016 of the Prime Minister on a number of urgent tasks and solutions for environmental protection. The project also coordinated with VEA to organize technical meetings and two consultation workshops for the indicator set in the North and the South with participation of experts and relevant stakeholders. Proposal of the national consultants and stakeholders have been taken in consideration to improve the set of national indicators, especially those covering parameters of the Three Rio Conventions and relevant SDGs. Currently, the draft decision is being finalized for approval.</p> <p>Activity 1.1.3 ‘Train Convention focal points, provincial GSO and associated governmental and non-governmental partners on the application of the national environmental indicators set in reporting’. For detail see Annex 14 part B.</p>

Objective / Outcome	Indicator	Baseline	End-of-project target	Source of information	Level at 31 December 2018
					<p>During the implementation, the PMU has consulted with UNDP and proposed to the Minister of MONRE for revising project document (with some adjusted activities) based on the actual situation. The revised project document was approved in Decision No. 1234/QD-BTNMT dated 30 May, 2016 Thus, Activity 1.1.3 is omitted.</p> <p>Activity 1.1.4 ‘Support the understanding and selection of relevant national environmental indicators through awareness raising and advocacy’.</p> <p>The project supported GEF focal point (International Cooperation Department/MONRE) to update the information on the GEF website, integrating the results of the implementation of the three Rio conventions to disseminate information related to global environmental issues, including biological, climate change, and land degradation. At present, the GEF Vietnam Office has updated the information on the website integrating the results of the implementation of the three Rio Conventions.</p> <p>The environmental indicators have been introduced to related stakeholders in Viet Nam through 2 consultation/training workshops (1 in the North and 1 in the South of Viet Nam)</p>
<p>1.2. Economic valuation of environmental and natural resources, and capacity to undertake this valuation</p> <p>The following activities should be carried out:</p> <p>1.2.1: Review national & international best practices on using economic valuation of ecosystem services to support policy and decision-making</p> <p>1.2.2: Prepare manual on conducting economic valuation of ecosystem services</p> <p>1.2.2.1 Prepare manual to introduce economic valuation of ecosystem services</p> <p>1.2.2.3 Travel to selected provinces</p> <p>1.2.2.4 Focus group discussions</p> <p>1.2.2.5 Consultation Workshop</p> <p>1.2.3 Provide training and guidance for national level decision makers</p>					<p>The following activities have been carried out:</p> <p>Activity 1.2.1 ‘Review report of national and international best practices on using economic valuation of ecosystem services to support policy and decision-making’. The review report summarized best practices on using economic valuation of ecosystem services (ES) was finalized which has revised the best practices of ES valuation in Viet Nam and Southeast Asia countries and propose the outline for development of valuation manual in Viet Nam.</p>

Objective / Outcome	Indicator	Baseline	End-of-project target	Source of information	Level at 31 December 2018
	<p>1.2.3.1. Provide training for national level decision makers on economic valuation of ES Workshop “Valuing, Assessing and Integrating ES into development planning”</p> <p>1.2.3.2. Communication activities</p> <p>1.2.3.3 Technical Assistance (Visiting advisor)</p> <p>1.2.4 Provide training on economic valuation of ecosystem services for a number of provinces</p> <p>1.2.4.1 Provide training on economic valuation of ES for a number of provinces</p> <p>1.2.4.2 Technical Assistance (Visiting advisor)</p> <p>1.2.5 Support a policy dialogue/forum to inform policy makers</p> <p>1.2.5.1 Natural Capital Platform</p> <p>1.2.5.2 Technical Assistance (Visiting advisor)</p> <p>1.2.6. Produce policy briefs / communication materials → To be continued in 2018</p> <p>1.2.6.1 Publication of policy briefs/communication material on ES valuation</p> <p>1.2.6.2 Publication of “<i>International Environmental Law - Multilateral Environmental Agreements</i>”</p> <p>1.2.6.3 Publication of the manual on ES valuation</p> <p>1.2.6.4 Publication of natural capital assessment</p> <p>1.2.6.5 Publication of environmental protection planning; land-use planning</p>				<p>Activity 1.2.2 ‘Prepare manual on conducting economic valuation of ecosystem services’. This document provides background information for policy makers at central and provincial level regarding ecosystem services, ecosystem service valuation and application of ecosystem services valuation during decision-making process, focusing on land use planning, protected area planning and payment for environmental services.</p> <p>Activity 1.2.3 ‘Provide training and guidance for national level decision makers’, the project has organized several training workshops on ‘Integrating Ecosystem Services into Decision Making’ (1 two-day workshop in 2017) for officials from relevant Ministries and Research Institutes. The workshops attracted more than 200 participants, with a 36% share of female students.</p> <p>In 2016, project in collaboration with Winrock international and GIZ organized one workshop on “Economic valuation and assessment and mainstreaming Ecosystem Services into development planning processes.” For detail see Annex 14 part B.</p> <p>Activity 1.2.4 ‘Provide training on economic valuation of ecosystem services for a number of provinces’, the project has organized training workshops in the North, the Central and the South on ‘Ecosystem service valuation’ to introduce the concept, methodology and ability to apply ecosystem service valuation tool to integrate global environmental issues into the provincial planning development. Participants in the training workshops are representatives of DONRE, DARD, research institutes and universities/colleges from more than 35 provinces in the country. The total number of participants in training courses is over 250 people, of which female students account for nearly 40%. For detail see Annex 14 part B.</p>

Objective / Outcome	Indicator	Baseline	End-of-project target	Source of information	Level at 31 December 2018
					<p>Activity 1.2.5 ‘Support a policy dialogue/ forum to inform policy makers’. In 2016, two meetings on Natural Capital Platform (NCP) were held in collaboration with UNDP, GIZ and ADB. This platform drew a lot of attention from policy makers and development partners. Working mechanism of NCP has been drafted and revised for its operation.</p> <p>Activity 1.2.6 ‘Produce policy briefs/ communication materials’. PMU has developed and produced following products:</p> <ul style="list-style-type: none"> + Coordinated with Legal Department - MONRE to publish documents on ‘<i>International Environmental Law - Multilateral Environmental Agreements</i>’. The document has reviewed and updated the multilateral environmental agreements (MEA) in which Vietnam is a member. + Designed and printed leaflets, policy briefs and standees of ‘<i>Introduction on Economic Valuation of Ecosystem Services</i>’ + Developed resource book on ‘<i>Applying Ecosystem Service (ES) Valuation into Planning and Policy Making Process in Viet Nam</i>’ and used as ES manual and training materials during national/provincial training workshops. + Published policy briefs (natural capital assessment; environmental protection planning; land-use planning). For detail see Annex 14 part A.
<p>1.3: <u>Continue support the development and monitoring of Environmental Performance Indices, in line with international standards</u></p> <p>The following activities should be carried out:</p> <p>1.3.1 Continue pilot and introduce EPI in Viet Nam → To be continued in 2018 by working with UNCCD and UNCBD focal points to calculate EPI indicators on land and biodiversity degradation to support National Reporting to the three Rio Conventions and SDG</p> <ul style="list-style-type: none"> 1.3.1.1 Data collection 1.3.1.2 .a EPI calculation 1.3.1.3 Technical meetings 					<p>Activity 1.3.1 ‘Continue pilot and introduce EPI in Viet Nam’. The project has signed a contract with Centre for Environmental Monitoring (CEM) in 2016 to collect data for EPI calculation on water surface quality in 63 provinces in Viet Nam from 2013 to 2015. The data report included main 7 parameters of water quality including: DO, BOD, NH4+, COD, TSS, PO43-, pH) for EPI calculation. EPI calculation is being processed, focusing on water quality, forest and air pollution. The project has supported focal points of UNCCD and</p>

Objective / Outcome	Indicator	Baseline	End-of-project target	Source of information	Level at 31 December 2018
	<p>1.3.1.4 National Workshop to present the results of EPI calculation PMU comment Launching EPI workshop will be conducted by UNDP in 2019</p> <p>1.3.2 Communicate and advocate to Increase recognition of EPI and its application in decision making for environmental protection and planning at national and provincial level, with a focus on biodiversity, climate change and land degradation → No information</p> <p>1.3.2.1 Training on EPI calculation 1.3.2.2 EPI Awareness raising workshop in Ha Noi 1.3.2.3 Produce policy briefs on EPI calculation 1.3.2.4 Publication of policy brief</p> <p>PMU comment - This activity was not conducted!</p>				<p>UNCBD to collect and develop indicators of land degradation and biodiversity for the preparation of reports on the implementation of the conventions in Viet Nam.</p> <p>In 2017, project signed the contract with Thanh Son Agro-Forestry Consultancy and Technical Service Joint-stock Company to conduct two studies on (i) development of EPI in the field of biodiversity (Development of mangrove indicators and relevant parameters to support CBD reporting process) and (ii) Information and data collection for development of the land degradation reference level; assessment of land degradation trends and drivers and setting-up of Voluntary Land Degradation Neutrality Target in Vietnam.</p> <p>During the preparation of the EPI report, the project organized technical meetings, expert consultation workshops for comments on the draft report. In addition, UNCBD focal point has developed the baseline for land degradation, proposed and submitted to the MARD for approval 'Project on setting voluntary land degradation targets for Vietnam period 2017-2020 with vision 2030'. Consultation meetings with experts on EPI report were conducted to discuss on the initial results and areas for improvement.</p> <p>Core group of national experts were trained on EPI by the experts from Yale University</p> <p>UNDP plan to launch the EPI report by beginning of 2019</p> <p><i>Activity 1.3.2 'Communicate and advocate to Increase recognition of EPI and its application in decision making for environmental protection and planning at</i></p>

Objective / Outcome	Indicator	Baseline	End-of-project target	Source of information	Level at 31 December 2018
					<p><i>national and provincial level, with a focus on biodiversity, climate change and land degradation’.</i></p> <p>PMU comment This activity is omitted in revised project document</p>
<p>Outcome 2: Vietnam is integrating global environmental concerns into its national strategic planning and development processes.</p>	<p><i>Guidelines for improved environment and natural resources planning introduced</i></p>	<p>Not applicable</p>	<p><i>Technical guideline on Environmental Protection plans developed, approved, and used at national level</i> <i>Core group of trainers established and planners from MONRE, MPI and other relevant organizations engaged in planning trained in Environmental Planning</i></p>	<p>New: <i>Project Reports</i> <i>Technical guideline</i> <i>Environmental Planning Documents</i></p>	<p>The project has developed technical guidelines on environmental protection planning. The guidelines have followed the regulations stated in the Law on Environmental Protection 2014 and guiding documents with detailed presentation of environmental protection planning procedures and zoning of the environment. Then, the project selected a group of national experts to carry out environmental zoning (EZ) in Ha Tinh province in order to support the pilot implementation of EZ in Ha Tinh province to ensure the suitability of the EPP technical guideline for wider application. For detail see Annex 14 part A.</p>
	<p>New: <i>Integrated Land Use Plan in 1 Province</i></p>	<p>New: <i>Provincial Land Use and other Plans available, but without environmental concerns</i></p>	<p>New: <i>Land Use Plan integrating environmental concerns in 1 Province, to be used as example for other provinces</i></p>	<p><i>Project reports</i> <i>Province X Land Use Plan</i></p>	<p>Project has supported Ha Giang province to mainstream global environmental issues (biodiversity, climate change) into the process of revising land use planning to 2020 and land-use planning for the last 5 years (2016-2020) through the development of appropriate land use plans in the context of climate change in the locality, limiting the impact of land use options on ecosystems and multi- biological types. Provincial land use planning has been submitted to the Government for approval.</p>

Objective / Outcome	Indicator	Baseline	End-of-project target	Source of information	Level at 31 December 2018
<p>2.1: Increased <i>planning</i> capacity undertake <i>effective environmental and natural resources management</i></p> <p>The following activities should be carried out: (THERE ARE SOME DIFFERENCES BETWEEN THE ACTIVITIES IN INCEPTION REPORT AND IN ANNUAL REPORTS. WAITING FOR THE INPUTS FROM PMU)</p> <p>PMU comment Some activities are adjusted in revised project document</p> <p>2.1.1.a: Review the organization and implementation structure of UNFCCC in Viet Nam and provide solutions for improvement</p> <p> 2.1.1.1 b Technical meetings</p> <p> 2.1.1.1.c Consultation workshop</p> <p>2.1.1.2: Conduct Natural capital assessment for Mekong Delta for integrating natural capital in to Master Planning of the region → To be continued in 2018 by working with consultants to conduct survey, consultation meetings with stakeholders and valuation study of mangrove forest in coastal provinces of Mekong Delta.</p> <p> Capital assessment for Mekong Delta for Master Planning of Mekong Delta</p> <p> 2.1.1.3 Travel to selected provinces</p> <p> 2.1.1.4 Technical meetings</p> <p> 2.1.1.5 National Workshop</p> <p>2.1.2: Support MONRE to develop government proposal on enhancing regional collaboration in NRE management and climate change response</p> <p> 2.1.2.1 Assessment of regional collaboration for NRE management and CC response (International consultant)</p> <p> 2.1.2.2 Assessment of regional collaboration for NRE management and CC response (National consultant)</p> <p> 2.1.2.3 Workshop to identify the regional collaboration mechanism</p> <p> 2.1.2.4 Travel to selected provinces</p> <p> 2.1.2.5 Technical meetings</p> <p> 2.1.2.6 Workshop to present proposed NRE regional collaboration mechanism in Ha Noi</p>					<p>Activity 2.1.1.a ‘Review the organization and implementation structure of UNFCCC in Viet Nam and provide solutions for improvement’</p> <p>The project has supported the Focal Point to Review the organization and implementation structure of UNFCCC in Viet Nam and provide solutions for improvement”. Accordingly, the study has (i) Review legal documents related to the implementation of the United Nations Framework Convention on Climate Change, the Kyoto Protocol and the Paris Agreement on Climate Change; and (ii) Evaluating the implementation of the United Nations Framework Convention on Climate Change, the Kyoto Protocol and the Paris Climate Change Agreement in Viet Nam. During the implementation, the consultant team agreed with the UNFCCC focal point on the findings of the study, providing specific recommendations to improve the institution and promote the work of the UNFCCC in Viet Nam.</p> <p>In addition, the project has finalized the Activity 2.1.1.b ‘Natural capital assessment for Master Planning in Mekong Delta’ to conduct a study on natural capital, focusing on the value of mangroves in coastal provinces in the Mekong Delta as a basis for the overall planning of the Mekong Delta. Accordingly, the study focused on 04 groups of ecosystem services provided by mangroves (supporting services, provisioning services, regulating services and cultural services) in 05 provinces of the Mekong Delta (Ben Tre, Tra Vinh, Soc Trang, Ca Mau, Kien Giang) where accounts for the largest area of mangrove forest in the country. During the implementation of the study, the project organized consultation workshops/policy dialogue to identify the scope and objectives of study, the possibility of applying study in policy development and planning for the</p>

Objective / Outcome	Indicator	Baseline	End-of-project target	Source of information	Level at 31 December 2018
					<p>Mekong Delta. At the same time, the consultant team conducted field trips to collect data for the study.</p> <p>Activity 2.1.2 “Support to develop government proposal on enhancing regional collaboration in NRE management and climate change response.” The project has recruited a group of international and national consultants to conduct a study on land use planning, water resources management and response to climate change in the Red River Delta. Initially, the existing mechanisms and policies related to regional cooperation in the management of NRE and response to CC have been reviewed; identify opportunities and challenges to promote regional connectivity. The project also held consultation meetings with central and provincial authorities, discussing the current status and modalities of regional cooperation in order to develop recommendations for enhanced cooperation amongst provinces. Research results have been incorporated into the draft Government Project.</p>
<p>2.2: Increased capacity to undertake integrated land-use- and environmental-planning</p> <p>The following activities should be carried out:</p> <p>2.2.1. Support one pilot province to mainstream specific global environmental concerns into provincial planning. This should include relevant gender aspects.</p> <p>2.2.1.1.a Review of provincial land use planning to identify the entry points for mainstreaming</p> <p>2.2.1.2.b Support one pilot province to mainstream/apply tools into provincial planning (specifically land use planning)</p> <p>2.2.1.3 Travel to selected provinces</p> <p>2.2.1.4 Technical meetings</p> <p>2.2.1.5 Consultation Workshop</p> <p>2.2.2. Support preparation of guidelines on environmental protection planning (EPP) → To be continued in 2018</p> <p>2.2.2.1 Support development of technical guideline for Environmental Protection Planning (EPP)</p> <p>2.2.2.3 Technical meetings</p> <p>2.2.2.4 National Workshop</p> <p>2.2.2.5 Training course on EPP guideline</p>					<p>Activity 2.2.1 ‘Support pilot provinces to mainstream global environmental concerns into provincial planning’. The project has supported to (i) Review of provincial land use planning to identify the entry points for mainstreaming and (ii) Support one pilot province to mainstream/apply tools into provincial planning (specifically land use planning). During the implementation, the project has completed the study on reviewing provincial LUP to identify the entry points for mainstreaming of global environmental concerns into planning processes. The study has reviewed the provisions of law relating to land use planning and environmental integration in land use planning and identified processes to integrate environmental issues, climate change, and biodiversity and control land degradation in land use planning at provincial level.</p>

Objective / Outcome	Indicator	Baseline	End-of-project target	Source of information	Level at 31 December 2018
PMU comment Moved to 1.2.6 for publication					<p>Based on the inputs from review report, the project has supported Ha Giang province to mainstream global environmental issues (biodiversity, climate change) into the process of revising land use planning to 2020 and land-use planning for the last 5 years (2016-2020) through the development of appropriate land use plans in the context of climate change in the locality, limiting the impact of land use options on ecosystems and multi-biological types. Provincial land use planning has been submitted to the Government for approval.</p> <p>Activity 2.2.2 ‘Support preparation of guideline on environmental protection planning (EPP)’, the project has developed technical guidelines on environmental protection planning. The guidelines have followed the regulations stated in the Law on Environmental Protection 2014 and guiding documents with detailed presentation of environmental protection planning procedures and zoning of the environment. The project also organized expert meetings and workshops to consult and finalize technical guidelines. At the same time, the project selected a group of national experts to carry out environmental zoning (EZ) in Ha Tinh province in order to support the pilot implementation of EZ in Ha Tinh province to ensure the suitability of the EPP technical guideline for wider application.</p> <p>For detail see Annex 14 part A.</p>

B. Summary of log frame analysis

Objective / Outcome	Indicator	Baseline	End-of-project target	Sources of information	Evaluators Assessment of Achievements
To enhance the capacity for implementing the Three Rio	<i>Quality National Reporting to the Three Rio Conventions and SDG, with adequate</i>	<i>Reports for the three Rio Conventions submitted, but at times lacking quality and appropriate inclusion</i>	<i>National reports timely submitted, taking all relevant data into account</i>	<i>Project Reports National Reports (Rio, SDGs)</i>	Evidence provided in the Three Rio national reports include the following:

Objective / Outcome	Indicator	Baseline	End-of-project target	Sources of information	Evaluators Assessment of Achievements
Conventions by developing and applying tools that will lead to global environmental benefits	<i>representation of global environmental concerns</i>	<i>of global environmental concerns; No SDG reporting</i>			<ul style="list-style-type: none"> ▪ Project supported UNCCD focal point in developing a set of indicators to monitor the area, changes in mangrove forests in the period of 2000-2015 for reporting process. ▪ Project supported UNCCD in building a baseline of land degradation for the 2000-2015 period, focusing on three main indicators, including forest cover, land productivity, and carbon organic in soil, identifying high priority areas for land degradation in Viet Nam (in the North West region, South Central Coast and Central Highlands).
	Capacity Development Scorecard	23	Increase by 30% to 30	Project reports	Achieved
Outcome 1: Vietnam has the environmental management tools that fully address global environmental concerns.	Set of indicators covering the Three Rio Conventions <i>and relevant SDGs</i>	<i>National Environmental Indicator set does not cover all parameters that are necessary for Three Rio and SDG reporting</i>	New set of indicators fully covers RCs and relevant SDG reporting requirements.	Project reports. <i>Proposed indicator sets National Rio and SDG reports</i>	New set of EPI was developed and submitted by VEA to MONRE for approval and partially covered 3RCs and SDG requirements. <i>Note: The set of indicators cannot cover all requirements of Three Rio and SDGs because it will be too large and will not be feasible for implementation.</i>
		<i>No manual</i>	<i>Manual approved, available and used in MONRE and other relevant trainings Core group of trainers established and</i>	Project reports. <i>training Reports Guidelines</i>	Manual on applying ecosystem services valuation into planning and policy making process was developed, approved by the MONRE Vice minister and used for trainings.

Objective / Outcome	Indicator	Baseline	End-of-project target	Sources of information	Evaluators Assessment of Achievements
			<i>training for all relevant staff held Ecosystems valuation used in reporting and planning</i>		The trainings were provided and Core group was established
	<i>EPI piloted and introduced</i>	<i>Feasibility study on Provincial EPI undertaken</i>	<i>EPI piloted and introduced widely available</i>	Project reports. <i>EPI reports;</i>	EPI piloted in 63 provinces
Outcome 2: Vietnam is integrating global environmental concerns into its national strategic planning and development processes.	<i>Guidelines for improved environment and natural resources planning introduced</i>	Not applicable	<i>Technical guideline on Environmental Protection plans developed, approved, and used at national level Core group of trainers established and planners from MONRE, MPI and other relevant organizations engaged in planning trained in Environmental Planning</i>	New: <i>Project Reports Technical guideline Environmental Planning Documents</i>	Technical guideline on environmental planning and technical guideline for provincial environmental zoning were developed and pending for approval due to the change in the legislation system with new regulations by the Law on Planning 2017. The Law came to effect from January 2019 and further guidance on the Law implementation especially the issues related environmental planning is still pending. The trainings were provided but the issue of Core group was established
	New: <i>Integrated Land Use Plan in 1 Province</i>	New: <i>Provincial Land Use and other Plans available, but without environmental concerns</i>	New: <i>Land Use Plan integrating environmental concerns in 1 Province, to be used as example for other provinces</i>	<i>Project reports Province X Land Use Plan</i>	Land Use Planning for Ha Giang was approved by Government under Decision 38/NQ-CP from 9 May 2018 integrating environmental concerns (biodiversity, climate change and land degradation)

Annex 7. Evaluation consultant agreement form

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: Stephanie Hodge

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at New York on November 1st 2018

Signature:

Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: Le Ha Thanh

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at Hanoi, Viet Nam on November 2nd 2018

Signature:



Annex 8. Capacity development score card with observed results

Capacity Development Scorecard

Project/Programme Name: Enhancing Capacity for Implementing Three Rio Conventions

Project/Programme Cycle Phase: Project Closure Date: December, 2018

Capacity Result / Indicator	Staged Indicators	Rating	Initial Score	Final Score	Comments	Achieved Results	Contribution to which Outcome
CR 1: Capacities for engagement							
Indicator 1 – Degree of legitimacy/mandate of lead environmental organizations	Institutional responsibilities for environmental management are not clearly defined	0			MONRE is responsible for environmental management. ISPONRE is the Institute to study of strategy and policy to help MONRE in institutional activities	The capacity of ISPONRE and relevant departments under MONRE to develop and apply tools to integrate environmental issues in the planning / planning process is strengthened	This is relevant to all Outcomes and all Outputs in the project
	Institutional responsibilities for environmental management are identified	1					
	Authority and legitimacy of all lead organizations responsible for environmental management are partially recognized by stakeholders	2	2				
	Authority and legitimacy of all lead organizations responsible for environmental management recognized by stakeholders	3		3			
Indicator 2 – Existence of operational co-management mechanisms	No co-management mechanisms are in place	0			Some co-management mechanisms are formally established through the Decrees of Government, Circulars of Ministries ... However, the monitoring and inspecting the implementation of these mechanism have certain shortcomings	<ul style="list-style-type: none"> - The project has strengthened coordination with stakeholders through meetings/workshops/ - The study “Support to develop government proposal on enhancing regional collaboration in NRE management and climate change response” was completed as input for the Government proposal on enhancing NRE management and climate change response - A proposal for “Review the organization and implementation structure of UNFCCC in Viet Nam and 	This is relevant to all Outcomes and all Outputs in the project
	Some co-management mechanisms are in place and operational	1					
	Some co-management mechanisms are formally established through agreements, MOUs, etc.	2	2	2			
	Comprehensive co-management mechanisms are formally established and are operational/functional	3					

Capacity Result / Indicator	Staged Indicators	Rating	Initial Score	Final Score	Comments	Achieved Results	Contribution to which Outcome
						provide solutions for improvement” was proposed.	
Indicator 3 – Existence of cooperation with stakeholder groups	Identification of stakeholders and their participation/involvement in decision-making is poor	0			Stakeholders are identified but their participation in decision-making is limited. It is usually has just consulted in qualitative nature after having the draft decisions	<ul style="list-style-type: none"> - The project has strengthened coordination with stakeholders especially Three Rio focal points through the organization of consultation workshops and recommendation for the Project's products - A proposal for “Review the organization and implementation structure of UNFCCC in Viet Nam and provide solutions for improvement” was proposed 	This is relevant to all Outcomes and all Outputs in the project
	Stakeholders are identified but their participation in decision-making is limited	1	1				
	Stakeholders are identified and regular consultations mechanisms are established	2					
	Stakeholders are identified and they actively contribute to established participative decision-making processes	3		3			
CR 2: Capacities to generate, access and use information and knowledge							
Indicator 4 – Degree of environmental awareness of stakeholders	Stakeholders are not aware about global environmental issues and their related possible solutions (MEAs)	0			Stakeholders are aware about global environmental issues and the possible solutions. However, the application of solutions often only qualitative in nature and not really suited to the actual conditions in Vietnam	<ul style="list-style-type: none"> - Global environmental issues are integrated into local land use plan (Ha Giang province). - “Decision on the set of indicators and procedures for assessing and ranking the environmental protection results of the provinces” is being consulted with provinces and in the process of finalization for approval - Workshop/training courses on economic valuation of ecosystem services were organized for different 	Output 1.1, 1.2 and 2.2 can be good supported for the strengthening of this Indicator
	Stakeholders are aware about global environmental issues but not about the possible solutions (MEAs)	1					
	Stakeholders are aware about global environmental issues and the possible solutions but do not know how to participate	2	2				
	Stakeholders are aware about global environmental issues and are actively participating in the implementation of related solutions	3		3			

Capacity Result / Indicator	Staged Indicators	Rating	Initial Score	Final Score	Comments	Achieved Results	Contribution to which Outcome
						stakeholders at central and provincial level	
Indicator 5 – Access and sharing of environmental information by stakeholders	The environmental information needs are not identified and the information management infrastructure is inadequate	0			The environmental information has been identified and shared among stakeholders but does not include all the issues (it is often only focused on the problem of environmental pollution and hot issues on local level). At the same time, the infrastructure to manage information and access to public information is limited, especially in the Department of Natural Resources and Environment at the provinces	<ul style="list-style-type: none"> - The project has supported updating the website of the Vietnam GEF to update information about the GEF projects in Viet Nam - EPI were developed with the guidance from UNCCD and UNCBD for land degradation and mangrove - Natural capital platform established and operated in Webpage - Workshop/training courses were organized for different stakeholders at central and provincial level - Policy briefs of key studies has been developed 	Establishing the appropriate information mechanisms through training to use information / set of indicators on the environment of Project
	The environmental information needs are identified but the information management infrastructure is inadequate	1					
	The environmental information is partially available and shared among stakeholders but is not covering all focal areas and/or the information management infrastructure to manage and give information access to the public is limited	2	2	2			
	Comprehensive environmental information is available and shared through an adequate information management infrastructure	3					
Indicator 6 – Existence of environmental education programmes	No environmental education programmes are in place	0			Environmental education programmes are partially developed and partially delivered However, the contents of the global environmental issues (such as UNFCCC, UNCBD, UNCCD) has not been fully included in the comprehensive environmental education program	<ul style="list-style-type: none"> - “Manual on conducting economic valuation of ecosystem services” is developed and used in training on integrating global environmental issues in the decision-making process - Policy dialogues were organized for policy makers at central and provincial level 	Through training courses of using information about the environmental issues of Project
	Environmental education programmes are partially developed and partially delivered	1	1				
	Environmental education programmes are fully developed but partially delivered	2		2			
	Comprehensive environmental education programmes exist and are being delivered	3					
Indicator 7 – Extent of the linkage between environmental research/science and policy development	No linkage exist between environmental policy development and science/research strategies and programmes	0			Relevant research strategies and programmes for environmental policy development exist but the research information is not responding fully to the policy research needs. There is more	<ul style="list-style-type: none"> - “Natural capital assessment for Master Planning in Mekong Delta” has been finalized and used as reference for the MPI, as an input for the process of developing the master plan 	Outcome 1 and 2 can be good supported for the strengthening of this Indicator
	Research needs for environmental policy development are identified but are not translated into relevant research strategies and programmes	1					

Capacity Result / Indicator	Staged Indicators	Rating	Initial Score	Final Score	Comments	Achieved Results	Contribution to which Outcome
	Relevant research strategies and programmes for environmental policy development exist but the research information is not responding fully to the policy research needs	2	2		concern on qualitative research and lack of quantitative studies	for the Mekong Delta region - Propose a set of environmental indicators as a basis for developing the “Decision on the set of indicators and procedures for assessing and ranking the environmental protection results of the provinces” for implementation of Directive No.25/CT-TTg of the Prime Minister on a number of urgent tasks and solutions for environmental protection - Support MONRE to conduct research, review, evaluate and propose solutions to strengthen linkages among localities, focusing on land use planning, water resource management and response to Climate change in the Red River Delta. Research results are used in reference when developing the Draft Project of the Government.	
	Relevant research results are available for environmental policy development	3		3			
Indicator 8 – Extent of inclusion/use of traditional knowledge in environmental decision-making	Traditional knowledge is ignored and not taken into account into relevant participative decision-making processes	0			Traditional knowledge is identified and recognized as important but is not collected and used in relevant participative decision-making processes. There is a lack of systematic research for and	- Strengthen the capacity to research the system and apply traditional knowledge into the decision-making process in the environmental field	Outputs 2.1 and 2.2 can be good supported for the strengthening of this Indicator
	Traditional knowledge is identified and recognized as important but is not collected and used in relevant participative decision-making processes	1	1				

Capacity Result / Indicator	Staged Indicators	Rating	Initial Score	Final Score	Comments	Achieved Results	Contribution to which Outcome
	Traditional knowledge is collected but is not used systematically into relevant participative decision-making processes	2			application of traditional knowledge in environmental decision-making	<ul style="list-style-type: none"> - Environmental zoning was applied for Ha Tinh province of Viet Nam- - BD and CC were mainstreamed in LUP in Ha Giang 	
	Traditional knowledge is collected, used and shared for effective participative decision-making processes	3		3			
CR 3: Capacities for strategy, policy and legislation development							
Indicator 9 – Extend of the environmental planning and strategy development process	The environmental planning and strategy development process is not coordinated and does not produce adequate environmental plans and strategies	0			The environmental planning issues have been raised, but there is no mechanism to enforce effectively. The draft of revised Law of Environmental Protection (LEP - hopefully will be adopted in 2014) can be put into a legislation content (Articles 8 to 12)	<ul style="list-style-type: none"> - Developed technical guidelines on environmental protection planning. The guidelines have followed the regulations stated in the Law on Environmental Protection 2014 and guiding documents with detailed presentation of environmental protection planning procedures and zoning of the environment - Environmental zoning was applied for Ha Tinh province of Viet Nam 	Outcome 2 (including all 2 Outputs) can be good supported for the strengthening of this Indicator
	The environmental planning and strategy development process does produce adequate environmental plans and strategies but there are not implemented/used	1	1				
	Adequate environmental plans and strategies are produced but there are only partially implemented because of funding constraints and/or other problems	2		2			
	The environmental planning and strategy development process is well coordinated by the lead environmental organizations and produces the required environmental plans and strategies; which are being implemented	3					
Indicator 10 – Existence of an adequate environmental policy and regulatory frameworks	The environmental policy and regulatory frameworks are insufficient; they do not provide an enabling environment	0			Adequate environmental policy and legislation framework exist: Law on Environmental Protection (LEP) was adopted in 1993 and has been adjusted (2005) and ongoing modifications. Along with Law is the legislation under Law (such as the Decrees and Circulars) have been issued ...	<ul style="list-style-type: none"> - “Decision on the set of indicators and procedures for assessing and ranking the environmental protection results of the provinces” is being proposed for approval. - Technical guidance on EPP to support the implementation of the Law 	Output 1.1 and 2.2 can be good supported for the strengthening of this Indicator
	Some relevant environmental policies and laws exist but few are implemented and enforced	1					
	Adequate environmental policy and legislation frameworks exist but there are problems in implementing and enforcing them	2	2	2			

Capacity Result / Indicator	Staged Indicators	Rating	Initial Score	Final Score	Comments	Achieved Results	Contribution to which Outcome
	Adequate policy and legislation frameworks are implemented and provide an adequate enabling environment; a compliance and enforcement mechanism is established and functions	3			However, there are still exist some problems in the implementation of Law and legislation under Law	on Environmental Protection and the relevant guiding Decree - A compliance and enforcement mechanism is not yet established	
Indicator 11 – Adequacy of the environmental information available for decision-making	The availability of environmental information for decision-making is lacking	0			Relevant environmental information is made available to environmental decision-makers. However, the process to update this information is not functioning properly and not synchronized between the sectors and the provinces	The EPI report is designed to provide information on environmental resource changes in a quantitative way, which is a useful reference for localities	This is relevant to all Outcomes and all Outputs in the project
	Some environmental information exists but it is not sufficient to support environmental decision-making processes	1					
	Relevant environmental information is made available to environmental decision-makers but the process to update this information is not functioning properly	2	2	2			
	Political and administrative decision-makers obtain and use updated environmental information to make environmental decisions	3					
CR 4: Capacities for management and implementation							
Indicator 12 – Existence and mobilization of resources	The environmental organizations don't have adequate resources for their programmes and projects and the requirements have not been assessed	0			The funding sources for these resource requirements are partially identified and the resource requirements are partially addressed. However, there are many other pressing needs for social - economic development so the funding sources for environmental issues are limited	Technical resources on the application of environmental integration tools are strengthened	This is relevant to all Outcomes and all Outputs in the project
	The resource requirements are known but are not being addressed	1					
	The funding sources for these resource requirements are partially identified and the resource requirements are partially addressed	2	2	2			
	Adequate resources are mobilized and available for the functioning of the lead environmental organizations	3					
Indicator 13 – Availability of required technical	The necessary required skills and technology are not available and the needs are not identified	0			The required skills and technologies needs are	Support tools for environmental integration in decision-making processes	Outcome 1 (including all 3 Outputs) can be

Capacity Result / Indicator	Staged Indicators	Rating	Initial Score	Final Score	Comments	Achieved Results	Contribution to which Outcome
skills and technology transfer	The required skills and technologies needs are identified as well as their sources	1	1		identified as well as their sources. However, the availability of local conditions is difficult, especially in the remote areas	(i.e. environmental indicators, valuation of NRE resources, EPI) are developed and piloted	good supported for the strengthening of this Indicator
	The required skills and technologies are obtained but their access depend on foreign sources	2		2			
	The required skills and technologies are available and there is a national-based mechanism for updating the required skills and for upgrading the technologies	3					
CR 5: Capacities to monitor and evaluate							
Indicator 14 – Adequacy of the project/programme monitoring process	Irregular project monitoring is being done without an adequate monitoring framework detailing what and how to monitor the particular project or programme	0			An adequate resourced monitoring framework is in place but project monitoring is irregularly conducted. Depending on the content of each project / program that having different monitoring requirements	The PMU has worked closely with the donor (UNDP) to regularly monitor and evaluate both the technical and financial aspects of the project to improve the quality of the results and products of the Project	Through the activities of the Project in order to strengthen this index
	An adequate resourced monitoring framework is in place but project monitoring is irregularly conducted	1	1				
	Regular participative monitoring of results in being conducted but this information is only partially used by the project/programme implementation team	2					
	Monitoring information is produced timely and accurately and is used by the implementation team to learn and possibly to change the course of action	3		3			
Indicator 15 – Adequacy of the project/programme monitoring and evaluation process	None or ineffective evaluations are being conducted without an adequate evaluation plan; including the necessary resources	0			An adequate evaluation plan is in place but evaluation activities are irregularly conducted	The evaluation of the project is highly effective, thereby making appropriate adjustments and modifications	Through the activities of the Project in order to strengthen this index
	An adequate evaluation plan is in place but evaluation activities are irregularly conducted	1	1				
	Evaluations are being conducted as per an adequate evaluation plan but the evaluation results are only partially used by the project/programme implementation team	2					
	Effective evaluations are conducted timely and accurately and are used by the implementation team and the Agencies and	3		3			

Capacity Result / Indicator	Staged Indicators	Rating	Initial Score	Final Score	Comments	Achieved Results	Contribution to which Outcome
	GEF Staff to correct the course of action if needed and to learn for further planning activities						
Total score		45	23	38			

Annex 9. Project conformity to CCCD principles

Capacity Development Operational Principle	Project Conformity
Ensure national ownership and leadership	The project is designed to support and improve ongoing national initiatives. Decision-making lies in MONRE and ISPONRE. Design was led by MONRE and ISPONRE. A cross-sectoral and multi-agency project support mechanism is to be established.
Ensure multi-stakeholder consultations and decision-making	Several rounds of consultations have been held during project development. The multi-stakeholder mechanisms that exist for the Three Rio Conventions will be actively consulted during project implementation.
Base capacity building efforts in self-needs assessment	The project design draws fully from the NCSA and the findings/recommendations of the NCSA. It is also based on further design work related to capacity assessments.
Adopt a holistic approach to capacity building	The project addresses individual, institutional and systemic levels of capacity, based on NCSA, and full involvement of all stakeholders.
Integrate capacity building in wider sustainable development efforts	The project is fully aligned to support MONRE in ongoing initiatives. Notably it is responsive to recent policy and legislative developments.
Promote partnerships	The project is designed to develop operational partnerships across partners in the Three Rio Conventions, and to promote partnerships between governmental and non-governmental (institutes, private sector and NGO) partners.
Accommodate the dynamic nature of capacity building	The project recognizes the dynamic and evolving process in Viet Nam to implement Rio Conventions. Notably, the baseline has evolved significantly since the NCSA was completed. The project is designed to adapt to recent policy and legislative developments
Adopt a learning-by-doing approach	The Project Management Unit (PMU – see later) will emphasize participatory monitoring and learning by doing. One PMU staff member will be assigned these tasks as part of her/his TOR.
Combine programmatic and project-based approaches	This is a project contributing to several broader initiatives implemented by MONRE and other partners. MONRE will use the project inputs to strengthen its overall approach to environmental management. For example, IPSONRE is currently implementing initiatives supported by World Bank, ADB, GIZ and UNDP. This project takes place integrally within ISPONRE's overall programme. This is a good example of how specific international collaboration can make a difference to national initiatives.
Combine process as well as product-based approaches	The project is designed to support processes – it will support existing, long-term processes to develop indicators, to build valuation techniques, and to establish SEA and integrated LUP. These processes are firmly implanted in the Vietnamese context. However, the project will also lead to concrete products (i.e. lists of indicators, new techniques, guidelines, trained staff, etc.).

Promote regional approaches	Lessons will be shared with other countries in southeast Asia. Through the UNDP network, lessons from other countries on capacity development will also be introduced into this Viet Nam project.
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Annex 10. Risk log

Risk	Severity	Description And Risk Mitigation Measures
Inadequate Government and other stakeholder commitment to the process.	Medium	<p>Viet Nam has many socio-economic priorities, of which the highest is alleviating poverty and overcoming inequality. Environment is also a priority issue, however, the local environmental issues such as air pollution, water pollution, waste, etc., are given a higher priority than global issues.</p> <p>The Government, in the baseline, has the vision and commitment to protect environmental resources.</p> <p>The approach taken is to integrate GEF firmly into the baseline, thereby trying to benefit from the Government's commitment to the baseline.</p>
Inadequate coordination mechanisms.	Medium	<p>The various ministries and departments involved in implementing the Three Rio Conventions have undergone several restructurings in recent years. They have the mandate and commitment to collaboration and coordination, but in many cases they do not have the operational tools and mechanisms to collaborate/coordinate.</p> <p>This Project will bring all concerned parties together and will demonstrate how coordination and collaboration can yield benefits for all concerned.</p>
By attempting too much, the project may over-stretch its resources.	<i>Medium</i>	<p>The Project has activities across several sub-sectors and in several technical areas, but the overall GEF Project budget is limited. Hence, there is a danger that by trying to do too much, the Project will not be able to properly achieve anything.</p> <p>The strategy is for the GEF funds to complement a strong baseline. Hence, the GEF provides a limited amount of additional funding. This should ensure cost-effectiveness and optimal use of GEF funds. Secondly, the Project is designed to be focused into specific, tangible results.</p>
Inadequate quality and quantity of data and information	<i>Medium</i>	<p>The proposed activities require data and information to be <i>available and</i> of a certain quality. <i>This may not be (freely) available in Viet Nam.</i></p> <p>The implementing partner (ISPONRE) has been involved in many research programmes in the past, often in collaboration with international partners, and has access to databases and studies undertaken by MONRE. ISPONRE should be able to assure <i>maximum</i> access to data and information.</p>
It is difficult to use the new tools.	<i>Medium</i>	<p>The Project will develop new tools. However, there may not be sufficient capacity to use these tools, <i>or resources to disseminate this to all intended users.</i> This is particularly a challenge at provincial levels of government.</p> <p>Training on application of new tools will be provided for different stakeholders</p>

Annex 11. Project monitoring and evaluation plan

Type of M&E activity	Responsible Parties	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> ▪ ISPONRE ▪ Project Manager ▪ UNDP CO, UNDP GEF 	Within first two months of project start up
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> ▪ UNDP GEF RTA/Project Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members. 	Start and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	<ul style="list-style-type: none"> ▪ Oversight by Project Manager ▪ Project team 	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> ▪ ISPONRE ▪ Project manager and team ▪ UNDP CO ▪ UNDP RTA ▪ UNDP EEG 	Annually
Periodic status/ progress reports	<ul style="list-style-type: none"> ▪ Project manager and team 	Quarterly
Final Evaluation	<ul style="list-style-type: none"> ▪ Project manager and team, ▪ UNDP CO ▪ UNDP RCU ▪ External Consultants (i.e. evaluation team) 	At least three months before the end of project implementation
Project Terminal Report	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ local consultant 	At least three months before the end of the project
Audit	<ul style="list-style-type: none"> ▪ UNDP CO ▪ Project manager and team 	Yearly
Visits to field sites	<ul style="list-style-type: none"> ▪ UNDP CO ▪ UNDP RCU (as appropriate) ▪ Government representatives 	Yearly
TOTAL indicative COST Excluding project team staff time and UNDP staff and travel expenses		

Annex 12. All implemented capacity building activities

A. List of project's products and publications

No	Title	Brief Content	Author	Responsible agency
OUTCOME 1				
1	Review of Viet Nam environmental indicators for improved international reporting	Review existing environmental indicators, including Vietnam environmental indicators and indicators. At the same time, review the reporting process and instructions for reporting 03 Rios Conventions as well as directives that will be proposed to implement SDG.	<ul style="list-style-type: none"> - Jan Rijpma, International Consultant, Team Leader - Le Thi Kim Dung, National Consultant, Environment & NR Management - Nguyen Phong, National Consultant, Statistician 	PMU/UNDP/VEA
2	Suggested the indicators including the indicators of the Three Rio Conventions and related sustainable development goals (SDG)	Coordinating with the Vietnam Environment Administration (VEA) to propose a set of environmental indicators as a basis for developing the "Decision on the set of indicators and procedures for assessing and ranking the environmental protection results of the provinces" for implementation of Directive No.25/CT-TTg dated 31/8/2016 of the Prime Minister on a number of urgent tasks and solutions for environmental protection	<ul style="list-style-type: none"> - Nguyen Phong, National Consultant on Statistics, Team Leader - Le Thi Kim Dung, National Consultant on Environment - Tran Thi Hai, National Consultant on Climate Change - Han Tuyet Mai, National Consultant on Ecology 	PMU/UNDP/VEA
3	Support the GEF OFP Office in updating results of Three Rio Conventions on the GEF Viet Nam Website http://www.gef.monre.gov.vn/en/home/	Update information on the website of GEF Vietnam, integrate the results of implementing 03 Rios Conventions to disseminate information related to global environmental issues, including biodiversity, climate change, and land degradation. Updating information related to GEF projects creates a shared channel of the results achieved by GEF-supported projects, linking relevant initiatives in achieving global environmental goals	<ul style="list-style-type: none"> - Nguyen Ngoc Thang, National Consultant on Biodiversity and Forest - Nguyen Bui Hoang Giang, National Consultant on Climate and Land Degradation 	PMU/UNDP/GEF Vietnam office (ICD/MONRE)
4	Review of national and international best practices on economic valuation of ecosystem services	The report reviewed studies on ecosystem services in the world and in Vietnam to support the decision-making process; serve as a basis for developing guidelines on assessment of ecosystem services	<ul style="list-style-type: none"> - Luke Brander International Consultant , Environment & NR Specialist, Team leader - Tran Thi Thu Ha, National Consultant, Environmental Economist 	PMU/UNDP
5	Manual on 'Applying ecosystem service valuation into planning and policy making process'	Guidelines for applying ecosystem service assessment into the planning and policy-making process in Vietnam. The document includes basic information on ecosystem	<ul style="list-style-type: none"> - Responsible for contents: Dr. Nguyen Trang Thing 	PMU/UNDP

No	Title	Brief Content	Author	Responsible agency
		services, assessing ecosystem services and applying the amount of ecosystem services in the decision-making process, focusing on land use planning and planning environmental services and conservation areas.	<ul style="list-style-type: none"> - Editing: Dr. Kim Thi Thuy Ngoc, Mark Fen, Nguyen Thi Ngoc Anh and Nguyen Anh Tuan - Group of consultants: - Tran Thi Thu Ha, National Consultant on Environmental Economics - Nguyen Man Ha, National Consultant on Ecology - Duong Xuan Hien, National Consultant on Policy 	
6	Develop communication material on ecosystem services valuation	Introduction on Economic Valuation of Ecosystem Services - Leaflet - Policy Brief - Standee	<ul style="list-style-type: none"> - Le Thu Hoa, National Consultant on Environmental Economics - Nguyen Huy Thanh, National Consultant, Design Specialist 	PMU/UNDP
7	Produce policy briefs/ communication materials	1. International Environmental Law - Multilateral Environmental Agreements 2. Policy briefs (Guideline for EPP; integrate environmental concerns into land-use planning in Ha Giang; mainstreaming natural capital sustainable development policies and actions)	<p>1. Group of authors for International Environmental Law</p> <ul style="list-style-type: none"> - Le Van Hop, Director, Legal Department/MONRE - Phan Tuan Hung, Vice Director, Legal Department/MONRE - Heidi Stockhaus, Environmental Law Specialist, Germany - Clare Cory, Law Specialist, Australia <p>2. Policy briefs</p> <ul style="list-style-type: none"> - Responsible for contents: Dr. Nguyen Trung Thang - Editing: Dr. Kim Thi Thuy Ngoc, Nguyen Thi Ngoc Anh, Le Thi Le Quyen and Nguyen Anh Tuan 	PMU/UNDP/Legal Department/MONRE
8	Gathering information and data of water quality to develop the Report on Environment Performance Index (EPI)	Database of water quality in 63 provinces and cities nationwide to serve the calculation of EPI index	<ul style="list-style-type: none"> - Center for Environmental Monitoring/VEA 	PMU/UNDP/VEA
9	Vietnam Environmental Performance Index 2017	Based on the results, data on water quality were collected. The national and international expert team calculated the EPI environmental performance index.	<ul style="list-style-type: none"> - Universiti Teknologi Malaysia - Choong Weng Wai, PhD, Team Leader of the Viet Nam EPI 	PMU/UNDP/Yale University

No	Title	Brief Content	Author	Responsible agency
			<ul style="list-style-type: none"> - Zainura binti Zainon Noor, PhD, Principal Investigator of the Malaysia EPI - Nurul Hana Mohamed, System Analysts - United Nations Development Programme (UNDP) - Truong Thi Quynh Trang, Viet Nam EPI Project Coordinator - Dao Khanh Tung, Viet Nam EPI Project Coordinator - Mark David Fenn, Visiting Senior Technical Advisor of Rios Project - Nguyen Anh Tuan, Project Assistant of Rios Project - Kim Thuy Ngoc, Rios Project Manager - Yale University - Angel Hsu, PhD, Principal Investigator of the Global EPI - National Consultants - Nguyen Dinh Hung, Forestry Inventory/Forestry Specialist - Nguyen Lanh, Water Quality Specialist - Nguyen Phong, Environmental Performance Analyst - Nguyen Thi Phuong Anh, Water Quality Specialist - Nguyen Thi Thuc Anh, Geographic Information System and Remote Sensing Specialist - Pham Thi Hong Linh, Air Quality Specialist 	
10	Information and data collection for development of the land degradation reference level; Assessment of land degradation trends and drivers and setting-up of Voluntary Land Degradation Neutrality Target in Viet Nam	Support the focal point of the Convention on Desertification (UNCCD) to build a baseline of land degradation (2000-2015 period), focusing on three main indicators: forest cover, land productivity and carbon organic in soil, building a database and establishing a national land degradation baseline, and identify high priority areas for land degradation in Viet Nam (in the	<ul style="list-style-type: none"> - Thanh Son Forestry-Agriculture Investment Consultant Technology Service Joint-stock Company 	PMU/UNDP/UNCCD

No	Title	Brief Content	Author	Responsible agency
		North West region, South Central Coast and Central Highlands).		
11	Development of environmental performance indices (EPI) in the field of biodiversity in Viet Nam - Development of mangrove indicators and relevant parameters to support CBD reporting process	Support the focal point of the Convention on Biological Diversity (UNCB) to develop a set of indicators to monitor the area, changes in mangrove forests in the period of 2000-2015. for the CBD Secretariat	- Thanh Son Forestry-Agriculture Investment Consultant Technology Service Joint-stock Company	PMU/UNDP/UNCBD
OUTCOME 2				
12	Review the organization and implementation structure of UNFCCC in Viet Nam and provide solution for improvement	The report has reviewed and evaluated institutions and proposed solutions to promote the implementation of UNFCCC. Accordingly, the study has (i) Review legal documents relating to the implementation of the United Nations Framework Convention on Climate Change, the Kyoto Protocol and the Paris Agreement on Climate Change; and (ii) Assess the implementation of the United Nations Framework Convention on Climate Change, the Kyoto Protocol and the Paris Agreement on Climate Change in Vietnam	- Tran Thuc, National Consultant, Team leader - Nguyen Lanh, Policy and Institutional consultant - Tran Van Y, Capacity building consultant	PMU/UNDP/UNFCCC
13	Mainstreaming natural capital into sustainable development policies and actions – a rapid assessment of mangrove ecosystem services in the Mekong Delta	Evaluate natural capital, focusing on the value of mangrove forests in the coastal provinces in the Mekong Delta, as a basis for the construction of the Mekong Delta master plan. Accordingly, the study focused on 04 groups of ecosystem services provided by mangrove forests (mangroves) (supply services, regulating services, cultural services and support services) in 5 provinces in the Mekong Delta. Long (Ben Tre, Tra Vinh, Soc Trang, Ca Mau, Kien Giang) has a large area of mangroves in the country	- Camille Bann, International Consultant, Team Leader - Lothar Linde, International Consultant for GIS - Pham Khanh Nam, national team leader and environmental economics specialist - Nguyen Quang Hong, socio-economic specialist - Le Xuan Canh, ecological specialist - Vo Quoc Tuan, GIS Specialist - Tran Thi Thu Huyen, policy and planning specialist	PMU/UNDP/MPI
14	Develop the mechanisms to enhance regional (inter-provincial) collaboration/linkage in natural resources management and	The report reviewed the regional linkage mechanism in the Red River Delta in the field of land use planning, water resource management and response to climate change, identifying opportunities and challenges to promote regional links.) and propose solutions to strengthen	- Dang Trung Tu, team leader - Hoang Viet Anh, GIS expert - Nguyen Duc Hung, land use planning expert - Nguyen Thi Phuong Lam, water resources management expert	PMU/UNDP

No	Title	Brief Content	Author	Responsible agency
	responding to climate change in the Red River Delta region	regional links in environmental resource management and response to climate change	- Nguyen Sy Linh, climate change expert - Megan Knight, international consultant	
15	Assess the status of planning, land use planning and propose the integration of environment in land use planning at provincial level	The report reviewed the provincial land use plan to determine the starting point for integrating global environmental issues into the provincial land use planning process	- Le Gia Chinh, National consultant on Policy Analysis - Nguyen Quang Hong, National consultant on environment	PMU/UNDP/DONRE Ha Giang
16	Integrating global environmental issues into adjusted land use planning of Ha Giang province	Report integrating global environmental issues (biodiversity, climate change) in the process of adjusting land use planning to 2020 and land use plans for the last five years (2016 - 2020) through the construction of appropriate land use plans in the context of local climate change, limiting the impact of land use plans on ecosystems and biodiversity	- Nguyen Duc Hung, Policy consultant and team Leader - Le Xuan Canh, Biodiversity consultant - Hoang Viet Anh, Climate change consultant	PMU/UNDP/DONRE Ha Giang
17	The environmental protection planning technical guidelines	The guidelines followed closely the regulations on environmental protection planning stipulated in the Law on Environmental Protection 2014 and guiding documents; detailing the process of planning environmental protection and environmental zoning	- Le Thi Kim Dung, Consultant on socio-economic development planning, team leader - Nguyen Cao Huan, Consultant on ecological function zoning - Nguyen Van San, Consultant on Biodiversity Conservation and Forest Management - Vu Manh Quyet, Consultant on Land Quality Management - Nguyen Nhan Quang, Consultant on Watershed, Sea and Island Management - Do Tien Anh, Consultant on Climate Change - Hoang Viet Anh, GIS Specialist - Michael Furniss, International Consultant	PMU/UNDP
18	EPP implementation piloted in Ha Tinh/Technical guideline for provincial environmental zoning	Pilot report of EPP implementation in Ha Tinh province, identifying regions and sub-regions for development and conservation	- Dang Trung Thuan, Team leader - Le Trinh, Planning consultant - Nguyen Thi Ngoc Anh, Environmental consultant - Ngo Dang Tri, GIS exper	PMU/UNDP/DONRE Ha Tinh

B. List of project's trainings and workshops

No	Name	Targeted participants	Timing/Place	Results	In collaboration with
OUTCOME 1					
1	Consultation workshop on ‘Decision on the set of indicators and procedures for assessing and ranking the environmental protection results of the provinces’ in the North	- Officials from DONRE/DARD/DPI of Northern provinces - Institutes/universities and stakeholders.	25 th November, 2016 Hai Phong	- Consulted with officials and stakeholders to improve the decision	PMU/UNDP/VEA
2	Consultation workshop on ‘Decision on the set of indicators and procedures for assessing and ranking the environmental protection results of the provinces’ in the South	- Officials from DONRE/DARD/DPI of Southern provinces - Institutes/universities and stakeholders	11 th November, 2016 Ho Chi Minh	- Consulted with officials and stakeholders to improve the decision	PMU/UNDP/VEA
3	Consultation workshop on developing technical guidelines for ecosystem services evaluation in Vietnam	- Officials from MONRE/MARD - Institutes/universities and stakeholders - NGOs	30 th June, 2016 Ha Noi	- To identify the direction/outlines for development of technical guidelines on ES valuation. - To consult stakeholders on ES valuation review report for its improvement.	PMU/UNDP
4	Workshop on valuing, assessing and integrating ecosystem services into development planning	- MONRE/MPI/MARD Local authorities of target provinces, including PPC, DONRE, DARD, DPI of Thanh Hoa, Nghe An, Ha Tinh, Hue, Quang Binh, Quang Tri provinces. - ADB, WB, GIZ, UNDP, JICA, FAO - IUCN, SNV, WINROCK, CARE International, WWF Viet Nam, CIFOR	12 th July, 2016 Ha Noi	- To enhance awareness of policy makers on application of ecosystem service valuation for mainstreaming of global concerns in to planning processes	PMU/UNDP/Winrock/USAID/GIZ
5	Training workshop on ecosystem services valuation for policy makers	- Officials from different departments of line Ministries (MONRE, MARD, MPI, MOF) - Research Institutes/Universities	02 nd November, 2016 Ha Noi	- To enhance awareness of policy makers at national level on ecosystem services (ES) and ES considerations for various sectors ; - To introduce approaches /methodologies for mainstreaming ES for different planning processes (i.e. land use planning, SEDP) and policy development;	PMU/UNDP

No	Name	Targeted participants	Timing/Place	Results	In collaboration with
				- Identify opportunities and challenges for integrating ES into planning processes and policy development.	
6	Provincial Training workshop on ecosystem services valuation for policy makers	- Official from Line Departments (DONRE, DARD, DPI, DOF) - Institutes/Universities	03-04 th November, 2016 Thanh Hoa	- - To enhance awareness of policy makers at provincial level on ecosystem services (ES) and ES valuation - - To introduce different methodology for ES valuation - To introduce the approaches, methodologies on application of ES valuation for different planning processes (i.e. land use planning, PES) - To discuss approaches for communicating ES values and their integration into planning processes with provincial leaders and technical personnel	PMU/UNDP/DONRE
7	1 st meeting on Natural capital platform	- MONRE MPI, MARD, MOIT/Ministry of Transportation - ADB, WB, GIZ, UNDP, JICA, FAO - IUCN, SNV, WINROCK, CARE International, WWF Viet Nam, CIFOR	07 th June, 2016 Ha Noi	- To introduce the Natural Capital Platform (NCP); - To share information on key on-going initiatives in natural capital - To discuss and agree the operating arrangements for the Natural Capital Platform (objectives, main activities and collaboration mechanisms) - To develop the work / action plan of the NCP.	PMU/UNDP/GIZ/ADB
8	2 nd meeting on Natural capital platform	- MONRE MPI, MARD, MOIT/Ministry of Transportation - ADB, WB, GIZ, UNDP, JICA, FAO - IUCN, SNV, WINROCK, CARE International, WWF Viet Nam, CIFOR	01 st November, 2016 Ha Noi	- To launch Natural Capital Platform (NCP) website; - To establish membership and discuss on working regulation and work plan of NCP; - To discuss on the support of partners and stakeholders for NCP operation	PMU/UNDP/GIZ/ADB
9	Integrating Ecosystem Services and their Values into Planning Processes at Central level	- Officials from different departments of line Ministries (MONRE, MARD, MPI, MOF) - Research Institutes/Universities	06-07 th July, 2017 Ha Noi	- To have access to analytical and evaluation methods of ecosystem services, assessment of ecosystem services;	PMU/UNDP

No	Name	Targeted participants	Timing/Place	Results	In collaboration with
				<ul style="list-style-type: none"> - To analyze trade-offs in development and conservation; - To identify opportunities to integrate ecosystem services into development decisions 	
10	Integrating Ecosystem Services and their Values into Planning Processes at Provincial level	<ul style="list-style-type: none"> - Official from Line Departments (DONRE, DARD, DPI, DOF) - Institutes/Universities 	23-24 th August, 2017 Hai Phong (North)	<ul style="list-style-type: none"> - To introduce the concept, methodology and ability to apply ecosystem service valuation tool to integrate global environmental issues into the provincial planning development 	PMU/UNDP/DONRE
11			04-05 th October, 2017 Da Nang (Central)		
12			15-16 th June, 2017 Can Tho (South)		
13	Consultation workshop on Methodology and Approach to EPI calculation	<ul style="list-style-type: none"> - Technical staffs from line ministries - Researchers from Institutes/Universities 	24 th October, 2017 Ha Noi	<ul style="list-style-type: none"> - Consulted with stakeholders on Methodology and Approach to EPI calculation 	PMU/UNDP/Rio focal points
14	Consultation workshop on Initial finding of EPI data collection and calculation	<ul style="list-style-type: none"> - Technical staffs from line ministries - Researchers from Institutes/Universities 	06 th November, 2017 Ha Noi	<ul style="list-style-type: none"> - Consulted with stakeholders on Initial finding of EPI data collection and calculation 	PMU/UNDP/Rio focal points
OUTCOME 2					
15	Consultation workshop on Review the organization and implementation structure of UNFCCC in Viet Nam and provide solutions for improvement	<ul style="list-style-type: none"> - Officials from different departments of MONRE - Research Institutes/Universities 	25 th October, 2017 Ha Noi	<ul style="list-style-type: none"> - Get feedbacks from stakeholders/researchers improvement solutions 	PMU/UNDP/UNFCCC
16	Consultation workshop on 'Initial findings of study on natural capital assessment in Mekong Delta'	<ul style="list-style-type: none"> - Officials from DONRE/DARD/DPI - Research Institutes/Universities 	07 th November, 2017 Can Tho	<ul style="list-style-type: none"> - Consulted with stakeholders on Initial finding of study on natural capital assessment in Mekong Delta 	PMU/UNDP
17	Consultation workshop on Methodology and approach of study on natural capital assessment in Mekong Delta	<ul style="list-style-type: none"> - Officials from DONRE/DARD/DPI - Research Institutes/Universities 	06 th October, 2017 Ho Chi Minh	<ul style="list-style-type: none"> - Introduce the study of natural capital assessment in the Mekong Delta (objectives, methods, implementation plans) - Identify studies and sources of information related to research 	PMU/UNDP

No	Name	Targeted participants	Timing/Place	Results	In collaboration with
				- Discuss the application of research in development policies of the Mekong Delta	
18	Consultation workshop on scoping Natural Capital Assessments and Enhancing Regional Collaboration in NRE Management in the Mekong Delta	- Officials from DONRE/DARD/DPI - Research Institutes/Universities	14th June, 2017 Can Tho	- Scoping the rationale for study on Natural Capital assessment and regional cooperation - Regional cooperation for red river delta is recommend	PMU/UNDP
19	Policy dialogue on Identify regional cooperation mechanism in Red River Delta	- Officials from different departments of MONRE/MARD - Research Institutes/Universities	30 th August, 2017 Ha Noi	- Consulted with stakeholders on Identify regional cooperation mechanism in Red River Delta	PMU/UNDP
20	Consultation workshop on Legal framework to enhance regional cooperation mechanism in Red River Delta	- Officials from different departments of MONRE/MARD - Research Institutes/Universities	27 th October, 2017 Ha Noi	- Consulted with stakeholders on Legal framework to enhance regional cooperation mechanism in Red River Delta	PMU/UNDP
21	Consultation workshop on ‘Developing mechanism for enhance regional cooperation in Red River Delta’	- Officials from different departments of MONRE/MARD - Research Institutes/Universities	10 th November, 2017 Ha Noi	- Consulted with stakeholders on Developing mechanism for enhance regional cooperation in Red River Delta	PMU/UNDP
22	Consultation workshop on ‘Legal and policy framework for regional cooperation mechanism in Red River Delta’	- Officials from different departments of MONRE/MARD - Research Institutes/Universities	26 th December, 2017 Ha Noi	- Finalized Legal and policy framework for regional cooperation mechanism in Red River Delta	PMU/UNDP
23	Consultation workshop on ‘Adjusted land-use planning in Ha Giang’	- Officials from DONRE/DARD/DPI - Research Institutes/Universities	14 th July, 2017 Ha Giang	- Consulted with officials/stakeholders to integrate environmental concerns into adjusted land-use planning in Ha Giang	PMU/UNDP/DONRE Ha Giang
24	Consultation workshop on Technical guideline for EPP	- Officials from different departments of MONRE/MARD - Research Institutes/Universities	25 th August, 2017 Ha Noi	- Consulted with officials/stakeholders to enhance the technical guideline for EPP	PMU/UNDP/VEA
25	Retreat with 03 Rios focal points and stakeholders	- 03 Rios Focal Points and stakeholders	12th April, 2017 Ha Noi	- Through closer association of the 03 Rios Convention Focal Points in 03 Rios Project activities, the outputs of the project will have more extensive impacts and can be sustained into the future through capacity building and ownership within the two Ministries	PMU/UNDP

No	Name	Targeted participants	Timing/Place	Results	In collaboration with
				<ul style="list-style-type: none"> - The association of the 03 Rios Convention Focal Points in 03 Rios Project activities will provide opportunities to synergize across the three conventions and for enhanced collaboration across Ministries and Provincial Departments - Through more refined activities planning, and association in existing 03 Rios Project activities, results in 03 Rios Convention Focal Teams having enhanced capacities to address priority challenges and abilities to report on these conventions for Vietnam 	
26	Consultation workshop on Ecosystem services valuation of mangrove in Mekong Delta	<ul style="list-style-type: none"> - Officials from different departments of MONRE/MARD - Research Institutes/Universities 	23rd May, 2018 Can Tho	<ul style="list-style-type: none"> - Introduce the study of natural capital assessment in the Mekong Delta - Discuss the results of the study "Integrating natural capital into policy and action on sustainable development - rapid assessment of mangrove ecosystem services in the Mekong Delta" 	PMU/UNDP
27	Consultation workshop on Finalized mechanism for regional cooperation in Red River Delta	<ul style="list-style-type: none"> - Officials from different departments of MONRE/MARD - Research Institutes/Universities 	16 th March, 2018 Hai Phong	<ul style="list-style-type: none"> - Consulted with stakeholders on mechanism for regional cooperation in Red River Delta 	PMU/UNDP
28	Study results launching on Mechanism for regional cooperation in Red River Delta	<ul style="list-style-type: none"> - Officials from different departments of MONRE/MARD - Research Institutes/Universities 	06 th August, 2018 Ha Noi	<ul style="list-style-type: none"> - Launching study results on Mechanism for regional cooperation in Red River Delta 	PMU/UNDP
29	Consultation workshop on Pilot study of EPP in Ha Tinh	<ul style="list-style-type: none"> - Officials from different departments of DONRE/DARD - Research Institutes/Universities 	11 th May, 2018 Ha Tinh	<ul style="list-style-type: none"> - Get feedbacks and comments on Pilot study of EPP in Ha Tinh 	PMU/UNDP/DONRE Ha Tinh
30	Training on Environmental zoning in Ha Tinh	<ul style="list-style-type: none"> - Officials from different departments of DONRE/DARD - Research Institutes/Universities 	17-18 th May, 2018 Ha Tinh	<ul style="list-style-type: none"> - rain officials/stakeholders on Environmental zoning in Ha Tinh 	PMU/UNDP/DONRE Ha Tinh

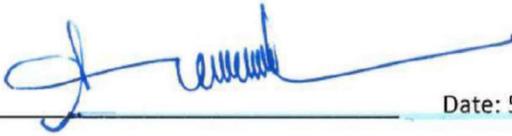
Annex 13. Audit trail

Audit trail is a separate attachment to the Terminal Evaluation.

Annex 14. Evaluation Report Clearance Form

ANNEX 14 : EVALUATION REPORT CLEARANCE FORM

(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)

Evaluation Report Reviewed and Cleared by	
UNDP Country Office	
Name: Dao Khanh Tung, Programme Officer	
Signature: 	Date: 5 July 2019
UNDP GEF RTA	
Name: Tom Twining-Ward, Regional Technical Advisor, UNDP-GEF	
Signature: 	Date: 12 July 2019