



Improving the Resilience of Vulnerable Coastal Communities to Climate Change Related Impacts in Viet Nam

UNDP PIMS: 5708

GCF Project ID: FP013

Atlas Project ID: 00094854

GEF Agency: United Nations Development Programme

Implementing Partner: Ministry of Agriculture & Rural Development (MARD) Viet Nam

Focal Area: Climate Change



Interim Evaluation Report January 2020

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Project Period: 2017-2022

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Interim Evaluation Report
Reporting date: 15th January, 2020

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We are very thankful to all experts and staff of project management unit and at the project office in project Provinces.

The views expressed in this report are intended to offer an overview of the project. We have tried to balance our thoughts and to offer fair perspectives of what was observed and learned from people far more knowledgeable about the Project and its context than we will ever be.

And finally, one of the delights of this sort of work remains for the international consultant that of visiting new and extremely welcoming country and going home again having made new friends, seen new things, and witnessed with great admiration the dedication and enthusiasm that so many people bring to their work in accomplishing Interim Evaluation level targeted activities to Improve the Resilience of Vulnerable Coastal Communities to Climate Change Related Impacts. We would like to thank them and wish them every success in their continuing endeavours.

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15th January 2020

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Acronyms and Abbreviations

AHA	ASEAN's Humanitarian Assistance
AWP	Annual Work Plan
CBDRA	Community Based Disaster Risk Assessment
CBDRM	Community Based Disaster Risk Management
CC	Climate Change
CCVI	Climate Change Vulnerability Index
CO	Country Office
CO ₂	Carbon di Oxide
CPMU	Central Project Management Unit
CPAP	Country Programme Action Plan
DNA	Designated National Agency
DRFI	Disaster Risk Finance and Insurance
DRR	Disaster Risk Reduction
EA	Executing Agency
EPWG	Emergency Preparedness Working Group
FMB	Forest Management Board
FORMIS	Forestry Sector Information System
GCF	Green Climate Fund
GEF	Global Environment Facility
GHG	Green House Gas
GoVn	Government of Viet Nam
Ha	Hectare
HACT	Harmonized Approach to Cash Transfer
IA	Implementing Agency
IBST	Institute for Building Science and Technology
IC	International Consultant
IE	Interim Evaluation
IMHEN	Vietnam Institute of Meteorology, Hydrology and Climate Change
INGO	International Non-government Organisation
IPCC	Intergovernmental Panel on Climate Change
MARD	Ministry of Agriculture and Rural Development
M&E	Monitoring and Evaluation
MoC	Ministry of Construction
MoF	Ministry of Finance
MPI	Ministry of Planning and Investment
MoJ	Ministry of Justice
MoU	Memorandum of Understanding
NGO	Non-Government Organisation
NIM	National Implementation Modality
NPD	National Project Director
NPM	National Project Manager
PB	Project Board
PIR	Project Implementation Report
PIW	Project Inception Workshop
PMU	Project Management Unit
PPMU	Province Project Management Unit
Prodoc	Project Document
ROtI	Review of Outcome to Impact

RRF	Result and Resources Framework
SDG	Sustainable Development Goal
SMART	Specific, Measurable, Achievable, Relevant, Time-bound
SNC	Second National Communication
TOF	Training of Facilitators
ToR	Terms of Reference
TOT	Training of Trainers
UNDAF	UN Development Assistance Framework
UNDP	United Nations Development Programme
UNDP HQ	UNDP Headquarter
VnForest	Vietnam Administration of Forest
VnDMA	Vietnam Disaster Management Authority
US\$	United States Dollar

Currency of Vietnam is the Vietnamese Dong (VND). At the time of the Mid-term Review, US\$ 1 = VND23,224.22

Executive Summary

The Interim Evaluation (IE) is conducted to assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended Results. The Interim Evaluation also reviewed the project's strategy and risks. This Interim Evaluation has been conducted as part of the Monitoring and Evaluation plan of the UNDP/GCF Project: "Improving the Resilience of Vulnerable Coastal Communities to Climate Change Related Impacts in Viet Nam", and will be referred to as the "Project" in the scope of this report. The IE mission to Vietnam was conducted from 14th to 27th December 2019. Extensive consultations with the project partners were also conducted prior and following the mission to ensure a good understanding of the project's results; leading to the submission of the IE report on the date of this report.

Project Information Table

Project Title	Improving the Resilience of Vulnerable Coastal Communities to Climate Change Related Impacts in Viet Nam		
UNDP Project ID (PIMS #):	5708	Funding Proposal Approval:	30 June 2016 at B.13
GCF Project ID:	FP013	Signing of FAA:	Signed on 8 June 2017, entered into effectiveness on 11 July 2017
ATLAS Business Unit, Award #, Project ID:	000088033	Project Document (ProDoc) Signature Date):	7 September 2017
Country:	Vietnam	Date project manager hired:	Dec 2017
Region:	South East Asia	Inception Workshop date:	24 Nov 2017
Focal Area:	Climate Change	Interim Evaluation completion date:	08 April 2020
GCF Focal Area Strategic Objective:	Forestry and land use; most vulnerable people and communities; infrastructure and built environment; ecosystem and ecosystem services.	Planned closing date:	11 July 2022
Executing Agency/ Implementing Partner:	Ministry of Agriculture and Rural Development (MARD)		
Responsible parties:	Ministry of Construction (MoC), 7 provincial PPCs, including: Nam Dinh, Thanh Hoa, Quang Binh, Thua Thien Hue, Quang Nam, Quang Ngai and Ca Mau		
Other execution partners:	United Nations Development Programme		
Project Financing	<i>At approval of Funding Proposal (US\$)</i>	<i>at Interim Evaluation (US\$)¹</i>	
[1] GCF financing:	29,523,000	9,373,739	
[2] UNDP contribution:	UNDP-TRAC 200,000 UNDP in kind 1,400,000	103,243 1,095,114	

¹ Financial information provided in the report is until 30th November 2019.

[3] Government:	12,261,578	4,327,644 (kind) 1,841,814 (cash)
[4] Total co-financing [2 + 3]:	US\$13,861,578	US\$7,367,815
PROJECT TOTAL COSTS [1 + 5]	US\$41,984,578	US\$16,741,554

Note: The report covers period up to 30th November 2019. Financial figures are also of up to 30 November 2019.

MTR Ratings and Achievement Summary Table

Project Strategy	N/A	The project aims to enable the GoVn to design measures for mitigation and adaptation to address climate change, through (1) supporting communities living in coastal mangrove afforestation/restoration sites to adopt resilient livelihoods, (2) support poor household to construct safe houses, and (3) training communities and local authorities to raise awareness on climate change and disaster and promote evidence based development planning. The project aims to assist the GoVn to carry out all the necessary activities to increase climate resilience of coastal belt communities and through adaptation and mitigation activities.
Progress Towards Results	Objective Achievement Rating: Satisfactory	More than mid-term target (2,402) of safe houses constructed of which 60% poor and women headed households. Mangrove plantation/regeneration was less than mid-term target (1,441ha). Provided job to 1,000 people (40% women) in mangrove plantation. Conducted slightly more than targeted number (252) of trainings, benefitting 32,083 local people and local authorities of which more than 48% were women. Carbon emission is expected to reduce but not to the level of target of mid-term level because targeted area of plantation was not achieved. 1,500 leaflets, 2,450 posters, 2,000 technical manuals on mangrove plantation, 1,000 manuals on management and use of coastal forest were also produced and distributed.
	Output 1 Achievement Rating: Highly Satisfactory	<ul style="list-style-type: none"> • 2,402 (about 60% of total project target) resilient houses constructed for poor family from 5 project coastal provinces. • 252 community-based climate and disaster risk mapping and planning trainings were conducted in 7 project provinces. • 2 documentary films on housing activity and procedure for applying for GCF housing support produced • A nation-wide housing program is being developed to build safe houses in all 28 coastal provinces.
	Output 2 Achievement Rating: Moderately Satisfactory	<ul style="list-style-type: none"> • Mangrove plantation/regeneration was completed in 1,441 ha which is less than mid-term target of 2000ha. • Activity 2.2 Community-based programme on mangrove rehabilitation, maintenance and monitoring for target communities was not initiated. Initially, this activity was planned under Output 2, but the Project Board decided to move it,

		<p>together with the budget of 100,000 USD, to Output 3 to be integrated with community-based disaster risk management training. However, the mangrove didn't get sufficient focus because training didn't focus much on mangrove.</p> <ul style="list-style-type: none"> • Manuals for techniques applied in afforestation and forest rehabilitation under the project were developed and technical training provided to households and forest owners (331 people, of which 112 are women). • TOT for 86 forest officers (13 women) in 5 provinces in management, update, monitor and use of the database of coastal forests. • About 795 local people got job in mangrove plantation/regeneration and protection activities including 40.1% women. • Measurement of carbon stock and reduction of GHG emission has been initiated. Total baseline carbon reserves were 422,846 tons of CO₂ equivalent and it is estimated that by the end of December 2019 it will increase to 457,278 tons of CO₂ equivalent with net carbon reserve reducing 34,414 tons of CO₂ equivalent. • 15 livelihood models have been developed in 11 communes of the 5 project provinces involving 408 households which include 31 women headed household. • 1,500 leaflets on mangrove development, 2,400 mangrove propaganda posters, 3,000 copies technical manual on mangrove planning techniques, 1,000 copies of manual for management and use of coastal forest database printed and distributed to various stakeholders. • A software to manage and use the coastal forest database has been developed (desktop and online version).
	<p>Output 3 Achievement Rating: Satisfactory</p>	<ul style="list-style-type: none"> • Review of DRR and climate risk related information system of the VnDMA has been completed and the recommendation provided for the development of the Vietnam Disaster Monitoring System. • 22 ToT trainings (201 trained, including 79 women) were implemented including 5 at central level and 17 at provincial level. • 252 ToF training and CBDRA sessions (6days each) have completed. 32,083 local people and local authority participated in the training. • Organized a workshop to discuss on the way for mainstreaming climate change risk into annual planning practices.

		<ul style="list-style-type: none"> • A study on innovative financing for disaster and CC impacts in Vietnam is conducted and recommendation provided for developing the insurance program for transferring risk. • Research to develop improved financial loss model to estimate economic exposure to climate events was not completed. Only scoping study was done. • Technical and coordination inputs to enable the government to develop a plan for managing the financial risks of a major climate related disaster affecting coastal area was not completed. These are expected to complete in the first year as it takes time to make arrangement to initiate insurance scheme for risk transfer.
Project Implementation & Adaptive Management	Satisfactory	<p>The Project's adaptive management was good, because project had two days pre-inception workshop followed by half day inception workshop at the central level. Regular monitoring of the activities was done by the commune level authority and also by provincial agencies. Issues observed at the sites were resolved on site by the joint monitoring team of stakeholders from the central level and also of the provincial level. Issues that were not resolved by joint monitoring team were discussed and resolved at the Project Board where representatives of all relevant government agencies, UNDP and provincial heads are represented. Involvement of women's Union in monitoring activities at province and central level was weak.</p> <p>Project was designed to pilot in 7 Provinces based on the suggestion from the experts.</p>
Sustainability	Likely	<p>Green Growth Strategy period of the government of Vietnam is extended up to 2030, which means the government will continue such (housing, mangrove plantation/regeneration) interventions in the coming years. Based on proven the project experience on housing, a nation-wide housing program is being developed to build safe houses along the coast of 28 coastal provinces in Vietnam. Increased awareness through training of local communities and also local authority encourage evidence-based development planning which helps to mainstream disaster and climate risks. The project conducted ToT training which will help to replicate such awareness activities and also safe housing programs in other 28 coastal provinces. Database software development for whole country will help national development planning and preparedness activities.</p>

Note: Justification of rating is given in Annex III

Brief Description of Project

Vietnam is a country in South East Asia with a total 331,212km² of landmass and population of 91.7million and population density of 276.03/km. The elongated roughly S shaped country has a north-to-south distance

of 1,650km and is about 50km wide at the narrowest point. With a coastline of 3,260km, excluding islands, Vietnam claims 12 nautical miles as the limit of its territorial waters, an additional 12 nautical miles as a contiguous customs and security zone. The country is divided into the highlands, and the Red River Delta in the north; and the central mountains or the Chine Annamitique, the coastal lowlands, and the Mekong Delta in the south. Vietnam is one of the twenty-five countries considered to possess a uniquely high level of biodiversity. It is ranked 16th worldwide in biological diversity, being home to approximately 16% of the world's species. 15,986 species of flora have been identified in the country, of which 10% are endemic.

The country's diverse geography means it is hit by typhoons, landslides, flooding and droughts, weather events expected to worsen in the future. Vietnam is among the most vulnerable nations to climate change impacts according to a recent Intergovernmental Panel on Climate Change (IPCC) report. A new report released by the IPCC on the potential impacts of a 1.5C rise in global temperatures above pre-industrial averages. The report found that massive, destabilizing climate events could start impacting global society as soon as 2040, within the lifetime of most people alive today. Within the report, presented to the Vietnamese government in Hanoi on October 10, Vietnam was named among nine countries where at least 50 million people will be exposed to impact of rising sea levels and more powerful storms, among other dangers. The most serious threats facing Vietnam over the next couple of decades is that Vietnam is among the top countries vulnerable to climate change. More extreme weather events may come faster than anticipated and more frequently.

Vietnam's geography leaves it vulnerable to a number of calamities. Most of its 1,800 mile-long coastline faces the East Sea, which numerous tropical storms and typhoons traverse every year. The mountainous far north is prone to landslides and flash flooding, while the flat Mekong Delta in the Deep South is among the most vulnerable regions in the world to raising sea levels. Vietnam's agricultural development not only support food security of this country but also contributes to global food security. With climate change and sea level rise, the projection is that if sea levels increase by up to 3.3feet then 40 percent of the Mekong Delta will be inundated, so we would lose 40 percent or even more of agriculture and aquaculture production. Poor communities living in coastal regions of Viet Nam are adversely impacted by frequent flooding. Each year approximately 60,000 houses are destroyed or damaged by floods and storms in coastal provinces. Effect of climate change on economy make it increasingly difficult for vulnerable families to escape the cycle of poverty.

The objective of project "Improving the resilience of Vulnerable coastal communities to climate change related impacts in Viet Nam" is to reduce vulnerability of communities to the adverse impacts of climate change through improving Resilience of vulnerable Coastal Communities to Climate Change related impacts by scaling up interventions that are already tested in increase the resilience of vulnerable coastal communities. Building on ongoing social protection programmes related to housing for the poor and marginalized, the project will incorporate storm and flood resilient design features in new houses benefitting 20,000 poor and highly disaster-exposed people. As part of an integrated response to managing flood risks, 4000 hectares of mangroves will be rehabilitated and/or planted to function not only as storm surge buffers, but also to provide ecosystem resources that can support coastal livelihoods. Moreover, to support and sustain both the impact of this project as well as future requisite government policy adjustments that strengthen the resilience of coastal and other communities, resources will be used to systematize climate and economic risk assessments for private and public sector application in all 28 coastal provinces of Viet Nam.

Project expected to achieve these through 1 Objective and 3 major outputs.

Objective: Increased resilience of vulnerable coastal communities to climate change related impacts in Viet Nam

Output 1: Storm and flood resilient design features added to 4,000 new houses on safe sites, benefiting 20,000 poor and highly disaster-exposed people in 100 communes

Output 2: Regeneration of 4,000 hectares of coastal mangrove storm surge buffer zones using successful evidence-based approaches

Output 3: Increased access to enhanced climate, loss and damage data for private and public sector application in all 28 coastal provinces of Viet Nam

Project aims to address disasters related to climate Change (storm/flood) by:

- design and construction of houses resilient to flood and storm for vulnerable households.
- improve and make effective management of land or forests to contribute disaster risk reduction as well as to CO₂ emission reduction.
- support to establish disaster database and to make climate policy/regulatory frameworks evidence based

Rationale:

- Houses designed to resist flood and storm will protect lives and properties of vulnerable communities.
- Improving status and management of mangrove forests will decrease possible damage caused by floods and storms
- Enhancing capacity of the communities' helps to improve monitoring and management of forest and land.
- Evidence based policy and programs will help to decrease damages from the disaster or climate risks and also enhance resistance to such incidents.

The Project Document was signed jointly by Government of Vietnam (Ministry of Agriculture and Rural Development) and UNDP on 7 September 2017 for the duration of five years. The Project is implemented by the Vietnam Disaster Management Authority with the support of a Project Management Unit (PMU) under a National Implementing Modality (NIM) in close coordination with UNDP Country Office (UNDP CO). As an Accredited Entity, UNDP is responsible for oversight and quality assurance of all activities, including procurement, recruitment, monitoring, and financial disbursement. The Project is executed in accordance with the standard rules and procedures of the UNDP NIM Execution Modality. The Project budget is US\$ 41,984,578 of which US\$ 29,523,000 is the GCF Grant and US\$200,000 is from UNDP. Similarly, the remaining financing is provided in-kind US\$1,400,000 by UNDP, US\$10,861,578 (cash + kind) by the Government of Vietnam.

PROJECT PROGRESS SUMMARY

This project aims to increase resilience of vulnerable coastal communities to climate change related impacts in Viet Nam. It seeks to achieve its goal by adding storm and flood resilient design features to identified 4,000 new houses on safe sites, benefiting 20,000 poor and highly disaster-exposed people in 100 communes. Similarly, regeneration of 4,000 hectares of coastal mangrove storm surge buffer zone using successful evidence-based approaches will also be done. Project also develop and update enhanced climate, loss and damage data for private and public sector application in all 28 coastal provinces.

Some of the achievements of the project are listed below:

- 2,402 safe houses were completed (60% of project target) and these includes about 60% poor and women headed households from the coastal areas of 5 provinces (Thanh Hoa, Quảng Bình, Thừa Thiên – Huế, Quang Nam and Quang Ngai). The stairs of these houses are steep, so modification

needed to make it friendly to old and disabled people. Likewise, the toilets are not suitable for women so need to modify to make suitable for women (though toilet is not part of house design but is integral part of every house). In the recent storms of 30 October 2019 (Matmo Tropical Storm) and of 10 November 2019 (Nakri Tropical Storm) there was no damage of life or property in the houses constructed by the project (safe/resilient house).

- Community-based climate and disaster risk mapping and planning has been implemented in 252 communes across 7 project provinces.
- 2 documentary films were developed to document and also present general public knowledge on project's housing activities and progress, and procedure to apply for financial support from the project.
- Manuals for techniques applied in afforestation and forest rehabilitation under the project were also developed.
- A total of 1,441 ha mangrove plantation/regeneration completed.
- Technical guidelines for 9 mangrove species suitable with site locations and in line with project support levels in provinces were developed and approved by Vietnam Administration of Forestry (VNFOREST).
- TOT training for 86 forest officers (13 women) in 5 provinces in management, update, monitor and use of the database of coastal forests.
- About 795 local people got job in mangrove plantation/regeneration and protection activities including 40.1% women.
- Measurement of carbon stock and reduction of GHG emission has been initiated. Total baseline carbon reserves were 422,864 tons of CO₂ equivalent and it is estimated that by the end of December 2019 it will increase to 457,278 tons of CO₂ equivalent with net carbon reserve reducing 34,414 tons of CO₂ equivalent.
- 15 livelihood models have been developed in 11 communes of the 5 project provinces involving 408 households which include 31 women headed household.
- Database of Vietnam's coastal forests (28 provinces having coastal forests) has been developed and will be endorsed by MARD, benefitting national level forestry and disaster management planning and decision making.
- A software to manage and use the coastal forest database has been developed (Desktop and Web versions).
- A short documentary film introducing the project in the provinces has been produced.
- 22 TOT trainings (201 trained including 79 females) were conducted including 5 at central level and 17 at provincial level to provide guidelines for TOF training and CBDRA activities at commune level.
- 252 TOF training and CBDRA sessions (6 days each) have been implemented respectively in 252 communes of all 7 project province (project target was 520).
- 32,083 local people and local authority staffs (48.34% women) participated in the above mentioned trainings.

Key problem areas

To address the climate change and disaster related problems main obstructions are:

- Limitation of awareness among the local communities on climate change and its connection with disasters. Similarly, limited knowledge with the local/national level leaders for mainstreaming climate change and disaster in development planning.
- Limited livelihood options for those who are dependent on the mangrove areas for their livelihood.
- Coastal protection measures are not informed by best practices.
- Inadequate climate risk information preventing effective adaptation planning and resources mobilization.

Main conclusions and recommendations

Conclusion

The project is relevant to address the environmental threats that Vietnam is facing and it is also in line with the Government of Viet Nam's Sustainable Development Strategy (2011-2020) and Climate Change Strategy that stress on green growth, low-carbon economic development, prevent, control and repair environmental pollution and degradation, improve quality of the environment, protect and develop forests and conserve biodiversity, reduce harmful effects of natural disasters, actively and effectively respond to climate change especially sea level rise. The policy to support poor households to build safe houses to prevent them from storms and floods in the Central region was promulgated under the Prime Minister's Decision No. 48/2014 /QD-TTg of August 28, 2014 (called "Program 48") and the housing activities of the project contributes to this decision. The project was built on the ongoing government programmes, which used its past experience from safe house building and mangrove plantation implemented in partnership with UNDP, Vietnam Red Cross, CARE etc. For effective implementation of the resilience activities for the vulnerable coastal communities, project partnered with different government and non-government institutions (see stakeholders section) specialized and experienced on climate and risk information, safe housing and forestry. This project at the global level, complement regional and global initiatives to achieve global climate change targets under the Paris Agreement, while climate information enhancement will enhance Inter-Government Panel for Climate Change (IPCC) processes.

The project design has recognised risks associated with climate change and vulnerability of women to such risks. The knowledge provided by this project will help to empower women and advance resilience to climate change. At the project development phase, specific efforts were made to consult women groups and collect information regarding the impacts of climate change on women. The project implementation was participatory and also made provision of at least representation of women by 30% in commune level representatives. It had made arrangement to provide direct benefits to women by giving priority to vulnerable women with disrupted livelihoods. The project also included women in awareness programs to make them aware on climate change risks and mitigation options for their business thereby help to protect their livelihoods and enhance their adaptive capacities. To address the Climate Change related problems in the coastal areas of Vietnam, this project attempted various approaches and by mid-term level it constructed more than 50% (2,402) of the total targeted number of safe houses in the 214 communes of the project's five coastal provinces which included 60% women headed poor houses. Similarly, 1,242.68ha i.e. 62% of the mid-term level target of mangrove plantation and regeneration activities completed that generated work for 1,000 people and 40% were women and different 11 models of livelihood activities were implemented benefiting 400 household including 80 women headed household. Also developed Vietnam coastal forest database, conducted ToT training on data collection and analysis for coastal forest database, provided support for developing gender mainstreaming action plan and communication program in 5 provinces with mangrove activities and conducted monitoring of mangrove plantation. The project identified needs and developed maps involving stakeholders, ToF trainings conducted for 252 communes and increased their awareness level on DRR/CCA, safe house and forest using scientific evidences. Of the total 31,556 trainees of ToF (local people and local authorities) 48.34% were women. 561 people were provided ToT training who could be used as resource person to replicate similar training in all 28 coastal provinces.

This Project is well designed. The Project has been underpinned by good science and a good technical approach but still room for improvement exists and also need to sequence activities properly to save effort and cost. Women Union's role is limited at the provincial and central level so need to improve their participation in planning and monitoring and evaluation. Due to delay in initiation of the project, some areas identified for mangrove plantation were taken by other projects so project had to find new area to meet the targeted plantation/regeneration. The PMU had good communication with UNDP and also with other partners, and frequency of communication between NPD and PM was also good and were able to resolve

issues with joint effort of all stakeholders. Insurance program will be very effective in transferring risk but it takes time to make all arrangements and initiate activities so it should be initiated as early as possible.

The outcomes of the project intervention are likely to be sustainable because the Green Growth Strategy period of the government of Vietnam is extended up to 2030 which means government is interested to replicate the project activities. In the recent storms of 30 October 2019 (Matmo Tropical Storm) and of 10 November 2019 (Nakri Tropical Storm) there was no damage of life or property in the houses constructed by the project (safe/resilient house). Based on proven project housing experience, a nation -wide housing program is being developed by the government to build safe houses in areas along the coast of 28 coastal provinces in Vietnam and project contributed in developing plans and also prepared trainers. Increased awareness through training of local communities and also local authority help to improve resilience to climate change and also encourage evidence based development planning to mainstream disaster and climate risks. The project through ToT trainings prepared human resources to facilitate replication of CBDRA by the government of Vietnam in other coastal provinces. Database/software development for whole country will help national development planning and preparedness activities. The design of houses and beneficiary criteria are both innovative. Similarly, the project introduced organic shrimp and crab farming practices without use of any chemicals and salt tolerant duck farming in saline areas. Innovative way of rearing shrimps and crab decreased mortality and increased income. Hence sustainability of project intervention is likely.

Recommendations

Rec #	Recommendations	Responsible Party
	Output 1	
1.	In some houses, the stairs are very steep, making it difficult for the disabled and older people to use the elevated space. The design needs to be improved to make it friendly to people with special needs.	Dept. of Construction, PMU
2.	House design should also include toilet. Toilet should be women friendly.	Dept. of Construction
	Output 2	
3.	Need to follow up closely to make sure that enrichment plantation are conducted to fill the gaps created due to dying of the saplings. Still some land was not found for new plantation and replenishment. In Ca Mau, it is learned that they are planning to pay households for protecting existing old mangrove forests that are distributed in the new areas (not planted by this project), and count areas of those old forests as achievement of the target of this project. As per project plan, they supposed to conduct plantation and regeneration and enrichment within those plantation sites where gaps created due to dying of saplings. Filling gaps created by dying of the saplings is part of the plantation contract, which commits the contractor to plant and maintain the quality of the plantation for four years after the initial year of plantation. Hence, province and district forest offices and project office in the provinces should be instructed to avoid such practice.	Protection Forest Management Board/CPMU
4.	Since large area of plantation is assigned in Ca Mau provinces where plantation is easier and cost is not so high.	CPMU, UNDP, VnDMA

	<p>There is possibility of saving plantation cost from Ca Mau and use that for other province where cost will be higher than provisioned. There should be flexibility to transfer budget from one province to another. Any savings should be used strategically, including application of innovative approaches for mangroves, housing design and construction or alternative livelihoods for households impacted by the project (i.e. organic shrimp value chain). Moreover, contractor is using FPB to find seedlings, labor and sites for plantation. The real cost they spend is far less than budgeted by the project. It seems norms are not the problem (see 3.2.2 for more detail). Hence cost effective and innovative option should be adopted in plantation activities.</p> <p>Budget for mangrove plantation should be based on approved technical proposals that are developed for local conditions. Fixed cost norms of 6,000 USD for new plantation and 1,500 USD for enrichment should not be imposed for the whole country.</p> <p>Since the participatory monitoring and management activities (Output 2.2) are moved to output 3, the budget allocated for this (US\$100,000) could be used for the activities of other outputs only after completing management improvement of mangrove.</p>	
5.	Knowledge exchange visits should be organized between communities/farmers from different district/provinces to share experience.	CPMU/PPMU
6.	Due to low economic return from mangrove compare to aquaculture farmers are less interested in mangrove forestry program. There are several crops as well as other interventions (including fruit trees) identified/developed for brackish soil conditions. It is recommended to promote such salinity tolerant interventions (e.g., fruit tree species) which will contribute to protect from tides/flood and also provide good economic return for the farmers. Some salt tolerant fruit trees are Coconut palm, Date palm, fig (<i>Ficus carica</i>), Key lime (<i>Citrus aurantiifolia</i>), Pomegranate, Pummelo (<i>Citrus maxima</i>) etc.	CPMU/PPMU
7.	In Ca Mau, Department of Agriculture made requirement of maintaining equal proportion of Shrimp/Crab and Mangrove area to get organic certificate or certify their shrimp as organic. Such practice helps to protect mangrove forest so should be practiced in other project areas also by communicating with Department of Agriculture of respective provinces or at the central level.	CPMU
	Output 3	
8.	Initiate as early as possible the activities related to disaster risk insurance and risk transfer mechanisms, as these type of activities will take time to prepare and implement.	VnDMA/MARD/UNDP/CPMU

9.	Database at the local level should be compatible to the national database so that it could be used by the central government also in its planning activities.	VnDMA/MARD/CPMU
10.	The Community based disaster management report prepared following ToF for each commune is very complicated for local leaders to understand. Even it is learned that report has not reached to some commune leaders. Also, information of this report needs updating each year and commune leaders mentioned that they don't have budget and human resource to update report. Hence, it is recommended that the report should be simplified and also sent to relevant commune leader and explained to them how to use it. Also key information of that report should be identified so that communities could update only those key parts each year.	VnDMA/MARD/ CPMU/PPMU
Project Implementation and Adaptive Management		
11.	Need to improve monitoring at the local level and also from the provincial level so that enrichment plantation will be properly done. Benefit from shrimp and crab farming is higher than mangrove so farmers are less interested to plant mangrove. The return from mangrove will come only after 15-20 years and also not so much. There is possibility that farmers may not plant mangrove in sufficient area or do not do enrichment on time so that the survivability will be less.	VNFOREST/PPMU/Province forest department/FMB
12.	Involvement of Women's Union in commune level is encouraging but at the provincial level and central level is weak because women Union is neither represented in the project board nor in monitoring team. They should also be included in the monitoring activities of the project.	UNDP/VnDMA/CPMU/PPMU
13.	It was observed that poverty status of household change in course of time due to different factors. The project has already initiated regular monitoring and updating of poor household for providing project benefits. This monitoring should be continued.	CPMU/PPMU
Sustainability		
14.	Resilient houses last longer and serve for at least 20-30 years and there is high demand from vulnerable coastal areas for such houses. Hence GoV should continue to invest in resilient housing and for addressing large demand should attract private sectors for their engagement and contribution. Local NGOs could also be specialized in low cost resilient housing so that they will continue these services with funding from GoV, private sector or communities.	MOC/DOCs
15.	Attract private sector so that more livelihood activities could be implemented for the poor households to improve their economy and thereby strengthen their resilience to climate change and disasters.	VNFOREST/MARD/CPMU

16.	Trainings on CBDRM should also cover district level leaders so that planning could be made more evidence based and help to mainstream climate change and disaster risks into development and socio-economic planning processes.	VnDMA/MARD/CPMU/PPMU
17.	<p>VnDMA, VNFOREST and UNDP should discuss with the provincial and district authorities potential funding support for the protection of the mangroves from government resources to make sure that these activities are continued beyond the project.</p> <p>For provinces where local funding is not available, alternative solutions need to be identified to cover the cost of plantation and protection of mangroves beyond project phase.</p>	VNFOREST/MARD/UNDP

Note: More Recommendations are given on page 25.

1. Introduction

1.1 Purpose of the Evaluation

As per UNDP's guidance for initiating and implementing Interim project Evaluation of UNDP supported projects that have received grant financing from the GCF, this Interim Evaluation (IE) has the following complementary purposes:

- To assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results.
- Review the project's strategy, its risks to sustainability
- To promote accountability and transparency, and to assess and disclose the extent of the project accomplishments.
- To provide feedback on issues that are recurrent across the UNDP portfolio and need attention and on improvements regarding previously identified issues.
- To contribute to the overall assessment of results in achieving GCF and GEF strategic objectives aimed at global environmental benefits.
- To gauge the extent of project convergence with other UN and UNDP priorities, including harmonization with other UN Development Assistance Framework (UNDAF) and UNDP Country Programme Action Plan (CPAP) outcomes and outputs.

Full details of the objectives of the IE can be found in the TOR, but the evaluation has concentrated on assessing the concept and design of the Project; its implementation in terms of quality and timeliness of inputs, financial planning, and monitoring and evaluation; the efficiency and effectiveness of activities carried out and the objectives and outcomes achieved, as well as the likely sustainability of its results, and the involvement of stakeholders

1.2 Scope & Methodology

This Interim Evaluation (IE), carried out by independent consultants, was initiated by UNDP Vietnam as the GCF Accredited Entity for the Interim Evaluation of "Improving the resilience of vulnerable coastal communities to climate change related impacts in Viet Nam" Project to measure the effectiveness and efficiency of the project activities in relation to the stated objectives, and to collate lessons learned.

The Interim Evaluation commenced from 26th November 2019 and will be completed as soon as possible after the end of the current field mission that starts from the 14th December 2019. It is hoped that the draft final report will be submitted to UNDP Vietnam before 10th February 2020. Comments will then be invited by UNDP and Government Implementing Agencies on the report who will coordinate the process, and the evaluators will provide a final version shortly thereafter (typically within a few days, but making allowance for possible other work commitments). The evaluators' contracts stipulate 30th March 2020 as the date of the final milestone.

The Evaluation was evidence-based wherever possible and was conducted through the following participatory approach:

- a thorough review of the project documents and other relevant texts, including all relevant sources of information including documents prepared during the preparation phase (i.e. baseline funding proposal submitted to the GCF, the Project Document, project proposal, project reports including Annual Performance Report, Quarterly Progress Reports, UNDP Environment & Social Safeguard Policy, project budget revisions, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review).
- extensive face-to-face and Skype interviews with the project management and technical support staff, including some members of the Project Implementation Units was conducted. Throughout the evaluation,

particular attention was paid to explain carefully the importance of listening to stakeholders' views and in reassuring staff and stakeholders that the purpose of the evaluation is not to judge performance in order to apportion credit or blame but to measure the relative success of implementation and to determine learnt lessons for the wider GCF context. The confidentiality of all interviews was stressed and remained paramount. Wherever quotes from interviews are used in the final report, they are unattributed to an individual unless they wish otherwise. Wherever possible, and within time constraints, information collected were cross-checked between various sources to ascertain its veracity, but in some cases time limited this.

- face-to-face interviews with local stakeholders, NDA, project team, task team/Output leaders, key experts and consultants in the subject area, project steering committee, government staff, local government, community members, UNDP CO, UNDP-GEF Regional Technical Advisors, other NGOs and the beneficiaries. IE team will conduct field missions to project sites in at least 3 project provinces in the north, centre and southern areas of Viet Nam.
- Unlike some evaluations, interviews were not carried out using a set of interview guidelines which the lead evaluator finds too inflexible. Instead, interviews were carried out informally, perhaps focussed on certain key points, thereby allowing the evaluator to pick up on certain issues and draw vital information out from what often starts as a seeming "throw-away" answer to a question. Long experience has proved the efficacy of this method. Preparation is not required by the interviewee and there are no "right" or "wrong" answers. It is people's experiences, insights, reflections, and suggestions with or on the project that are important. An opportunity was given by all interviewees to ask questions of the evaluators.
- IE will review progress towards results. This is to be assessed based on data provided, amongst others, in the project document, project work plan as well as results verified in the course of the IE mission.

In general, the baseline indicators are very straight forward. It is consistent with the rationale of the project that there is a considerable knowledge gap, financial constraint to bear the increased cost of modified design of the house, lack institutional set up in vulnerable areas and technically weak to manage forest in the coastal belt, which the project intends to fill and tried to contribute to the build-up of a science-based knowledge system. The objective of the project is to reduce vulnerabilities to the adverse impacts of climate change through participation design, community-based management, improvement in design of house to increase resilient to disaster, diversification of afforestation and reforestation programmes and creation of information base to promote evidence-based development planning. The project seeks to achieve three Outputs.

The original log-frame in the Project Document was reviewed during Inception Workshop of 24 November 2017 but no change was made in log-frame and also no change in activities was made. The project log-frame, comprising one objective and three outputs, has been used throughout as the basis for this evaluation (see [Annex VIII](#)), and the IE has evaluated the Project's performance against these according to the current evaluation criteria provided to it by the GEF (GCF evaluation guidelines is under development) (Annex IV). The Project results were measured against achievement indicators guided by evaluation questions (evaluation criteria, Annex II).

The results of the evaluation were conveyed to UNDP and other stakeholders.

1.3 Constraints

Project covers seven coastal provinces covering wide areas so visiting all sites to witness every activities was not possible in given mission time for Interim Evaluation so review is limited to few selected sites of the three provinces. Co-finance (cash+kind) from GoVn was in bulk and component wise breakdown for each year of provisioned budget was not available in the project document so comparison of budgeted and actual expenses for each year for each component was not possible.

1.3 Structure of the Evaluation Report

The IE report presents an Executive Summary of the evaluation, with project information table, a brief background of the project, a summary of the project progress, IE Rating and achievement, concise summary of conclusions and summary recommendation. This is followed by an Introduction outlining the purpose of the IE and objectives, scope & methodology, principles of design and execution of the IE, IE approach and data collection methods, limitations to the IE and structure of the IE report. Other chapters include the following Sections:

- Project description and development (background) context (this includes project design, its rationale and development context, the problems that project sought to address, the objectives, establishment of baseline, key stakeholders and expected results)
- Findings (Results of implementation and comparison with the targets as set)
 - Project Strategy
 - Progress Towards Results
 - Project Implementation and Adaptive Management,
 - Sustainability
- Conclusions and Recommendations
- Annexes.

2 Project Description and Background Context

2.1 Development Context /Relevance

Viet Nam is ranked 23rd of 193 countries as per Climate Change Vulnerability Index (CCVI) and is one of 30 “extreme risk” countries. High level of poverty, high population density, exposure to climate-related events, and dependency on flood and drought prone agricultural land are reasons of risk. Second National Communication of Vietnam forecasts a 57-73cm rise in mean sea level along the Viet Nam coast by 2100. This would inundate approximately 30,000km² equivalent to 9.3% of the total national land surface. Climate projections also threaten possibility of intense typhoons, or super storms, accompanied by storm surge similar to that happened in Tacloban area of the Philippines in 2013. More than 500,000 people live within 200 meters of the coast whose homes are most often directly impacted by typhoon landfall and storm surge. House is often the single largest asset owned by individuals and families and within their other family-owned assets are concentrated. Hence, house resilient to disasters enhance the adaptive capacity of household.

Coastal ecosystem including coastal mangrove forests, provide a vital buffer against storms, sea surges and salt water intrusion. However, area of mangrove forests has reduced significantly, primarily due to ongoing population pressure and, more recently, from the expansion of poorly planned shrimp aquaculture. There used to be approximately 408,500 hectares of mangroves in Viet Nam but by year 2000, it reduced to 155,290ha. The Government of Viet Nam’s sustainable Development Strategy (2011-2020) stress on green growth, low-carbon economic development, prevent, control and repair environmental pollution and degradation, improve quality of the environment, protect and develop forests and conserve biodiversity, reduce harmful effects of natural disasters, actively and effectively respond to climate change especially sea level rise. The constitution of Viet Nam, under article 59 section 3, affirms that the State shall exercise a policy of housing development and create conditions so that everyone shall have housing. The coastal provinces in Viet Nam are home to a third of the population, hence suitable solution must also include climate-resilient housing to ensure safety of households in vulnerable areas.

The country is frequently subjected to cyclones, extreme weather events and storm surges, which in turn often lead to riverine and coastal flooding and saline intrusion and exacerbate existing problems of coastal erosion. Poor communities living in coastal regions of Viet Nam are adversely impacted by frequent flooding and every year approximately 60,000 houses are destroyed or damaged by floods and storms in coastal provinces. Climate change is likely to further exacerbate Viet Nam’s existing vulnerability to natural hazards. Within the more than 3,260km of coastal line, approximately 30% of Viet Nam’s population of 90million people lives in Viet Nam’s 28 coastal provinces. These areas are particularly vulnerable to sea level rise and the associated risks of salt water intrusion and super storm surge and flooding. Viet Nam’s Second National Communication forecasts a 57-73cm rise in mean sea levels along the Viet Nam coast by 2100. Without major action, this would inundate approximately 30,000km² equivalent to 9.3% of the total national land surface. Climate projections also point to a likely increase in the probability of intense typhoons, or super storms, accompanied by storm surge similar to that which devastated the Tacloban area of the Philippines in 2013.

2.2 Problems that the Project sought to Address

This project has incorporated urgent priorities identified by Viet Nam’s Sustainable Development Strategy 2011-2020. This project is designed to reduce the vulnerability of extremely poor and highly exposed coastal communities to existing climate variability and future climate change-related risks through a combination of measures that will strengthen both people’s adaptive capacity and the long-term resilience of coastal greenbelts in Viet Nam. The improved design of the house helps to increasing resilient of building to storms, flood and other disasters.

This project is developed to address the problems faced by the communities from the coastal belt of the Viet Nam and the project is in-line with country’s policies and strategy to climate change adaptation. The project will implement urgent priorities interventions identified in Viet Nam Sustainable Development Strategy and Viet Nam’s constitution’s

article 59 section 3. It also supports 7 of the 17 Sustainable Development Goals (SDGs) namely: i) No Poverty ii) Zero Hunger, iii) Gender Equality, iv) Clean Water and Sanitation, v) Climate Action, vi) Life below water and vii) Life on Land. The Ministry of Agriculture and Rural Development (MARD), UNDP, other stakeholders including Provincial People's Committee Chairs, other relevant government and non-government institutions were involved in developing the project and also MARD is implementing and executing agency of the project so country's ownership is strong.

The policy to support poor households to build safe houses to prevent them from storms and floods in the Central region was promulgated under the Prime Minister's Decision No. 48/2014 /QD-TTg of August 28, 2014 (called "Program 48"). This is the basis for GCF to fund the construction of safe houses of the project. Based on that, Output 1 of the project has been supporting the construction of safe houses that are resilient to storms and floods in coastal areas of 5 central provinces, including Thanh Hoa, Quang Binh and Thua Thien - Hue, Quang Nam and Quang Ngai. The support value of the project for each house is 1700 USD, which is higher than the amount of 12-16 million VND / house from Program 48, ensuring that the built houses are fully resilient to floods and storms.

Mangrove forest contributes to buffer against storms, sea surges and salt water intrusion. However, the coverage of mangrove forests has reduced significantly due to various reasons (already described above). Project targeted to conduct plantation and regeneration activities to establish 4000ha mangrove forests to buffer against storms, sea surges and salt water intrusion. Project also identified 15 model of livelihood activities for the households that will be affected by the mangrove plantation. Likewise, project will establish database which will support evidence based development planning in the country which will help to mainstream climate change and disaster in the national development activities.

2.3 Project Description and Strategy

The project "Improving the resilience of vulnerable coastal communities to climate change related impacts in Viet Nam" is aimed to enable the GoVn to design measures for mitigation and adaptation to address climate change, through (a) supporting communities living in coastal afforestation/reforestation sites to adopt resilient livelihoods, (2) regulatory reform and fiscal incentive structures introduction that incorporate climate change risk management, (3) improving design of house to make them resilient to typhoon and storms, and 4) training for climate risks, disaster preparedness and the benefit of coastal forest for climate risk mitigation. The project aims to assist the GoVn to carry out all the necessary activities to increase climate resilience of coastal belt communities and through adaptation and mitigation activities.

To measure the achievement of the project baseline indicators were established and are as follows:

Objective: The overall (or immediate) objective of the project is:

To increase resilience of vulnerable coastal communities to climate change related impacts in Viet Nam.

Expected Results

The project aims to achieve its objective through 3 outputs which will have a total of 9 main activities. These outcomes and outputs are as follows:

Output 1: Storm and flood resilient design features added to 4,000 new houses on safe sites, benefiting 20,000 poor and highly disaster-exposed people in 100 communes

- Activity 1.1. Grant support for cost of additional flood/storm resilient features to 4,000 houses
- Activity 1.2. Community-based climate and disaster risk mapping and planning
- Activity 1.3. Knowledge products, developed based on lessons learned, for policy makers and communities

Output 2: Regeneration of 4,000 hectares of coastal mangrove storm surge buffer zones using successful evidence-based approaches

- Activity 2.1. Regeneration or replanting of 4,000 hectares of mangroves in coastal areas vulnerable to climate change
- Activity 2.2. Community-based programme on mangrove rehabilitation, maintenance and monitoring for target communities
- Activity 2.3. Knowledge products, developed based on lessons learned, for policy makers and communities

Output 3: Increased access to enhanced climate, loss and damage data for private and public sector application in all 28 coastal provinces of Viet Nam

- Activity 3.1 – Update disaster database and establish risk data repository, with mechanisms established for sharing/disseminating information.
- Activity 3.2 – Policy support for planning/line ministry staff at the national and sub-national levels to apply disaster/loss information to inform climate resilient planning.
- Activity 3.3 – Analysis of risk transfer mechanisms for insurance, including for cases of large scale coastal climate related disaster (loss of more than 3% GDP).

2.4 Implementation Arrangements

2.4.1 Project Implementation

The project is implemented under the National Implementation Modality (NIM), where Vietnam Disaster Management Authority under the Ministry of Agriculture and Rural Development (MARD) is implementing agency, together with the Department for Management of Housing and Real Estate under the Ministry of Construction (in charge of Output 1) and VN Forest under MARD (in charge of Output 2). The implementing partner is expected to be responsible and accountable for managing the project. Overall responsibility and accountability for the project implementation lies with UNDP including the quality assurance and other relevant project implementation support (identification and recruitment of project and programme personnel, procurement of goods and services, administration of GCF financial contributions and provision of other technical and administrative supports).

The project had a Project Board (PB) (also called Project Steering Committee) that meets annually or if necessary more frequently. The PB is represented by Ministry of Agriculture and Rural Development (MARD), Ministry of Construction, Ministry of Finance and Ministry of Planning and Investment, Provincial People's Committee Chairs in 7 provinces who are participating directly in the project and the UNDP. The PB is the main decision-making body of the project. The implementing partners develop Annual Work Plans (AWPs) and then submit to the PB for review and approval. The PB has a vice-minister of MARD as chairperson and is responsible for implementing relevant project Outputs, a UNDP representative in the role of Senior Supplier and representatives of other implementing partner organisations as the direct beneficiaries. The Viet Nam Disaster Management Authority (VnDMA) had appointed the National Project Director. The PB plays a critical role in project monitoring and evaluations by assuring quality of the project's processes and products, and using evaluations for performance improvement, accountability and learning. It ensures that the requested resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems with external bodies.

For the day to day management, at the central level project has the Central Project Management Unit (CPMU) which plays key role in coordination with the line ministries, Output PMUs, and also provincial departments and Provincial Project Management Units (PPMU) for implementation and monitoring of the project activities. As informed by the Project team, the sites were selected with the help of the experts by the project to conduct vulnerability and adaptation impact assessment. The PPMU work closely with the provincial level governments, district level government and commune level government to implement and monitor project activities.

2.4.2 Coherence

The project was built on the ongoing government programmes, which used its past experience on safe house building and mangrove plantation implemented in partnership with UNDP, Vietnam Red Cross, CARE etc. For effective implementation of the resilience-building activities for the vulnerable coastal communities, project partnered with

different government and non-government institutions specialised and experienced on climate and risk information, safe housing and forestry.

A multiple partners including NGOs and INGOs including Viet Nam Red Cross, Viet Nam Women's Union, and Oxfam were collaborated and during the inception phase of the project, UNDP, MARD and MOC consulted with them and the private sector to formulate a concrete partnerships roadmap and action plan, benefiting from the current good practices and working relationships with and established technical ground between MARD, MOC and INGOs and NGOs. Project also utilised skills and expertise of academic institutions like Vietnam Institute of Meteorology, Hydrology and Climate Change (IMHEN), Viet Nam Academy of Water Resources, the Institute for Building Science and Technology (IBST) and Vietnam Academy of Forest Sciences. From the private sector actors, the insurance sector was also consulted and involved for strengthening of the loss and damage databases.

The project at the global level complement regional and global initiatives to achieve global climate change targets under the Paris Agreement, while climate information enhancement will enhance Inter-Government Panel for Climate Change (IPCC) processes. They will also contribute towards Viet Nam's implementation of the Sendai Framework for Disaster Risk Reduction, and to Viet Nam's actions to enhance climate risk management through the ASEAN's Humanitarian Assistance for Disaster Management (AHA) and APEC's Emergency Preparedness Working Group (EPWG).

Based on the capacity, experience and existing partnerships, organisations like Vietnam Women's Union was identified for CBDRM and community feedback mechanism and United Nations University on risk transfer/insurance technical expertise, IMHEN for climate change projection and risk mapping support, UNV for provision of local level community mobilisation and monitoring support and Water Resources University on database development and information management.

2.5 Project timing and milestones

The 5-year project was approved during the GCF Board meeting #13 (B.13) on 30 June 2016, subsequently the FAA was signed on 8 June 2017 and entered into effectiveness on 11 July 2017. The project document was then signed between UNDP and the implementing partner on 7 September 2017. The project conducted two days pre-inception workshop and a half day Inception workshop on 24 November 2017. The project start date is the FAA effectiveness date, which is 11 July 2017, therefore the project end date is 11 July 2022. This Interim Evaluation was conducted in November-December 2019. After a thorough analysis of gaps identified and lessons from past co-management initiatives undertaken by Red Cross, UNDP and Government of Vietnam the project identified activities for this project.

The key timelines which are planned or expected for project implementation are shown in Table below.

Key project's milestones	Date
Funding Proposal Approval	30 June 2016
Signing of FAA	8 June 2017
Project Document Signed	7 September 2017
Inception Workshop Date	24 November 2017
Actual Mid-term Review Date	Nov-Dec 2019
Project completion date	11 July 2022

2.6 Main stakeholders

The project development process involved many stakeholders at the national, provincial authorities and locals people from project sites, women's groups, non-environmental agencies (agencies not involved in environmental activities directly), village level resource users, community leaders, donors and civil society. Process included workshops, focus group discussions and bilateral consultations. The inception workshop of the project implementation was held on 24th November 2017 in Hanoi. Consultations identified threats, opportunities, gaps and activities. Detail list of participants is provided in the Annex VI of the project document. Main stakeholders of the project include the following: i) Ministry

of Agriculture and Rural Development, ii) Ministry of Planning and Investment, iii) Ministry of Construction, iv) Ministry of Finance, v) Provincial People's Committee Chairs, vi) UNDP, vii) Academic Institutions, viii) Technical Institutes, ix) Communes from coastal areas, and x) Vietnam Women Association.

3 Findings

3.1 Project Strategy

3.1.1 Project Design

The project was designed to address the problem related to climate change and disasters through the community-based adaptation and mitigation, plantation/regeneration, participatory natural resource management, improving/establishing institutions, improving design of the house to resist typhoon and storms, develop and adopt benefit sharing between coastal communities and protecting communal livelihood assets in new afforestation and reforestation sites. The project aimed to strengthen capacity of community and government institution in monitoring and management of coastal forests to avoid climate and disaster risks. The design of the RRF was very clear with clear outputs milestones, activities for each outputs and SMART indicators to monitor implementation and achievements for most of the activities. The project was designed to work at both a macro level (national government scale) and a micro level (local government and pilot sites or local scale). On the national level, it aimed to develop guidelines and MoU and decision making on various activities, establish institutional set up and enhance capacity of these institutions. Similarly, at the micro level it aimed to work at establishing local database, conduct plantation/regeneration activities, implement livelihood activities, enhance capacity of community member and local authority on climate change adaptation/mitigation and disaster risk management.

The implementing and executing institutions were involved in the project from the project design phase. The project design involved a thorough analysis of capacities of various partners and their interests (see 2.4.2-2.6). Project design has incorporated lessons learned from the previous pilot project on coastal protection (see 3.1.1.1) and several relevant projects in the country and also from other countries. Role and responsibilities of implementing partner and other institutions was very clearly defined in the project design (see 3.3.1) and articulated in PIF. The project in its developed discussed gender issues and development interactions also included Vietnam Women's Union.

Project identified risks of only medium and minimum scales and has developed mitigation measures and made provision of reviewing in every quarter. It has arranged mitigation measures to address the risks. Day to day activities are coordinated by the project management unit and activities are implemented by the relevant implementing partners.

3.1.1.1 Lessons from other Relevant Projects incorporated into Project Design

During the formulation of this project, lessons from the previous coastal projects of the government was utilised. Government of Vietnam has already piloted some safe house with the support from Korean Government and also from Red Cross. Based on those experience, Government modified design of the house for improving safety during disaster situation but the cost was more than provisioned by the government in their fiscal budget so the GCF helped to assist government to implement safe housing activities in the coastal areas that are vulnerable to disaster risks. Similarly, Government of Vietnam itself and also with the support from different donor agencies like SNV, CARE and others implemented mangrove plantation/regeneration and livelihood activities linked to mangrove plantation for the vulnerable coastal areas. Government of Vietnam had plans to support vulnerable populations from the coastal areas through its ambitious strategy but the target was very ambitious so was not possible to cover all by government's budget alone. The project contributed to address the budgetary constraints to implement safe house and also mangrove and livelihood packages. This project with the GCF will cover the increment costs of the additional safely features,

based on the lessons learned from previous housing programme designs and successful design piloted in Da Nang. Project applied lessons learned from the Philippines' post-Tacloban experience and integrated wider resilience building efforts for extensive and super-typhoon/storm surge risk. While designing project, Viet Nam Women's Union was consulted to utilise their experience from previous projects regarding men and women's issues related to disaster and also reviewed previous projects and policy documents. Project also utilised livelihood models developed by the CARE International in Vietnam.

Gender

Women and children are the one who are most vulnerable to disasters related to climate change. The project design has recognised risks associated with climate change and vulnerability of women to such risks. Poor women with limited access to resources, restricted rights, limited mobility and voice in community and household decision-making can make them more vulnerable than men to the climate change. The knowledge provided by this project will help to empower women and advance resilience to the climate change. At the project development phase, specific efforts were made to consult women groups and collect information regarding the impacts of climate change on women. The Viet Nam Women's Union was consulted at both the national and local level and also in field missions took care to consult with both men and women regarding lessons learned from previous pilot projects specifically to increase the participation of women, senior citizen, youth and vulnerable groups. A full Gender Assessment and Gender Action Plan were completed for the project (Annex 6 of ProDoc). The recommendation from the assessment were followed while developing activities, implementation approaches and benefit distributions. The project implementation was participatory and also made provision of at least representation of women by 30% in commune level representatives. It had made arrangement to provide direct benefits to women by giving priority to vulnerable women with disrupted livelihoods. The project also included women in awareness programs to make them aware on climate change risks and mitigation options for their business thereby help to protect their livelihoods and enhance their adaptive capacities. The GCF financing will also be used to promote participation of female members in the Mangrove Management Groups. Project also has activities to increase women's participation in community levels and selection as project beneficiaries is adhered according to the agreed selection criteria and proposed areas of improvement. It also specifically address the differentiated needs of women during the time of climate-induced natural disasters. The project constructed 2,402 safe houses of which 60% were for poor women headed household. Mangrove plantation provided work for 1,000 local people of which 40% were women. Similarly, Livelihood program support were provided to 408 household of which 31 were women headed households. Likewise, of the 201 ToT trainees 79 were women and of 32,083 trainees of TOF training (local people and local authorities) 48.34% were women. At the central and provincial level, women Union's involvement in monitoring is weak so suggested to improve involvement of Vietnam Women's Union (VWU). Also VWU is not included in the project board. Representation of women in the project board will help to bring women's issues in project decision making activities and to ensure priority to their issues. Similarly, their representation in monitoring helps to address the weakness in the project activities implementation from the gender perspective.

3.1.2 Result Framework / Logframe Analysis

The log frame has a single development objective, three outputs and 9 activities. The extensive activities are also listed in full, complete with their own indicators. The objectives and outputs are clear and appropriate to the issues and also designed considering the timeframe of the project.

The logical framework was revised in Inception workshop (24 November 2017) but no change was made in indicators or outputs. Each output was thoroughly reviewed and action tasks were recommended by the inception workshop. There has not been any change in number of outputs from the original logframe. Inception workshops were also held in provinces to discuss activities, divide responsibility and also made work plan and monitoring plans.

Most of the indicators of the logframe are all SMART (Specific; Measurable; Achievable and attributable; Relevant and realistic; Time-bound, timely, trackable and targeted) and are relevant and precise. Baseline for carbon emission reduction or carbon sequestration by the existing plants were not available in the log-frame but in 2018 baseline carbon data is collected. All are based on sound scientific monitoring protocols using the most relevant measures for a given criteria. But the indicators were not gender wise disaggregated. Also the detail baseline information regarding socio-economic situation was not available to analyse the impact in the future. IE observed that communities were benefited

from the livelihood activities and also safe house helped to protect live and property during recent storm of 30 October 2019 (Matmo Tropical Storm) and of 10 November 2019 (Nakri Tropical Storm). Activities planning was supported by the information generated by the project. Due to delay in initiation of the project, some of the locations identified for mangrove plantation was taken by other project so project had to find new areas to meet the target. It is too early to speak on impact of mangrove plantation/regeneration but could expect large amount of carbon storing in biomass and also mangrove forests will help to decrease the intensity of the tide/cyclones and flood. The project should monitor annually the economic and social impact of project activities.

3.2 Progress toward Results

3.2.1 Progress towards Outcomes Analysis

The project is able to achieve most of the activities targeted for mid-term under Output 1, some shortcomings in Output 2 and minor short comings in Output 3. It is able to completed more than targeted number of resilient house construction, conducted more than targeted number of trainings and slightly less area of mangrove plantation. It is able to provide alternative livelihood activities for those affected by mangrove plantation programs. Estimated restoration of 34,414 tons of CO2 equivalent from mangrove plantation and management. Besides restoring carbon stock, mangrove plantation also contributes to decrease damage from flood, tides and cyclones to communities. These activities of the project provided benefits to a large number of women headed (specifically single women) and poor households.

(For Progress, rating and justifications See Annex III)

Output 1: Storm and flood resilient design features added to 4,000 new houses on safe sites, benefiting 20,000 poor and highly disaster-exposed people in 100 communes

Activity 1.1: Grant support for cost of additional flood/storm resilient features to 4,000 houses

- PMU of Output 1 has coordinated with the provincial Departments of Construction to organize the study, selection and application of housing designs suitable to climatic and socio-economic conditions in each locality.
- Project beneficiaries have been selected through a participatory and transparent process with specific criteria and priorities given to the most vulnerable ones, including poor, disable and women headed households. The project implementation has consensus of the entire political system and local people. PPMUs closely coordinated with the local authorities and the local mass organizations such as women union, youth union and farther-land front in assisting people to receive monetary support, construct houses ensuring quality.
- 2,402 safe houses were completed (60% of project target) and these includes about 60% poor and women headed households from the coastal areas of 5 provinces (Thanh Hoa, Quang Binh, Thua Thien – Hue, Quang Nam and Quang Ngai). Stairs of the house are very steep so need to improve design of stairs to make it friendly to old and disabled people. Similarly, the toilet is not suitable for women (though toilet is not part of house design), it should be friendly to women.
- Construction wastes were appropriately treated and in more than 90% houses materials from old houses and locally available materials were used.
- In some localities, many resilient houses built by the Project served as safe shelter for people from local communities against the storm and floods of 2018 and 2019 and no life and property loss was reported in these disasters from the project sites.

Activity 1.2: Community-based climate and disaster risk mapping and planning

- Community-based climate and disaster risk mapping and planning has been implemented in 252 communes across 7 project provinces. This sub activity is included in the training package of the Output 3.

Activity 1.3: Knowledge products, developed based on lessons learned, for policy makers and communities

- Department of Construction in each of the 5 provinces has developed 5 designs of the resilient house from which beneficiary houses were allowed to choose suitable design based on the space they have and their other requirements.
- The implementation was also benefited from technical support from UN-HABITAT and Vietnam Institute of Architecture.
- Utilising experience from this project, a nation -wide housing program is being developed to build safe houses in vulnerable coastal areas of 28 coastal provinces of Vietnam.
- 2 documentary films were developed to document and also present general public knowledge on project's housing activities and progress, and procedure to apply for financial support from the project.
- Resilient design competition was held for technical university's students and practitioners for awareness raising on the flood and storm safe design and construction of house.

The activities of output 1 has achieved all its major mid-term level targets, and yielded some global environmental benefits, with no shortcomings. Considering the achievement and quality of outputs it is presented as “good practice” and is rated as **Highly Satisfactory**. Project has accomplished more than targeted activities of output 1 that were required to reduce vulnerability of communities in coastal areas through modified design of the house, hence the outcome achievement is rated as **Highly Satisfactory**.

Output 2: Regeneration of 4,000 hectares of coastal mangrove storm surge buffer zones using successful evidence-based approaches

Activity 2.1: Regeneration or replanting of 4,000 hectares of mangroves in coastal areas vulnerable to climate change

- In cooperation of all 5 PPMU, assessment and analysis of the complexity and difficulties involved in mangrove development were conducted to identify the best forest restoration measures and develop the cost norms appropriate for the 5 project provinces (Thanh Hoa, Quang Binh, Thua Thien – Hue, Quang Nam and Quang Ngai). It involved field surveys, mapping current status and planning areas capable of implementing afforestation and rehabilitation. Researches were also done to estimate the level of investment for each technical measure, afforestation with newly laid beds, lowering of substrates in lagoons, afforestation along river / sea, zoning with supplementary planting etc.
- Initially 2,148 ha of forests/forest land were identified for project intervention. The review process continued in 2018 and 2019 and the committed areas reaches 4,130 ha, exceeding the project target of 4,000 ha.
- Technical guidelines for 9 mangrove species suitable with site locations and in line with project support levels in provinces were developed and approved by Vietnam Administration of Forestry (VNFOREST).
- Manuals for techniques applied in afforestation and forest rehabilitation under this project were developed and technical training provided to households and forest owners (610 people, in which 201 are women).
- TOT training for 86 forest officers (13 women) in 5 provinces in management, update, monitor and use of the database of coastal forests.
- Total area of forests planted/regenerated/protected in 2 years (2018 and 2019) was 1,441 ha. In some areas mangrove was affected. Seven types of mangrove species were identified and planted depending on soil of the sites and plantation was monoculture (one species in each sites). In Thanh Hoa province, in the enrichment areas a new species of mangrove was planted that is different from existing species. Forest Management Board monitors protection forests at the local level and project forestry program lies in the protection forest area. Native seeds were used for sapling production.
- About 1,000 local people got job in mangrove plantation/regeneration and protection activities including 40% women.
- Project also measured increase in carbon stock and reduction of GHG emission. Total baseline carbon reserves was 422,864 tons of CO₂ equivalent and it is estimated that by the end of end of December 2019 it will increase to 457,278 tons of CO₂ equivalent with net carbon reserve reducing 34,414 tons of CO₂ equivalent.
- Also impact assessment was conducted to assess the impact of mangrove development on people's livelihoods. Based on the information from this assessment, 15 livelihood models have been developed in 11 communes of

the 5 project provinces involving 408 households which include 31 women headed household. Of the 176 household supported for Shrimp farming, one failed due to PH problem in water. Innovative aquaculture practice was trained to farmers which reduced mortality of Shrimps and Crabs.

Activity 2.2: Community-based programme on mangrove rehabilitation, maintenance and monitoring for target communities

- Community-based programme on mangrove rehabilitation, maintenance and monitoring for target communities was not initiated. Initially, this activity was planned under Output 2, but the Project Board decided to move it, together with the budget of 100,000 USD, to under Output 3 to be integrated with community-based disaster risk management training. However, the mangrove focus has been diluted.

Activity 2.3: Knowledge products, developed based on lessons learned, for policy makers and communities

- Database of Vietnam's coastal forests (28 provinces having coastal forests) has been developed and will be endorsed by MARD, benefitting national level forestry and disaster management planning and decision making. It is planned to integrate into the forestry sector information management system (FORMIS).
- A software to manage and use the coastal forest database has been developed (Desktop and Web versions).
- VnFOREST approved technical guidance for planting, growing, caring and protecting 9 mangrove species in the project areas and other areas with similar conditions.
- The reduction of greenhouse gas emission due to forest plantation and rehabilitation of the project (34,414 tons of CO₂ equivalent in 2019 and estimated 400,000 tons in 2022) contributes to the realization of Vietnam's commitment (nationally-determined contribution).
- A short documentary film introducing the project in the provinces has been produced.
- 1,500 leaflets to introduce project mangrove development, 2,450 mangrove propaganda poster, 2,000 copies of technical manual on mangrove planting techniques, 1,000 copies of manual for management and use of coastal forest database have been printed and disseminated to various relevant stakeholders. Communication activities were implemented in the provinces.

The output 2 has achieved some of mid-term level targets, and able to yield some global environmental benefits. The activities that are accomplished maintained its quality. The project could not meet the mid-term target of plantation. Also training component (2.2) which was moved to output 3 lost focus on mangrove. This output can be presented as “moderate practice” and is rated as **Moderately Satisfactory**. Project has accomplished some of the activities of output 2 that were required to strengthen community involvement in, and ownership of, mangrove forestry-based adaptation and climate risk reduction, hence the outcome achievement is rated as **Moderately Satisfactory**.

Output 3: Increased access to enhanced climate, loss and damage data for private and public sector application in all 28 coastal provinces of Viet Nam

Activity 3.1: Disaster database updated and risk data repository established, with mechanisms established for sharing/disseminating information

- The review of DRR and Climate risks related information system of the VnDMA has been completed and the recommendations submitted to use it as a basis for the development of the Vietnam Disaster Monitoring System.
- 22 TOT trainings (201 person trained including 79 women) were conducted including 5 at central level and 17 at provincial level to provide guidelines for TOF training and CBDRA activities at commune level. Trainers were provided scientific knowledge regarding disaster and climate change. Database consultant is hired and work is progressing and expected to complete in two months. Mangrove database completed in 100 communes.
- 252 TOF training and CBDRA sessions (6 days each) have been implemented respectively in 252 communes of all 7 project province (project target was 520). Throughout these trainings and CBDRA process, 32,083 local people and local authority staffs involving 48.34% women participated and had benefited with information about CBDRM and climate change. Data collected from CBDRA are being used to develop a climate change and natural disaster risk database. Consultant is hired to complete the database development and expected to complete within

two months. After ToF, community base disaster management report was prepared for each commune but the report is too complete and local leaders had difficulties to understand them for using. Some commune leaders mentioned that the report has not reached to them yet. Information of this report need updating each year and commune leaders mentioned that they don't have budget and human resource to update report.

Activity 3.2: Policy support for planning/line ministry staff at the national and sub-national levels to apply disaster/loss information to inform climate resilient planning

- The project in collaboration with VnDMA has organized a meeting involving representatives from key ministries (MOPI, MONRE, MARD, MOF) to share their views on mainstream climate change risk into annual planning and good practices.

Activity 3.3: Analysis of innovative financial schemes to improve access to finance by poor households for investments in disaster preparedness and adaptation measures

- A study on innovative financing for disaster and CC impacts in Vietnam has been conducted with proposed recommendations/actions on developing an insurance sector to ensure their contribution to the Disaster Risks Financing and Insurance (DRFI) strategy.

The output 3 has achieved most of its major targets, and able to yield results, had minor shortcomings also. These outputs can be presented as “good practice” and is rated as **Satisfactory**. Project was able to accomplish most of the activities of output 3 that were required to mainstream disaster risk in development planning with capacity enhancement, evidence-based planning exercise supported by establishment of information base and developing mechanism of information sharing, hence the outcome achievement is rated as **Satisfactory**.

3.2.2 Remaining barriers to achieving the project objective

- Anonymous mail to GCF questioning transparency of procurement process of Mangrove plantation contractor bidding in Thanh Hoa province created problems for the project. Mitigation measures were initiated and UNDP CO stopped fund disbursement to Thanh Hoa PPMU and MARD initiated an investigation. UNDP's independent Office of Audit and Investigations also initiated an internal investigation. Due to this, fund disbursement from GCF was affected, which caused delays for the project implementation in Thanh Hoa Province. At the time of issuance of this report (March 2020), the process had concluded, and the case was resolved. No evidence of wrongdoing could be found following the investigations, therefore GCF released the next payment to UNDP. Any further delays with the disbursement of funds would have caused major issues with project implementation, in particular: i) For mangrove plantation, which has to be done within 3 months suitable for plantation; ii) Releasing of fingerlings of shrimps or crabs has to be done within specific season; iii) As some people like to build their house in the beginning of the year due to cultural/ritual reasons, late disbursement of money would have caused difficulties to complete housing targets in 2020.
- For the housing component, some of the households, which were registered as beneficiaries, dropped out from the list due to various reasons (i.e. lack of legal document of the land which is needed to be eligible for housing loans from the bank, some household changed their mind, some died). Hence, the project staffs had to identify new beneficiaries to replace those who dropped out for construction of more safe houses and this process is time consuming.
- For the activities related to the livelihoods support, long process for approval of the livelihood plans at the provincial level, procurement-related processes and approval of the procurement documentation, and sometimes delay in the approval of the payments, delays implementation of the livelihood support programs. Moreover, local level service providers are not familiar with the electronic procurement process so many of them could not take part in procurement processes.

- In some cases, process for approval of plans took long time (i.e. mangrove-related procurement and contract signing), and by the time it is approved, the land originally allocated for this project's mangrove plantation was re-allocated to other donors projects by the province level forestry office. So the project had to explore a new site for the plantation to meet the total targeted area. Finding additional suitable land in disaster prone area is very challenging and also time consuming.
- As per norms of the project, 20% of the contract amount is disbursed to plantation contractor as the first installment. Some of the contractors have complained that this amount of money is not sufficient for them to cover all startup costs, including payment to labor for the plantation, fencing and enrichment activities. The project may want to review this payment schedule and consider the possibility of increasing the first installment.
- Budget allocated for mangrove plantation is low (where big dikes has to be constructed to plant mangrove) for some areas while sufficient for areas like in Ca Mau Province. It is lower than the amount provisioned in the government's technical economic cost norms and this makes it difficult to conduct plantation activities in some provinces where higher dikes has to be constructed to plant mangrove. Contribution from provincial budget was made to cover the shortage in funding. In some places the sites are very scattered and that also increases cost.
- The IE team learned that there was an instance when a company from other regions of the country won the bidding to plant mangroves in Ca Mau province. The company then hired the provincial Forest Protection Board (FPB) as an implementing partner to do the work. In this case, direct contracting with the provincial FPB could have been explored to exclude the contractor in order to reduce the costs. When this matter was presented at the de-briefing, there were arguments provided by CPMU indicating why this would not be possible (i.e. FPB is a state organization and is not eligible to participate in competitive biddings). However, in Quang Ngai province, a similar state organization (the Dung Quat Technical Center for Agriculture and Forestry) participated in the competitive bidding process in partnership with another company for mangrove plantation and won the bid. Therefore, CPMU and UNDP may consider reviewing the Quang Ngai case to see its replicability in other provinces.

3.3 Project Implementation and Adaptive Management

3.3.1 Management Arrangement

UNDP National Implementation Modality (NIM) was applied to ensure broad stakeholder participation and to create both a high flexibility and an enabling environment for innovation. This also ensure ownership of the government of Vietnam. The project was implemented by the Disaster Management Authority (DMA) of Vietnam under the Ministry of Agriculture and Rural Development (MARD). A project management unit (PMU) was established in Hanoi with a full time National Project Manager and other core project staffs. The Project Executive i.e. MARD appointed official as the National Project Director (NPD). Vietnam Disaster Management Authority is designated as responsible implementing project activities. NPM is also responsible for the delivery of the results towards achieving outcomes and is accountable to the NPD.

The Project Board (PB) and its function and role in project management is already described in page 6.

Audit is conducted as per UNDP NIM audit policies and procedures and based on UN Harmonized Approach to Cash Transfer (HACT) policy framework.

Partnership Arrangement

Without contribution of various ministries, local government, research institutes and community member, project would not succeed. Hence this project was designed to involve wide range of partners to accomplish various activities related to Climate Change adaptation, resilient housing, forestry, livelihood improvement for enhancing adaptive capacity, awareness generation and database development. Stakeholders' involvement plan was clearly designed in the project document.

The Ministry of Agriculture and Rural Development established partnership with UNDP and also with provincial bodies. Similarly, partnership with Ministry of Construction, Ministry of Planning and Investment, Ministry of Finance, provincial governments, Vietnam Women's Union and academic and technical institutions.

Adaptive Management

The Project's adaptive management was good, because the project had a half day inception workshop, supported with two days pre-inception workshop at the central level which reviewed output, activities and indicators and the project also had inception workshop in each provinces where activities, indicators, responsibilities were discussed in more detail with district and commune level stakeholders. The workshop at the central level developed annual work plan which was further worked out at the provincial level. The workshops also discussed decision making structures, reporting, communication, conflict resolution mechanism, ToR of all staffs, risks and assumptions. Regular monitoring of the activities was made by the commune level body and also by provincial agencies. Issues observed at the sites were resolved on site by the joint monitoring team of stakeholders at the provincial level. From the Centre (National level) also a joint monitoring visits were made to the sites with high activities or sites with issues. Joint team of all relevant department of the government and other stakeholders was useful to address the problems. Some of the issues that provincial team could not resolve were discussed and resolved at the Project Board where representatives of all relevant government agencies, UNDP and provincial heads are represented.

Project was designed to pilot in 7 Provinces based on the suggestion from the experts.

3.3.2 Work planning

After recruitment of the project staff in November 2017 and the project manager in December 2017, project activities were officially launched. The project conducted two days pre-inception workshop (22-23 Nov 2017) and a half day Inception workshop on 24 November 2017. The first-year work plan was also developed during the inception workshop. Similarly, work plan is developed by the manager with the help of the project staff and discussed during annual review meeting and approved by the Project Board. The project manager ensured that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality. This includes, but not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the Annual Project Report, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. Environmental and social management plan, gender action plan etc..) occur on a regular basis. Any change in work plan has to be approved by the Project Board.

Activities provisioned in the work-plan were based on the actual cost information as well as other information (needs, land availability, potential beneficiaries, and appropriate livelihood activities) collected from the provinces. Due to this, the resilient house model activities were implemented smoothly. But in case of mangrove plantation the cost varies in different provinces depending on the site situation which was not analysed in greater detail during project development. The project also gathered various information for further improvement in the activities to support communities for improving resilience to Climate related disasters.

The log frame has a single development objective, three outputs and 6 main activities. The extensive activities are also listed in full, complete with their own indicators. The objectives and outputs are clear and appropriate to the issues and also designed considering the timeframe of the project. The logical framework was reviewed during Inception workshop (24 November 2017) but no change was made to the indicators or activities. There has not been any change in number of output or activities from the original logframe. The indicators of the logframe are all SMART (Specific; Measurable; Achievable and attributable; Relevant and realistic; Time-bound, timely, trackable and targeted) and are relevant and precise. Indicators of livelihood activities were not developed; therefore, it is difficult to evaluate the

achievement and also no baseline of socio-economic situation exists to analyse impact of project interventions. All are based on sound scientific monitoring protocols using the most relevant measures for a given criteria.

3.3.3 Project Finance and co-finance

The total project cost is US\$41,984,578 which includes US\$29,723,000 in cash and US\$12,261,578 in kind. Of these the GCF contribution is US\$29,523,000 in cash, UNDP contribution US\$200,000 in cash, and in-kind support from Government of Viet Nam US\$10,861,578 and UNDP in kind contribution US\$1,400,000 (Table 1 and 6). If the project spending is used as a basis of measure of the progress of implementation, then the Project has achieved the progress originally envisaged for the IE period except few of the Output 2.2. Co-financing was well planned and clearly mentioned in the project document and contribution as per commitment from Government and UNDP was received for the Mid-term period. The executing and implementing agencies were able to monitor financial transactions and program implementation and also able to materialise the fund for activities by re-allocation of fund.

- As informed by the project staff, Project management costs were primarily funded by GCF, UNDP and GoVn.
- Project management cost has not increased and achievement exceeding target in case of output 1 justify slight more than 50% increase of UNDP TRAC fund while still it is less than 50% in case of the GCF fund.
- Project management costs were proposed US\$3,825,000 (for whole project period and half of this for mid-term level) and of this US\$3,625,000 is funded by GCF and US\$200,000 by UNDP. Besides, Government of Vietnam also contribute US\$9,407,000 in kind and cash contribution for the management of the project and for building houses and plant mangrove. The actual management cost by the end of November 2019 was US\$1,380,736 from GCF, US\$103,243 from UNDP and US\$400,556 from Government of Vietnam. Of the mid-term level allocated US\$1,650,000 for management from GCF only 83% was spent (Table 2) while from the allocated US\$120,000 mid-term period management budget of UNDP only 86% was spend by end of November 2019. This indicates that management budget didn't exceeded the allocated amount for the period up to Mid-term level.
- The project was financed by the GCF, UNDP and Government of Vietnam (GoVn). GoVn and UNDP contributed both cash and kind contribution to the project;
- GCF funding was allocated for all outputs.

Table 1: Total disbursement of funds by output (up to 30 November 2019) (US\$) against full project budget as per Project Document.

	GEF (GCF)			UNDP TRAC			Government of Viet Nam- In kind + cash			UNDP-in kind			Total		
	Budget (Based on Pro DOC)	Actual	%	Budget (Based on Pro DOC)	Actual	%	Budget (Based on Pro DOC)	Actual	%	(Based on Pro DOC)	Actual	%	Budgeted	Actual	%
Output 1	10,352,000	4,923,573	48				8,000,000	4,327,644	54.1				18,352,000	9,251,217	50.41
Output 2	10,435,000	1,807,182	17				2,861,578						13,296,578	1,807,182	13.6
Output 3	5,111,000	1,262,248	25							1,400,000	818,636		6,511,000	2,080,884	32
Project Management	3,625,000	1,380,736	28	200,000	103,243	52		1,841,814 (in kind)					3,825,000	3,325,793	87
Total	29,523,000	9,373,739	32	200,000	103,243	52	10,861,578	6,169,458	57	1,400,000	818,638	58	41,984,578	16,465,078	39.23

Source: UNDP CO

Analysis of budgeted and actual expenditure shows that the expenses had not exceeded the budgeted amount (IE level budget is half of the total budget) in all outputs. Government contribution (kind and cash) for output 1 and management was achieved more than half within the IE period. Overall government contribution was 57% i.e. slightly more than half of total commitment for the interim period. The exceeding of government contribution coincides with the exceeding mid-term level target of safe house program. The planned management cost from GCF money was US\$3,625,000 and from UNDP TRAC Fund was US\$200,000 while actual management cost was less than 50% in

case of GCF and in case of UNDP TRAC Fund it was slightly more than 50% but project constructed more than targeted number of houses so it is justifiable.

Tables 1 show the disbursement of GCF and UNDP and GoVn by Outputs. Detailed activities that the kind contribution from GoVn covered is not known. GoVn contribution covers output 1 and 2 (Table 5). The cash contribution of GoVn is for safe house construction for poor households and for Project Management.

Personnel from Ministry of Agriculture and Rural Development, various stakeholder including provincial governments and UNDP CO, were satisfied from the project. Ministry officials, UNDP CO and other line ministries expressed that the project is very important for Vietnam and expressed their concern and willingness to support to the project activities.

Table 2: Total Disbursement of GCF funds (US\$) by Output by Year against budgeted as per Project document.

	2017			2018			2019			Total		
	Budget (Based on approved work plan)	Actual	%	Budget (Based on approved work plan)	Actual	%	Budget (Based on approved work plan)	Actual up to 30 Nov 2019	%	Budget (Based on approved work plan)	Actual	%
Output 1	145,000	196,867	136	1,997,825	2,448,149	123	3,398,325	2,282,325	67	5,541,150	4,927,341	89
Output 2	65,000	52,793	81	1,979,163	820,744	41	4,291,163	946,800	22	6,335,326	1,820,337	29
Output 3	42,500	32,973	78	840,025	457,536	54	1,291,125	761,008	55	2,273,650	1,251,517	55
PMC	235,000	118,297	50	730,000	669,050	92	685,000	588,893	86	1,650,000	1,374,544	83
Total	487,500	400,930	82	5,547,013	4,395,479	79	9,765,613	4,579,026	47	15,800,126	9,373,739	59

Source: UNDP CO

Table 2 shows the actual funds spent for each Output by year from GCF budget. GCF budget was allocated for all three outputs and management with highest spending on Output 1 in 2018. In overall spending, management expenses was comparatively less than the program expenses. The management budget has not exceeded the provisioned amount in any years. Spending from GCF budget for Output 1 was higher than budgeted in the year 2017 and 2018. Overall GCF expenses coincide with the progress of activities and this also makes implementation cost effective. Contribution from UNDP TRAC fund was only for management. Government contribution was for output 1, output 2 and Management.

Table 3: Total disbursement of UNDP TRAC fund (US\$)

In Kind	2017			2018			2019			Total		
	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%
Output 1												
Output 2												
Output 3												
PMC	40,000	99301.51	248	40,000	1806.9	5	40,000	2134.19	5	120,000	103,243	86
Total	40,000	99301.51	248	40,000	1806.9	5	40,000	2134.19	5	120,000	103,243	86

Source: UNDP CO

Table 4: Total disbursement of UNDP (US\$) in kind up to 30 Nov 2019

	2017			2018			2019			Total		
	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%
Output 1												
Output 2												
Output 3		143,961			347,460			327,217		1,015,000	818,638	81%
PMC											-	
Total	630,000	143,961	23%	192,500	347,460	180%	192,500	327,217	170%	1,015,000	818,638	81%

Source: UNDP CO

Table 5: Total disbursement of Government of Vietnam Co-funding (Cash+in kind US\$) up to 30 Nov 2019

	2017			2018			2019			Total		
	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%
Output 1					586,902			539,615			1,126,517	
Output 2								314,746			314,746	
Output 3												
PMU					311,764			88,792			400,556	
In Kind					2,038,402			2,289,242			4,327,644	
Total	897,350			1,697,350	2,937,068	173	4,097,350	3,232,395	79	6,692,050	6,169,463	92.2

Source: UNDP CO

Table no 6: Co-financing of the project up to 30 Nov 2019.

Co-financing (type/source)	UNDP TRAC (US\$)		GCF (US\$)		UNDP (US\$)		Govt. of Viet Nam (US\$)		Total (US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants	200,000	103,243	29,523,000	9,373,739			1,454,578	1,841,814	31,177,578	11,318,796
Loans/Concessions										
• In-kind support					1,400,000	818,638	9,407,000	4,327,644	10,807,000	5,146,282
• Other										
Totals	200,000	103,243	29,523,000	9,373,739	1,400,000	818,638	10,861,578	6,169,458	41,984,578	16,694,843

Source: UNDP CO

3.3.4 Project-level Monitoring and Evaluation Systems

M&E Design

The Project design contained a good monitoring and evaluation (M&E) plan which is comprehensive in its depth and scope. The project had logframe to monitor achievement and logframe had clear objectives and outputs and appropriate to the issues and also designed considering the timeframe of the project. A detailed survey was conducted with the help of research institutes following the standard scientific methods to identify the most vulnerable site which will help to judge impact of intervention. Role and responsibilities of the partners were made clear from the project design phase. The indicators of the logframe were all SMART (Specific; Measurable; Achievable and attributable; Relevant and realistic; Time-bound, timely, trackable and targeted) and are relevant and precise.

Inception workshop involved through revision and analysis of each and every activities, indicators, means of verification, first annual work plan, roles and responsibilities, decision making structures, reporting, communication, conflict resolution mechanism, ToR of all staffs, risks and assumptions. This workshop also supposed to provide detail overview of reporting, monitoring and evaluation, agree on M&E budget and schedule, discuss financial reporting procedures, obligation and arrangements of annual audit, plan steering committee meetings and clarify roles and responsibilities of all stakeholders. All activities were listed and explained, and a table was included determining responsibilities, budgets and timeframe for each. Budgets were set realistically for all Outputs including for monitoring of gender action plan, stakeholder engagement plan, addressing environmental and social grievances. A total of USD 375,000 (Three Hundred Seventy-Five Thousand American dollars) being set aside for M&E activities seems realistic considering the large number of sites distributed in big area. Log-frame indicators were quantitative, SMART (Specific; Measurable; Achievable and attributable; Relevant and realistic; Time-bound, timely, trackable and targeted) and results-oriented. Baselines were already set in the Project Document except the baseline of carbon dioxide equivalent (tCO₂eq) reduced by existing plants. The inclusion of indicators for each activities were not only very appropriate and useful for evaluation but also very good for management purposes.

The design of M&E was of a standard over that normal for the design period, with a fully itemised and costed Plan included in the Project Document covering all the various M&E steps including the allocation of responsibilities; hence monitoring and evaluation design has been evaluated as **Satisfactory**.

M&E Implementation

Monitoring and evaluation of Project activities have been undertaken in varying detail at three levels:

- i. Progress monitoring
- ii. Internal activity monitoring
- iii. Impact monitoring

Progress monitoring at the field and national level was good and quarterly and annual reports were developed with the information from the field monitoring and sent to the UNDP-CO. The annual work plans were developed at the end of each year with inputs from the Project staffs and from implementing partners. The annual work plans were then submitted for endorsement by the Project Board, and subsequently sent to UNDP for formal approval. The implementing team were in regular communication with the UNDP-CO regarding progress, the work plan, and its implementation. The indicators from the logframe and work plans were used in measuring progress and performances and further discussion on each and every activities and indicators was conducted during the project inception workshop at central and in provincial levels.

The Project's risk assessment has been updated quarterly together by the UNDP-CO involving other stakeholders with the main risks identified along with adequate management responses and person responsible (termed the risk "owner"), who in most cases differs from the person who identified the risk. Anonymous mail was sent to GCF office complaining the procurement of forest plantation program of one of the provinces and as per precaution disbursement of fund was stopped by UNDP CO and also developed mitigation measures to address the problem. Similarly, implementing agency (MARD) also conducted investigation on the issue.

Internal activity monitoring undertaken by UNDP CO, Ministry of Agricultural and Rural Development and the National Project Director and Project Manager was able to provide immediate feedback to correct the problem. A joint monitoring team lead by MPI and involving UNDP, MoJ, MoFA, MARD, VnDMA monitor selected project sites annually and resolve problem and also provide feedback to PMU. At UNDP in every quarter quarterly meeting

and in the last quarter every week a weekly meeting is conducted involving team leaders to review the progress of the project. This also involves monitoring of disbursement of fund and compare with the achievements.

Due to thorough analysis of activities, indicators, role and responsibilities, monitoring, assumptions and risks and also monitoring and evaluation of activities by PMU, project board, technical committee and UNDP, the adaptive management of the Project was positively influenced to a greater extent and could help to overcome the problems. At the same time internal monitoring was also good. Annual practice of reviewing risk and assumption was also conducted and that had supported project implementation. Although impact monitoring was developed, detail impact assessment was not conducted. Similarly, monitoring of survivability of planted mangrove need to be monitored closely to each plots and carbon assessment should be conducted based on the real quantitative ground information of plantation and regeneration.

3.3.5 Stakeholder Engagement

A stakeholder consultation plan was developed at the initial phase of the project considering type and frequency of consultations, way to target vulnerable groups, complimenting existing program to maximise impact, addressing issues of affected communities and regular review of plan to ensure new stakeholders are captured in the plan as relevant. At the project development phase, the project development team undertook extensive consultations with wide range of stakeholders from National government bodies, Non-government institutions, provincial government bodies, civil society and local communities through a series of opinion polls, presentations, interviews, group discussion and workshops. These wide-ranging consultations were undertaken to ensure that stakeholders at all levels are aware of the project and its objectives and that they assist in the implementing, monitoring and reporting. A thorough assessment of relevancy, experience and capacity of implementing partner and other implementing stakeholders was also conducted. This assessment also helped to understand and utilise strength of the implementing partners and also develop capacity enhancement programs. The project design, criteria for potential sites and site selection for piloting was carried out with the stakeholders' participation and also utilising the past experiences.

The project was implemented following the UNDP National Implementation (NIM) modality in close coordination with the Ministry of Agricultural and Rural Development (MARD). Other partners engaged in this project were Ministry of Finance, Ministry of Construction, Ministry of Agriculture, Ministry of Planning and Investment, Ministry of Natural Resources and Environment, Vietnam Academy of Forest Sciences, Viet Nam Institute for building Science and Technology, Viet Nam Academy of Water Resources, Institute of Meteorology, Hydrology and Climate Change, Vietnam Women's Union, Provinces Government and local communities.

Field level staffs were monitoring jointly involving all partners and also monitoring visits from the central level (high level) involved all senior level implementing partners. Besides, progress and issues were also discussed in Project Board meeting which also involves representatives from all partner organisations.

3.3.6 Reporting

From the quarterly reports, the UNDP-CO has prepared Quarterly Operational Reports which have been forwarded to UNDP/GCF Regional Coordination Unit, and also upload all the information on ATLAS. The major findings and observations of all these reports have been given in an annual report covering the period January to December, the Annual Performance Report (APR), which is also submitted by the Project Team to the UNDP-CO, UNDP Regional Coordination Unit, and UNDP HQ for review and official comments, followed by final submission to the GCF. All key reports were presented to Board members ahead of their yearly meeting and through this means, the key national ministries and the national government has been kept abreast of the Project's implementation progress.

The UNDP-CO generated its own quarterly financial reports from Atlas. These expenditure records, together with Atlas disbursement records of any direct payments, served as a basis for expenditure monitoring and budget revisions,

the latter taking place bi-annually following the disbursement progress and changes in the operational work plan, and also on an ad hoc basis depending upon the rate of delivery.

3.3.7 Communication

The implementing team was in good communication with the UNDP-CO regarding progress, monitoring and preparing the work plan. Communication was maintained for entire phase with all stakeholders. With good communication, the project was able to receive suggestions and supports. UNDP-CO received quarterly progress reports providing updates on the status of planned activities, the status of the overall project schedule, the products completed and an outline of the activities planned for the following quarter. The major findings and observations of all these reports have been given in annual report covering the project period July to June, the Project Implementation Review (PIR), which is also submitted by the Project Team to the UNDP-CO, UNDP Regional Coordination Unit, and UNDP HQ for review and official comments. All key reports were presented to project board members ahead of their half-yearly meetings and through this means, the key national ministries and national government has been kept abreast of the project's implementation progress.

The Project management Unit and UNDP-CO were able to maintain a close working relationship with the project staff members and partners and discussed issues and problems. The project was updating information, progress reports, achievement, technical reports etc. to wide audience through websites.

National Project Director was making regular check on project implementation. Occasionally expert consultations was conducted with the institutions involved in the implementation of the project, including the local government and other related stakeholders. This also helped in the involvement of line ministries and the local governments in implementation of the project activities. The project Management was able to ensure wider representation and transparency by involving key stakeholders, including, among others, experts from different line ministries, academic institutions, provincial leaders, commune leaders and Vietnam Women Union.

To disseminate information about project work, innovative activities, environment benefits and awareness among the general public, the project produced 2 documentary films to document and present progress of the project housing activities and introduce to the public the procedures to apply for GCF's housing financial support. Similarly, 1500 leaflets to introduce project mangrove development activities, 2450 mangrove conservation posters, 2000 copies of technical manual on mangrove planting techniques, 1000 copies of manual for management and use of coastal forest database were printed and disseminated to various relevant stakeholders.

3.4 Sustainability

The evaluation of the sustainability of this Project indicates that the project is most likely to be sustainable beyond the project life. As will be seen below, the sustainability at the Project level is actually very strong and it is difficult to see what more those involved could have done.

Financial risks to sustainability

The outlook for the long-term financial sustainability of the project is likely as it is connected to the interest of the local and national government. Ministry of Agriculture and Rural Development and partner institutions mentioned that they are committed to continue their support to these projects' activities. Similarly, the state government mentioned that they will continue their support and will utilise information in planning exercise which help to mitigate risk from climate change and different disasters. Also, the Green Growth Strategy period of the government of Vietnam is extended up to 2030 which means government is interested to replicate the housing and other outputs of this project in other provinces also and this project has supported in developing housing development plans for other provinces. In the recent storms of 30 October 2019 (Matmo Tropical Storm) and of 10 November 2019 (Nakri Tropical Storm) there was no damage of life or property in the houses constructed by the project (safe/resilient house). Based on proven project housing experience, a nation -wide housing program is being developed by the

government to build safe houses in areas along the coast of 28 coastal provinces in Vietnam and project contributed in developing plans and also prepared trainers. This project has trained manpower to replicate trainings and awareness raising activities in other 28 coastal provinces also. If the project management increase communication with the private sector to convince them to contribute in similar activities or support in livelihood outputs and insurance, then that will further support such activities in the coming days. Only the issue of protection of mangrove forest after the end of the project is of serious concern as it is leaned that receiving money from the government for protection is unlikely. Hence UNDP and GoVn need to explore potential funding for protection beyond the project life.

Socio-economic risk to sustainability

The social sustainability of the project appears good. The increased awareness at the community level and among the local authority have certainly been beneficial and undoubtedly changed people's minds at the National to local level government and other institutions involved with regards to management of climate risk. The empowerment of local institutions through technical trainings, plantation and regeneration of mangrove forest and arrangement of livelihood activities to local household affected by mangrove program, improvement in design of house to resist disaster related to flood and cyclones helps to safe guard livelihood and property of the communities and will have impact of long term. It has contributed to the safety environment creation by increasing resilience.

Institutional framework and governance risks to sustainability

The institutional sustainability of the project is good from the grassroots level to the provincial and national government level. The agencies directly involved appear committed towards its aims. The project involved all relevant ministries, research institution, local government and community groups in the various activities related to this project. Commune level and province level institutions are strengthened by providing training to increase their knowledge and also by developing information base for evidence-based planning. The project also had training programs for the second half to capacitate more planners and community leaders. Project also trained some people to conduct trainings in other provinces to replicate lessons from this project to other 28 coastal provinces of Vietnam. Communication and coordination between PMU, government bodies and UNDP were very good and this will support the project management in the future also. Local commune level leaders expressed their commitment of using data for physical and socio-economic development and disaster preparedness planning. Climate Change is important activities in UN portfolio so UNDP's technical support to Vietnam will continue so there will not be lack of such support beyond project life.

Environmental risks to sustainability

Environmental sustainability is one of the important elements of the project strategy. The project achievement will directly reduce vulnerability of life and property and also ecological resources of coastal areas of Vietnam. At Interim Evaluation stage expected mid-term target of construction of houses, plantation/regeneration of mangrove, capacity development of institutions, information management to encourage climate friendly development planning and securing community through diversification of livelihood resources were completed and some environmental benefits were already seen. These activities will have more positive impact in the future as grown up mangrove will help to reduce impact of the tide; safe house will protect life and property from disaster and information base helps in evidence-based development planning and disaster preparedness planning. At completion of all targeted activities and achievement of the expected impacts make the project outputs environmentally sustainable.

3.5 Innovations

Decision 48 was issued in the previous planning cycle 2011-2015, to support poor households (poor based on the income level). The project started in 2017, with a new multi-dimensional poverty line for the planning cycle 2016-2020. The Prime Minister allowed the decision to be extended in five central Coastal project provinces and applied new multi-dimensional poverty criteria for the selection of housing program's beneficiaries in Quang Ngai and Quang Binh provinces. Approval from the PM provided a legal basis for the government to allocate financial

contributions from the provincial budget. The designs of the safe house used by the project was modified using past experiences and was more expensive than conventional ones so it was not possible for the government to implement such innovative safe house program from its budget alone. This project contributed by providing the funding support to construct safe house for poor families. So both design of safe house as well as poor household selection criteria were innovative.

Similarly, the project introduced organic shrimp and crab farming practices without use of any chemicals. Farmers were trained in innovative farming techniques of Shrimp and Crab. Earlier farmers were releasing young fingerlings of Shrimp (15-day age) in the pond where some grownup from the previous stock existed. In such practice survival rate was very low. The project introduced farmers to apply 2-stage shrimp raising technique - the first one is keeping young shrimp fingerlings (at 15-day age) in plastic net or tank, this stage requires 12-15 days; the second stage is releasing shrimps into ponds (in mangroves) after 12-15 days from the first stage. Farmers were trained to make an enclosure within the pond using net or raise shrimp fingerlings in the plastic tank. The net is taken out and the plastic tank is not in use only when the fingerlings attain certain size and safe to mix with the existing old stock. The mortality problem was addressed with this innovative technique of aquaculture and provided better income. Similarly, in the areas with saline condition, project used duck variety that could tolerate saline environment and farmers are benefited from them.

The awareness raising activities of the project helped to raise level of understanding on climate change and its relation with the disasters. Improved knowledge of local level leaders helped to introduce evidence based development planning which helped to mainstream disaster and climate change in development planning.

3.6 Replication and Scalability

Green Growth Strategy period of the government of Vietnam is extended up to 2030 which means government is impressed from the outputs of the project activities. Based on proven project housing experience, a nation -wide housing program is being developed to build safe houses in areas along the coast of 28 coastal provinces in Vietnam. Currently, the PMU for Output 1 is conducting a housing situation analysis in 28 coastal provinces in Vietnam and the effectiveness of this project's support to make a proposal to relevant authorities for housing support mechanism in coastal provinces. On July 13, 2009, the Prime Minister issued Decision 1002 approving the scheme on improvement of community awareness and community-based management of natural disaster risks. Government's CBDRM program which was originally planned for until 2020 is being extended to 2025 due to positive influence of this project. The overall objective of the scheme is to improve community awareness and apply effective models of community-based management of natural disaster risks at all levels and in all sectors, especially among administrations and people of villages and communes.

Training has increased awareness among the local people and also local authority. As a result local authority started using climate change and disaster information in their development planning exercise. Government is interested to replicate this to all other coastal provinces and for that the project conducted ToT training to produce trainers for conducting trainings in other provinces to replicate lessons from this project to other 28 coastal provinces of Vietnam. The project also helped to develop database and software for the whole country. This will help in evidence based planning and management of disaster and climate change issues.

4. Conclusion and Recommendation

4.1 Conclusion

The project is relevant to address the environmental threats that Vietnam is facing and it is also in line with the Government of Viet Nam's sustainable Development Strategy (2011-2020) that stress on green growth, low-carbon economic development, prevent, control and repair environmental pollution and degradation, improve quality of the environment, protect and develop forests and conserve biodiversity, reduce harmful effects of natural disasters, actively and effectively respond to climate change especially sea level rise. The policy to support poor households to build safe houses to prevent them from storms and floods in the Central region was promulgated under the Prime Minister's Decision No. 48/2014 /QD-TTg of August 28, 2014 (called "Program 48") and the housing activities of the project contributes to this decision. The project was built on the ongoing government programmes, which used its past experience from safe house building and mangrove plantation implemented in partnership with UNDP, Vietnam Red Cross, CARE etc. For effective implementation of the resilience activities for the vulnerable coastal communities, project partnered with different government and non-government institutions (see stakeholders section) specialized and experienced on climate and risk information, safe housing and forestry. This project at the global level, complement regional and global initiatives to achieve global climate change targets under the Paris Agreement, while climate information enhancement will enhance Inter-Government Panel for Climate Change (IPCC) processes.

The project design has recognised risks associated with climate change and vulnerability of women to such risks. The knowledge provided by this project will help to empower women and advance resilience to climate change. At the project development phase, specific efforts were made to consult women groups and collect information regarding the impacts of climate change on women. The project implementation was participatory and also made provision of at least representation of women by 30% in commune level representatives. It had made arrangement to provide direct benefits to women by giving priority to vulnerable women with disrupted livelihoods. The project also included women in awareness programs to make them aware on climate change risks and mitigation options for their business thereby help to protect their livelihoods and enhance their adaptive capacities. To address the Climate Change related problems in the coastal areas of Vietnam, this project attempted various approaches and by mid-term level it constructed more than 50% (2,402) of the total targeted number of safe houses in the 214 communes of the project's five coastal provinces which included 60% women headed poor houses. Similarly, 1,242.68ha i.e. 62% of the mid-term level target of mangrove plantation and regeneration activities completed that generated work for 1,000 people and 40% were women and different 11 models of livelihood activities were implemented benefiting 400 household including 80 women headed household. Also developed Vietnam coastal forest database, conducted ToT training on data collection and analysis for coastal forest database, provided support for developing gender mainstreaming action plan and communication program in 5 provinces with mangrove activities and conducted monitoring of mangrove plantation. The project identified needs and developed maps involving stakeholders, ToF trainings conducted for 252 communes and increased their awareness level on DRR/CCA, safe house and forest using scientific evidences. Of the total 31, 556 trainees of ToF (local people and local authorities) 48.34% were women. 201 people were provided ToT training who could be used as resource person to replicate similar training in all 28 coastal provinces.

This Project is well designed. The Project has been underpinned by good science and a good technical approach but still room for improvement exists and also need to sequence activities properly to save effort and cost. Women Union's role is limited at the provincial and central level so need to improve their participation in planning and monitoring and evaluation. Due to delay in initiation of the project, some areas

identified for mangrove plantation were taken by other projects so project had to find new area to meet the targeted plantation/regeneration. The PMU had good communication with UNDP and also with other partners, and frequency of communication between NPD and PM was also good and were able to resolve issues with joint effort of all stakeholders. Insurance program will be very effective in transferring risk but it takes time to make all arrangements and initiate activities so it should be initiated as early as possible.

The outcomes of the project intervention are likely to be sustainable because the Green Growth Strategy period of the government of Vietnam is extended up to 2030 which means government is interested to replicate the project activities. In the recent storms of 30 October 2019 (Matmo Tropical Storm) and of 10 November 2019 (Nakri Tropical Storm) there was no damage of life or property in the houses constructed by the project (safe/resilient house). Based on proven project housing experience, a nation -wide housing program is being developed by the government to build safe houses in areas along the coast of 28 coastal provinces in Vietnam and project contributed in developing plans and also prepared trainers. Increased awareness through training of local communities and also local authority help to improve resilience to climate change and also encourage evidence based development planning to mainstream disaster and climate risks. This project through ToT trainings prepared human resources to facilitate replication of CBDRA by the government of Vietnam in other coastal provinces. Database/software development for whole country will help national development planning and preparedness activities. The design of houses and beneficiary criteria are both innovative. Similarly, the project introduced organic shrimp and crab farming practices without use of any chemicals and salt tolerant duck farming in saline areas. Innovative way of rearing shrimps and crab decreased mortality and increased income. Hence sustainability of project intervention is likely.

4.2 Recommendations

Rec #	Recommendations	Responsible Party
	Output 1	
1.	In some houses, the stairs are very steep, making it difficult for the disabled and older people to use the elevated space. The design needs to be improved to make it friendly to people with special needs.	Dept. of Construction, PMU
2.	House design should also include toilet. Toilet should be women friendly.	Dept. of Construction
	Output 2	
3.	Need to follow up closely to make sure that enrichment plantation are conducted to fill the gaps created due to dying of the saplings. Still some land was not found for new plantation and replenishment. In Ca Mau, it is learned that they are planning to pay households for protecting existing old mangrove forests that are distributed in the new areas (not planted by this project), and count areas of those old forests as achievement of the target of this project. As per project plan, they supposed to conduct plantation and regeneration and enrichment within those plantation sites where gaps created due to dying of saplings. Filling gaps created by dying of the saplings is part of the plantation contract, which commits the contractor to plant and	Protection Forest Management Board/CPMU

	maintain the quality of the plantation for four years after the initial year of plantation. Hence, province and district forest offices and project office in the provinces should be instructed to avoid such practice.	
4.	<p>Since large area of plantation is assigned in Ca Mau provinces where plantation is easier and cost is not so high. There is possibility of saving plantation cost from Ca Mau and use that for other province where cost will be higher than provisioned. There should be flexibility to transfer budget from one province to another. Any savings should be used strategically, including application of innovative approaches for mangroves, housing design and construction or alternative livelihoods for households impacted by the project (i.e. organic shrimp value chain). Moreover, contractor is using FPB to find seedlings, labor and sites for plantation. The real cost they spend is far less than budgeted by the project. It seems norms are not the problem (see 3.2.2 for more detail). Hence cost effective and innovative option should be adopted in plantation activities.</p> <p>Budget for mangrove plantation should be based on approved technical proposals that are developed for local conditions. Fixed cost norms of 6,000 USD for new plantation and 1,500 USD for enrichment should not be imposed for the whole country.</p> <p>Since the participatory monitoring and management activities (Output 2.2) are moved to output 3, the budget allocated for this (US\$100,000) could be used for the activities of other outputs only after completing management improvement of mangrove.</p>	CPMU, UNDP, VnDMA
5.	Knowledge exchange visits should be organized between communities/farmers from different district/provinces to share experience.	CPMU/PPMU
6.	Due to low economic return from mangrove compare to aquaculture farmers are less interested in mangrove forestry program. There are several crops as well as other interventions (including fruit trees) identified/developed for brackish soil conditions. It is recommended to promote such salinity tolerant interventions (e.g., fruit tree species) which will contribute to protect from tides/flood and also provide good economic return for the farmers. Some salt tolerant fruit trees are Coconut palm, Date palm, fig (<i>Ficus carica</i>), Key lime (<i>Citrus aurantiifolia</i>), Pomegranate, Pummelo (<i>Citrus maxima</i>) etc.	CPMU/PPMU
7.	In Ca Mau, Department of Agriculture made requirement of maintaining equal proportion of Shrimp/Crab and Mangrove area to get organic certificate or certify their shrimp as organic. Such practice helps to protect mangrove forest so should be practiced in other project areas also by	CPMU

	communicating with Department of Agriculture of respective provinces or at the central level.	
	Output 3	
8.	Initiate as early as possible the activities related to disaster risk insurance and risk transfer mechanisms, as these type of activities will take time to prepare and implement.	VnDMA/MARD/UNDP/CPMU
9.	Database at the local level should be compatible to the national database so that it could be used by the central government also in its planning activities.	VnDMA/MARD/CPMU
10.	The Community based disaster management report prepared following ToF for each commune is very complicated for local leaders to understand. Even it is learned that report has not reached to some commune leaders. Also, information of this report needs updating each year and commune leaders mentioned that they don't have budget and human resource to update report. Hence, it is recommended that the report should be simplified and also sent to relevant commune leader and explained to them how to use it. Also key information of that report should be identified so that communities could update only those key parts each year.	VnDMA/MARD/ CPMU/PPMU
	Project Implementation and Adaptive Management	
11.	Need to improve monitoring at the local level and also from the provincial level so that enrichment plantation will be properly done. Benefit from shrimp and crab farming is higher than mangrove so farmers are less interested to plant mangrove. The return from mangrove will come only after 15-20 years and also not so much. There is possibility that farmers may not plant mangrove in sufficient area or do not do enrichment on time so that the survivability will be less.	VNFOREST/PPMU/Province forest department/FMB
12.	Involvement of Women's Union in commune level is encouraging but at the provincial level and central level is weak because women Union is neither represented in the project board nor in monitoring team. They should also be included in the monitoring activities of the project.	UNDP/VnDMA/CPMU/PPMU
13.	It was observed that poverty status of household change in course of time due to different factors. The project has already initiated regular monitoring and updating of poor household for providing project benefits. This monitoring should be continued.	CPMU/PPMU
	Sustainability	
14.	Resilient houses last longer and serve for at least 20-30 years and there is high demand from vulnerable coastal areas for such houses. Hence GoV should continue to invest in resilient housing and for addressing large demand should attract private sectors for their engagement and contribution. Local NGOs could also be specialized in low cost resilient housing so that they will continue these services with funding from GoV, private sector or communities.	MOC/DOCs

15.	Attract private sector so that more livelihood activities could be implemented for the poor households to improve their economy and thereby strengthen their resilience to climate change and disasters.	VNFOREST/MARD/CPMU
16.	Trainings on CBDRM should also cover district level leaders so that planning could be made more evidence based and help to mainstream climate change and disaster risks into development and socio-economic planning processes.	VnDMA/MARD/CPMU/PPMU
17.	<p>VnDMA, VNFOREST and UNDP should discuss with the provincial and district authorities potential funding support for the protection of the mangroves from government resources to make sure that these activities are continued beyond the project.</p> <p>For provinces where local funding is not available, alternative solutions need to be identified to cover the cost of plantation and protection of mangroves beyond project phase.</p>	VNFOREST/MARD/UNDP

Corrective actions for the design, implementation, monitoring and evaluation of the project

- All recommendations above are to improve efficiency for the project implementation and monitoring.

Actions to follow up or reinforce initial benefits from the project

- The recommendations under sustainability are to reinforce the achievements of the project.

Proposals for future directions underlining main objectives

- Project is piloted in 7 provinces but there are many other coastal areas in Vietnam that need such interventions. Lessons from this project could be used to upscale and replicate in new areas. Currently, the PMU for Output 1 is conducting a housing situation analysis in 28 coastal provinces in Vietnam and the effectiveness of this project's support to make a proposal to relevant authorities for housing support mechanism in coastal provinces. The Output 3 of this project is also preparing human resource and database with access to all provinces for mainstreaming climate change and disaster risk in development planning. Future proposals should include lessons learned regarding cost of plantation, stairs of the house, women friendly toilet in safe house design and more program to involve private sector in project activities specially livelihood, housing and insurance policies.

Annex I: MTR ToR



Empowered lives.
Resilient nations.

19 September 2019

INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

for individual consultants and individual consultants assigned by consulting firms/institutions

Country:	Viet Nam
Description of the assignment:	International Consultant/Team Leader and one National consultant/Team member for the UNDP-GCF Interim Evaluation
Period of assignment/services (if applicable):	(October – December 2019)
Duty Station:	Home based and Vietnam
Tender reference:	PN-N-190901

1. Submissions should be sent by email to: nguyen.thuy.nga@undp.org no later than:

23.59 hrs., Thursday 03 October 2019 (Hanoi time)

With subject line:

PN-N-190901: IC/Team leader for UNDP-GCF Interim Evaluation PN-N-190901: NC/Team member for UNDP-GCF Interim Evaluation

Submission received after that date or submission not in conformity with the requirements specified this document will not be considered.

Note:

- Any individual employed by a company or institution who would like to submit an offer in response to this Procurement Notice must do so in their individual capacity, even if they expect their employers to sign a contract with UNDP.
- Maximum size per email is **30 MB**.
- Any request for clarification must be sent in writing, or by standard electronic communication to the address or e-mail indicated above. Procurement Unit – UNDP Viet Nam will respond in writing or by standard electronic mail and will send written copies of the response, including an explanation of the query without identifying the source of inquiry, to all consultants.

- After submitting proposal, bidder should send notification by email (without attachment) to: procurement.vn@undp.org informing that the bidder has submitted proposal. UNDP will not be responsible for the missing of proposal if the bidder does not send notification email to above address.
- Female consultants are encouraged to bid for this required service. Preference will be given to equally technically qualified female consultants.

2. Please find attached the relevant documents:

- [Term of References](#).....(Annex I)
- [Individual Contract & General Conditions](#).....(Annex II)
- [Reimbursable Loan Agreement](#) (for a consultant assigned by a firm).....(Annex III)
- [Letter to UNDP Confirming Interest and Availability](#)(Annex IV)
- [Financial Proposal](#).....(Annex V)

3. Interested individual consultants must submit the following documents/information (in English, PDF Format) to demonstrate their qualifications:

a. Technical component:

- **Signed Curriculum vitae**
- **Signed Letter to UNDP Confirming Interest and Availability**
- **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
- **Copy of 1-2 publications/writing samples** on relevant subject in English.
- Reference contacts of past 4 clients for whom you have rendered preferably the similar service (including name, title, email, telephone number, address...)

b. Financial proposal (with your signature):

- The financial proposal shall specify a total lump sum amount in **VND for national consultant and US dollar for International Consultant** including consultancy fees and all associated costs i.e. airfares, travel cost, meal, accommodation, tax, insurance etc. – see format of financial offer in Annex V.
- Please note that the cost of preparing a proposal and of negotiating a contract, including any related travel, is not reimbursable as a direct cost of the assignment.
- If quoted in other currency, prices shall be converted to the above currency at UN Exchange Rate at the submission deadline.

4. Evaluation

The technical component will be evaluated using the following criteria:

Criteria for the International Consultant	Points
<ul style="list-style-type: none"> A Master's degree in environmental sciences, development studies, international development, or other closely related field. 	100
<ul style="list-style-type: none"> Work experience in climate change adaptation and/or relevant technical areas for at least 7 years (to be assessed via interview) 	250
<ul style="list-style-type: none"> Recent experience with result-based management evaluation methodologies; 	100
<ul style="list-style-type: none"> Experience working with the GCF, GEF or GCF/GEF-evaluations; Project evaluation/review experiences within United Nations system will be considered an asset; 	100
<ul style="list-style-type: none"> Experience applying SMART indicators and reconstructing or validating baseline scenarios; 	100
<ul style="list-style-type: none"> Competence in adaptive management, as applied to climate change adaptation 	100
<ul style="list-style-type: none"> Demonstrated understanding of issues related to gender and climate change adaptation; experience in gender sensitive evaluation and analysis. 	50
<ul style="list-style-type: none"> Experience working in Viet Nam or in a similar context; 	50
<ul style="list-style-type: none"> Demonstrable analytical skills; (to be assessed via interview) 	100
<ul style="list-style-type: none"> Excellent oral and written communications skills in English (1-2 report samples to be provided) (to be assessed via interview) 	50
Total	1000

Criteria for the National Consultant	Points
<ul style="list-style-type: none"> Advanced university degree in social, environmental or development science, agronomy, forestry, M&E, or other relevant field relevant; 	100
<ul style="list-style-type: none"> Minimum 7 years of related, identical, or similar professional experience is required in ODA funded projects, including proven experience from forestry related sector(s); (to be assessed via interview) 	150
<ul style="list-style-type: none"> In-depth knowledge of policy making process and/or ODA project management in Viet Nam; 	150
<ul style="list-style-type: none"> Recent experience with result-based management evaluation methodologies; 	100
<ul style="list-style-type: none"> Project evaluation/review experiences within United Nations system will be considered an asset; 	100
<ul style="list-style-type: none"> Experience applying SMART indicators and reconstructing or validating baseline scenarios; 	100
<ul style="list-style-type: none"> Demonstrated experience from evaluations of similar types of programmes; 	150
<ul style="list-style-type: none"> Proven excellent communication and analytical skills; (to be assessed via interview) 	100
<ul style="list-style-type: none"> Good English both written (by providing 1-2 report samples) and spoken skills (to be assessed via interview) 	50
Total	1000

A two-stage procedure is utilized in evaluating the submissions, with evaluation of the technical components being completed prior to any price proposals being opened and compared.

The price proposal will be opened only for submissions that passed the minimum technical score of 70% of the obtainable score of 1000 points in the evaluation of the technical component. The technical component is evaluated on the basis of its responsiveness to the Term of Reference (TOR). Maximum 1000 points will be given to the lowest offer and the other financial proposals will receive the points inversely proportional to their financial offers. i.e. $S_f = 1000 \times F_m / F$, in which S_f is the financial score, F_m is the lowest price and F the price of the submission under consideration.

The weight of technical points is 70% and financial points is 30%.

Submission obtaining the highest weighted points (technical points + financial points) will be selected subject to positive reference checks on the consultant's past performance.

Interview with the candidates may be held if deemed necessary.

5. Contract

“Lump-sum” Individual Contract will be applied for freelance consultant (Annex II)

“Lump-sum” RLA will be applied for consultant assigned by firm/institution/organization (Annex III)

Documents required before contract signing:

- International consultant whose work involves travel is required to complete the courses on BSAFE which is the new online security awareness training and submit certificate to UNDP before contract issuance.
- Note: In order to access the courses, please go to the following link: <https://training.dss.un.org>

The training course takes around 3-4 hours to complete.

- Full medical examination and Statement of Fitness to work for consultants from and above 65 years of age and involve travel. (This is not a requirement for RLA contracts).
- Release letter in case the selected consultant is government official.

6. Payment

UNDP shall effect payments to the consultant (by bank transfer to the consultant's bank account provided in the vendor form upon acceptance by UNDP of the deliverables specified the TOR.

Payments are based upon outputs, i.e. upon delivery of the products specified in the TOR.

If two currencies exist, UNDP exchange rate will be applied at the day UNDP instructs the bank to effect the payment.

7. Your proposals are received on the basis that you fully understand and accept these terms and conditions.

ANNEX I



UNDP-GCF Interim Evaluation 01 International and 01 National Consultant Terms of Reference

1. INTRODUCTION

This is the Terms of Reference (ToR) for an International Consultant/Team Leader and one National consultant/Team member for the Interim Evaluation (IE) of the UNDP supported GCF-financed project titled “*Improving the resilience of vulnerable coastal communities to climate change related impacts in Viet Nam*” (Reference No. FP013) implemented through the Ministry of Agriculture and Rural Development, which is to be undertaken in 2019. The project started on 11 July 2017 and is in its third year of implementation. This ToR sets out the expectations for this Interim Evaluation (IE).

2. PROJECT BACKGROUND INFORMATION

Implementing Partner: Ministry of Agriculture and Rural Development (MARD) Accredited Entity:

UNDP

Budget:

GCF (grant):	US\$ 29,523,000
UNDP co-financing:	US\$ 1,600,000
Government co-financing:	US\$ 10,861,578
Total:	US\$ 41,984,578

Poor communities living in coastal regions of Viet Nam are adversely impacted by frequent flooding. Each year approximately 60,000 houses are destroyed or damaged by floods and storms in coastal provinces. This is likely to worsen given climate change scenarios for Viet Nam. Resultant economic impacts make it increasingly difficult for vulnerable families to escape the cycle of poverty.

The GCF Improving the Resilience of Vulnerable Coastal Communities to Climate Change- related Impacts in Viet Nam (The GCF project) seeks to scale up interventions that are already tested to increase the resilience of vulnerable coastal communities. Building on ongoing social protection programmes related to housing for the poor and marginalized, the project will incorporate storm and flood resilient design features in new houses benefiting 20,000 poor and highly disaster-exposed people. As part of an integrated response to managing flood risks, 4000 hectares of mangroves will be rehabilitated and/or planted to function not only as storm surge buffers, but also to provide ecosystem resources that can support coastal livelihoods. Moreover, to support and sustain both the impact of this project as well as future requisite government policy adjustments that strengthen the resilience of coastal and other communities, resources will be used to systematize climate and economic risk assessments for private and public sector application in all 28 coastal provinces of Viet Nam.

The project relies on grant finance as (a) the proposed interventions will benefit vulnerable families identified as poor by the government, (b) strengthens natural defences proving public value, and (c) does not generate revenue that lends itself to providing reflows to the GCF. The project is fully aligned with the Government of Viet Nam (GoVn)’s strategies and was designed following extensive stakeholder consultations.

The project is based on national priorities and has been endorsed by the National Designated Authority (NDA) for

Viet Nam.

3. OBJECTIVES OF THE IE

The Interim Evaluation team will assess implementation of the project and its alignment with FAA obligations and progress towards the achievement of the project objectives and outputs as specified in the Project Document. The evaluation will assess early signs of project success or failure with the goal **of identifying the necessary changes** to be made in order to set the project on-track to achieve its intended results. The IE will also assess the following:

- Implementation and adaptive management
- Risks to sustainability
- Relevance, effectiveness and efficiency of projects and programmes;
- Coherence in climate finance delivery with other multilateral entities;
- Gender equity;
- Country ownership of projects and programmes;
- Innovativeness in results areas (extent to which interventions may lead to paradigm shift towards low-emission and climate resilient development pathways);
- Replication and scalability – the extent to which the activities can be scaled up in other locations within the country or replicated in other countries (this criterion, which is considered in document GCF/B.05/03 in the context of measuring performance could also be incorporated in independent evaluations); and
- Unexpected results, both positive and negative.

4. IE APPROACH & METHODOLOGY

The Interim Evaluation team must provide evidence-based information that is credible, reliable and useful. The team will review all relevant sources of information including documents prepared during the preparation phase (i.e. baseline Funding proposal submitted to the GCF, the Project Document, project reports including Annual Performance Reports, Quarterly Progress Reports, UNDP Environmental & Social Safeguard Policy, project budget revisions, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The team will review the baseline Funding Proposal submitted to the GCF.

The Interim Evaluation team is expected to follow a collaborative and participatory approach¹ ensuring close engagement with the Project Team, Implementing Partner, NDA focal point, government counterparts, the UNDP Country Office, UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful Interim Evaluation. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Steering Committee, project stakeholders, local government, CSOs, project beneficiaries, etc. Additionally, the IE team is expected to conduct field missions to project sites in at least 3 project provinces in the north, centre and southern areas of Viet Nam, to be decided in consultation with the project team.

The final Interim Evaluation report should describe the full evaluation approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

5. DETAILED SCOPE OF THE INTERIM EVALUATION

The evaluation team will assess the following four categories of project progress. See the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

i. Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outputs, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF- Financed Projects* for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

- Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project's objectives and outputs or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future, catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved resilience etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex- disaggregated indicators and indicators that capture development benefits.

ii. Relevance, Effectiveness and Efficiency

- Were the context, problem, needs and priorities well analysed and reviewed during project initiation?
- Are the planned project objectives and outputs relevant and realistic to the situation on the ground?
- Is the project Theory of Change (ToC) and intervention logic coherent and realistic? Does the ToC and intervention logic hold or does it need to be adjusted?
- Do outputs link to intended outputs which link to broader paradigm shift objectives of the project?
- Are the planned inputs and strategies identified realistic, appropriate and adequate to achieve the results? Were they sequenced sufficiently to efficiently deliver the expected results?
- Are the outputs being achieved in a timely manner? Is this achievement supportive of the ToC and pathways identified?
- What and how much progress has been made towards achieving the overall outputs and outputs of the project (including contributing factors and constraints)?
- To what extent is the project able to demonstrate changes against the baseline (assessment in approved Funding Proposal) for the GCF investment criteria (including contributing factors and constraints)?
- How realistic are the risks and assumptions of the project?
- How did the project deal with issues and risks in implementation?
- To what extent did the project's M&E data and mechanism(s) contribute to achieving project results?
- Have project resources been utilized in the most economical, effective and equitable ways possible (considering value for money; absorption rate; commitments versus disbursements and projected

commitments; co-financing; etc.)?

- Are the project's governance mechanisms functioning efficiently?
- To what extent did the design of the project help or hinder achieving its own goals?

¹ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

- Were there clear objectives, ToC and strategy? How were these used in performance management and progress reporting?
- Were there clear baselines indicators and/or benchmark for performance measurements? How were these used in project management? To what extent and how the project apply adaptive management?
- What, if any, alternative strategies would have been more effective in achieving the project objectives?

ii. Progress Towards Results

Progress Towards Outputs Analysis:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for each output; make recommendations from the areas marked as “Not on target to be achieved” (red).

Table. Progress Towards Results Matrix (Achievement of outcomes against End-of- project Targets)

Project Strategy	Indicator ²	Baseline Level ³	Level in 1 st APR (self-reported)	Level in 2 nd APR (self-reported)	Midterm Target ⁴	End-of-project Target	Midterm Level & Assessment ⁵	Achievement Rating ⁶	Justification for Rating
Objective:	Indicator (if applicable):								
Outcome 1:	Indicator 1:								
	Indicator 2:								
Outcome 2:	Indicator 3:								
	Indicator 4:								
	Etc.								
Etc.									

Indicator Assessment Key

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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² Populate with data from the Logframe and scorecards

³ Populate with data from the Project Document

⁴ If available

⁵ Colour code this column only

⁶ Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

In addition to the progress towards outcomes analysis:

- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

iii. Project Implementation and Adaptive Management

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Are agencies sufficiently staffed? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GCF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost- effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Review project cost norms to assess their appropriateness to current situation in different localities.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Coherence in climate finance delivery with other multilateral entities

- Who are the partners of the project and how strategic are they in terms of capacities and commitment?
- Is there coherence and complementarity by the project with other actors for local other climate change

interventions?

- To what extent has the project complimented other on-going local level initiatives (by stakeholders, donors, governments) on climate change adaptation or mitigation efforts?
- How has the project contributed to achieving stronger and more coherent integration of shift to low emission sustainable development pathways and/or increased climate resilient sustainable development (GCF RMF/PMF Paradigm Shift objectives)? Please provide concrete examples and make specific suggestions on how to enhance these roles going forward.

Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost- effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board/Project Steering Committee (Project Board).
- Assess how well the Project Team and partners undertake and fulfil GCF reporting requirements (i.e. how have they addressed poorly rated APRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

iv. Sustainability

- Validate whether the risks identified in the Project Document, Annual Performance Reports and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GCF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long-term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

vi. Country Ownership

- To what extent is the project aligned with national development plans, national plans of action on climate change, or sub-national policy as well as projects and priorities of the national partners?
- How well is country ownership reflected in the project governance, coordination and consultation mechanisms or other consultations?
- To what extent are country level systems for project management or M&E utilized in the project?
- What level and types of involvement for all Is the project as implemented responsive to local challenges and relevant/appropriate/strategic in relation to SDG indicators, National indicators, GCF RMF/PMF indicators, AE indicators, or other goals?
- Were the modes of deliveries of the outputs appropriate to build essential/necessary capacities, promote national ownership and ensure sustainability of the result achieved?

vii. Gender equity

- Does the project only rely on sex-disaggregated data per population statistics?
- Are financial resources/project activities explicitly allocated to enable women to benefit from project interventions?
- Does the project account in activities and planning for local gender dynamics and how project interventions affect women as beneficiaries?
- Do women as beneficiaries know their rights and/or benefits from project activities/interventions?
- How do the results for women compare to those for men?
- Is the decision-making process transparent and inclusive of both women and men?
- To what extent are female stakeholders or beneficiaries satisfied with the project gender equality results?
- Did the project sufficiently address cross cutting issues including gender?

viii. Innovativeness in results areas

- What role has the project played in the provision of "thought leadership," "innovation," or "unlocked additional climate finance" for climate change adaptation/mitigation in the project and country context? Please provide concrete examples and make specific suggestions on how to enhance these roles going forward.

ix. Unexpected results, both positive and negative

- What has been the project's ability to adapt and evolve based on continuous lessons learned and the changing development landscape? Please account for factors both within the AE/EE and external.
- Can any unintended or unexpected positive or negative effects be observed as a consequence of the project's interventions?
- What factors have contributed to the unintended outcomes, outputs, activities, results?

x. Replication and Scalability

- What are project lessons learned, failures/lost opportunities to date? What might have been done better or differently?
- How effective were the exit strategies and approaches to phase out assistance provided by the project including contributing factors and constraints
- What factors of the project achievements are contingent on specific local context or enabling environment factors?
- Are the actions and results from project interventions likely to be sustained, ideally through ownership by the local partners and stakeholders?
- What are the key factors that will require attention in order to improve prospects of sustainability, scalability or replication of project outcomes/outputs/results?

Conclusions & Recommendations

The evaluation team will include a section of the report setting out the evaluation's evidence-based conclusions, in light of the findings.⁷

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See the *Guidance for Conducting Midterm Reviews of UNDP- Supported, GEF-Financed Projects* for guidance on a recommendation table.

The evaluation team should make no more than 15 recommendations total.

Ratings

The evaluation team will include its ratings of the project's results and brief descriptions of the associated achievements in an *Evaluation Ratings & Achievement Summary Table* in the Executive Summary of the evaluation report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

Table. Interim Evaluation Ratings & Achievement Summary Table

Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

6. TIMEFRAME

The total duration of the interim evaluation team will be approximately 28 working days for International Team Leader and 21 working days for National Team Member over a time period of 12 weeks and shall not exceed five months from when the consultant(s) are hired . The tentative evaluation timeframe is as follows:

NO.	ACTIVITY	NUMBER OF WORKING DAYS	EXPECTED COMPLETION DATE	
1	Document review and preparing Interim Evaluation Inception Report (Interim Evaluation Inception Report due no later than 2 weeks before the evaluation mission)	TL: 04 days and TM: 02 days	01 week from the contract signing date	
2	Evaluation mission: stakeholder meetings, interviews, field visits	TL: 12 days and TM: 12 days	31 st October 2019	
3	Meeting with PMU, internal presentation on preliminary findings, preparation presentation	TL: 01 day and TM: 01 day	22 nd November 2019	

4	Workshop presentation – debriefing/handout key findings presented to stakeholders	TL: 01 day and TM: 01 day	29 th November 2019
5	Preparing draft report (due no later than 3 weeks of the Evaluation mission)	TL: 06 days and TM: 04 days	7 th December 2019
6	Finalization of evaluation report/ Incorporating audit trail from feedback on draft report (due within 1 week of receiving UNDP comments on the draft) <i>(note: 2 weeks' time delay accommodated for circulation and review of the draft report)</i>	TL: 04 days and TM: 01 day	20 th December 2019

Options for site visits should be provided in the Inception Report.

7. MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	Interim Evaluation Inception Report	Interim Evaluation team clarifies objectives and methods of Midterm Review	No later than 2 weeks before the evaluation mission (by 15th October 2019)	The evaluation team submits to the Commissioning Unit and project management
2	Presentation	Initial Findings	End of evaluation mission (by 29th November 2019)	The evaluation Team presents to project management and the Commissioning Unit
3	Draft Final Report	Full report (using guidelines on content outlined in Annex B) with annexes	No later than 3 weeks from the evaluation mission (by 9th December 2019)	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, NDA focal point
4	Final Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final report	Within 1 week of receiving UNDP comments on draft (by 24 th December 2019)	Sent to the Commissioning Unit

*The final evaluation report must be in English and Vietnamese. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

8. INTERIM EVALUATION ARRANGEMENTS

The principal responsibility for managing this Evaluation resides with the Commissioning Unit. The Commissioning Unit for this project's interim evaluation is the UNDP Viet Nam Country Office.

The Commissioning Unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the

evaluation team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

9. TEAM COMPOSITION

A team of two independent consultants will conduct the evaluation - one International Consultant/Team Leader (with experience and exposure to projects and evaluations in other regions globally) and one National Consultant/Team Expert. The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

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

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

Responsibility of Team member:

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

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

More details on the work division should be developed by the selected consultants through their work-plan. Both consultants must not be working as staff of the Government and UNDP. **Evaluation criteria:**

Criteria for the International Consultant	Points
• A Master's degree in environmental sciences, development studies, international development, or other closely related field.	100
• Work experience in climate change adaptation and/or relevant technical areas for at least 7 years (<i>to be assessed via interview</i>)	250
• Recent experience with result-based management evaluation methodologies;	100
• Experience working with the GCF, GEF or GCF/GEF-evaluations;	100
• Project evaluation/review experiences within United Nations system will be considered an asset;	100
• Experience applying SMART indicators and reconstructing or validating baseline scenarios;	100
• Competence in adaptive management, as applied to climate change adaptation	100
• Demonstrated understanding of issues related to gender and climate change adaptation; experience in gender sensitive evaluation and analysis.	50
• Experience working in Viet Nam or in a similar context;	50
• Demonstrable analytical skills; (<i>to be assessed via interview</i>)	100
• Excellent oral and written communications skills in English (1-2 report samples to be provided) (<i>to be assessed via interview</i>)	50

Total	1000
Criteria for the National Consultant	Points
<ul style="list-style-type: none"> Advanced university degree in social, environmental or development science, agronomy, forestry, M&E, or other relevant field relevant; 	100
<ul style="list-style-type: none"> Minimum 7 years of related, identical, or similar professional experience is required in ODA funded projects, including proven experience from forestry related sector(s); <i>(to be assessed via interview)</i> 	150
<ul style="list-style-type: none"> In-depth knowledge of policy making process and/or ODA project management in Viet Nam; 	150
<ul style="list-style-type: none"> Recent experience with result-based management evaluation methodologies; 	100
<ul style="list-style-type: none"> Project evaluation/review experiences within United Nations system will be considered an asset; 	100
<ul style="list-style-type: none"> Experience applying SMART indicators and reconstructing or validating baseline scenarios; 	100
<ul style="list-style-type: none"> Demonstrated experience from evaluations of similar types of programmes; 	150
<ul style="list-style-type: none"> Proven excellent communication and analytical skills; <i>(to be assessed via interview)</i> 	100
<ul style="list-style-type: none"> Good English both written (by providing 1-2 report samples) and spoken skills <i>(to be assessed via interview)</i> 	50
Total	1000

10. PAYMENT MODALITIES AND SPECIFICATIONS

30% of payment upon approval of the final interim evaluation Inception Report
 30% upon submission of the draft interim evaluation report
 40% upon finalization and acceptance of the interim evaluation report

ToR ANNEX A: List of Documents to be reviewed by the Interim Evaluation Team

1. Funding Proposal
2. UNDP Project Document
3. UNDP Environmental and Social Screening results
4. Project Inception Report
5. All Annual Performance Reports (APRs)
6. Quarterly progress reports and work plans of the various implementation task teams
7. Audit reports
8. Mission reports
9. All monitoring reports prepared by the project
10. Financial and Administration guidelines used by Project Team

The following documents will also be available:

11. Project operational guidelines, manuals and systems
12. UNDP country/countries programme document(s)
13. Minutes of the Project Steering Committee Meetings and other meetings (i.e. Project Appraisal Committee meetings)
14. Project site location maps

ToR ANNEX B: Guidelines on Contents for the Interim Evaluation Report⁸

- i.** Basic Report Information (*for opening page or title page*)
 - Title of UNDP supported GCF financed project
 - UND Evaluation time frame and date of report
 - Region and countries included in the project
 -
 - Executing Agency/Implementing Partner and other project partners
 - Evaluation team members
 - Acknowledgements
- ii.** Table of Contents
- iii.** Acronyms and Abbreviations
- 1.** Executive Summary (*3-5 pages*)
 - Project Information Table
 - Project Description (brief)
 - Project Progress Summary (between 200-500 words)
 - Evaluation Ratings & Achievement Summary Table
 - Concise summary of conclusions
 - Recommendation Summary Table
- 2.** Introduction (*2-3 pages*)
 - Purpose of the Interim Evaluation and objectives
 - Scope & Methodology: principles of design and execution of the Interim Evaluation, approach and data collection methods, limitations to the Evaluation
 - Structure of the Interim Evaluation report
- 3.** Project Description and Background Context (*3-5 pages*)
 - Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
 - Problems that the project sought to address: threats and barriers targeted
 - Project Description and Strategy: objective, outcomes and expected results, description of field sites (if any)
 - Project Implementation Arrangements: short description of the Project Steering Committee, key implementing partner arrangements, etc.
 - Project timing and milestones
 - Main stakeholders: summary list
- 4.** Findings (*12-14 pages*)
- 4.1** Project Strategy
 - Project Design
 - Results Framework/Logframe

4.2 Progress Towards Results

- Progress towards outcomes analysis
- Remaining barriers to achieving the project objective

4.3 Project Implementation and Adaptive Management

- Management Arrangements
- Work planning
- Finance and co-finance
- Project-level monitoring and evaluation systems
- Stakeholder engagement
- Reporting
- Communications

4.4 Sustainability

- Financial risks to sustainability
- Socio-economic to sustainability
- Institutional framework and governance risks to sustainability
- Environmental risks to sustainability

5. Conclusions and Recommendations (*4-6 pages*)

Conclusions

- 5.1
- Comprehensive and balanced statements (that are evidence-based and connected to the Evaluation's findings) which highlight the strengths, weaknesses and results of the project

Recommendations

- 5.2
- Corrective actions for the design, implementation, monitoring and evaluation of the project
 - Actions to follow up or reinforce initial benefits from the project
 - Proposals for future directions underlining main objectives

6. Annexes

- The Interim Evaluation ToR (excluding ToR annexes)
- Interim Evaluation evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
- Example Questionnaire or Interview Guide used for data collection
- Ratings Scales
- Evaluation mission itinerary
- List of persons interviewed
- List of documents reviewed
- Co-financing table (if not previously included in the body of the report)
- Signed UNEG Code of Conduct form
- Signed Interim Evaluation final report clearance form
- *Annexed in a separate file:* Audit trail from received comments on draft Interim evaluation report.

8 The Report length should not exceed 40 pages in total (not including annexes).

ToR ANNEX C: The Interim Evaluation Evaluative Matrix Template

This Interim Evaluation Evaluative Matrix must be fully completed/amended by the consultant and included in the Interim Evaluation inception report and as an Annex to the Interim Evaluation report.

Evaluative Questions	Indicators	Sources	Methodology
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
(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 Interim Evaluation mission, etc.)	(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)
Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?			
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			

ToR ANNEX D: UNEG Code of Conduct for Evaluators/Interim Evaluation Consultants⁹

Evaluators/Consultants:

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 limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Interim Evaluation Consultant Agreement Form

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

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

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

Signed at _____ (Place) on _____ (Date)

Signature: _____

⁹ <http://www.unevaluation.org/document/detail/100>

ToR ANNEX E: Evaluation Ratings

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of- project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of- project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

ToR ANNEX F: Interim Evaluation Report Clearance Form

(to be completed by the Commissioning Unit and UNDP-GEF RTA and included in the final document)

Interim Evaluation Report Reviewed and Cleared By:	
<p>Commissioning Unit</p> <p>Name: _____</p> <p>Signature: _____ Date: _____</p> <p>UNDP-GEF Regional Technical Advisor</p>	

ToR ANNEX G: Audit Trail Template

Note: The following is a template for the Evaluation Team to show how the received comments on the draft Interim Evaluation report have (or have not) been incorporated into the final Interim Evaluation report. This audit trail should be included as an annex in the final Interim Evaluation report.

To the comments received on (date) from the Interim Evaluation of the Project “Improving the resilience of vulnerable coastal communities to climate change related impact in Vietnam (PIMS #: 5708 GCF ID: FP013)

The following comments were provided in track changes to the draft Midterm Review report; they are referenced by institution (“Author” column) and track change comment number (“#” column):

Author	#	Para comment location	No./	Comment/Feedback on the draft IE report	IE team response and actions taken

ANNEX IV

OFFEROR'S LETTER TO UNDP

CONFIRMING INTEREST AND AVAILABILITY

FOR THE INDIVIDUAL CONTRACTOR (IC) ASSIGNMENT

Date _____

(Name of Resident Representative/Bureau Director)

United Nations Development Programme

(Specify complete office address)

Dear Sir/Madam:

I hereby declare that:

- A) I have read, understood and hereby accept the Terms of Reference describing the duties and responsibilities of *[indicate title of assignment]* under the *[state project title]*;
- B) I have also read, understood and hereby accept UNDP's General Conditions of Contract for the Services of the Individual Contractors;
- C) I hereby propose my services and I confirm my interest in performing the assignment through the submission of my CV which I have duly signed and attached hereto as Annex 1;
- D) In compliance with the requirements of the Terms of Reference, I hereby confirm that I am available for the entire duration of the assignment, and I shall perform the services in the manner described in my proposed approach/methodology which I have attached hereto as Annex 3 *[delete this item if the TOR does not require submission of this document]*;
- E) I hereby propose to complete the services based on the following payment rate: *[please check the box corresponding to the preferred option]*:
 - ☐ An all-inclusive daily fee of *[state amount in words and in numbers indicating currency]*
 - ☐ A total lump sum of *[state amount in words and in numbers, indicating exact currency]*, payable in the manner described in the Terms of Reference.
- F) For your evaluation, the breakdown of the abovementioned all-inclusive amount is attached hereto as Annex V;
- G) I recognize that the payment of the abovementioned amounts due to me shall be based on my delivery of outputs within the timeframe specified in the TOR, which shall be subject to UNDP's review, acceptance and payment certification procedures;
- H) This offer shall remain valid for a total period of _____ days *[minimum of 90 days]* after the submission deadline;
- I) I confirm that I have no first degree relative (mother, father, son, daughter, spouse/partner, brother or sister) currently employed with any UN agency or office *[disclose the name of the relative, the UN office employing the relative, and the relationship if, any such relationship exists]*;
- J) If I am selected for this assignment, I shall *[please check the appropriate box]*:
 - ☐ Sign an Individual Contract with UNDP;
 - ☐ Request my employer *[state name of company/organization/institution]* to sign with UNDP a Reimbursable Loan Agreement (RLA), for and on my behalf. The contact person and details of my employer for this purpose are as follows:

K) I hereby confirm that *[check all that applies]*:

- ☐ At the time of this submission, I have no active Individual Contract or any form of engagement with any Business Unit of UNDP;
- ☐ I am currently engaged with UNDP and/or other entities for the following work:

Assignment	Contract Type	UNDP Business Unit / Name of Institution/Company	Contract Duration	Contract Amount

- ☐ I am also anticipating conclusion of the following work from UNDP and/or other entities for which I have submitted a proposal:

Assignment	Contract Type	Name of Institution/ Company	Contract Duration	Contract Amount

- L) I fully understand and recognize that UNDP is not bound to accept this proposal, and I also understand and accept that I shall bear all costs associated with its preparation and submission and that UNDP will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the selection process.

- M) **If you are a former staff member of the United Nations recently separated, please add this section to your letter:** I hereby confirm that I have complied with the minimum break in service required before I can be eligible for an Individual Contract.

- N) I also fully understand that, if I am engaged as an Individual Contractor, I have no expectations nor entitlements whatsoever to be re-instated or re-employed as a staff member.

- O) Are any of your relatives employed by UNDP, any other UN organization or any other public international organization?

YES ☐ NO ☐ If the answer is "yes", give the following information:

Name	Relationship	Name of International Organization

- P) Do you have any objections to our making enquiries of your present employer?

YES ☐ NO ☐

- Q) Are you now, or have you ever been a permanent civil servant in your government's employ?

YES ☐ NO ☐ If answer is "yes", WHEN?

- R) REFERENCES: List three persons, not related to you, who are familiar with your character and qualifications.

Full Name	Full Address	Business or Occupation
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S) Have you been arrested, indicted, or summoned into court as a defendant in a criminal proceeding, or convicted, fined or imprisoned for the violation of any law (excluding minor traffic violations)?

YES ☐ NO ☐ If "yes", give full particulars of each case in an attached statement.

I certify that the statements made by me in answer to the foregoing questions are true, complete and correct to the best of my knowledge and belief. I understand that any misrepresentation or material omission made on a Personal History form or other document requested by the Organization may result in the termination of the service contract or special services agreement without notice.

DATE: _____

SIGNATURE: _____

NB. You will be requested to supply documentary evidence which support the statements you have made above. Do not, however, send any documentary evidence until you have been asked to do so and, in any event, do not submit the original texts of references or testimonials unless they have been obtained for the sole use of UNDP.

Annexes *[please check all that applies]:*

- ☐ CV shall include Education/Qualification, Professional Certification, Employment Records /Experience
- ☐ Breakdown of Costs Supporting the Final All-Inclusive Price as per Template

GUIDELINES FOR CV PREPARATION

WE REQUEST THAT YOU USE THE FOLLOWING CHECKLIST WHEN PREPARING

Your CV:

Limit the CV to 3 or 4 pages

NAME (First, Middle Initial, Family Name) Address:

City, Region/State, Province, Postal Code Country:

Telephone, Facsimile and other numbers Internet

Address:

Sex, Date of Birth, Nationality, Other Citizenship, Marital Status

Company associated with (if applicable, include company name, contact person and phone number)

SUMMARY OF EXPERTISE

Field(s) of expertise (be as specific as possible)

Particular development competencies-thematic (e.g. Women in Development, NGOs, Privatization, Sustainable Development) or technical (e.g. project design/evaluation) Credentials/education/training, relevant to the expertise

LANGUAGES

Mother Tongue:

Indicate written and verbal proficiency of your English:

SUMMARY OF RELEVANT WORK EXPERIENCE

Provide an overview of work history in reverse chronological order. Provide dates, your function/title, the area of work and the major accomplishments include honorarium/salary. References (name and contact email address) must be provided for each assignment undertaken by the consultant that UNDP may contact.

UN SYSTEM EXPERIENCE

If applicable, provide details of work done for the UN System including WB. Provide names and email address of UN staff who were your main contacts. Include honorarium/salary.

UNIVERSITY DEGREES

List the degree(s) and major area of study. Indicate the date (in reverse chronological order) and the name of the institution where the degree was obtained.

PUBLICATIONS

Provide total number of Publications and list the titles of 5 major publications (if any)

MISCELLANEOUS

Indicate the minimum and maximum time you would be available for consultancies and any other factors, including impediments or restrictions that should be taken into account in connection with your work with this assignment.

Annex V**FINANCIAL OFFER**

Having examined the Solicitation Documents, I, the undersigned, offer to provide all the services in the TOR for the sum of (VND for National Consultant; USD for international Consultant).

This is a lump sum offer covering all associated costs for the required service (fee, meal, accommodation, visa, travel, taxes etc).

Cost breakdown:

No.	Description	Quantity	Unit Rate	Total
1	Consultancy fee			
2	Out of pocket expenses			
2.1	Travel			
2.2	Per diem			
2.3	Full medical examination and Statement of Fitness to work for consultants from and above 65 years of age and involve travel – (required before issuing contract).			
2.5	Others (pls. specify)			
	TOTAL			

** Individual Consultants/Contractors who are over 65 years of age with assignments that require travel and are required, **at their own cost**, to undergo a full medical examination including x-rays and obtaining medical clearance from **an UN-approved doctor** prior to taking up their assignment.*

I undertake, if my proposal is accepted, to commence and complete delivery of all services specified in the contract within the time frame stipulated.

I agree to abide by this proposal for a period of 120 days from the submission deadline of the proposals.

Dated this day /month

of year Signature

(The costs should only cover the requirements identified in the Terms of Reference (TOR) Travel expenses are not required if the consultant will be working from home).

Annex II: Interim Evaluation Metrix

<u>Evaluation Criteria/Questions</u>	<u>Indicators</u>	<u>Sources</u>	<u>Methodology</u>
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
Relevance: How does the project related to the main objective of the GEF focal area, country priorities and to the environment and development priorities at the local, regional and national level?	<ul style="list-style-type: none"> Project objectives and activities related to objective of GEF focal area and priorities at national, local and regional level Consistency and contribution to GEF focal area objectives and to national development strategies Stakeholder views on project significance and potential impact related to the project objective 	<ul style="list-style-type: none"> Project documents, report vs GEF document and Government development plans Interview with authorities at different level 	<ul style="list-style-type: none"> Project report review in the light of GEF document and government's national development priorities Interviews with relevant personnel
Progress Towards Results: To what extent have the expected outputs and objectives of the project been achieved thus far?			
Achievements: Are there indications that the project has completed its Mid-term targets that contributed to, or enabled progress towards reduced damage to live and property of vulnerable communities, reduction in CO ₂ emission and also reduction in intensity of storm or flood due to mangrove forests and plans are evidence based?	<ul style="list-style-type: none"> Policies/strategies formulated/amended based on evidence of climate risks and disaster loss or damage. Improved monitoring mechanism Technical capacity of relevant institution and communities strengthened. Regular monitoring helped to generate updated information which helped National Communication and also evidence based planning exercise. Improved level of awareness made activities sustainable. Measurable improvements from baseline levels in technical knowledge and skills of targeted staff/other stakeholders. Measurable improvements from baseline levels in the emission and improvement in environment. 	<ul style="list-style-type: none"> Project Reports Interview with stakeholders. Observation in the field. 	<ul style="list-style-type: none"> Review of project reports/documents. Interaction with local to national level stakeholders. Field observation.
Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting and project communications supporting the project's implementation?			
Efficiency: Was the project implemented efficiently in-line with international and national norms and standards?	<ul style="list-style-type: none"> Reasonableness of the costs relative to scale of outputs generated Efficiencies in project delivery modalities Consistency and contribution to GEF focal area objectives and to national development strategies Changes in project circumstances that may have affected the project relevance and effectiveness 	<ul style="list-style-type: none"> Financial statements Project structure and function Project document and annual reports Experience of project staffs and other relevant stakeholders 	<ul style="list-style-type: none"> Analysis of financial statements. Analysis of project structure and functionalities Analysis of project circumstances in project document (past and present) Interaction with relevant stakeholders
Effectiveness: To what extent have the expected outputs and objectives of the project been achieved?	<ul style="list-style-type: none"> Level of achievement of expected outputs or objectives to date Long term changes in forest/mangrove management processes, practices and awareness that can be attributable to the project Enhanced capacity of relevant institutions Favourable management option and effective implementation of efficient and 	<ul style="list-style-type: none"> Change in the ground situation observed. Policy/strategy or program formulation activities included women and their issues incorporated. Policies/strategies/ programs effectively implemented 	<ul style="list-style-type: none"> Report with information on effective implementation of activities and strategies Report on intuition setup Interaction with the policy level people to ground level

	sustainable forest production and utilisation <ul style="list-style-type: none"> • Participation of women in every activities of the project 	<ul style="list-style-type: none"> • Institutions strengthened 	communities and field staffs. <ul style="list-style-type: none"> • Polity document review report. • Field verification of activities
Impacts: Are there indications that the project has contributed to, or enabled progress towards reduced emission of greenhouse gases and stress on the natural resources and/or improved environment status?	<ul style="list-style-type: none"> • Favourable policies/strategies formulated/amended • Improved monitoring mechanism • Technically capacity of relevant institution strengthened. • Regular monitoring helped to generate updated information which helped National Communication and also evidence based planning exercise. • Improved level of awareness made activities sustainable. • Measurable improvements from baseline levels in technical knowledge and skills of targeted staff/other stakeholders. • Measurable improvements from baseline levels in the emission and decrease in intensity of flood and storm. 	<ul style="list-style-type: none"> • Project Reports • Interview with stakeholders. • Observation in the field. 	<ul style="list-style-type: none"> • Review of project reports/documents. • Interaction with local to national level stakeholders. • Field observation.
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			
Sustainability: 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"> • Degree to which outputs and outputs are embedded within the institutional framework (policy, laws, organizations, procedures) • Implementation of measures to assist financial sustainability of project results • Observable changes in attitudes, beliefs and behaviours as a result of the project • Measurable improvements from baseline levels in knowledge and skills of targeted staffs. 	<ul style="list-style-type: none"> • Project report • Observation in the field • Interview with stakeholders 	<ul style="list-style-type: none"> • Review of project reports. • Observation in the field to see impact on the ground • Interaction with stakeholders

Annex III: Summary Evaluation of Project Achievements by Objectives and Outcomes

The Project logframe in the Project Document was revised in the Inception Report. The present evaluation matrix uses the version contained in the Inception Report.

KEY:

GREEN = Achievement of MTR level target.

YELLOW = On target to be achieved.

RED = Not on target to be achieved.

HATCHED COLOUR = estimate; situation either unclear or indicator inadequate to make a firm assessment against.

Project Title: Improving the resilience of vulnerable coastal communities to climate change related impacts in Viet Nam.

Project Strategy	Indicator	Baseline Level	End-of-project Target	Interim Level Assessment	Achievement Rating	Justification for Rating
Project Objective:	Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning	Number of countries that have communicated the strengthening of institutional, systemic and individual capacity-building to implement adaptation, mitigation and technology transfer, and development actions	Public awareness campaign on safe housing technology linking storm/flood-resilient structures to avoided damage/loss	Training were conducted to increase awareness among the local leaders as well as to affected households. Also 2,291 safe houses were constructed which was more than target.	HS	Project achieved more than target of mid-term level.
			Public awareness campaign linking the protection of mangroves to documented social and environmental benefits of project intervention	Various campaigns using posters, leaflets, trainings and documentary were conducted to raise public awareness for protection of mangroves for social, environmental and economic benefits.	S	Various awareness programs were conducted to increase awareness but still some farmers were not interested in mangrove plantation due to comparatively better economic returns from the aquaculture.

	Scaled up action on climate change adaptation and mitigation cross sectors which is funded and implemented.	Extent to which implementation of comprehensive measures – plans, strategies, policies, programmes and budgets – to achieve low-emission and climate-resilient development objectives has improved.			S	Database developed to support evidence based planning. Still more awareness at district level is needed.
Increased resilience of infrastructure and the built environment to climate change	Number and value of physical asset made more resilient to climate variability and change, considering human benefits	4,000 houses not meeting safety/ resilience criteria established by government	4,000 houses	Target was 2,000 safe houses but project completed 2291 houses.	HS	Achieved more than Mid-term level target and impact of safe house was observed in recent floods.
Reduced emissions from land use, reforestation, reduced deforestation, and through sustainable forest management and conservation and enhancement of forest carbon stocks	Tonnes of carbon dioxide equivalent (tCO ₂ eq) reduced or avoided (including increased removals) as a result of Fund-funded projects/programmes	0	Estimate 565,180 tCO ₂ eq	Estimate 282,590 tCO ₂ eq	MS	Targeted area of mangrove plantation/regeneration is not achieved. At some places massive enrichment plantation is needed and the survival rate is very low. As plantation/regeneration couldn't meet the targeted area, reduction in emission also could not meet the target.

<p>Output 1: Storm and flood resilient design features added to 4,000 new houses on safe sites, benefiting 20,000 poor and highly disaster-exposed people in 100 communes</p>	<p>Number of households provided with resilient homes (disaggregated by gender)</p>	<p>4,000 houses not meeting safety/ resilience criteria established by government</p>	<p>4,000 households</p>	<p>1.1: 2354 safe houses completed which is 8.9% more than target for the Mid-term level. This includes 60% poor and women headed households from 5 provinces (Thanh Hoa, Quang Binh, Thua Thien-Hue, Quang Nam and Quang Ngai). More than 90% houses used materials from the old houses.</p> <p>1.2: Community-based climate and disaster risk mapping and planning is completed in 252 communes from 7 project provinces. This activity was implemented by including in the training program of Output 3.</p> <p>1.3: 5 house designs was made available to beneficiaries by the Department of Construction from where they could chose suitable for them. House design competition was organised with the technical support from UN-HABITAT and Vietnam Institute of Architecture to select the best designs for future replication.</p> <p>With the experience from this project, wide housing program is being developed to build safe house in all 28 coastal provinces in Vietnam.</p> <p>2 documentary films were produced to document and present project housing activity and progress and information on procedures to apply for GCF's housing financial support.</p>	<p>HS</p>	<p>Constructed more than targeted number of safe houses.</p> <p>Community awareness programs were completed for the targeted communes and also mapping and planning was completed in slightly more than target (target was 250).</p> <p>Required number of house design were made for providing options for the beneficiaries.</p> <p>Programs for replication in 28 coastal provinces are also being developed.</p>
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<p>Output 2: Regeneration of 4,000 hectares of coastal mangrove storm surge buffer zones using successful evidence-based approaches</p>	<p>Hectares of land or forests under improved and effective management that contributes disaster risk reduction, as well as to CO2 emission reductions</p>	<p>0</p>	<p>4,000ha</p>	<p>2.1: Complexity and difficulties related to mangrove development and identification of the best forest restoration measures and cost norms appropriate for the 5 project provinces were studied. 5 PPMU cooperated in field survey, mapping current status and planning areas for implementing afforestation and rehabilitation. Research also estimated the level of investment for each technical measure: afforestation with newly laid beds, lowering of substrates in lagoons, afforestation along river / sea, zoning with supplementary planting etc.</p> <p>Technical guidelines for 9 mangrove species suitable with site locations and in line with project support levels in provinces were developed and approved by Vietnam Administration of Forestry (VNFOREST).</p> <p>Manuals for techniques applied in afforestation and forest rehabilitation under this project were developed.</p> <p>Total area of forests planted/regenerated/protected in 2 years (2018 and 2019) was 1,441 ha while target was 2000ha. About 1,000 local people got job in mangrove plantation including 40% women.</p> <p>Carbon stock and GHG emission reduction are monitored. Total baseline carbon reserves was 422,864 tons of CO2 equivalent and by the end of 2019, the estimated carbon reserve is 457,278 tons of CO2 equivalent which will make a</p>	<p>MS</p>	<p>Targeted area of mangrove plantation and regeneration for mid-term level was 2000ha but project could only complete 1,441 ha. Some of the area identified for the project plantation is taken by other projects so has to find a new area to meet the target.</p>
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				<p>net carbon reserve (reducing emissions) of 34,414 tons of CO2 equivalent.</p> <p>Assessment of the impact of mangrove development on people's livelihoods was conducted and based on the study findings 15 livelihood models were developed for 11 communes from 5 project provinces. Of the 408 participating households, 31 were headed by women.</p> <p>2.2: Community-based programme on mangrove rehabilitation, maintenance and monitoring for target communities was not initiated till the December 2019. It was told that the participatory training and management activities were moved to output 3 but there mangrove is given least priority.</p> <p>2.3: Database of Vietnam's coastal forests (28 coastal provinces) has been developed and will be endorsed by MARD, benefitting national level forestry and disaster management planning and decision making. This will be integrated into the forestry sector information management system (FORMIS). A software to manage and use the coastal forest database has been developed (Desktop and Web versions).</p> <p>A short documentary film to introduce the project in the provinces has been developed.</p> <p>1500 leaflets to introduce project mangrove development, 2450 mangrove propaganda poster, 2000 technical manual on mangrove planting techniques, 1000 versions of manual for</p>		
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				management and use coastal forest database have been printed and disseminated to various relevant stakeholders		
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Output 3: Increase access to enhanced climate, loss and damage data for private and public sector application	Number of disaster database established/support ed and number of climate policy/regulatory frameworks supported	Climate products integrating risk information not regularly available	5 (enhancement to policies, tailored climate risk information for various stakeholders)	<p>3.1: The review of DRR and Climate risks related information system of the VnDMA has been completed and the recommendations have been used as basic for the development of the Vietnam Disaster Monitoring System.</p> <p>22 TOT trainings were implemented including 5 at central level and 17 at provincial level to provide guidelines for TOF training and CBDRA activities at commune level.</p> <p>252 TOF training and CBDRA sessions (6 days each) have been implemented respectively in 252 communes of all 7 project province (project target was 520). Throughout this training and CBDRA process, 31,556 local people and local authority staff (48.34% women) participated and had access to information about CBDRM and climate change. Data collected from CBDRA are being developed into a climate change and natural disaster risk database.</p> <p>3.2: The project in collaboration with VnDMA has organized a meeting where representatives from key ministries (MPI, MONRE, MARD, MoF) participated to share their view on how to mainstream climate change risk into annual planning and good practices (using face-book).</p> <p>3.3: A study on innovative financing for disaster and CC impacts in Vietnam has been conducted and recommendations made for developing the insurance sector to ensure their contribution to the Disaster Risks Financing (DRF) strategy for transferring risk.</p>	S	<p>Project completed most of the activities set for the mid-term level. In training it slightly exceeded the target.</p> <p>Providing of technical and coordination inputs to enable government to develop a plan for management of the financial risks of a major climate related disaster affecting coastal areas was not done.</p> <p>Research support to develop improved financial loss model for Vietnam to estimate economic exposure to climate events was not done.</p>
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Annex IV: Interim Evaluation Ratings

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

Annex V: Interim Evaluation Mission Itinerary

SN	Agency/Task	Date/time		Content/Remark
		Proposed time	Proposed date	
1	International consultant arrives in Hanoi, working with national consultant	9:30	15 Dec 2019	
2	UNDP Project Team	9:30-11:00	16 Dec 2019	All evaluation criteria in the TOR
3	UNDP leadership	11:00 – 12:00	16 Dec 2019	<ul style="list-style-type: none"> - Relevance of the project to UNDP priorities and strengths in the country - Main successes and shortcomings of the project - Partnership with GCF and national stakeholders - Sustainability prospects of the project
4	Department of International Relations under the VNDMA	13:30 – 14:30	16 Dec 2019	<ul style="list-style-type: none"> - Relevance of the project to the needs and priorities of the VNDMA and related stakeholders - Participation of the VNDMA in the design, implementation and monitoring of the project - Main successes and strengths of the project - Main weaknesses and shortcomings - Sustainability prospects of the project - Lessons learned and recommended adjustments for the future - Other issues
5	VNDMA and the Central PMU	14:30 – 16:00	16 Dec 2019	<ul style="list-style-type: none"> - Relevance of the project to the needs and priorities of the VNDMA and related stakeholders - Participation of the VNDMA in the design, implementation and monitoring of the project - Up-to-date progress and results achieved of all the three outputs - Main successes and strengths of the project - Main weaknesses and shortcomings - Project management structure, communication and coordination - Project monitoring, supervision and management actions - Integration of gender equality issues - Sustainability prospects of the project - Lessons learned and recommended adjustments for the future - Other issues
6	Talking with Mr. Hien, Output 1 consultant	16:10 – 17:00	16 Dec 2019	
7	Working in Thanh Hoa (separate workplan)		17-18 Dec 2019	
8	Department of Housing and Real Estate Management	8:30 – 10:00	19 Dec 2019	<ul style="list-style-type: none"> - Relevance of the project to the needs and priorities of the Department and related stakeholders - Participation of the Department in the design, implementation and monitoring of the project - Up-to-date progress and results achieved of Output 1 - Main successes and strengths of the project - Main weaknesses and shortcomings - Project management structure, communication and coordination - Project monitoring, supervision and management actions - Integration of gender equality issues - Sustainability prospects of the project

				<ul style="list-style-type: none"> - Lessons learned and recommended adjustments for the future - Other issues
9	Meeting with the livelihood consultant for Output 2 (Mrs. Lien)	13:00 – 14:00	19 Dec 2019	
10	Ministry of Planning and Investment	14:30 – 15:30	19 Dec 2019	<ul style="list-style-type: none"> - Relevance of the project to development priorities of Vietnam - Linkages between the project and other government- and ODA-funded projects of similar nature - Sustainability prospects of the project
11	Meeting with the consultant for Output 3 (Mr. Gia)	15:45 – 16:45	19 Dec 2019	
12	Vietnam Women's Union (VWU)	17:00 – 18:00	19 Dec 2019	<ul style="list-style-type: none"> - Relevance of the project to the needs and priorities of the VWU - Participation of national, provincial and local level VWU in the project - Integration of gender equality issues in project activities - Recommendations for the future
13	Participation in the Annual Review Workshop	8:30 – 12:00	20 Dec 2019	
14	(International Consultant) Meeting with Ms. Caitlin, UNDP Vietnam Resident Representative (RR Office)	14:00 – 14:30	20 Dec 2019	
15	(National Consultant) Group discussion with provincial PMUs participating in the review workshop	14:00 – 16:00	20 Dec 2019	<ul style="list-style-type: none"> - Relevance of the project to local needs and priorities - Participation of the localities in the design, implementation and monitoring of the project - Main successes and strengths of the project - Main weaknesses and shortcomings - Project management structure, communication and coordination - Project monitoring, supervision and management actions - Integration of gender equality issues - Sustainability prospects of the project - Lessons learned and recommended adjustments for the future - Other issues
16	Travel from HN to HCMC	16:30 – 18:45 VN257 (Suggested)	22 Dec 2019	Many flights to choose from
17	Travel from HCMC to Ca Mau	5:55 – 6:55 VN8061	23 Dec 2019	Only one flight per day
18	Working in Ca Mau (separate workplan)		23-24 Dec 2019	
19	Travel from Ca Mau to HCMC	7:15 – 8:30 VN8060	25 Dec 2019	Only one flight per day
20	International consultant traveling from HCMC to Hanoi	10:00 – 12:10 VN228 (Suggested)	25 Dec 2019	Many flights to choose from
21	National consultant traveling from	12:30 – 14:00 VN1460	25 Dec 2019	Only one flight per day

	HCMC to Quang Ngai (Chu Lai airport)			
22	National consultant working in Quang Ngai (separate workplan)		25-27 Dec 2019	
23	(International consultant) Meeting Mr. Phuong, project's carbon measurement consultant	14:00 – 15:00	25 Dec 2019	
24	(International consultant) Meeting Mrs. Han, UNDP M&E Officer	8:45 – 9:30	26 Dec 2019	
25	(International consultant) Vietnam Red Cross Society Add.: 82 Nguyễn Du, Hà Nội	10:00 – 11:00	26 Dec 2019	Mangrove plantation and protection, CBDRM, shelter
26	(International consultant) VNFOREST	13:30 – 15:00	26 Dec 2019	<ul style="list-style-type: none"> - Relevance of the project to the needs and priorities of the VNFOREST and related stakeholders - Participation of the VNFOREST in the design, implementation and monitoring of the project - Up-to-date progress and results achieved of Output 2 - Main successes and strengths of the project - Main weaknesses and shortcomings - Project management structure, communication and coordination - Project monitoring, supervision and management actions - Integration of gender equality issues - Sustainability prospects of the project - Lessons learned and recommended adjustments for the future - Other issues
	(International consultant) Presentation preparation, reserve time and wrap-up	8:00 – 12:00	27 Dec 2019	
28	(International consultant) Presentation of key initial findings to UNDP and CPMU	14:00 – 16:00	27 Dec 2019	
29	National consultant traveling from Quang Ngai to HN	13:45 – 15:20 VN1640	27 Dec 2019	Only one flight per day
	International consultant departs	21:00	27 Dec 2019	

Field Mission Schedule of Ca Mau Province

SN	Agency name	Time		Expected content
		Recommended working time	Expected date	
1	People's Committee of Ca Mau Province	9 : 0 0 - 9 : 3 0	December 23, 2019	<ul style="list-style-type: none"> - The suitability of the project with the needs and development priorities of the province - Project sustainability - Provincial evaluation of project implementation and results - Links between this project and projects of the state and other organizations in the province - Proposals and recommendations of the province for the remaining time of the project
2	Department of Agriculture and Rural Development	9 : 3 0 - 11 : 0 0	December 23, 2019	<ul style="list-style-type: none"> - The suitability of the project with the needs of the Department - Progress and results of implementation of Component 2 - Strengths and limitations of the project - Links between this project and projects of the state and other organizations in the province - The governance structure and intention of the project - Lessons learned during project implementation - Project sustainability - Proposals and recommendations of the Department for the remaining time of the project
3	Working in commune 1	1 3 : 3 0 - 1 7 : 0 0	December 23, 2019	
	Discuss with the leaders and mass organizations to participate in the project	13:30 - 14:30	December 23, 2019	<ul style="list-style-type: none"> - Project implementation schedule and results - Strengths and limitations of the project - Linking UNDP-GCF projects with projects of the state and other organizations in the commune - Lessons learned during project implementation - Project sustainability - A Propose recommendations of the commune for the remaining duration of the project
	Visit the mangrove forest and discuss with stakeholders	14:30 - 17:00	December 23, 2019	<ul style="list-style-type: none"> - Contractor's progress of afforestation - Participation of people in planting and protecting forests
4	Working in commune 2			
	Discuss with the leaders and mass organizations to participate in the project	8:00 - 9:00	24 /12/2019	<ul style="list-style-type: none"> - Project implementation schedule and results - Strengths and limitations of the project - Linking UNDP-GCF projects with projects of the state and other organizations in the commune

				<ul style="list-style-type: none"> - Lessons learned during project implementation - Project sustainability - A Propose recommendations of the commune for the remaining duration of the project
	Discuss with household groups whose livelihoods are affected by reforestation	9 : 0 0 - 10 : 0 0	24 /12/2019	<ul style="list-style-type: none"> - Influence of afforestation activities on household livelihoods - Participation of people in the process of making and implementing livelihood plans - Comments of the beneficiaries on the project
	Discuss with the CBDRM Technical Support team	1 0 : 0 0 - 11 : 0 0	24 /12/2019	<ul style="list-style-type: none"> - CBDRM training and post-training tasks - Relevance, connectivity and benefits of CBDRM to local disaster prevention - Comments for the project
	Visit the mangrove forest and discuss with stakeholders	13:00 - 15:30	24 /12/2019	<ul style="list-style-type: none"> - Contractor's progress of afforestation - Participation of people in planting and protecting forests
5	Report preliminary results to the Provincial Project Management Board	16:30 - 17:00	12/24/2019	

Field Mission Schedule of Quang Ngai Province

SN	Agency name	Time		Expected content
		Recommended working time	Expected date	
1	Provincial People's Committee	15: 3 0 - 16:00	December 25, 2019	<ul style="list-style-type: none"> - The suitability of the project with the needs and development priorities of the province - Project sustainability - Provincial evaluation of project implementation and results - Links between this project and projects of the state and other organizations in the province - Proposals and recommendations of the province for the remaining time of the project
2	Department of Construction of the province	16:15-17:15	December 25, 2019	<ul style="list-style-type: none"> - The suitability of the project with the needs of the Department - Progress and results of implementation of Component 1 - The connection between Component 1 and Component 3 - Strengths and limitations of the project - Links between this project and projects of the state and other organizations in the province - The governance structure 1 intention of the project - Lessons learned during project implementation

				<ul style="list-style-type: none"> - Project sustainability - Proposals and recommendations of the Department for the remaining time of the project
3	Department of Agriculture and Rural Development	8: 0 0 - 9: 0 0	December 26, 2019	<ul style="list-style-type: none"> - The suitability of the project with the needs of the Department - Progress and results of implementation of Component 2 - Strengths and limitations of the project - Links between this project and projects of the state and other organizations in the province - The governance structure and intention of the project - Lessons learned during project implementation - Project sustainability - Proposals and recommendations of the Department for the remaining time of the project
4	Working in the commune ...	10: 0 0 - 17: 0 0	December 26, 2019	
	Discuss with the leaders and mass organizations to participate in the project	1 0: 0 0 - 11: 0 0	December 26, 2019	<ul style="list-style-type: none"> - Project implementation schedule and results - Strengths and limitations of the project - Linking this projects with projects of the state and other organizations in the commune - Lessons learned during project implementation - Project sustainability - A Propose recommendations of the commune for the remaining duration of the project
	Visit the mangrove forest and discuss with stakeholders	1 3: 30 - 16: 00	December 26, 2019	<ul style="list-style-type: none"> - Contractor's progress of afforestation - Participation of people in planting and protecting forests
	Discuss with household groups whose livelihoods are affected by reforestation	16 : 15 - 1 7 : 15	December 26, 2019	<ul style="list-style-type: none"> - Influence of afforestation activities on household livelihoods - Participation of people in the process of making and implementing livelihood plans - Comments of the beneficiaries on the project
	Discuss with household groups (3-4 household representatives, both men and women) to benefit from Component 1 (organize at home of a household who receives support from the project)	8:00 - 9:00	December 27, 2019	<ul style="list-style-type: none"> - The process of selecting beneficiaries - Financial transparency - Participation and contribution of the parties in the process of house construction - The suitability of house design with households and the natural disaster situation in the locality - Comments of the beneficiaries on the project
	Discuss with the CBDRM Technical Support team	9 : 00 - 10 : 00	December 27, 2019	<ul style="list-style-type: none"> - CBDRM training and post-training tasks

				<ul style="list-style-type: none"> - Relevance, connectivity and benefits of CBDRM to local disaster prevention - Comments for the project
5	Report preliminary results to the Provincial Project Management Board	10:30 - 11:00	12/27/2019	

Field Mission Schedule of Thanh Hoa Province

SN	Time	Place	content	Ingredient
1	December 17, 2019			
-	8.30-9.30	At the People's Committee of Nga Tan commune, Nga Son district	<ul style="list-style-type: none"> - Project implementation schedule and results - Strengths and limitations of the project - Linking UNDP-GCF projects with projects of the state and other organizations in the commune - Lessons learned during project implementation - Project sustainability Some recommendations and proposals (if any) 	Representative of CPC leaders; policy officer; mass organizations in the commune (Farmer's Union, Women union, Youth Union, Fatherland Front ...)
-	9.30-10.30	At the People's Committee of Nga Tan commune, Nga Son district	<ul style="list-style-type: none"> - CBDRM training and post-training tasks - Relevance, connectivity and benefits of CBDRM to local disaster prevention Comments to the project (if any)	Discuss with the CBDRM Technical Support team
-	10.30-11.30	At 01 household supported to build houses to prevent storms and floods	<ul style="list-style-type: none"> - The process of selecting beneficiaries - Financial transparency - Participation and contribution of the parties in the process of house construction - The suitability of house design with households and the natural disaster situation in the locality Comments of beneficiaries on the project	Representatives of commune People's Committee, policy officers and 3-4 households are supported to build houses. (Consultation team directly discusses with beneficiaries to ensure the objectivity of the assessment)
-	13.30-14.30	At home 01 household affected by reforestation activities	<ul style="list-style-type: none"> - Influence of afforestation activities on household livelihoods - People's participation in the livelihood planning process - Comments of the beneficiaries on the project 	Representatives from 5-6 households are affected by the afforestation activities
				Project Management Board, Planting

-	14.30-17.00	At the plantation site	- Contractor's progress of afforestation Participation of people in planting and protecting forests	Contractor and some households directly involved in mangrove planting.
2	December 18, 2019 8.00-11.30	At Department of Agriculture and Rural Development	<ul style="list-style-type: none"> - The suitability of the project with the needs and development priorities of the province - Project sustainability - Provincial evaluation of project implementation and results - Links between this project and projects of the state and other organizations in the province Proposals and recommendations of the province for the remaining time of the project - Lessons learned during project implementation - Structure of project management board - Progress of implementation of the project components ... 	Office of the Provincial People's Committee; Facility construction; Department of Agriculture and Rural Development; Provincial Social Policy Bank; Provincial Project Management Board.
	13h30-15h00	At the PMU Office	- Project progress, ways of organizing and coordinating the implementation of project activities in the province	Representatives of the Provincial Project Management Board and relevant officials

Field Visit Summary

International consultant arrived Hanoi in the morning of 15th December 2019. On the same International consultant had meeting with National consultant to discuss mission schedule, project related documents and other practical issues related to the field missions. On 16th December International consultant and National Consultant had meeting with UNDP team including ARR who is focal point at UNDP for Climate Change Programs, Chief Technical Advisor, Project Officer (manager), subject experts involved in the project and other staffs of UNDP related to this project. Same day, International consultant also had meeting with the Vietnam Disaster Management Authority Deputy Director and Project Management Unit team. After these team had meeting with the housing consultant and after these meeting travelled to Thanh Hoa province. On 17th evaluation team had meeting with the leaders of Nga Tan Commune and also made site visits to witness mangrove plantations. After site visit team interacted with the local community member (beneficiaries) and also the contractor of the mangrove plantation. On 18th December team had meeting with Director and Deputy Director of the Fund for Forest Development and Disaster Management. Team also had meeting with the project team for Thanh Hoa Province. After these meetings team returned to Hanoi on 18th December. On 19th team had meeting with livelihood consultant, training and database consultant, Deputy Director of Department for Management of Housing and Real Estate, coordinator for housing activities, Deputy Director of Science, Education, Natural Resources and Environment, Focal Point for GCF at Department of Science, Education, Natural Resources and Environment, Ministry of Planning and Investment and Vietnam Women's Union representatives. On 20th December team took part in the Annual review meeting of the project and also interacted with Director of Quang Nam PMU, Planning Officer of Quang Nam PMU, Deputy Director of Quang Binh PMU, Coordinator of Quang Binh PMU, member of Quang Binh PMU, Deputy Director of Nam Dinh PMU, Accountant of Nam Dinh PMU, Technical Specialist of Nam Dinh PMU, Coordinator of Nam Dinh PMU and Director of Thua Thien Hue PMU. On the same day in the late afternoon International Consultant had meeting with Resident Representative of UNDP Ms Caitlin Wiesen and Assistant Resident Representative in Vietnam. On 21st and 22nd December Team reviewed documents and prepared for the Ca Mau visits. By the evening flight, team travelled to Ho Chi Minh city and by early morning flight of 23rd team travelled to Ca Mau. On 23rd December team had meeting with Vice Chairman of Ca Mau Province People's Committee, Director of Forest Protection Division, Deputy Director of Dept. of Agriculture and Rural Development of Ca Mau, Deputy Director of Irrigation Division (officer in charge of output 3), Forestry consultant, Vice Chairman of An Vien Dong Commune, Director Nhung Mien Protection Forest Management Board, Head of Technical Division of Nhung Mien Protection Forest Management Board, Agriculture Extension Unit of Ngoc Hien District, Agriculture Officer of An Vien Dong Commune, beneficiaries of Xuong Tien village, PMU coordinator of Ca Mau, Accountant of Ca Mau PMU and team also visited some mangrove plantation sites and aquaculture programs. On 24th December team had meeting with Technical officers of Sao Luoi Protection Forest Management Board, Land and construction Officer of Nguyen Viet Khai Commune of Phu Tan District, Officer of Division Agriculture and Rural Development, Office Clerk of Nguyen Viet Khai Commune of Phu Tan District, Technical Officer, Nguyen Viet Khai Commune, Vice Chair of Nguyen Viet Khai Commune, Director of Sao Luoi Protection Forest Management Board, 4 Technical Officer Nguyen Viet Khai Commune, Deputy head of technical Department of Sao Luoi Protection Forest Management Board, Deputy Director of Division of Agriculture and Rural Development Phu Tan District, beneficiaries of Go Cong Village of Nguyen Viet Khai Commune. On the 25th International Consultant travelled to Hanoi while National Consultant travelled to Quang Ngai Province. On 25th National Consultant had meetings with Deputy Director of the Department of Agriculture and Rural Development of Quang Ngai Province, Deputy Director of Provincial Protection Forest Management Board, Chairman of Binh Thuan Commune, Accountant of Department of Agriculture and Rural Development (project accountant), Provincial UNDP GEF project Coordinator for Quang Ngai province, Vice chairman of Duc Loi Commune, Head of the

Economic and Infrastructure Department of Mo Duc District, Head of the Budget Management Division, Department of Finance of Quang Ngai, Deputy Head of the Irrigation Division. On 26th International consultant had meeting with M&E Officer from UNDP, Deputy Director of Vietnam Red Cross and Director of Vietnam Forest Department. Same day National Consultant had meetings with Cluster 14 beneficiaries from Thuan Phuoc Village of Binh Thuan Commune, Binh Son District and beneficiaries of Tuyet Dien 2 and 3 villages. He also had meeting with Contractors, Agriculture extension and veterinary officer of Binh Son District, Technical specialist for livelihood models, Head of Police force, Agriculture extension and Veterinary officer, Statistical officer of Binh Thuan Commune, Deputy head of Army, Land Contruction Agriculture and Environment Officer of Binh Thuan Commune, Village leader of Thuan Phuoc Village and Technical Specialist of Dung Quat Technical Center for Forestry and Agriculture. On the 27th International Consultant had meeting with GIS and Database staffs of the project and in the afternoon, International Consultant presented initial findings with all project stakeholders and interacted on various issues related to project. On 27th December National consultant had meeting with Head of the Division for Management of Housing and Real Estate of Quang Ngai province, Social Officer of Duc Loi Commune, Village Leader of Ky Tang Village and beneficiaries of Ky Tang village. National Consultant returned Hanoi on 27th late afternoon flight. International Consultant left Hanoi by night flight of 27th December. International consultant had Sky meeting with the Carbon measurement expert on 6th January 2020.

Annex VI: People Interviewed

SN	Name	Sex	Address/position/organization	Province	Date
1	Đoàn Thị Tuyết Nga	F	Director, Department of Science, Technology and International Cooperation, Vietnam Disaster Management Authority, MARD	Hanoi	16-Dec-19
2	Vũ Tuấn Anh	M	Planning officer, Central Project Management Unit	Hanoi	16-Dec-19
3	Đỗ Mạnh Tuyên	M	GIS specialist, Central Project Management Unit	Hanoi	16-Dec-19
4	Đỗ Mạnh Hùng	M	Director, Central Project Management Unit	Hanoi	16-Dec-19
5	Nguyễn Thanh Xuân	F	Communication officer, Central Project Management Unit	Hanoi	16-Dec-19
6	Nguyễn Châu Thành	M	Monitoring and evaluation officer, Central Project Management Unit	Hanoi	16-Dec-19
7	Vũ Thái Trường	M	Project Management Specialist, GCF Project - CCE Unit, UNDP	Hanoi	16-Dec-19
8	Khusrav Sharifov	M	Senior Technical Advisor, GCF Project, UNDP	Hanoi	16-Dec-19
9	Ngô Hồng Hoa	F	Finance and Budget Executive, GCF Project, UNDP	Hanoi	16-Dec-19
10	Nguyễn Thuý Nga	F	Procurement Executive, GCF Project, UNDP	Hanoi	16-Dec-19
11	Cao Xuân Hiên	M	Consultant for Output 1, UNDP	Hanoi	16-Dec-19
12	Đào Xuân Lai	M	Assistant to Resident Representative/ Head of CCE Unit, UNDP	Hanoi	16-Dec-19
13	Nguyễn Văn Dũng	M	Vice Chairman, Nga Tan Commune People's Committee, Nga Son district	Thanh Hoa	17-Dec-19
14	Phạm Văn Vân	M	Chairman of the Nga Tan Commune Fatherland Front, Nga Son district	Thanh Hoa	17-Dec-19
15	Mai Văn Hùng	M	Head of army force, Nga Tan commune, Nga Son district	Thanh Hoa	17-Dec-19
16	Nguyễn Văn Ngạn	M	Officer for culture, Nga Tan Commune People's Committee, Nga Son district	Thanh Hoa	17-Dec-19
17	Mai Ngọc Kiêm	M	Chairman of the Nga Tan Commune Farmer's Union, Nga Son district	Thanh Hoa	17-Dec-19
18	Nguyễn Bá Sáng	M	Chairman of the Nga Tan Commune Veteran's Union, Nga Son district	Thanh Hoa	17-Dec-19
19	Nguyễn Thị Nhung	F	Chairwoman of the Nga Tan Commune Women's Union, Nga Son district	Thanh Hoa	17-Dec-19
20	Nguyễn Văn Ty	M	Chairman of the Nga Tan Commune Red Cross Society, Nga Son district	Thanh Hoa	17-Dec-19
21	Dương Văn Dũng	M	Office clerk, Nga Tan Commune People's Committee, Nga Son district	Thanh Hoa	17-Dec-19
22	Mai Thị Nga	F	Women's Union's cell of Cluster 4, Nga Tan commune, Nga Son district	Thanh Hoa	17-Dec-19
23	Nguyễn Thị Hồng	F	Village #6, Nga Tan commune, Nga Son district	Thanh Hoa	17-Dec-19
24	Mã Thị Sử	F	Village #6, Nga Tan commune, Nga Son district	Thanh Hoa	17-Dec-19
25	Đào Thị Hiên	F	Village #6, Nga Tan commune, Nga Son district	Thanh Hoa	17-Dec-19
26	Lê Sỹ Thịnh	M	Deputy Director, Hanoi Construction, Ecology and Irrigation Company	Thanh Hoa	17-Dec-19
27	Trịnh Thị Vui	F	Village #8, Nga Tan commune, Nga Son district	Thanh Hoa	17-Dec-19
28	Nguyễn Thị Liên	F	Village #8, Nga Tan commune, Nga Son district	Thanh Hoa	17-Dec-19
29	Phạm Thị Hằng	F	Village #8, Nga Tan commune, Nga Son district	Thanh Hoa	17-Dec-19
30	Mai Văn Đương	M	Village #6, Nga Tan commune, Nga Son district	Thanh Hoa	17-Dec-19
31	Mai Văn Lực	M	Village #6, Nga Tan commune, Nga Son district	Thanh Hoa	17-Dec-19
32	Đào Văn Quyết	M	Village #6, Nga Tan commune, Nga Son district	Thanh Hoa	17-Dec-19
33	Mai Thị Bình	F	Village #6, Nga Tan commune, Nga Son district	Thanh Hoa	17-Dec-19
34	Lê Công Cường	M	Director of the Fund for Forest Development and Disaster Management in Thanh Hoa, Director of Thanh Hoa PMU	Thanh Hoa	18-Dec-19
35	Lê Phú Đạt	M	Deputy Director of the Fund for Forest Development and Disaster Management in Thanh Hoa, Deputy Director of Thanh Hoa PMU	Thanh Hoa	18-Dec-19
36	Nguyễn Việt Nghị	M	Coordinator, Thanh Hoa PMU	Thanh Hoa	18-Dec-19
37	Trần Thanh Bình	M	Officer in charge of Output 1, Thanh Hoa PMU	Thanh Hoa	18-Dec-19
38	Lê Thị Nga	F	Thanh Hoa PMU accountant for GCF fund	Thanh Hoa	18-Dec-19
39	Trần Thị Kim Liên	F	Consultant for livelihoods models, UNDP	Hanoi	19-Dec-19
40	Vũ Văn Gia	M	Consultant for Output 3, UNDP	Hanoi	19-Dec-19
41	Nguyễn Mạnh Khởi	M	Deputy Director, Department for Management of Housing and Real Estate, Director of the PMU for Output 1	Hanoi	19-Dec-19
42	Tăng Lam Hà -	F	Coordinator, PMU for Output 1	Hanoi	19-Dec-19
43	Nguyễn Tuấn Anh	M	Deputy Director, Department of Science, Education, Natural Resources and Environment, Ministry of Planning and Investment	Hanoi	19-Dec-19
44	Nguyễn Diệu Trinh	F	Focal point for GCF, Department of Science, Education, Natural Resources and Environment, Ministry of Planning and Investment	Hanoi	19-Dec-19
45	Nguyễn Thị Minh Hương	F	Department of Information, Education and Communication, Vietnam Women's Union	Hanoi	19-Dec-19
46	Nguyễn Hoàng Anh	F	Department of Information, Education and Communication, Vietnam Women's Union	Hanoi	19-Dec-19

47	Nguyễn Hồng Lam	M	Director , Quang Nam PMU	Quang Nam	20-Dec-19
48	Lê Văn Lực	M	Planning officer, Quang Nam PMU	Quang Nam	20-Dec-19
49	Nguyễn Thành Long	M	Deputy Director, Quang Binh PMU	Quang Binh	20-Dec-19
50	Nguyễn Anh Quốc	M	Coordinator, Quang Binh PMU	Quang Binh	20-Dec-19
51	Caitlin Wiesen	F	Resident Representative in Viet Nam, UNDP	Hanoi	20-Dec-19
52	Đinh Duy Khánh	M	Member, Quang Binh PMU	Quang Binh	20-Dec-19
53	Trần Thị Nguyệt	F	Deputy Director, Nam Dinh PMU	Nam Dinh	20-Dec-19
54	Mai Việt Hà	F	Accountant, Nam Dinh PMU	Nam Dinh	20-Dec-19
55	Nguyễn Thị Thu Hoài	F	Technical specialist, Nam Dinh PMU	Nam Dinh	20-Dec-19
56	Cao Thành Hưng	M	Coordinator, Nam Dinh PMU	Nam Dinh	20-Dec-19
57	Vô Văn Dự	M	Director, Thua Thien Hue PMU	Thua Thien Hue	20-Dec-19
58	Lê Văn Sử	M	Vice Chairman, Ca Mau Provincial People's Committee	Ca Mau	23-Dec-19
59	Trần Văn Thúc	M	Deputy Director, Ca Mau Department of Agriculture and Rural Development, Director of Ca Mau PMU	Ca Mau	23-Dec-19
60	Phạm Trung Thành	M	Coordinator, Ca Mau PMU	Ca Mau	23-Dec-19
61	Trần Văn Hùng	M	Director, Ca Mau Forest Protection Division, Forestry officer, Ca Mau PMU	Ca Mau	23-Dec-19
62	Nguyễn Hữu Quyền	M	Deputy Director, Ca Mau Forest Protection Division, Supervision officer, Ca Mau PMU	Ca Mau	23-Dec-19
63	Nguyễn Thanh Tùng	M	Deputy Director, Ca Mau Irrigation Division, Officer in charge of Output 3, Ca Mau PMU	Ca Mau	23-Dec-19
64	Nguyễn Anh Duy	M	Accountant, Ca Mau Forest Protection Division, Accountant, Ca Mau PMU	Ca Mau	23-Dec-19
65	Lê Minh Lộc	M	Forestry consultant, Ca Mau PMU	Ca Mau	23-Dec-19
66	Lê Thị Như Ý	F	Accountant for GCF Fund, Ca Mau PMU	Ca Mau	23-Dec-19
67	Lê Hoài Phương	M	Deputy Director, Division of Agriculture and Rural Development, Ngoc Hien district	Ca Mau	23-Dec-19
68	Lương Huỳnh Hào	M	Vice Chairman, An Vien Dong Commune People's Committee, Ngoc Hien district	Ca Mau	23-Dec-19
69	Lâm Ngọc Kiên	M	Director, Nhung Mien Protection Forest Management Board	Ca Mau	23-Dec-19
70	Tạ Minh Mẫn	M	Deputy Director, Nhung Mien Protection Forest Management Board	Ca Mau	23-Dec-19
71	Nguyễn Trường Giang	M	Head of Technical Division, Nhung Mien Protection Forest Management Board	Ca Mau	23-Dec-19
72	Lê Văn Luông	M	Agriculture Extension Unit, Ngoc Hien district	Ca Mau	23-Dec-19
73	Dương Văn Nguyễn	M	Agricultural officer, An Vien Dong Commune People's Committee, Ngoc Hien district	Ca Mau	23-Dec-19
74	Phan Thị Hiền	F	Xuong Tien village, An Vien Dong commune, Ngoc Hien district	Ca Mau	23-Dec-19
75	Nguyễn Văn Thuyết	M	Xuong Tien village, An Vien Dong commune, Ngoc Hien district	Ca Mau	23-Dec-19
76	Đinh Văn Đường	M	Xuong Tien village, An Vien Dong commune, Ngoc Hien district	Ca Mau	23-Dec-19
77	Lê Hồng Thắm	F	Xuong Tien village, An Vien Dong commune, Ngoc Hien district	Ca Mau	23-Dec-19
78	Châu Minh Vũ	M	Technical officer , Sao Luoi Protection Forest Management Board	Ca Mau	24-Dec-19
79	Phan Trần Tuấn Anh	M	Technical officer , Sao Luoi Protection Forest Management Board	Ca Mau	24-Dec-19
80	Lê Văn Hùng	M	Land and construction officer, Nguyen Viet Khai Commune People's Committee, Phu Tan district	Ca Mau	24-Dec-19
81	Trần Thanh Đông	M	Officer, Division of Agriculture and Rural Development, Phu Tan district	Ca Mau	24-Dec-19
82	Quách Văn Sên	M	Office clerk, Nguyen Viet Khai Commune People's Committee, Phu Tan district	Ca Mau	24-Dec-19
83	Đinh Văn Lắm	M	Technical officer, Nguyen Viet Khai Commune People's Committee, Phu Tan district	Ca Mau	24-Dec-19
84	Lữ Hoàng Hiền	M	Vice Chairman, Nguyen Viet Khai Commune People's Committee, Phu Tan district	Ca Mau	24-Dec-19
85	Tổng Xuân Phong	M	Director, Sao Luoi Protection Forest Management Board	Ca Mau	24-Dec-19

86	Trần Thị Ngoan	F	Technical officer, Nguyen Viet Khai Commune People's Committee, Phu Tan district	Ca Mau	24-Dec-19
87	Phan Thanh Mộng	M	Technical officer, Nguyen Viet Khai Commune People's Committee, Phu Tan district	Ca Mau	24-Dec-19
88	Phạm Văn Lĩnh	M	Technical officer, Nguyen Viet Khai Commune People's Committee, Phu Tan district	Ca Mau	24-Dec-19
89	Nguyễn Hoàng Mức	M	Technical officer, Nguyen Viet Khai Commune People's Committee, Phu Tan district	Ca Mau	24-Dec-19
90	Dương Văn Út Em	M	Deputy head of technical department, Sao Luoi Protection Forest Management Board	Ca Mau	24-Dec-19
91	Tô Hoàng Nhân	M	Deputy Director, Division of Agriculture and Rural Development, Phu Tan district	Ca Mau	24-Dec-19
92	Lê Văn Dũng	M	Go Cong village, Nguyen Viet Khai commune, Phú Tân district	Ca Mau	24-Dec-19
93	Đỗ Văn Kiên	M	Go Cong village, Nguyen Viet Khai commune, Phú Tân district	Ca Mau	24-Dec-19
94	Đỗ Thành Phân	M	Go Cong Dong village, Nguyen Viet Khai commune, Phú Tân district	Ca Mau	24-Dec-19
95	Đặng Tấn Đạt	M	Go Cong village, Nguyen Viet Khai commune, Phú Tân district	Ca Mau	24-Dec-19
96	Nguyễn Thị Trang	F	Go Cong village, Nguyen Viet Khai commune, Phú Tân district	Ca Mau	24-Dec-19
97	Phan Văn Tấn	M	Go Cong village, Nguyen Viet Khai commune, Phú Tân district	Ca Mau	24-Dec-19
98	Lê Minh Trung	M	Go Cong village, Nguyen Viet Khai commune, Phú Tân district	Ca Mau	24-Dec-19
99	Đỗ Trọng Lam	M	Go Cong village, Nguyen Viet Khai commune, Phú Tân district	Ca Mau	24-Dec-19
100	Lê Cẩm Lựa	F	Go Cong village, Nguyen Viet Khai commune, Phú Tân district	Ca Mau	24-Dec-19
101	Trần Thị Xuân	F	Go Cong village, Nguyen Viet Khai commune, Phú Tân district	Ca Mau	24-Dec-19
102	Nguyễn Văn Hân	M	Deputy Director of the Quang Ngai Department of Agriculture and Rural Development, Director of the UNDP-GCF Project	Quang Ngai	25-Dec-19
103	Nguyễn Thị Thủy Dung	F	Provincial UNDP-GCF Project Coordinator	Quang Ngai	25-Dec-19
104	Hoàng Văn Huy	M	Deputy Director of Quang Ngai Provincial Protection Forest Management Board, Deputy Director of the UNDP-GCF Project	Quang Ngai	25-Dec-19
105	Ngô Văn Vương	M	Chairman of Binh Thuan Commune People's Committee, Binh Son district	Quang Ngai	25-Dec-19
106	Bùi Đước	M	Accountant the Department of Agriculture and Rural Development, Accountant of the UNDP-GCF Project	Quang Ngai	25-Dec-19
107	Nguyễn Quang Trung	M	Vice Chairman of Binh Son District People's Committee	Quang Ngai	25-Dec-19
108	Lê Văn Tiến	M	Vice Chairman of Duc Loi Commune People's Committee, Mo Duc district	Quang Ngai	25-Dec-19
109	Nguyễn Thanh Cường	M	Head of the Economic and Infrastructure Department in Mo Duc district	Quang Ngai	25-Dec-19
110	Phạm Hữu Thịnh	M	Head of the Budget Management Division, Department of Finance of Quang Ngai province	Quang Ngai	25-Dec-19
111	Nguyễn Hồng Thái	M	Deputy Head of the Irrigation Division	Quang Ngai	25-Dec-19
112	Triệu Văn Lộc	M	Director of Forest Development Department -, Vietnam Forest Department	Hanoi	26 Dec 19
113	Vu Văn Me	M	Technical expert -PMU Output 2	Hanoi	26 Dec 19
114	Nguyễn Nam Sơn	M	Project Coordinator	Hanoi	26 Dec 19
115	Nguyễn Thị Ngọc Hân	F	Nguyen Thi Ngoc Han, Planning, M&E Analyst, UNDP	Hanoi	26-Dec-19
116	Nguyễn Thị Giang	F	Cluster 14, Thuan Phuoc village, Binh Thuan commune, Binh Son district	Quang Ngai	26-Dec-19
117	Nguyễn Thị Dung	F	Cluster 14, Thuan Phuoc village, Binh Thuan commune, Binh Son district	Quang Ngai	26-Dec-19
118	Phùng Thị Bưởi	F	Cluster 14, Thuan Phuoc village, Binh Thuan commune, Binh Son district	Quang Ngai	26-Dec-19
119	Nguyễn Thị Hải	F	Cluster 14, Thuan Phuoc village, Binh Thuan commune, Binh Son district	Quang Ngai	26-Dec-19
120	Nguyễn Diễm	M	Tuyet Dien 2 village, Binh Thuan commune, Binh Son district	Quang Ngai	26-Dec-19
121	Ngô Tân Thanh	M	Tuyet Dien 2 village, Binh Thuan commune, Binh Son district	Quang Ngai	26-Dec-19
122	Ngô Đức Hiếu	M	Tuyet Dien 3 village, Binh Thuan commune, Binh Son district	Quang Ngai	26-Dec-19
123	Vương Quang	M	Tuyet Dien 3 village, Binh Thuan commune, Binh Son district	Quang Ngai	26-Dec-19

124	Nguyễn Đô	M	Thuan Phuoc village, Binh Thuan commune, Binh Son district	Quang Ngai	26-Dec-19
125	Võ Thị Mỹ Lan	F	Nong Tin Company, supplier of seedlings and materials for livelihoods models in Quang Ngai province	Quang Ngai	26-Dec-19
126	Bùi Minh Cúa	M	Head of police force, Binh Thuan commune, Binh Son district	Quang Ngai	26-Dec-19
127	Dương Đình Nở	M	Agriculture extension and veterinary officer, Binh Thuan commune, Binh Son district	Quang Ngai	26-Dec-19
128	Trần Cửu	M	Technical specialist for livelihoods models in Quang Ngai province	Quang Ngai	26-Dec-19
129	Võ Tiến Sỹ	M	Office and statistical officer, Binh Thuan commune, Binh Son district	Quang Ngai	26-Dec-19
130	Võ Văn Khánh	M	Deputy head of army force, Binh Thuan commune, Binh Son district	Quang Ngai	26-Dec-19
131	Mai Thị Lợi	F	Land, construction, agriculture and environment officer, Binh Thuan commune, Binh Son district	Quang Ngai	26-Dec-19
132	Lê Quang Thanh	M	Village leader, Thuan Phuoc village, Binh Thuan commune, Binh Son district	Quang Ngai	26-Dec-19
133	Trần Thị Vy	F	Technical specialist, Dung Quat Technical Center for Forestry and Agriculture	Quang Ngai	26-Dec-19
134	Tran Duy Pha	M	Deputy Director, Disaster Management Department, Vietnam Red Cross	Hanoi	26 Dec 19
135	Pham Thai Thanh My	F	Disaster Management Department, Vietnam Red Cross Society	Hanoi	26 Dec 19
136	Tạ Hoàng Trung	M	Head of the Division for Management of Housing and Real Estate, Quang Ngai Department of Construction	Quang Ngai	27-Dec-19
137	Võ Văn Muộn	M	Village leader, Ky Tang village, Duc Loi commune, Mo Duc district	Quang Ngai	27-Dec-19
138	Dương Thương	M	Social officer, Duc Loi Commune People's Committee, Mo Duc district	Quang Ngai	27-Dec-19
139	Huỳnh Thị Kén	F	Ky Tang village, Duc Loi commune, Mo Duc district	Quang Ngai	27-Dec-19
140	Lê Thị Toà	F	Ky Tang village, Duc Loi commune, Mo Duc district	Quang Ngai	27-Dec-19
141	Thai Minh Huong	M	CBDRM Specialist	Hanoi	27 Dec 19
142	Do Manh Tuyen	M	GIS Specialist	Hanoi	27 Dec 19
143	Vũ Tân Phương	M	Consultant for carbon measurement	Hanoi	6 Jan 2020

Annex VII: List of References

- Project Document
- Result Framework + budget
- Mitigation plan document
- M&E Plan
- Inception Report
- Action Plan to Strengthen oversight and Management of Procurement
- Mangrove Monitoring Field Guide
- Livelihood final report
- Combined Delivery Report 2017
- Combined Delivery Report 2018
- Combined Delivery Report 2019
- Housing Progress Report
- Post Disaster Need Assessment
- Project Budget Balance sheet 2017
- Project Budget Balance sheet 2018
- Project Budget Balance sheet 2019
- Annual performance Report 2017, 2018, 2019

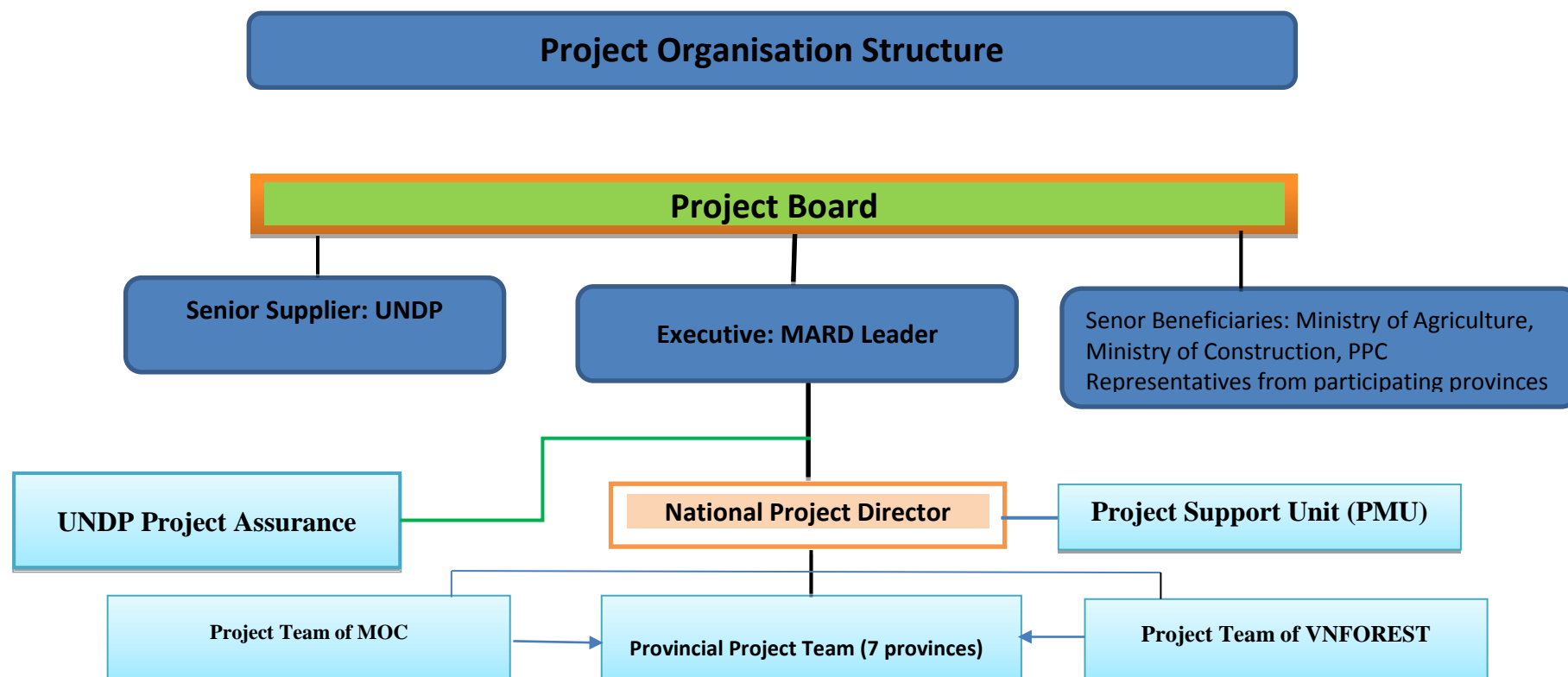
Annex VIII: Revised Table of Project Indicators

This project will contribute to the following Sustainable Development Goal (s): <i>Goal 13. Take urgent action to combat climate change and its impacts</i>					
This project will contribute to the following country outcome included in the UNDAF/Country Programme Document: <i>Outcome 2.1: By 2021, Viet Nam has accelerated its transition to low-carbon and green development, and enhanced its adaptation and resilience to climate change and natural disasters, with a focus on empowering the poor and vulnerable groups.</i>					
This project will be linked to the following output of the UNDP Strategic Plan: Output 1.4: Scaled up action on climate change adaptation and mitigation cross sectors which is funded and implemented.					
GCF Paradigm shift objectives: Increased climate-resilient sustainable development					
	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Assumptions
SDG indicators	<i>13.3 Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning</i>	<i>13.3.2 Number of countries that have communicated the strengthening of institutional, systemic and individual capacity-building to implement adaptation, mitigation and technology transfer, and development actions</i>		<i>Public awareness campaign on safe housing technology linking storm/flood-resilient structures to avoided damage/loss</i> <i>Public awareness campaign linking the protection of mangroves to documented social and environmental benefits of project intervention</i>	
UNDP Strategic Plan Indicators	Output 1.4: Scaled up action on climate change adaptation and mitigation cross sectors which is funded and implemented.	<i>Indicator 1.4.2: Extent to which implementation of comprehensive measures – plans, strategies, policies, programmes and budgets – to achieve low-emission and</i>			

		<i>climate-resilient development objectives has improved.</i>			
FUND LEVEL IMPACT:					
A3.0 Increased resilience of infrastructure and the built environment to climate change	<i>3.1 Number and value of physical asset made more resilient to climate variability and change, considering human benefits</i>	<i>4,000 houses not meeting safety/ resilience criteria established by government</i>	<i>2,000 houses valued at 4,000,000 USD (\$)</i>	<i>4,000 houses valued at 8,000,000 USD (\$)</i>	<i>Government housing programme, targeting a total of 26,500 houses continues as planned.</i>
M4.0 Reduced emissions from land use, reforestation, reduced deforestation, and through sustainable forest management and conservation and enhancement of forest carbon stocks	<i>4.1 Tonnes of carbon dioxide equivalent (tCO2eq) reduced or avoided (including increased removals) as a result of Fund-funded projects/programmes</i>	<i>0</i>	<i>Estimate 282,590 tCO2eq</i>	<i>Estimate 565,180 tCO2eq</i>	<i>Extreme weather event does not destroy fragile seedlings. (Measures will be taken to protect mangroves in early growth stages, e.g. bamboo fencing to protect from storm surges).</i>
PROJECT OUTCOMES:					
9.0 Improved management of land or forest areas contributing to emissions reductions	<i>9.1 Hectares of land or forests under improved and effective management that contributes to CO2 emission reductions</i>	<i>0</i>	<i>2,000ha</i>	<i>4,000ha</i>	<i>Extreme weather event does not destroy fragile seedlings. (Measures will be taken to protect mangroves in early growth stages, e.g. bamboo fencing to protect from storm surges)</i>
A6.0 Increased generation and use of climate information in decision-making	<i>6.2. Use of climate information products/services in decision-making in climate-sensitive sectors</i>	<i>Climate products integrating risk information not regularly available</i>	<i>2 (enhanced risk maps)</i>	<i>5 (enhancement to policies, tailored climate risk information for various stakeholders)</i>	<i>Data collection efforts in first years of project are successful</i>
PROJECT OUTPUTS:					
1. Storm and flood resilient design features added to 4,000 new houses on safe sites, benefiting 20,000 poor and highly disaster-exposed people in 100 communes	<i>Number of households provided with resilient homes (disaggregated by gender)</i>	<i>4,000 houses not meeting safety/ resilience criteria established by government</i>	<i>2,000 households</i>	<i>4,000 households</i>	<i>Government housing program, targeting a total of 26,500 houses, continues as planned.</i>
2. Regeneration of 4,000 hectares of coastal mangrove storm surge buffer zones using successful evidence-based approaches	<i>Hectares of land or forests under improved and effective management that contributes disaster risk reduction, as well as to CO2 emission reductions</i>	<i>0</i>	<i>2,000ha</i>	<i>4,000ha</i>	<i>Extreme weather event does not destroy fragile seedlings. (Measures will be taken to protect mangroves in early growth stages,</i>

					<i>e.g. bamboo fencing to protect from storm surges)</i>
3. Increase access to enhanced climate, loss and damage data for private and public sector application	<i>Number of disaster database established/supported and number of climate policy/regulatory frameworks supported</i>	<i>Climate products integrating risk information not regularly available</i>	<i>2 (enhanced risk maps)</i>	<i>5 (enhancement to policies, tailored climate risk information for various stakeholders)</i>	<i>Data collection efforts in first years of project are successful</i>

Annex IX: Organizational Structure of Project



Annex X: Evaluation Consultant Agreement Document

ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AGREEMENT FORM

Evaluators/Consultants:

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 limitations, findings and recommendations. ?
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation. ?

Evaluation Consultant Agreement Form¹

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

Name of Consultant: Arun Rijal Name of
Consultancy Organization (where relevant): _____

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

Signed at (place) on date? Signature: 29.Nov.2019




ANNEX XI: MTR Report Clearance Form

(to be completed by the Commissioning Unit and UNDP-GEF RTA and included in the final document)

Interim Evaluation Report Reviewed and Cleared By:

Commissioning Unit

Name: Sitara Syed

Signature: 

Date: 09-Apr-20

UNDP-GEF Regional Technical Advisor

Name: Mariana Simoes

Signature: Mariana Simoes

Date: 09-Apr-2020

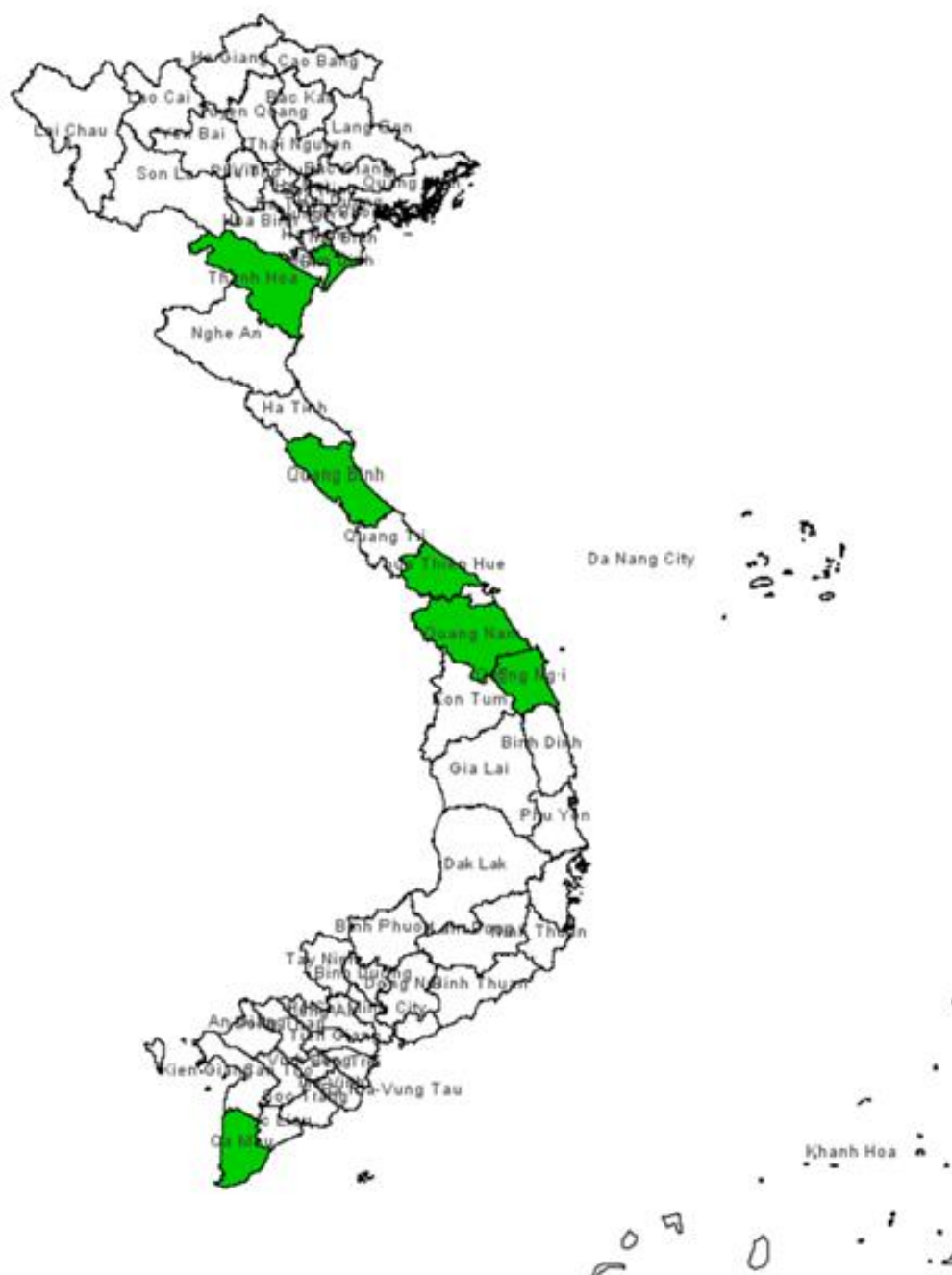
UNDP-GEF Principal Technical Advisor

Name: Srilata Kammila

Date: 09-Apr-20

Signature: 

Annex XII: Map of Viet Nam Showing project Provinces



Annex XIII: UNDP-GCF IE Report Audit Trail

To the comments received on January 2020 from the Interim Evaluation of the project titled, Improving the Resilience of Vulnerable Coastal Communities to Climate Change Related Impacts in Viet Nam (UNDP-GCF Project ID-*PIMS #5708*)

The following comments were provided in track changes to the draft Mid-term Review report; they are referenced by institution (“Author” column) and track change comment number (“#” column):

Audit Trail is submitted as a separate file.