

Terminal Evaluation of the Viet Nam National Adaptation Plan Development and Operationalization Support Project (NAP-Sup)

Final Evaluation Report

**Evaluators: Dr. Margaretta Ayoung, International Consultant
Ms. Vu Thi Thu Ha, National Consultant**

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Project and evaluation details

Table 0-1: Project Information Table

Project Name	<i>Viet Nam National Adaptation Plan (NAP) Development and Operationalization Support Project</i>
Project ID	00121188
PIMS ID	6132
Duration	24 months
Corporate Outcomes and Outputs	CPD Outcome 2: Low-carbon, resilient and environmentally sustainable development
Geographical Coverage	Viet Nam
Date Project Document Signed	02 nd June 2020
Implementing Partner	UNDP and MONRE - Ministry of Natural Resource and Environment (MONRE)
Project Partnership	United Nations Development Programme (UNDP) Ministry of Planning and Investment (MPI) Ministry of Natural Resource and Environment (MONRE) Ministry of Agriculture and Rural Development (MARD) Ministry of Transportation (MOT) Ministry of Health (MOH)
Donor	Green Climate Fund (GCF)
Project Budget	Total without DP fee US\$ 1,787,129.00 Total with DP Fee US\$ 1,939,035.00
Project Expenditure at time of evaluation	US\$ 1,348,757.00
Start Date	17 th August 2020
End Date	15 th November 2022

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ACRONYMS & ABBREVIATIONS

Abbreviation	Meaning
CBD	Convention on Biodiversity
CC	Climate change
CCA	climate change adaptation
CDC	Center for Diseases Control and Prevention
CDP	Country Development Plan
CO	Country Office
COP-UNFCCC	Conference of Parties – UNFCCC
CPEIR	Climate Public Expenditure Review
DARD	Department of Agricultural and Rural Development
DCC	Department of Climate Change
DIM	Direct Implementation Modality
DOC	Department of construction
DOH	Department of Health
DOLISA	Department of Labour, Invalid and Social Affairs
DONRE	Department of Natural Resources and Environment
DOST	Department of Science and Technology
DOT	Department of Transportation
DP	Delivery Partner
DPI	Department of Planning and Investment
DSENRE	Department of Science, Education, Natural Resources and Environment
EbA	Ecosystem-based adaptation
GCF	Green Climate Fund
GCF	Global climate Fund
GDP	Gross domestic product
GEF	Global environmental Facility
GHG	Greenhouse gases
GIZ	German Technical Cooperation
GoV	Government of Viet Nam
IFI	International financial Institution
IP	Implementing Partner
IPRs	Implementation Progress Reports
KII	Key Informant Interview

L&D	Loss and Damage
LEP	Law on Environmental Protection
LMs	Line Ministries
M&E	Monitoring and Evaluation
MARD	Ministry of Agriculture and Rural Development
MOC	Ministry of Construction
MOH	Ministry of Health
MOLISA	Ministry of Labour, Invalid and Social Affairs
MONRE	Ministry of Natural Resource and Environment
MOT	Ministry of Transportation
MPI	Ministry of Planning and Investment
MRV	Monitoring, Reporting, and Verification
NAP	National Adaptation Plan
NCCC	National Climate Change Committee
NDA	National Designated Agency
NDC	Nationally Determined Contribution
NGOs	Non-governmental Organizations
NIM	National Implementation Modality
NRE	Natural Resources and Environment
ODA	Official Development Assistance
PA	Paris Agreement
PD	Project document
PIPA	Action plan to implement the Paris Agreement
PMU	Project Management Unit
PPP	Public Private Partner
R&V	Risk and Vulnerability
SDG(s)	Sustainable Development Goal(s)
SEDP	Socio-Economic Development Plan
SEDP	Socio-Economic Development Plan
SME	Small and Medium Enterprises
TE	Terminal Evaluation
UN	United State
UNDP	United Nations Development Programme
UNFCCC	United Nation Framework convention for Climate Change
UNSDG	United Nation Sustainable Development goal
V&A	Vulnerability and Adaptability

VIHEMA	Vietnam Health Environment Management Agency
VND	Vietnam Dong
WS	Workshop

1 Executive summary

1.1 Background and Context

The Government of Viet Nam (GoV) is implementing the Green Climate Fund (GCF)-financed and UNDP-supported programme, “Viet Nam National Adaptation Plan (NAP) Development and Operationalisation Support”. This multi-stakeholder programme aims to strengthen the ministerial ability to identify risks, prioritize adaptation options, integrate climate change adaptation into the government planning process in priority sectors, and to strengthen inter-ministerial coordination. The programme is planned to be implemented in two phases¹. The first phase aimed to complete the upstream work, background studies, tools and guidelines, preliminary project pipeline and capacity building in order to deliver the Viet Nam NAP, while the second phase will focus on the implementation of NAP high priority adaptation projects chosen from the pipeline developed in the first phase. This terminal evaluation is for the first phase of the programme which has been implemented between August 2020 and November 2022².

1.2 Country context

Ranked 8th on the 2017 Climate Risk Index³, Viet Nam is a country that is highly vulnerable to climate change and it is particularly at risk from typhoons, tropical storms sea level rise, land subsidence, and seawater intrusion. Average temperatures have risen by 0.5 degrees and sea levels by 20 cm in the last 50 years. Extreme weather events, such as typhoons and tropical storms, have increased in frequency and intensity, magnifying socio-economic and health impacts on rural, urban, coastal, and mountain communities, and endangering critical transportation and drainage infrastructure.

Consequently, climate change adaptation (CCA) has been well recognized in Viet Nam through a series of national climate change, green growth, and sustainable development policies, strategies, and action plans. The Government of Viet Nam (GoV) has developed the National Strategy on Climate Change 2012-2020. While the GoV endorsed its political National Adaptation Plan (NAP) in July 2020, the technical NAP guiding the implementation of adaptation planning and budgeting processes in the country is being developed with the help of this project. The technical NAP will be the main document to be shared with the UNFCCC and operationalised to guide adaptation planning in Viet Nam. To date, the government has been able to put in place, several key climate change related decisions, including the landmark Plan for Implementation of the Paris Agreement in 2016 and its Nationally Determined Contribution (NDC), which has an adaptation component.

The main readiness challenge in Viet Nam is the lack of capacity in government structures to effectively integrate climate change adaptation into plans and budgets at different levels and to design, operationalize, finance, and monitor adaptation actions. Barriers include a lack of technical capacity to integrate data/information and undertake assessments for adaptation planning, a lack of capacity for appraising adaptation options in sector and provincial departments, ineffective inter-ministerial coordination, lack of active participation from private sector and local communities, lack of financing strategies, limited government and external resources, and a lack of participatory and results-based monitoring and evaluation frameworks.

1.3 Brief Project Description

To address these barriers, the Viet Nam National Adaptation Plan (NAP) Development and Operationalization Support Project has the following goal:

To establish an effective system to integrate climate change adaptation into government administration process in priority sectors.

The project is designed to have the following outcomes:

¹ The approved proposal is for Phase I only and Phase II would be a new project which will be subject to design, submission and obtaining GCF's approval.

² Project Implementation period was from 17 August 2020 until 16 November 2022, including a three month grace period by GCF over UNDP projects implemented under 2nd amended framework agreement between UNDP and GCF for NAP readiness window (signed on 21 Jul 2020 and came into effect from 17 Aug 2020)

³ Germanwatch, 2017, Global Climate Risk Index 2017. (<https://germanwatch.org/de/download/16411.pdf>)

- **Outcome 1:** Capacity for data integration enhanced and technical National Adaptation Plan (NAP) prepared and aligned with NDC review⁴.
 - Output 1.1: Integrated Data and Analytical Capability Built in Priority Sectors
 - Output 1.2: NAP Developed, Consulted, and Disseminated
- **Outcome 2:** Technical NAP and CCA integrated into national, subnational, and sectoral development plans and budget of priority sectors with private sector participation.
 - Output 2.1: Inter-ministerial Coordination Strengthened and Appraisal Capacity Built to Implement NAP Integration
 - Output 2.2: Background Study for a Financing Strategy for both Public and Private Investment in Adaptation Measures Prepared with Preliminary Project Pipeline
- **Outcome 3:** Participatory results-based monitoring and evaluation mechanism developed and operationalized.
 - Output 3.1: Participatory and Result-Based M&E Framework Developed and Deployed in Priority Sectors

These three outcomes and their associated activities will contribute to the overall goal of the project..

1.3.1 Project Partners, Implementation Arrangements and budget

NAP Priority Sectors are: i) agriculture and rural development; ii) tourism and recreation; iii) industry and trade; iv) transport; v) natural resources; vi) infrastructure and urbanization; and vii) public health⁵. The NAP-Sup project focuses support on five **priority sectors**: Agriculture and Rural Development, Transport, Health, Natural Resources and Environment, and Planning and Investment and therefore involves collaboration between a number of ministries, including: MONRE (Ministry of Natural Resource and Environment), MARD (Ministry of Agriculture and Rural Development), MPI (Ministry of Planning and Investment), MOT (Ministry of Transportation), and MOH (Ministry of Health). In addition to the GoV, research institutions, civil society and private sector organizations will also be involved.

Outcome 1: MONRE is the lead agency to carry out activities, in close collaboration with MPI, MARD, MOT, and MOH.

Outcome 2: MPI is the lead in the implementation of Outcome 2 in close collaboration with MONRE, MARD, MOT, and MOH.

Outcome 3: MONRE is the lead agency for Outcome 3 to coordinate M&E of the NAP Process in coordination with MPI, MARD, MOT, and MOH. Achievement of NDC targets will also be monitored.

The **Project's effective start date was on 17th August 2020**, but the official implementation started in July 2021 due to the Covid 19 pandemic as well as changes to the project implementation arrangement which required discussions with, and eventual approval from, GCF. The planned operational closure date of the Project is 15th November 2022. The total approved **GCF grant is US\$1,787,129 USD**, while the total **project budget including Delivery Partner (DP) fee is US\$1,939,035 USD**. The funding source is the Green Climate Fund and the implementing entity is UNDP. The project is implemented under UNDP's Direct Implementation Modality (DIM) as per 2nd FWA signed between UNDP and the GCF.

1.4 Summary findings

1.4.1 Relevance

The project objectives, outcomes and sub-outcomes are relevant to the needs and priorities stated in the

⁴ As a part of the overall management and coordination of climate change adaptation, the government envisions that the entire NAP process will align with the National Determined Contributions on climate change adaption (NDC-Adaptation) review and update process.

⁵ "Viet Nam National Adaptation Plan Development and Operationalization Support Project" (NAP-Sup) - Inception Report

NDC, SEDP, Implementation Plan for NAP. Project partners represent the priority sectors identified as the most vulnerable sectors in the TNC to UNFCCC which are agriculture (MARD), transportation (MOT), health (MOH), natural resources and environment (MONRE) and MPI which has responsibility for socio-economic development, investment and planning. The NAP is aiming to mainstream CCA considerations into development planning and investment frameworks. Project barriers/baseline and assumptions identified at design are comprehensive and relevant and align with barriers identified in key strategic documents.

Project partner involvement has been as stated in the Project Document (PD) and confirmed during Key Informant Interview (KII). However, the extent to which some partners engaged in the project varied due to nature of work, several reasons/challenges including disruptions due to COVID-19. The project was implemented using a DIM modality with DCC-MONRE as a responsible party (RP) to UNDP to carry out some tasks of the project instead of UNDP to ensure the Government ownership. This was recommended by the Government during the project design and required approval from GCF after the project was approved. The process making DCC-MONRE a responsible party, however, was time consuming from the GCF perspective to ensure the GCF funds can be transferred to DCC-MONRE for implementation. This caused project uncertainty and impacted on the progress of the project until Sep/Oct 2021 when UNDP could finally sign the LOA with DCC-MONRE as RP to implement the project with UNDP. Despite the 1-year delay, it is noted that all project partners were able to complete most of these activities within the remaining time.

The project facilitated the adoption of Circular 01/2022/TT-BTNMT dated January 7, 2022, detailing implementation of the Law on Environmental Protection about responding to climate change and The Prime Minister Decision No.148/QĐ-TTg (28 January 2022) on the promulgation of the Monitoring and Evaluation System of climate Change Adaptation at National Level and developed the technical NAP. These are key national policies on CCA.

The project has built capacity for CCA policy formulation through training provided to practitioners at state and provincial levels of 5 Line Ministries (LMs) to undertake vulnerability and risk (R&V) assessments for use in risk-informed planning and policy formulation in the future, prioritization of CCA projects, use of the Monitoring and Evaluation (M&E) system, use of the NAP portal and through dialogues/consultation workshops held with government agencies at national and provincial levels to discuss the barriers to private investment in the CCA and tools for selection of the priority projects. .

Project activities were designed to address the specific barriers to national climate change adaptation planning which included access to climate information for risk and vulnerability assessment to enable policy and planning, capacity for CCA policy formulation and CCA planning, CCA financing and priority of CCA investment, M&E of CCA. The majority of project deliverables successfully address project barriers. However, there are remaining gaps such as access to relevant climate information for comprehensive risk and vulnerability assessment and capacities at provincial level to ensure collection of data for V&A and M&E indicators which will be important for future CCA planning.

The project is fully aligned with all UNDP global objectives including UNDP Strategic Plan, CPD, UNDAF, United Nations Sustainable Development Cooperation Framework (UNSDCF), SDGs, and GCF country programming.

The project was rated **5 – Satisfactory** for Relevance.

1.4.2 Effectiveness

There is evidence that the project has contributed towards an improvement in national government capacity, including institutional strengthening.

All planned trainings have been conducted. A hybrid approach of Training of the Trainers (ToT) of ministries at national level and subsequent training of provinces by ministry was implemented. Provincial and district levels require additional training to be able to undertake new tasks such as data collection for V&A and M&E indicators updating. Training materials have been provided as project deliverables but there is insufficient knowledge management and opportunities for continued learning in place.

The capacity development plan of the project (short-term) was well articulated in the project design. However, there is no medium, or long-term capacity development plan. Due to nature of the project, the training so far was mainly provided to governmental officers at national and provincial level of the Line Ministries (LMs) involved in the project. Involvement of the private sector, other LMs and stakeholders in the training was limited. The provided training focused mainly on subjects supporting the realization of the adopted regulations (e.g., Circular 01, Decision 48). Training and awareness raising on the nature of the CC

and CC impacts was limited. The training time was short and complex topics were dealt with in a condensed manner. This therefore limited the effectiveness of the training, with practitioners unable to fulfil CC/CCA related task requirements. More in depth training, mentoring or on-job-training will be needed, not only for governmental officers at national and provincial level but also for those working at district and commune level to help them understand broad CC and CCA related topics as well as issues specific to their locality. The training materials need to be improved and redesigned to be more targeted and to include more case studies and group exercises as well as pre- and post-training evaluation to support improvement of the future training. It is recommended that a long-term capacity development plan for climate change NAP should be developed for long-term sustainability of capacity development. In the short-term, a knowledge page could be established on the NAP portal and all training material developed by the project made available to practitioners at all levels. In the medium term, online training courses could be added to the portal and embedded in professional capacity development plans for CCA practitioners

The NAP project has been effective in helping improve climate change adaptation planning across four priority sectors. The NAP report covers all key sectors and existing sectoral action plans have been updated to align with the NAP. NAP technical report is still under review and should be approved by project closure (Nov 2022).

The project has developed vulnerability and adaptability (V&A) indicators and the M&E indicators and M&E system for the CCA plan implementation. R&V assessments have been undertaken for some sectors and sub-sectors which has enabled sectoral CCA planning. In addition some capacity has been developed at all levels to enhance CCA planning capacities. The provided trainings are however at an initial stage and considered as introduction training. There is a need for deeper training and capacity building at national and provincial government levels in order to fulfil requirement of Circular 01 and decision No.148.

All entities at all levels have access to *basic* climate change information via the NAP Portal. However, the spatial and temporal resolution as well as the level of detail and type of data is not adequate for detailed sectoral risk assessment and sectoral planning. The current system also has issues with regard to access to the data on the portal with some partners noting that they do not have the correct permissions, and that the data is not in a useable format. The NAP portal is a good first step to enable access to climate data, but there is a need for substantial development of the relevant data on the portal and improved access to the system. By the end of the project it is recommended that UNDP and MONRE reach an agreement on the necessary steps to improve the NAP portal functionality, data access, data availability and timeframes for the improvements. Further training on the finalised portal should also be provided to the LMs and the provincial departments to ensure there are no problem associated with access to the required data, download or upload the documents, or online M&E reporting, etc. All relevant data owners/holders (including those that were not partners to the project) with essential data (e.g. hazard maps) for CCA planning should be included in the NAP portal and a data sharing mechanism should be agreed between the LMs and implemented to ensure two-way information provided as a way to improve data on the NAP portal. In the long-term there will need to be continued development of the portal and a budget for its maintenance and operation.

A review of the project expected outcomes indicators and deliverables shows that most of the planned activities have been undertaken and completed to a good standard (See Table 6.3). Consultations with project partners and review of deliverables revealed that all project partners performed their roles to the best of their abilities and achieved the expected outcomes.

Project challenges have been identified. The main factors were COVID 19 (delays to implementation of activities; limited available of practitioners to participate in the project (MOH); challenges with data collection including inability to undertake visits to high-risk areas and lack of sufficient training in data collection.

Comprehensive guidelines on gender mainstreaming into CCA and sector-specific guidelines were developed. The extent to which gender mainstreaming has been achieved by the project is demonstrated by the inclusion of a chapter on Gender in the NAP. However, it should be noted that there was variability in the level of gender mainstreaming that was achieved for individual sectors due to highly differential baseline awareness and level of gender mainstreaming among the LMs, as was assessed by the project Gender Experts.

The project was rated **5 – Satisfactory** for Effectiveness.

1.4.3 Efficiency

Project resource use was assessed as adequate despite significant issues with delays in project activities and changes to schedule and budget due to the outbreak of the Covid-19 Pandemic in Vietnam. Despite

significant challenges, the project achievements have been substantial and the project outcomes have been achieved with the allocated resources.

Quality Assurance of the project is embedded in the comprehensive project's M&E arrangements and commitments. QA includes supervision oversight missions with Back to Office Reports (BTOR's), technical assurance through UNDP team and international and national experts' reviews of deliverables and products, workshops and consultation meetings to ensure wide dissemination and commenting on key project deliverables.

The planned deliverables are met for most of the activities. However, project is at 75% total disbursement which implies that the committed funds have not been paid for some deliverables. PMU intends to spend the remaining budget by end of project.

Spot checks of V&A sectoral reports, gender background report, private sector barriers report and NAP report confirmed that the project deliverables are of a reasonable quality given the resources and time within which they were achieved.

Two audits were conducted on the LOA between UNDP and DCC under the project. The first which covered the period October 21 to December 21 found no significant issues with the financial management and control of the project. The second audit report which looked in more detail at specific issues, found that there was low to medium risks from some specific issues. The project's M&E system was comprehensive and adequately ensured that the project activities and outputs were managed efficiently and effectively.

The project was rated **5 –Satisfactory** for Efficiency.

1.4.4 Sustainability

A key aspect of sustainability is the extent to which the project has strengthened the policy, legislative and enabling environment for CCA planning. The project supported the strengthening of the policy framework through development and adoption of Decision 148 which requires M&E and CCA reporting to be done annually. In addition, Circular 1 N. 01/2022/TT-BTNMT⁶ has been adopted and provides guidelines for the legal requirement for the sectors, provinces, and entities to prepare CCA plans for their sectors, so ensures sustainability. Partners have expressed commitment to fulfil their obligations under D148 and Circular 1 and to allocate budgets for CCA activities. Furthermore, the budget tagging enhancements implemented by the project will be able to monitor CCA budgeting and financing in the future.

In addition, the capacity building that has been done (and will be done) at national and provincial levels will ensure that, on exit, the capacity will be in place for future implementation of the NAP. The chances of sustainability of this project have therefore been enhanced through the engagement of the appropriate government departments and focal points in the development of datasets and data management systems. All the results of the project will directly support and systematically strengthen the planning process and trigger larger scale of financing for adaptation actions of key sectoral ministries in Viet Nam. It should be noted that while requisite capacities have been built, there is a need for more capacity building to be undertaken. To ensure sustainability, capacity development should be based on detailed institutional capacity assessment and a long-term Capacity Development plan.

Systems developed by the project such as the NAP Portal, V&A and M&E indicators/system and tools will also ensure some sustainability of project capacity built but relies on the extent to which the system will be further developed to ensure availability of data and access to data required for CCA and the commitment to maintenance of the system.

The project has contributed to financial sustainability by assessing the financing landscape for CCA from both public and private sector perspective and has enhanced budget tagging capabilities to identify CCA projects in the future. Furthermore the project has identified priority projects which will be funded in the future. The future implementation of these priority projects will have impact at the local level. It is noted that the barriers to private sector investment are significant for all sectors and will need to be addressed to ensure long-term CCA financing and therefore financial sustainability. The project has not embedded financing strategies but has enabled budget tagging and M&E of CCA expenditure within partner sector institutions. Hence, the project has made a key first step to addressing long-term climate change adaptation financing by assessing the barriers to private sector involvement in CCA. Once these barriers are addressed (in later

⁶ Approved on January 7th 2022 by MONRE's Ministers on guidelines for implementation of the Law on Environmental Protection regarding response to climate change

stages) this has the potential to leverage public and private financing to address this key gap to adaptation in a sustainable manner. In particular, developing and establishing a public-private investment framework as part of a broader CCA financing strategy for Viet Nam will be supportive in this regard. In addition, implementing the mechanisms for budget allocations of LMs for CCA financing for advancing NAP processes will provide the guaranteed public sector financing that should constitute the baseline financing of any CCA financing strategy.

The project was rated **4 – Likely** for Sustainability.

1.4.5 Impact

The project impact includes capacity built for CCA at national and provincial level, systems developed and in place; regulatory framework strengthened; sectoral CCA plans developed and NAP revised. All of these will have significant impact on the Viet Nam's ability to plan for and implement climate change adaptive measures.

The project has developed the revised NAP which is a key document to enhance the coherence of adaptation and development planning within Viet Nam, and will ensure systematized, harmonised and coordinated CCA efforts in Viet Nam. The NAP will ensure country-owned, and country-driven action on climate change adaptation. Because of the revised NAP, the NAP process in Viet Nam will harness and build upon national-level capacity, with support from relevant partners, including the private sector. The NAP has been designed so that Viet Nam can monitor, review the NAP on a regular basis, and update (every 2 years) in an iterative manner. The establishment of the systems that support the NAP such as the NAP Portal, V&A indicators and M&E indicators and system will ensure that better quality climate data and projections, as well as other information useful for the planning process, will increasingly become available, and will ensure that the impacts of climate change in the medium and long-term will be better understood. Hence the NAP-Sup project has provided a robust framework for the NAP process in Viet Nam.

A key potential impact of the NAP-Sup project lies in the nationally-identified adaptation project priorities, including those identified by the sectoral plans and strategies. The implementation of these priority projects has the potential to have significant positive benefits to communities in Viet Nam. Due to the upstream nature of the project, these potential impacts, particularly to local communities, will only be realized in the future.

The project was rated **4 – Moderately Satisfactory** for Impact.

1.4.6 Gender Equality

Gender has been fully considered throughout the project design. Under the project a comprehensive gender mainstreaming guidelines report was prepared which provides guidelines to mainstream gender into sectoral risk assessment and CCA planning.

The project has provided comprehensive expertise and developed guidelines for mainstreaming gender into CCA NAP process and significant effort has been made to ensure gender mainstreaming within each sector, through the development of sector specific factsheets and guidelines. A key achievement of the project is the inclusion of a chapter in Gender in the revised NAP, which was not previously included, and the inclusion of gender in some V&A and M&E indicators. The formulation of the Report on Mainstreaming Gender into the NAP Process is a significant achievement as such detailed review had not been conducted previously. The report contains the most up to date and reliable data about gender and climate for 5 sectors, along with key baseline information, and a long list of recommendations. The report will be useful for stakeholders as well as policy makers at the central and national level, other development partners, and NGO/CSO working in the field.

In addition to gender, the project includes socio-economic factors in the assessment of vulnerability to climate change and identified different vulnerable groups to ensure that socio-economic vulnerability was mainstreamed into CCA planning and identification of priority measures/projects which reflects a consideration of human rights. The V&A and M&E indicators include socio-economic factors which will ensure mainstreaming of human rights considerations into CCA planning.

Despite the significant efforts on gender mainstreaming, the project has had limited impact on gender equality due to limitations in how gender mainstreaming has been included in the sectors which has been different for different sectors due to differential baseline understanding and capacities for gender mainstreaming. Given the nature of the project which was mainly focused on development of the guidelines and

mainstreaming in sectoral documents and plans, it is likely that the actual impact on gender equality will only be realized in the future once the gender mainstreaming guidelines have been fully embedded into the NAP process in all sectors and the key recommendations implemented.

The project was rated **4 – Moderately Satisfactory** for Gender Equality.

1.5 Summary Rating

Annex 3 provides the detailed evaluation matrix along with a summary of findings under each criterion, ratings of individual evaluation sub-questions, questions and overall criterion rating. The following is a summary of the criteria ratings.

Monitoring & Evaluation (M&E)	Rating ⁷
M&E design at entry	6-Highly Satisfactory
M&E Plan Implementation	5 -Satisfactory
Overall Quality of M&E	6-Highly Satisfactory
Implementation & Execution	Rating ⁷
Quality of UNDP Implementation/Oversight	5-Satisfactory
Quality of Implementing Partner Execution	5-Satisfactory
Overall quality of Implementation/Execution	5-Satisfactory
Assessment of Outcomes	Rating ⁷
Relevance	5-Satisfactory
Effectiveness	5-Satisfactory
Efficiency	5-Satisfactory
Impact	4-Moderately Satisfactory
Gender	4-Moderately Satisfactory
Overall Project Outcome Rating	5-Satisfactory
Sustainability	Rating ⁸
Financial resources	3-Moderately Likely
Socio-political/economic	3-Moderately Likely
Institutional framework and governance	4-Likely
Environmental	4-Likely
Overall Likelihood of Sustainability	4-Likely

The overall rating for the project is **5 – Satisfactory** for M&E, Implementation and Execution, and Assessment of Outcomes. It is rated **4-Likely** for Sustainability.

⁷ 6-Highly Satisfactory (HS): exceeds expectations and/or no shortcomings; 5-Satisfactory (S): meets expectations and/or no or minor shortcomings; 4-Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings; 3-Moderately Unsatisfactory (MU): somewhat below expectations and/or significant shortcomings; 2-Unsatisfactory (U): substantially below expectations and/or major shortcomings; 1-Highly Unsatisfactory (HU): severe shortcomings; UA-Unable to Assess (U/A): available information does not allow an assessment.

⁸ 4-Likely (L): negligible risks to sustainability; 3-Moderately Likely (ML): moderate risks to sustainability; 2-Moderately Unlikely (MU): significant risks to sustainability; 1-Unlikely (U): severe risks to sustainability; UA-Unable to Assess (U/A): available information does not allow an assessment

1.6 Summary Recommendations

Rec #	Recommendation	Entity Responsible	Timeframe
A	Recommendations to be implemented by end of project		
A1	Agree on urgent steps to be taken to address issues with the NAP portal. UNDP and MONRE to reach an agreement on the following: necessary steps to improve the NAP portal including a list of required functions, data access rights per organization - clarify user requirements for level of access to the existing NAP portal; the availability of the required data such as hazard maps (for all climate drive hazards of for Viet Nam floods, landslide, drought, coastal inundation etc., cyclones, strong winds etc.) and CC scenario data; timeframe for implementing the urgent actions and finalizing the NAP portal.	MONRE, UNDP	By end of project
A2	A data sharing mechanism should be agreed between the LMs and implemented to ensure two-way information is provided to improve data on the NAP portal. Access availability of any existing hazard maps from responsible agencies/departments and make available on NAP portal in the short term. All relevant data holders (including those that were not partners to the project) with essential data for CCA planning should be included to ensure data availability.	All LMs	Short-term and ongoing after end of project/Phase II
A3	MONRE to provide further training on use of the finalised portal to the LMs and the provincial departments to ensure no problem associated with access to the required data, download or upload the documents, or online M&E reporting, etc.	MONRE	After finalisation of NAP Portal
A4	Develop a knowledge management and training portal as part of the NAP portal where training materials and courses (such as e-learning courses) can be accessed by practitioners from any sector and any level. If possible, link to continuous professional development.	MONRE	By end of project
A5	It is recommended that MONRE provide tutoring and guidance to the provinces at initial stage of implementation of M&E reporting process to ensure correct data collection and reporting;	MONRE	By end of project
B	Recommendations to be implemented in Phase II Design and Implementation		
B1	Undertake a detailed institutional capacity analysis to identify roles, responsibilities and capacities for all CCA functions. Identify gaps and specific needs for establishment/improvement of institutional capacity to CCA functions in each sector and prepare an Institutional and Capacity Development Plan (short-, medium and long-term) for CCA. The Capacity Development Plan should be institutionalized for the long-term and continuous implementation and updating. All LMs of CCA priority sectors should be assessed and trained	All LMs of CCA priority Sectors	Phase II
B2	Assess existing hazard maps, identify gaps and develop a long-term strategy and plan for developing definitive individual and multi-hazard maps for Viet Nam for all important climate induced hazards. Based on gap analysis and plan, consider including an activity for development/update of hazard mapping in Phase II implementation.	All LM's	Design of Phase II
B3	Revise/undertake a user requirements exercise to fully characterize the needs of all expected users of the NAP Portal in terms of type and level of detail (e.g. spatial and temporal resolution) data required on specific hazards; Develop a long-term strategy and plan for future development, operation and maintenance of the NAP portal. Develop an O&M plan and financing mechanism/budget to ensure long term maintenance and operation of the NAP portal.	MONRE	Design of Phase II

B4	Develop the long-term strategy for CCA Financing, including private sector engagement in CCA, building on barriers to private sector study of Phase I	All LMs of CCA priority Sectors	Phase II
B5	It is recommended to review the L&D methodology against the UNFCCC guidelines and propose action plan based on Government and UNFCCC requirements .	All LMs of CCA priority Sectors	Design of Phase II
B6	Develop and implement a programme of targeted awareness raising for all aspects of CCA including for private sector investment in CCA.	All LMs of CCA priority Sectors	Design of Phase II and Phase II
B7	Establish a CCA NAP platform, processes, roles and responsibilities for long-term cross-sectoral vertical and horizontal CCA coordination of future implementation of the NAP at all levels in Viet Nam.	All LMs of CCA priority Sectors	Phase II
B8	Strengthen the governance mechanisms and institutional arrangements to mainstream gender equality into climate change adaptation	MONRE and MOLISA	Phase II
B9	Create a Technical Working Group on Gender and Climate Change (co-hosted by MONRE and MOLISA)	MONRE and MOLISA	Phase II
B10	Budget allocation for CCA NAP within the sectors	All LMs of CCA priority Sectors	Phase II

2 Introduction

2.1 Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope

2.1.1 Development Context

Viet Nam is a country that is highly vulnerable to climate change and is particularly at risk from typhoons, tropical storms, floods, fluvial floods, and flash floods in the mountainous areas, severe droughts, seawater intrusion, landslides, sea level rise, land subsidence, and other natural disasters.

The country has a mountainous landscape and a coastline extending 1,662 km from North to South. The coastal area includes two major deltas, the Mekong River Delta in the South and Red River Delta in the North. These deltas are the major lifelines of livelihoods in Viet Nam. The country has achieved tremendous poverty reduction outcomes over past three decades. Nearly 60% of the population was living in poverty in the early 1990s; whereas the household multi-dimensional poverty headcount ratio in 2016 was only 9.2% and in 2019 was 5.7%⁹. However, a World Bank report observes that "... many (non-poor) have incomes very close to the poverty line and remain vulnerable to falling back into poverty as a result of idiosyncratic shocks and related economy-wide shocks, such as the effects of climate change on rainfall and temperatures, ...". The COVID-19 pandemic was one such shock which affected the employment status of 88% of households in Viet Nam (reduced working hours (80%), temporary break (46%), and laid-off), which is likely to have impacted the number of households in multi-dimensional poverty in Viet Nam, and had significant impacts on several sectors including tourism and related services such as hospitality and transport (99.3%), manufacturing (95%) and trade (94%)¹⁰.

2.1.2 Environment and climate change context

Viet Nam is situated at the south-eastern tip of the Eurasian continent. As its territory spans many latitudes with diverse topography, the differences in climatic conditions between regions are significant. Annual average rainfall varies between regions, ranging from 600 mm in the North to 5,000 mm in the South with 80 to 90% of precipitation occurring during the rainy season. The timing of the rainy season varies based on each ecological zone. However, over the past five decades, changing precipitation patterns have been observed. While annual precipitation has decreased in the North, it has correspondingly increased in the South. It is likely that this trend will continue well into the future. In contrast to changing precipitation patterns in different regions, temperature has increased by 0.5°C throughout the country over the past 50 years.

Over the past two decades, natural disasters in Viet Nam have caused more than 13,000 deaths and property damage in excess of US \$6.4 billion. This is valued at an annual average of about 1% of gross domestic product (GDP). According to climate change projections, in the next 50 years Viet Nam has a 40% chance of experiencing economic losses exceeding VND 141.2 trillion (US\$6.7 billion) and a 20% chance of experiencing losses exceeding VND trillion (US\$8.1 billion). The most recent flood disaster in 2016 resulted in \$227 million in total damages and losses. Of these damages, 46% and 31% of total losses occurred in the agricultural and transport sectors, respectively, followed by 19% in irrigation and flood control infrastructure and 4% in the housing sector. Recent health studies in Viet Nam have illustrated: (i) worsening health conditions when temperatures are extremely high; and (ii) lack of capacity of the health care system to cope with the impacts of extreme weather and climate events such as flood, storm surge, landslides, and drought. High heat events are likely to increase in frequency and severity with climate change.

The NDC for Viet Nam observes that the most vulnerable sectors, regions and communities to climate change are as follows: Sectors: agriculture, natural ecosystems, biodiversity, water resources, public health, and transport and other infrastructure; Regions: the deltas, the central coast, and the mountainous regions in the north and central highlands; Communities: the poor, ethnic minorities, the elderly, women, children and people with disabilities. The vulnerable groups have been identified as part of the National Climate change Strategy development and related policies of prioritized sectors. With close to 300,000 km of road

⁹ World Bank Development Index report 2021 - Multidimensional poverty headcount ratio, household (% of total households)

¹⁰ RAPID ASSESSMENT OF THE COVID-19 SOCIO-ECONOMIC IMPACT ON VULNERABLE HOUSEHOLDS IN VIET NAM – UNDP July 2021

and other transportation networks, most of which is along the coastline and in mountainous landscapes, Viet Nam's transport infrastructure is susceptible to climate change – induced natural disasters such as flood and landslide, storm surges and strong wind, and sea level rise.

Sea level rise and urban inundation are major climate threats and are expected to affect coastal zones, transport and other infrastructure, urban drainage systems and industrial parks. There are considerable risks to residential areas affected frequently by storm surges, floods, riverbank and shoreline erosion, or areas at risk of flash floods and landslides. Issues related to construction and transportation will require planning for climate resilient infrastructure. With a projection that over 50% of Viet Nam's population will live in cities by 2030, they will be highly exposed to rising sea levels, coastal salination and flood risks and related adaptation challenges.

It is estimated¹¹ that if the sea level rises by 100cm, the following impacts are expected: Population: 9% of Red River Delta Provinces and Quang Ninh; 9% of Central Coast Provinces and 7% of Ho Chi Minh City population; Land Loss: 6.3% land areas inundated (10% in red river delta, 2.5% in coastal provinces, and 20% in Ho Chi Minh City inundated); Transport affected: 4% of railway system, 9% of national roads; Most vulnerable is the Mekong Delta with 39% areas will be inundated, 35% population attached and 40.5% of total rice production loss if no action taken. Climate impacts are disproportionally distributed, particularly affecting poor communities and vulnerable groups.

The agricultural sector in Viet Nam contributed around 18.1% of the national GDP and employs around 41% of the total labour force in 2014. The agricultural sector was 15% of national GDP in 2020 and employed 37% of the labour force in 2019¹². Therefore, the livelihoods of a vast number of Vietnamese are dependent on limited arable land. Most of the poor are now concentrated in the ethnic minorities in the North and Central Highlands where their livelihoods depend heavily on agriculture. Agriculture in Viet Nam is highly exposed to climate risks, and the poor remain one of the most vulnerable groups due to the combination of economic shocks, including from disasters, weather extremes, and climate variability. Temperature, access to water, and soil moisture content are among the key factors of agricultural production that are highly vulnerable to climate change and natural calamities.

2.1.3 Policy framework for climate change adaptation

In October 2016, the Prime Minister issued the Decision 2053 to endorse the Paris Agreement with a National Action plan to implement the Paris Agreement from 2020-2030 (PIPA). The Ministry of Natural Resources and Environment is assigned by the Government to develop the National Adaptation Plan for 2021 – 2030 (NAP) as part of the action to implement its NDC and PIPA.

The National plan to adapt to climate change period 2021 - 2030, vision to 2050 (Decision 1055/QĐ-TTg 20th July 2020): In implementation of the Government's Resolution No. 93 / NQ-CP dated October 31, 2016 approving the Paris Agreement on the implementation of the United Nations Framework Convention on Climate Change, the Prime Minister promulgated the National Plan corresponding to climate change period 2021 - 2030, vision to 2050. The National Climate Change Adaptation Plan (NAP) is closely linked with the Nationally Determined Contribution, which represents the country's commitments to mitigate greenhouse gas emissions and adapt to climate change at the strategic level. **The National Climate Change Adaptation Plan** specifies the adaptation component in the Nationally Determined Contribution, implementing priority actions to adapt to climate change. The National Climate Change Adaptation Plan is based on the following assertions: (i) Requirements for response to climate change and natural disaster prevention and control play an important role in development decisions; (ii) The content of climate change adaptation must be integrated into relevant policies and systems, strategies and planning; (iii) Adaptation to climate change must be associated with sustainable development, enhancing the resilience of natural and social systems, and taking advantage of opportunities brought about by climate change; (iv) Ensuring the harmony of interests, creating a driving force to encourage stakeholders to actively participate in the response to climate change, effectively manage, exploit and use natural resources and protect the environment.

¹¹ NAP-Sup project - Inception Report

¹² World Bank Development Index

The national plan to adapt to climate change period 2021 - 2030, with a vision to 2050, identifies 03 groups of tasks and specific solutions to address the above objectives, including:

1. Improve the effectiveness of climate change adaptation through strengthening state management on climate change and promote the integration of climate change adaptation into strategic and planning systems;
2. Strengthening resilience and enhancing adaptive capacity of communities, economic sectors and ecosystems through investments in adaptation actions, science and technology, and awareness raising to be ready to adapt to changes in climate;
3. Disaster risk reduction and damage reduction, preparedness to respond to natural disasters and climate extremes increase due to climate change.

The adaptation component of Viet Nam's **National Determined Contribution (NDC)** highlights the current government's actions as well as potential gaps in institutional arrangements, policy formulation, financing, capacity of human resources, and technological capability. In addition, the NDC includes prioritized CCA actions/priorities for the 2021-2030 period. The GOV has estimated that national public resources would only be able to meet around one third of the total financial needs to implement the priority measures during such a period. The financing gaps will be sought from international development partners and global climate funds as well as national and multinational private sector entities. Three thematic areas, which cover several sectors and crosscutting issues, are identified in the NDC for the post 2020 period. These thematic areas are disaster response and climate monitoring, social security in all crosscutting sectors, and sea level rise and urban inundation. Furthermore, the NDC provides a clear direction for detailed activity planning through formulation of the NAP.

To guide the implementation of the Paris Agreement and Viet Nam's NDC, the Prime Minister has issued (Decision 2053/QĐ-TTg) the **Plan for Implementation of the Paris Agreement (the Plan)** in August 2016, prior to the ratification of the PA. The Plan provides an overarching institutional framework and policy guidance to all branches and levels of the government. It emphasizes the importance of aligning climate change responses with socioeconomic development. The Plan consisted of five components: (i) Mitigation of GHG Emissions; (ii) Adaptation to Climate Change; (iii) Implementation Resources; (iv) Transparency, Monitoring, Reporting, and Verification (MRV) system; and (v) Institutions and Policies. The plan further prioritizes tasks and projects as well as complimentary policies, estimated human resources and financing needs, government's budget commitment, and responsible agencies for the period of 2016-2030. Effectiveness of climate change related allocations in sectors: To gauge how climate change response policies and measures have been implemented, the government has completed the Climate Public Expenditure Review (CPEIR) in 2015. The report focused its review on five key ministries, namely the Ministry of Agriculture and Rural Development (MARD), Ministry of Construction (MOC), Ministry of Industry and Trade (MOIT), Ministry of Natural Resources and Environment (MONRE), and Ministry of Transport (MOT). In addition, the report reviewed public spending in three provinces: Bac Ninh, Quang Nam, and An Giang (located in the North, Central, and Southern regions respectively). During 2010-2013, these five line-ministries allocated around 18% of their budgets to climate change response activities, most of which were classified as responses to climate change adaptation and under the responsibility of MARD. Additional support to MPI from GIZ and UNDP to deepen and broaden the climate change expenditure tracking is being provided. Government expenditures have been classified according to the methodology from CPEIR 2015 for additional thirteen provinces.

Climate change and climate change adaptation has been highlighted as one of the ten primary objectives of the Five-Year **Socio-Economic Development Plan (SEDP) 2016-2020**. The Five-Year Plan clearly stated that natural disaster prevention and climate change adaptation plans would have to be formulated and implemented for all sectors. Funding from Official Development Assistance (ODA) and state budgets would be used to invest in necessary infrastructure at strategic locations to alleviate, avert, and adapt to impacts of climate change. South Central, Central Highlands, and the Mekong Delta regions were designated as priority areas for urgent investment in climate change adaptation projects.

2.2 Project's Theory of change

The NAP-Sup project aims to build on the three main climate change relevant policy instruments currently in place in Viet Nam, namely, the NDC, the Plan for Implementation of the Paris Agreement, and Viet Nam's Socio-Economic Development Plan (SEDP) 2016-2020, and was designed to support the Government's efforts to address the barriers that have impeded the achievement of adaptation objectives and strengthen the system to fully integrate climate change adaptation into the Government's planning and operation process.

2.2.1 Project problem statement and Barriers

The stated problem that the project is aiming to address is:

Limited capacity and resources to integrate climate change into plans and budgets at all levels.

The proposal identified the following barriers:

- 1) **Lack of technical capacity to integrate data and information and undertake assessments for adaptation planning:** To integrate climate change adaptation into relevant government's apparatus, the capability to interpret data at the national, sector, sub-national, river-basin level, both climate related and corresponding socioeconomic data is required.
- 2) **Lack of technical capacity for appraisal of CCA options:** The NCCS, the NDC, and the Plan for Implementation of the Paris Agreement have provided a list of high priority climate change adaptation (CCA) actions to be carried out from 2016-2030. However, MPI has no clear capacity to systematically appraise and prioritising CCA actions, based on climate and other economic or social co-benefits, technical soundness and potential alternatives, financial attractiveness, potential environment and social impacts, as well as long-term sustainability both from the technical, operational, and financial perspectives. In addition, impact evaluation capacity to assess potential climate change impacts on specific sectors is needed. Without these capacities, ministries cannot identify and plan for appropriate actions to cope with the potential impacts of climate change.
- 3) **Lack of private sector participation to implement climate change adaptation measures:** The private sector lacks awareness of impacts of climate change that could have severely affected private sector operations and their bottom-line. Furthermore, they do not have access to tailored climate information products to climate proof their own investments, and neither do they have good understanding of climate change risks to invest in proper risk management of adaptation options. Importantly, the financial intermediaries do not have knowledge and capacity to evaluate climate change risks and how to evaluate adaptation loan applications. The NDC has indicated that the costs of climate change adaptation would reach 3% - 5% of the Gross Domestic Product (GDP) by 2030 and that the government's resources can only meet one-third of the financial needs to implement climate change adaptation measures aimed to minimize the economic impacts of climate change. Multiple benefits (e.g., development and climate benefits) from spending limited resources would need to be quantified to maximize the value of the investment. As Viet Nam is progressing toward higher middle-income country status and with the global economy in weak recovery, support from international sources is an inevitably declining trend. Facing limited national and international public resources, the NDC and the Plan make a case for private sector participation in climate change adaptation investment. Success of several critical tasks listed by the Plan is hinged on the availability of private sector participation and investment.
- 4) **Lack of effective inter-ministerial coordination:** The NDC has pointed out that although the government has committed substantial efforts in implementing climate change adaptation, there is still ineffective coordination between line ministries (as well as intra-agencies within a ministry), related sectors, and localities to efficiently respond to climate change which are cross-sectoral and inter-regional in nature. The Plan for Implementation of the Paris Agreement (2016) takes this coordination issue forward as one of its main objectives i.e., to enhance coordination of regional and inter-sectoral issues. However, for the high priority tasks to be implemented

during 2016-2030, coordinated tasks among related agencies are not defined. The National Climate Change Committee (NCCC), a policy advisory body to the Prime Minister relies mainly on the secretariat support from MONRE, does not have adequate capacity nor mandate to step up and fill the coordination gap.

- 5) **Lack of M&E system to monitor and evaluate** how well the goals of climate change policies are being realized: Monitoring and Evaluation of the implementation of the climate change adaptation response was included as a key part of the NDC which would be reflected in Viet Nam's Biennial Updated Reports and National Communication and shared with UNFCCC. However, specific climate change adaptation M&E guidelines, a framework and indicators for line ministries are not available. Participation from broad stakeholders in the M&E process would help build public awareness and support of government's response to climate change. Tracking of expenditures on CCA is also difficult to assess. The CPEIR (2015) also revealed that: (i) data on public expenditure both investment and recurrent expenses were not readily available as they were held in various formats across government agencies; (ii) definition and typology of climate change spending were not explicit; and (iii) only outputs (e.g., kilometer of irrigation canal built) of the spending were monitored and data on the intended results (e.g., improved yields and income) were not available.

The NAP-Sup project aims to address the above barriers and to accelerate transformative solutions and actions to address the urgent needs of climate adaptation across key sectors of Agriculture, Natural Resources and Environment, Transportation, and Health as well as at sub-regional levels. The project aims to systematically strengthen the institutional capacity and build effective synergies of climate adaptation policy frameworks at the national level as well as across the key prioritized sectors as an integral part of Viet Nam's NAP process. Building on both national and international good practices, the project aims to support key sectors in their identification and conceptualization of co-benefits and transformative adaptation project pipelines to enable the continuous integration or alignment with Viet Nam's NDC.

The project also aims to ensure that Viet Nam NAP activities are aligned and coordinated with national, regional and global development agenda, including but not limited to the SDGs, UNFCCC and CBD processes, Sendai Framework on Disaster Risk Reduction, UN Development Assistance Framework etc.;

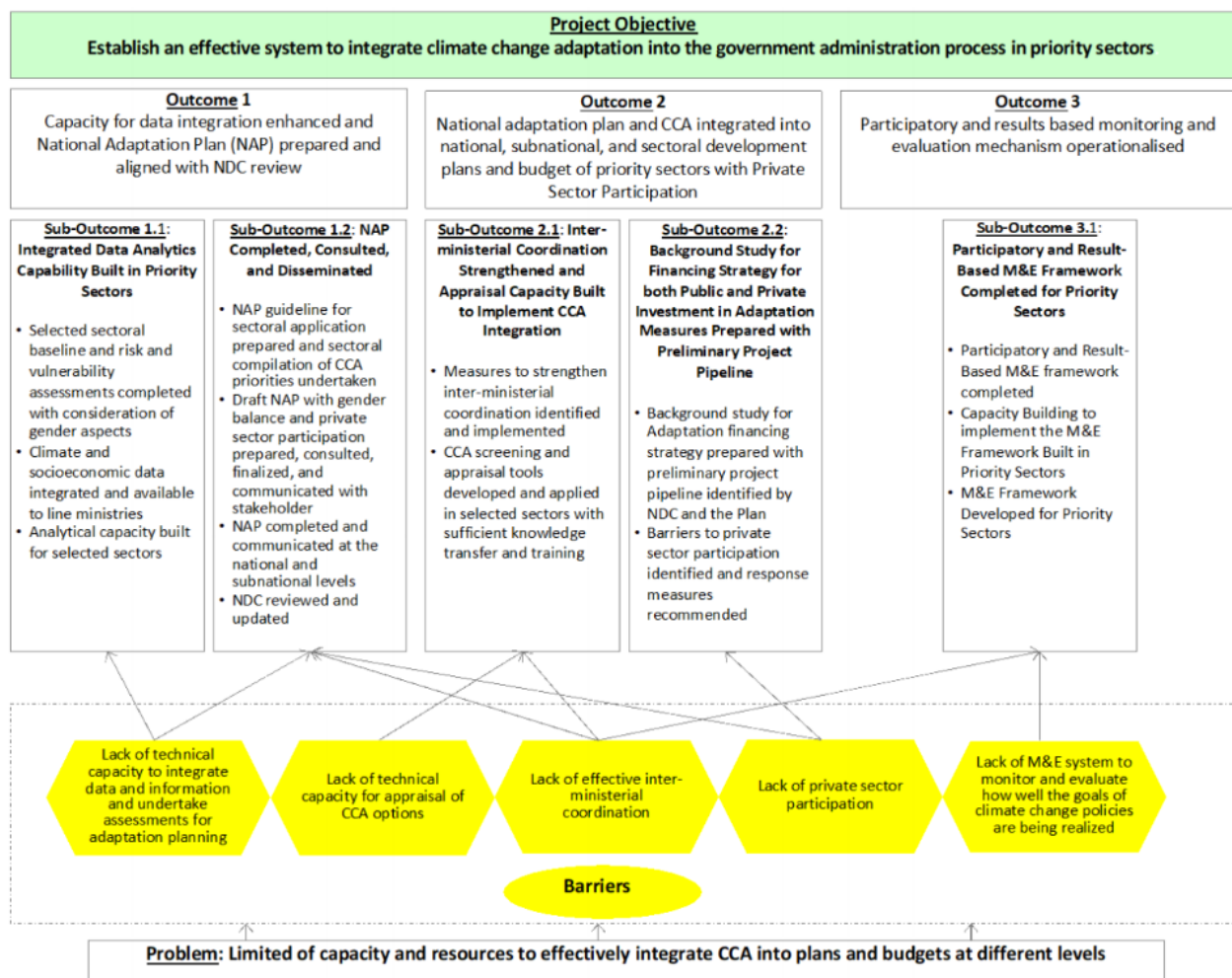


Figure 2-1: NAP-Sup project - Theory of Change

3 Description of the intervention

The project is designed to have the following outcomes:

Outcome 1: Capacity for data integration enhanced and technical National Adaptation Plan (NAP) prepared and aligned with NDC review¹³.

This first outcome will support the government in building a necessary foundation to prepare a NAP and integrate adaptation into national, sectoral, and local plans. Extensive consultation with relevant stakeholders at the national and subnational levels is crucial for the NAP drafting process. The NAP will have to be aligned with the NDC update/review process and implementation, including the national coordination role of MONRE and implementation roles of other ministries and stakeholders at national and local levels. To deliver Outcome 1, activities are designed to address the lack of climate and socioeconomic data integration and gaps in capacity to analyze potential climate change impacts for key economic sectors. These activities will be completed within the first year of the project implementation and their outputs will become necessary building blocks of Outcomes 2 and 3.

- Output 1.1: Integrated Data and Analytical Capability Built in Priority Sectors
- Output 1.2: NAP Developed, Consulted, and Disseminated

Outcome 2: Technical NAP and CCA integrated into national, subnational, and sectoral development plans and budget of priority sectors with private sector participation.

This outcome focuses on supporting the government to overcome barriers to operationalizing the NAP so that CCA is integrated into national/subnational and sectoral planning and budgeting, including strong private sector participation. To deliver this Outcome, activities are designed to address the following barriers: lack of appropriate appraisal of climate change adaptation options with co-benefits at different levels of government; limited public resources and shortage of private sector investment in adaptation measures; and lack of effective inter-ministerial coordination to plan and implement climate change adaptation measures. The specific priorities emerging from this project will be mainstreamed in the planning and budgeting processes domestically. Additional investments required will be included in the future iterations of Viet Nam's Country work programme and future investment plan to target GCF and other sources.

- Output 2.1: Inter-ministerial Coordination Strengthened and Appraisal Capacity Built to Implement NAP Integration
- Output 2.2: Background Study for a Financing Strategy for both Public and Private Investment in Adaptation Measures Prepared with Preliminary Project Pipeline

Outcome 3: Participatory results-based monitoring and evaluation mechanism developed and operationalized.

It is critical that implementation of adaptation-integrated plans and budgets are properly monitored and evaluated to ensure effectiveness, efficiency, and impact of government spending. Currently in Viet Nam, participatory and results oriented approaches in monitoring and evaluation are at the early stage of development. While there are complementary efforts underway by GIZ, UNDP, and others to track climate relevant expenditures, the effectiveness of government spending (especially in climate change adaptation) cannot be readily measured. Effective and results-based M&E is emphasized in the NDC, however the indicators are still nascent and need to be further defined. The revised set of indicators will be reflected in Viet Nam's Biennial Updated Reports and National Communication and shared with UNFCCC. This outcome is designed to overcome the barriers to M&E, especially the current output-based M&E, by establishing a participatory and result-based monitoring and evaluation framework at the national, sectoral, and subnational level to monitor tangible progress of adaptation investment on the ground. All the relevant results and

¹³ As a part of the overall management and coordination of climate change adaptation, the government envisions that the entire NAP process will align with the National Determined Contributions on climate change adaption (NDC-Adaptation) review and update process.

deliverables from the project will be updated in the transparency framework of the NAP M&E system (Outcome 3). Regular NAP results and data will be updated in the NAP M&E system, as well as communicated via the NAP and NDC update process by the Government of Viet Nam. Beyond, 2020 the future M&E mechanisms which will track adaptation and the NAPs processes will be designed and integrate the lessons and foundation of this M&E mechanisms set by several line ministries

- Output 3.1: Participatory and Result-Based M&E Framework Developed and Deployed in Priority Sectors

These three outcomes and their associated activities contribute to the overall goal of the project. The priority sectors to be addressed under this project are: Agriculture and Rural Development, Transport, Health, Natural Resources and Environment, and Planning and Investment.

Table 3-1: Expected Outcomes, outputs, indicators and deliverables

Sub-outcomes (Outputs)	Activities	Indicators	Project deliverables (Prodoc)
Outcome 1: Capacity for data integration enhanced and National Adaptation Plan (NAP) prepared and aligned with NDC review			
Sub-Outcome 1.1: Integrated Data and Analytical Capability Built in Priority Sectors	Activity 1.1.1: An open interface that effectively links climate data with socioeconomic data will be developed and made available for line ministries to connect their own data acquisition system. This system will be developed by an IT firm.	Indicator 1.1.1: 01 open interface NAP Portal operationalized with clear data sharing mechanism and cooperation at the end of the project	Deliverable 1.1.1: Open interface to link climate database with socioeconomic database developed (M3).
		Developed and deployed with user manuals and user training	• Developed and deployed with user manuals and user training ¹⁴ (M6).
	Activity 1.1.2: To strengthen analytical capacity to evaluate the potential climate impacts on priority sectors, up to 5 short (1-5 days) training-of-the-trainer (ToT) programs accompanied by on-the-job tutoring will be prepared and delivered. The training will focus mainly on how to apply appropriate modelling techniques to real cases faced by the participants.	Indicator 1.1.2: # of training provided to provincial and national experts # at least 35% of women participation # Reports of the results from the trainings and on-the job tutoring support prepared and submitted	Deliverables 1.1.2: • Training material with exercises and case studies prepared for priority sectors. Up to 5 short (1-5 days) training modules prepared and completed. After the trainings, on-site and on-the-job tutoring support provided for up to 20 working days for each priority sector (M6). • Reports of the results from the trainings and on-the-job tutoring support prepared and submitted (M9).
	Activity 1.1.3: This activity will use the integrated climate and socio-economic data to prepare climate change risk assessments for the priority sectors.	Indicator 1.1.3:	Deliverables 1.1.3:

¹⁴ All project assets and intellectual property generated during implementation using GCF resources will be accessible, freely shareable for all relevant stakeholders including the public and private sector, as well as the means to update and manage these assets in an appropriate database as part of the NAP implementation process. The interface will be built on the existing work of the Viet Nam's Climate Risk Index Website www.climaterisk.org.vn.

Sub-outcomes (Outputs)	Activities	Indicators	Project deliverables (Prodoc)
	Participants from activity 1.1.2 will be part of the study team to ensure technology and knowledge transfer.	<p># of technical guidelines provided with gender issues mainstreamed</p> <p>#Final climate change risk and vulnerability assessment reports delivered with dissemination workshops taking into account priorities of climate vulnerable groups and gender disaggregated impacts (M18)</p>	<ul style="list-style-type: none"> • Draft sectoral reports prepared with consultation workshops (M16). • Final climate change risk and vulnerability assessment reports delivered with dissemination workshops taking into account priorities of climate vulnerable groups and gender-disaggregated impacts (M18).
Sub-Outcome 1.2: NAP Developed, Consulted, and Disseminated	Activity 1.2.1: Climate change adaptation integration guideline will be prepared for priority sectors, including elaborated interventions by vulnerable groups and geographical regions. Each sectoral guideline will be prepared in close consultation with the lead sectoral agency as well as relevant authorities such as MPI and MONRE. Adaptation measures for each sector will be identified, compiled, and prioritized to build resilience of the most vulnerable groups in the sector.	Indicator 1.2.1: # Guidelines on climate change adaptation integration for targeted sectors	Deliverables 1.2.1: <ul style="list-style-type: none"> • Draft reports prepared with consultation and training workshops (M6). • Final reports delivered with dissemination workshops (M18).
	Activity 1.2.2: Assemble the NAP drafting group comprising of government representatives from key agencies, national and international experts. The team will work under the guidance of the Project Executive Board and the Project Management Team	Indicator 1.2.2: # NAP drafting group established	Deliverables 1.2.2: <ul style="list-style-type: none"> • NAP Drafting Group established (M6) and provide the regular inputs until NAP approved (M10, 14, 18).
	Activity 1.2.3: Prepare a background paper on gender mainstreaming and gender equality within the NAP framework.	<p>Indicator 1.2.3: # Gender background paper on gender in NAP.</p> <p># Gender mainstreaming guidelines for all line ministries</p>	Deliverables 1.2.3: <ul style="list-style-type: none"> • Gender background paper completed (M12). • Gender guidelines developed for all 5 line ministries (not in ProDoc).
	Activity 1.2.4: First draft of the NAP will be completed by the drafting team and circulated to relevant agencies and other stakeholders such as women and youth groups, local community, NGOs, private sector, and parliamentarians, for review and comments. Consultation meetings will be organized to present the draft and collect feedback from stakeholders.	Indicator 1.2.4: # Draft technical report of NAP	Deliverables 1.2.4: <ul style="list-style-type: none"> • NAP first draft developed (M6). • Up to 3 consultation meetings organized during the drafting process (M9). • A review workshop arranged to present the draft and collect feedback from stakeholders (M12).

Sub-outcomes (Outputs)	Activities	Indicators	Project deliverables (Prodoc)
	Activity 1.2.5: The NAP drafting team incorporates feedback and input from stakeholder, relevant experts, and peer reviewers to complete the final draft of the NAP. Once, the final draft is developed it will be submitted to the government for final approval through the government process.	Indicator 1.2.5: A NAP technical report will be consulted with substantive inputs of vulnerable sectors and regions for Government endorsement and communication to UNFCCC	Deliverables 1.2.5: <ul style="list-style-type: none"> • NAP final draft developed (M12). • Up to 2 consultation meetings organized during the finalization (M14,16). • A NAP launch workshop organized (M18).
	Activity 1.2.6: This activity focuses on NAP dissemination using various media such as prints, online, infographic, television, etc.	Indicator 1.2.6: # of media articles, infographics, videoclips and news on Viet Nam NAP and Projects.	Deliverables 1.2.6: <ul style="list-style-type: none"> • Approved NAP printed and disseminated through various media channels (M18).
Outcome 2 National adaptation plan and CCA integrated into national, subnational, and sectoral development plans and budget of priority sectors with Private Sector Participation			
Sub-outcome 2.1: Inter-ministerial Coordination Strengthened and Appraisal Capacity Built to Implement NAP Integration	Activity 2.1.1: A NAP Implementation Working Group (IWG) is set up with representatives from priority sectors and supported by national and international experts. This working group is charged with preparing an institutional framework for coordination to implement the NAP by integrating climate change adaptation in priority sectors. The working group will provide guidance and support to implement those measures even after the project is completed.	Indicator 2.1.1: # of meeting of the NAP IWG	Deliverables 2.1.1: <ul style="list-style-type: none"> • Measures to strengthen inter-ministerial coordination to implement NAP identified and implemented (M24).
	Activity 2.1.2: Necessary procedures will be systematically documented to facilitate the identification of sector-specific climate change adaptation measures including both physical adaptation and ecosystem-based adaptation (EbA) options. Evaluation and appraisal of these adaptation alternatives will be carried out with respect to technical, financial, economic, and environmental and social impact aspects.	Indicator 2.1.2: # Tools and procedures for adaptation project prioritization and appraisal for funding	Deliverables 2.1.2: <ul style="list-style-type: none"> • Tool to Identify sector specific adaptation options developed (M6). • Tool to Appraisal and Prioritization prepared (M12).
	Activity 2.1.3: Training and on-the-job support will be provided to support the selected government agencies to appraise and prioritize projects at the national and subnational levels.	Indicator 2.1.3: # of trainings organized on relevant topics for mainstreaming CCA into budget and planning process	Deliverables 2.1.3: <ul style="list-style-type: none"> • Training materials on how to use the Tools to identify sector-specific adaptation options prepared (M6). • Appraisal and Prioritization Tools with exercises and case studies prepared for priority sectors (M12). • Up to 5 short (1-5 days) training modules delivered at the national and subnational levels (M15).

Sub-outcomes (Outputs)	Activities	Indicators	Project deliverables (Prodoc)
			<ul style="list-style-type: none"> After the trainings, on-site and on-the-job tutoring support provided for up to 20 working days for each priority sector. Overall reports of the results of the training and on-the-job tutoring support prepared and submitted (M18).
Sub-outcome 2.2: Background Study for a Financing Strategy for both Public and Private Investment in Adaptation Measures Prepared with Preliminary Project Pipeline	Activity 2.2.1: A Private Sector Finance Working Group comprising of representatives from the public and private sector as well as development partners will be set up supported by national and international experts. This activity will build a cornerstone of the Adaptation Financing Strategy by identifying the barriers to private sector investment in adaptation projects in Viet Nam. Short and medium-term responses such as how to fast track Public-Private-Partnership engagement, how to assess climate change risks and how to evaluate co-benefits, and prepare tailor-made adaptation specific financial products and services such as insurance and partial risk guarantees, with particular emphasis on women entrepreneurs, will be designed and reported: <ol style="list-style-type: none"> Extensive consultation meetings with key stakeholders will be organized by the Working Group to prepare the draft report; The draft final report will be presented, and feedback collected at a review workshop. 	Indicator 2.2.1: <ul style="list-style-type: none"> Up to 5-consultation meetings organized with key stakeholders (M9). Report on barriers to private sector investment in adaptation and measures to overcome them completed (M12). 	Deliverables 2.2.1: <ul style="list-style-type: none"> Private Sector Finance Working Group formed and active in providing regular advisory service and dialogues to address investment barriers for the private sector in NAP (M6, 12, 18, 24). Up to 5-consultation meetings organized with key stakeholders (M9). Report on barriers to private sector investment in adaptation and measures to overcome them completed (M12).
Outcome 3: Participatory results-based monitoring and evaluation mechanism developed and operationalized.			
Sub-outcome 3.1: Participatory and Result-Based M&E Framework Developed and Deployed in Priority Sectors	Activity 3.1.: This activity will prepare a participatory and result-based M&E framework and implementation guideline by: (i) surveying the current M&E system within each priority sectors; (ii) designing a participatory and result-based M&E framework, identifying required baseline data and information across social, economic, environment, climate, and institutional dimensions (big data and data analytic tools will be used when available); formulating appropriate indicators (greater weight will be given to quantitative indicators) that are comparable across space and time; (iv) developing a meaningful and effective participatory process to be included within the M&E framework. The M&E framework and process will enable tracking outcomes of adaptation interventions for vulnerable populations. This activity will be accomplished in close collaboration with the M&E Task Force and responsible units of each priority sectors.	Indicator 3.1. A NAP M&E framework designed and approved by the Government A demonstration of M&E system deployed in MARD sector	Deliverables 3.1: <ul style="list-style-type: none"> M&E Task Force for each priority sector formed (M6). Participatory and Result-Based M&E framework for priority sectors completed (M18).

4 Evaluation scope & objectives

4.1 Purpose of the Terminal Evaluation

The purpose of the Terminal Evaluation is to assess the implementation of the project towards the achievement of the project objectives and outcomes specified in the Project Document and the success towards achieving the intended results. The evaluation has gathered evidence of its relevance, effectiveness, efficiency, sustainability, and incorporation of gender and other cross-cutting issues as a means of assessing the achievement of projects results against what was expected to be achieved. The evaluation of the project also assesses the project's alignment with the UNDP Viet Nam Country Programme Document and subsequent revised versions. The evaluation is in line with the country Office Evaluation Plan and UNDP's evaluation policy.

The evaluation has attempted to ascertain how beneficiaries have benefited from the project interventions and what lessons could be learned that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. The evaluation serves as an important accountability function, providing project implementers, national stakeholders and partners in Viet Nam with an impartial assessment of the results of NAP's intervention for further development of achievements.

The evaluation also brings together and analyses best practices, specific lessons learned, and provides recommendations regarding strategies employed and the implementation arrangements, that may be relevant to or replicable by other projects in the country and/or countries in other parts of the world.

4.2 Scope of the Evaluation

The evaluation assessed project performance against targets set out in the project results framework in the approved proposal and UNDP Project Document, taking account of challenges and opportunities that might have changed the original intended scope of the project, if any. The Terminal Evaluation (TE) assessed results according to the criteria outlined in the UNDP Evaluation Guidelines. The evaluation assessed the extent to which the outcomes and outputs as stated in the project document have been achieved, and any additional achievements or unintended benefits. The terminal evaluation report provides the findings of the evaluation as well as lessons learned and recommendations.

The evaluation covers the period from the approval of the proposal which is the start of the project implementation and includes an assessment of the likelihood for the full achievement of project outcomes by the end of the Project on 15th November 2022.

Achievements have been analysed by comparing actual achievements against expected project indicator targets stated in the results framework of the Project Document.

To the extent possible, the Evaluation also considered the results of the Project in terms of how COVID-19 pandemic has affected project implementation and performance. The terminal evaluation follows a set of guidance and manuals that set standard practice for UNDP project evaluations. Among the guidance followed is that reflected in the following documents: Guidance for TEs of UNDP-supported GEF-financed Projects, UNDP Evaluation Guidelines (by Independent Evaluation Office of UNDP 2021); and UNDP Evaluation Guidelines 2021 Updates And Revisions. Furthermore, guidance established in 2020 in order to respond to evaluations and assessments within the COVID-19 pandemic have also been followed (such as: Evaluation during Crisis: COVID-19, Evaluation Planning and Implementation during COVID-19).

This assessment is conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation' of 2020.

4.3 Limitations of the evaluation

The main limitation of the review is limited time available for gathering, reviewing and processing information and evidence, the online nature of the consultations, and the language barrier which required translation for all meetings, thus potentially limiting the information gathered by this method, due to losses in translation. This has been mitigated to some extent, by employing separate simultaneous translation cross-checked against independently collected meeting notes from a native speaker. In addition, the hybrid nature of the meetings and issuing with functioning of technology at times proved challenging and therefore placed additional constraints on the ability to comprehensively collect data by interviews. The short timeframe of the evaluation and the haste with which interviews had to be arranged (some confirmed 24 hours beforehand) meant that it was not possible to gather information by sending questionnaires beforehand which could have provided more data. In addition, project deliverables are not all in English so it was not possible to review all documents, but summaries of key deliverables were translated where feasible. In general, it should be noted that all project partners, stakeholders, beneficiaries and project team have been extremely helpful, open and facilitating to the extent possible, despite the significant time and other constraints. In addition, stakeholders provided feedback and clarifications, during a workshop on key findings and in writing, to the draft evaluation report (See audit trail) which has been reflected in the final report as far as possible.

4.4 Structure of the Terminal Evaluation report

The Terminal evaluation report follows the structure outlined in the inception report (i.e. the outline in the UNDP Evaluation Guidelines, IEO, June 2021) and where necessary includes additional sub-sections in order to clarify and organize the information and allow for better flow of the discussion. The main chapter is the Findings chapter which discusses the results of the review and concludes with recommendations under each area of examination (relevance, effectiveness efficiency, sustainability, impact, gender equality) and lessons learned.

5 Evaluation approach & methods

The approach for the evaluation was participatory and consultative and ensured close engagement with a wide array of stakeholders and beneficiaries, including national and provincial government officials and staff, donors and others. This assessment used a variety of data sources (primary, secondary, qualitative, quantitative), including verifiable data on indicator achievement, existing reports, evaluations and technical papers, online stakeholder interviews, and focus group discussion. The approach entailed the collection and analysis of both qualitative and quantitative data in order to validate and triangulate information. The methodologies implemented through specific tools complemented and supported each other. Also, the use of a combination of methods provided feedback between the various tools and validation between different levels and types of data collection.

The approach and the rationale make explicit underlying assumptions of the review and the assessment was undertaken keeping in mind challenges, strengths and weaknesses of evaluation methods and approach to inform this process. It is therefore a summative assessment that measures performance against benchmarks. Furthermore, the assessment is forward-looking and proposes recommendations to be implemented in future programming and project follow – up, and in particular to inform phase two.

The following tools and methods were used for collecting and assessment information:

5.1 Desk review

The desk review will examine relevant documents: project document; inception report (including its imbedded results framework, theory of change and programme and budget); and monitoring reports. The preliminary list of documents to analyse for this evaluation is as follows (See Annex 1):

- 1) GCF Readiness Proposal
- 2) UNDP Project Document
- 3) Project Inception Report
- 4) 4 Project biannual implementation progress reports (IPRs) on its achievements and implementation issues for the periods July 2020 July 2022.
- 5) Financial data covering the project implementation period
- 6) Project deliverables
- 7) Minutes of meetings of Project Board and minutes with project partners
- 8) Oversight mission reports
- 9) Audit reports

5.2 Key informant interviews

Interviews were conducted through a series of open and semi-open questions (semi-structured interviews) raised to stakeholders directly and indirectly involved with the project. Consultations were carried out online. Simultaneous translation was provided for all interviews and dialogues. In addition, the national consultant took meeting notes independently of the translation. Care was taken to maintain the anonymity of responses and the translators was someone who was not directly engaged in the project, as a further safeguard.

The format of the consultation meetings included participatory observation and focus group discussions which brought together participants from different levels (national, provincial, district) for each sector and sub-sector. This approach reflected the multi-sectoral and multi-governance nature of the project partners.

Annex 1 is the list of key partners and stakeholders consulted/interviewed during the evaluation.

5.3 Evaluation Approach

The evaluation used the following approach:

Monitoring and Evaluation

- Review M&E plan in PD and examine adequacy of the design of the plan including budget.
- Review the monitoring tools being used and assess whether they provide the necessary information, use appropriate information gathering/collection methods and how key partners are involved in the provision of information for M&E.
- Assess the extent of alignment project M&E with existing national systems.
- The extent to which the M&E system is able to monitor and provide information on gender and other SDG indicators and will be assessed.
- Examine the financial management of the project monitoring and evaluation budget to determine whether sufficient resources were allocated to monitoring and evaluation and whether resources are being allocated effectively.

Implementation and Execution

- The Quality of UNDP Implementation/oversight will be assessed by examining:
 - Desk-based review of logframe targets against project deliverables to critically assess achievement of the targets. Triangulation will be made by assessing the quality of selected project deliverables and feedback from project beneficiaries to validate achievement of targets. This 'spot-check' of deliverables will also aim to assess the quality of technical quality control and assurances provided by UNDP.
 - Review of implementation achievements that link human and financial resources to the achievement of project outputs/outcomes that reflect the level of human and financial resources input of the project. A value-for-resources analysis will be undertaken.
- Quality of Implementing Partner Execution will be assessed by –
 - Assessing IP deliverables, in terms of quality, timeliness, financial management of allocated resources.
 - Where the data exists and through consultations, assess the impact of the project on the 5 sectors in terms of contribution to their CCA targets
 - The assessment will include an examination of the effectiveness of the implementation arrangements between the UNDP and project implementation partners through examination of PB Meeting minutes, progress reports and KII

Assessment of Outcomes

- The assessment of outcomes will be through a combination of desk review, KII as detailed in Annex 2 for each of the evaluation criteria.
- Benefits – An assessment will be made of how the project will contribute to the ability of relevant sectors to implement climate change adaption activities in the future. This will include an assessment of the relevant policies, strategies that have been developed per sector, and the capacities built by the project.
- To the extent possible, the evaluation examines the possible impact of the project on key socio-economic indices of the relevant sectors with regard to long-term economic improvement, health and resilience to climate-change induced disaster. This was done mainly through beneficiary perception of the contribution of the project through interviews with the stakeholders.
- Progress will be assessed against baseline situation, progress against milestones and achievement of indicators based on review of project progress reports, financial reports and deliverables.

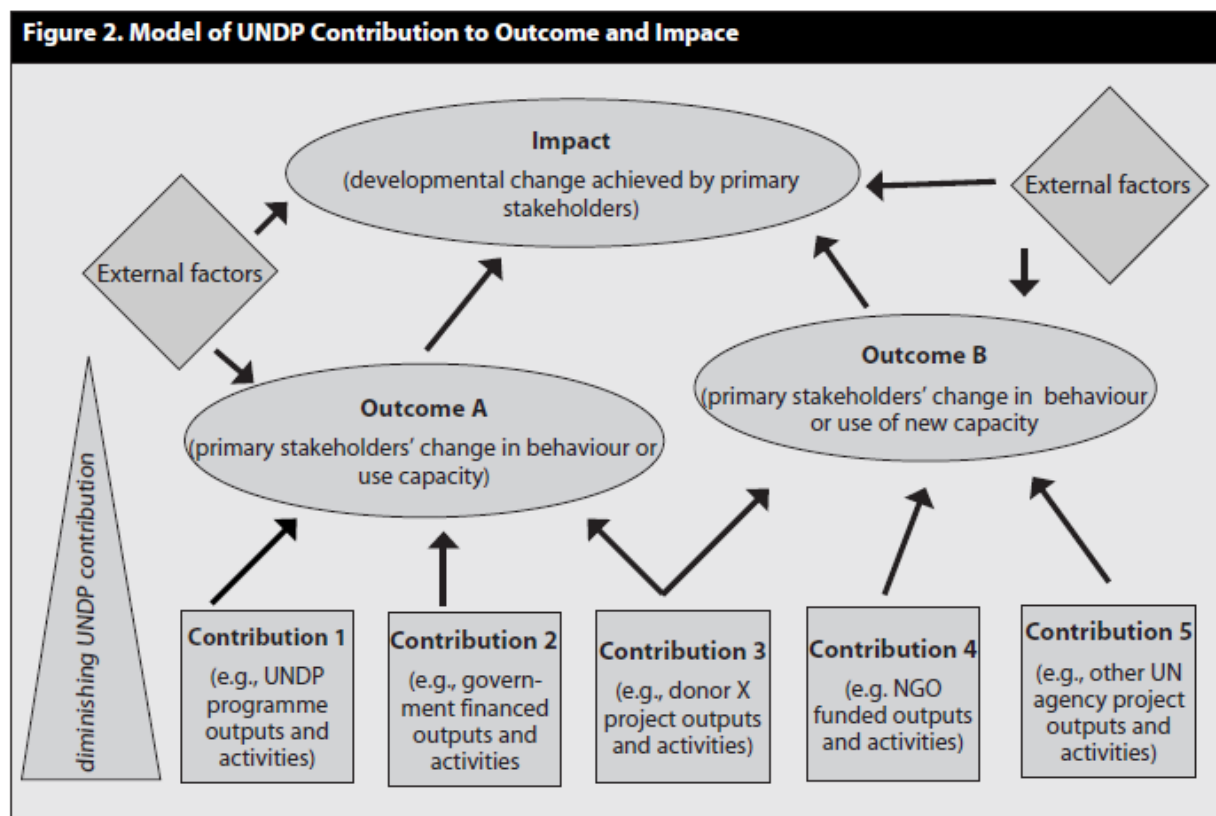
- Climate change mainstreaming into sectoral
- Gender mainstreaming into NAP framework and sectoral policies will be assessed through document review and by interviewing stakeholders and beneficiaries.
- Partnerships – the role of NGOs will be examined through KII.

Sustainability

- The extent to which the project has enhanced the enabling environment for CCA, built and embedded capacity (technical, financial, human) within relevant organization will be assessed.
- Extent to which the project has provided a step change in mainstreaming climate change into the sectoral policies and standardization of the process will be assessed to determine how well the intervention will translate into new CCA policy, guidelines and methods for scaling up.
- Ownership, buy-in and securing the sustainability of the project results. The relationship of the project with key counterparts will be critically examined to ensure that project outcomes will be embedded in the relevant organization, that there is country ownership of the project and that there is championing of the project approach within government for potential scaling up and replication. The relevance of the project against SEDP (2016-2020) and other strategies will be examined.
- The evaluation will also examine the risks to sustainability including:
 - Financial risks to sustainability: The evaluation will examine the likelihood of financial and economic resources not being available once the GCF assistance ends. It will 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. This will be assessed by examining the extent to which the private sector financing intervention has created/identified the framework for long-term private sector participation in CCA as well as likely adoption of the outcomes of this particular intervention.
 - Socio-economic risks to sustainability: The evaluation will assess whether there are 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? Assessment of this parameter will also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

5.4 Data analysis

The assessment of project outcome is based on the UNDP model of contribution to outcome and impact as presented in the diagram below.



The outcome Model establishes a map that captures both the codified and tacit knowledge of partners and stakeholders about how an outcome is intended to be achieved. It identifies the intended target group of the initiatives at the outcome level and the expected changes that the initiatives will contribute to. The process assists in developing key evaluation questions by highlighting information gaps or areas that require further explanation. This approach will be used as a framework to assess project performance, and to map out the route to impact for UNDP, stakeholders and non-stakeholders. The outcome model at project inception will be compared against the outcome model at this mid-term point to assess whether the project is on track to achieve its intended outcome.

The assessment has also examined the value added by the project by examining the following:

- Technical: has the project added value through the technical expertise of its consultants and advisers
- Knowledge management: Has the project systematically tracked experience and good practice, in the country or internationally, based on the experience of UNDP or other partners
- Neutrality: Has the project provided space for different stakeholders to raise issues that may be contentious or to work together in a context where cooperation may otherwise not be possible
- Has the project contributed to facilitating dialogue and building consensus?

6 Findings

6.1 Project Monitoring and Evaluation

The Project Document outlines a comprehensive M&E arrangement for the project in line with standard UNDP M&E, plus additional M&E commitments required by GCF.

The project results were monitored and reported bi-annually and evaluated periodically during project implementation to ensure the project effectively achieved the expected results.

Project-level monitoring and evaluation was undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation Policy. The UNDP Country Office worked with the relevant project stakeholders to ensure UNDP M&E requirements were met in a timely fashion and to high quality standards. Additional mandatory GCF-specific M&E requirements were undertaken in accordance with relevant GCF policies.

In addition to these mandatory UNDP and GCF M&E requirements, other M&E activities necessary to support project-level adaptive management were implemented such as project schedule and budget revisions due to the constantly changing situation due to COVID. In addition the project beneficiaries and other stakeholders were included in project M&E activities.

The Project Management is responsible for M&E oversight and monitoring for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager was responsible for ensuring that all project staff maintained a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager kept the Project Board, the UNDP Country Office and the UNDP-GEF Regional Technical Advisor well informed of delays or difficulties as they arose during implementation so that appropriate support and corrective measures could be adopted. This is evident in the PIRs and Board Meeting minutes.

The **Project Manager** was responsible for annual work planning to support the efficient implementation of the project. The initial project work plan (implementation plan) was developed and any adjustments made as necessary during implementation. The Project Manager ensured the results framework indicators were monitored in time for evidence-based reporting in the Project Implementation Reports. Risks were monitored on a regular basis and discussed/resolved at PEB meetings.

The **Project Board** took corrective action when needed to ensure the project achieved the desired results. This is evident from the Project Board meeting minutes which includes recommendations for dealing with issues that were raised. During the Project Board meetings, project reviews were undertaken to assess the performance of the project and appraise the Work Plan. Project Board meetings were held on 25 January 2021; December 2, 2021; March 31, 2022. In the project's final year, the Project Board is expected to hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

Project Implementing Partner: The UNDP CO, as the Implementing Partner for the project, is responsible for providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The evaluation has found that UNDP CO, led by the Project Manager and CO M&E specialist has worked hard to ensure project-level M&E was undertaken effectively and is aligned with national systems so that the data used by and generated by the project supports national systems.

UNDP Country Office: The UNDP Country Office supported the Project Manager through supervision missions. 4 oversight missions were undertaken and BTOR reports produced between May 2022 and August 2022 as follows:

- NAP - BTOR Da Nang 18-19 May 2022
 - To join and provide inputs to a series of workshop organized by MONRE Department of Climate Change (DCC) as NAP-Sup Project Owner on introduction of NAP Portal Web and related NAP database, assessment of impacts on Natural Resources and Environment (NRE) sector, M&E indicators and the key contents of NAP Technical Report.

- NAP - BTOR HCM 29 June 2022:
 - To join and provide inputs to a series of workshop organized by MONRE Department of Climate Change (DCC) as NAP-Sup Project Owner on (i) assessment of impacts on Natural Resources and Environment (NRE) sector, (ii) M&E indicators and (iii) the key contents of NAP Technical Report.
- NAP - BTOR QN 22-24 July 2022
 - To join and provide inputs to the workshops of MPI on classification, identification and selection of prioritized projects and budget tagging for climate change adaptation in public investments planning in central region
- NAP - BTOR MPI - HCM - 18 - 20 August 2022
 - To join and provide inputs to MPI's events:
 - Dialogue and training on Identification of Barriers and Recommendations for Improvement of Private Investments into Climate Adaptation Activities in the North of Viet Nam, and
 - A training on budget categorizing and tagging.

UNDP Quality Assurance Assessment during implementation included regular updating of the ATLAS risk log; and the updating of the UNDP gender marker based on gender mainstreaming progress reported in the Bi-Annual Project Report and the UNDP ROAR. Quality assurance of project deliverables and products was supported by technical review of deliverables by UNDP team and international and national experts who provided comments on reports. Any quality concerns were flagged during these M&E activities (e.g. bi-annual Project Reporting) and addressed by the UNDP Country Office and the Project Manager.

A project **inception workshop and report** were organized to:

- a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
- b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
- d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E;
- e) Identify how project M&E can support national monitoring of SDG indicators as relevant;
- f) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log;
- g) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the periodic audit; and
- h) Plan and schedule Project Board meetings and finalize the first-year annual work plan.

The **Interim Progress Reports (PIR)** were prepared through coordination (by UNDP CO) of inputs of all project partners/stakeholders. Two PIR reports have been produced: PIR for period July-Dec 2021 and PIR for period Jan-June 2022.

Lessons learned and knowledge generation: The project will disseminate results beyond the project by providing existing information on the NAP portal and the main sharing network. A large number of project-generated documents are already on the site which is currently being finalised. The project has identified, analysed and shared lessons learned that might be beneficial to the design and implementation of similar projects.

This **final independent evaluation report** is the last output of the comprehensive M&E system implemented by the project.

Final Report: The project's final Annual Project Report along with the final independent evaluation report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

6.2 Implementation and Execution

6.2.1 Progress toward achievement of project Outcomes

An assessment was made of the progress that has been made towards achievement of the project outcomes. This was done by assessing each of the project indicators, reviewing the deliverables and assessing the extent of completion/achievement of deliverables against the planned deliverables. The achievement of project indicators is discussed in more detail in the effectiveness section below, which examines project delivered interventions.

At the time of evaluation, the project completed a large percentage of its intended deliverables. The table below summaries the deliverables and provides individual ratings against each indicating the completeness of the deliverable. A detailed list of all project deliverables is provided in Annex 2.

The overall rating for progress toward achievement of project outcomes is **5- Satisfactory**.

Table 6-1: TE Ratings scale

6	Highly Satisfactory (HS): exceeds expectations and/or no shortcomings
5	Satisfactory (S): meets expectations and/or no or minor shortcomings
4	Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings
3	Moderately Unsatisfactory (MU): somewhat below expectations and/or significant shortcomings
2	Unsatisfactory (U): substantially below expectations and/or major shortcomings
1	Highly Unsatisfactory (HU): severe shortcomings
UA	Unable to Assess (U/A): available information does not allow an assessment

Table 6-2: Assessment of progress towards Outcomes

Indicators	Summary of Progress/Project deliverables	Progress towards Indicators
Outcome 1: Capacity for data integration enhanced and National Adaptation Plan (NAP) prepared and aligned with NDC review		
Indicator 1.1.1: 01 open interface NAP Portal operationalized with clear data sharing mechanism and cooperation at the end of the project; Developed and deployed with user manuals and user training	NAP Portal developed and operationalised by July 2022. At the time of evaluation the NAP portal was still being finalised	4
Indicator 1.1.2: # of training provided to provincial and national experts; # at least 35% of women participation; # Reports of the results from the trainings and on-the job tutoring support prepared and submitted	NAP Portal user manual developed and training provided at national and provincial experts;	5
Indicator 1.1.3: # of technical guidelines provided with gender issues mainstreamed; #Final climate change risk and vulnerability assessment reports delivered with dissemination workshops taking into account priorities of climate vulnerable groups and gender disaggregated impacts (M18)	Circular 01 - Developed with requirement for gender disaggregation for D&L; Sectors and sub-sectors developed guidelines and tools for R&V within their sectors; R&V reports completed for some sectors and sub-sectors ¹⁵ . Final climate change risk and vulnerability assessment reports delivered with dissemination workshops taking into account priorities of climate vulnerable groups and gender-disaggregated impacts (M18)	5
Indicator 1.2.1: # Guidelines on climate change adaptation integration for targeted sectors	A technical consultation workshop on integration of CCA into planning was conducted by MOH (on 19 April 2022) together with other subjects done by MOH (e.g., investment prioritization and budgeting for health sector). Sector reports produced using the guidelines - only MOH report on revising and updating MOH action plan responding to climate change in the Health Sector, August 2022. For all other sectors, existing MONRE guidelines on mainstreaming CCA into sectoral plans (developed by a different project) were used.	5
Indicator 1.2.2: # NAP drafting group established	NAP drafting group was established comprising technical experts (international and national) from various areas	5

¹⁵ MOT: R&V assessment was carried out on subsectors; HEALTH: V&A indicators identified, but data not collected (due to COVID restrictions) and no R&V assessment yet carried out; MARD: R&V assessments carried out in previous work (not NAP-Sup); MONRE: Land and water sub-sector assessments were commissioned, but not completed; MPI: not part of this activity/not applicable.

Indicator 1.2.3: # Gender background paper on gender in NAP; # Gender mainstreaming guidelines for all line ministries	Background report on mainstreaming gender in the national adaptation plan (NAP) in Viet Nam completed, April 2022 ; Background report on mainstreaming gender in the national adaptation plan (NAP) in Viet Nam completed, April 2022 ; A gender brief for each of the participating Line ministries.	5
Indicator 1.2.4: # Draft technical report of NAP	Outline of the national climate change adaptation plan (NAP) technical report, April 2022; Consultation workshops: MONRE (chaired by DCC) conducted a number of consultation workshops on the draft NAP report as follows: on 10 May 2022 in Da Nang City on outline of the NAP technical report (inviting the representative of 05 project-partner ministries, UNDP and the representative of DONRE, DARD, DPI, DOH, DOT, DOC, DOCST. DOLISA, DOST of 14 central provinces), the representatives of universities and research institutes); Consultation WS Organized on 24-25 May 2022 in Hanoi on outline of the NAP Technical report	5
Indicator 1.2.5: A NAP technical report will be consulted with substantive inputs of vulnerable sectors and regions for Government endorsement and communication to UNFCCC	Final draft NAP technical report completed. Technical meetings: o Workshop organized on 08-09 June 2022 on drafting NAP technical report (at Ba Vi, Hanoi, inviting the representatives of the 05 ministries, UNDP, and key technical experts). o Workshop organized on 26 – 27 July 2022, on finalizing the NAP technical report (at Ba Vi, Hanoi, inviting the representatives of the 05 ministries, UNDP and key technical experts) Consultation workshops: o Consultation WS organized on 7 July 2022 in Hanoi discussing on the final draft NAP technical report (inviting the representatives of line ministries, international organizations working in Viet Nam, DONRE of Northern provinces). o Consultation workshop organized on 3 October 2022 in HCM city introducing NAP technical report and discussing on NAP implementation. The draft NAP report was also consulted with provincial Women Union and provincial Farmers Union regarding gender, disadvantaged groups and other vulnerable communities.	5
Indicator 1.2.6: # of media articles, infographics, videoclips and news on Viet Nam NAP and Projects.	This activity has been completed with a total of 15 media articles produced by DCC and UNDP	6
Outcome 2: National adaptation plan and CCA integrated into national, subnational, and sectoral development plans and budget of priority sectors with Private Sector Participation		

<p>Indicator 2.1.1.: # of meeting of the NAP IWG</p>	<p>NAP IWG established. In 2021, 03 offline/online meetings held by IWG to coordinate the interventions for advancing adaptation actions with line ministries and to ensure synergies of technical approach and results integrated into the NAP process, including:</p> <p>22 -24 February 2022, Online workshop on “technical framework for development of priority criteria in CCA investment and encourage private sector participation organized with participation of the line ministries, project expert and relevant agencies.</p> <p>In 5-6th April 2022, 02-day IWG meeting organized (offline and hybrid) to discuss (i) improvement of sectoral coordination among ministries; (ii) priority criteria for selection of CCA projects and (iii) barriers for the private sector engagement in the CCA works.</p> <p>Thematic discussions held by IWG with MOH (18 April 2022), MPI and LM experts (16 June, 23 June) on private sector engagement.</p> <p>Gender mainstreaming into NAP has been one of the discussion topics</p>	<p>5</p>
<p>Indicator 2.1.2: # Tools and procedures for adaptation project prioritization and appraisal for funding</p>	<ul style="list-style-type: none"> • A Handbook – Guiding classification of Public Investment for CCA. • Handbook – Guiding selection of priority projects for CC. • The above 02 handbooks will be combined in one and be printed out for dissemination before the project end. • Tools for identification of priority in CCA <p>A number of reports guiding selection of priority projects has been developed:</p> <ul style="list-style-type: none"> • MARD report on developing MARD database of public investment associated to CC (period 2016 – 2020 and 2021 – 2025), July 2021 • MOH report reviewing current mechanism in planning and budgeting process to guide CCA in Health sector as well as identification of priorities in Health sector (January 2022) • MOT report 'Evaluation and Prioritization of climate change adaptation projects in road and inland-waterway sub-sector • Case study (MARD and Quang Ninh Provinces) - coding investment budget of the current database system of MPI to control budget allocated to CCA, Aug 2022. • Guideline for classification of public investment for CC. • A set of tools to track compliance with social and environment safeguard requirements and socio -economic impact assessments of adaptation projects and pipelines, particularly to ensure a minimum guidance of gender, poverty reduction ethnic minority and vulnerable group inclusion and SDG synergies (Sep 2022). • All the reports are drafted. Not finalized 	<p>5</p>

<p>Indicator 2.1.3: # of trainings organized on relevant topics for mainstreaming CCA into budget and planning process</p>	<p>Training materials have been produced covering:</p> <ul style="list-style-type: none"> • Current criteria for identifying priority of CCA projects • Assessment of priority hierarchy of transportation infrastructure projects associated to CCA; • Priority framework for CCA projects and examples of identifying priority projects • Guideline for classification of public investment for CC • Identification of barriers and solutions for mobilizing private finance for climate change adaptation. • Guidance on integration of CCA into planning of budgeting. • Private investment in the transport sector. <p>Training Workshops</p> <ul style="list-style-type: none"> • 03 series of training workshops conducted by MPI: • Workshop in Hoi An (Quang Nam Province, 22-23 July 2022) on classification, identification and selection of prioritized projects and budget tagging for CCA in Public investment planning in Central 	<p>5</p>
<p>Indicator 2.2.1: # of trainings organized on relevant topics for mainstreaming CCA into budget and planning process; Report on barriers to private sector investment in adaptation and measures to overcome them completed (M12).</p>	<ul style="list-style-type: none"> • MPI Report on Barriers to private sector investment in climate change adaptation activities and measures to increase private sector participation in implementation of national adaptation plan on CC for the period of 2021 – 2030, with vision to 2050 (NAP), June 2022. <p>Consultation workshops conducted:</p> <ul style="list-style-type: none"> • MOT organized a series of consultation workshop on barrier of the private sector engagement in CCA and tools to select CCA priority projects in transport sector, in June 2022, inviting the representative of UNDP, MPI, various MOT's departments/agencies, 05 MOT's sub-sectors, DOTs of provinces and the private investors. • MPI Dialogue and training in Ho Chi Minh city on identification of barriers and recommendation for improvement of private investment into climate adaptation activities in the north of Viet Nam, and a training on budget categorizing and tagging, with participation of MARD, MOT, MONRE and MOH, on 18-20 August 2022. • MPI two-day Workshop held in Hanoi city (11 – 13 August), with participation of the focal points of the line ministries and sectoral experts and the representatives of enterprises working on various areas on classification, criteria for identification, selection of prioritized CCA projects in the Northern region, and barrier to the private sectors to actively engage in the CCA works. • Technical meetings organized for consultants of each ministry 	<p>5</p>
<p>Outcome 3: Participatory results-based monitoring and evaluation mechanism developed and operationalized.</p>		

<p>Indicator 3.1: A NAP M&E framework designed and approved by the Government; A demonstration of M&E system deployed in MARD sector</p>	<p>M&E Framework for CCA approved by the Prime Minister (via Decision 148) on 28th January 2022. Gender mainstreaming has been included in the M&E Framework.</p> <p>Ministries' M&E products:</p> <ul style="list-style-type: none"> o MOH Report proposing a set of indicators for monitoring and evaluation of CCA in the Health sector, August 2022 o MOT report on CCA monitoring – evaluation system in transport sector, 2022 o MPI report preparing a set of M&E indicators of investments on CC activities, 2022 o MONRE Report proposing monitoring and evaluation framework of CCA, 2022 o MARD Review report of public decisions and decrees against adaptation related indicators, June 2022 <p>Training on M&E Systems:</p> <ul style="list-style-type: none"> o MONRE organized a series of training workshops to DONREs of 63 provinces: A training workshop organized (March 2022) in Da Nang[10] for DONREs of central provinces, in Ho Chi Minh City[11] (June 2022) for DONRE of Southern provinces, in Hanoi (July 2022) for DONRE of Northern Provinces and in Hanoi (may 2022). o MOT has organized a series of trainings and consultation workshops to disseminate their sectoral M&E system. o MARD organized the consultation workshops in July 2022, and o MOH organized the training workshop in August 2022 to 17 DOHs on M&E indicators on CCA o 22 -24 February 2022, Online workshop on building M&E system of CCA for priority area organized with participation of the line ministries, project expert and relevant agencies. 	<p>5</p>
<p>Overall Rating</p>		<p>5</p>



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6.3 Assessment of Outcomes

6.4 Relevance

6.4.1 Alignment with government and agency priorities

The project objective is to support the Government of Viet Nam's vision to strengthen its capability to effectively integrate climate change adaptation into the government's administration processes in priority sectors. These processes encompass policy formulation, development planning, budgeting, implementation, and monitoring and evaluation.

The approved project proposal and project document identified the main barriers to effective climate change adaptation which include a lack of technical capacity to integrate data/information and undertake assessments for adaptation planning, a lack of capacity for appraising adaptation options in sector and provincial departments, ineffective inter-ministerial coordination, lack of active participation from private sector and local communities, lack of financing strategies, limited government and external resources, and a lack of participatory and results-based monitoring and evaluation frameworks. Based on a review of key strategic documents, the identified barriers are indeed the most relevant and most urgent barriers to address to enable effective CCA integration into government processes in Viet Nam.

The approved project proposal has been consulted intensively among active stakeholders in Viet Nam (pgs. 14-16 of proposal lists the consultation meetings) and found that there was a strong commitment from NAP stakeholders, including IFIs, NGOs, donors and UN agencies, who participated in the consultations, to share their good practices during the project implementation under the thematic NAP working groups. National climate change stakeholders were prepared to participate into this NAP process as the main foundation for their future support of adaptation initiatives. Consultations with project partners, stakeholders and beneficiaries confirmed that they were consulted during project preparation and the levels of their participation in the project confirms the seriousness and importance with which they viewed the project.

The project aimed to complement and build upon the results from two projects - GCF Coastal Adaptation project and NAP-Agriculture Project to deepen the existing methodology for Viet Nam to track long-term climate impacts and projected losses and damages. It also helped to identify potential financial instruments/strategies and policy actions that Viet Nam should undertake to finance these long-term unavoidable losses. The evaluation has found that the NAP-Sup project has indeed built upon the GCF projects in these specific areas and more broadly to advance National CC Adaptation planning, in Viet Nam.

6.4.2 Alignment with national strategic policies and Action plans

The project is building upon several established key climate change policies, strategies, action plans, and decisions including the landmark Plan for Implementation of the Paris Agreement in 2016, The NDC, the SEDP (2016-2030) and the National Communications to UNFCCC.

The NAP-Sup project is aligned with Outcomes 1 and 2 of **The National plan to adapt to climate change period 2021 - 2030, vision to 2050 (Decision 1D055/QĐ-TTg 20th July 2020)** which are:

1. *Outcome 1:* Improve the effectiveness of climate change adaptation through strengthening state management on climate change and promote the integration of climate change adaptation into strategic and planning systems;
2. *Outcome 2:* Strengthening resilience and enhancing adaptive capacity of communities, economic sectors and ecosystems through investments in adaptation actions, science and technology, and awareness raising to be ready to adapt to changes in climate;

The National Plan consisted of five components: (i) Mitigation of GHG Emissions; (ii) Adaptation to Climate

Change; (iii) Implementation Resources; (iv) Transparency, Monitoring, Reporting, and Verification (MRV) system; and (v) Institutions and Policies. The NAP-Sup project is contributing to components (ii), (iv) and (v).

Through Outcome 1, the NAP-Sup project is designed to integrate data and build analytical capability into priority sectors through a number of tools and guidelines. This includes an Open interface to link climate database with socioeconomic database, provision of training and tools for sector-specific climate change impact analysis, and completion of sector-specific risk assessments. Also under Outcome 1 the project is developing guidelines for integrating climate change adaptation and, in particular, consideration of vulnerable groups into sectoral planning as a means of building sectoral resilience to climate change. In addition, under Outcome 1 the project is drafting the Technical NAP to meet all of the objectives outlined in the National Plan. Under Outcome 3 the project supported the development of a Monitoring and Evaluation Framework on CCA which was approved by the Prime Minister (via Decision 148) on 28th January 2022 for nationwide application.

The project is aligned with the updated **NDC of Viet Nam** which identifies targets and pathways to improve adaptive capacity, enhance resilience, and reduce risks caused by climate change. The updated NDC is directly linked to the National Adaptation Plan (NAP), and includes **loss and damage, health, gender equality**, and child protection. In addition to the strengthened mitigation and adaptation components, the updated NDC features new elements and significantly improves the means of implementation. Viet Nam outlines clear commitments to mainstream the NDC with socio-economic development plans and strategies and draws clear overarching and discrete linkages with the Sustainable Development Goals (SDGs). The country's commitment to linking climate and development is typified by explicit links between elements of the updated NDC, SDG 11 on sustainable and resilient cities and human settlements, and SDG 12 on sustainable consumption and production models.

The adaptation component of the NDC identifies the following strategic tasks:

- (i) enhancing adaptation efficiency through strengthening state management and resources;
- (ii) increasing the resilience and adaptive capacity of communities, economic sectors and ecological systems;
- (iii) reducing disaster risks and minimizing damages, getting ready to cope with increased natural disasters and climate extremes due to climate change.

The NDC further states: "These strategic tasks are consolidated in the National Adaptation Plan (NAP), and the National Action Plan on Climate Change. The NAP implementation results will be used **as inputs for the review and evaluation of the NDC's adaptation component**. Adaptation efforts will be evaluated biennially based on evaluating implementation of strategic tasks in the NDC and specific actions in the NAP. The results will be reflected in the Adaptation Communication and the BTR submitted by Viet Nam to the UNFCCC Secretariat".

The NAP-Sup project through Activity 1.1.2 developed an assessment methodology on climate and vulnerability and risk, loss and damage specified under circular 01/2022/TT-BTNMT promulgated by MONRE on 7 January 2022 which specifies:

- CC in Viet Nam, achievement, and gaps in adaptation.
- General introduction on assessment of impacts, vulnerability, risks, losses and damages caused by climate change.
- Guideline on assessment of impacts, risks and vulnerability caused by climate change, and
- Assessment of loss and damage caused by climate change.
- Example of assessment of CC impacts to surface water of Quang Ngai province.

Under Activity 1.1.3 the project integrated climate and socio-economic data to prepare climate change risk assessments for the priority sectors. This is reflected in the sectoral reports of MONRE, MOT, MOH produced under this activity.

The project also **aligns with the objectives** of the Five-Year **Socio-Economic Development Plan (SEDP) 2016-2020**, which states that natural disaster prevention and climate change adaptation plans would have to be formulated and implemented for all sectors. The SEDP also states that NAP will need to be financed through funding from Official Development Assistance (ODA) and state budgets to invest in necessary infrastructure at strategic locations to alleviate, avert, and adapt to impacts of climate change. South Central,

Central Highlands, and the Mekong Delta regions were designated as priority areas for urgent investment in climate change adaptation projects.

Both the SEDP (2016-2020)'s and the NDC identify the gap in CCA financing. The NDC states that the Government of Viet Nam is likely to finance only one-third of the total financing needs for climate change adaptation responses. The NAP-Sup project, through Outcome 2, has attempted to identify the sector-specific barriers to private sector involvement/financing of CCA. I also develop enhanced budget tagging as part of the M&E system to enable better tracking of CCA financing inputs (of public sector financed projects). The project also developed methods for the identification, evaluation and appraisal of sector-specific climate change adaptation measures/projects including both physical adaptation and ecosystem-based adaptation (EbA) options, as adaptation alternatives, which will need to be allocated priority financing. This activity is therefore addressing the adaptation finance gap by examining the existing sector-specific barriers to private sector investment, better enabling public sector budget tagging and identifying potential sector specific and broader solutions for priority financing.

The **priority sectors** that the NAP project focused on are aligned with the most vulnerable sectors identified in the **3rd National Communication** of Viet Nam to UNFCCC and the NDC, which are: agriculture and food security, natural ecosystems, biodiversity, water resources, public health, shelters and technical infrastructure such as transportation. The most recent flood disaster in 2016 resulted in \$227 million in total damages and losses. Of these damages, 46% and 31% of total losses occurred in the agricultural and transport sectors, respectively, followed by 19% in irrigation and flood control infrastructure and 4% in the housing sector. Recent health studies in Viet Nam have illustrated: (i) worsening health conditions when temperatures are extremely high; and (ii) lack of capacity of the health care system to cope with the impacts of extreme weather and climate events such as flood, storm surge, landslides, and drought. High heat events are likely to increase in frequency and severity with climate change. According to climate change projections, in the next 50 years Viet Nam has a 40% chance of experiencing economic losses exceeding VND 141.2 trillion (US\$6.7 billion) and a 20% chance of experiencing losses exceeding VND trillion (US\$8.1 billion), which will result in increased damages and losses in these vulnerable sectors. Hence the project partners represent the priority sectors identified as the most vulnerable sectors in the TNC to UNFCCC which are agriculture (MARD), transportation (MOT), health (MOH), natural resources and environment (MONRE). In addition, MPI is the planning sector with responsibility for socio-economic development planning. The NAP is aiming to mainstream CCA considerations into development planning and investment frameworks.

6.4.3 Alignment with UNDP and other global objectives

The project has global relevance as demonstrated by the Project's alignment and consistency with global and regional climate change and environmental policies and strategies. The project is aligned with the following:

- **UNDP Country Programme for the Socialist People's Republic of Viet Nam (2022-2026)**
Outcome: Climate Change Response, Disaster Resilience & Environmental Sustainability (UNSDCF Outcome 2) and the following interlinking pathways:
 - Disaster and climate resilience, reduced poverty and resilient livelihoods, enhanced nature-based solutions, climate resilient-, smart- & sustainable agriculture
 - Integrated Cross- addressed Sectoral Planning, Budgeting, Policy Linkages and Policy Changes
 - Climate-Health nexus addressed
- **UNSDCF** outcome areas (i) inclusive social development (ii) climate change resilience and sustainability, (iii) shared prosperity and (iv) governance and participation.
- UN Viet Nam's **Country Development Programme (2017-2021)** Outcome 2: Low-carbon, resilient and environmentally sustainable development
- **UNSDG** programming approaches:
 - 1- Results-based approach - the project proposal identified the critical assumptions about the programming environment, and considered the relevant risks and management measures. Indicators were identified to monitor progress and measure the achievement of outcomes. Accountabilities are clearly defined and backed by reporting mechanisms.
 - 2 - Capacity development. The project is designed to maximize national ownership and leadership and address capacity at the levels of individuals, organizations and the enabling environment. The project was designed to ensure individual capacity support focuses on improving individual skills, knowledge and performance through training, experiences;

organizational capacity support by improving organizational performance through strategies, plans, partnerships, and coordination structures; and capacity support for an enabling environment through the development of the NAP including sectoral plans.

- 3 – Risk-Informed programming. During project formulation the risks were identified using risk indices (German watch) and information on to identify risks and vulnerabilities in Viet Nam on which the Theory of Change was based.
- **UN Agenda 2030:** Contribution to Sustainable Development Goal (SDG) 13: Take urgent action to combat climate change and its impacts.
- **UNDAF** Programming Principle 3: Sustainability and resilience

6.4.4 Roles and responsibilities of project partners

The project was designed for DIM Implementation modality reflecting UNDP as the delivery partner for GCF. After award of the funding from GCF, DCC-MONRE was made a responsible party to UNDP to carry out some tasks of the project. It is noted that the process for having DCC-MONRE as RP, required approval from GCF which was time consuming as there was a need to ensure the GCF funds could be transferred to DCC-MONRE for implementation. This caused project uncertainty and impacted the progress of the project until Sep/Oct 2021 when UNDP could start to sign the LOA with DCC-MONRE as RP. Another impact of this change in project delivery arrangement is that significant time was spent on ensuring effective joint coordination and joint oversight of project activities which was onerous working across 5 ministries. It is also noted that despite this 1-year delay the project was eventually able to implement all of the intended activities in essentially half the time. This is commendable and reflects the hard work of UNDP and all project partners in pushing the project to completion.

In effect, UNDP and government worked in partnership, but the process is owned by government. Although the NAP-Sup project worked in partnership with five line ministries (MONRE, MARD, MOT, MOH, MPI), other line-ministries were also involved in writing the NAP (e.g., social safeguards MOLISSA), industries, building (MOC?), etc.). The project mobilized technical consultants and UNDP experts to provide inputs to the NAP in the areas outside of the 5 ministries' areas of expertise. The roles and responsibilities of the project partners during implementation were confirmed to be broadly as outlined in the project document, which in summary are as follows:

The project focuses on five **priority sectors**: i) agriculture and rural development; ii) industry and trade; iii) transport; iv) natural resources and the environment; and vi) public health and therefore involves collaboration between a number of ministries, including: MONRE (Ministry of Natural Resource and Environment), MARD (Ministry of Agriculture and Rural Development), MPI (Ministry of Planning and Investment), MOT (Ministry of Transportation), and MOH (Ministry of Health). In addition to the GoV, research institutions, civil society and private sector organizations are also be involved.

Outcome 1: MONRE will be the lead agency to carry out activities, in close collaboration with MPI, MARD, MOT, and MOH.

Outcome 2: MPI will take the lead in the implementation of Outcome 2 in close collaboration with MONRE, MARD, MOT, and MOH.

Outcome 3: MONRE will be the lead agency for Outcome 3 to coordinate M&E of the NAP Process in coordination with MPI, MARD, MOT, and MOH. Achievement of NDC targets will also be monitored.

The evaluation team undertook an assessment of the roles and responsibilities of each stakeholder and the effectiveness with which they undertook their role. This is detailed in the effectiveness section below, which reviews the achievements of the project targets and deliverables during implementation. In general, it can be concluded that all project partners fully understood their roles and responsibilities on the project, and made best efforts to perform their roles to the required level. There have been varying levels of achievements of targets/deliverables due to objective reasons such as delays and movement restrictions due to COVID, changes in availability to undertake activities in a timely manner (e.g. MOH had reduced capacity to participate because they were dealing with COVID), changes in mode of operations (e.g. online meetings) which affected results, and a lack of data required to undertake tasks. However overall the project deliverables were achieved with a significantly reduce timeframe (1 year instead of the planned 2 years), which is commendable given the other significant constraints.

The relevance of the intervention was confirmed by analysis of stakeholders views. The consultations revealed the intervention benefitted a wide range of stakeholders at all levels of government (sectoral ministries, their sub-sectors, and their provincial beneficiaries). Based on an analysis of stakeholders' views gathered during interviews it was found that the project aimed to and did, address the critical needs of each institution.

6.4.5 Overall rating for relevance

5 - Satisfactory

6.5 Effectiveness

6.5.1 Review of project logframe towards achievement of Outcomes

Outcome 1: Capacity for data integration enhanced and National Adaptation Plan (NAP) prepared and aligned with NDC review

Outcome 1 activities were designed to address the lack of climate and socioeconomic data integration and gaps in capacity to analyze potential climate change impacts for key economic sectors. These activities were identified as building blocks of Outcomes 2 and 3.

6.5.2 Assessment of Outcome 1 key achievements:

MONRE, the governing body and Department for Climate Change (DCC) is implementing agency of the project. MONRE was responsible for the implementation of Outcome 1 (as well as Outcome 3) with the participation of the 4 line ministries (MOT, MOH, DARD, MPI).

Under Outcome 1 MONRE achieved the following key outputs/deliverables:

- A database system has been established (NAP Portal)
- A circular (No 01) approved by MONRE guiding assessment of the CC;
- NAP technical report prepared. The report is now under review by line ministries and provinces. It will then be finalized and submitted to the Prime Minister for approval prior to submission to COP - UNFCCC.

An open interface NAP Portal platform (<http://adaptation.dcc.gov.vn/>, hosted by MONRE) was trialed and operationalized, as an integrated system of climate information. The system is designed to include information on policies and programs, vulnerability and risk maps, key sector climate change risks and vulnerabilities, adaptation M&E reporting mechanism, factsheets illustrating the linkages between gender and climate change for each of the 5 line ministries. The web portal will be frequently updated by DCC's focal points.

A series of workshops were held Hanoi (24 – 25 May 2022) and in Da Nang (18-19 May 2022) by MONRE to introduce and guide provincial departments (DONRE, DOTs, DARDs), social organizations (Viet Nam farmer's Union, Viet Nam Women's Union, Viet Nam Students' Association) and NGOs. The Open Application Program interface and data analytic platform on CCA was finalised in July 2022.

6.5.2.1 Evaluation of the implementation and achievements of Outcome 1

Output 1.1 Integrated Data and Analytical Capability Built in Priority Sectors

Indicator 1.1.1: 01 open interface NAP Portal operationalized with clear data sharing mechanism and cooperation at the end of the project - NAP portal

MONRE was responsible for the development of the NAP Portal and through their consultants, the following tasks were undertaken:

- Establish baseline data for risks and vulnerability assessment in environment, surface water and soil
- Propose guidelines for application of the R&V assessment and training.
- Prepare synthetic report.
- Provide trainings to various departments of the line ministries and provincial departments.

The results of the risk assessment for water resources and soil sectors under MONRE, are the maps of risk analyzing for Thanh Hoa province and at national level.

The technical guideline for risk and vulnerability assessment was developed and used as part of the training materials to the line ministries and provincial departments (DONREs) aimed at providing overview of the baseline data and data collection methods. The main challenges identified by project beneficiaries were

related to data collection for this method which is new to Viet Nam and requires a large number of indicators (e.g., threats, exposure, adaptation,) which are not easy to collect within the Viet Nam context.

Currently, the R&V assessment has only been done at the national level. During consultation it was recommended by provincial departments to also conduct the R&V assessment for sectors at the district and commune levels. However, the assessment for district or commune level, will require more detailed data and information which are not available at this stage. Based on the studies done by NAP SUP project, the circular 01/2022/TT-BTNMT (hereinafter called Circular 01 for short) has been developed and approved by MONRE regulating in detail the implementation of the Law on Environmental Protection regarding responding to climate change.

Review of the NAP portal

The NAP portal and database on climate change adaptation is built to support ministries, branches and localities to connect, share and exploit the data system on climate change adaptation. All entities have access to basic data on the NAP portal, however access to the NAP portal M&E and V&A systems requires approval from MONRE. The following information has been uploaded to the webpage:

- Latest climate change scenarios
- Results of climate change risk and vulnerability assessment of the ministries participating in the project.
- Scientific studies/research done on climate change.
- Legislation and policy documents
- M&E system established, based on requirement of decision 148
- Other folders associated to climate change.

Significant data are already available in the NAP portal such as policies, strategies, reports, CC scenarios, information from other CCA projects in Viet Nam. The climate change information is however not adequate and needs to be further updated, to include information at the district and commune level to be more useful and applicable at all levels.

Feedback from project partners and beneficiaries from the 5 sectors regarding the NAP Portal can be summarised as follows:

- The portal is useful where everyone and any entity can access *basic* data.
- However the platform lacks more detailed data and data at the spatial and temporal resolution that is required for meaningful risk and vulnerability assessment and on which to identify CCA measures.
 - Some can only access climate change scenarios for 2100 horizon while planning horizon is 2050.
 - Maps and data for hazards that are critical to some sectors (e.g. landslide maps for Transportation sector) have not been provided. The landslide map seems to be in the ownership of a different department of MONRE and DCC could not get access to include in the platform.
 - Climate scenarios are presented as raster images, which do not store any useful attribute information. Furthermore, the climate scenario data it presents has been categorized into broad classes of very low, low, medium, high, very high. In short, the data does not provide a means to perform meaningful analysis to support risk and vulnerability assessment.
- Access to in-depth data, and analysis tools, access rights of the M&E and V&A need to be approved by MONRE, which takes time. According to MONRE, in the future, each ministry will be provided with an account to access the portal to self-upload their M&E reports as required under Decision 148. The LMs and the provinces will be provided with accounts for accessing the portal and the level of accessing to the information will be different for leaders and experts/staff. The ministry is developing the webpage for climate change mitigation. These two systems will be merged into one system managed by MONRE, at a later stage. The portal is currently quite nascent and will require significant additional effort to finalize. It is understood that this process of finalization is underway and the issues relating to access to the portal will be resolved by close of the project.

MONRE provided the following additional comments/explanations to the above findings:

The portal is open to all web users. The Web users can access information and download legal documents and policies; more than 100 products of the science and technology program to respond to climate change in the period 2012 - 2020; resource information; on international cooperation. As for information on climate change scenarios and impacts of climate change, at the time of July, we received many comments that need to be considered because (they are) related to security and defense issues, so It is necessary to understand the intended use of the user and therefore, in order to obtain information including maps + data of the MPA and the impact of climate change, the permission of the DCC is required. However, after obtaining permission from the management, we have allowed users to download this type of data for free and quickly without having to ask for permission. Only the M&E reporting system is required to have an account. Each province/city, ministry/sector has only one account to update and report information.

In the section on climate change scenarios, the portal already include data for both the period 2050 (mid-century) and year 2100 (end of century) for climate factors, including: temperature (average) average year, season, maximum, minimum, number of hot and cold days, harmful); term index; amount of rain; heavy rain over 100mm, level of flooding due to sea level rise, ...).

Maps and data on landslides and flash floods; flood risk due to rain, etc. are maps in the field of natural disaster prevention, managed by many different units. There is data available, data not available, or only a part under construction and planned to be built. And because it is heavily related to security and defense issues, it must be verified and approved by the leaders of the relevant ministries to be uploaded. We intend to consult the leaders and upload these types of data to the Portal in phase 2 of the project. However, in the meantime, if the entities need those types of data, we will be happy to recommend and help to work with the entity concerned. The database for vulnerability and risk calculations for sectors such as transport, agriculture, health, etc. is very extensive and complex, so we only try to provide enough as required in the TOR at the present time.

The climate change scenario data posted on the portal is the data detailed to the district level from the national climate change scenario. This is the most updated climate change scenario data, which will be updated after 5 years. These data are standardized and posted at very low, to very high levels, thus, it will be very useful for local units where there are few staff with technical skills in map processing, having a deep understanding of climate change, the data can be immediately applied to assess damages and risks. As for the units that need detailed map data of the climate change scenario to carry out further assessments, we will introduce and help to work with relevant units.

Feedback from MONRE beneficiaries – DONRE from provinces

- DONRE participated in the project training workshop and as a result are now able to understand more about CCA. DONRE has recommended that MONRE provides guidelines for implementation of Decision 148 to facilitate the provinces to prepare and complete M&E report at the end of the year, on the NAP portal.
- Provinces have to prepare action plans responding to CC. A key challenge they face is on collection of data and the setting up of the provincial database systems. Trainings are needed to support implementation of the tasks in the future. DONRE recommended that there should be greater opportunities for the provinces to participate in the project implementation.
- DONRE is able now to access the NAP portal, however, they found that there needs to be more trainings and support from MONRE to establish the online M&E system for DONRE to be aligned with the MONRE system.
- Database system: If more than one provincial department at the same time upload information (to the MONRE system), there are risks of data overlaps and conflicts.
- At local level, updating or uploading data is a big challenge due to limited knowledge and understanding. It is difficult to identify the required data to be uploaded. The practice shows that when collecting data, there is still confusion about which data/information to be collected and uploaded, although the data collection criteria have been introduced prior to data collection. For more effective implementation, it is recommended that MONRE appoints experts to provide tutoring and guidance to the provinces via zoom or other tools at the initial stage to ensure only required data are uploaded – there is need for training/demonstration at the initial stage to ensure the work is done correctly and efficiently in the future.
- Presently, according to governmental structure, staff often rotate the working positions. A person who has just received a training may move to another department or may be appointed

to be responsible for another job and the newcomer has to be trained again on the subject which is time consuming and disruptive. It is recommended that the project provides more trainings to provinces and takes account of staff turnover in making training available.

MONRE's response to the feedback from beneficiaries is as follows:

For the convenience of users, viewing and uploading data in the simplest and most effective way, we have developed documents such as manuals on the M&E system; M&E online system user manual; and online database manuals. Therefore, it is possible to ensure that people with limited technology can manipulate and upload data according to the information in the manuals.

- An independent review of the NAP Portal by the evaluator revealed the following:
 - The climate scenarios page of the NAP Portal provides very broad scale imagery of climate change indices with broad categories of very low, low, medium, high and very high. The spatial detail of the information and the qualitative nature of the data would make it difficult to use in any detailed assessment of risk and vulnerability. A review of some risk assessment reports confirmed that the qualitative nature of the data has resulted on largely qualitative, rather than quantitative sectoral risk assessments.
 - The climate change scenarios are overlain onto base maps with no receptor data such as infrastructure, land use, property etc. There is also no socio-economic data in the Portal or any attribute data which would characterize the vulnerability of key receptors.
 - It is noted that there is no hazard mapping on the website. That is, there is no conversion of the climate change scenarios into meaningful data on the resulting changes in existing hydrometeorological events and hence changes in existing hazards such as fluvial flooding, flash flooding, landslides, drought etc. Definitive individual hazard and multi-hazard maps which include climate change is an essential dataset for robust risk and vulnerability assessment that would lead to robust and targeted climate change adaptation policies, plans and priority measures.
 - The climate impact page has a legend for very low, low, medium, high and very high, but there is only base mapping on the page.
 - Many of documents on the NAP site are only available in Vietnamese as scanned pdfs.

Indicator 1.1.2: # of training provided to provincial and national experts; # at least 35% of women participation; # Reports of the results from the trainings and on-the job tutoring support prepared and submitted

A large number of trainings have been conducted by all project partners to enable awareness raising and to enhance the skills and capacities of beneficiaries at all levels in CCA. It is noted that training on gender was including during most of the training sessions. On average 25-50% of training participants were women.

Training provided by MONRE (on NAP portal and R&V)

3 MONRE Training papers prepared (in PPT) based on deliverables produced by activities 1.1.3 and assessment methodology on climate and vulnerability and risk, loss and damage specified under circular 01/2022/TT-BTNMT promulgated by MONRE on 7 January 2022.

The training was provided to various departments of line ministries and provincial DONRE.

- 1) A MONRE training on potential impacts of climate change on natural resources and Environment conducted in December 15, 2021 (online + offline) in Hanoi to the representatives of all line ministries' focal points and DONRE of the northern regional provinces.
- 2) A MONRE training workshop (in a series of workshops organized in June 2022 in Ho Chi Minh City to the representatives of DONRE of southern provinces on assessment of CC impacts on Natural Resources and Environment (NRE) sector.
- 3) MONRE training workshop (in a series of workshops organized in August 2022 in Da Nang City to DONRE of central provinces on assessment of CC impacts on Natural Resources and Environment (NRE) sector

DCC (MONRE), with UNDP support, has integrated CCA into strategies, including mitigation. At provincial/local level, government staff are responsible for several tasks including CCA. However, CCA

capacity of the governmental staff is often limited.

Contribution of the UNDP project is seen as important for this initial stage of assessment of climate change impact, risks and vulnerability for various sectors. However, the process of R&V assessment is a complex process requiring a lot of data that needs to be quantified. The project has helped MONRE to elaborate a clear assessment methodology - Circular 01¹⁶. However, there are still gaps in the application of R&V assessment at lower levels, i.e. district and commune level.

The meteorological agency/department has also assessed disaster risk assessment and has also faced problems of assessment at district and commune level due to lack of comprehensive data and lack of capacities to collect it. While there are gradual changes, the baseline data remains a controversial subject which will hopefully be improved in the future.

For realization of Decision 148, the project conducted trainings for local authorities and the line ministries and to get their opinions to establish their M&E system.

Participation and cooperation of line ministries/ sectors: at national level knowledge and understanding of the officers on CCA is quite good while at the provincial level, it is limited. MONRE needs to cooperate with and learn from MARD experience. MARD established a comprehensive M&E system with support from the GCF NAP-Ag project. Professional staff at provincial level has limited capacity for essential CCA functions including limited cooperation/coordination and therefore the local government officers are passively waiting for the instruction/guidance and coaching from national level before undertaking any CCA tasks. DCC will have to concentrate on capacity building in this area in the future.

Involvement of private sector in the project training: Opportunities for general public and enterprises to participate in CCA are still limited especially compared to mitigation of GHGs, where private sector has more opportunities to invest in CCM actions/measures and for involvement in the policy development process. The project, under Activity 2.2.1, aimed to identify the barriers of involvement of the private sector in CCA and organized a number of events which involved private sector in discussions for each sector. This was not training delivered to the private sector but gave an opportunity for private sector to learn about CCA and contribute to identification of barriers to involvement.

Training provided by other LM's

- MOT: 3 trainings on climate vulnerability and risk assessment planned were conducted in October to the representatives of the line ministries, various ministerial departments/agencies; 5 sub-sectors (relevant MOT Departments, Project Management Board and Provincial Departments of Transport- DOT); (1 training to road and railway sector, 1 training for inland water and maritime waterway and 1 training for aviation sector);
- 1 MOH training workshop covering all project activities done by MOH (i.e., climate vulnerability and risk assessment, integration of CCA in health sector plans, NAP responding to CC, private sector participation in CCA action plan, and M&E indicator of CCA in Health sector) conducted in Hanoi by MOH on **8 August 2022** to the representatives of DOH and CDC of 7 provinces, 2 regional MOH's institutes, representatives of 5 LMs involved in the project and 5 enterprises associated with CCA investment in the health sector
- 1 MOH training (02 days) in Da Nang city (**9-10 Aug 2022**) on V&A indicators, M&E indicators, and prioritization for investment in CCA projects of MOH to DOH and CDC of 17 provinces, 4 MOH's regional institutes.

Indicator 1.1.3: # of technical guidelines provided with gender issues mainstreamed; #Final climate change risk and vulnerability assessment reports delivered with dissemination workshops taking into account priorities of climate vulnerable groups and gender disaggregated impacts (M18)

MONRE reports (03):

- MONRE synthetic report proposing baselines and risks assessment for natural resources and environment and priority sectors, Dec 2021.
- MONRE report Studying and Analyzing impact assessments, vulnerability, risks, loss and damages due to Climate Change and guidance recommended for assessment of vulnerability, risks due to CC in Viet Nam and proposing guideline contents, April 2021

¹⁶ Circular 01 /202 2 /TT-BTNMT - Detailed regulations on the implementation of the Law on Environmental Protection about responding to climate change

- MONRE report on Loss and Damage assessment (due to CC), 2021

Circular No. 01/2022/TT-BTNMT, approved by MONRE in January 2022 for realization of Article 90 of the LEP 2020 responding to CC, provides a general methodology for assessment of impacts, risk and vulnerabilities, loss and damages caused by CC, and identification of proposed CCA solutions for all ministries, provinces, and organizations. Gender related issues have been included in the Circular.

MOT reports (04)

- MOT report guiding assessment of risks and vulnerability for road sector due to CC, 2022
- MOT report guiding Risk and vulnerability assessment for aviation due to CC, 2022
- MOT report guiding Risk and vulnerability assessment for railway due to CC, 2022
- MOT report identifying, setting up a set of sample indicators and guiding assessment of vulnerability and risks due to CC for inland waterways and Maritime Infrastructure, 2022

MOH reports (01 report):

- Revised and updated the set of V&A indicators for responding to CC in Health sector, August 2022. MOH has developed a set of vulnerability and adaptability indicators of climate change (CC) based on method and common indicator guided by MONRE for Health sector. MOH had already developed a set of vulnerability indicators to prepare a plan responding to CC. However, the present set of indicators supported by the project are more useful and comprehensive and enables full assessments for the entire sector on an annual or periodic basis.

Feedback on Risk and Vulnerability Assessments:

Damage and loss: Assessment of loss and damage due to CC is still a new concept in Viet Nam and therefore it is difficult to collect the relevant data. Circular 01 was adopted to guide assessment of losses and damages of past and future climate-induced events. The forecast data are mainly collected from reports of international organizations in Viet Nam.

The loss and damage due to CC requires technical guidelines and training to identify loss and damages. In Viet Nam, few organizations can assess loss and damages caused by CC due to challenges in collection of data required for running loss and damage models (data are not sufficiently reliable and agreement among the line ministries are not yet achieved). The present assessment of Loss and Damages in Viet Nam or in the NAP report does not fully follow the requirements of UNFCCC.

The training provided by the project is just an introduction of CC (theory) and is therefore difficult to apply in practice.

Feedback on preparation of the set of (vulnerability and adaptability) V&A indicators by Line Ministries:

MOH

- Implementation of MOH's activities under the project was delayed compared to other line ministries. During the implementation process (surveys) the MoH consultants found that i) awareness of CC of MOH sector is limited; and ii) many experts have difficulties in distinguishing between CC and disasters.
- Due to limited budget and time, no V&A surveys at provincial level have been conducted due to COVID-19 restrictions. Simple data (used for short term) have been collected rather than detailed data (difficult to collect) which have long term impact. Data collected are still more qualitative than quantitative. The proposed set of indicators have therefore been shortened to include general indicators specified under decision 148 and does not include specific indicators for health sector.
- The set of V&A indicators have been developed for MOH, consulted, and submitted to VIHEMA and UNDP NAP-SUP project.
- **Difficulties:** during the task implementation, the consultants were not able to travel (due to COVID-19 restrictions) to provinces to do surveys at provinces in the areas having high risks of being affected by CC. Data collected are therefore still limited.

- After the set of V&A indicators was completed, it was tested at two provinces (Thai Binh and Kien Giang Province). The feedback was very good from both. According to the district DOH, they are happy that, with the indicators they can now know how to report CCA implementation to the provincial DOH (before they did not know what to report of CCA activities to the higher authority level).

MOT

- The consultant group of MOT has established V&A indicators for 5 sub-agencies of MOT on risks, exposure, adaptability, in excel file. The training on R&V was conducted in October for MOT's department, agencies, institutes, and provincial DOT. MOT has conducted 04 trainings in October 2022: 03 training to the representatives of its 05 sub-sectors, MOT's departments, provincial DOT, institutions, etc. on V&A indicators, M&E indicators and other topics implemented under the UNDP NAP project; and 01 training on barriers of private sector to invest in CCA for all the sectors and MOT's departments+ provincial DOTs.
- The CC scenarios and land slide maps are very important to identify CC hazards for MOT. These landslide maps have been developed for the national level by Viet Nam Geological and mineral Agency (MONRE). When requested, the maps were provided to the MOT in the form of pdf file (i.e. no attribute data within the file). However, MOT needs maps in the form of (GIS) that can be overlain with MOT infrastructure and traffic maps to enable risk and vulnerability assessment. The response from MONRE when asked why the data was not available in the appropriate format was that not every type of information could be publicly posted on the website. The information is managed by law. DCC can only post pdf files and the project had agreed on this. If MOT would like to have the map in GIS format with the relevant attributes included, the ministry should directly contact the Department of Survey and Mapping Viet Nam (MONRE). MOT has contacted Viet Nam Geological and mineral Agency (MONRE), who is responsible for map production in Viet Nam, and was informed that the agency only provides maps to provinces not to line ministries. Without this important hazard map, it will be difficult for MOT to assess CC hazard, risk and vulnerability. If clear digital maps are available, they will enable MOT to undertake CCA planning and management.
- In general, the CC scenarios should be more detailed to facilitate V&A assessment in the transportation sector. E.g., scenarios of sea water raise are still general, at macro level only. MOT was not able to access data at province or commune level because data is available at national level only. It cannot be used for CC risk assessment.
- In the future, ministries must report to MONRE CC responding reports. The entities will have difficulty to identify risks and exposure from the existing CC scenarios data. It is recommended that, if possible, the project in phase II should support MOT (in cooperation with MONRE) to prepare data of CC exposure and hazards to district level. This depends on the availability of detailed CC scenarios and hazards maps.
- Different from roads (where more projects are public, and loss and damages can be identified), data associated with inland and marine waterways are limited. Therefore the V&A assessment does not have much value due to the lack of data for the assessment. No CC related studies have been done for marine waterways. In addition, the detailed CC scenarios are also not available. The MOT consultants have had many discussions on this, but the final deliverable is limited.
- **MOT Beneficiaries:**
 - *Inland Waterway agency:*
 - CC has affected inland waterway (waterways traffic disturbed due to building gates at river mouths to prevent saltwater intrusion, water level raise/dropped, etc.)
 - The agency has adopted CC action plan. Understanding about CC of the agency is limited.
 - DOT provided comments to the MOT documents and participated in workshops. The CC workshops are useful for the agency however the enterprises have few opportunities to participate.
 - *Marine waterway:*
 - Provided comments to MOT documents on V&A indicators and M&E indicators and participated in workshops. These helped agency to understand more about CC

- The agency hopes to cooperate in development of CCA tools and measures.
- *Viet Nam Aviation:*
 - Provided comments to MOT documents on V&A indicators and M&E indicators and participated in V&A workshops which help to understand more about CC.
- *Viet Nam Railway*
 - Provided comments to MOT documents on V&A indicators and M&E indicators and participated in V&A workshops which help to understand more about CC.
 - Railway is affected by CC, but the agency understanding about CC is still limited. If CC knowledge and CC information is available, investment costs for railway could be reduced (e.g., they will be able to include erosion prevention measures from the design stage (i.e. climate proofed design and construction) which will reduce the cost to repair and maintenance of the network when erosion events occur in the future.
 - The CC scenarios are very good for decision makers for an investment project. e.g., if a project has been designed to include CCA measures, with the CC scenarios showing area where CCA measures are proposed, it will be easier for the management board to approve.
- *Roads*
 - VN has long and large road network. Roads are heavily affected by CC (erosion, flooding, landslides).
 - Digital CC scenarios are very important for vulnerability assessment.
- So far, MOT has completed the set of V&A indicators, M&E and selection of priority projects for its sub- sectors. Report on barriers to private sector is expected to be completed by the end of the project as well as the training to various MOT departments, agencies (05) and institutes. Marine University which belongs to MOT also provides CCA and M&E as a subject for students.

MARD

- A set of V&A indicators has been prepared, consulted and approved by MARD leaders.
- The developed indicators have been integrated into MARD data system
- MARD started development of the M&E system in 2019. The system is gradually completed by adding data year by year. Now, the MARD's Departments, agencies, and DARDs self-upload their monthly report on this webpage. While the reports' tables prepared by the MARD's agencies are following templates required by MARD, other report sections are not required (by other agencies). MARD has shared its data system with MONRE to adjust and approve the MONRE data system (NAP portal). MONRE M&E system is new and does not have much information.
- Connection of the M&E system of MARD to MONRE's M&E system is achievable. There are only 02 different points that need to be revised to make them synchronized. To share data system of MARD with MONRE, requires two way sharing mechanism agreed between the two ministries.
- MARDs' consultants are from Institute of Agricultural policies and strategy. They understand MARD situation and reviewed MARD's CCA policies based on SMART indicators and proposed 61 indicators, inherited from GIZ support (including approach) and international and other UNDP project. The proposed indicators have been divided into 4 sub-groups: CC, Impacts of CC, Actions and solutions/results.
- Trainings have been conducted in Vung Tau Province, by MARD to focal points of DARD at provincial level. At central level, the training has been conducted in Hanoi with various representatives of the ministerial departments on the sets of indicators (V&A and M&E), clarification of public expense (budget tagging).
- MARD has a large number of sub-sectors; the sub-sectors are different, hence indicators are different. The process of conducting training and data collection is difficult, e.g. the focal point of Da Nang faced many difficulties in guiding data collection to measure the indicators. The consultant group proposed to integrate CC into production process, as it will be easier to collect data and feedback.
- Several indicators are very difficult to collect data via official system (i.e., planning divisions of DARD), because staff are regularly rotated, and the newcomers have to be trained again. Policy to inherit requirement of the set of indicators will be needed according to the consultants.
- Lessons learned:

- The MARD consultants and those involved in the project learned a lot from project activities, such as workshops, training, information exchanges
- CC is a cross-cutting issue that needs to be integrated into plan. It's better to link the CC to regular business activities in practice rather than finding separate sources for it.
- The project support is outstanding. With integration of the indicators in the data system of MARD, the province is now able to follow/control how CC affect to agricultural activities and to adjust the activities. The data can be used by all provincial DARDs to provide on-time reports to decision makers.
- **MARD Beneficiaries** (Vinh Phuc Province)
 - Provided comments to the MARD indicators
 - The project's indicators have been integrated into the sub-sectors and therefore online report can be done by the province
 - Easy to access the webpage to collect data
 - The province requests to be trained on integration of the M&E indicators of CCA into plans

Output 1.2: NAP Developed, Consulted, and Disseminated

Indicator 1.2.1: # Guidelines on climate change adaptation integration for targeted sectors

Under this activity, the aim was for climate change adaptation integration guideline to be prepared for priority sectors, including elaborated interventions by vulnerable groups and geographical regions. Each sectoral guideline was to be prepared in close consultation with the lead sectoral agency as well as relevant authorities such as MPI and MONRE and adaptation measures for each sector identified, compiled, and prioritized to build resilience of the most vulnerable groups in the sector.

Under this activity a technical consultation workshop on integration of CCA into planning was conducted by MOH (on 19 April 2022) together with other subjects done by MOH (e.g., investment prioritization and budgeting for health sector).

Under this activity, MOH report on revising and updating MOH action plan responding to climate change in the Health Sector, August 2022 was produced and a technical consultation workshop on integration of CCA into planning conducted by MOH (on 19 April 2022) together with other subjects done by MOH (e.g., investment prioritization and budgeting for health sector). Under this task MoH undertook a review of existing MOH CC action plans. MOH's CC strategy was prepared to 2030. At the time MONRE had not yet prepared the national CC strategy to 2050. With the adoption of MONRE's CC action plan to 2050 recently (July 2022), the MOH CC strategy was updated to be in line with the national CC strategy, i.e., to 2050. MOH's CC strategy is however still general and mainly focuses on disasters and floods. The revised MOH plan for CCA integration proposes priority actions/plans for integration of CCA. The reports have been prepared, consulted and submitted.

No other sectors prepared new guidelines for integrating CCA into sectoral plans under this activity. For all other sectors, existing MONRE guidelines on mainstreaming CCA into sectoral plans (developed by a different project) were used. The "MONRE guideline for integration of CC response content into strategy and planning" has the following main contents:

- Requirement for implementation of integrating cc response content
- Purpose, subject, scope of integrating climate change
- Principles and integration requirements
- Integrate cc response content into strategy
- Integrating cc response content into plan
 - Tasks outline for planning and implementing strategic environmental assessment
 - Collect and synthesize information related to climate change
 - Analyze and identify measures to mitigate and adapt to climate change
 - Propose content to respond to climate change integrated into the master plan
 - Consult and finalize the plan
- Monitoring and Evaluation
 - Integrated Climate Change Response Content

Indicator 1.2.2: # NAP drafting group established NAP Report

NAP was first developed and approved in 2020 and must be reviewed every 2 years. Hence, the project undertook the first review of the NAP in the context of the Viet Nam national strategy for CC. MONRE established a NAP working group for the project, and the project mobilized consultants to provide technical inputs for drafting the NAP only. The NAP report drafting team provided technical input to the drafting of the NAP which is considered as a detailed plan of the NDC, since NDC could not detail CCA. It was noted that LMs were also assigned by the government to work on the NAP but it was not always effective.

The process of NAP preparation involved a number of steps. To ensure clarity of vision for the work from the beginning, the first step taken by the NAP drafting experts was to work with the Government to discuss and agree on the report outline. The NAP team then started preparing for the report. During the preparation process, consultation workshops were held to discuss and get feedback from the Government. Many meetings have been conducted and many changes have been made during the preparation process.

NAP technical report prepared by the project includes the following aspects which were not in the first NAP: social inclusive, private sector involvement in the NAP implementation, policy intervention, nature-based solutions, implementation of the NAP not only using government budget but also from private sector, gender equality.

Indicator 1.2.3: # Gender background paper on gender in NAP; # Gender mainstreaming guidelines for all line ministries

A comprehensive background report on mainstreaming gender in the national adaptation plan (NAP) in Viet Nam was completed, April 2022, which included gender mainstreaming guidelines for each of the 5 participating line ministries/sectors, and a summary gender brief for each of the participating ministries. The report includes a literature review, semi-structured interviews, questionnaires, and consultations with key stakeholders and served as the background report to the NAP development in Viet Nam, which stock takes the current efforts in promoting gender equality in climate change adaptation in Viet Nam.

Indicator 1.2.4: # Draft technical report of NAP

The Outline of the national climate change adaptation plan (NAP) technical report, April 2022, was widely consulted as follows:

- Consultation workshops: MONRE (chaired by DCC) conducted a number of consultation workshops on the draft NAP report.
- Consultation WS organized on 10 May 2022 in Da Nang City on outline of the NAP technical report (inviting the representatives of 05 project-partner ministries, UNDP and the representative of DONRE, DARD, DPI, DOH, DOT, DOC, DOCST, DOLISA, DOST of 14 central provinces), the representatives of universities and research institutes)
- MONRE Consultation workshop conducted in Danang city (18-19 May 2022) on the proposed baseline report and impact assessment on natural resources and environmental sector, focusing on CC impact on NRE and on loss and damages, key impacts, case studies in a number of provinces and method to calculate loss and damages caused by CC.
- Consultation WS Organized on 24-25 May 2022 in Hanoi on outline of the NAP Technical report.

Indicator 1.2.5: # Final technical report of NAP

The Final draft NAP technical report was completed and consulted as follows:

- Technical meetings:
 - Workshop organized on 08-09 June 2022 on drafting NAP technical report (at Ba Vi, Hanoi, inviting the representatives of the 05 ministries, UNDP, and key technical experts).
 - Workshop organized on 26 – 27 July 2022, on finalizing the NAP technical report (at Ba Vi, Hanoi, inviting the representatives of the 05 ministries, UNDP and key technical experts)
- Consultation workshops:
 - Consultation WS organized on 7 July 2022 in Hanoi discussing the final draft NAP technical report (with the representatives of line ministries, international organizations

working in Viet Nam, DONRE of Northern provinces).

- Consultation workshop organized on 3 October 2022 in HCM city introducing NAP technical report and discussing NAP implementation.
- The draft NAP report was also consulted with provincial Women Union and provincial Farmers Union regarding gender, disadvantaged groups and other vulnerable communities.

The 10th draft of the NAP technical report is considered completed and was submitted to MONRE in August. The report is developed in line with the National strategy on CC to 2050. Approval and finalization of the NAP technical report is the responsibility of the Government. However, government budget is limited, so the support of the project has been very important for realization of the NAP technical report. The Government has a separate committee to review and finalize the report using technical inputs provided by the NAP drafting team. NAP report is now disseminating widely to ministries and provinces for comments. The NAP drafting group (setup by the project) comprised of technical consultants who provided technical inputs for NAP only.

Indicator 1.2.6: # of media articles, infographics, videoclips and news on Viet Nam NAP and Projects.

This activity has been completed with a total of 15 media articles produced by DCC and UNDP as follows with a summary of the article contents:

1. <https://baotainguyenmoitruong.vn/hoan-thien-bao-cao-ve-no-luc-thich-ung-bien-doi-khi-hau-cua-viet-nam-341589.html>
07/07/2022 (Natural Resources and Environment) - On July 7, in Hanoi, the Department of Climate Change in collaboration with the United Nations Development Program (UNDP) in Viet Nam held a "Consultation workshop on the final draft of technical National Plan for Climate Change Adaptation (NAP)". Viet Nam will send this report to the United Nations Framework Convention on Climate Change (UNFCCC) Secretariat prior to COP 27 held later this year.
2. <https://scem.gov.vn/vi/tin-tuc-trung-tam/chu-truong-chinh-sach/xay-dung-ke-hoach-quoc-gia-ve-thich-ung-bien-doi-khi-hau-757.html>
Developing a national plan on climate change adaptation.
Monday - 11/07/2022 11:36. Viet Nam developed the NAP Technical Report at the request of the UNFCCC. Thereby, informing the international about the situation of climate change in Viet Nam, impacts, losses and damages, extent of natural disasters and climate risks.
3. <https://stnmt.dongnai.gov.vn/Pages/pTinTucChiTiet.aspx?newsid=11403>
Series of workshop "Supporting the construction and implementation of Viet Nam's national climate change adaptation plan
04/07/2022
On June 29, 2022, the Department of Climate Change in collaboration with the Department of International Cooperation held a series of seminars within the framework of the project "Support for the development and implementation of the national climate change adaptation plan of Viet Nam".
4. <https://monre.gov.vn/Pages/tang-cuong-nang-luc-trien-khai-ke-hoach-thich-ung-quoc-gia-ve-bien-doi-khi-hau.aspx>
4/05/2022
Strengthening capacity to implement the National Climate Change Adaptation Plan
On May 24, in Hanoi, the Department of Climate Change held a series of seminars under the project "Support for the development and implementation of the National Plan to adapt to climate change in Viet Nam", including: Workshop Training on using online interface on climate change database – Workshop on dissemination of framework for monitoring and evaluation system of climate change adaptation activities – Consultation workshop on Draft report Technical National Plan for Climate Change Adaptation (NAP).
5. <http://www.dcc.gov.vn/tin-tuc/3696/Ho-tro-xay-dung-va-thuc-hien-Ke-hoach-quoc-gia-ve-thich-ung-bien-doi-khi-hau.html>
Support the development and implementation of the National Plan on Climate Change Adaptation
Posted Date: January 22, 2021
On January 22, in Hanoi, the United Nations Development Program (UNDP) and the Ministry of Natural Resources and Environment held a workshop to kick off the project "Support for the development and implementation of the National climate change in Viet Nam" (NAP-GCF).
6. <http://thuydacvietnam.org.vn/xem-tin-tuc/khoa-hoc-cong-nghe/ho-tro-xay-dung-va-thuc-hien-ke-hoach-quoc-gia-ve-thich-ung-bien-doi-khi-hau-DNP280101983DIZI2920.html>

Support the development and implementation of the National Plan on Climate Change Adaptation
Posted January 17, 2022

On January 22, in Hanoi, the United Nations Development Program (UNDP) and the Ministry of Natural Resources and Environment held a workshop to kick off the project "Support for the development and implementation of the National climate change in Viet Nam" (NAP-GCF).

7. <https://baotainguyenmoitruong.vn/khoi-dong-du-an-ho-tro-xay-dung-va-thuc-hien-ke-hoach-quoc-gia-ve-thich-ung-bien-doi-khi-hau-319581.html>

Launching the Project to support the development and implementation of the National Plan on Climate Change Adaptation

Natural Resources & Environment INDUSTRY - Khanh Ly - 14:32 January 22, 2021

(NR & E) - The United Nations Development Program (UNDP) and the Ministry of Natural Resources and Environment will coordinate with the ministries of Planning and Investment, Agriculture and Rural Development, Transport, and Health to implement the project "Support for the development and implementation of the National Plan. on Viet Nam's adaptation to climate change". The project kick-off workshop took place this morning, January 22 in Hanoi.

8. <http://tnmtdienbien.gov.vn/Sitepages/article.aspx?item=Chu%E1%BB%97i%20H%E1%BB%99i%20th%E1%BA%A3o%20trong%20khu%C3%B4n%20kh%E1%BB%95%20d%E1%BB%B1%20%C3%A1n%20E2%80%9CH%E1%BB%97%20tr%E1%BB%A3%20x%C3%A2y%20d%E1%BB%B1ng%20v%C3%A0%20th%E1%BB%B1c%20hi%E1%BB%87n%20K%E1%BA%BF%20ho%E1%BA%A1ch%20qu%E1%BB%91c%20gia%20v%E1%BB%81%20th%C3%ADch%20E1%BB%A9ng%20v%E1%BB%9Bi%20bi%E1%BA%BFn%20C4%91%E1%BB%95i%20kh%C3%AD%20h%E1%BA%ADu%20t%E1%BA%A1i%20Vi%E1%BB%87t%20Nam%E2%80%9D-2375>

5/26/2022 12:00:00 AM In Posts

Series of seminars within the framework of the project "Support for the development and implementation of the National Plan on Climate Change Adaptation in Viet Nam"

9. <https://kinhtemoitruong.vn/xay-dung-ke-hoach-quoc-gia-ve-thich-ung-bien-doi-khi-hau-68883.html>
Can not access

10. <https://stnmt.thuathienhue.gov.vn/?gd=27&cn=1&id=181&tc=27257>

Series of Workshops under the Project "Support for the development and implementation of the National Plan on Climate Change Adaptation of Viet Nam"

Updated date 16/06/2022

11. <https://nangluongsachvietnam.vn/d6/vi-VN/news/UNDP-ho-tro-thuc-hien-Ke-hoach-quoc-gia-ve-thich-ung-BDKH-o-Viet-Nam-0-179-9197>

UNDP supports the implementation of the National Plan on Climate Change Adaptation in Viet Nam
Friday, January 22, 2021 | 16:28 GMT+7|On January 22,

The United Nations Development Program (UNDP) and the Ministry of Natural Resources and Environment coordinated with ministries to implement the project "Support for the development and implementation of the National on adaptation to climate change (CC) of Viet Nam".

Web UNDP:

1. <https://www.adaptation-undp.org/viet-nam-launches-gcf-financed-climate-change-adaptation-planning-support%3Dprogramme>
2. <https://www.undp.org/vietnam/news/impediments-and-suggested-solutions-improve-policies-attract-private-investment-climate-change-adaptation-activities-northern-region>
3. <https://www.undp.org/vietnam/news/viet-nams-climate-change-national-adaptation-plan-nap-report-consulted>

6.5.3 Assessment of Outcome 2 key achievements:

MPI was responsible for the implementation of Outcome 2 with the participation of the 4 other line ministries (MOT, MOH, DARD, MONRE). MPI is the NDA of GCF in Viet Nam therefore the ministry has cooperated with UNDP to sign-off reports being sent to GCF. The Department of Science, Education, Natural Resources and Environment (DSENRE), of MPI is implementing component 2 of the NAP – Sup project. The Department worked with representatives of the line ministries and the project experts/consultants to and enterprises to:

- Prepare a set of criteria to select priority projects to be included in the sectoral development plan and 5-year socio-economic development plan

- Guide the line ministries to complete criteria for the priority projects and identification of barriers to engage the private sector in the CCA activities.
- Budget tagging for CCA investments
- Coordinate with the line ministries in the implementation of the component 2.

Output 2.1: Inter-ministerial Coordination Strengthened and Appraisal Capacity Built to Implement NAP Integration

Indicator 2.1.1. # of meeting of the NAP IWG

Under this activity, the NAP IWG was established to ensure inter-ministerial coordination and cooperation on NAP integration.

Under this activity, the following meetings were held:

- In 2021, 03 offline/online meetings held by Implementation Working Group (IWG) to coordinate the interventions for advancing adaptation actions with line ministries and to ensure synergies of technical approach and results integrated into the NAP process.
- 22 -24 February 2022, Online workshop on “technical framework for development of priority criteria in CCA investment and encourage private sector participation organized with participation of the line ministries, project experts and relevant agencies.
- On 5-6th April 2022, 02-day IWG meeting organized (offline and hybrid) to discuss (i) improvement of sectoral coordination among ministries; (ii) priority criteria for selection of CCA projects and (iii) barriers for the private sector engagement in the CCA works.
- Thematic discussions held by IWG with MOH (18 April 2022), MPI and LM experts (16 June, 23 June) on private sector engagement. Gender mainstreaming into NAP has been one of the discussion topics.

Feedback and findings on inter-ministerial coordination and cooperation

- UNDP played a major role in coordinating the 5 LMs across all activities through its project management function.
- MONRE also had major coordinating role alongside UNDP to push other ministries to implement the project, which was done through a coordinator they hired
- MPI also hired a coordinator to the implementation of activities within its responsibility
- Coordinating and pushing the Government proved to be difficult. One issue was that different levels of knowledge on CCA of the different ministries required different coordination approaches.
- MoH:
 - **MoH consultants** found that inter-ministerial coordination should be improved. MPI had shared information about training. However, the information was noticed in a very short-time, and it was difficult to arrange the participation due to other activities already planned. The consultant understood that the project training programs (MPI led section) needed to be approved by their leaders/ bosses before being able to issue invitations. It should be noted that MoH, during consultation on the evaluation findings claimed that this statement was not attributable to MoH and should be removed. Triangulation of evidence from separate meeting notes and review of the meeting recording confirmed that this statement was made by an MoH consultant. It therefore remains in the report, but it is noted that since the statement was made by a consultant to MOH based on their experience, it is not necessarily the view of MoH.
 - The consultants got good support from UNDP, other line ministers and VIHEMA during the task implementation (e.g., guidance from UNDP and DCC – MONRE on approaches of the V&A indicator development).
- MOT:
 - Good coordination of the implementation of the project activities is very important for success of the project. Thanks to the qualified and dedicated coordinator, the project activities undertaken by MOT were well implemented, meeting with time schedule and quality and were highly evaluated.

- MONRE
 - Cooperation of the line ministries (LMs) under the project is very good. Ministries share information and experience. MARD has provided very good support to DCC in setting up the database system (NAP Portal). UNDP provides support and guidance to the project implementation aligned with the UNDP guidelines.
 - At national level understanding of the officers on CCA is quite good while at the provincial level, knowledge and understanding of the officers on CCA are limited. MONRE needs to cooperate with and learn from MARD experience.

It is noted that coordination processes were limited to the working groups that was established by the project. However it is not clear what permanent inter-ministerial coordination mechanisms for CCA collaboration, coordination and joint working are in place. Given the difficulties with coordination experienced by the NAP-Sup project **it is recommended that the processes, roles and responsibilities for long-term cross-sectoral coordination on CCA should be put in place to ensure the long-term sustainability of CC National adaptation planning.**

Indicator 2.1.2: # Tools and procedures for adaptation project prioritization and appraisal for funding

- A Handbook – Guiding classification of Public Investment for CCA.
- Handbook – Guiding selection of priority projects for CC.
- The above 02 handbooks will be combined in one and will be printed out for dissemination before the project end.
- Tools for identification of priority in CCA

A number of reports guiding selection of priority projects has been developed:

- MARD report on developing MARD database of public investment associated to CC (period 2016 – 2020 and 2021 – 2025), July 2021
- MOH report reviewing current mechanism in planning and budgeting process to guide CCA in Health sector as well as identification of priorities in Health sector (January 2022).
- MOT report on evaluation and prioritization of climate change adaptation projects in road and inland waterway sub-sector, 2022
- Case study (MARD and Quang Ninh Provinces) - coding investment budget of the current database system of MPI to control budget allocated to CCA, Aug 2022.
- Guideline for classification of public investment for CC.
- A set of tools to track compliance with social and environment safeguard requirements and socio-economic impact assessments of adaptation projects and pipelines, particularly to ensure a minimum guidance of gender, poverty reduction ethnic minority and vulnerable group inclusion and SDG synergies (Sep 2022).

At the time of evaluation all the reports are drafted. Not finalized.

Indicator 2.1.3: # of trainings organized on relevant topics for mainstreaming CCA into budget and planning process

Training materials have been produced covering:

- Current criteria for identifying priority of CCA projects
- Assessment of priority hierarchy of transportation infrastructure projects associated to CCA;
- Priority framework for CCA projects and examples of identifying priority projects
- Guideline for classification of public investment for CC
- Identification of barriers and solutions for mobilizing private finance for climate change adaptation.
- Guidance on integration of CCA into planning of budgeting.

Training Workshops

- 03 series of training workshops conducted by MPI:
- Workshop in Hoi An (Quang Nam Province, 22-23 July 2022) on classification, identification and selection of prioritized projects and budget tagging for CCA in Public investment planning in Central

Indicator 2.2.1: Up to 5-consultation meetings organized with key stakeholders (M9); Report on barriers to private sector investment in adaptation and measures to overcome them completed (M12).

Private Sector investment in CCA

- MPI Report on Barriers to private sector investment in climate change adaptation activities and measures to increase private sector participation in implementation of national adaptation plan on CC for the period of 2021 – 2030, with vision to 2050 (NAP), June 2022.

Consultation workshops conducted:

- MOT organized a series of consultation workshop on barrier of the private sector engagement in CCA and tools to select CCA priority projects in transport sector, planned in October 2022, inviting the representatives of UNDP, MPI, various MOT's departments/agencies, 05 MOT's sub-sectors, DOTs of provinces and the private investors.
- MPI Dialogue and training in Ho Chi Minh city on identification of barriers and recommendation for improvement of private investment into climate adaptation activities in the north of Viet Nam, and a training on budget categorizing and tagging, with participation of MARD, MOT, MONRE and MOH, on 18-20 August 2022.
- MPI two-day Workshop held in Hanoi city (11 – 13 August), with participation of the focal points of the line ministries and sectoral experts and the representatives of enterprises working on various areas on classification, criteria for identification, selection of prioritized CCA projects in the Northern region, and barrier to the private sectors to actively engage in the CCA works.
- Technical meetings organized for consultants of each ministry

Feedback on Private Sector Investment project activities:

Barriers to private sector engagement in CCA investment was examined for each of the 5 sectors. The following is feedback from each sector on the key barriers that were identified and their views on how to overcome these barriers.

MPI

So far, involvement of the private sector in CCA activities is still limited, and most of the CCA projects were public investment. The private sector lacks information as well as the resources to implement CCA projects. Their awareness and understanding on the CCA is limited. Under the NAP project, in addition to a number of enterprises of MARD and MOT (where more CCA investment projects are implemented) having knowledge on the CCA, most of enterprises in the line ministries were found to have very limited knowledge on the CCA. Engagement of the private sector in CCA is still a big challenge. Under the NAP project, the involvement of the private sector is limited. The private sector does not yet recognize the benefits for investment in the CCA related projects.

To overcome the private sector's barrier and to have sustainable approach for private sector involvement in the CCA, it is necessary to:

- Have policies to support the private sector engagement in a number of CCA investment types
- Have policies and information sharing mechanisms to allow enterprises to have a deeper understanding of CC and the GOV's objective in CCA;
- Actively invite the private sector to participate in preparation of the CCA policies and in the CCA project implementation.
- Implement pilot projects to show benefits of investment in CCA project.

MOT

Barrier report of the private sector has been completed and discussed with MPI including a tool for selection of priority projects for MOT (03 common criteria and sub-criteria for transportation sector).

Report of barriers to private sector is expected to be finalised in October. MOT undertook a consultation workshop (offline and online) on criteria for identifying and selecting priority climate change adaptation projects in road and inland-waterway sub-sector and barriers in attracting private investment for CCA in transport sector (30 June 2022)

Awareness of the transportation private sector on CCA is still limited. However, they stated (presumably anecdotally) that they are aware that if they integrate CCA into their investment, their investment costs could increase 20-30% which will limit their involvement.

The investors when planning for investment often look at the requirement of the PPP policies. The PPP policies of VN however do not specify requirement of CCA, so they do not have to comply. When it is mentioned that CCA is a mandatory policy of international financial institutions (IFC) that the investors have to comply with if wanting to get loans, the investors understand what they have to fulfil the requirements. This means that policies indicating benefits of investment in CCA is not yet available in Viet Nam to attract the private sector.

MOT provided 1 training on barriers of private sector to invests in CCA for all the sectors and MOT's departments+ provincial DOTs.

MOT has prepared criteria for selection of the priority projects for CCA project in general (not specifically for private sector). The criteria have been used to test at 4-5 MOT projects. In their opinion there were too few projects tested and projects were small-scale. Bigger projects should be tested for MOT.

MOH

The report on barriers of private sector to engage in CCA of Health sector, was prepared based on review of the literature (national and international) and an online survey (using sets of questionnaires sent to 4 target groups: DOHs of 63 provinces, enterprises of health sectors, enterprises from various sectors, and those who work in health sector). Results of the survey show that engagement in the CCA activities of the entities engaged in health sector is limited, mainly on disasters. Their awareness on CCA is limited too. They prefer to engage in CC prevention rather than dealing with CC consequences. Enterprises however do not recognize their rights and benefits, their roles and CC impacts yet. In addition, enterprises see that they are often considered as the subjects to be managed/controlled by government rather than partners to work together. For them to engage in the CCA activities, they must be invited to participate early in the planning process. Involvement of the private sector in health sector is very limited. They are not ready for CCA engagement. Their feedback is often general and theoretical.

The barrier report prepared comprises of 3 components: review section, barriers to private sector engaging in CCA, and a list of priority projects (not specifically for private sector) to be implemented in the coming period. The report has been sent for comments, revised, and submitted to the project on September 09, 2022. The list of the proposed priority projects is however still general which are based on other reports prepared for Health sector (under this project) and locality, due to limited experience in practice.

MARD

Private enterprises do not have sufficient information to support decision-making on CCA in the agricultural sector. Specific policies for private sector to invest in CCA in agricultural sector are not available. To invest in CCA, requires large budgets while financial incentive is not available. MARD has several PPP projects on CCA but not many.

Recommendations to overcome barriers:

- Improve policy: agricultural insurance to ensure investment in agriculture.
- Provide private sector easy access to CC information.
- Capacity building and access to financial sources
- Actively participate in and share information for the private sectors to understand requirements and provide their opinion.

MONRE

The project provided training mainly on policies and therefore target groups are governmental offices and sectors. Opportunity for general public and enterprises to be involved in CCA are still limited. In mitigation of GHGs, private sector has more opportunities to invest and they are involved in the policy development process.

The involvement of the private sector could be realistic when more CCA models are available. The private sector is ready to be involved in activities when they see benefits and therefore preferential mechanisms and policies should be in place to attract them.

UNDP

The private sector is more active in MARD and MOT but less so in nature based or tourism sectors. This needs to be examined from a top – down perspective i.e. from MPI's point of view, and from the bottom-up perspective i.e. private sector players. There needs to be increased awareness raising to inform private sector on how to get involved in PPP. From the top down there is a need to have an open dialogue on PPI and how to build co-benefit between the private sector and CCA.

Financing for private sector is the key factor to unlock the participation of the private sector which currently does not know how to gain access to the finance. The project is trying to develop strategies for private sector to engage. It is UNDP's view (i.e. the view of its expert) that is not necessary to inform policy at this stage as yet. The government does not want to work or to make mistakes until have full understanding on this because this is still the learning phase.

MPI provided a number of trainings for various departments on the handbook. A number of enterprises were invited by MPI to the dialogue to identify private sector barriers and opportunities in CCA. Several enterprises were also invited to the trainings.

Under the NAP-Sup project training of the private sector was limited to raise awareness and incentivize the private sector. It is recommended that training materials on CCA should be institutionalized for all sectors to learn about CCA and find opportunities for their sector to invest. MOH also wants to learn about opportunities for the private sector to invest in health sector in coping with disasters for examples, for instance affecting the medical supply, CC related diseases, etc.

While the project aims to identify barriers to Private sector in the CCA, it will be for the government (MPI) to propose policy for the private sector involvement in the CCA.

6.5.4 Assessment of Outcome 3 key achievements:

The aim of Outcome 3 was to prepare a participatory and result-based M&E framework and implementation guideline by: (i) surveying the current M&E system within each priority sector; (ii) designing a participatory and result-based M&E framework, identifying required baseline data and information across social, economic, environment, climate, and institutional dimensions (big data and data analytic tools will be used when available); formulating appropriate indicators (greater weight will be given to quantitative indicators) that are comparable across space and time; (iv) developing a meaningful and effective participatory process to be included within the M&E framework. The M&E framework and process will enable tracking outcomes of adaptation interventions for vulnerable populations. This activity will be accomplished in close collaboration with the M&E Task Force and responsible units of each priority sector.

MONRE was responsible for the implementation of Outcome 3 with the participation of the 4 line ministries (MOT, MOH, DARD, MPI).

Achievement of Indicator 3.1 targets

A Monitoring and Evaluation Framework on CCA was approved by the Prime Minister (via Decision 148) on 28th January 2022 for nationwide application (with support by the NAP-SUP project).

Notably, under the support of the NAP-SUP project, gender mainstreaming has been included in the M&E Framework approved by decision 148. The National CCA M&E will be operated and managed by MONRE.

Progress of realization of the decision 148

The decision requires ministries, sectors and localities to develop their own CCA M&E indicators and system. So far, with the project support, the following ministries have prepared their indicators:

- MOH Report proposing a set of indicators for monitoring and evaluation of CCA in the Health sector, August 2022
- MOT report on CCA monitoring – evaluation system in transport sector, 2022
- MPI report preparing a set of M&E indicators of investments on CC activities, 2022
- MONRE Report proposing monitoring and evaluation framework of CCA, 2022
- MARD Review report of public decisions and decrees against adaptation related indicators, June 2022. MARD also reviewed previously-identified CCA indicators and proposed new ones.

CCA M&E Trainings

In addition to series of technical meetings/ consultation workshops organized by the project to various target groups of each sector (involved in the project) during the project preparation of the sector's M&E indicators, and trainings on the subject have been provided by each of the line ministries to its sub-agencies:

- MONRE organized a series of training workshops to DONREs of 63 provinces, including social organizations to ensure successful implementation of the M&E framework. Namely:
 - A training workshop organized (March 2022) in Da Nang for DONREs of central provinces, in Ho Chi Minh City (June 2022) for DONRE of Southern provinces, in Hanoi (July 2022) for DONRE of Northern Provinces and in Hanoi (May 2022) for representative of the line ministries to introduce M&E regulation (decision 148 of the Prime Ministry of CCA M&E), indicators and system, and related reporting mechanism.
- MOT has organized a series of trainings and consultation workshops to disseminate their sectoral M&E system.
- MARD organized the consultation workshops in July 2022, and
- MOH organized the training workshop in August 2022 to 17 DOHs on M&E indicators on CCA
- 22 -24 February 2022, Online workshop on building M&E system of CCA for priority area organized with participation of the line ministries, project expert and relevant agencies.

Progress of setting up M&E data system:

- At national level:
 - With the help of the NAP-Sup project, the national NAP M&E system has been set up as a part of the NAP Portal currently run by MONRE (see activities 1.1.1. above). Annually, sectoral NAP M&E reports will be uploaded by each ministry onto the NAP Web Portal via a portal entry provided by MONRE to each of the line ministries. This is aimed at connecting sectoral NAP M&E system with the national system.
- At sectoral level, each ministry will setup a M&E system under which NAP M&E .
 - MARD had already developed its M&E system (webpage) since 2019. The system is now working well, incorporates all CCA M&E indicators in the indicators of the agricultural sector. DARDs, agencies and institutions under MARD can access the webpage to collect information and report (upload) their monthly reports.
 - MOT with the support of the NAP-SUP project has recently set up the M&E system which is placed in the MOT's website. It allows the MOT's sub-sectors, agencies, and institutions to collect data and upload their M&E reports on it.

Feedback on the implementation and achievements of Outcome 3

The M&E system in NAP builds upon existing systems, working with GIZ and other NGO to implement enhancements to the M&E system. To this end the project has had a significant impact on the M&E using GCF fund. The MONRE, government has learned from other projects, UNDP, GIZ, etc. to improve the system. The structure and data are in place and provides an inclusive data base for CC. All available CC data are in place. At the moment, ministries upload only M&E reports but later all M&E data will be uploaded on the Portal by all provinces.

MARD

MARD has specific CC data and its M&E portal which is advanced compared to other ministries. Most of the CC data of MARD are aligned with national data platform with some correction/update required to be

consistent. MARD started development of its M&E system in 2019. A set of M&E indicators of CCA which includes 44 indicators have been developed, approved, and integrated into sectoral development plan. Among those, 30 indicators are newly developed under the NAP-sup project support. The indicators are tagged to report templates and are fully integrated into MARD data system. The system is gradually being completed by adding data year by year. Currently, the MARD's Departments, agencies, and DARDs self-upload their monthly report on their webpage. While the reports' tables prepared by the MARD's agencies are following templates required by MARD, other report sections are not required. MARD has shared its data system with MONRE to adjust and approve the MONRE data system (NAP portal). Presently, MONRE M&E system is new and does not have much information.

Connection of the M&E system of MARD to MONRE's M&E system is fine. There are only two different points that need to be revised to make them synchronized. To share data system of MARD with MONRE, requires two way sharing mechanism agreed between the two ministries.

By 2025 more indicators will be developed with focus on action and result indicators. The MARD M&E indicators were consulted and tested in agriculture in 7 sectors of 63 provinces. The results include significant data collected from 52 provinces, part of data collected from 5 provinces and in the remaining 6 provinces, no data have been collected.

MOT

A set of M&E indicators have been developed to include 21 M&E indicators specific for transport sector. The M&E system will be placed on the ministerial website for the MOT's departments, agencies to self-upload their M&E report. The M&E system of MOT is presently independent from MONRE NAP portal because it is under testing process. In addition, the MONRE portal is also new, needs to be updated and completed before linking to M&E system of other ministries. The MOT's M&E system has been developed in line with the MONRE's system (compatible with decision 148) to avoid linking problems with the MONRE's system later.

So far, MOT has completed the set of V&A indicators, M&E and selection of priority projects for its sub-sectors. Training to various MOT departments, agencies (05) and institutes is expected to be completed in October and will include training to Marine University which MOT also provide CCA and M&E as a subject for students.

MOH

MoH have prepared a set of M&E indicators for health sector based on which the ministry's departments, provinces Department of Health (DOH) will be able to comprehensively and regularly assess climate change impacts to health sector in a consistent way. MoH has developed a report on Proposed set of indicators for Monitoring and evaluation of climate change adaptation in the health sector under this project activity.

MOH has participated in the trainings conducted by MONRE and MPI and activities of other ministries on V&A and M&E. MOH has used the set of M&E indicators to collect CC related information from 2 provinces (Thai Binh and Kien Giang) and has a plan to continue the survey in 5 provinces. In the MOH plan, the ministry will conduct 2 training sessions in November (using the ministerial budget) to provincial DOH on planning to responding to CC, including instruction of V&A and M&E indicators. In the next year, the ministry will find other financial sources to continue provisions of the training to DOH in the provinces. MoH will require training on using NAP portal to help them able to upload M&E information on the portal.

MOH will provide inputs to MONRE to update the portal when requested. In the future the ministry will have access to the portal to self-update the ministry's data associated to CC on the portal, including M&E report. To do this, training should be provided not only to MOH departments but the DOH of all 63 provinces.

6.5.5 Summary of Training and capacity development provided by the project

The project has undertaken several trainings under each project component. Training has been confirmed by training material, participation lists and training reports. The approach to training was a mix of training-of-trainers at national partner ministries and subsequent training of provincial beneficiaries through workshops.

In general, stakeholders expressed appreciation for the training they participated in and saw benefits to the training in terms of their understanding of climate change and in terms of gaining specific skills in some areas. There was an acknowledgement that training would need to be continued over time to ensure that new capacities required for tasks such as data collection, risk and vulnerability assessment, M&E reporting. However there is no concrete plan about how or if, this will be assured.

Due to nature of the project, the training so far was mainly provided to governmental officers at national and provincial level of the Line Ministries (LMs) involved in the project. Involvement of the private sector, other LMs and stakeholders in the training was limited. The provided training focused mainly on subjects supporting the realization of the adopted regulations (e.g., Circular 01, Decision 48). Training and awareness raising on the nature of the CC and CC impacts was limited. The training time was short and complex topics were dealt with in a condensed manner, based on feedback from trainees. This therefore limited the effectiveness of the training, with practitioners unable to fulfil CC/CCA related task requirements. More in depth training, mentoring or on-job-training will be needed, not only for governmental officers at national and provincial level but also for those working at district and commune level to help them understand broad CC and CCA related topics as well as issues specific to their locality. The training materials need to be improved and redesigned to be more targeted and to include more case studies and group exercises as well as pre- and post-training evaluation to support improvement of the future training.

The sustainability of the capacity building delivered by the project is not clear. While some of the ministries plan to continue to deliver training of their own accord, in some cases to address loss of capacity developed due to staff turnover, there is no long-term capacity development plan for CCA. In addition, although training material has been prepared and is provided to the project as deliverables, there does not appear to be a knowledge management system in place to sustain the capacity development. It is recommended that a long-term capacity development plan for climate change NAP should be developed for long-term sustainability of capacity development. In the short-term, a knowledge page could be established on the NAP portal and all training material developed by the project made available to practitioners at all levels. In the medium term, online training courses could be added to the portal and embedded in professional capacity development plans for CCA practitioners.

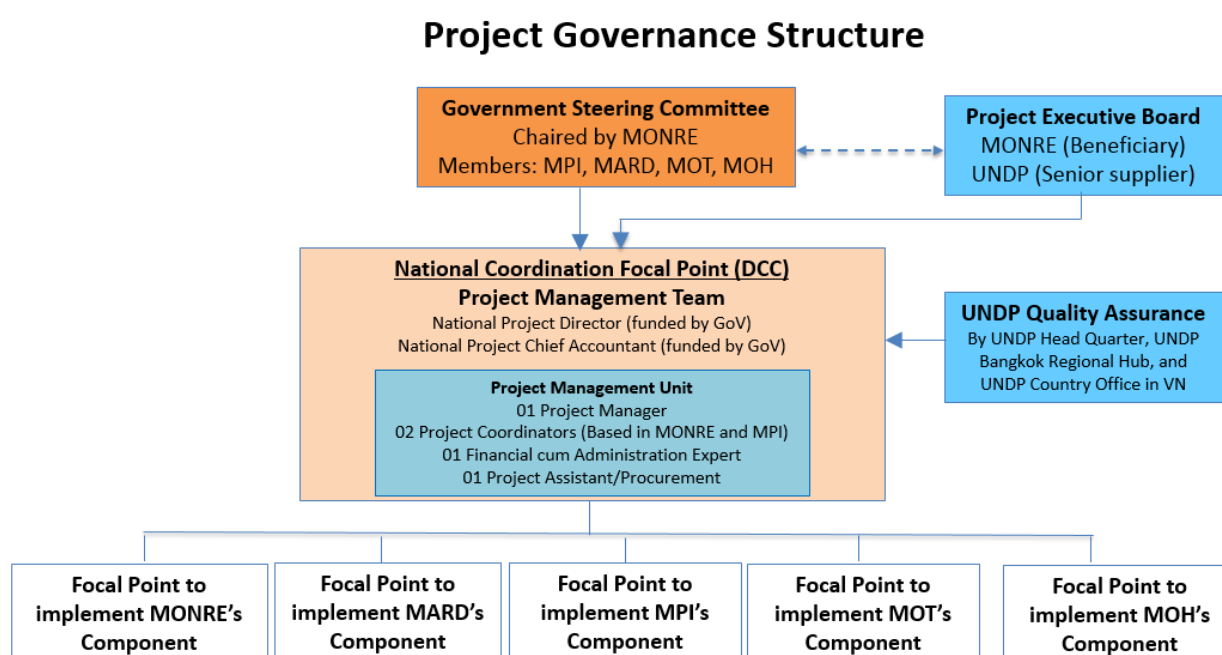
6.5.6 Overall rating for Effectiveness

5 - Satisfactory

6.6 Efficiency

Efficiency is the extent to which an intervention delivers, or is likely to deliver, results in an economic and timely way where 'economic' is defined as the conversion of inputs (funds, expertise, natural resources, time, etc.) into outputs, outcomes and impacts, in the most cost-effective way possible, as compared to feasible alternatives in the context. This criterion also includes operational efficiency.

The project's management structure and governance structure as outlined in the Project Document is as follows.



The Project Implementation Structure was designed to reflect the role of UNDP as GCF Delivery Partner, inter-ministerial nature of the National Adaptation Plan, and to facilitate effective delivery of high-quality outcomes. A Government Steering Committee chaired by the senior representatives of MONRE and made up of senior representatives from the MPI, MARD, MOT, and MOH was established. The Steering Committee set the strategic direction of the project based on government priorities and ensure effective coordination of efforts supported by development partners and by domestic actors for the NAP process within and across sectors.

The Project was designed to be implemented in UNDP's Direct Implementation Modality (DIM). DCC-MONRE was a responsible party to UNDP to carry out some tasks of the project instead of UNDP to ensure the Government ownership. The process for having DCC-MONRE as RP, however, was time consuming from the GCF perspective to ensure the GCF funds could be transferred to DCC-MONRE for implementation. This has caused project uncertainty and impact on the progress of the project until Sep/Oct 2021 when UNDP could start to sign the LOA with DCC-MONRE as RP to implement the project with UNDP.

Based on PD MONRE had the role of leading coordination and providing the overall guidance of the implementation of the Outcome 1 and Outcome 3 in close collaboration with MPI, MARD, MOT and MOH. As collaborating ministries, MARD, MOT and MOH worked closely with UNDP in carrying out activities in their respective sectors.

A **Project Executive Board** comprised of UNDP and MONRE was established to provide guidance and oversight, required for successful and timely implementation of the project to meet its objectives and results, including recommendations and approval of project plans, budget and revisions, as well as periodic

monitoring and evaluation. Following the approved Project Proposal with GCF. The PEB is responsible for making, by consensus, management decisions when guidance is required by the National Project Director.

The project management structure as outlined in the Project Document has been efficient in obtaining results. The combined expertise of the Project team and advisors/consultants is satisfactory to deliver against the Project objectives and the Project had a monitoring and evaluation plan to observe results and track progress towards achieving objectives. Results as outlined in the Project's results framework were monitored, reported, and evaluated periodically during project implementation to ensure the Project effectively achieved these results. The Project had several M&E and reporting requirements to attend to, both those pertaining to UNDP and those mandatory through GCF- specific M&E and reporting requisites. UNDP requisite M&E and reporting is linked to corporate UNDP strategic objectives, therefore, as with all other projects in the CO, it reports on its contribution to those objectives. Regarding GCF, the Project provided an inception report, and reported via semi-annual reports and financial reporting.

Financial Planning and Management

The following is the budget at endorsement and during implementation up to the time of evaluation.

Table 6-3: Budget at endorsement compared to budget project evaluation

Sub-outcomes	Budget at endorsement (USD)	Disbursement (USD)		Total disbursement (as of 8 Oct 2022)		Budget remained (USD)
		2020+2021	2022	USD	%	
Outcome 1: Capacity for data in integration enhanced and National Adaptation Plan (NAP prepared and aligned with NDC review						
Sub-outcome 1.1	420,584	251,634	217,633	469,268	112	-48,684
Sub-outcome 1.2	506,039	15,446	256,972	272,418	54	233,621
Sub-total 1	926,623	267,080	474,605	741,685	80	184,938
Outcome 2: National adaptation plan and Climate change Adaptation (CCA) integrated into national, subnational and se tor development plans and budget of private sector participation						
Sub-outcome 2.1	293,779	60,044	188,089	248,133	84	45,646
Sub-outcome 2.2	163,939	18,215	36,808	55,023	34	108,916
Subtotal 2	457,718	78,258	224,898	303,156	66	154,562
Outcome 3: Participatory and results-based monitoring and evaluation mechanism operationalized						
Sub-outcome 3	279,338	90,500	165,799	256,299	92	23,039
Sub-total 3	279,338	90,500	165,799	256,299	92	23,039
Project management costs (PMC)						
PMC	123,450	1,689	38,758	40,447	33	83,003
Sub-total PMC	123,450	1,689	38,758	40,447	33	83,003
Other		-283	7,452			(7,169)
Total	1,787,129	437,245	911,512	1,348,757	75	438,372

Project resources (of several types, not only financial) have been allocated strategically to produce results in an economic manner although not always as planned, due to changes in schedule of activities and budget because of issues such as financial flows and COVID-19.

At the time of this evaluation (i.e. one month before the planned closure of the project), the actual total disbursements for specific outputs range from 34% to 112%. Under Outcome 1, Output 1.1 is at 112 % while Output 1.2 is 54%. Under Outcome 2 Output 2.1 is 84% while Output 2.2 is 34%. Under Outcome 3 it is at 92. Overall, the project as spent 75% of the planned budget. The following should be noted:

- The project already has the plan to use the remained budget.
- The budget remaining serves for payment of ongoing contracts. The project will be operationally closed on 15 Nov 2022 and financially closed on 15 Feb 2023.
- GCF regulation requires that budgets of the project activities (Act 1, 2, 3 và PM) do not exceed 20% of the total planned budget (PRODOC) for each of the activities, i.e. if exceeded, the project should have justification submitted to GCF.

According to the PMU all expected overall targets are on track to being achieved, fulfilling expectations regarding financial performance. On that basis the project is assessed as likely to meet financial performance and efficiency targets.

Audit Reports

Two audit reports were provided as follows: UNDP – DCC – 2021 AUP Report – ENG and UNDP – DCC – 2021 ML – ENG. These are audits carried out on DCC-MONRE for the LoA between UNDP and DCC-MONRE.

Under report UNDP – DCC – 2021 AUP Report – ENG, and audit was conducted for the period 1st October 2021 to December 2021 in accordance with the international standard on related services (ISRS) 4400 applicable to agreed-upon procedures engagements (ISRS 4400). The audit assessed the following:

- a) Payment Management
- b) Budget estimation and revision
- c) Financial reporting and management in line with UN/UNDP CO's requirements
- d) Adequacy of accounting operations and reports systems
- e) Maintenance and security of accounting records
- f) Procurement/contracting of supplies and services
- g) Asset Management

The audit found no significant issues on documentation describing the Responsible Party's financial management internal controls.

Under report UNDP - DCC - 2021 ML – ENG (dated July 2022) an audit of specific issues was carried out and includes recommendations and remedial actions and management response. The audit categorized the risk severity of each issue raised as follows:

- 1) VAT – Medium
- 2) Consultancy expense management – Medium
- 3) Accounting software – Medium
- 4) Posting bidding information – Medium
- 5) Double recording expense – Medium
- 6) Project Progress report – Low
- 7) Bank reconciliation – Low
- 8) Stamp 'Paid' - Low

6.6.1 Overall rating for efficiency

5 - Satisfactory

6.7 Sustainability

The project was designed to ensure that key government departments are project partners which ensures that political factors are embedded in the exit strategy.

Enhancement of the enabling environment

The project supported the strengthening of the **policy framework** through development and adoption of Decision 148 which requires M&E and CCA reporting to be done annually. In addition, Circular 1 has been adopted and provides guidelines for the legal requirement for the sectors, provinces, and entities to prepare CCA plans for their sectors, and therefore ensures sustainability. Partners have expressed commitment to fulfil their obligations under D148 and Circular 1 and to allocate budgets for CCA activities. Furthermore the budget tagging enhancements implemented by the project will be able to monitor CCA budgeting and financing in the future.

In addition, the **capacity building** that has been done (and will be done) at national and provincial levels will ensure that, on exit, the capacity will be in place for future implementation of the NAP. The chances of sustainability of this project have therefore been enhanced through the engagement of the appropriate government departments and focal points in the development of datasets and data management systems. All the results of the project will directly support and systematically strengthen the planning process and trigger larger scale of financing for adaptation actions of key sectoral ministries in Viet Nam. It should be noted, however, that while requisite capacities have been built, there is a need for more capacity building to be undertaken. To ensure sustainability, capacity development should be based on detailed institutional capacity assessment and a long-term Capacity Development plan.

Systems developed by the project such as the NAP Portal, V&A and M&E indicators/system and tools will also ensure some sustainability of project capacity built but relies on the extent to which the system will be further developed and maintained to ensure availability of data and access to data required for CCA.

The project has contributed to **financial sustainability** by assessing the financing landscape for CCA from both public and private sector perspectives and has enhanced budget tagging capabilities to identify CCA project investments in the future. Furthermore the project has identified priority projects which will be funded in the future. Knowledge of priority projects should help to identify and target appropriate sources of funding for their implementation. The future implementation of these priority projects will have impact at the local level. It is noted that the barriers to private sector investment are significant for all sectors and will need to be addressed to ensure long-term CCA financing and therefore financial sustainability. The project has not embedded financing strategies but has enabled budget tagging and M&E of CCA expenditure within partner institutions. Partner institutions have examined the barriers to private sector financing in their sectors and have been capacitated to prioritize public sector CCA projects based on R&V and loss and damage assessments. The capacity that has been enhanced in R&V and the prioritization of CCA project for public sector is transferrable to private sector. The project has made a key first step to addressing long-term climate change adaptation financing by assessing the barriers to private sector involvement in CCA. Once these barriers are addressed (in later stages) there will be the potential to leverage public and private finances to address the key gaps of adaptation in a sustainable manner. Particularly, establishing an indicative public-private investment framework for advancing NAP progress in Viet Nam will be supportive in this regard.

The Project has used the existing systems of project partners, such as government databases and the climate risk platform, which were already online (e.g. MARD M&E) and have built upon them. This will ensure government ownership of the results.

By establishing a comprehensive risk-informed NAP with progressive participation and ownership of line ministries, provinces and stakeholders, a transparent M&E system, and a robust implementation guideline to all the actors, the project will be able to mobilize multi-stakeholder resources towards more effective adaptation priorities in the long-term.

To enhance further embedding of long-term capacity and contribute to long-term sustainability, the project should ensure that a long-term capacity development plan is developed to help guide government on what will be needed in terms of expertise and capacities for future NAP implementation. The institutional arrangement and resource availability for the long-term implementation of NAP and CCA projects should be examined as part of the Capacity Assessment and long-term planning.

All the resources, including training outcomes, guidelines, and datasets from the project should be systematically documented and maintained in the web-based platforms for NAP, which will likely be linked with the future NDC Implementation Platform in Viet Nam.

Stakeholder ownership needs to be strengthened and evidence-based advocacy used to promote the benefits of the project approach to further ensure sustainability. Key project tools and deliverables e.g. NAP portal, CCA mainstreaming guidelines, training manuals and tools etc. should be reviewed and strengthened where necessary, and consensus gained to ensure use in the future.

A key aspect of sustainability is maintenance of systems and capacity developed by the project. The project training products, knowledge products, and data updates need to be maintained by all stakeholders. Consultation with stakeholders on how they will ensure sustainability of the project results found the following:

MARD - Sustainability of the CCA related activities

- MARD has integrated V&A and M&E indicators into the ministry data system and maintains the system based on the sets of indicators. The system will continue to be operated by MARD. However, there are difficulties in collection of new data. MARD has worked with international agencies to support data collection for the indicators. MARD's agencies have rights to access to the system.
- The set of indicators have been integrated into sustainable development indicator of the sector for 10-year implementation period. Some of the indicators could be used to advise managers to orient agricultural development in the province toward CCA, suitable with the climate conditions.

MOT - Sustainability after the project is ended:

- Under the LEP 2020, every year MOT have the responsibility to report to MONRE about climate change R&V so the R&V guidelines and tools (which were developed under this project) will be used annually.
- Annually MOT must submit M&E report to MONRE and the sub-agency of MOT must report to MOT. The data are updated annually and therefore the system is continuously operated.

MONRE

- Activities designed in the project are viewed as very necessary. MONRE plans to allocate budget for continuing the project activities (after the project ends), especially the M&E online system. Via the M&E system, the sectors and ministries have to upload their M&E report of CCA on the webpage. The NAP portal of the ministries will be connected to MONRE database system.
- NAP technical report has to be reviewed every 2-years and the present NAP is being finalized. The Government will continue implementing the plan. Based on NAP's contents, the Government will prepare a list of priority projects, demonstrate implementation of some priority projects to get lessons learnt for scaling up and replicating.
 - Circular 01/2022/BTNMT has been adopted. This is the legal requirement for the sectors, provinces, and entities to prepare CCA plans for their sectors, so ensures sustainability and
 - The adoption of decision 148 means that M&E and reporting of the CCA implementation are obligatory for the sectors, provinces, which has high sustainability value.

6.7.1 Overall rating for Sustainability

4 - Likely

6.8 Impact

Because of the project, climate change consideration can be systematically included in the prioritization, design and implementation of projects in key sectors.

- Capacity built for CCA has been built at national and provincial levels (more is needed), systems developed and in place and the regulatory framework strengthened;
- sectoral CCA plans have been developed.
- The project's direct impact on communities will be limited until CCA approaches are fully embedded at the provincial and commune levels. It is also note that climate change scenario data, on which risk and vulnerability is based is not at the sub-national levels. This will limit the potential to effect significant impact at community level. It should be an urgent priority of the NAP process to strengthen the availability of data of appropriate scales and level of detail.

The project has developed the revised NAP which is a key document to enhance the coherence of adaptation and development planning within Viet Nam, and will ensure systematized, harmonised and coordinated CCA efforts in Viet Nam. The NAP will ensure country-owned, and country-driven action on climate change adaptation. Because of the revised NAP, the NAP process in Viet Nam will harness and build upon national-level capacity, with support from relevant partners, including the private sector. The NAP has been designed so that Viet Nam can monitor and review the NAP on a regular basis and update it (every 2 years) in an iterative manner. The establishment of the systems that support the NAP such as the NAP Portal will ensure that better quality climate data and projections, as well as other information useful for the planning process, will increasingly become available, and the impacts of climate change in the medium and long-term will be better understood. Hence the NAP-Sup project has provided a robust framework for the NAP process in Viet Nam.

A key potential impact of the NAP-Sup project lies in the nationally-identified adaptation priorities, including those identified by the sectoral plans and strategies. The implementation of these priority project has the potential to have significant positive benefits to communities in Viet Nam.

Barriers - Barriers and risks that may prevent further progress towards long term impact:

Barriers to further progress include:

- Political - changes in political situation including high turnover rate of decision makers could shift commitment to continuing NAP process in the future;
- Institutional capacity - lack of a comprehensive capacity development plan for all institutions who will be involved in furthering the NAP process in Viet Nam, and lack of sufficient capacity development could negatively impact further progress;
- Financial – lack of a long-term financing strategy for implementation of the NAP

6.8.1 Overall rating for Impact

4 – Moderately Satisfactory

6.9 Gender Equality

Gender mainstreaming

Gender has been fully considered throughout the project design. Under the project a comprehensive gender mainstreaming guidelines report was prepared which provides guidelines to mainstream gender into sectoral risk assessment and CCA planning. The international and national gender experts also prepared a small brief on gender for each of the 5 sectors: 5 pages brief, each page for a LM.

They developed a questionnaire to do the gender survey, which was done on all technical experts of the projects. Questionnaires have been delivered to participants of DONRE at workshops to fill in information on gender related issues and their willingness to implement gender mainstreaming, and the results used for background reports.

Interviews were conducted in 5 ministries on gender related issues and interviews were conducted before each meeting, about the gender status in each sector and how to mainstream gender, gender differences in terms of adaptation. The gender report includes several recommendations.

The gender experts revised and enhanced M&E indicators to make them more gender responsive.

The gender team also provided technical inputs to NAP: A Gender working group (comprising GIZ, UN women, MONRE, MOLISA, Viet Nam Women Union) was established to provide input for not only the NAP project but other projects as well. The Gender working group was originally set up by UN-women, with involvement of NGOs, GIZ to support the GOV on gender related issues, with participation of government, and women union. It is not easy to push government to work on gender. All gender reports have been shared during NAP process.

Hence the project has provided comprehensive expertise and developed guidelines for mainstreaming gender into CCA adaptation planning and significant effort has been made to ensure gender mainstreaming within each sector. A key achievement of the project is the inclusion of a chapter on Gender in the Technical NAP, which was not previously included, as well as inclusion of gender in some V&A and M&E indicators.

In addition to gender, the project includes socio-economic factors in the assessment of vulnerability to climate change and identified different vulnerable groups to ensure that socio-economic vulnerability was mainstreamed into CCA planning and identification of priority measures/projects which reflects a consideration of human rights. The V&A and M&E indicators include socio-economic factors which will ensure mainstreaming of human rights considerations into CCA planning.

Despite the significant efforts on gender mainstreaming, the project has had limited impact on gender equality due to limitations in how gender mainstreaming has been included in the sectors which has been different for different sectors due to differential baseline understanding and capacities for gender mainstreaming. Given the nature of the project which was mainly focused on development of the guidelines and mainstreaming in sectoral documents and plans, it is likely that the actual impact on gender equality will only be realized in the future once the gender mainstreaming guidelines have been fully embedded into the NAP process in all sectors and the key recommendations implemented. However, this does not take diminish the significant steps forward that the project has made in mainstreaming gender into the NAP process.

The following feedback on gender mainstreaming from project partners was received during consultation.

Feedback on gender mainstreaming

The evaluation examined the extent to which project partners and stakeholders understood and adopted the gender mainstreaming principles produced by the project. The following is a summary of responses:

MOH:

- Gender has been included in risk assessments (in the set of indicators) of health sector but not yet applied in practice.
- According to MOH consultants, gender should include also vulnerable group of people, not only women or children; Gender has been noted in the MOH reports and was discussed. However, gender aspect as is not feasible according to district DOHs.

MARD:

- Gender has been mentioned in the set of indicators, but it will be difficult to implement. In the public investment, gender is not mentioned but it's often considered under the ODA projects.
- The reports under the project have mentioned not much about gender.
- According to gender expert, gender should be integrated in the CCA in a long-term. Different sectors have different impacts on gender, due to CC. However, gender is not clearly expressed.

MPI:

- Gender has been included in the Handbook. It is grouped under the vulnerable group (women, children, old people, the poor, ethnic minority, etc.) and is considered as a sub-criterion.
- Gender aspect was not included in the barrier report of private sector (not required under the TOR).
- Gender aspect was included in the criteria for selection of the priority projects.

MOT

- Having been guided by UNDP expert, the reports have mentioned gender as commented by the UNDP expert. The MOT consultants found that gender (number of women participated in specific activities) integrated in the project level is easier rather than included in the synthesis report.

MONRE

- Gender has been considered during the project implementation. Gender has been integrated into NAP technical report. There are gender guidelines for trainings to provinces and sectors to mainstream gender into their plans, activities.

UNDP national Gender expert for NAP report: The project has conducted a number of gender activities, e.g. data collection in Viet Nam and overseas to review. In addition, gender related information is collected in VN from statistical book. So far organizations and entities do not pay enough attention to gender, nor do they integrate gender into reports, plans. The consultants undertook a survey of 5-line ministries involving in the project and project consultants, staff to assess level of gender awareness and gender mainstreaming and working with provincial on CC and gender integration. The survey found that awareness of the decision makers and staffs are different. MARD has a good understanding of gender, while MPI and MOT do not recognize links/relationships between gender and CC. According to these ministries, the project has brought social security to people, so it is not necessary to pay (separate) attention on gender issue. In addition, gender is not well considered in policies and therefore the ministries do not have intention to integrate gender into their plans. During the survey, it was shown that gender has been considered only due to projects' requirements. It can be said that gender awareness is still low and gender consideration is just a formality. It was found that information on gender and CC relationship is very limited and therefore it is not easy to improve people's understanding of the issue.

Gender has been integrated into NAP but not all recommendations have been considered. Often recommendations that are seen as difficult to implement are not considered to be included in the NAP report.

6.9.1 Overall rating for Gender Equality

4 – Moderately Satisfactory

7 Conclusions

The Project has helped to strengthen the enabling conditions and tools to better integrate climate change planning into the country's national development planning. To this end, the project facilitated the adoption of key national CCA policies - Circular 01/2022/TT-BTNMT dated January 7, 2022, detailing implementation of the Law on Environmental Protection about responding to climate change and The Prime Minister Decision No.148/QĐ-TTg (28 January 2022) on the promulgation of the Monitoring and Evaluation System of climate Change Adaptation at National Level. There has been strong inclusion of key government institutions at the national level as partners and some engagement of sub-national beneficiaries although there is a need to greater engagement and capacity building at the sub-national levels.

The project has built capacity for CCA policy formulation through training provided to practitioners at state and provincial levels to undertake R&V assessments for use in risk-informed planning and policy formulation in the future, and through dialogues/consultation workshops delivered to government agencies at national and provincial level to discuss the barriers to private investment in the CCA and tools for selection of the priority projects showing the need of future policies to encourage involvement of the private sector. The project has contributed to financial sustainability by assessing the financing landscape for CCA from both public and private and has enhanced budget tagging capabilities to identify CCA public sector investment projects in the future. Furthermore the project has identified priority projects which will be funded in the future. The future implementation of these priority projects will have impact at the local level. It is noted that the barriers to private sector investment are significant for all sectors and will need to be addressed to ensure long-term CCA financing and therefore financial sustainability. The project has not embedded financing strategies but has enabled budget tagging and M&E of CCA expenditure within partner sector institutions. Hence, the project has made a key first step to addressing long-term climate change adaptation financing through its intervention. Once barriers are addressed (in later stages) this has the potential to leverage both public and private financing to address the key gaps of adaptation in a sustainable manner. Particularly, establishing an indicative public-private investment framework for advancing NAP progress in Viet Nam will be supportive in this regard.

Importantly the project has developed tools to enable climate change adaptation planning and the monitoring and evaluation of implementation of the NAP across all sectors. The project has developed vulnerability and adaptability (V&A) indicators and the M&E indicators/system responding to CCA and has undertaken R&V assessments for some sectors and sub-sectors which has enabled sectoral CCA planning. The provided trainings are however at initial stage and considered as introduction training. There is a need for deeper training and capacity building at national and provincial government levels in order to fulfil requirement of Circular 01 and decision No.148. The NAP project has been effective in helping to improve climate change adaptation planning across four priority sectors. A key achievement of the project is the Technical NAP report which covers all key sectors and has been used to update existing sectoral action plans to align with the NAP. The NAP technical report is still under review and should be approved soon.

The Project had a positive developmental outlook, understanding that adaptation to climate change across key sectors is key development socio-economic development. Although the intervention included comprehensive gender mainstreaming efforts, given the nature of the project which was mainly focused on development of the guidelines and mainstreaming in sectoral documents and plans, it is likely that the actual impact on gender equality will only be realized in the future once the gender mainstreaming guidelines have been fully embedded into the NAP process in all sectors and the key recommendations implemented.

The project has successfully addressed the specific barriers which included access to climate information for risk and vulnerability assessment to enable policy and planning, capacity for CCA policy formulation and CCA planning, CCA financing and priority of CCA investment, M&E of CCA. The majority of project deliverables successfully addressed project barriers although there are remaining gaps such as access to relevant climate information for comprehensive risk and vulnerability assessment and capacities at provincial level to ensure collection of data for V&A and M&E indicators which will be important for future CCA planning.

Despite significant setbacks faced by the project team, which included a 1 year delay due to negotiation with GCF on implementation responsibilities, delays due to covid, delay in availability of project partners to undertake implementation (MOH due to COVID response), restrictions of movement which limited data collection, the project outcomes have been achieved to a good quality and all have a high chance of engendering impacts, positive effects, and having catalytic influence (at the local, sub national, national and global scale). The project has strong ownership because of government partners' participation and therefore significant sustainability potential. Because of the project, Viet Nam is now well placed to undertake Climate Change adaptation planning in the future.

8 Recommendations

Rec #	Recommendation	Entity Responsible	Timeframe
A	Recommendations to be implemented by end of project		
A1	Agree on urgent steps to be taken to address issues with the NAP portal. UNDP and MONRE to reach an agreement on the following: necessary steps to improve the NAP portal including a list of required functions, data access rights per organization - clarify user requirements for level of access to the existing NAP portal; the availability of the required data such as hazard maps (for all climate drive hazards of for Viet Nam floods, landslide, drought, coastal inundation etc., cyclones, strong winds etc.) and CC scenario data; timeframe for implementing the urgent actions and finalizing the NAP portal.	MONRE, UNDP	By end of project
A2	A data sharing mechanism should be agreed between the LMs and implemented to ensure two-way information is provided to improve data on the NAP portal. Access availability of any existing hazard maps from responsible agencies/departments and make available on NAP portal in the short term. All relevant data holders (including those that were not partners to the project) with essential data for CCA planning should be included to ensure data availability.	All LMs	Short-term and ongoing after end of project/Phase II
A3	MONRE to provide further training on use of the finalised portal to the LMs and the provincial departments to ensure no problem associated with access to the required data, download or upload the documents, or online M&E reporting, etc.	MONRE	After finalisation of NAP Portal
A4	Develop a knowledge management and training portal as part of the NAP portal where training materials and courses (such as e-learning courses) can be accessed by practitioners from any sector and any level. If possible, link to continuous professional development.	MONRE	By end of project
A5	It is recommended that MONRE provide tutoring and guidance to the provinces at initial stage of implementation of M&E reporting process to ensure correct data collection and reporting;	MONRE	By end of project
B	Recommendations to be implemented in Phase II Design and Implementation		
B1	Undertake a detailed institutional capacity analysis to identify roles, responsibilities and capacities for all CCA functions. Identify gaps and specific needs for establishment/improvement of institutional capacity to CCA functions in each sector and prepare an Institutional and Capacity Development Plan (short-, medium and long-term) for CCA. The Capacity Development Plan should be institutionalized for the long-term and continuous implementation and updating. All LMs of CCA priority sectors should be assessed and trained	All LMs of CCA priority Sectors	Phase II
B2	Assess existing hazard maps, identify gaps and develop a long-term strategy and plan for developing definitive individual and multi-hazard maps for Viet Nam for all important climate induced hazards. Based on gap analysis and plan, consider including an activity for development/update of hazard mapping in Phase II implementation.	All LM's	Design of Phase II
B3	Revise/undertake a user requirements exercise to fully characterize the needs of all expected users of the NAP Portal in terms of type and level of detail (e.g. spatial and temporal resolution) data required on specific hazards; Develop a long-term strategy and plan for future development, operation and maintenance of the NAP portal. Develop an O&M plan and	MONRE	Design of Phase II

	financing mechanism/budget to ensure long term maintenance and operation of the NAP portal.		
B4	Develop the long-term strategy for CCA Financing, including private sector engagement in CCA, building on barriers to private sector study of Phase I	All LMs of CCA priority Sectors	Phase II
B5	It is recommended to review the L&D methodology against the UNFCCC guidelines and propose action plan based on Government and UNFCCC requirements .	All LMs of CCA priority Sectors	Design of Phase II
B6	Develop and implement a programme of targeted awareness raising for all aspects of CCA including for private sector investment in CCA.	All LMs of CCA priority Sectors	Design of Phase II and Phase II
B7	Establish a CCA NAP platform, processes, roles and responsibilities for long-term cross-sectoral vertical and horizontal CCA coordination of future implementation of the NAP at all levels in Viet Nam.	All LMs of CCA priority Sectors	Phase II
B8	Strengthen the governance mechanisms and institutional arrangements to mainstream gender equality into climate change adaptation	MONRE and MOLISA	Phase II
B9	Create a Technical Working Group on Gender and Climate Change (co-hosted by MONRE and MOLISA)	MONRE and MOLISA	Phase II
B10	Budget allocation for CCA NAP within the sectors	All LMs of CCA priority Sectors	Phase II

9 Lessons learnt

9.1.1 Challenges/Barriers and Lessons Learned in Implementation:

Project implementation - General

- Project processes requiring interaction with GCF took a lot of time. It took a long time for MONRE to get GCF approval for DCC-MONRE to be a Responsible Party (more than a year). During that time, the Ministry implemented the project activities, without budget allocated from the GCF.
- The project was implemented in the context of COVID-19 pandemic outbreak in Viet Nam, at the initial stage. The project Management Board made all efforts to implement project activities as far as possible, via online. Implementation of the project activities after release from the Covid-19 pandemic lockdown was intensive to make up for delays during the pandemic.
- The project had to work online during the Covid -19 pandemic time. The cooperation of the line Ministries was limited and easily interrupted.

Project implementation - Coordination

Cooperation of the line ministries (LMs) under the project was very good in general. Ministries shared information and experience. MARD provided very good support to DCC in setting up the database system (NAP Portal). UNDP provided support and guidance to the project implementation aligned with the UNDP guidelines. However there were some challenges to coordination which included:

- Politically: Leaders of some LMs were changed and/or ministries and departments restructured during the project implementation.
- The number of partners in this project (05 ministries) affected the project's implementation and posed coordination challenges
- CCA knowledge is different among party ministries: MONRE and MARD have significant understanding of CCA, but MOT and especially MOH limited knowledge in the CCA.
- Delay in one activity affected other activities.
- Management: management of large numbers of consultants. Across 5 ministries was challenging. Over 50 experts were engaged in the project implementation. The experts were working at the same time at some points during the project implementation, especially after release from COVID -19 pandemic restrictions. Coordination of their activities, and coordination of discussions between experts working in the same/similar area of various ministries, Management of the expert implementation progress, and quality of their deliverables are all challenges the project has had to deal with, within short time with efforts to achieve the project objective.
- COVID-19 pandemic - There was a need to change consultation methods from offline to online meetings which required planning and budget revisions. Workshops and consultations took 2 months to organize (gathering large numbers of disparate stakeholders) and implementation of the activities concentrated in a short time after release from restrictions. WSs took place before lunar new year.
- In Q1/2022 hybrid workshops were conducted. Online /remote WS, meetings posed challenges.
- Quality of reports is influenced by time but more on expert knowledge. More time for the implementation of the project activities would have resulted in better quality of deliverables.
- Project budget: according to GCF the project can revise budget 2 times per year. Due to open window, the project does not prepare annual work plans, because of DIM project. LMs asked for change/revise budget, and there was always a need for PMU to get approval or internal system to get budget revision. This took time. Due to covid pandemic, the budget for workshops had to be reduced so PMU had to submit plan for budget revision.
- UNDP tried to allocate budget per outcomes but needed to move money between outcomes to reallocate saving, but also to provide more budget for some activities such as M&E, and handbook for M&E, and for consultants. It took more time for the accountant to revise the budget.
- *Challenges of MOH:* the project was implemented during the critical time of covid pandemic in Viet Nam, during the time MOH was focusing all its efforts on dealing with the pandemic. It was

very difficult for the ministry to follow the project schedules. However, the MoH has complete implementation of the project activities. If more time available, of course the results would be better.

- Each ministry has its own functions and duties which lead to slightly different (time schedule) in achievement of the project targets.
- Survey of private sector's barrier (using questionnaires) shows that: it is difficult to get feedback from private sectors after sending the questionnaire. Fewer enterprises (compared to invited) took part in the training and those private sectors when involved in the project training did not have much discussion.

Project implementation - Technical

- CCA is a cross cutting topic and the project was a learning process. The project design was very ambitious and was affected by the 1 year delay in the official start of implementation and disruption and delays due to COVID. However, it was not extended (only use 3 months grace) so in the remaining time, it was not easy to coordinate with 5 LMs, the production of technical reports, or to manage and integrate activities.
- *MONRE* - challenges in data collection in Viet Nam due to the fact that the methods are new. Risk assessment requires a lot of indicators (e.g., threads, exposure, adaptation,) which are not easy to collect under Viet Nam context. Challenges in collection of data required for running loss and damage model are not sufficiently reliable and agreement among the line ministries are not yet achieved.
- *MARD* - MARD has a large number of sub-sectors; the sub-sectors are different. The process of conducting training and data collection is difficult, e.g. the focal point of Da Nang faced many difficulties in guiding data collection to measure the indicators. The consultant group proposed to integrate CC into production process, as it would be easier to collect data and feedback. Several indicators are very difficult to collect data via official system (i.e., planning divisions of DARD), because staff are regularly rotated, and the newcomers have to be trained each time. Policy to inherit requirement of the set of indicators will be needed according to the consultants.
- *MPI* - MPI did not inform the consultants in advance about assessment approach (evaluation based on rating and the evaluation template for selection of priority project). This led to revision of the report following MPI approach (i.e. more time consumed for the task implementation);
- Health Sector –
 - When testing the application of V&A indicators in 2 provinces (Thai Binh and Kien Giang Province), it was noticed that awareness of people working in health sector on Climate change (CC) is limited. Many think that health sector has no relation with the CC and many experts are confused between disasters and climate change.
 - Due to Covid-19 pandemic, site survey was not done for most of the activities and therefore baseline/situation of the local/provinces were not much reflected in the consultants' report and testing of the results (indicators) obtained by the project is constrained. Budget for data collection was also limited and therefore the M&E indicators are shortened based on the guidance provided in decision 148, which are not specific for health sector.
 - Due to limited ability to collect the data, there was a tendency/necessity to collect simple data used for short time rather to collect detailed data.
 - Although MOH has a data center, in practice the system does not work well. Available data at the health sector are scattered and sharing information is very limited. Collection of the data is very challenging.
- MOT Challenges –
 - The CC scenarios and landslide maps are very important to identify CC hazard particularly in the transport sector. These maps were not available which limited the risk and vulnerability assessment of the transportation sector.
 - Data associated with inland and marine waterways are limited. Therefore the V&A assessment does not have much value (not practice). No CC related studies have been done for marine water way. In addition, the detailed CC scenarios are also not available.
- *MONRE* -
 - Collection of data and set up of the database system are challenging. Trainings are

needed to support implementation of the tasks in the coming time.

- At local level, updating or uploading data is a big challenge due to limited knowledge and understanding. It is difficult to identify the required data to be uploaded. The practice shows that when collecting data, there are still confusion about which data/information is to be uploaded, although the data collection criteria have been introduced prior to data collection. For more effective implementation, it is recommended that MONRE appoints experts to provide tutoring and guidance to the provinces via zoom or other tools at the initial stage to ensure that only required data are uploaded.
- According to governmental structure, staff often rotate the working positions. A person who has just received a training may move to another departments or may be appointed to be responsible for another job and the newcomer has to be trained again on the subject which takes time. It is recommended that the project provides more trainings to provinces.

Summary

- Leading roles and responsibility and dedication of the leaders in the project implementation is very important for the project success. The project activities run well at the ministries that have good coordination and directions. MOT, for instance, the project focal point is very enthusiastic and active, the project activities were very smoothly implemented, while for MOH, the project leader was busy during the covid-19 pandemic (did not have time for the project), hence implementation of the project activities of this ministry was very slowly progressed.
- Inter-coordination of the participating ministries and UNDP was well implemented, the project results will be good.
- Flexibility is necessary during project implementation to avoid significant delays.

Annexes

ANNEX I – List of Documents provided for evaluation

ANNEX II – List of NAP-SUP documents provided

ANNEX III – Completed evaluation matrix

ANNEX IV – Summary of Training Conducted

Annex 1 – Schedule of interviews conducted

MONRE: Meetings No.3, 9.	MPI: Meetings No. 7	MOT: Meetings No. 8
MARD: Meeting No. 5	MOH: Meetings No.2, 6	UNDP and international organizations: Meeting No. 1, 4, 10, 11

No.	Date & time	Agency/Person to meet	Topics	Contacts	Note/Address/ zoom link	Note
1.	Monday 03 Oct 2022 (14:30 – 16:30)	UNDP Viet Nam & NAP-SUP project Management and Technical Teams	<ul style="list-style-type: none"> Overview of the project implementation (including gender mainstreaming and gender related issue), achievement of the project objectives and impacts; implementation schedule, work planning and quality assurance, challenges/risks and pending issues. Any changes in the project plan: project schedules, activities, deliverables, Implementation progress, budgeting during the project implementation? Adaptive management measures implemented UNDP expectation for the 2nd project phase. 	Hoang Kim Cuc	In person & Online	Confirmed Emailed
2.	Tuesday, 4th October 2022 (14:30 – 16:30)	Health Environment Management Agency, Ministry of Health (MOH) & Ministerial &	<ul style="list-style-type: none"> MOH roles in the project implementation. Project activities implemented/contributed by MOH, achievements, barriers and challenges from MOH points of views. What should the ministry prepare/implement to adapt/cope to CC related issues, and so far, does implementation of the NAP project help address these? If yes, how? 	Mr. Cuong, MOH focal point 0912151352	Building of Population and family Planning, Lane 8 Ton That Thuyet, My Dinh 2, Nam Tu Liem, HN In person & Online	Emailed Confirmed

No.	Date & time	Agency/Person to meet	Topics	Contacts	Note/Address/ zoom link	Note
		Provincial Beneficiaries	<ul style="list-style-type: none"> How is cooperation with UNDP and other project ministries in the Project implementation. Any challenges related to cooperation Lessons learnt from the project implementation How to continue with implementation of the NAP 			
3	Wednesday 5th October 2022 (9:00 – 10:30)	MONRE Consultants	<ul style="list-style-type: none"> Role and responsibility of the experts in the project and NAP drafting Group What were your specific inputs and how are your products used Involvement in Technical guidelines, M&E indicators, training materials development or in training activities Challenges in data collection, task implementation and cooperation Any comment and recommendations for the future NAP implementation 	Ms. Tran Thanh Nga, MONRE Focal point, 0969403888	Online	Emailed Confirmed by Nga
4.	Wednesday 5th October 2022 (10:30-12:00)	UNDP's Technical experts (Preparation of NAP technical report)	<ul style="list-style-type: none"> Role and responsibility of the UNDP experts in the project and NAP drafting Group What were your specific inputs and how are your products used; Involvement in Technical guidelines, training materials development or in training activities. Challenges in data collection, task implementation and cooperation Any comment and recommendations for the future NAP implementation. 	Hoang Kim Cuc	Online	Confirmed
5.	Wednesday 5th October 2022 (14:30 – 16:00)	Department of Planning, Ministry of Agriculture and Rural Development (MARD) &	<ul style="list-style-type: none"> MARD roles in the project Project activities implemented/contributed by MARD, achievements, barriers and challenges from MARD points of views Which areas are the most vulnerable to the CC related issues? Which interventions, according to 	Mr. Le Minh Bá, MARD focal Point, 0983389013	Online	Emailed Confirmed

No.	Date & time	Agency/Person to meet	Topics	Contacts	Note/Address/ zoom link	Note
		MARD Consultants & Ministerial Beneficiaries	<p>MARDs, could help to cope with the CC related issues and so far, does implementation of the NAP project help addressing in some aspects.</p> <ul style="list-style-type: none"> • How is cooperation with UNDP and other project ministries in the Project implementation. Any challenges related to cooperation • Lessons learnt from the project implementation • How to continue with implementation of the NAP. <p>MARD National consultants</p> <ul style="list-style-type: none"> • Role and responsibility of the experts in the project and NAP drafting Group • Expert specific inputs • Challenges in data collection, task implementation and cooperation? • Recommendations for the future NAP implementation <p>MARD beneficiaries</p> <ul style="list-style-type: none"> • Working area and CC related issue the entity is dealing with in the daily business. • How is the entity involved/contributing to the project implementation? in which form, benefits and recommendations. 			
6	Thursday 6th October (9:00 – 10:30)	MOH consultants	<ul style="list-style-type: none"> • Role and responsibility of the experts in the project and NAP drafting Group • What were your specific inputs and How are your products used • Involvement in Technical guidelines, M&E indicators, training materials development or in training activities • Challenges in data collection, task implementation and cooperation • Any comment and recommendations for the future NAP implementation 	Mr. Cường, MOH focal point, 0912151352	Online	Emailed 3/Oct

No.	Date & time	Agency/Person to meet	Topics	Contacts	Note/Address/ zoom link	Note
7	Thursday 6th October 2022 (14:30 – 17:00)	Department of Science, Education, Natural Resources and Environment (DSENRE) , Ministry of Planning and Investment (MPI) & MPI national Consultants & Ministerial & Provincial Beneficiaries	<ul style="list-style-type: none"> MPI roles in the project implementation. Project activities implemented /contributed by MPI, achievements, barriers and challenges from MPI points of views How many private enterprises or which types of private enterprises willing to join the project and to address CC related issues? What are the private sector benefits of participating the project? How is cooperation with UNDP and other project ministries in the Project implementation. Any challenges related to cooperation? Lessons learnt from the project implementation How to continue with implementation of the NAP <p>MPI National consultants</p> <ul style="list-style-type: none"> Role and responsibility of the experts in the project and NAP drafting Group Expert specific inputs Challenges in data collection, task implementation and cooperation? Recommendations for the future NAP implementation <p>MPI beneficiaries</p> <ul style="list-style-type: none"> Working area and CC related issue the entity is dealing with in the daily business How is the entity involved/contributing to the project implementation? in which form, benefits and recommendations. 	Mr. Truong Anh Sơn, MPI Focal Point, 0904352379	Online & In person Meeting room 427, DSENRE (MPI), 06B Hoang Dieu, Ba Dinh, Hanoi	Emailed
8	Friday 7th October 2022 (14:30 –	Department of Environment, Ministry of Transportation (MOT)	<ul style="list-style-type: none"> Discussion about MOT roles in the project implementation. Project activities implemented/contributed by MOT, achievement and challenges from MOT points of views 	Ms. Nguyen Thi Thu Hằng, MOT Focal Point, 0988473271	Online & In person	Emailed Confirmed

No.	Date & time	Agency/Person to meet	Topics	Contacts	Note/Address/ zoom link	Note
	15:30)	& MOT National Consultants & Ministerial Beneficiaries	<ul style="list-style-type: none"> Which type of transport, infrastructure mostly affected by the CC related issues? Which interventions, according to MOT, could help to cope with the CC related issues; and so far, does implementation of the NAP project help address these issues How is cooperation with UNDP and other project ministries in the Project implementation. Any challenges related to cooperation Lessons learnt from the project implementation How to continue with implementation of the NAP MOT National consultants <ul style="list-style-type: none"> Role and responsibility of the experts in the project and NAP drafting Group Expert specific inputs Challenges in data collection, task implementation and cooperation? Recommendations for the future NAP implementation MOT beneficiaries <ul style="list-style-type: none"> Working area and CC related issue the entity is dealing with in the daily business How is the entity involved/contributing to the project implementation? in which form, benefits and recommendations. 			
9.	Tuesday 11th October 2022 (14:30 – 16:00)	Department of Climate Change (DCC), Ministry of Natural Resources and Environment (MONRE) &	<ul style="list-style-type: none"> MONRE roles and responsibilities in the project. Project activities implemented by MONRE, achievement, barriers, and challenges from MONRE's point of views Coordination and cooperation in the project implementation Implementation Challenges Lessons learnt from the project implementation 	Ms. Trần Thanh Nga, MONRE focal Point, 0969403888	In person and online	Emailed Confirmed

No.	Date & time	Agency/Person to meet	Topics	Contacts	Note/Address/ zoom link	Note
		Ministerial Beneficiaries	<ul style="list-style-type: none"> • How to continue with implementation of the NAP MONRE beneficiaries • Working area and CC related issue the entity is dealing with in the daily business • How is the entity involved/contributing to the project implementation? in which form, benefits, and recommendations. 			
10	Wednesday 5th Oct. 2022 (14:30 – 15:30)	GIZ CC adaptation experts	<ul style="list-style-type: none"> • How CCA and NAP planning and implementation in Viet Nam • GIZ involvement in NAP technical report • GIZ support in CCA in VN • What are the challenges and focus should be paid attention in the coming time 	Hoang Kim Cuc	Online	Emailed confirmed
11	Tuesday, 18 Oct. (14:30 – 16:30)	UNDP team	<ul style="list-style-type: none"> • Debriefing the mission findings 	Hoang Kim Cuc	In person and online	Emailed confirmed

Annex 2 – List of NAP-SUP Documents provided

#	Item (electronic versions preferred if available)	Languages	Note/date issued
I	General Project Documents		
1	Final NAP Project Document with all annexes	E, VN	E= English VN= Vietnamese
2	Guidance Note – UNDP Social and Environmental Standards (SES)	E	July 2022
3	Inception Workshop Report	E	22 Jan 2021
4	All Project biannual interim progress Reports (IPRs)	E	2021, 2022
5	Master Plan-NAP	E	
6	Oversight mission reports	E	18 – 19 May 2022 (Da Nang) 29-30 June 2022 (HCM City) 22-23 July 2022 (Hoi An, Quang Nam) 18-20 Aug. 2022 (HCM city)
7	Minutes of Project Board Meetings and of other meetings (i.e. Project Appraisal Committee meetings)	E, VN	25 Jan 2021 02 Feb 2022 21 June 2022
8	Financial data, including actual expenditures by project outcome, including management costs, and including documentation of any significant budget revisions	E	1 Jan 2022 – 30 June 2022
9	Audit reports	E	2021, 2022
10	List of links about NAP-SUP project articles	E	
11	List of contracts and procurement items over ~US\$5,000 (i.e. organizations or companies contracted for project outputs, etc., except in cases of confidential information)	E	
12	UNDP Country Programme Document (CPD)	E	8 July 2016
13	List and contact details for project staff, key project stakeholders, including Project Board members, RTA, Project Team members, and other partners to be consulted	E	
II	Technical Documents		
18.1	Component I - CCA Database, R&V, Loss and Damage (Circular 01)		
18.1a	CCA Database and NAP Portal	E, VN	http://adaptation.dcc.gov.vn/
18.1b	MONRE - R&V reports - Loss and damage assessment report - Circular 01/2022/TT-BTNMT	E, VN	2021
18.1c	MOT V-R reports	E, VN	04 reports (road, aviation, railway, inland and maritime waterways)

18.1d	MOH V&A reports	E, VN	01 report
18.1e	1.1.1. Guideline for NAP Portal users	VN	7 July 2022
	1.1.2. Circular 01/2022/TT-BTNMT regulating on the implementation of LEP responding to climate change	E, VN	7 Jan 2022
	Overview of losses and damages assessment	VN, E	May 2021
	MONRE Report: study, analysing assessment of impacts, vulnerability, risks, losses, and damages caused by CC and propose guideline contents in Vietnam, gender mainstreaming...	VN, E	April 2021
	Minutes of workshop: “training on assessment of potential impacts of CC to natural resources and environment”	VN	15 Dec 2021
	Training materials and training workshop on V&A indicators, integration of CCA into planning, etc.	VN	Dec 2021
18.2	Component II - National adaptation plan and CCA integrated into national, subnational, and sectoral development plans and budget of priority sectors with private sector participation		
18.2a	Barriers to private sector in engage in CCA work	E, VN	June 2022
18.2b	Draft handbooks – Guidelines for classification of public investment for CCA	E, VN	July 2021
	Draft handbook for selection of priority projects for CC		July 2022
	2.1.1. Training /consultation materials and workshops on barriers to private sectors investing in CCA, assessment of prioritization of CCA projects in transport, guideline for classification of public investments for CC, determination of priority adaptation actions.	E, VN	5 April 2022
	2.1.2. Training materials and training workshops on current status of determining priority for CCA projects, criteria for determination of prioritized CCA projects, case studies, tools for determination of prioritized projects.	VN	August 2022
	LMs’ reports on public investment, coding and tagging methods, classification of public investments, baseline public investment, etc.	VN, E	2022
	2.1.3. Training workshops, dialogues on selection of prioritized projects, exercises, and case studies.	VN	2022
	MONRE’s Training materials and training workshops on various topics: classification, determination, selection of prioritized CCA projects; classification, coding budget allocated to CCA in public investment; barriers identification and recommendation for improving policies to attract private sector in CCA investment	VN	11 Aug 2022
	2.2.1. Guidelines for classification of public investment for CC	VN, E	2022
18.3	- Training materials and training workshops organized on barrier to private sector investment in adaptation, exercise, and case studies, mainstreaming CCA into plan, program (Health sector);	VN, E	2022
	Component III _ Participatory and results-based monitoring and evaluation mechanism operationalized		
	3.1.1 Decision No 148 promulgating M&E system of CCA	E, VN	Jan 2022
18.3a	Overall and sectoral Reports proposing a set of indicators for M&E of CCA (MONRE, MOT, MARD, MOH, MPI)	E, VN	2022
18.3b	Training material and training workshops conducted by the LMs (MONRE, MOT, MPI and MARD)	E, VN	2022

Annex 3 – Evaluation Matrix

Table A3- 1: Categories and Sub-categories to be scored and rating scales

Monitoring & Evaluation (M&E)	Rating ^[1]
M&E design at entry	
M&E Plan Implementation	
Overall Quality of M&E	
Implementation & Execution	Rating
Quality of UNDP Implementation/Oversight	
Quality of Implementing Partner Execution	
Overall quality of Implementation/Execution	
Assessment of Outcomes	Rating
Relevance	
Effectiveness	
Efficiency	
Impact	
Gender	
Overall Project Outcome Rating	
Sustainability	Rating
Financial resources	
Socio-political/economic	
Institutional framework and governance	

6	Highly Satisfactory (HS)
5	Satisfactory (S)
4	Moderately Satisfactory (MS)
3	Moderately Unsatisfactory (MU)
2	Unsatisfactory (U)
1	Highly Unsatisfactory (HU)
UA	Unable to Assess (U/A)

4	Likely (L)
3	Moderately Likely (ML)
2	Moderately Unlikely (MU)
1	Unlikely (U)
UA	Unable to Assess (U/A)

Table A3.3: Evaluation Matrix with ratings

Criteria	Evaluative Questions	Sub-questions	Data Sources	Data Collection methods/Tools	Findings	Rating	Overall question rating	Overall criteria rating
Relevance	How well has the project aligned with government and agency priorities?	Are the Project objectives relevant to the needs and priorities of the country, as stated in key strategic and policy documents?	PD (ToC, log frame); NDC; SEDP 2016-2020; Viet Nam Sustainable Development Strategy for the period of 2011 - 2020; NCCS	Desk review, KII	Project objectives are relevant to the needs and priorities stated in the NDC, SEDP, Implementation Plan for NAP,	6	5.5	5
		Are the project outcomes, and sub-outcomes aligned with the relevant strategic action plan outcomes	NDC, NCCP, Action Plan to Implement the Paris Agreement on Climate Change	Desk Review	Project outcomes and sub-outcomes are relevant to the needs and priorities stated in the NDC, SEDP, Implementation Plan for NAP,	5		
	To what extent has NAP's selected method of delivery been appropriate to the development context?	Are the selected priority sectors the most relevant sectors/partners for the project	Gov't partners (MONRE, MARD, MOT, MPI, MOH)	KII	Yes the project partners represent the priority sectors identified as the most vulnerable sectors in the TNC to UNFCCC which are agriculture (MARD), transportation (MOT), health (MOH), natural resources and environment (MONRE). In addition, MPI is the planning sector with responsibility for socio-economic development planning. The NAP is aiming to mainstream CCA considerations into development planning and investment frameworks	6	5.0	
		What has been the involvement of each project partner in the delivery of the project	Gov't partners (MONRE, MARD, MOT, MPI, MOH)	KII	Project partner involvement has been as stated in the PD and confirmed during KII. However the extent to which some partners engaged in the project varied due to nature of work, several reasons/challenges.	5		
		How well has UNDP DIM modality worked in delivering the project	Review of progress reports to understand how well delivery worked	Desk review and KII	The project eventually used a hybrid DIM/NIM modality with MONRE. This resulted in some challenges to project implementation related to coordination	4		
	Has NAP project been influential in influencing national policies on climate change adaptation?	How many national policies formulated, or revised as a result of the NAP	Gov't partners and policy makers (MONRE, MARD, MOT, MPI, MOH)	Desk review and KII	The project facilitated adoption of Circular 01/2022/TT-BTNMT dated January 7, 2022 detailing implementation of the Law on Environmental Protection about responding to climate change and The Prime Minister Decision No.148/QD-TTg (28 January 2022) on the promulgation of the Monitoring and Evaluation System of climate Change Adaptation at National Level. These are key national policies on CCA.	6	5.5	

		What capacity has been built to enable CCA policy formulation in the future	Gov't partners and policy makers (MONRE, MARD, MOT, MPI, MOH)	KII	The project has built capacity for CCA policy formulation through training provided to practitioners at state and provincial levels to undertake R&V assessments for use in risk-informed planning and policy formulation in the future; Dialogues/consultation workshops held to government agencies at national and provincial level to discuss the barriers to private investment in the CCA and tools for selection of the priority projects showing the need of future policies to encourage involvement of the private sector.	5		
	To what extent was the theory of change presented in the outcome model a relevant and appropriate vision on which to base the initiatives?	Are the project barriers/baseline and assumptions comprehensive and relevant	ToC	Desk Review	Project barriers/baseline and assumptions comprehensive and relevant. They align with barriers identified in key strategic documents	6	5.3	
		Are project activities mapped to specific barriers	ToC	Desk Review	Project activities were designed to address the specific barriers which include access to climate information for risk and vulnerability assessment to enable policy and planning, capacity for CCA policy formulation and CCA planning, CCA financing and priority of CCA investment, M&E of CCA	6		
		Do project deliverables successfully address the underlying barriers being addressed	Project deliverables	Desk Review	Majority of project deliverables successfully address project barriers. There are remaining gaps such as access to relevant climate information for comprehensive risk and vulnerability assessment and capacities at provincial level to ensure collection of data for V&A and M&E indicators which will be important for future CCA planning.	4		
	To what extent was the project in line with the UNDP Strategic Plan, CPD, UNDAF, United Nations Sustainable Development Cooperation Framework (UNSDCF), SDGs, and GCF strategic programming		PD, UNDP Strategic Plan, CPD, UNDAF, United Nations Sustainable Development Cooperation Framework (UNSDCF), SDGs, and GCF strategic programming	Desk review	The project is fully aligned with all UNDP global objectives including UNDP Strategic Plan, CPD, UNDAF, United Nations Sustainable Development Cooperation Framework (UNSDCF), SDGs, and GCF strategic programming	6	6.0	
Effectiveness	What evidence is there that the project has contributed towards an improvement in national government capacity, including institutional strengthening?	What capacity development was received by each institution (technical, people finances)	Gov't partners (MONRE, MARD, MOT, MPI, MOH at national and provincial level)	Desk review and KII	All planned trainings have been conducted. List of training complied (See Table X)	5	4	5
		What capacity develop approaches and relative effectiveness of each	Gov't partners (MONRE, MARD, MOT, MPI, MOH)	Desk review and Key informant interviews	A hybrid approach of ToT of ministries at national level and subsequent training of provinces by ministry. Provincial and district levels require additional training to be able to undertake new tasks such as data collection for V&A and M&E indicators updating.	4		

		What institutionalisation of capacity development has been included to ensure sustainability. For example, are training materials embedded in relevant national training institutions; What knowledge management tools have been produced by the project	Gov't partners (MONRE, MARD, MOT, MPI, MOH)	Desk review and KII	Training materials have been provided as project deliverables but there is insufficient knowledge management and opportunities for continued learning in place. It is recommended that a long-term capacity development plan for CC NAP should be developed in the future (long-term). In the short-term, a knowledge page could be established on the NAP portal and all training materials developed by the project made available to practitioners at all levels. In the medium term, online training courses could be added to the portal and embedded in professional capacity development plans for CCA practitioners	4		
		Is there a Capacity development plan in place outlining short-term, medium-term and long-term needs and approaches	Gov't partners (MONRE, MARD, MOT, MPI, MOH)	Desk review and KII	The capacity development plan of the project (short-term) was well articulated in the project design. There is no medium, or long-term capacity development plan. MONRE will continue to provide training to DONRE of 63 provinces regarding M&E, however budget is only secured for 2022. The Ministry plans to find other sources to support the training.	4		
	Has the NAP project been effective in helping improve climate change adaptation planning across four priority sectors?	How many sectoral plans formulated, or revised as a result of the NAP	Gov't partners and policy makers (MONRE, MARD, MOT, MPI, MOH)	KII	The NAP report covers all key sectors. Existing sectoral action plans have been updated to align with the NAP (e.g. MOH). NAP technical report is still under review process and is going to approved soon (Oct 2022).	5	4	
		What capacity built for CCA sectoral planning	Gov't partners and policy makers (MONRE, MARD, MOT, MPI, MOH)	KII	The project has developed vulnerability and adaptability (V&A) indicators and the M&E indicators/system responding to CCA, and undertaken R&V assessments per sector which has enabled sectoral CCA planning, In addition some capacity has been developed at all levels to enhance CCA planning capacities. The provided trainings are however at initial stage and considered as introduction training. There is a need for deeper training and capacity building at national and provincial government in order to fulfil requirement of Circular 01 and decision No.148.	5		
		Access to climate risk data/information for sectoral planning. How effective is the new tool for CR data access and analysis	Gov't partners and policy makers (MONRE, MARD, MOT, MPI, MOH)	KII and desk review	All entities at all levels have access to <i>basic</i> climate change information. However the spatial and temporal resolution as well as the level of detail and type of data is not adequate for detailed sectoral risk assessment and sectoral planning. The current system also has issues with regard to access to the data on the portal with many partners noting that they do not have the correct permissions, and that the data is not in a useable format. The NAP portal is a good first step to enable access to climate data, but there is a need for substantial development of the relevant data on the portal and improved access to the system.	3		
	To what extent have outcomes been achieved or has progress been made towards their achievement.	Comparison of planned activities and sub-outcomes towards each outcome.	PD, Govt partners, IPR, project deliverables	Review PD, progress reports, project deliverables against targets; key informant feedback on key achievements and usefulness of deliverables	A review of the project expected outcomes indicators and deliverables shows that most of the planned activities have undertaken and completed to a good standard (See Table 7.1 of the evaluation report on progress toward project outcomes).	5	5	

	What has been the contribution of partners and other organizations to the outcome, and how effective have the programme partnerships been in contributing to achieving the outcome?	What was the intended inputs per partner? How has each partner delivered against targets	PD, IR, project deliverables. All stakeholders	Desk review; KII and review of deliverables from each partner	Consultations with project partners and review of deliverables revealed that all project partners performed their roles to the best of their abilities and achieved the expected outcomes	5	5	
	What were the positive or negative, intended or unintended, changes brought about during project implementation?	What impact did COVID-19 have on the project implementation. How was the workplan affected in terms of programme, schedule, ease of arranging meetings. How well did adaptive management measures reduced/mitigate impacts	IPRs (challenges and opportunities section), All stakeholders	Desk review and KII; Review of the impact of COVID on project implementation	The project has had mostly positive changes	5	5	
	What were the contributing factors and impediments that enhance or impede the project performance?	What impact did COVID-19 have on the project implementation. How was the workplan affected in terms of programme, schedule, ease of arranging meetings. How well did adaptive management measures reduced/mitigate impacts	IPRs (challenges and opportunities section), All stakeholders	Desk review and KII; Review of the impact of COVID on project implementation	Project challenges have been identified. The main factors are COVID (delays to implementation of activities; limited available of practitioners to participate in the project (MOH); challenges with data collection including inability to undertake visits to high risk areas and lack of sufficient training in data collection.	5	5	
	To what extent did the project contribute to gender equality, the empowerment of women, and/or a human-rights based approach?	What was the project's approach to gender mainstreaming and development of gender-responsive tools, gender-responsive capacity building	Gender Action Plan; SESP; Gender Expert	Review of document; KII with gender expert and the project partners	Under Activity 1.1.3 the gender experts developed comprehensive guidelines on gender mainstreaming into CCA and sector-specific guidelines. The extent to which gender mainstreaming has been achieved by the project is demonstrated by the inclusion of a chapter on Gender in the NAP. However, it should be noted that there was variability in the level of gender mainstreaming that was achieved for individual sectors	5	4.2	
		What gender-responsive data collection methods and tools are developed by the project and available to stakeholders	Data collection and analytical tools developed by project	Review of tool (check for approach to gender-disaggregation data)	Questionnaires, statistical data and indices (V&A and M&E). It is noted that not all sectors have been able to mainstream gender into their V&A and M&E indicators, which limits the gender-responsive data that will be collected in the future	4		
		To what extent does the project enable gender-responsive vulnerability assessments for CCA policy and planning	Data collection and analytical tools developed by project	Review of tool and interview with key informants to determine how they use gender-disaggregated data in policy and planning	The guidelines developed by the project provided a good basis for gender mainstreaming. In addition, gender fact sheets will be published on the NAP Portal and some sectoral M&E includes gender. The gender experts have reviewed several sectoral reports and provided direct input and guidance into the reports. The Gender Report and fact sheets will serve as basis to raise awareness/ understanding of LMs. A key achievement is the inclusion of a gender chapter in the NAP. However, project partners have varying understanding of the importance of gender mainstreaming. Hence minimal effort seems to have been made to include gender in sectoral work, and the project has had limited direct impact on gender equality and empowerment of women, and/or human rights.	4		

		Evidence of sectoral inclusion of gender-responsive approaches in policy and planning formulations	Sectoral policies and plans	Review for evidence of gender mainstreaming	Low levels of inclusion.	4		
		Number of policies and plans with gender mainstreamed in them	Sectoral policies and plans	Review for evidence of gender mainstreaming	The revised NAP report includes a chapter on Gender. The gender experts have reviewed several sectoral reports and provided direct input and guidance into the reports.	4		
Efficiency	To what extent are the approaches, resources, models, conceptual framework relevant to achieve the planned outcomes?	How effective was work planning and management? How efficient were all project partners in the use of resources. Were outcomes achieved within the allocated resources?	PD, Planned budget and expenditure	Desk review and KII	Resource use appears adequate despite significant issues with delays in project activities and changes to schedule and budget due to outbreaking Covid-19 Pandemic in Viet Nam. Despite significant challenges, the project achievements have been substantial and the project outcomes have been achieved with the allocated resources.	6	6	5
	To what extent were quality outputs delivered on time?	What was the approach to quality assurance on the project	UNDP PMU and CO staff	KII; review of quality assurance processes	QA of the project is embedded in the project's M&E commitments. QA includes oversight missions with BTOR's, Technical assurance through UNDP team and international and national experts review of deliverables and products, workshops and consultation meetings to ensure wide dissemination and commenting on key project deliverables.	5	5	
		Were planned delivery deadlines met	IPRs, Finance data	desk review of timeliness of delivery	The planned deliverables are met for most of the activities. However, project is at 75% total disbursement which implies that the committed funds have not been paid for some deliverables. PMU intends to spend the remaining budget by end of project	5		
		Quality spot check of key deliverables	Key project deliverables	desk review	Spot check of V&A sectoral reports gender background report, private sector barriers report and NAP report.	5		
	Has there been an economical use of financial and human resources and strategic allocation of resources (funds, human resources, time, expertise, etc.)?	How have partnerships been utilised to ensure efficient project implementation. What resources (funds, human, time and expertise) have been used to enable efficiency. Were there sufficient opportunities to work collaborative to maximise use of resources.	Finance data; audit reports	Desk review of financial data and reports	Resource use appears adequate despite significant issues with delays in project activities and changes to schedule and budget. It is noted, that the project has achieved its key deliverables within a reduced time period. Two audits were conducted on the project. The first which covered the period October 21 to December 21 found no significant issues with the financial management and control of the project. The second audit report which looked in more detail at specific issues, found that there was low to medium risks from some specific issues.	4	4	
	Did the monitoring and evaluation systems that the project has in place help to ensure that activities and outputs were managed efficiently and effectively?		M&E expert, Monitoring reports, Audits	Review of M&E system. Consultation with project M&E expert	M&E system was comprehensive and adequately ensured that the project activities and outputs were managed efficiently and effectively	4	4	
	Were alternative approaches considered in designing the programme?		PD, IR, UNDP	Desk review and KII	No alternatives to project design were detailed in documentation	4	4	
Sustainability	What is the likelihood that the project	Does/did the project have an exit strategy? Was/is it effectively implemented	Programme documents Annual Work Plans	Desk review and KII	Likely	4	4	4

	interventions are sustainable?		Evaluation reports				
	What mechanisms have been set in place by the project to support the Government of Viet Nam through Climate Change Development Authority to sustain the results made through these interventions?	To what extent does the project's exit strategy take into account the following: – Political factors (support from national authorities) – Financial factors (available national budgets for CCA) – Technical factors (skills and expertise needed)	PD	Desk review and KII	Decision 148 requires M&E and CCA reporting to be done annually; Circular 1 has been adopted and is the legal requirement for the sectors, provinces, and entities to prepare CCA plans for their sectors, so ensures sustainability; Sectors have committed to allocate budgets to meet obligations under Decision 148 and Circular 1; The project's extensive capacity development and training material developed will contribute to sustainability	4	4
	To what extent has a sustainability strategy, including capacity development of key beneficiaries or national stakeholders, been developed or implemented?	Examine extent of capacity assessment; Capacity development plan; CPD and training delivered by the project	Project CD deliverables	Desk review and KII	To a high degree (see above)	4	4
	To what extent have partners committed to providing continuing support?	Assess partners' long-term capacity and resourcing (staff, finance, technologies) commitments for CCA beyond the project	Partners	KII	Partners have expressed commitment to fulfil their obligations under D148 and Circular 1 and to allocate budgets for CCA activities. Furthermore the budget tagging enhancements implemented by the project will be able to monitor CCA budgeting and financing in the future	4	4
	What indications are there that the outcomes will be sustained, e.g., through requisite capacities (systems, structures, staff, etc.)?	Evaluate systems, structures and staff developed by the project. Partners O&M commitment and financing commitment to sustaining outcomes	Partners, Project deliverables	Desk review of deliverables and KII	Requisite capacities have been built, but there is a need to more capacity building that should be based on detailed institutional capacity assessment and a long-term Capacity Development plan; Systems developed by the project such as the NAP Portal, V&A and M&E indicators/system and tools will ensure some sustainability of project capacity built, but relies on the extent to which the system will be further developed to ensure availability of data and access to data required for CCA. (See recommendations on data development)	4	4
	What opportunities for financial sustainability exist?	Assess project interventions on CCA financing strategies. What catalysed commitments from relevant partners to CCA activities beyond the project	Project deliverables	Desk review of deliverables and KII	The project has made some efforts to assess the financing landscape for CCA from both public and private and has enhanced budget tagging capabilities to identify CCA projects in the future. Furthermore the project has identified priority projects which will be funded in the future. However it is noted that the barriers to private sector investment are significant for all sectors and will need to be addressed to ensure long-term CCA financing and therefore financial sustainability	3	3

	How has the project developed appropriate institutional capacity (systems, structures, staff, expertise, etc.) that will be self-sufficient after the project closure date?	To what extent has the project embedded financing strategies, data analysis tools in partner institutions. To what extent are partner institutions capacitated to implement financing strategies	Deliverables under sub-outcome 2.2 - Background study for financing strategy)	Desk review of deliverables and KII	The project has not embedded financing strategies but has enabled budget tagging and M&E of CCA expenditure within partner institutions. Partner institutions have examined the barriers to private sector financing in their sectors and have been capacitated to prioritise CCA projects based on R&V and loss and damage assessments. However, tools are based on limited and inadequate climate risk data	3	3	
		To what extent has the project embedded CC data analysis tools into institutions. To what extent are partner institutions capacitated to implement and use CC data analysis tools. Number of staff trained in the use of new tools. Partner O&M for tools	Deliverables from 1.1 - Integrated Data and Analytical Capability Built in Priority Sectors	Desk review of deliverables and KII				
		Number of CCA policies adopted and long-term plans for their implementation	Project deliverables	Desk Review and KII				
		What are the risks (financial, political, institutional to sustainability as seen by the stakeholders		KII				
Impact	What has happened because of the project?	What are/will be the catalysed beneficial development effects of the policy and capacity interventions of the project		KII	Climate change consideration can be systematically included in the prioritisation, design and implementation of project in key sectors.	4	4	4
	What real difference has the activity made to the beneficiaries?	Impact on Institutions, policies, and the regulatory framework		KII	Capacity built for CCA built at national and provincial level (more is needed), systems developed and in place; regulatory framework strengthened; sectoral CCA plans developed. Project direct impact on communities will be limited until CCA approaches are fully embedded at the provincial and commune levels. It is also note that climate change scenario data, on which risk and vulnerability is based is not at the sub-national levels. This will limit the potential to effect significant impact at community level. It should be an urgent priority of the NAP process to strengthen the availability of data of appropriate scale and level of detail.	3	3	
		Have public institutions and service provision changed?		KII				
		Did national/sectoral policies affecting communities change?		KII and desk review				
		Did the regulatory framework affecting communities change		KII				

	Were there contributions to changes in policy/legal/regulatory frameworks, including observed changes in capacities (awareness, knowledge, skills, infrastructure, monitoring systems, etc.) and governance architecture, including access to and use of information (laws, administrative bodies, trust building and conflict resolution processes, information-sharing systems, etc.)?	What capacity development/support was delivered by the project (technical, human, financial); Impact of awareness raising activities, knowledge management and information sharing tools/systems developed and embedded by project. Number of people trained in use of climate risk data. Number of institutions using climate risk information for decision making. Number of laws revised/developed with CCA mainstreaming. Number of people with access to knowledge management and information sharing platform.	Project deliverables	Desk review, deliverable review and KII	Yes, see above	4	4	
	Discuss any unintended impacts of the project (both positive and negative) and assess their overall scope and implications.			KII	The project has had mostly positive impacts	5	5	
	Identify barriers and risks that may prevent further progress towards long term impact;			Desk review of achievements, KII	Barriers to further progress include: Political - changes in political situation including high turnover rate of decision makers could shift commitment to continuing NAP process in the future; Institutional capacity - lack of a comprehensive capacity development plan for all institutions who will be involved in furthering the NAP process in Viet Nam, and lack of sufficient capacity development could negatively impact further progress; Financial - long of a long-term financing strategy for implementation of the NAP	3	3	
	Assess any real change in gender equality, e.g. access to and control of resources, decision-making power, division of labour, etc.	To what extent are gender-responsive policies and plans developed? Extent of gender mainstreaming; Participation of women in key roles in partner institutions	Gender Action plan; gender indicators and targets; Project M&E reports (with gender disaggregated data); All stakeholders (especially WI, NGOs, IGOs), project deliverables	Desk review and KII	While the project has provided comprehensive expertise and developed guidelines for mainstreaming gender, there is limited impact on gender equality due to limitations in how gender mainstreaming has been included in the sectors. Hence overall there is likely to be very little change in gender equality resulting from the project.	3	3	

Gender Equality:	To what extent have women and other disadvantaged and marginalized groups benefitted from project's interventions?		PD, GAP, M&E reports, All Stakeholders (especially WI, NGOs, IGOs)	Desk review and KII	While the project has provided comprehensive expertise and developed guidelines for mainstreaming gender, there is limited impact on gender equality due to limitations in how gender mainstreaming has been included in the sectors. Hence overall there is likely to be very little change in gender equality resulting from the project.	3	3	4
	To what extent has gender been addressed in the design, implementation and monitoring of the project?	How were gender and social inclusion targets established during project development. How do targets compare to beneficiaries actually reached	PD, GAP, M&E reports, All Stakeholders (especially WI, NGOs, IGOs)	Desk review and KII	Gender has been fully considered throughout the project design and significant effort has been made by the project to ensure gender mainstreaming throughout	4	4	
	To what extent has the project promoted positive changes in gender equality? Were there any unintended effects?		PD, GAP, M&E reports, All Stakeholders (especially WI, NGOs, IGOs)	Desk review and KII	Gender has been fully considered throughout the project design and significant effort has been made by the project to ensure gender mainstreaming throughout	4	4	
	How did the project promote gender equality and human rights in the delivery of outputs?		PD, GAP, M&E reports, All Stakeholders (especially WI, NGOs, IGOs)	Desk review and KII	Gender has been fully considered throughout the project design and significant effort has been made by the project to ensure gender mainstreaming throughout. In addition to gender, the project including socio-economic factors in the assessment of vulnerability to climate change and identified different vulnerable groups to ensure that socio-economic vulnerability was mainstreamed into CCA planning and identification of priority measures/projects.	4	4	

	How have ministries improved their priorities and policy actions on gender from the project intervention.			<p>MOH: Gender has been included in risk assessments (in the set of indicators) of health sector but not yet apply in practice.</p> <p>MARD:</p> <ul style="list-style-type: none"> • Gender has been mentioned in the set of indicators, but it will be difficult to implement. In the public investment, gender is not mentioned but it's often considered under the ODA projects. • The reports under the project have mentioned not much about gender. Women have been invited to the training/workshop in a range from 24 - 50% • According to gender expert, gender should be integrated in the CCA in a long-term. Different sectors have different impacts on gender, due to CC. However, gender is not clearly expressed. • According to MOH consultants, gender should include also vulnerable group of people, not only women or children; Gender has been noted in the MOH reports and was discussed. However, gender aspect as is not feasible according to district DOHs. <p>MPI:</p> <ul style="list-style-type: none"> • Gender has been included in the Handbook. It is grouped under the vulnerable group (women, children, old people, the poor, ethnic minority, etc.) and is considered as a sub-criterion. • Gender aspect was not included in the barrier report of private sector (not required under the TOR). The aspect was however included in the criteria for selection of the priority projects. <p>MOT</p> <ul style="list-style-type: none"> • Having been guided by UNDP expert, the reports have mentioned gender as commented by the UNDP expert. The MOT consultants found that gender (number of women participated in specific activities) integrated in the project level is easier rather than included in the synthesis report. <p>MONRE</p> <ul style="list-style-type: none"> • Gender has been considered during the project implementation. Gender has been integrated into NAP technical report. There are gender guidelines for trainings to provinces and sectors to mainstream gender into their plans, activities. 	3	3
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Annex 4 – Summary of Training Conducted

Output 1.1.2

1. Training workshop on assessment of potential impacts of CC on NRE

Training material:

General introduction on assessment of impacts, vulnerability, risks, loss and damages caused by CC

- a. Requirement when conducting assessment
- b. Information, data required for the assessment: CC scenarios (temporary and spatial), Information, monitoring data of meteorology, hydrology, hydrography and related extreme events in the past and present; approved social – economic strategy, plan, etc.
- c. Content of the assessment
- d. Implementation Procedure and contents: identify scope of assessment, identify target for the assessment, analyzing CC scenarios, analyzing strategies, plan, selection of the assessment approach, etc.....

Guidance for assessment of impacts, vulnerability and risks due to CC

- e. Summary of CC impacts
- f. Identification and screening impacts of the CC
- g. Identify vulnerability and risks

Assessment of loss and damages (L&D)

- h. General understanding about L&D
- i. Determining the L&D caused by CC
- j. Some notes

Assessment of impacts of CC on natural resource and surface water of Quang Ngai Province

- k. Characteristics of surface water in Quang Ngai Province
- l. CC scenarios of Quang Ngai Provinces
- m. Identify impacts of CC on surface water of Quang Ngai Province
- n. Assess the impact of CC on natural resources (NR)
- o. Conclusion

Minutes of training workshop (assessment of potential impacts of CC on NRE), 15 Dec 2021

- List of participants (the project, DCC, MOT, MARD, MONRE, PMI, UNDP and representatives of DONREs of northern provinces).

The participants discuss about complexity of the assessment. It required guideline or coaching to facilitate implementation.

Output 2.1.2

2. Training workshop on current status of criteria for determining priority of CCA projects, criteria for determination of prioritized CCA projects, case studies, tools for determination of prioritized projects for Northern provinces

- Current status of criteria for determining priority for CCA projects: Decision of the Prime Minister No. 1719/2011/QĐ-TTĐ on criteria for assessment of the prioritized projects under the programme responding to CC → MONRE recommend to supplement, adjust the current criteria to match with the policy framework the GOV committed to sponsors and current practice.
- MONRE is preparing a draft decision to submit to the Prime minister in order to issue sets of criteria for determining investment project and CCA activities for public investment
- Decision 148 dated 18 January 2022 on M&E of CCA activities adopted to establish and operate national M&E system of CCA activities. The decision has 5 CCA objectives:
 - o Strengthening state management of CC;
 - o Strengthening capacity responding and adaptability for CC in various sectors
 - o Mitigate disasters, L&D due to CC
 - o Increase resources for CCA
 - o Strengthening science and technology and international cooperation
 - o Training, propaganda, awareness raising
- Framework for prioritizing climate change adaptation actions
 - o 03 Groups of assessment criteria to prioritize adaptation actions: Core benefits, co-benefits, and feasibility.

- 05 criteria for assessment of the contents of the proposed projects: Urgency/important; usefulness, clear results/effectiveness of the solution; integrated, multi-target; feasibility; sustainability
- Exercises/case studies

Output 2.1.3.

3. Quang Nam Training workshops/dialogues on criteria for prioritizing climate change adaptation projects, exercises, and case studies for the central provinces

Training contents are similar to Northern provinces, i.e.

- Current status of criteria for determining priority for CCA projects: Decision of the Prime Minister No. 1719/2011/QĐ-TTĐ on criteria for assessment of the prioritized projects under the programme responding to CC → MONRE recommend to supplement, adjust the current criteria to match with the policy framework the GOV committed to sponsors and current practice.
 - MONRE is preparing a draft decision to submit to the Prime minister in order to issue sets of criteria for determining investment project and CCA activities for public investment
 - Decision 148 dated 18 January 2022 on M&E of CCA activities adopted to establish and operate national M&E system of CCA activities. The decision has 5 CCA objectives:
 - Strengthening state management of CC;
 - Strengthening capacity responding and adaptability for CC in various sectors
 - Mitigate disasters, L&D due to CC
 - Increase resources for CCA
 - Strengthening science and technology and international cooperation
 - Training, propaganda, awareness raising
 - Framework for prioritizing climate change adaptation actions
 - 03 Groups of assessment criteria to prioritize adaptation actions: Core benefits, co-benefits, and feasibility.
 - 05 criteria for assessment of the contents of the proposed projects: Urgency/important; usefulness, clear results/effectiveness of the solution; integrated, multi-target; feasibility; sustainability
 - Assessment of priority hierarchy for transportation infrastructure project associated to CCA
 - Exercises/case studies
4. Hanoi Training workshops on classification for public investment in CCA ; coding budget allocated to CCA in public investment; identifying barriers and recommendation for improving private investment into CCA activities for the Northern provinces
- Classification for public investment in CCA:
 - Introduction
 - Methodology
 - Guidance on Classification for public investment in CCA (CCA is divided into 15 areas);
 - Attach project code for public investment by goal, field, task and link to policies/strategy
 - Practical exercises, using criteria and guidelines