Strengthening institutional capacity for disaster risk management in Vietnam, including climate change related disasters-Phase II (SCDM II)

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Mid-term Review report for UNDP/AusAid Project

Strengthening institutional capacity for disaster risk management in Vietnam, including climate change related disasters-Phase II (SCDM II)

Project Title	Strengthening institutional capacity for disaster risk management in Vietnam, including climate change related disasters-Phase II (SCDM II)			
UNDP Project ID#		Project Financing	At Endorsement	At MTR
AusAid Project ID#		Total grant ODA	**US$4,950,000 USD**	
Region	South East Asia	Committed grant:	US$3,200,000 USD	
Country	Vietnam	To be mobilized:	US$1,500,000 USD	
Focal Area	National (with pilots in 20 provinces)	Counterpart funding	**5,267,000,000VND (≈US$250,000)**	
Executing Agency (NIP)	Ministry of Agriculture and Rural Development (MARD) [Water Resources (WRD)/ Disaster Management Center (DMC)]	In-cash	3,994,000,000 VND (≈US$190,000)	
Co-Implementing Partners	*Vietnam Red Cross Society (VNRC)* *Vietnam Women's Union (VWU)* *Oxfam*	In-kind	1,273,000,000 VND (≈US$60,000)	
International MTR Consultant	Dr. Margaretta Ayoung	Project start date	Planned: Jan 2012	Actual: Jan 2013
National MTR Consultant	Mr. Huoang Van Duong	Project End Date	Planned 2016	Expected

Timeframe: 04 September to 30 October 2015
Inception Report: 04 September 2015
MTR Mission: 07 September to 17th September 2015
Draft Report: 01 October 2015
Final Report: 16 November 2015

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Executive Summary

The SCDM-II project is a National Implementation Modality (NIM) partnership project between the Water Resources Directorate of the Ministry of Agriculture and Rural Development (MARD) in Viet Nam, UNDP and three co-implementing parties (CIPs) namely; the Viet Nam Red Cross Society, Viet Nam Women's Union and Oxfam. The project has been co funded to date principally by Australian Aid, with additional funding coming from the Luxembourg, the Netherlands, the United Nations One Plan Fund, as well as from beneficiary communities. The second phase of SCDM project is four years in duration (2012 – 2016) and targets 22 disaster prone provinces in northern, central and southern Viet Nam. The main objective of the project is to strengthen capacities for disaster risk management of the Central Committee for Flood and Storm Control (CCFSC) of MARD including its Standing Office, partnership organizations and Provincial Committees for Flood and Storm Control (CFSC) in 22 selected provinces to undertake improved humanitarian response measures and utilize a range of early recovery options, that address weather-related disasters, and to ensure the successful implementation of the national Community-Based Disaster Risk Management Programme. Overall, the project will contribute to the UN OP outcome, of which by 2016, key national and sub-national agencies, in partnership with the private sector and communities, have established and monitored multi-sectoral strategies, mechanisms and resources to support the implementation of relevant multilateral agreements and effectively address climate change adaptation, mitigation and disaster risk management.

The primary purpose of this Mid-term review is to identify challenges and outline corrective actions to ensure that the project is on track to achieve maximum results by its completion. It is also hoped that this MTR will help lay the foundation for a strong Terminal Evaluation (TE). The focus of the review is as follows:

- Assessment of progress towards results
- Monitoring of implementation and adaptive management to improve outcomes
- Early identification of risks to sustainability
- Emphasis on supportive recommendations

The main findings are as follows:

At its three quarter-way mark, it is clear that the SCDM II project has the potential to meet the primary objective, of building capacity in CBDRM embedding standardized CBDRM practices and procedures throughout Vitenam, and indeed, has already contributed substantially in this regard.

The major achievements of component 1 include the finalization of the DRM law based on the provision of technical support and facilitation by the project and capacity built within the CCFSC at national and provincial levels. Component 1 is approximately 70% complete in terms of completion of tasks. Most of the indicators for component 1 have been ranked as either satisfactory or highly satisfactorily with the exception of Output 1.8 which has been assessed as unsatisfactory due to substantial delays in starting this activity. Overall progress towards achieving indicators of component 1 has been satisfactory.

The major achievements of component 2 include development of the CBDRM building blocks, although the financing modality, a key building block is not sufficiently advanced. Under this component CBDRM has been successfully implemented in 54 communes. Indicators for component 2 range from marginally satisfactory to highly satisfactorily. Component 2 is approximately 50% complete in terms of completion of tasks. Overall progress towards achieving the indicators of component 2 has been satisfactory.

Component 3 is approximately 30% complete in terms of achievements. This low achievement rate is in part due to the fact that the associated activities were not scheduled

until 2016 although there have also been some challenges. Overall progress towards achieving the indicators of component 3 has been assessed as unsatisfactory.

Hence overall, the project can be said to be progressing well, although there are some concerns. In particular, the long project planning process has resulted in major delays (up to 6 months) of some planned activities, on an annual basis.

Another concern – linked in many respects to the above - is that of sustainability, with my own concerns being re-enforced by the respondents to the interview, who are not convinced that the project has provided a viable financial model for the future implementation of CBDRM. Linked to this is a concern, expressed by respondents and in concurrence with my findings, that the project has not sufficiently documented process, results and evidence for replication and advocacy going forward.

The remaining budget of the project, which has been reduced by non-fulfilment of co-financing, and devaluation of the local currency (by approximately $500,000 USD) is insufficient to complete all of the remaining activities on the project.

A concern raised by all of the CIPs, INGOs and Mass Organisations, is that, while gender has been effectively mainstreamed within the CBDRM training material, there is insufficient guidance on practical implementation for effective gender-sensitive assessment. In addition, the partnership arrangement, which was designed to be key to the implementation of, has been problematic and has contributed to some issues on the project.

The review has identified a number of recommendations which are summarised in Section 5.

1 PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT

1.1 Project Background and development objectives

Viet Nam ranks fifth globally in terms of overall material losses and mortality from climatic disasters (1990-2009) and it has significant exposure to several different types of disasters. The country lost, on average, 1-1.5% of its GDP (based on PPP) over the last 20 years.

The Government has promulgated a Decision on community-based disaster risk management (CBDRM) and has asked for UN assistance in the operationalization of this program. The UN has worked since the mid-1990s on disaster risk reduction and has developed distinct competencies in this area.

To support the government of Vietnam in dealing with disaster risks, especially risks relating to climate change, between 2008 to 2011 UNDP Vietnam implemented a three-year technical assistance project entitled: *"Strengthening institutional capacity for disaster risk management in Viet Nam, including climate change-related risks"* (SCDM). The Disaster Management Center (DMC) of Water Resources Directorate (WRD), Ministry of Agriculture and Rural Development (MARD) was the implementing partner. The goal of the first phase of the SCDM project was to strengthen the institutional capacity of MARD to effectively implement the National Strategy for Disaster Prevention, Response and Mitigation to 2020 and particularly of DMC to implement the national CBDRM program targeting on 6,000 communes and wards of the country.

The first phase of the SCDM project was completed in June 2011 and achieved following results:

- Supported the development of a draft Disaster Risk Management (DRM) Law;
- Completed the national guidelines and standards for emergency response and early recovery;
- Conducted training needs assessment for staff of DMC and three pilot provinces;
- Developed training curricular and delivered institutional capacity development training courses on DRM to 400 governmental officials at the national and local levels;
- Identified a list of 6000 vulnerable communes for CBDRM program based on scientific research methodology;
- Supported DMC in building Disaster Management Information System (DMIS) and its website;
- Supported three pilot provinces of Cao Bang, Binh Thuan and Can Tho to design early warning systems (EWS);
- Assessment of the impacts of climate change on related hazards and disaster consequent management program in Viet Nam.

Building on the achievements and strengths of the first phase and aiming to address identified challenges and new emerging issues, a second phase of the SCDM project was initiated by UNDP and the Government in October 2012 with a total budget of USD 4.7 million, of which AU$2.8 million was committed from a cost-sharing agreement between Australian Aid and UNDP on November 14, 2011.

In phase I of the SCDM project, a need to further strengthen capacity was identified, and through phase II, UNDP is providing support to the implementation of the Government's CBDRM strategy. The SCDM-II project is a National Implementation Modality (NIM)

partnership project between the Water Resources Directorate of the Ministry of Agriculture and Rural Development (MARD), UNDP and three co-implementing parties (CIPs) namely; the Viet Nam Red Cross Society, Viet Nam Women's Union and Oxfam. The project has been co funded to date principally by Australian Aid, with additional funding coming from the Luxembourg, the Netherlands, the United Nations One Plan Fund, as well as from beneficiary communities. This second phase of SCDM project is four years in duration (2012 – 2016) and targets 22 disaster prone provinces in northern, central and southern Viet Nam.

The main objective of the project is to strengthen capacities for disaster risk management of the Central Committee for Flood and Storm Control (CCFSC) of MARD including its Standing Office, partnership organizations and Provincial Committees for Flood and Storm Control (CFSC) in the 22 selected provinces to undertake improved humanitarian response measures and utilize a range of early recovery options, that address weather-related disasters, and to ensure the successful implementation of the national Community-Based Disaster Risk Management Programme. Overall, the project will contribute to the UN OP outcome, of which by 2016, key national and sub-national agencies, in partnership with the private sector and communities, have established and monitored multi-sectoral strategies, mechanisms and resources to support the implementation of relevant multilateral agreements and effectively address climate change adaptation, mitigation and disaster risk management. The project has three expected outputs:

1) Enhanced national and sub-national institutional capacities of the Central and Provincial Committee for Flood and Storm Control members and main stakeholders to consolidate the disaster risk reduction (DRR) legislative, policy and strategic framework;
2) Improved capacity of the Disaster Management Centre (DMC) and CCFSC members to effectively and efficiently plan, implement, monitor and evaluate the CBDRM program, ensuring gender sensitivity and participation of vulnerable groups (e.g. migrants, particular ethnic minorities etc.) in both urban and rural areas;
3) Evidence based action research on DRR and CCA utilized to improve policy and strategy and plans developed and implemented at national, regional and international level.

1.2   Organizational structure

The Disaster Management Center (DMC) is the National Implementing Partner (NIP), under the Directorate for Water Resources (WRD) of the Ministry of Agriculture and Rural Development (MARD).

The DMC, as the NIP, is accountable to the Government of Viet Nam (GoV) and UNDP for ensuring the:

- Substantive quality of the Project;
- Effective use of allocated resources from both the GoV and UNDP;
- Timeliness of MARD support to the Co-Implementing Parties (CIPs); and
- Proper coordination among the responsible parties and among all project stakeholders.

The DMC is responsible for the day to day management and implementation of Project activities and oversees the implementation of activities by the CIPs.

The DMC appraises the annual work plans (AWP) and the quarterly narrative and financial reports of the CIPs (the Viet Nam Red Cross Society, VNRC, the Viet Nam Women's Union,

VWU and Oxfam) before forwarding these plans and reports for approval by MARD and UNDP.

Co-implementing Parties (CIP)

The Co-implementing Parties - CIPS - are the Viet Nam Red Cross Society (VNRC), the Viet Nam Women's Union (VWU) and Oxfam. The DMC delegates the implementation of a number of activities to these CIPs in accordance with the Annual and Quarterly Workplans and as agreed in the bilateral Letter of Agreement (LoA) signed between the NIP and each of the CIPs before Project inception.

The CIPs are responsible for the implementation of the Project activities as described in the Annual and Quarterly Workplans according to agreements with NIP based on their individual strengths and experience. In addition, the CIPs are responsible for ensuring that the implementation of the Project activities contributes to the achievement of the Outcomes and Objectives in a coordinated, efficient and coherent manner with the other parties, per roles in the implementation as outlined in the Annual and Quarterly Workplans.

The DMC and UNDP are responsible for ensuring that all activities are coordinated efficiently and lead towards the achievements of the overall SCDM II Project Annual and Quarterly Workplans Activity Results and Outputs.

The project is aiming to achieve its objectives through the following strategic interventions:
- Creating innovative partnerships between the DMC and the VNRC, the VWU and Oxfam, building on the partners' strengths and comparative advantages, enhancing their capacities in line with their respective mandates and where possible creating synergies;
- Linking national and sub-national level disaster risk management actions through a demonstrated CBDRM implementation, improvement of humanitarian response and early recovery through capacity building;
- Evidence-based risk informed policy process through applied research and multi-stakeholder policy dialogue; and
- Focus on gender equality and mainstreaming and culturally appropriate programming.

It is intended that good practices will be captured to ensure replication and sustainability. Coherent technical support has been provided to the DMC and CFSC to enhance the quality of policy dialogue by relevant multi-level stakeholders under the National Platform.

The Mid Term Review (MTR) will evaluate the adequacy and effectiveness of the project organisational arrangements in implementing the project.

1.3   Expected results, targets and indicators

The project expected results are outlined in the results framework (as taken from the project Inception report) which states the baseline, activities, expected results and indicators. The results framework is provided in Annexes 8 & 9.

2   SCOPE AND METHODOLOGY OF THE REVIEW

2.1   Purpose of the evaluation

The primary purpose of this Mid-term review is to identify challenges and outline corrective actions to ensure that the project is on track to achieve maximum results by its completion. It is also hoped that this MTR will help lay the foundation for a strong Terminal Evaluation (TE). The focus of the review is as follows:

- Assessment of progress towards results
- Monitoring of implementation and adaptive management to improve outcomes
- Early identification of risks to sustainability
- Emphasis on supportive recommendations

This review is an independent review and has been undertaken using a participatory and collaborative approach, with open opportunities for discussion.

The ratings provided are based on

- Progress Towards Results (by Outcomes)
- Project Implementation & Adaptive Management
- Sustainability

This report is the primary output/deliverable of a MTR process.

2.2   Scope & Methodology

The MTR provides evidence-based information that is credible, reliable and useful. The MTR team has reviewed all relevant sources of information including documents prepared during the preparation phase (i.e. the Project Document, project reports including Annual Project Review, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considered useful for this evidence-based review). The evaluation matrix lists sources of verification and evidence to support findings.

The MTR team used a collaborative and participatory approach and ensured engagement with the Project Team, government counterparts, the UNDP Country Office(s), UNDP Regional Technical Advisers, and other key stakeholders.

The methodology for the review included:

2.3   A desk top study of the documentation

The following documents have been reviewed:

1.   Project Document;
2.   Project Performance Reports (PPRs);
3.   Annual and Quarterly progress reports and work plans of the various implementation task teams;
4.   Audit reports;
5.   The Expert Reports;
6.   M & E Operational Guidelines, all monitoring reports prepared by the project;
7.   Financial and Administration guidelines;
8.   Project operational guidelines, manuals and systems;
9.   Minutes of the Project Board Meetings if available;

10. Relevant project deliverables;
11. Donor Institution Operations guidelines; and
12. UNDP Monitoring and Evaluation Frameworks.

2.4 An Evaluation Matrix

In addition, an evaluation matrix and questionnaires to guide consultation with stakeholders was developed. The key focus areas elaborated below, form the basis of the evaluation matrix and the key findings of the evaluation matrix are discussed in Section 3. The evaluation matrix is included in Appendix 1 of this report.

2.5 Interviews with key informants

Individual interviews were conducted with key informants. Group discussions were held with some informants, mainly in the province (Phu Tho).

2.6 Site Visits

The review team undertook a field visit to Phu Tho province and met with key beneficiaries including local CCFSC staff and communities who have been beneficiaries of the CBDRM training and CBDRA.

2.7 Key Focus Areas

The project has been assessed according to standard evaluation criteria set out in the MTR ToR (provided in Annex 6):

2.8 Structure of the MTR Report

Section 3 – Key findings. This section presents the key findings based on to the questions posed in the evaluation matrix.

Section 4 – Discusses the key findings under Adaptive Management

Section 5 – Presents the Key recommendations identified

3 KEY FINDINGS AGAINST EVALUATION CRITERIA

3.1 Relevance

3.2 Key recommendations

- **Recommendation 3.1.1 –** It recommended that a post-project capacity assessment (scheduled for the late 2015)is undertaken to ascertain capacity built, to include documentation of capacity built (e.g. through a training register), testing and verification of capacity built and documentation of lessons learned with respect to capacity building. It is also recommended that the post-capacity assessment should also seek to identify remaining gaps and develop a new/revised capacity development plan for post-project capacity development to enhance project sustainability. This assessment would confirm that the capacity building undertaken by the project has been relevant.
- **Recommendation 3.1.2 –** Recommendation is to design a comprehensive ToT approach and plan which will train only key departments (which can be easily coordinated by MARD and DARDs) as key facilitators and officials in provinces, using clear selection criteria to ensure that they can do the training with short refresher training, coaching, practicing opportunities provided. This will make the project design more relevant to the long-term institutional arrangements around DRM.
- **Recommendation 3.1.3 –** The project is encouraged to document the pilot studies more closely, paying close attention to process, methods, lessons learned, effectiveness, and cost. The project is further encouraged to involve all IPs in the documentation, as lessons learned by each may provide a different perspective to the results achieved. Documentation will provide better evidence and will better achieve the overall 40% government target. It is recommended that the project develops a strategy within the pilot for documentation of results for advocacy and replication.
- **Recommendation 3.1.4 –** It is recommended that the project uses the results and lessons learned in the already completed provinces to develop action plans for replication by provinces to enhance the chances of reaching all of the targeted beneficiaries.
- **Recommendation 3.1.5 –** It is recommended that the project prioritizes the completion of the Financing model 'Building Block' which will research and outline methods for financing the implementation of CBDRM in the future to enhance replication.
- **Recommendation 3.1.6** - To ensure that vulnerable groups are reached, It is recommended that the standardized training manuals are translated in as many ethnic minority languages as feasible and that innovative methods such as video training are considered, to reach areas with high illiteracy.
- **Recommendation 3.1.7 –** It is recommended that, as part of improved monitoring, evaluation and quantification of project results (as per recommendation 3.1.3), and improved lessons learned, the following recommendations are made to enhance gender mainstreaming:
- *Stocktaking*: Convene a workshop/meeting to discuss/review the effectiveness of the process of gender mainstreaming to date and identify achievements and gaps. Identify any supplementary/complementary activities/material to address identified gaps and strengthen gender mainstreaming in CBDRM (e.g. it is recommended that the UN Women guidelines on Gender mainstreaming in DRM should be considered as complementary guidelines to be used as part of the CBDRM training manuals. Mechanisms for making such supplementary/complementary material compulsory

should be identified)

- *Monitoring and Evaluation*: The project should examine opportunities to monitor and quantify the effectiveness of gender mainstreaming on the ground (e.g. as part of the wider socio-economic data collection for damages/losses assessments, gender disaggregated methods could be used to measure changes in damages/losses to female-headed households and changes to income generation/security) due to changes in awareness/behaviours/activities etc. during disasters.
- Identify lessons learned on gender-specific DRM practices that would lead to long-term improvements.
- Use lessons learned to recommend improvements to gender mainstreaming in CBDRM and revise CBDRM manuals accordingly.
- **Recommendation 3.1.8 –** A key recommendation for future implementation is to adopt a ToT approach which provides training to provincial level staff, followed by coaching, technical support, M&E, documentation, then the province is given money (or funding identified) to implement the work.
- **Recommendation 3.1.9 –** It is recommended that consistent hazard and risk information should be sourced (if it exists) as this could help to make tools more effective and sustainable. It is recommended that the project examines any opportunities to support any future 'universal' hazard and risk maps as a baseline for all of Vietnam as this would support community based hazard mapping developed by the project and provide the climate change context of the hazard as well. Comprehensive and scientifically derived hazard mapping to support community-based mapping is a good way to ensure sustainability of the mapping and decision making tools being developed.
- **Recommendation 3.1.10 –** It is therefore recommended that an active NP working on DRM and CCA, should include all relevant departments MoET, MONRE, MPI, MoF,Min of Security and Defense, MARD, MoH, MOLISA with a core active team made up of MARD, MONRE, MPI, MOET, WU, NGOs. It is also recommended that the technical working group convened by the project can be formalised and extended to form such a platform.

3.3   Summary of Findings

3.4   National Context of the Project

This project is one of several projects and initiatives aimed at assisting the Government of Vietnam to implement CBDRM (programme 1002) throughout Vietnam.

The CBDRM (programme 1002) is being implemented by the Government of Vietnam over a twelve (12) year period, which started in 2009 and is due to finish in 2020. It is expected to target about 6,000 communes and villages frequently affected by disasters, by strengthening capacity for managing and implementing CBDRM for local officers at all levels, and by improving communication and education, enhancing the capacity of community in disaster risk management. The Ministry of Agriculture and Rural Development and Central Committee for Flood and Storm Control is the focal point for the implementation the CBDRM Project while the Ministry of Planning and Investment works in collaboration with the Ministry of Finance, for balancing and managing the investment from the State Budget and looks for other funding sources to effectively carry out the project. The Ministry of Education and Training works in collaboration with the Ministry of Agriculture and Rural Development and the Central Committee for Flood and Storm Control, to prepare teaching materials while provinces and cities directly under the authority of the Central level, develop and implement the respective project plans for their localities, organize the implementation of the related activities and ensure the effective utilization of the project funds in accordance with the project objective.   The CBDRM programme also aims at engaging with socio-political

organizations, civil societies, the private sector and people in activities to raise the community awareness and to implement CBDRM by involving them in the process of making policies, organizing and carrying out the project activities.

Under the National CBDRM programme there are several other projects and initiatives being implemented by other donors such as the World Bank and ECHO which could provide good opportunities for collaboration and could therefore impact the project results through shared lessons learned.   Annex 7 provides a brief summary of the World Bank CBDRM programme in Vietnam and lessons learned from the recently completed DIPECHO CBDRM project.

3.5   Alignment of project intended outcomes with national objectives

The project intended outcomes are clearly stated in the project design documents (UNDP Prodoc and Australia Aid scoping section of contract) and are in line with national objectives and goals for CBDRM.

UNDP through the SCDM II project is working towards achieving the CPAP2 goals/outputs in the following specific areas:
1) Assist in conducting targeted policy research, pilot innovative interventions and responses that can be scaled up, and present costed policy options to decision makers.
2) Provide ongoing financial support to continue to progress and address the challenges associated with middle-income country status, and help the Government to leverage resources, using its convening power and normative role to ensure that resources are utilized effectively and in the interests of Vietnamese citizens.
3) Work in collaboration with the Government, development partners and political, social, professional and mass organizations, through strategic engagement with multilateral organizations to deliver complementary roles, including in the areas of institutional reform, sustainable development and participatory governance.
4) The UNDP is using its convening power to bring together stakeholders and provide coordination, including on critical cross-cutting issues such as gender equality, and climate change
5) Provide policy advice, in line with international norms and standards, support the integration of those norms and standards into national legislative and policy frameworks and monitor their implementation and impact on beneficiaries.
6) Provide technical expertise and promote the exchange of knowledge based on international best practices.
7) Support innovative approaches to
   a. advocate and help to ensure that the voices of the most vulnerable and disadvantaged are heard, and issues related to inequality are addressed in national policy processes.
   b. Facilitate a multi-sectoral approach and help the Government to coordinate its response to complex issues such as climate change, social protection, sustainable development, governance and gender equality, all of which require a cross-agency approach;

Specifically the project intended outcomes are aligned with the One Plan Outcome 1.3:

By 2016, key national and sub-national agencies, in partnership with the private sector and communities, have established and monitor multi-sectoral strategies, mechanisms and resources to support implementation of relevant multilateral agreements and effectively address climate change adaptation, mitigation and disaster risk management;

It should be noted that the project is also aligned with Australia Aid Outcome:

Enhanced Partnership response - Reinforcing Gov't and Partner capacity and rational and sub-national levels toward an integrated approach to improved humanitarian response, early warning and socio-economic development programme.

3.6 Project outputs and achievements to date

At the start the project a 5-year assessment of the CBDRM programme was undertaken and based on the results, the project objectives and interventions were set.

The project has achieved the following outputs to date:

Component 1 – Enhanced national and sub-national institutional capacities of the Central and Provincial Committee for Flood and Storm Control members and main stakeholders to consolidate the disaster risk reduction (DRR) legislative, policy and strategic framework.

- Output 1.1 – DRM law has been finalized, and associated decrees, circulars and guidelines established;
- Output 1.2 – M&E system for National CBDRM program has been developed and introduced into ToT training;
- Output 1.3 – Technical studies were undertaken to support dialogue during the drafting of the DRM law. Interviews with stakeholders suggest that involvement in dialogue during development of the law was extensive and sufficient;
- Output 1.4 – A National Platform for DRR and CCA has been partially established through a Technical Working Group (TWG);
- Output 1.5 – Tools for post-disaster needs assessment (DNA) established and some training done. CBDRM, CBDRA and Vinaware are pre-event planning tools established by the project;
- Output 1.6 – HFA progress report updated, Sendai delegation, regional involvement in ASEAN agreement, APEC workshop in DRR in CC context;
- Output 1.7 – Reservoir pilot study completed;
- Output 1.8 – EWS pilot - Not started due to issues with institutional arrangement and sustainability.

The capacity development recommendations resulting from the capacity assessment as presented in the document "*Institutional capacity assessment of the committees for flood and storm control at national and provincial levels*" were reviewed by the MTR team and examined against the capacity development that has been undertaken as part of this project. In general, the project capacity development activities have been in line with the recommendations under the enabling environment, organisational capacity and technical capacity.

Under the enabling environment capacity recommendations, the Technical Assistance (TA) provided for the drafting of the law appears to have been effective. All respondents to the interview stated that the technical studies undertaken were critical to the drafting of the law. In addition, the input from the project Technical Working Group (TWG) to the drafting of the law was also important, as it drew upon a wide range of expertise and experience. The technical reports that were prepared to support the drafting of the law were as follows:

- Support for the development of the Decree on the implementation of a number of articles of the Law on Disaster prevention
- Develop a Circular to guide the implementation of CBDRM Programme under the Decision 1002/QD-TTg dated on 13/7/2009

- Support applied research on integration of CBDRM into New Rural Development Program / An assessment and review on small scale disaster prevention work planning to support CBDRM

The institutional capacity development activities were conducted at the national and provincial level as per the recommendations and included the support for attendance at international conferences and workshops. The project has also facilitated dialogue through workshops and meetings.

Based on a review of the capacity development recommendations against the activities that have been undertaken by the project, it is clear that there has been some capacity built at all levels. However, the project has not recorded and tracked (e.g. through testing) exactly what capacity has been built which makes it difficult to verify the effectiveness of some of these capacity building activities. It would be important to conduct a post-project capacity assessment (scheduled for the late 2015) to ascertain capacity built and this should include documentation of capacity built (e.g. through a training register), testing and verification of capacity built and documentation of lessons learned with respect to capacity building. It is also recommended that the post-capacity assessment should also seek to identify remaining gaps and develop a new/revised development plan for post-project CD (**Recommendation 3.1.1**).

Based on the results achieved to date and the rate of disbursement, Component 1 is assessed as being 70% completed. Most of the indicators for Component 1 have been ranked as either satisfactory or highly satisfactorily with the exception of Output 1.8 which has been assessed as unsatisfactory due to substantial delays in starting this activity. Overall progress towards achieving indicators of component 1 has been satisfactory.

Component 2 – Improved capacity of the Disaster Management Centre (DMC) and CCFSC members to effectively and efficiently plan, implement, monitor and evaluate the CBDRM program, ensuring gender sensitivity and participation of vulnerable groups (e.g. migrants, particular ethnic minorities etc) in both urban and rural areas

- Output 2.1 – An M&E system and guidelines for National CBDRM Program has been developed and included in the training material for trainers.
- Output 2.2 – CBDRM & CBDRA training material (manual, guidebooks etc.) has been developed. Training of Trainers (TOT) courses have been undertaken in 20 provinces for Provincial and District level officials to become CBDRM & CBDRA Trainers in their home provinces. The ToT trained 184 provincial and district trainers from the C/CFSC (119 males and 65 females) providing knowledge on CBDRM and how to carryout implementation at the commune level (see Annex 1). During the training the standard sets of CBDRM & CBDRA materials were utilized by facilitators and adjusted to regional and participant requirements;

The intended outcome of component 2 was the development of circulars, guidebooks, training manuals, guidance materials etc. and the training of provincial and district level officials to provide training on how to carry out CBDRM and CBDRA at commune level. 54 communes were trained (increased from 22 due to lower than anticipated implementation costs). The intention was to enable replication of the process to help achieve 5% of the 6,000 communes (i.e. 300) in which CBDRM would be implemented by 2012, and help the government achieve its target of 40% of 6,000 communes by 2016. It is important to note that the project is not expected to achieve the 40% itself, but it is hoped that the other NGOs

implementing CBDRM under other projects/programmes and government, through using the training material provided by this project will achieve the government target. Limited consultations with NGOs using the material suggest that it is welcomed and useful.

The training of CCFSC to deliver the training (ToT) has been in sufficient numbers (64 trained over two workshops in 2013). Some responders, however, question the effectiveness of the training in embedding capacity at provincial and commune levels. There is concern that the training process has not been effective in identifying appropriately skilled trainers and developing these trainers to an adequate level of competence. It is therefore felt that ToT resulted in insufficient numbers of competent trainers (responders suggest there are limited numbers of trainers nationally who can competently deliver the training). There is also a suggestion that the training should have focused on CCFSC and DMC staff. Recommendation is to design a comprehensive ToT approach and plan which will train only key departments (which can be easily coordinated by MARD and DARDs) as key facilitators and officials in provinces, using clear selection criteria to ensure that they can do the training with short refresher training, coaching, practicing opportunities provided (**Recommendation 3.1.2)**.

In pilot areas, the implementation has resulted in increased community awareness and lower losses which has been confirmed by communities (e.g. no. of buffalo deaths due to cold-spells reduced, loss of corn reduced because of changes to seasonal production calendar, families invest in swimming lessons for children), and greater participation of communities in DRR assessment and planning. While the pilots have been deemed as successful it has been noted by responders, that there is no clear guidance to provinces on how to finance long term activities and how to replicate in other communes.

The MTR team has found that lessons learned and results achieved whether qualitative of quantitative, have not been consistently recorded by the project. The project is encouraged to document the pilot studies more closely, paying close attention to process, methods, lessons learned, effectiveness etc. The project is further encouraged to involve all IPs in the documentation, as lessons learned by each may provide a different perspective to the results achieved (e.g. Oxfam has suggested that they want to fully document the implementation and results in their provinces). Documentation will provide better evidence and will better achieve the overall 40% government target. It is recommended that the project develops a strategy within the pilot for documentation of results for advocacy and replication (**Recommendation 3.1.3)**.

Based on the results achieved to date and the rate of disbursement, Component 2 is assessed as being 50% completed. Indicators for component 2 range from marginally satisfactory to highly satisfactorily. Overall progress towards achieving the indicators of component 2 has been satisfactory.

Component 3 – Evidence based action research on DRR and CCA utilized to improve policy and strategy and plans developed and implemented at national, regional and international level.

Output 3.1 – A study on how to mainstream DRR and CCA into the new rural development program was completed;
Output 3.2 – Initial discussion with WRU but no MoUs established as yet.

Very little has been achieved under this component to date, although dialogue has started with university departments with which the project is seeking to establish partnerships. The main barrier has been the difficulty of contracting university departments directly.

Based on the results achieved to date and the rate of disbursement, Component 3 is assessed as being 30% completed. Overall progress towards achieving the indicators of component 3 has been assessed as unsatisfactory.

3.7 Other initiatives and factors contributing to project results

Since the start of the project, the Dyke Management department under the MARD has been restructured to create the Department for Natural Disaster Prevention and Control (NDPC) and the Dyke Department. This change in organisational structure has resulted in a change in focus of the project from supporting the DMC to supporting the activities of the NDPCC in the coming year. This may have an impact on the project final results. During the coming planning period, the activities to support the NDPC will be agreed. However, consultations with the NDPC during the MTR mission revealed that they will be looking to the project to support the following activities which may have an impact of the project final results:

- Review and supplement policy on post disaster support. This refers to 'money in had' compensation to people affected by disasters, for example provision of rice for immediate use (food supply), rice seeds for replanting destroyed rice fields and monetary compensation for losses of rice, livestock or support for people. It is possible that the project can effectively support this, by using knowledge already gained by working in the communities to assess their disaster risks and impact (i.e. the project should have already gathered information of needs following disaster in specific provinces). Such assessment could provide the basis for development of the policy and would have a positive contribution to the project results.
- Support training for districts without dyke to implement non-structural measures such as emergency response. This was expected under the project but has not been done as yet. Again, if implemented in the coming year, this would positively contribute to the capacity building initiatives already delivered by the project.
- NDPC would like the project to develop a decree on NPD fund.
- Develop National Disaster and Control Plan
- Support to complete a proposal for a new project on super-storm cooperation which will include development of a plan to respond to super-storms, support to study Tacoloban storm, development of preparedness plan for superstorms.

Hence the change in organisational structure and creation of the new department could have an impact on the final project results which could be positive from a technical perspective, but the project will need to ensure that the funds are available to support these new/additional activities.

3.8 Relevance of project strategy

The project was designed to be implemented by The Disaster Management Center (DMC) as the National Implementing Partner (NIP), under the Directorate for Water Resources (WRD) of the Ministry of Agriculture and Rural Development (MARD) with the Viet Nam Red Cross Society (VNRC), the Viet Nam Women's Union (VWU) and Oxfam as co-implementing partners (CIPs).

MARD, with overall responsibility for the implementation of the national CBDRM programme is the relevant focal agency for the implementation of the SCDM II project. At the time of design the DMC, as the main organisation with responsibility for disaster management was best placed to act as the PMU and have responsibility for implementing the project, given the technical oversight that it has in the field of disaster management. The project was also aiming to creating innovative partnerships between DMD, VNRC, the VWU and Oxfam to

build on their relative strengthens and comparative advantages (in particular, with respect to working at the community level in disaster risk reduction), while enhancing their capacities. This partnership design is relevant and in line with the National CBDRM programme 1002, which encourages the involvement of socio-political organisations, civil society and the general public in awareness raising activities and implementation of CBDRM.

The SCDM II project components 1 and 3 are aimed at building capacity at central and provincial level with DMC and CFSC and is based on capacity building and assessment undertaken in SCDM I and at the start of SCDM II. SCDM II project component 2 is aimed at developing training material necessary for the implementation of CBDRM and undertaking implementation with pilot communes. All project components are designed to be in line with CBDRM Component I: strengthening capacity for managing and implementing CBDRM for local officers at all levels, and Component II: improving communication and education, enhancing the capacity of community in disaster risk management

The overall project strategy is therefore in line with CBDRM programme 1002, and is therefore relevant and the most effective route to achieving the expected/intended results.

3.9   Relevance of Implementation strategy

The design of the implementation partnership arrangement was intended to utilise the experience, expertise and specific strengths of key INGOs and Mass organisations in the implementation of CBDRM, and to enable all relevant stakeholders/players in the DRM and related fields to influence DRM policy and process at the governmental level. The partnership strategy was therefore important for the successful implementation of CBDRM. It was a new way of working and its intended design was hailed by all interviewed as a great step forward. All CIPs reported some degree of satisfaction with the inclusion of their expertise in the project and, in particular in the drafting of the DRM law and the PMU in turn, expressed satisfaction with and appreciation for the technical contribution of the CIPs to the project.

Based on consultations with all CIPs, however, the actual implementation of the partnership appears to have been different to the intended design. The main challenges faced by the partnership are discussed under the 'efficiency' and adaptive management sections and includes recommendations for more effectiveness partnerships.

In general, the project implementation strategy, including the partnership model is assessed as relevant and an effective route for implementing the project

3.10   Relevance of Piloting Strategy

A key project strategy was to use the pilot areas to implement CBDRM in selected communes, which would then enable provinces to replicate the process in the remaining communes, with the intended result being implementation in 5% of communes (300) by 2012 and contribution towards achievement of the government target of 40% of 6,000 communes by 2016. The pilot areas are therefore an important part of the project implementation strategy and a key achievement of the project has been implementation in 54 pilot communes, which is more than the intended 22. However a potential limitation of this strategy might be the lack of documentation of the results of the whole process and advocacy at different levels, especially at commune, district and province levels as a means of providing clear guidance for replication, which could hinder upscaling and the achievement towards the government target of 40% of 6,000 communes.

The project strategy also included the development of key components within a building blocks model. The project has successfully completed the first four building blocks (national implementation guidelines, CBDRM Manual, CBDRM M&E system and guidelines and

CBRA training manual) and is on the way to successfully completing the last two building blocks (Guidelines for CBDRM provincial planning, and guidelines for commune CBDRM planning). The 5th building block - the financial implementation modalities - has not been significantly progressed as yet. The financial implications of implementing CBDRM is key to the sustainability of the project and the ability of provinces to replicate. It is noted that the project is planning to focus on this building block in the coming year and has already started discussing overall CBDRM financing with government (SCDM II Presentation April 2015). To further assist in this regard, the project could make use of the pilot areas already done or currently being implemented to assist in the study of financing, and it is recommended that this should include identification of innovative fund raising methods (e.g. through PPP). The project, through closer monitoring and quantification of its actual and expected long-term results can also use methods which include 'damages averted' due to implementation of CBDRM as part of the cost-benefit analysis evidence that may need to be provided on financing. Such cost-benefit analyses (damages averted, compensation costs saved, capital cost of repairs to infrastructure saved, lives saved) are often very useful in discussions with government decision makers. The pilot implementation areas provide an opportunity to provide such evidence/anticipated results. A lack of collection of quantitative and qualitative results of all of the project outputs could hamper the advocacy value of the project.

In general, the project piloting strategy is assessed as relevant and an effective route for implementing the project, however, better use can be made of the evidence and impact results for developing the long-term financing model for CBDRM and for project advocacy in the future.

3.11 Identification of the target beneficiaries

The project is intended to reach beneficiaries at all levels of government and society.

Components 1 and 3 are intended to benefit central and provincial staff of DMC and CFSC and has done so with respect to providing capacity building and providing technical support in policy making and development of laws, participation in international DRR and DRM activities, and provision of research to support decision making. The project has also been effective in introducing new technologies such as Geospatial applications to support DRM. In addition, the training materials development under Component 2 has had wide national beneficiaries as they have provided a unified and definitive set of CBDRM training materials which is being used by many other projects involved in implementing CBDRM.

Component 2 is implementing CBDRM in pilot areas and therefore has as its ultimate beneficiaries, people at the commune level who are at risk from disasters. The 6,000 highest risk communities were identified in SCDM phase I and 20 highest risk provinces were selected for intervention by the SCDM II project (22 listed in Project Document). The SCDM II project undertook pilots in 54 communes with the intention that provinces will replicate in the remaining to get to 5% by 2012 (300) and contribute to the 40% of 6,000 by 2016 government target. No numbers are available for provinces that have replicated using the results of the pilot. Barriers to replication (as identified by provinces and other responders) include: 1) lack of funds; 2) Lack of guidance and assistance on how to raise funds and no government commitment to fund; 3) No clear idea of how to replicate (process not sufficiently documented). In addition to **Recommendation 3.1.3**, regarding improved monitoring and documentation it is also recommended that the project uses the results and lessons learned in the already completed provinces to develop action plans for replication by provinces to enhance the chances of reaching all of the targeted beneficiaries (**Recommendation 3.1.4**). It is also recommended that the project prioritises the completion of the Financing model 'Building Block' which will research and outline methods for financing the implementation of CBDRM in the future to enhance replication (**Recommendation 3.1.5**.

The project has successfully implement CBDRM in 54 communes to date, and has therefore reached the beneficiaries in these communes.

3.12 Vulnerable Groups

One of the project's stated objectives was to reach all ethnic minorities and vulnerable groups (remote communities, disabilities, illiterate). It is not clear to what extent the project has successfully reached the most remote communities and ethnic minorities as there was not specific information available to the MTR team on this. One way of ensuring that these vulnerable groups are reached, is to ensure that the standardised training material is made available in as many necessary ethnic minority languages as possible, and that innovative methods are used to reach illiterate group. It is therefore recommended that the training manuals are translated in as many ethnic minority languages as feasible and that innovative methods such as video training are considered to reach areas with high illiteracy (as proposed by Oxfam) (**Recommendation 3.1.6**).

3.13 Gender Mainstreaming

Gender mainstreaming is a specific aim of the project as stated in the project document:

"Focus on gender equality and mainstreaming and culturally appropriate programming".

Gender is mentioned within the project results framework as follows: Baseline 1.4 and 3.1, targets 2.1, 2.2 and 3.1 and planned activities 2.1.3.1, 2.1.3.3, 2.2.1, 2.2.2. All consulted CIPs, NIPs, NGOs were happy with the level of consultation and inclusion of gender in the project design phase.

To date, the project has achieved the following positive results with respect to gender mainstreaming: It is the first project to involve WU as a CIP with the aim of giving women a voice in DRM and a key benefit of this strategy has been inclusion of gender in the DRM law, and training material. Due to the good technical and practical input and advocacy by WU in the project, there is a wide understanding of gender issues among the key stakeholders interviewed, including central and regional government officials as well as women at the commune and village level. It is therefore likely that the project has already contributed to the longer-term women's empowerment in Vietnam. At this early stage, however it is difficult to assess the extent of this achievement.

While there appears to be general satisfaction that gender has been included in the CBDRM implementation guidelines and training material (examination of the training manual confirmed that gender analysis and participation is included in the body of the text in every section of the manual, and additional information is also included in an annex), it was noted by several responders that it was included after much debating and opposition. Some stakeholders consulted also feel that the way that gender is included implies that it is not compulsory. There has also been concern expressed that trainers are not necessarily capturing gender perspective well, due to limitations of how gender has been included within the training material. WU, Oxfam, VNRC, and UN Women all expressed concern that gender is not sufficiently reflected in the training manuals in terms of practical guidance on how to mainstream gender in the CBDRM process. UN Women have recently prepared and launched their own guidelines on gender mainstreaming in DRM and it is recommended that their manual is considered as a complementary/supplementary manual for gender mainstreaming.

Given the importance of gender and vulnerability mainstreaming within the project and the concerns raised by most of the key stakeholders regarding the effectiveness of gender mainstreaming, it is recommended that, as part of improved monitoring, evaluation and quantification of project results, and improved lessons learned, the following recommendations are made (**Recommendation 3.1.7**):

1) *Stocktaking*:   Convene a workshop/meeting to discuss and review the effectiveness of the process of gender mainstreaming to date and identify achievements and gaps. Identify any supplementary/complementary activities and material to address identified gaps and strengthen gender mainstreaming in CBDRM (e.g. it is recommended that the UN Women guidelines on Gender mainstreaming in DRM should be considered as complementary guidelines to be used as part of the CBDRM training manuals.   Mechanisms for making such supplementary/complementary material compulsory should be identified)

2) *Monitoring and Evaluation*:   The project should examine opportunities to monitor and quantify the effectiveness of gender mainstreaming on the ground (e.g. as part of the wider socio-economic data collection for damages and losses assessments, could use gender disaggregated methods to measure changes in damages and losses to female-headed households and changes to income generation and security) due to changes in awareness/behaviours/activities etc. during disasters.

3) Identify lessons learned on gender-specific DRM practices that would lead to long-term improvements.

4) Use lessons learned to recommend improvements to gender mainstreaming in CBDRM and revise CBDRM manuals accordingly.

3.14 Country ownership and country priorities

Country Priorities: The project has addressed the country priority to implement the DRM law and has been successful in assisting the government to achieve this (law implemented in May 2014).   The project is also aligned with the Governments 1002 Programme on awareness raising for DRM and the implementation of CBDRM.

Country ownership of the project is very good due to the National implementing partner being the main government department with responsibility for Disasters (the DMC).   The project strategy to build capacity at all levels of government has also contributed to strong country ownership.   There is a risk, however, that in the provinces, ownership (i.e. confidence to implement/replicate CBDRM within the communes) could be hampered by a lack of clear direction on how to comprehensively implement CBDRM (i.e. replication issues discussed above), and lack of clear budget allocation (by government) for replication and scaling up. In addition, because under the project, implementation has been by NIP and CIP down to the commune level, and not by provinces, this could lead to a lack of provincial ownership.   In other projects (e.g. CARE international) national ToT training is undertaken for provincial level staff, which is followed by coaching, technical support, M&E, documentation, then the province is given money to implement the work, whereas on SCDM II, the project is using NIP and CIP throughout the process down to the commune level. A key recommendation for future implementation is therefore to adopt a similar ToT approach to capacity building, and then provide the provinces with the budget to implement for themselves, with the project supporting with coaching etc. (**Recommendations 3.1.8**).

3.15 Project decision-making processes during project design

There is no stakeholder engagement plan in the project document and no record of consultations at project planning stage has been provided. However, respondents to the interviews have all stated that they felt that they had been extensively consulted during project design.   During project implementation, the Technical Working Group which comprises representatives from several different organisations (Government, NGOs, Mass Organisations), acts as the main stakeholder consultation vehicle on technical issues.

It is noted that the Ministry of Natural Resources and Environment (MONRE), has not been extensively consulted throughout the project, and attempts to meet with them during the MTR mission were discouraged by the PMU, siting that no one from MONRE has been involved in the project and they would not be able to provide any feedback to the MTR team. Subsequent information provided by the ITA suggested, however, that the meteorology institute associated with MONRE has been responsible for developing of the climate projections for Viet Nam and has been involved in the project, particularly with regards to work on early warning system development and on vulnerability analysis. Given that the project is addressing disaster risk under climate change, it is expected that MONRE (with responsibility for climate change) could provide valuable input to the project and should have been involved in project design.

3.16   Relevance of the tools / instruments / inputs applied by the project

The main tools developed by the project are the CBDRM documents and training manuals. Interviews with NGOs (Plan International, CARE international, World Vision, Save the Children) confirmed that the documents are being widely used in the implementation of CBDRM on this project as well as other CBDRM projects that are being implemented. These documents are therefore highly relevant in promoting community based DRR action. The project has also developed a Disaster and Needs Assessment tool which meets gov't priority on assessing recovery and response needs and is therefore highly relevant. The project is providing capacity development on disaster information management and the use of geospatial information for example using Vinaware and has developed geospatial tools and data which meets the government priority on pre-event planning, and decision 1002 - CBDRM. A GIS-based disaster database is being developed by the project, to record and characterise all disasters by type. Geospatial and GIS information is critical to disaster management so these tools and capacities are highly relevant to the project. However the disaster database being developed needs to address/overcome data sharing issues with respect to data held by different departments (based on communication with Project Coordinator during interview). It is unclear whether the risk assessments and risk mapping being done using the CBDRA manual is complemented by any scientifically derived hazard and risk modelling or mapping. It is recommended that consistent hazard and risk information should be sourced (if it exists) as this could help to make tools more effective and sustainable. It is recommended that the project examines any opportunities to support any future 'universal' hazard and risk maps as a baseline for all of Vietnam as this would support community based hazard mapping developed by the project and provide the climate change context of the hazard as well. Comprehensive and scientifically derived hazard mapping to support community-based mapping is a good way to ensure sustainability of the mapping and decision making tools being developed (**Recommendation 3.1.9**).

3.17   Relevance and effect of technical assistance and planning support

It was not possible to review all of the technical documents produced by the project, mainly because most of them were in Vietnamese. However, responders to the interview have all indicated that the Technical Working Group has been very effective in bringing together a broad range of expertise to input to and address technical issues. Technical studies have been done to develop law, decree, manual etc., were relevant and useful. In this regard, the involvement of the CIPs has been important and invaluable in ensuring their expertise in gender, participatory methods, capacity building at provincial and commune level were reflected in the material produced by the project (communication with PC and NTA). The project also benefits from very effective National and International technical Advisors.

The National Platform was intended to bring DRR and CCA technical experts into a cooperation and collaboration and provide technical support nationally. Such a forum is very

relevant to the implementation of CBDRM and DRM in general. The documentation examined provided little evidence that a formal NP has been set up for this purpose. It is therefore recommended that an active NP working on DRM and CCA, should include all relevant departments MoET, MONRE, MPI, MoF,Min of Security and Defense, MARD, MoH, MOLISA with a core active team made up of MARD, MONRE, MPI, MOET, WU, NGOs. It is also recommended that the technical working group convened by the project can be formalised and extended to form such a platform (**Recommendation 3.1.10**). The project could also investigate whether the existing Committee on NDPPC is able to function as the national platform and whether the project can work with this committee to see how to integrate any technical thematic areas that may be lacking from the committee.

3.18 Effectiveness

3.19 Recommendations

- **Recommendations 3.2.1** – It is recommended that the project gathers lessons learned, results achieved etc. for advocacy and upscaling (see also section on lessons learned).

3.20 Summary of Findings

3.21 Accomplishment of outputs

Area selection criteria and its implementation

Multi-hazard risk assessment was undertaken to identify the most vulnerable communes nationally (the 6,000 communes being targeted by the national CBDRM programme 1002). Based on a CCFSC report on damages and loss assessment and consultation, the project selected 20 provinces comprising 54 communes from the 6,000 for intervention (verbal confirmation from ITA that vulnerability was taken into account in the final selection of provinces). This was an effective approach to selecting implementation areas given the information that was available during the design.

Targeting strategy for the identification of gender disaggregated beneficiaries

The project log frame gives gender disaggregated targets under target 2.1, 2.2, and 3.1. However most targets are not gender disaggregated. Gender specific baselines are provided for only 1.4 and 3.1, suggesting that there was perhaps insufficient gender-disaggregated baseline data at project design stage. Better gender disaggregated data at design stage might have better targeted gender disaggregated activities and beneficiaries. Progress reports give disaggregated data on number of men and women participating in activities which confirms that targets in terms of numbers are broadly being met. The project has as its clear objective to integrate gender and other vulnerabilities. The strategy for doing this includes use of WU to help integrate gender into DRR, and the use of WU network to help with the implementation (through training). Better gender data at baseline might have resulted in better results. See also comments in 'relevance' regarding gender and associated recommendations.

3.22 Emerging effect of the project to support implementation of the National CBDRM Programme 1002

The main observable national effects of the project are: DRM Law finalised and implemented with technical support of the project, training material, guidelines, trained trainers to implement CBDRM (although responder comments suggest that numbers trained was not sufficient and that there are limited numbers who can deliver the training nationally). The building blocks for CBDRM implementation mostly completed except financial mechanism (national level). These outputs are clearly invaluable in supporting the implementation of the national CBDRM programme 1002 and have already achieved impact in the wide use of the training manuals by other projects implementing CBDRM.

Effect of local implementation: The main local effect of the project is that CBDRM has been successfully implemented in 54 pilot communes. The intention was to ensure replicability of the implementation so that local governments could continue implementing CBDRM for themselves. There have been limited attempts to replicate implementation of CBDRM by the pilot provinces, outside of project-funded implementation on other projects (that is, limited provinces have attempted to implement CBDRM with their own budget allocations and using the training provided under the SCDM II project). The project working approach does not currently provide a 'roadmap' for the further implementation of the programme mainly because the project has not provided an assessment of the financing model for future implementation.

At the village level: The pilots have been effective in raising awareness as people are now well aware of the prevention and mitigation actions they can take to minimize damages and losses due to disasters (interviews with villagers at Phu Tho). DRM is being mainstreamed into SEDP (the MTR team witnessed DRM mainstreaming into SEDP in Phu Tho). Phu Tho confirmed that all the short-term activities in the SEDP action plan will be implemented with existing local resources. However, they have no clear idea of how to finance long term activities.

As a general observation, the project has not systematically documented the emerging effect of the project on beneficiaries, so all observations above are based on limited evidence gathered during the 10 day mission. It is recommended that the project gathers lessons learned, results achieved etc. for advocacy and upscaling (see also section on lessons learned) (**Recommendation 3.2.1**).

3.23 Project qualitative and quantitative performance against outputs and targets

The tables below (Table 3-1 and Table 7-1) summarise the main project activities undertaken against planned and actual activities as defined in the project document and work plans, and the degree of completion in terms of the disbursement rate of the activities. It is based on a detailed review of the project annual reports for 2013 and 2014 and the Q1 and Q2 quarterly reports for 2015. Table 8-1 is a summary of the project achievements against the baseline and targets and provides a qualitative assessment (based on a scaled rating) of achievement from Highly unsatisfactory to Highly satisfactory.

3.24 Quantitative Assessment - Progress toward Results - Finance

Table 3-1: Summary of disbursement rate by output (against actual funding for each output)

	2013	2014	2015 (Q1&Q2)	Overall Delivery rate by output
	Disburse. Rate (%)	Disburse. Rate (%)	Disburse. Rate (%)	Disburse. Rate (%)
Output 1.1	83.32%	65.26%	58.56%	69.05%
Output 1.3	42.11%	40.68%	10.22%	31.00%
Output 1.4	88.64%			88.64%
Output 1.5	67.51%	99.05%		83.28%
Output 1.6	36.25%	22.81%	17.25%	25.43%
Output 1.7	77.25%	38.77%	133.58%	83.20%
Output 1.8	97.13%	58.24%	163.77%	106.38%
Output 2.1	94.69%	59.10%	0.00%	51.26%
Output 2.2	79.53%	68.64%	0.00%	49.39%
Output 3.1	91.45%	90.77%	0.00%	60.74%
Output 3.2	0.00%			0.00%

Table 3-1 Summaries the disbursement rate by output and year and shows that component 1 has a disbursement rate of approximately 70%, Component 2, an average of 50% and Component 3 an average of 30%. It should be noted that the disbursement rate is based on planned against actual spend, but the actual spend might have changed within the year for one reason or another (for example activity 1.3.1 the budget was increased from $20,000 to $180, 000). By year, the project averaged 70% delivery in 2013 compared to 60% in 2014 (2015 only include Q1% and Q2 so cannot be compared). The sub-optima rate of delivery is likely to reflect the delays in the start of activities in 2013 and 2014 due to the approvals process.

In 2013, the disbursement rate of Output 1 was approximately 70%. The low rate of disbursement includes:

- 1.3: Enhanced capacity of National Assembly's Committee of Science, Technology and Gov Drafting/Editorial Committee to finalize effectively the formulation and promulgation of the NDPC law and accompanying decrees (only 42%). It was explained that
    - o 1.3.1. The budget has been increased from $20,000 to $180,000 to conduct the research supporting the development of a Decision on the levels of risks, but the research has not been approved. Hence the disbursement rate of this activity is only 37.05%.
    - o 1.3.2. Provide technical assistance on DRR/CCA to National Assembly (NA) members in the process of verification and development of NDPC law, as well as in the future supervision of NDPC law implementation - the budget has been decreased from $34,944 down to $9,500, but the disbursement rate is still only 48.43% - This change may negatively impact to the achievements of the project targets (40% of 6,000 commune) and could limit the project interventions with NA members. The awareness of local government

authorities are very important to the roll out of the law and CBDRM program, and the supervision role of the NA members in the implementation of the NDPC law and CBDRM program is important, it will not only increase the awareness to NA members and local government authorities on DRM, CCA and CBDRM, but also ensure the responsibilities of local government organizations to have better efforts to implement the CBDRM program.

- 1.6. Implementation of commitments made internationally and regionally identified and prioritized by DMC/DDMFSC (disbursement rate is only 33.75%). There is no explanation for the low disbursement rate. The project may wish to increase the disbursement rate by developing the communication tools to share experience with other countries in international and regional forums.

The disbursement rate of output 2 and output 3 in year 1 is very good (87 and 91% respectively) and the project has utilized the project funding as per the agreed work plan.

In 2014, the disbursement rate of output 1 is only 54%, the low rate of disbursement includes:

- 1.3. Disbursement rate is only 40.68% - due to the cancellation of the research supporting the development of the Decision on levels of risks - relevant change.
- 1.6. Disbursement rate is only 23.75%, the issues as mentioned above.
- 1.7. Development of a comprehensive hydro-power/irrigation reservoir management system, disbursement rate is only 38.77% - because the works will be continued in 2015.
- 1.8. Improvement of multi-hazard integrated early warning system in selected high risk provinces, the disbursement rate is only 58.24% - because the work will be continued in 2015. We do not see the progress of this work in 2015 (it seems that the project dropped this work). The community based early warning system is an important output for the project and its establishment should be prioritized - this is the priority raised by the villagers and commune authorities when we visit Phu Tho province as well as the DMD.

The output 2: Disbursement rate is 64%, and there is low rate of disbursement of several activities which may negatively affect to the achievements of the project targets.

- 2.1.2.2. Support testing of plans and CBDRM workshops (disbursement rate is only 32.95%), we see that the project only supported a lessons learned workshop. The project may need to support a comprehensive pilot (including the support testing the implementation of CBDRM plans), and conduct good documentation before the lessons learned workshop as per earlier recommendations.
- 2.1.4. Develop an inventory of digital hazard maps and risk assessment derived from communes/villages and GIS mapping, disbursement rate is only 26.24%. This work should be prioritized to reach the ethnic minority and illiterate people where visual tools would be a substantial help.
- 2.1.8. Support the collection, development and promulgation of IEC and media materials with the Gov and partner organizations as part of awareness raising activities to support the CBDRM, the disbursement rate is only 34.37%, and we do not see the progress in 2015. This work needs to be prioritized, especially to reach the vulnerable, ethnic minority and illiterate people as also raised by Oxfam on translation of the materials in ethnic minority languages or develop media materials.
- 2.2. Enhanced capacity of districts/cities, communes/wards level CCFSC member to plan, implement, monitor and evaluate the Gov CBDRM program ensuring the broad stakeholder participation, disbursement rate is only 75.51%. And we do not see the progress in 2015. The project could increase efforts to enhance the capacity and involve the district/city level.

- 2.2.1. Oversee the finalization of gender sensitive, cultural appropriate CBDRM training materials and guidelines for commune, ward and village levels in seven different regional zones through a participatory process, the disbursement rate is only 37.62%, and we do not see progress in 2015. This work also needs to be prioritized (as raised by INGOs). The project will need to work with UN women, Unicef, Plan, Malteser to better integrate the gender, child and disability issues in the CBDRM materials.

3.25 Qualitative - Outputs achieved against indicators and targets

Table 8-1 summarises the key achievements towards indicators and targets.

- Component 1 is approximately 80% complete in terms of completion of tasks, despite an average disbursement rate of 70%. Most of the indicators for component 1 have been ranked as either satisfactory or highly satisfactorily with the exception of Output 1.8 which has been assessed as unsatisfactory due to substantial delays in starting this activity. Overall progress towards achieving indicators of component 1 has been satisfactory.
- Component 2 is approximately 60% complete in terms of completion of tasks, with a disbursement rate of 50%. Indicators for component 2 range from marginally satisfactory to highly satisfactorily, but overall progress towards achieving the indicators of component 2 has been satisfactory.
- Component 3 is approximately 20% complete in terms of achievements, with a disbursement rate of 30%. This low achievement rate is in part due to the fact that the associated activities were not scheduled until 2016. Overall progress towards achieving the indicators of component 3 has been unsatisfactory.
- Hence overall, the project can be said to be progressing well, although there are some concerns. In particular, the long project planning process has resulted in major delays (up to 6 months) of some planned activities, on an annual basis and is reflected in the low disbursement rate throughout the project.

3.26 Effectiveness of the cost sharing arrangements between the project and beneficiary communities and between the Government of Viet Nam and UNDP

Based on the project documents the planned relative contributions of the funding partners were as follows:

Australia Aid –$2,800,000 USD

Government –$250,000 USD

UNDP –$300,000 USD

Unfunded - $1,500,000

Using the project annual reports, the planned and actual contributions from the project funders has been summarised in Table 3-2. The table shows that in 2013, Aus Aid provided 85% of its planned contributions, while UNDP provided 50.71% of its planned budget. In 2014, AusAid provided approximately 90% of its planned contribution while UNDP provided approximately 100% of its planned contribution. The reports do not show any contributions from the Government to date, possibly due to the fact that government contribution has been

mainly 'in kind'.   The project should look to record these in-kind contributions in the financial reporting.

Table 3-2: Summary of project expenditure by donor

Year	Output/Activity	Aus Aid Planned	Aus Aid Actual	UNDP Planned	UNDP Actual
2013	1.1	86000	72325.99		
	1.3			196500	77090.55
	1.4			44000	38525.27
	1.5	61000	35794		
	1.6			45000	15185.83
	1.7			50000	39338.55
	1.8	30000	29139.9		
	2.1	263000	252829.34		
	2.2	75000	59648.28		
	3.1	30000	27408.74		
	PM & TA	174,813.60	136472.23		
	GMS & Other UNDP			50442.95	108394.41
Total		**719813.60**	**613618.48**	**335500**	**170140.2**
% disbursement			**85.25**		**50.71**
Year	Output/Activity	Aus Aid Planned	Aus Aid Actual	UNDP Planned	UNDP Actual
2014	1.1.1	4,500	1338.53		
	1.1.2			65,000	58,192.43
	1.1.3	14,400	11,017.74		
	1.3.1	27000	10984.31		
	1.5.1			6400	6339.21
	1.6			8090	1921.17
	1.7			9000	3489.13
	1.8			3000	1747.13
	2.1	462200	370824.36		
	2.2	23900	18047.35		
	3.1	600	544.61		
	PM&TA	355006.5	352213.69		
	Netherlands (Equ	13000	10917.72		
	Project Support		32,079		21731
	Other UNDP			73244	71638.81
Total		**900,607**	**807,967**	**164,734**	**165,059**
% disbursement			**89.71**		**100.20**

3.27 Efficiency

3.28 Recommendations

- **Recommendation 3.3.1** – It is recommended that capacity indicators should include actual measures of increased capacity.
- **Recommendation 3.3.2 –** Gender and vulnerability currently only focus on numbers of participants. It is recommended that vulnerability indicators should be more specific (e.g. Training material translated into at least 5 ethnic minority languages or visual training/assessment tools, participatory assessment tools to

illiterate people). It is also recommended that gender indicators should include measures of gender mainstreaming improvement.

- **Recommendation 3.3.3 –** To address the lengthy AWP approvals process, it is recommended that the annual project planning starts earlier (October).
- **Recommendation 3.3.4 –** To address communication issues raised, it is recommended that the CIP coordinator schedules a day a month as agreed, to work in the PMU office alongside the NIP.
- **Recommendation 3.3.5 –** It is also recommended that the project makes either PM or PC a fulltime position to enable better and more consistent daily project coordination.
- **Recommendation 3.3.6 –** The following recommendations have been identified:
  - Monthly/weekly face-to-face meetings of all CIPs and NIPS on a pre-arranged regular date (e.g. first Wednesday of every month), with firm commitment from all parties.
  - Embedding/co-working of CIP coordinators into the PMU for one day a month as per the LoA.
  - Document/record lessons learned on all aspects of the implementation of CBDRM (drawing on the experience of all different CIPs) and use to improve future partnerships.
  - Joint working of CIPs and NIP on communication and advocacy activities of the project outputs and results.
  - It is noted that MARD is currently setting up a new DRM&CCA partnership office within the Water Resources Directorate. The partnership will be government led and will be independent of project work, but will support all projects being implemented on DRM and CCA. It is recommended that the project should support this new partnership (which appears to be taking the form of the intended National Platform for DRM/CCA), which is likely to be more sustainable as it will be established under the MARD and will be independent of projects. The project could also help to play an advisory role in the setting up of this partnership by sharing lessons learned under the SCDM II. It is also recommended that the new partnership should seek to include the VWU and Oxfam (VRNC already has a long-term LoA with MARD into the new partnership) to ensure that the strides made in giving these organisations a voice at government level, does not go to waste.

3.29 Summary of Findings

3.30 Efficiency of utilization of agreed project funding

Assess the timeline and quality of the reporting followed by the project

The work plan in the inception report has been reviewed against progress reports to confirm what planned activities have been delayed or cancelled. Project disbursement rate in year 1 was 70%, year 2 – 60% and year 3 48% (based on Q1 and Q). These disbursement rates reflect delays in some activities as discussed above. Project cost monitoring appears to be adequate. In general, there are no activities that are more that 110% overspent which implies that costs have been maintained within expected levels. In general, project progress reporting is comprehensive.

Critical analysis of the project's logframe indicators and targets, and suggested specific amendments/revisions

Outcomes and objectives: Project objectives and outcomes are clear, practical and feasible within the time frame.

Indicators: Capacity indicators currently focus on numbers trained. It is recommended that capacity indicators should include actual measures of increased capacity (**Recommendation 3.3.1**). Gender and vulnerability currently only focus on numbers of participants. It is recommended that vulnerability indicators should be more specific (e.g. Training material translated into at least 5 ethnic minority languages or visual training/assessment tools, participatory assessment tools to illiterate people). It is also recommended that gender indicators should include measures of gender mainstreaming improvement (**Recommendation 3.3.2**).

Targets: Project targets regarding number of communities for intervention appears to be unrealistic at this three-quarter stage of the project. It is recommended that the targets are amended to a number that can be achieved given the expected rate of implementation and remaining budget.

Qualitative and quantitative assessment of management and other inputs provided by the project

Qualitative: Technical Assistance - through commissioning of technical studies such as those that supported the development of the law and associated decrees and circulars. All responders have said that this has been invaluable and has allowed the developed of the DRM law that would not have been possible without the project. Capacity building via the TWG, workshops, meeting, knowledge sharing for developing the law is also noted. Training to provincial level (e.g. dyke management training), review of CBDRM (39 provinces); Support for international/regional workshops and forums for knowledge exchange. Technical assistance has been a success on the project as reflected in the law and decrees, one circular and others under development, regional cooperation etc., and capacity built at national, provincial and district level. Equipment - project has not provided equipment. The project has engaged with external consultants for some technical input where needed.

Project Management: The Annual Work Planning process can take up to four months for approval of AWPs by government and a further 2 months to undertake procurement in fulfilment of the workplan. This process is too long. In addition, there are differences in the Cost Norm used between the CIPs and NiPs. Change management on the project (e.g. changes to the activities to be implemented or the method of implementation) has been difficult (e.g. communicating changes to agreed activities). Contractual arrangements with some types of organisation have been problematic (e.g. cannot implement work with universities because of contracting difficulties). The Project Management Unit takes strong ownership of the running of the project, but the project main positions are not full time (PM and PC) only PO, PA, Assistant, Accountant fulltime. In addition, the CIPs have budgeted to have fulltime coordinators, but do not, in practice. In the Letter of Agreement (LoA) signed by each CIP, there is a requirement for the CIP coordinator to work 1 day a month in the PMU office alongside the NIP project team. This has not happened. There are reported difficulties in arranging regular meetings due to difficulties in scheduling the three CIP coordinators, the NIP and other attendees. In addition, there are other problems related to differences in institutional culture, and interpersonal skills that have led to difficult working relationships between CIPs and NIP. These issues have resulted in a number of problems in implementation including lengthy timeframes for reaching agreement on AWPs.

To address some of these issues, it is recommended that the project planning starts earlier (October) (**Recommendation 3.3.3**). It is further recommended that the CIP coordinator schedules a day a month as agreed, to work in the PMU office alongside the NIP (**Recommendation 3.3.4**). It is also recommended that project makes either PM or PC a fulltime position to enable better and more consistent daily project coordination (**Recommendation 3.3.5**).

Monitoring and Review: The project TWG appears to provide good technical input and checks and reviews project technical outputs. Apart from this, QA and QC with respect to technical deliverables for the project, is not clear and has not been elaborated within the PD. A general observation is that the National TA and the International TA provide sound technical support to the project which gives some support to project QA and QC.

Table 3-2 shows that technical assistance and PM accounted for approximately 22% in 2013 and approximately 44% in 2014.

3.31 Factors and constraints which have affected project implementation

The main *technical* constraint that has been identified is the stated dissatisfaction with effectiveness of gender and vulnerability mainstreaming into the project (see discussion above). The finance mechanism for the implementation of the CBDRM programme has not been sufficiently elaborated, hence it is not clear how the rest of the programme can be financed/implemented.

Managerial/Organisational – The partnership arrangement has had implementation challenges (see relevance sections above);

Socio-economic policy issues - National debt increase, gov't decrease in development programmes (hence MiF did not allocate budget); ADA put no money. Reduced support from donors on DRR and CCA (changes in their priorities);

Institutional - creation of new department changed the approval mechanisms of project activity and will re-focus the project towards towards activities that support the new department.

3.32 Overall effectiveness of project management as outlined in the Project Document

No changes have been reported to the PM arrangements set out in the Project Document, although there was a change in Project Director which led to increased delays in approvals of AWP and ABP in 2014. Responsibilities and reporting lines are clear in PD. Implementation project management challenges have included lack of transparency in decision making (reported by the CIPs resulting in a lack of clarity on overall activities). The AWP process seems clear but sometimes results in late start of activities and changes to activities due to lengthy approvals process. Project communications, in practice happens at the PC to PC level, but when there is a problem it has been reported that there is a request to speak to PD, TA of ITA, which reportedly is rarely met. There is therefore a feeling among the CIPs that there is a lack of 'higher level communications', which causes concern. The result of communication issue is that planned activities are not approved (reportedly taken out with no clear reason) even though in work plan. It should be noted that a review of project planned activities against actual activities could not substantiate this, but this is potentially due to lack of access to all versions of work plans. Section 4 deals with adaptive management in more detail.

3.33 Quality of execution of the Executing Agency/Implementing Partner

The project implementation strategy was designed to ensure a collaborative approach and to bring on board three key organisations – Vietnam Women's Union, Vietnam Red Cross and Oxfam – to draw on the strength of expertise and experience of each organisation in the implementation of the project. These strengths included gender mainstreaming at the local level (VWU and Oxfam), working at local level and experience in participatory approaches.

The CIPs have contributed to the development of the training manuals, capacity building at provincial and district level, and have been actively involved in the Technical Working Group. The quality of the CIP input to the project has been assessed as of very high technical quality and is widely appreciated by the PMU (interview with PMU) and by members of the working group (interview with other NGOs interviewed). The CIPs have also expressed great appreciation for the opportunity that the project has provided in enabling them to work closely with government to help shape legislation (input to gender mainstreaming in DRM law), develop training manuals and undertake training. The quality of execution of the Executing Agency/Implementing Partners was therefore successful in this regard.

However, in terms of the effectiveness of the partnership, a number of issues were identified by the CIPs which included:

- A lack of transparency of the NIP overall programme and activities;
- A lack of a team feel;
- Little formal opportunity for cross-working of CIPs (which was attributed to the manner in which the CIPs were contracted to the project via and LoA with the NIP. The contractual arrangements did not allow different organisations to be in involved in the same budget line. Hence the implementation within a given number of communes was assigned to each CIP. This did not allow for the different strengths of each CIP to be utilized in each commune. One suggestion was that direct contracting to UNDP would have been preferable and would have given greater opportunity for cross-working
- Difference in technical opinions on how tasks should be undertaken;
- Different institutional communications culture between NIP and CIP and clashes in interpersonal skills;
- Project Planning - long process of getting agreement on CIP AWP activities, followed by a long approvals process which resulted in delays in the start of CIP activities of up to 6 months.

The NIP also hailed the intended partnership design as a good strategy that would have maximised the strengths of the various organisations. However, from the perspective of the PMU (NIP) the main implementation challenges of the partnership have included:

- The difference in cost norm which resulted in CIP cost being higher than would apply if government cost norm is used resulting in higher than expected cost of CIP input for some activities;
- Difference in institutional communication culture, and clashes in interpersonal skills;
- Difference in technical opinions on how tasks should be undertaken with some CIPs reportedly not listening to the opinion of the PMU
- Withholding of technical output from the PMU by some CIPs
- Difficulties in getting agreement on meeting dates (unavailability of CIPs for meetings despite coordinators being allocated fulltime to the project).
- CIPs failure/inability to commit their fulltime coordinator to work alongside the PMU one day a month as per LoA.
- Project Planning - long process of getting agreement on CIP AWP activities, followed by a long approvals process which resulted in delays in the start of CIP activities of up to 6 months. From the perspective of the NIP, the main impact of these delays is in the expenditure that is reported in the CIP financial reports (100% CIP expenditure on implementation activities when it should be 70% with 30% allocated to coordination role).

The intended implementation strategy was clearly relevant to the intended project outcome and it is clear that the project has succeeded in drawing the strengths, experience and

expertise of the INGOs and Mass organisations, in particular with respect to technical input to development of training material and input via the TWG. While the challenges experienced during implementation are understandable, given the different operating models and corporate culture of the various organisations compared to government, it is recommended that the project examines ways to address the stated challenges. The table below summarises the barriers to good partnership working that has been identified on the project.

In the next year of the project there is a desire to strengthen the partnership and enhance the working arrangement for all. From the perspective of the PMU (gleaned from interview with PMU) and based on the remaining project requirements (budget permitting), the CIPs can be best utilised in the following areas:

- To build capacity and coach the local authorities to implement CBDRM rather than undertake the implementation themselves. This will ensure that capacity is more robustly built at the province and district levels, to allow LA's to replicate.
- VWU to undertake further work to revise the gender material to address the shortcoming identified, and as part of the normal updating of the material
- Input to the feasibility studies into the government financing of CBDRM
- Input to, and active participation in the documentation of the process, results and impact of the project and CBDRM in general
- Communication of lessons learned and active advocacy of CBDRM
- Oxfam to lead the development of a visual manual (video) for illiterate vulnerable groups

Given the importance of the partnership to the project and to the national CBDRM in the future, it is vitally important to examine ways of addressing the issues and challenges raised where possible to ensure that future partnerships can benefit. The following recommendations have been identified (**Recommendation 3.3.6**):

- Monthly/weekly face-to-face meetings of all CIPs and NIPS on a pre-arranged regular date (e.g. first Wednesday of every month), with firm commitment from all parties.
- Embedding/co-working of CIP coordinators into the PMU for one day a month as per the LoA.
- Document/record lessons learned on all aspects of the implementation of CBDRM (drawing on the experience of all different CIPs) and use to improve future partnerships.
- Joint working of CIPs and NIP on communication and advocacy activities of the project outputs and results.
- It is noted that MARD is currently setting up a new DRM&CCA partnership office within the Water Resources Directorate. The partnership will be government led and will be independent of project work, but will support all projects being implemented on DRM and CCA (interview with PM). It is recommended that the project should support this new partnership (which appears to be taking the form of the intended National Platform for DRM/CCA), which is likely to be more sustainable as it will be established under the MARD and will be independent of projects. The project could also help to play an advisory role in the setting up of this partnership by sharing lessons learned under the SCDM II. It is also recommended that the new partnership should seek to include the VWU and Oxfam (VRNC already has a long-term LoA with MARD into the new partnership) to ensure that the strides made in giving these organisations a voice at government level, does not go to waste.

Table 3-3: Identified barriers to good working partnership on SCDM II

Key principles	Features of a good working partnership	Barriers to good working partnership of SCDM II
Behaviours		
• Personal commitment from the partnership leaders and staff for the joint strategy • Understand and respect differences in organisations' culture and practice	• Leaders agree, own, promote and communicate the shared vision • Leaders are clearly visible and take a constructive part in resolving difficulties • Be willing to change what they do and how they do it • Behave openly and deal with conflict promptly and constructively • Adhere to agreed decision-making processes • Have meetings if required but focus of meetings is on getting things done	• Lack of leader visibility in promoting partnership activities • Inflexibility and non-availability of partners for meetings • A culture of blame, mistrust and criticism • Complaints of barriers to joint working • Decisions taken without or with limited consulting with partners •Numerous meetings required to reach solutions on technical matters.
Processes		
• Need or drivers for the partnership are clear • Clear vision and strategy • Roles and responsibilities are clear • Right people with right skills • Risks associated with partnership working are identified and managed • Clear decision-making and accountability structures and processes	• Roles and responsibilities of each partner are agreed and understood • Strategies focus on outcomes for service users, based on analysis of need • Have clear decision-making and accountability processes • Acknowledge and have a system for identifying and managing risks associated with partnership working • Agree a policy for dealing with differences in employment terms and conditions for staff and apply this consistently to ensure fairness • Review partnership processes to assess whether they are efficient and effective	• Roles and responsibilities of each partner are clear but during implementation, not as anticipated (e.g. CIPs expected to have more collaborative working and, stronger input to decision making and closer correspondence with project higher-level leadership and sponsors) • Unable to agree joint priorities and strategy • Lack of clarity on decision-making processes • Partnership decision-making and accountability processes are not fully applied or reviewed regularly • Risks to the partnership (or resulting from the partnership) are not well understood or managed through an agreed process • Differences in employment terms and conditions for staff not comprehensively addressed (issue with cost norms)
Performance measurement and management		

• Clearly defined outcomes for partnership activity • Partners agree what success looks like and indicators for measuring progress • Partners implement a system for managing and reporting on their performance	• Understand the needs of their local communities and prioritise these • Have a clear picture of what success looks like and can articulate this • Have clearly defined outcomes, objectives, targets and milestones that they own collectively • Have a system in place to monitor, report to stakeholders and improve their performance • Demonstrate that the actions they carry out produce the intended outcomes and objectives	• Individual objectives prioritised over those of the partnership (delays in AWP has led to refocus and remobilisation of CIP resources while they wait for project activities start) • Unable to identify what success looks like • Difficulty in delivering on their partnership commitments • No agreed indicators for measuring each partner's contribution and overall performance and no monitoring to improve performance • Unable to demonstrate what difference they are making
Use of resources		
• Identify budgets and monitor the costs of partnership working • Achieve efficiencies through sharing resources, including money, staff, premises and equipment • Access specific initiative funding made available for joint working	• Integrate service, financial and workforce planning • Have clear delegated budgetary authority for partnership working • Identify, allocate and monitor resources used to administer the partnership • Understand their service costs and activity levels • Plan and allocate their combined resources to deliver more effective and efficient services • Assess the costs and benefits of a range of options for service delivery, including external procurement • Have stronger negotiating power on costs • Achieve better outcomes made possible only through working together	• Ineffective integration of service, financial and workforce planning • Changes to planned services without examining the associated costs and benefits • Duplicated services or gaps in provision • Failure to achieve efficiencies or other financial benefits • Unable to demonstrate what difference the partnership has made

3.34 Sustainability

3.35 Recommendations

- **Recommendation 3.4.1** – To improve sustainability the recommendation is to train only key departments (which can be easily coordinated by MARD and DARD) as key facilitators and officials in provinces, using clear selection criteria to ensure that they can do the training with short refresher training, coaching, practicing opportunities provided.
- **Recommendation 3.4.2 –** It is recommended that the project continues to work with WU, learn lessons and feedback for improvement, and that the WU in actively involved in the NP and/or the new government-led partnership. It is recommended that the project monitors progress towards gender equality on an annual basis.

3.36 Summary of findings

3.37 Preliminary indication of project sustainability

The DRM Law, decrees, circulars, training materials etc. are highly sustainable and provide the platform for building the DRM legislative framework for Vietnam. Capacity built via pilots is sustainable at commune level as people can replicate and update for future (sustainable in terms of doing assessment, updating plans and continued awareness-raising). Sustainability at provincial level is potentially weak because of the way the training at provincial level has been done (people from different departments trained under the programme) as people move position or are unavailable for future implementation. Hence, to improve sustainability the recommendation is to train only key departments (which can be easily coordinated by MARD and DARD) as key facilitators and officials in provinces, using clear selection criteria to ensure that they can do the training with short refresher training, coaching, practicing opportunities provided (**Recommendation 3.4.1**).

The costs of implementation are potentially not sustainable. The table below provides comparative costs of implementation of CBDRM from different organisations against and estimation of government led implementation. It shows a range from $4,269 USD to $5,961 USD for NGO led implementation, compared to an estimated $2,982 USD for government led implementation. It is noted that even with the government-led implementation, the most communes can afford from annual DRM planning budgets is only $450-900 USD. This analysis highlights the importance of developing a financing model for the implementation of the national CBDRM programme by government.

Organizations	Training on VCA and CBDRM to commune officers (USD)	VCA and CBDM at commune and village levels (USD)	CIPs mentoring	Total (USD)
INGOs (expenditures)	2,022	3,939		**5,961**
Oxfam (expenditures)	1,987	1,648	1,204	**4,839**
WU (expenditures)	1,707	1,590	972	**4,269**
VNRC (expenditures)	1,983	1,702	1,553	**5,238**
DMC (expenditures)	1,857	1,590	2,332	**5,779**

Gov led process[1] (estimation)	897	2,085		**2,982**
Affordability of the communes (without support from central Gov and external organizations)[2]				**450 - 900**

It should be noted that the project pilots reduced the cost per commune from more than 30,000 USD per commune under Dipecho, by testing pilots that were based in Government offices using government cost norms. This reduced the cost to less than one tenth of the original.

Under the project pilots, there were small differences in the costs incurred by different CIPs, due to staff and extra mentoring and travel costs required for different sites. These factors could account for some of the variations in the table. The cost to a commune, after the project, will depend on whether they choose to use a provincial trainer. It should also be noted that the figure of 450-900 (affordability per commune) corresponds to the cost of annual SEDP planning as allocated by Central Government and depends on what a province can choose to allocate to DRM activities. Hence the figure that might be used by communes could be higher as present guidance encouraged communes to use their annual contingency/ unspent funds for CBDRM.

As has been recommended earlier, the project should undertake detailed studies of the costs per commune and should examine other financing of implementation (e.g. also need to study how private sector funding can be accessed and develop clear guidance on how to do this) to ensure that there is a clear financial model for future implementation.

3.38 Project exit strategy

There is no clear exit strategy for the project, but the fact that DMC is PMU and DDM and NDPPC are involved in the project should ensure that political factors are embedded in the exit strategy. In addition, the capacity building that has been done at central and provincial levels will ensure that, on exit, the capacity will be in place for future implementation of CBDRM.

To enhance further embedding of long-term capacity and contribute to long-term sustainability, the project could ensure that the final CA is used to develop a long-term capacity development plan to help guide government on what will be needed in terms of expertise for future implementation of DRM.

3.39 Sustainability of the project interventions in terms of their effect on environment

The project does not appear to include a Strategic Environmental Assessment (SEA). No physical interventions are specifically being implemented as part of the project, but action

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[1] Until now, the implementation of the CBDRM is still supported by development projects. We do not have information on Gov led process yet, But based on the Gov cost norms (Circular No 97/2010/TT-BTC and No 139/2010/TT-BTC of the Ministry of Finance on organization of training, workshop, meeting and communication), we can estimate the budget for implementation of the CBDRM

[2] For Annual SEDP planning including the mainstreaming the DRR/CCA into the SEDP (sources from interviews with INGOs)

plans are likely to be beneficial to the environment e.g. better dyke management, landslide protection.

It is not clear how the project has included climate change considerations in the development of CBDRM training material or whether it is part of the CBDRA (although there is evidence that some of the mitigation actions being proposed have taken account of already observed changes in seasonality of hazard trends). Sustainable disaster risk management of weather-related hazards requires robust consideration of climate change to ensure that any intervention measures will be sustainable in the face of climate change. It is noted that the ultimate aim of the CBDRM process is the incorporation of the findings of the CBDRA into the SEDP. If the CBDRA does not robustly consider future risk due to climate change, there is a risk that intervention measures being proposed in the SEDP might not be sustainable under climate change (for example location of evacuation centres to areas currently not at risk of flooding, that might be regularly flooded in the future due to climate change).

3.40 Catalysed beneficial development effects of the project

Income generation - The project does not directly result in income generation, but because the project outcome is aimed at reducing damages e.g. by changing seasonal production calendar, there is indirect livelihood stabilization/protection. Since dykes will be better managed, agricultural lands protected by dykes should incur lower losses and therefore more stable income generation from agriculture. If the project would like to examine income generation opportunities this could be done as part of the socio-economic risk and opportunity assessment of the implementing CBDRM (and other DRM reduction methods such as structural measures that will come out of the SEDP).

Gender Equality – this is the first project to involve WU as CIP and WU is now a member of CCFCS (due to law) and CBDRM is a new area of capacity building for Women's Union. The aim was to give women a voice in DRM and it has done so. The project has therefore contributed to women's empowerment now and in the future. It is recommended that the project continues to work with WU, learn lessons and feedback for improvement, and that the WU in actively involved in the NP and/or the new government-led partnership (**Recommendation 3.4.2**). It is recommended that the project monitors progress towards gender equality on an annual basis.

Improved Governance - Law is already an example of improved governance. The use of standardised methods of assessment and planning should result in better governance where money is spent on DRM.

3.41 Based on the findings recommend whether extension of this project is warranted

This MTR is occurring approximately 10 months later than the project mid-point. The project therefore has only 1 more year of the original schedule remaining. It is also understood that the project has very limited remaining funds due to reduction in donor contributions, currency devaluation and changes in government fiscal priorities (which will possibly affect contribution in kind as well as the assistance that the government will require from the project). It is recommended that, if possible, the project should identify additional funding to recover lost funds and successfully complete the remaining tasks. Additional funding will determine whether a time extension is possible. If no additional funding is available, it is recommended that the project focuses attention on consolidating the work already done, through prioritising the financing study, documenting lessons learned, gathering results-based evidence for advocacy and initiating and completing key research studies in the coming year.

3.42 Network-Linkages

3.43 Recommendations

- **Recommendation 3.5.1** – To enhance complementarities it is recommended that a database of all development projects in DRR is developed, and as part of NP there should be regular programming meetings to share information on what they are doing.
- **Recommendation 3.5.2** – It is recommended that the project develops a communication plan to communicate activities and achievements and to help with long-term advocacy.

3.44 Summary of findings

3.45 Stakeholder involvement, synergies with DRM-CCA agencies and stakeholder communications

Stakeholder involvement

All stakeholders interviewed were all actively involved in the project (NIP, CIPs, INGOs, Government), TWG, DRR WG and expressed satisfaction with the level of their inclusion in project design and implementation.

Engagement and synergies with DRM-CCA agencies

Other agencies involved in implementation of CBDRM or related programmes include - WB, IFAD (International fund for agriculture development working in 8 provinces on DRR-CCA), DIPECHO 9. There is no overlap at commune level, but potential overlap at provincial level as other NGOs are doing similar Implementation. Donors and implementing agencies involved on other CBDRM projects are represented on the technical working group of SCDM II, and this provides a degree of awareness and exchange among stakeholders. However, better coordination with projects working in the same province would avoid overlap and enhance synergies.

UNICEF is helping MoET to implement DRR assessment and risk planning in schools and is using a very similar process to the one being implemented by the project. Consultations with UNICEF revealed that their implementation process is very stable and successful. The SCDM II project could benefit from association with the UNICEF supported project through and sharing lessons learned and potentially unifying training processes if feasible.

As already noted, the project has not significantly involved the MONRE – the primary agency dealing with climate change.

To enhance complementarities it is recommended that a database of all development projects in DRR is developed, and as part of NP there should be regular programming meetings to share information on what they are doing (**Recommendation 3.5.1**).

Knowledge management and communications with stakeholders

The Technical working group is the primary vehicle for knowledge sharing and outreach among technical stakeholders. However there is no evidence that outreach and communication is taking place at any other levels such as with the public.

It is recommended that the project develops a communication plan to communicate activities and achievements and to help with long-term advocacy (**Recommendation 3.5.2**).

Internal project communication with stakeholders

It has not been possible to review any communications documentation on the project but as noted above, some communication issues have been identified by the CIPs. It is also noted that, while the project technical group has been a good vehicle for project technical communications, this could/should be extended to include other types of stakeholders.

3.46 Lessons-Learned

3.47 Recommendations

- **Recommendation 3.6.1** – It is recommended that the project sets up a lessons learned log to include lessons identified, lessons learned and lessons disseminated.
- **Recommendation 3.6.2 –** It is also recommended that the project seeks to acquire lessons learned from other project
- **Recommendation 3.6.3 –** It is recommended that the project undertakes more active risk management as outlined above. In particular actively managing, monitoring, review, communicating and consulting on risks.
- **Recommendation 3.6.4 –** The key recommendation is therefore to hire a communications specialist, develop a communication plan, develop articles, video blogs, short programs, and other media material (tailor communication material to audience and medium) to disseminate information.

3.48 Summary of Findings

3.49 UNDP Value added, Areas for improved programme planning, with respect to setting targets, relevance and capacity of institutions

UNDP Added Value

UNDP added value has been assessed against the main UNDP CPAP/OP goals that the project is working towards and the following lessons have been identified:

- The project has successfully helped the GoV to finalise an important law on DRM by undertaking targeted policy research to enhance knowledge base and capacities of decision makers, by facilitating policy dialogue in line with international norms and standards, supporting the integration of those norms and standards into national legislative and policy frameworks and by engaging with non-governmental and mass organization sectors in an innovative partnership. The value added lies in the quality of the policy that was made possible by the project through the provision of the appropriate technical inputs to inform the development of the law, as well as the facilitation of the dialogue between government and non-governmental and mass organisations.
- The project has developed and finalized widely accepted standardized tools for implementing CBDRM and has implemented innovative pilot interventions in 54 of the highest risk communes. A key lesson that the project can draw from the implementation thus far, is the importance of results and impact documentation and monitoring for advocacy and scaling up which has not been systematically done. Going forward, the project should utilize some of its remaining time and resources to consolidate and document the results already achieved to enable it to provided costed policy options for further implementation of CBDRM. This will substantially enhance the project sustainability.

- The project has provided financial support to enable the GoV to continue to progress and address the DRM challenges and is helping the Government to leverage and utilize resources effectively and in the interests of Vietnamese citizens A key lessons that the project can draw from this aspect, is the need to engage with all funding bodies on a continuous basis to ensure their commitment to providing promised funds for project implementation.   Financial risk management on a smaller time step (e.g. monthly) could also minimize the shock of reduced funding to the project and could buy the project time to identify alternative funding sources, additional co-financing where necessary, or scaling back of non-critical activities to enhance the chances of achieving the substantive project outcomes.
- Through the development of the CBDRM financing model, the project will further enable government to identify core, as well as innovative financing mechanisms for the future implementation of CBDRM.   A lesson that can be drawn here, is the need to collect and utilize project results- and impact-based evidence for engaging with government financing of CBDRM.
- The project has facilitated innovative collaboration with the Government, development partners and political, social, professional and mass organizations, through strategic engagement with VNRC, VWU and Oxfam to deliver complementary roles, in the areas of legislative reform, sustainable development and participatory governance. The UNDP is using its convening power to bring together stakeholders and provide coordination, including on critical cross-cutting issues such as gender equality, and climate change. Many lessons can be drawn from the partnership arrangements including the following:
    - The method of engagement must include adequate provisions for truly collaborative working (including cohabitation working)
    - Need to facilitate clear and continuous communication channels (regular meetings, involvement of partners in planning, risk identification and management, results/evidence documentation, advocacy)
    - Need to engage with all stakeholders in project planning in a timely manner
    - Transparency in project activities to maximize team feel and benefits
    - Innovative approaches to advocate and help to ensure that the voices of the most vulnerable and disadvantaged are heard, and issues related to inequality are addressed in national policy processes.

3.50 Identify significant lessons or conclusions which can be drawn from the project in terms of effectiveness, efficiency, sustainability and networking.

The project has not systematically documented lessons identified (e.g. lack of documentation of pilot results), has not quantified project output results (e.g. with respect to capacity building, impact of implementation on the ground); and there appears to be no formal mechanism to capture lessons learned. Mitigating measures on project programming need to be implemented to reduce impact of lengthy AWP process. Project risk have been recorded with the UNDP Atlas system but there is little evidence of active risk management during project implementation (e.g. all risk identified during project design (see Australia Aid scoping document and project inception report) have been realised as challenges on the project which suggests that risk monitoring and/or mitigation measures have not been effective).

A basic project risk management approach should include the following steps:

1. Establishing goals and context (i.e. the risk environment),

2. Identifying risks,

3. Analysing the identified risks,

4. Assessing or evaluating the risks,

5. Treating or managing the risks,

6. Monitoring and reviewing the risks and the risk environment regularly, and

7. Continuously communicating, consulting with stakeholders and reporting.

It is recommended that the project sets up a lessons learned log to include lessons identified, lessons learned and lessons disseminated (**Recommendation 3.6.1**). It is also recommended that the project seeks to acquire lessons learned from other project (such as World Bank and DIPECHO) implementing CBDRM and UNICEF project and similar (**Recommendation 3.6.2**).

It is recommended that the project undertakes more active risk management as outlined above. In particular actively managing, monitoring, review, communicating and consulting on risks.

3.51 External project communication - communicating project progress and intended impact to the public

A web search on SCDM II (and other combinations of key word searches) yielded the following link to the UNDP website

http://www.vn.undp.org/content/vietnam/en/home/operations/projects/environment_climatechange/strengthening_institutional_capacity_for_disaster_risk_management.html

which appears to be the main external source of information about the project. In addition the DMC website (www.dmc.vn) has information on CBDRM including a page for community risk maps (presumably output from this SCDM project), but attempts to generate a map for communes in Phu Tho failed. There is also access to the disaster database on the website which is useful as a public awareness tool. The DMC website is clearly under development and would benefit from improved functionality and content, but will be a useful source of consolidated information on DRM in the future.

It is also noted that under DIPECHO 9, a website is being/has been developed a website for DMC under the project "Enhancing the capacities of disaster risk reduction practitioners in Vietnam through the consolidation of best practices and lessons learnt for community based disaster risk management (CBDRM), vulnerability capacity assessment and disaster response mechanisms" (DIPECHO 9 Project). The CBDRM database which will form an integrated component of the public website is currently being developed.

As a general observation, the project does not appear to have a communication plan in which a strategy for internal and external communication would useful be outlined. It would be important for the project to develop such a plan as soon as possible, to communicate project results externally and to assist in advocacy in the future.

The key recommendation is therefore to hire a communications specialist, develop a communication plan, develop articles, video blogs, short programs, and other media material (tailor communication material to audience and medium) to disseminate information on what the project has done and to promote the desired actual and expected changes.

4   ADAPTIVE MANAGEMENT

4.1   Work Planning

The project annual work plans are generally well articulated and this element appears to be very sound. The project urgently needs to address the known and anticipated delays caused by the government's long approvals process.

The Project Annual Work Planning process can be summarised as follows:

- CIPs send their proposed work plan to PMU based on activities outlined in the PD in December/January
- Meeting are arranged with CIPs to agree activities
- This plus other work activities is incorporated into the Annual Work plan and Annual Bidding Plan and sent to MARD (and all relevant sub-departments) for comments
- The AWP need two signatures for approval – one from MARD and one from UNDP
- MARD approval is by Minister
- The UNDP approves
- This process takes at least 2 months.
- Following approval, the recruitment/bidding procedure that is required to implement the approved activities, takes a further 2-3 months.
- This process has resulted in delays of 4-6 months annually

It is noted that during step 2 technical issues may arise in terms of what is proposed as detailed activities, and how the activities should be undertaken. Where there is disagreement on technical aspects of the work plan (i.e. how to do tasks) the work plan goes to the technical working group for suggestions on the technical approach.   The project NPD finally proposes a version of the AWP to MARD and the UNDP CO for final review. The ITA review's from quality assurance and technical angle on behalf of UNDP.

The AWP development process outlined above is too long. The main recommendation is that the process should start as early as possible (October recommended) with steps 1 to 3 completed by November. If approval can be obtained in November and bidding recruiting completed by January, then the delays in the start of implementation can be virtually eliminated (**Recommendations 3.3.3**).

Other management issues include difficulties in change management (e.g. communicating changes to agreed activities). Contractual arrangements (cannot implement work with universities because of contracting difficulties). Project has Project Management Unit which takes strong ownership of the running of the project, but project main positions are not full time (PM and PC) only PO, PA, Assistant, Accountant fulltime. CIPs have fulltime coordinators in principle, but not necessarily in practice.

4.2   Financing and Co-financing

The Project finances have been managed well. No significant issues are apparent to the MTR Team. This is confirmed by the results of the annual audit. The financial flows appear relatively smooth and effective and have not provided any major challenges to the project implementation. Early contractual issues did result in considerable delays, and the long

annual work planning approvals process delays the start of activities and therefore impacts the disbursement rates by up to 6 months. Sections 3.23 to 3.26 discuss the findings on finance and co-financing.

4.3   Monitoring Systems

The project M&E system is in line with standard UNDP procedures and requirements and is carried out by the Project team.

The Project International and Nationals Technical Advisors play an important role in the M&E and provide critical and regular input. This extends to quality control of the technical reports and papers produced for the project.

The MTR Team had a clear sense during the interviews with national partners had a strong sense of ownership of the project. This is an important element that can contribute to the long-term sustainability of the project and should be strengthened through having the key partners play a larger role in the quality control of technical project outputs.

The Annual Project Reports assist in taking stock of project progress. This Mid-Term Review will also play an important role in providing guidance to the project implementation and is in line with the M&E plan for the project.

Linked to the M&E is the issue of knowledge generation and knowledge management. Attention needs to be given to the mechanisms for collecting and analysing data relevant to the project. If possible, the project partners at all levels should be brought in to the process to enrich the quality of information and the analysis of data. The Project Manager, the Project Administrator and key partners should be encouraged to regularly (monthly for the PMU and the Technical Advisors) record and describe particular issues, challenges, successes and 'eureka' moments. This could allow a far richer recording of lessons learnt than only noting elements that link to the output indicators. In addition the project needs to formally document results and lessons learned for better communication of results and for advocacy and scaling up.

4.4   Risk Management

The MTR Team feel that this element could be strengthened. A number of anticipated risks have been realised and have not been entirely suitably addressed and a number of new risks have emerged (**Recommendation 3.6.3**).

5   RECOMMENDATIONS

Table 5-1: Recommendations under Relevance

Relevance			
Recommendation No.	**Thematic Area**	**Recommendation**	**Responsibility and Timing**
Recommendation 3.1.1	Project Implementation	It recommended that a post-project capacity assessment (scheduled for the late 2015) is undertaken to ascertain capacity built, to include documentation of capacity built (e.g. through a training register), testing and verification of capacity built and documentation of lessons learned with respect to capacity building. It is also recommended that the post-capacity assessment should also seek to identify remaining gaps and develop a new/revised capacity development plan for post-project capacity development to enhance project sustainability. This assessment would confirm that the capacity building undertaken by the project has been relevant.	PMU by Q4 2015
Recommendation 3.1.2	Project Design	Recommendation is to design a comprehensive ToT approach and plan which will train only key departments (which can be easily coordinated by MARD and DARDs) as key facilitators and officials in provinces, using clear selection criteria to ensure that they can do the training with short refresher training, coaching, practicing opportunities provided. This will make the project design more relevant to the long-term institutional arrangements around DRM.	PMU by Q4 2015 for ToT strategy development and Q2016 for implementation of the new strategy
Recommendation 3.1.3	Project Design	The project is encouraged to document the pilot studies more closely, paying close attention to process, methods, lessons learned, effectiveness, and cost. The project is further encouraged to involve all IPs in the documentation, as lessons learned by each may provide a different perspective to the results achieved. Documentation will provide better evidence and will better achieve the overall 40% government target. It is recommended that the project develops a strategy within the pilot for documentation of results for advocacy and replication.	PMU and CIPS (documentation strategy designed by Q1 2016 and implemented by Q4 2016)
Recommendation 3.1.4	Project design & Project Implementation	It is recommended that the project uses the results and lessons learned in the already completed provinces to develop action plans for replication by provinces to enhance the chances of reaching all of the targeted beneficiaries.	PMU, NTA and ITA by Q2 2016

Recommendation 3.1.5	Project Implementation	It is recommended that the project prioritizes the completion of the Financing model 'Building Block' which will research and outline methods for financing the implementation of CBDRM in the future to enhance replication.	PMU, CIP by Q2 2016
Recommendation 3.1.6	Project Design & Project Implementation	To ensure that vulnerable groups are reached, It is recommended that the standardized training manuals are translated in as many ethnic minority languages as feasible and that innovative methods such as video training are considered, to reach areas with high illiteracy.	PMU, CIPs by Q4 2016
Recommendation 3.1.7	Project Design & Project Implementation	It is recommended that, as part of improved monitoring, evaluation and quantification of project results (as per recommendation 3.1.3), and improved lessons learned, the following recommendations are made to enhance gender mainstreaming: *Stocktaking*: Convene a workshop/meeting to discuss/review the effectiveness of the process of gender mainstreaming to date and identify achievements and gaps. Identify any supplementary/complementary activities/material to address identified gaps and strengthen gender mainstreaming in CBDRM (e.g. it is recommended that the UN Women guidelines on Gender mainstreaming in DRM should be considered as complementary guidelines to be used as part of the CBDRM training manuals. Mechanisms for making such supplementary/complementary material compulsory should be identified) *Monitoring and Evaluation*: The project should examine opportunities to monitor and quantify the effectiveness of gender mainstreaming on the ground (e.g. as part of the wider socio-economic data collection for damages/losses assessments, gender disaggregated methods could be used to measure changes in damages/losses to female-headed households and changes to income generation/security) due to changes in awareness/behaviours/activities etc. during disasters. *Identify lessons learne*d on gender-specific DRM practices that would lead to long-term improvements. *Use lessons learned* to recommend improvements to gender mainstreaming in CBDRM and revise CBDRM manuals accordingly.	PMU, CIPs, TWG Stocking meeting by Q4 2015, all others by Q4 2016
Recommendation 3.1.8	Project Implementation	A key recommendation for future implementation is to adopt a ToT approach which provides training to provincial level staff, followed by coaching, technical support, M&E, documentation, then the province is given money (or funding identified) to implement the work.	PMU by Q4 2015 for ToT strategy development and Q2016 for implementation of the new strategy

| Recommendation 3.1.9 | Project Design | It is recommended that consistent hazard and risk information should be sourced (if it exists) as this could help to make tools more effective and sustainable. It is recommended that the project examines any opportunities to support any future 'universal' hazard and risk maps as a baseline for all of Vietnam as this would support community based hazard mapping developed by the project and provide the climate change context of the hazard as well. Comprehensive and scientifically derived hazard mapping to support community-based mapping is a good way to ensure sustainability of the mapping and decision making tools being developed. | PMU by Q4 2016 |
| Recommendation 3.1.10 | Project Design and Project Implementation | It is therefore recommended that an active NP working on DRM and CCA, should include all relevant departments MoET, MONRE, MPI, MoF,Min of Security and Defense, MARD, MoH, MOLISA with a core active team made up of MARD, MONRE, MPI, MOET, WU, NGOs. It is also recommended that the technical working group convened by the project can be formalised and extended to form such a platform. | PMU by Q4 2016 |

Table 5-2: Recommendations under Effectiveness

Effectiveness			
Recommendation No.	**Thematic Area**	**Recommendation**	**Responsibility and Timing**
Recommendations 3.2.1	Project Management and Project Administration	It is recommended that the project gathers lessons learned, results achieved etc. for advocacy and upscaling (see also section on lessons learned).	CIP by Q4 2015

Table 5-3: Recommendations under Efficiency

Efficiency			
Recommendation No.	**Thematic Area**	**Recommendation**	**Responsibility and Timing**
Recommendation 3.3.1	Project Management and Project Administration	It is recommended that capacity indicators should include actual measures of increased capacity.	PMU by Q4 2015
Recommendation 3.3.2	Project Design, Project implementation	Gender and vulnerability currently only focus on numbers of participants. It is recommended that vulnerability indicators should be more specific (e.g. Training material translated into at least 5 ethnic minority languages or visual training/assessment tools, participatory assessment tools to illiterate people). It is also recommended that gender indicators should include measures of gender mainstreaming improvement.	PMU by Q4 2015
Recommendation 3.3.3	Project Management and Project Administration	To address the lengthy AWP approvals process, it is recommended that the annual project planning starts earlier (October).	PMU by Q4 2015
Recommendation 3.3.4	Project Management and Project Administration	To address communication issues raised, it is recommended that the CIP coordinator schedules a day a month as agreed, to work in the PMU office alongside the NIP.	PMU & CIPs by Q1 2016
Recommendation 3.3.5	Project Management and Project Administration	It is also recommended that the project makes either PM or PC a fulltime position to enable better and more consistent daily project coordination.	PMU by Q1 2016
Recommendation 3.3.6	Project Management and Project Administration	Given the importance of the partnership to the project and to the national CBDRM in the future, it is vitally important to examine ways of addressing the issues and challenges raised where possible to ensure that future partnerships can benefit. The following recommendations have been identified: o *Monthly/weekly face-to-face meetings of all CIPs and NIPS* on a pre-arranged regular date (e.g. first Wednesday of every month), with firm commitment from all parties. o *Embedding/co-working of CIP coordinators into the PMU* for one day a month as per the LoA. o *Document/record lessons learned* on all aspects of the implementation of CBDRM (drawing on the experience of all different CIPs) and use to improve future partnerships. o *Joint working of CIPs and NIP on communication and advocacy* activities of the project outputs and results.	PMU and CIPs by Q1 2016

| | | o It is noted that MARD is currently setting up a new DRM&CCA partnership office within the Water Resources Directorate. The partnership will be government led and will be independent of project work, but will support all projects being implemented on DRM and CCA. It is recommended that the project should *support this new partnership* (which appears to be taking the form of the intended National Platform for DRM/CCA), which is likely to be more sustainable as it will be established under the MARD and will be independent of projects. The project could also help to play an advisory role in the setting up of this partnership by sharing lessons learned under the SCDM II. It is also recommended that the new partnership should seek to include the VWU and Oxfam (VRNC already has a long-term LoA with MARD into the new partnership) to ensure that the strides made in giving these organisations a voice at government level, does not go to waste. | |

Table 5-4: Recommendations under Sustainability

Sustainability			
Recommendation No.	**Thematic Area**	**Recommendation**	**Responsibility and Timing**
Recommendation 3.4.1	Project Design and Project Implementation	To improve sustainability the recommendation is to train only key departments (which can be easily coordinated by MARD and DARD) as key facilitators and officials in provinces, using clear selection criteria to ensure that they can do the training with short refresher training, coaching, practicing opportunities provided.	PMU by Q4 2016
Recommendation 3.4.2	Project Design and Project Implementation	It is recommended that the project continues to work with WU, learn lessons and feedback for improvement, and that the WU in actively involved in the NP and/or the new government-led partnership. It is recommended that the project monitors progress towards gender equality on an annual basis.	PMU by Q4 2016

Table 5-5: Recommendations under Network-Linkages

Network-Linkages			
Recommendation No.	**Thematic Area**	**Recommendation**	**Responsibility and Timing**
Recommendation 3.5.1	Project Design and Project Implementation	To enhance complementarities it is recommended that a database of all development projects in DRR is developed, and as part of NP there should be regular programming meetings to share information on what they are doing.	PMU by Q1 2016
Recommendation 3.5.2	Project Design and Project Implementation	It is recommended that the project develops a communication plan to communicate activities and achievements and to help with long-term advocacy.	PMU by Q1 2016

Table 5-6: Recommendations under Lessons Learned

	Lessons Learned		
Recommendation No.	**Thematic Area**	**Recommendation**	**Responsibility and Timing**
Recommendation 3.6.1	Project Management and Project Implementation	It is recommended that the project sets up a lessons learned log to include lessons identified, lessons learned and lessons disseminated.	PMU by Q1 2016
Recommendation 3.6.2	Project Management and Project Implementation	It is also recommended that the project seeks to acquire lessons learned from other projects	PMU by Q2 2016
Recommendation 3.6.3	Project Management and Project Implementation	It is recommended that the project undertakes more active risk management as outlined above. In particular actively managing, monitoring, review, communicating and consulting on risks.	PMU by Q2 2016
Recommendation 3.6.4	Project Management and Project Implementation	The key recommendation is therefore to hire a communications specialist, develop a communication plan, develop articles, video blogs, short programs, and other media material (tailor communication material to audience and medium) to disseminate information.	PMU by Q2 2016

6   APPENDIX 1 – EVALUATION MATRIX

Table 6-1: Evaluation Matrix - Relevance

Evaluation Matrix				
Criteria/Sub-criteria	**Questions to be addresses**	**Sub-questions (what to look for)**	**Data sources**	**Data collection**
Relevance	Assess the contribution of the project towards the achievement of national objectives and CPAP2 goals /outputs	What outcomes does the project intend to achieve?	Project/programme/thematic areas evaluation reports	Review of PD and country national goals
	Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.	What outputs has the project achieved?	Progress reports on projects, UNDP Staff, development partners, government partners, beneficiaries	Desk Review of PD situation analysis and baseline; Interviews with DMC, development partners (VNC, VWU, Plan International, World Vision Save the Children), UNDP staff, civil society partners, associations, and federations
		What percentage of the project results at the output level has been achieved?	UNDP Staff	Interview with PM, TS, Finance
		What percentage has not been achieved and are the due to incorrect assumptions or changes to context	UNDP Staff, Development partners	Interview with TS, review of progress reports.
		What changes can be observed as a result of these outputs	Development partners	Interview with VNC, VWU, Oxfam etc.
		In addition to UNDP initiatives, what other factors may have affected the results	Government Partners	Interview with CCFSC, DMC
		What were the unintended results (+ or -) of UNDP initiatives?	Beneficiaries	Interview with CCFSC, DMC, Communities
	Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the		Project Documents	Review of PD. Interview with beneficiaries e.g. what other strategy would they have liked to see used

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		project design?	Who are the target beneficiaries and to what extent have they been reached by the project?		
			Are the results of the project intended to reach local community, district, regional or national level? How far reaching have the results been to date	Progress and evaluation reports	Interviews with CIPS, INGOs, beneficiaries
			Are UNDP's efforts concentrated in regions/districts of greatest need? How were regions decided		
			Who are the target beneficiaries and to what extent have they been reached by the project?		
		Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?			Interview with government beneficiaries about ownership and delivery and sustainability
		Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?			Review PPG stakeholder engagement plan. Review Implementation phase stakeholder engagement plan. Interview questions to stakeholders about levels of engagement and whether sufficient
		Review the extent to which relevant gender issues were raised in the project design.	How far has social inclusion been taken into account in the project/programme?	Evaluation reports	Desk review of reports itemized
		Analyse whether the project's community based approach addresses the needs and demands of the beneficiaries in a disaggregated manner (for men and women), and the community response.			Interview with VWU, obtain number of disaggregated beneficiaries of all aspects of the project. Interview with some women at commune meetings if possible

	Assess the relevance of the tools / instruments / inputs applied by the project in supporting effective Government policy implementation and in promoting community based disaster risk reduction action.		List of tools/instruments used, developed, adopted, trained in. Sustainability plan for tools/instruments etc./	
	Assess the relevance and effect of technical assistance and planning support given to the Disaster Management Centre and other project target beneficiaries.		List of all technical assistance provided and deliverables,	interviews with some TAs who worked on the project. Gather evidence of use out output from Technical assistance.

Table 6-2: Evaluation Matrix - Effectiveness

Criteria/Sub-criteria	Questions to be addresses	Sub-questions (what to look for)	Data sources	Data collection
Effectiveness	Review whether the project has accomplished its outputs. In particular the mission should review:	What outcomes does the project intend to achieve?	Project/programme/thematic areas evaluation reports	Desk reviews of secondary data
	Area selection criteria and its implementation	How interventions areas were identified and prioritised, what criteria used, who was consulted. Are there any areas that should/should not have been included. In how many areas has intervention been successfully completed	PPG studies to identify priority provinces.	Review of PD, Interview with DMC, CCFCS, commune leaders
	Targeting strategy for the identification of project beneficiaries including both men and women.	Who are the target beneficiaries and to what extent have they been reached by the project?	Pre and post-intervention conditions assessments (progress reports, evaluation reports)	Review of reports, Interview with beneficiaries
	Any emerging effect of the project on beneficiaries including both men and women. These should particularly highlight efforts to support implementation of the National CBDRM Programme 1002	How have the particular needs of disadvantaged groups been taken into account in the design and implementation, benefit sharing, monitoring and evaluation of the project/ program	Annual work plans, progress reports	Review of reports, Interview with beneficiaries
	Assess the performance of the project so far with particular reference to qualitative and quantitative achievements of outputs and targets as defined in the project documents and work-plans and with reference to the project baseline		M&E reports	Review of project indicators
	Assess the effectiveness of the cost sharing arrangements between the project and beneficiary communities and between the Government of Viet Nam and UNDP		Finance reports,	Review of secondary data

	Based on the progress so far and ground situations, suggest / recommend any changes to the systems outlined above			

Table 6-3: Evaluation Matrix - Efficiency

Evaluation Matrix				
Criteria/Sub-criteria	**Questions to be addresses**	**Sub-questions (what to look for)**	**Data sources**	**Data collection**
Efficiency	Assess whether the project has utilized project funding as per the agreed work plan to achieve the projected targets	Have there been time extensions on the project? What were the circumstances giving rise to the need for time extension?	Programme documents	Desk reviews of secondary data
	Assess the timeline and quality of the reporting followed by the project	Has delivery been as per programme, Are QA and QC systems in place and adequate	Programme, M&E plan, Annual Work Plans	Desk Review, Interview with PM, Interview with Government partners
	Analyse the performance of the Monitoring and Evaluation mechanism of the project and the use of various M&E tools (e.g.,)		M&E system tools details, Evaluation report	Desk Review, Interview with PM
	Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary			Desk Review
	Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?			Desk Review

	Assess the qualitative and quantitative aspects of management and other inputs (such as equipment, monitoring and review and other technical assistance and budgetary inputs) provided by the project visa-vis achievement of outputs and targets			
	Identify factors and constraints which have affected project implementation including technical, managerial, organizational, institutional and socio-economic policy issues in addition to other external factors unforeseen during the project design.			
	Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.		UNDP staff (Programme Implementation Support Unit)	Interview with UNDP and PMU staff, Desk review
	Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.			

Table 6-4: Evaluation Matrix - Sustainability

		Evaluation Matrix		
Criteria/Sub-criteria	**Questions to be addresses**	**Sub-questions (what to look for)**	**Data sources**	**Data collection**
Sustainability	Assess preliminary indications of the degree to which the project results are likely to be sustainable beyond the project's lifetime (both at the community and government level), and provide recommendations for strengthening sustainability.	Does/did the project have an exit strategy?	Programme documents	Desk reviews of secondary data
		To what extent does the exit strategy take into account the following:	Annual Work Plans	
		– Political factors (sup- port from national authorities)	Evaluation reports	
		– Financial factors (avail- able budgets)		
		– Technical factors (skills and expertise needed)		
	Assess the sustainability of the project interventions in terms of their effect on environment	– Environmental fact- tors (environmental appraisal)		
	Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.	What anticipated or unanticipated sustainability benefits emerged during implementation?	Evaluation reports	Desk reviews of secondary data, interview with beneficiaries and UNDP staff
	Analyse the emerging impact on the communities for both men and women in terms of food security, income and asset enhancement.	How has UNDP approached the scaling up of successful pilot initiatives and catalytic projects? Has the government taken on these initiatives? Have donors stepped in to scale up initiatives	Progress reports	Interview UNDP programme staff
	Based on the findings (relevance, efficiency, effectiveness, sustainability and impact) as well as taking into account new initiatives emerging under the one UN Plan for Viet Nam, recommend extension of this project is warranted. Whether			Desk Review and recommendations

Table 6-5: Evaluation Matrix – Network-Linkages

		Evaluation Matrix		
Criteria/Sub-criteria	Questions to be addresses	Sub-questions (what to look for)	Data sources	Data collection
Network-Linkages	Evaluate the level, degree and representation by the beneficiaries and stakeholders, (government and donor partners etc.) in the implementation of the project (with particular attention to the development, testing of community based approaches).		Project document, AWPs, Evaluation reports	Desk Reviews, Interviews with stakeholders and beneficiaries
	Examine the synergies and potential overlap between SCDM-II and the work of other agencies on DRM-CCA in Viet Nam as well as propose strategy to enhance complementarities.	What synergies were anticipated during PPG, what changes? Opportunities have emerged since and how has project capitalized	Programmes/project details for other agencies	Desk Review
	Assess the alignment of the project with the one UN program, identifying linkages and opportunities for achievement of objectives/targets;		OP document and other relevant strategic docs	Desk Review
	Assess the project's knowledge management strategy and outreach and communications to all stakeholders.	What was the KM strategy set out in the PD or developed since	Data management systems, websites developed information dissemination platforms, outreach programmes	Desk review of systems
	Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?		Project Stakeholder Engagement Plan, evaluation reports	Desk review, Interview with Stakeholders

Table 6-6: Evaluation Matrix – Lessons Learned

		Evaluation Matrix		
Criteria/Sub-criteria	**Questions to be addresses**	**Sub-questions (what to look for)**	**Data sources**	**Data collection**
Lessons-Learned	Analyse areas for improved programme planning, especially with respect to setting targets, relevance and capacity of institutions for project decision making and delivery. In particular examine the UNDP value added in the context of the One UN program.		Lessons learned records	Desk Review and Interview with PM and TS
	Identify significant lessons or conclusions which can be drawn from the project in terms of effectiveness, efficiency, sustainability and networking.		Lessons learned records	Desk Review and Interview with PM and TS
	Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)		Lessons learned records; Communications plan	Desk Review and Interview with PM and TS

7 APPENDIX 2 - PROJECT FINANCIAL SUMMARY

Table 7-1: Project results framework with progress based on annual progress reports and quarterly reports

			2013			2014			2015 (based on Q1 and Q2)			Overall Delivery rate by output
			Planned Amount (USD)	Expenditure (USD)	Disburse. Rate (%)	Planned Amount (USD)	Expenditure (USD)	Disburse. Rate (%)	Planned Amount (USD)	Expenditure (USD)	Disburse. Rate (%)	Disburse. Rate (%)
PROJECT OUTPUT 1: Enhanced national and sub-national institutional capacities of Central and Provincial Committees for Flood and Storm Control (CCFSC) members and main stakeholders to consolidate the disaster risk reduction (DRR) legislative, policy and strategic framework												
Activity Result 1.1: Institutional development and capacity building of the national Standing Office of the CCFSC, CCFSC members and of provincial CFSC (in selected high-risk provinces);												
Indicators: - Technical and functional capacity improvement in all components of DRM of the CCFSC and CFSC in selected high-risk provinces as compared to the baseline. Baseline: - Results from capacity assessment of CCFSC membership. Interim Report on Hyogo Framework for Action (2012); review of first phase of implementation of National Strategy 2020 (2013). Target: - Technical and functional capacities of CCFSC and the CFSC in selected high-risk provinces are improved on average by 10% and the DMC by 20% as compared to the baseline.	1.1.1	Undertake a capacity assessment of C/CFSC members at national level and in selected high-risk provinces; Finalised in 2014	40,000.00	28,819.43	72.05%	4,500.00	1,338.53	29.75%				
	1.1.2	Support a comprehensive nationwide training programme, to enhance technical and operational capacities of C/CFSC at national level and in selected high-risk provinces, through the roll out of the MARD approved DRR/CCA Training Material (2011)	46,000.00	43,506.56	94.58%	65,000.00	58,192.43	89.53%				
	1.1.3	Support the capacity strengthening to cope with extreme weather including enhancement of technical and operational capacities of C/CFSC.				14,400.00	11,017.74	76.51%				
Output 1.1 Summary			86,000.00	72,325.99	83.32%	83,900.00	70,548.70	65.26%	66,924.00	39,193.59	58.56%	69.05%
Activity Result 1.3: Enhanced capacity of National Assembly"s Committee of Science, Technology and Environment (CSTE) and GoV Drafting/Editorial Committee(s) to finalize effectively the formulation and promulgation of the Disaster Risk Management Law and accompanying Decree(s)												
Indicators: The promulgation of a Disaster Risk Management (DRM) Law with its accompanying Decrees Baseline:- By the end of 2012, Version 4 of the DRM Law was discussed during a working session 2 of the NA and the Government provided tentative responses to NA members' comments; A first draft of the accompanying Decrees was produced by the end of 2011 Target:- A final version of the DRM Law and accompanying Decrees are completed.	1.3.1	Support the completion of the final draft of the DRM Law and the finalization of the drafting of the supporting Decrees for the DRM Law	180,000.00	66,682.54	37.05%	27,000.00	10,984.31	40.68%				
	1.3.2	Provide technical assistance on DRR and CCA to National Assembly members in the process of verification and development of the DRM Law, as well as in the future supervision of DRM Law implementation	9,500.00	4,600.61	48.43%							
	1.3.3	Support the comprehensive promulgation of the DRM Law at national and sub-national levels, including the use of the media:	7,000.00	5,807.41	82.96%							
	1.3.4	Organize a regional forum with parliamentarians from a range of countries in the Asia-Pacific Region on DRR and CCA legislation	0.00	0.00	0.00%							
Output 1.3 Summary			196,500.00	77,090.56	42.11%	27,000.00	10,984.31	40.68%	48,200.00	4,924.14	10.22%	31.00%
Activity Result 1.4: Successful establishment and operation of a National Platform for Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA)												
Indicator: - Number of multi-stakeholder meetings held; - Number of national Forum event organized in Q4. Baseline: - DMC submit revised proposal for NP to GoV office to hold the 2013 National Forum.	1.4.1	Support the development of DMC/DDMFSC human resource capacities and address other staffing requirements for the operation of the National Platform	20,000.00	20,093.16	100.47%							
	1.4.2	Support the GoV Annual Forums, multi-stakeholder workshops, policy dialogue and information sharing in line with an annual National Platform action plan	24,000.00	18,432.11	76.80%							

Target: - Number of DMC/DDMFSC staff to be built capacity to operate National Platform MoV:													
Output 1.4 Summary			44,000.00	38,525.27	88.64%								88.64%

Activity Result 1.5: Improved technical and operational systems, policies and strategies for pre- and post-disaster decision- making processes between national and sub-national levels to ensure evidence-based "building back better" early recovery and DRM programming

Indicators / Baseline / Target	#	Activity	Budget	Actual	%	Budget	Actual	%					
Indicators: Relevant DRR stakeholders informed on the HAP Principles (2010) and Sphere standards; - Baseline: English version of HAP booklet (2010), a TOR on Sphere was provided by Oxfam in Jan 2013. Target: at least 1000 DRR practitioners informed on the HAP Principles (2010) and at least 40 CFSC official and DRR practitioners enhanced understanding on HAP principles and Sphere standards. -	1.5.1	Support the Government to formulate an early recovery policy and strategy aligned with global and regional frameworks				6,400.00	6,339.21	99.05%					
	1.5.2.1	Translate into Vietnamese, publish, print and disseminate the: Humanitarian Accountability Partnership (HAP) Principles and Standards in Accountability and Quality Management (2010)	6,500.00	5,027.38	77.34%								
Indicators: Relevant DRR stakeholders are enhanced understanding about HAP Principles (2010) and Sphere standards (2011) Baseline: English and Vietnamese version of HAP booklet (2010) and SPHERE handbook (2011), a TOT on Sphere standards (2011) was provided by Oxfam in Jan 2013 Target: at least 20 DRR practitioners' understanding of HAP Principles (2010) and Sphere standards (2011) are enhanced	1.5.2.2	Organize one training workshop on the HAP Principles and the Sphere Standards	19,500.00	16,412.45	84.17%								
Indicators:- Full customization of GoV approved DANA templates into DesInventar software;- Number of DMC/DDMFSC resource person and number of provincial staff from 20 most disaster prone provinces trained in use of software and competent to upload disaster damage data Baseline:- DesInventar software installed on DMC server; - GoV approved DANA templates in Vietnamese. Target:- Templates fully customized into DesInventar software; - 2 to 3 DMC/DDMFSC; resource persons fully trained in use of software; - 20 to 40 DARD staff from 20 provinces trained in use of software.	1.5.3	Institutionalize and adopt nationally, improved methodologies for C/CFSC members in the assessment of disaster damage and disaggregated humanitarian response and recovery needs	35,000.00	14,354.19	41.01%								
Output 1.5 Summary			61,000.00	35,794.02	67.51%	6,400.00	6,339.21	99.05%					83.28%

Activity Result 1.6: Implementation of commitments made internationally (under the Hyogo Framework for Action) and regionally (e.g. the ASEAN Agreement on Disaster Management and Emergency Response, AADMER), identified and prioritized by DMC/DDMFSC

Indicators	#	Activity	Budget	Actual	%								
Indicators:- Number of officials of SO of CCFSC to be strengthened to support CCFSC for establishment and operation of AHA centers.	1.6.1	Support to DDMFSC in its role as national focal point for AADMER/AHA centre implementation and in furthering transboundary relationships	15,000.00	3,289.53	21.93%								

Indicators / Baseline / Target	Code	Activity	Budget	Expenditure	%	Budget	Expenditure	%	Budget	Expenditure	%	%
Baseline:- The guideline is already issued but practical experiences of officials in development of such a center are lacked. The organization of national standing office of disaster response/AHA center which have close connection with others in the region has not been yet specified. Target: A minimum of two officials attend the international events organized by Q2/2013 which support for establishment and operation of AHA centers.												
Indicators:- Number of officials of SO of DMC/CCFSC to be invited to international events. Baseline:- The international commitments, partnerships and coordination. Target: A minimum of 5 officials attend the international events organized in /2013.	1.6.2 1.6.3	Provide support for the engagement of GoV staff to ensure full and active participation in international, regional and national meetings, workshops, seminars, training events, etc. Engage fully with the international process to develop the follow up to the HFA2005-2015 and Action Plan	20,000.00 10,000.00	6,430.47 5,465.83	32.15% 54.66%	3,090.00 5,000.00	581.77 1,339.40	18.83% 26.79%				
Output 1.6 Summary			**45,000.00**	**15,185.83**	**36.25%**	**8,090.00**	**1,921.17**	**22.81%**	**18,136.00**	**3,128.00**	**17.25%**	**25.43%**
Activity Result 1.7: Development of a comprehensive hydro-power/irrigation reservoir management system												
Indicators:- Number of general model of flooding warning system for downstream of reservoir. Baseline:- There are water level measuring equipment installed for Reservoir Monitoring Information System; - Areas in the downstream of some reservoirs, especially riversides are passive in flooding situation; - The communication means are mainly through telephone, telefax, etc. There is no two way EWS directly providing warns to communities and reservoirs. Target:- A general model for flood warning system downstream;	1.7.1 1.7.2	Conduct multi-stakeholder study and propose a general of reservoir system in selected provinces for the warning information (Support to the Reservoir Monitoring Information System Programme) Consultation workshop on the general modal and propose set of information for warning downstream	40,000.00 10,000.00	31,851.12 7,487.43	79.63% 74.87%	9,000.00	3,489.13	38.77%				
Output 1.7 Summary			**50,000.00**	**39,338.55**	**77.25%**	**9,000.00**	**3,489.13**	**38.77%**	**36,000.00**	**48,087.58**	**133.58%**	**83.20%**
Activity Result 1.8: Improvement of multi-hazard integrated early warning systems in selected high risk provinces												
Indicator 1.8: - Number of detail design for multi-hazard EWS. Baseline 1.8:- The project had suggested 3 models for EWS in Cao Bang, Binh Thuan and Can Tho. This results will be further designed with Province(s) for feasibility, sustainability and implementation. Target 1.8:- A proposed detail design for multi-hazard EWS for a disaster prone province.	1.8.1	A detail design for development and implementation of integrated, multi-hazard early warning systems (including drought, salt water	30,000.00	29,139.90	97.13%	3,000.00	1,747.13	58.24%				
Output 1.8 Summary			**30,000.00**	**29,139.90**	**97.13%**	**3,000.00**	**1,747.13**	**58.24%**	**18,000.00**	**29,478.29**	**163.77%**	**106.38%**
Total for Output No. 1			**512,500.00**	**307,400.12**	**70.31%**	**137,390.00**	**95,029.65**	**54.14%**	**187,260.00**	**124,811.60**	**76.67%**	**67.04%**
Project specific Output 2: Improved capacity of the DMC and CFSC members to effectively and efficiently plan, implement, monitor and evaluate the CBDRM programme, ensuring gender sensitivity and participation of vulnerable groups (e.g. migrants, particular ethnic minorities, etc.), in both rural and urban areas												

Activity Result 2.1: Capacity of the GoV Disaster Management Centre (DMC) enhanced to ensure coordinated and effective planning, management, implementation and M&E of the national CBDRM Programme											
Indicators:- Financial coordination mechanism for the GoV, INGOs and donors on CBDRM. Baseline:- CBDRM program approved by GoV. There has been no utilization of the State budget for the CBDRM program (from national to local levels). Targets:- An inter-ministerial Circular finalized and submitted to MARD and MoF Q2/2013.	2.1.1	Support the establishment and development mechanisms for multi-stakeholders to implement CBDRM and DRR	40,000.00	36,130.11	90.33%						
	2.1.1.1	Support the establishment and development of financial coordination mechanisms for the GoV, INGOs and donors on CBDRM	0.00	0.00	0.00%						
	2.1.1.2	Supporting the development of an Inter-ministerial (MARD-MoF) Circular on the utilization of the State budget for the CBDRM program (from national to local levels)	20,000.00	21,181.05	105.91%						
Indicators: Agreements of Prime Minister, C/CFSC, MARD. Baseline: - The participant and the contribution of VWU in CCA/DRR for a long time; - Long - term partnership between VWU and CFSC in CCA/DRR. Targets: VWU will become the full membership of C/CFSC at national and all sub-national levels in 2014	2.1.1.3	Advocate and apply for full membership of the VWU in the C/CFSC at national and all sub-national levels through dialogue meeting	20,000.00	14,949.06	74.75%						
Indicators:- Agreements between the NIP and CIPs; - Number of coordination meetings and thematic discussions Baseline:- Long-term partnership between DMC and Oxfam; - MoU between DMC- VNRC/WU Targets: - LoAs signed; - A minimum of 12 monthly reports of regular coordination of the tri-partite partnership with proposed set of actions for CIPs and DMC -	2.1.2	Develop tripartite partnerships between the DMC, with the Viet Nam Red Cross Society, the Viet Nam Women's Union and Oxfam	34,300.00	32,038.18	93.41%	326,000.00	258,200.38	79.20%			
	2.1.2.1	Project inception meeting with Project Steering Committee, CIPs, AusAID other major stakeholders including from 5 provinces	3,300.00	6	3,248.4	98.44%					
	2.1.2.2	Kick off tripartite partnerships between the DMC, with the Viet Nam Red Cross Society, the Viet Nam Women's Union and Oxfam and UNDP	5,000.00	3,918.06	78.36%						
	2.1.2.3	Support for tripartite partnership regular coordination between DMC/PMU, VNRC, WU and Oxfam	26,000.00	24,871.67	95.66%						
Indicators:- % of the targeted 6,000 vulnerable communes/wards that conduct CBDRM activities according to their locally developed plans, under the CBDRM Programme (both GoV and donor funding); Baseline: % of the targeted 6,000 vulnerable communes/wards that have conducted CBDRM activities according to their locally developed plans under the CBDRM Programme.	2.1.3	Roll out of the main „building blocks" for the GoV CBDRM programme	149,500.00	146,823.53	98.21%	120,000.00	105,820.53	88.18%			
	2.1.3.1	Roll out of the main „building blocks" for the GoV CBDRM programme and support to the adoption at national and sub-national levels through "tailored" orientation and training (e.g. on the Implementation Guidelines, gender and DRR/CCA, Vulnerability Capacity Assessment, M&E, CBDRM in an urban setting, etc.)	100,000.00	103,438.50	103.44%						
	Block 1		24,678.00	21,732.89	88.07%						
	Block 2	Validation of the list and maps of 6000 vulnerable communes identified through CBDRM risk assessment:	36,038.00	32,695.39	90.72%						

	Block 3	Review and test existing Vulnerability Capacity Assessment tools and document it as standard tools for CBDRM:	31,284.00	31,057.06	99.27%								
	Block 4	Communication materials	8,000.00	17,953.16	224.41%								
Indicator:- Number of participants received intermediate skills and knowledge as TOT for CBDRM Baseline:- CBDRM training materials has been drafted and to be finalized. 500 TOT was trained by GoV and UNDP in 2012 and of which 50 will be selected for advanced training in 2013 Target:- At least 50 trainers increased capacity on designing and implementing CBDRM at the provincial level and local level; - A minimum of 40% trainers are female	2.1.3.2	Conduct two 3-day specialized training events for 50 Provincial Trainers on GoV approved CBDRM	36,500	31,594.72	86.56%								
	2.1.3.3	Conduct two 2-day specialized training events for 50 Provincial Trainers" on gender equality in DRR/CCA	13,000	11,790.31	90.69%								
Indicators:- Number of inventory for GIS map and risk map at community level Baseline:- Hazard maps is unconnected and not detail at community level. Some communes produced hazard maps in their CBDRM projects but not yet reported or utilized at different levels Target:- 01 inventory of GIS maps, risk maps produced	2.1.4	Develop an inventory of digitalized hazard maps and risk assessments derived from the communes/villages and GIS mapping	25,000.00	24,776.25	99.10%	6,000.00	1,574.57	26.24%					
	2.1.8	Support the collection, development and promulgation of IEC and media materials with the GoV and partner organizations as part of awareness raising activities to support CBDRM				5,000.00	1,736.49	34.73%					
Indicators:- The establishment and functioning of a M&E framework for CBDRM programme Baseline:- The SCDM Phase 1 produced a final draft of M&E framework which is now under final review by the GoV and application Target:- A M&E framework is appraised and approved by MARD for application in CBDRM for regular M&E and reporting	2.1.9	Nationwide implementation and regular updating of the comprehensive CBDRM M&E Framework (2011)	15,000.00	13,061.28	87.08%	5,200.00	3,492	67.16%					
Output 2.1 Summary			**587,600.00**	**571,259.68**	**94.69%**	**462,200.00**	**370,823.97**	**59.10%**	**0.00**	**0.00**	**0.00%**		**76.90%**
Activity Result 2.2: Enhanced capacities of city, district, ward and commune level CFSC members to plan, implement, monitor and evaluate the GoV CBDRM program ensuring broad stakeholder participation, and aiming to improve city/commune/ward/village/household resilience to disasters and climate change													
Indicators:- Number of Standard sets of training materials for CBDRM. Baseline:- Training materials for CBDRM at local levels are in different versions, formats in INGOs and VNRC. Target:- 01 standard set of training materials for gender sensitive and culturally appropriate CBDRM produced for provincial level.	2.2.1	Oversee the finalization of gender sensitive, culturally appropriate CBDRM training materials and guidelines for commune, ward, and village levels, in seven different regional zones through a participatory process	75,000.00	59,648.28	79.53%	9,300.00	3,498.35	37.62%					
	2.2.2	Develop and implement public awareness programmes on gender equity in DRR/CCA nationwide and specifically in Priority Provinces				14,600.00	14,549.00	99.65%					
Output 2.2 Summary			**75,000.00**	**59,648.28**	**79.53%**	**23,900.00**	**18,047.35**	**68.64%**	**0.00**	**0.00**	**0.00%**		**74.08%**
Total for Output No. 2			**662,600.00**	**630,907.96**	**87.11%**	**486,100.00**	**388,871.71**	**80.00%**	**0.00**	**0.00**	**0.00%**		**83.55%**
Project specific Output 3: Evidence based action research on DRR and CCA utilized to improve policy and strategy and plans developed and implemented at national, regional and international level													

Activity Result 3.1: Applied research undertaken in DRR and CCA including the nexus with poverty, resilience and migration that informs policy, strategy and plans developed at national, regional and international level												
Indicators: Number of pieces of action research on DRR and CCA undertaken.	3.1.1	Research on DRR and CCA, including on issues related to: migration, relocation and resettlement; drought and other issues of importance	30000	27,408.74	91.36%							
Baseline: -Recently completed research studies on: gender, climate change, migration, etc.	3.1.1.2	Support applied research on integration of CBDRM into New Rural Development Program / An assessment and review on small scale disaster prevention work planning to support CBDRM programme										
Target: - A research on DRR and CCA undertaken.	Research 1	Conduct a research on DRR and CCA to mainstream into the New Rural Development program	14683	14,343.70	97.69%							
	Research 2	Conduct an assessment of small-scale disaster prevention works (infrastructure) to support CBDRM programme	15317	13,065.04	85.30%							
	Research 3	The final TOR for conducting a research on storm surge in coastal Vietnam completed in August 10;				600	1	544.6	90.77%			
	3.2.1	Continue to forge linkages between academic bodies in Viet Nam and international centers of research and development and the establishment of appropriate Bachelor and Masters courses at University level										
Output 3.1 Summary			**60,000.00**	**54,817.48**	**91.45%**	**600.00**	**544.61**	**0.91**	**0.00**	**0.00**	**0.00**	
												60.74%
Activity Result 3.2: Institutional arrangements between Vietnamese and external academic bodies to undertake research and facilitate appropriate courses in DRR and CCA												
Indicators: referenced in new or revised DRR and CCA policies, strategies and plans at the national, regional and international level. Baseline: Current DRM and CCA policies and strategies at the national, regional and international level are insufficiently grounded on insufficiently grounded on research undertaken. Target: At least 50% of the recommendations made in the research reports in 2013 are referenced in new or revised DRR and CCA policies, strategies and plans at the national, regional and international level. -												
Indicator: Memorandum of Understanding (MoU) or other formal agreements signed between Vietnamese and external academic bodies.	3.2.1	Continue to forge linkages between academic bodies in Viet Nam and international centers of research and development and the establishment of appropriate Bachelor and Masters courses at University level										

Baseline 3.3 (2011): Agreement between Hanoi Water Resources University (CTIC) and the ICCCAD, Bangladesh. Target: At least one additional MoU/equivalent developed between Vietnamese and external academic body/institutes. MoV 3.3: MoUs or other formal agreements.											
Output 3.2		0.00	0.00	0.00%							0.00%
Total for Output No. 3		60,000.00	54,817.48	91.45%			0.00%			0.00%	30.48%

Table 8-1: Outputs and achievements towards indicators and targets

Indicators and Targets	Activity		Overall progress towards achievement of the indicator	Rating
PROJECT OUTPUT 1: Enhanced national and sub-national institutional capacities of Central and Provincial Committees for Flood and Storm Control (CCFSC) members and main stakeholders to consolidate the disaster risk reduction (DRR) legislative, policy and strategic framework				
Activity Result 1.1: Institutional development and capacity building of the national Standing Office of the CCFSC, CCFSC members and of provincial CFSC (in selected high-risk provinces);				
<u>Indicators:</u> - Technical and functional capacity improvement in all components of DRM of the CCFSC and CFSC in selected high-risk provinces as compared to the baseline. <u>Target:</u> - Technical and functional capacities of CCFSC and the CFSC in selected high-risk provinces are improved on average by 10% and the DMC by 20% as compared to the baseline.	1.1.1	Undertake a capacity assessment of C/CFSC members at national level and in selected high-risk provinces; Finalised in 2014	A comprehensive, participatory Institutional Capacity Assessment for the Committees for Flood and Storm Control at National and Provincial level was finalised in early 2014. The Institutional Capacity Assessment report included a framework for capacity strengthening across the C/CFSC in line with the new law which was reviewed and validated by key stakeholders during a feedback workshop on 6 June 2014 in Hanoi which was attended by 18 C/CFSC members including 5 Female and 13 Male participants	S
	1.1.2	Support a comprehensive nationwide training programme, to enhance technical and operational capacities of C/CFSC at national level and in selected high-risk provinces, through the roll out of the MARD approved DRR/CCA Training Material (2011)	Development of two Guidebooks and the CBDRM M&E Guidebook institutionalized; A set of CBDRM training guidance materials, aimed at assisting provincial and district level officials to provide training on how to carry out the CBDRM and CBDRA processes to the commune level were also developed.	
	1.1.3	Support the capacity strengthening to cope with extreme weather including enhancement of technical and operational capacities of C/CFSC.		
Activity Result 1.3: Enhanced capacity of National Assembly's Committee of Science, Technology and Environment (CSTE) and GoV Drafting/Editorial Committee(s) to finalize effectively the formulation and promulgation of the Disaster Risk Management Law and accompanying Decree(s)				
<u>Indicators:</u> The promulgation of a Disaster Risk Management (DRM) Law with its accompanying Decrees <u>Target:</u>- A final version of the DRM Law and an accompanying Decrees are completed.	1.3.1	Support the completion of the final draft of the DRM Law and the finalization of the drafting of the supporting Decrees for the DRM Law	Technical assistance on DRR and CCA through studies and multi-stakeholder workshops was provided to the National Assembly members in the process of verification of DRM Law. To support the law's implementation, the project provided additional technical support to develop two additional Decrees: one which details specific functions and roles for implementing the law and one on the set up and management of natural disaster prevention and control funds. Studies were carried out to support the development of the Decrees. Stakeholders consulted include members of the Drafting and Editing Committees from MARD, relevant ministries, provincial authorities and key disaster response organizations	HS
	1.3.2	Provide technical assistance on DRR and CCA to National Assembly members in the process of verification and development of the DRM Law, as well as in the future supervision of DRM Law implementation	The project is also currently supporting development of a Circular on CBDRM program implementation which will provide a clearer legal base for the application of the 'building blocks' blocks approach being supported under Result 2. The project is providing technical and consultant support and helped organize a consultation meeting with civil society stakeholders to gather inputs and suggestions on the draft. A complete draft version of the Circular on CBDRM implementation guidance now has been submitted to DMC for further review and action.	
	1.3.3	Support the comprehensive promulgation of the DRM Law at national and sub-national levels, including the use of the media:	Law on Natural Disaster Prevention and Control was passed at the 5th session meeting of the National Assembly of Vietnam on June 19, 2013. Two supporting Decrees have been drafted and submitted to the Ministry of Justice for review. They will be submitted to the Government Office in March 2014 for final approval.	
	1.3.4	Organize a regional forum with parliamentarians from a range of countries in the Asia-Pacific Region on DRR and CCA legislation	SCDM II technical advisors were involved to varying degrees in contributing and reviewing drafts of several decrees of the NPDC law	
Activity Result 1.4: Successful establishment and operation of a National Platform for Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA)				
<u>Indicator:</u> - Number of multi-stakeholder meetings held; - Number of national Forum event organized in Q4. <u>Target:</u> - Number of DMC/DDMFSC staff to be built capacity to operate National Platform	1.4.1	Support the development of DMC/DDMFSC human resource capacities and address other staffing requirements for the operation of the National Platform	A series of technical meetings for experience and information exchange were held to provide inputs for the National Platform (NP) on DRR and CCA. Financial support was also provided to the organisation of NP. DMC staff also benefitted from capacity development activities including the improvement of facilitation and writing skills. It should be noted that it has not been possible to ascertain exactly what capacity has been built as no measure of actual capacity build has been provided but this is likely to come out of the final CA which will be done by end of 2015.	MS
	1.4.2	Support the GoV Annual Forums, multi-stakeholder workshops, policy dialogue and information sharing in line with an annual National Platform action plan	The project supported the update of the HFA implementation progress report 2013-2015 through holding a series of technical and consultation meetings for data collection and analysis. The main technical consultation was carried out on 19 November in Hanoi with 70 participants including 13 female and 57 male. The main output was feedback into the HFA report which was consolidated, edited and translated by the PMU and DMC	
Activity Result 1.5: Improved technical and operational systems, policies and strategies for pre- and post-disaster decision- making processes between national and sub-national levels to ensure evidence-based "building back better" early recovery and DRM programming				
<u>Indicators:</u> Relevant DRR stakeholders informed on the HAP Principles (2010) and Sphere standards;	1.5.1	Support the Government to formulate an early recovery policy and strategy aligned with global and regional frameworks	MARD and project staff is now contributing to the guideline development for ASEAN regional recovery. Viet Nam now plans to undertake a review of its systems in light of the guidelines in 2015.	HS

Target: at least 1000 DRR practitioners informed on the HAP Principles (2010) and at least 40 CFSC official and DRR practitioners enhanced understanding on HAP principles and Sphere standards.	1.5.2.1	Translate into Vietnamese, publish, print and disseminate the: Humanitarian Accountability Partnership (HAP) Principles and Standards in Accountability and Quality Management (2010)	HAP principles translated into Vietnamese, published, printed and disseminated (3,000 copies of HAP and 1,000 copies of Sphere books). Target achieved.	
Indicators: Relevant DRR stakeholders are enhanced understanding about HAP Principles (2010) and Sphere standards (2011)	1.5.2.2	Organize one training workshop on the HAP Principles and the Sphere Standards	A technical meeting was held to discuss the TOR and criteria for selection of provinces, participants from CBDRM trainees list; The training course was delivered to 28 participants from DDMFSC, DMC, Red Cross, Women Union and CFSC at national and provincial levels (16 men and 12 women). The training workshop led by key facilitators from Oxfam, joint facilitators from INGOs (World Vision, Save Children, WHO, Plan International), DMC and Red Cross; Final evaluation by participants showed that they have gained good understanding of HAP principles and Sphere standards and expressed that these are relevant to humanitarian work in Vietnam. They also showed their willingness to share what they have learnt with colleagues and try to apply in their works; Several ideas by participants emerging from training course such as how HAP and Sphere initiative can be applied (as pilot) at provinces and how to introduce HAP and Sphere as a guide book for emergencies response.	HS
Target: at least 20 DRR practitioners' understanding of HAP Principles (2010) and Sphere standards (2011) are enhanced				
Indicators:- Full customization of GoV approved DANA templates into DesInventar software;- Number of DMC/DDMFSC resource person and number of provincial staff from 20 most disaster prone provinces trained in use of software and competent to upload disaster damage data	1.5.3	Institutionalize and adopt nationally, improved methodologies for C/CFSC members in the assessment of disaster damage and disaggregated humanitarian response and recovery needs	The Damage and Needs Assessment template has been customized and integrated into the DesInventar software. Six 6 national and local officials completed Desinventar training in Bangkok as part of regional UN initiative. A workshop on Strengthening Disaster Information Systems in Vietnam was organized on May 13-14 which included roundtable discussions on Strengthening Risk Mapping and Visual Tools for Disaster Data analysis and Strengthening Disaster Preparedness and Response Information Systems. Representatives and guest speakers at the workshop came from key Government departments as well as IMHEN, ADPC, VNRC, Dyke Department, DMWG, PDC and UNDP.	S
Target:- Templates fully customized into DesInventar software; - 2 to 3 DMC/DDMFSC; resource persons fully trained in use of software; - 20 to 40 DARD staff from 20 provinces trained in use of software.			Evidence that the DNA systems will provide improvement in Post-disaster recovery capacity, however not much work done on pre-disaster needs assessments (such as socio-economic event scenario modelling to predict what the damages would be and to use for planning measures. CBDRA and SEDP is to be used in the planning (i.e. pre-disaster) aspects. Could benefit from more strategic and long term assessment of risk (e.g. universal risk modelling and mapping) and planning that using scenario risk modelling methods to capture of the likely risk that communities can be exposed to	
Activity Result 1.6: Implementation of commitments made internationally (under the Hyogo Framework for Action) and regionally (e.g. the ASEAN Agreement on Disaster Management and Emergency Response, AADMER), identified and prioritized by DMC/DDMFSC				
Indicators:- Number of officials of SO of CCFSC to be strengthened to support CCFSC for establishment and operation of AHA centers.	1.6.1	Support to DDMFSC in its role as national focal point for AADMER/AHA center implementation and in furthering transboundary relationships	MARD officials participation in a number of key global DRM related forums including the APEC early preparedness working groups in Indonesia, April and 21-22 August, 2013, Australia-Indonesia East Asia Summit Rapid Disaster Response Workshop, Australia, 23-24 Sept, 2013, etc.	S
Target: A minimum of two officials attend the international events organized by Q2/2013 which support for establishment and operation of AHA centers.				
Indicators:- Number of officials of SO of DMC/CCFSC to be invited to international events.	1.6.2	Provide support for the engagement of GoV staff to ensure full and active participation in international, regional and national meetings, workshops, seminars, training events, etc.	The project supported two senior Water Resources Department delegates to attend the Asian Ministerial Conference on Disaster Risk Reduction from 23-26 June 2014, in Bangkok, Thailand to share Viet Nam's experience on CBDRM, VinAware and Early Warning Systems. In their workshop report to MARD, the DMC has requested that MARD and related agencies implement the National NDPC Law and Plan, and improve CBDRM implementation, and suggested that the Water Resources Department cooperate with the International Relations Departments to prepare for the 3rd World Conference on DRR in Sendai Japan	S
Target:A minimum of 5 officials attend the international events organized in /2013.	1.6.3	Engage fully with the international process to develop the follow up to the HFA2005-2015 and Action Plan		
Activity Result 1.7: Development of a comprehensive hydro-power/irrigation reservoir management system				
Indicators:- Number of general model of flooding warning system for downstream of reservoir.	1.7.1	Conduct multi-stakeholder study and propose a general model of reservoir system in selected provinces for the warning information (Support to the Reservoir Monitoring Information System Programme)	Studies to propose a reservoir management system in Thua Thien Hue for the warning information and an integrated, multi-hazard early warning system in Ha Tinh (1.8) have been completed and proposals are being considered for the implementation in the coming years.	S
Target:- A general model for flood warning system downstream;	1.7.2	Consultation workshop on the general model and propose set of information for warning downstream	A ToR to develop flood maps for inclusion into the VinAware system was completed in August 2014 and a consultancy firm signed their contract in December. This activity is now underway and is expected to be completed mid-2015.	
Activity Result 1.8: Improvement of multi-hazard integrated early warning systems in selected high risk provinces				

Indicator 1.8: - Number of detail design for multi-hazard EWS.	1.8.1	A detail design for development and implementation of integrated, multi-hazard early warning systems (including drought, salt water intrusion, floods and other hazards) in selected high-risk provinces through specific studies and financing follow-up actions (Build on the SCDM project results in phase 1 in Cao Bang, Can Tho, and Binh Thuan).	SCDM-II technical advisors participated in a number of technical discussions with key Government counterparts on how best to build on research on early warning systems completed in 2013. The project had aimed to support the set-up of an early warning system to link a 1002 project commune to improved hydro-meteorological data based to improve disaster decision making in the La river basin, Ha Tinh. However, the 2013 report had outlined a number of key challenges in set up, maintenance and inter-ministerial management of sustainable early warning systems. Initial meetings between DMC, the SCDM-II project and IMHEM were held, however a clear methodology and sustainability plan was not able to be agreed at this time, partly due to the current MARD restructuring. As such, this activity has been postponed pending further clarity on these issues	U
Target 1.8:- A proposed detail design for multi-hazard EWS for an disaster prone province.				

Project specific Output 2: Improved capacity of the DMC and CFSC members to effectively and efficiently plan, implement, monitor and evaluate the CBDRM programme, ensuring gender sensitivity and participation of vulnerable groups (e.g. migrants, particular ethnic minorities, etc.), in both rural and urban areas

Activity Result 2.1: Capacity of the GoV Disaster Management Centre (DMC) enhanced to ensure coordinated and effective planning, management, implementation and M&E of the national CBDRM Programme

Indicators:- Financial coordination mechanism for the GoV, INGOs and donors on CBDRM.

Targets:- An inter-ministerial Circular finalized and submitted to MARD and MoF Q2/2013. | 2.1.1 | Support the establishment and development mechanisms for multi-stakeholders to implement CBDRM and DRR | The two Guidebooks and the CBDRM M&E Guidebook were institutionalized through the approval and issuance by MARD; A set of CBDRM training guidance materials, aimed at assisting provincial and district level officials to provide training on how to carry out the CBDRM and CBDRA processes to the commune level were also developed. These materials include lesson plans, agendas, pre & post-tests, PowerPoint presentation templates, and some additional reading materials; Using the CBDRM materials, the DMC and co-implementing partners provided a seven- day CBDRM & CBDRA Training of Trainers (ToT) to selected Provincial/District level officials from 20 target provinces. | MS |
| | 2.1.1.1 | Support the establishment and development of financial coordination mechanisms for the GoV, INGOs and donors on CBDRM | Completion of a draft version of the inter-ministerial (MARD-MoF) Circular on the utilisation of the State budget for the CBDRM program which will serve as a working tool for disaster management official from central to commune level to conduct the CBDRM program in the whole country; | |
| | 2.1.1.2 | Supporting the development of an Inter-ministerial (MARD-MoF) Circular on the utilization of the State budget for the CBDRM program (from national to local levels) | Technical support and consultations were completed regarding an inter- ministerial (MARD-MoF) Circular on the utilisation of the State budget for the CBDRM program, rolling out the main "building block" for the GoV CBDRM and monitoring and evaluation system of the program; It has been noted (by ITA) that the financial 'Building block' has not been sufficiently advanced and therefore there is currently no clear idea of the financing requirements for the implementation of CBDRM. A research project to study the financing is scheduled for 2016. | |
| Indicators: Agreements of Prime Minister, C/CFSC, MARD.

Targets: VWU will become the full membership of C/CFSC at national and all sub-national levels in 2014 | 2.1.1.3 | Advocate and apply for full membership of the VWU in the C/CFSC at national and all sub-national levels through dialogue meeting | VWU attained the full membership of C/CFSC at national and all sub-national levels in 2014 | HS |
| | | | | |
| Indicators:- Agreements between the NIP and CIPs; - Number of coordination meetings and thematic discussions

Targets: - LoAs signed; - A minimum of 12 monthly reports of regular coordination of the tri-partite partnership with proposed set of actions for CIPs and DMC | 2.1.2 | Develop tripartite partnerships between the DMC, with the Viet Nam Red Cross Society, the Viet Nam Women's Union and Oxfam | Letter of Agreement (LoA) between DMC and CIPs were prepared and discussed in 2013 Q2 before finalizing. The LoAs were officially signed in the inception meeting held on June 21, 2013 | S |
	2.1.2.1	Project inception meeting with Project Steering Committee, CIPs, AusAID other major stakeholders including from 5 provinces	Project inception meeting with Project Steering Committee, CIPs, AusAID other major stakeholders including from 5 provinces	
	2.1.2.2	Kick off tripartite partnerships between the DMC, with the Viet Nam Red Cross Society, the Viet Nam Women's Union and Oxfam and UNDP	At least four official tripartite meetings amongst DMC, Viet Nam Red Cross Society, Viet Nam Women's Union, Oxfam and UNDP were held to discuss the collaboration and coordination mechanism	
-	2.1.2.3	Support for tripartite partnership regular coordination between DMC/PMU, VNRC, WU and Oxfam	CIP/NIP meetings are held regularly and intensively during project planning	
Indicators:- % of the targeted 6,000 vulnerable communes/wards that conduct CBDRM activities according to their locally developed plans, under the CBDRM Programme (both GoV and donor funding);	2.1.3	Roll out of the main „building blocks" for the GoV CBDRM programme	51 CBDRA's were completed by commune officials in their local villages using participatory methods and consolidated into a CBDRA report. The 51 ToFs trained 814 commune officials of which 608 were male and 206 female. During the CBDRA process 356 consultation meetings were conducted with the participation of 8,789 villagers (see Annex 2). Using the CBDRA report the Technical Assistance Group completed the Natural Disaster Prevention and Control Plan (formerly known as flood prevention or DRM plan) for submission to the commune leader.	MS
	2.1.3.1	Roll out of the main „building blocks" for the GoV CBDRM programme and support to the adoption at national and sub-national levels through "tailored" orientation and training (e.g. on the Implementation Guidelines, gender and DRR/CCA, Vulnerability Capacity Assessment, M&E, CBDRM in an urban setting, etc.)	The CBDRM M&E Indicators and Guidebook were approved in April 2014 and include 29 indicators for measuring progress within the 1002 program, looking at policy, implementation, school integration and EWS linkages. In 2014, DMC also took over a CBDRM database created by Plan International/JANI and information from project supported 51 CBDRM communes are in the process of being entered into the database. It should be noted that the building blocks for CBDRM implementation is mostly completed except financial mechanism (national level). It is also noted that the	

Indicator:- Number of participants received intermediate skills and knowledge as TOT for CBDRM	2.1.3.2	Conduct two 3-day specialized training events for 50 Provincial Trainers on GoV approved CBDRM	DMC and the three co-implementing partners also conducted eight CBDRM & CBDRA Training of Trainers (TOT) courses in 20 provinces for Provincial and District level officials to become CBDRM & CBDRA Trainers in their home provinces. The ToT trained 184 provincial and district trainers from the C/CFSC (119 males and 65 females) providing knowledge on CBDRM and how to carryout implementation at the commune level (see Annex 1). During the training the standard sets of CBDRM & CBDRA materials were utilized by facilitators and adjusted to regional and participant requirements	S
Target:- At least 50 trainers increased capacity on designing and implementing CBDRM at the provincial level and local level; - A minimum of 40% trainers are female	2.1.3.3	Conduct two 2-day specialized training events for 50 Provincial Trainers" on gender equality in DRR/CCA	Oxfam two training courses on gender mainstreaming and CBRDM in Ha Noi for 64 participants in 12 provinces of the North of Vietnam	
Indicators:- Number of inventory for GIS map and risk map at community level	2.1.4	Develop an inventory of digitalized hazard maps and risk assessments derived from the communes/villages and GIS mapping	A final report on the development of database on digitalized hazard for communes was submitted to PMU in November 2013;	S
Target:- 01 inventory of GIS maps, risk maps produced	2.1.8	Support the collection, development and promulgation of IEC and media materials with the GoV and partner organizations as part of awareness raising activities to support CBDRM	In 2014, DMC also took over a CBDRM database created by Plan International/JANI and information from project supported 51 CBDRM communes are in the process of being entered into the database. It is not clear how many maps are already entered into the database. It is also not clear whether maps produced by CBDRA is complemented by scientifically-produced maps of flood hazard and risk	
Indicators:- The establishment and functioning of a M&E framework for CBDRM programme	2.1.9	Nationwide implementation and regular updating of the comprehensive CBDRM M&E Framework (2011)	A set of indicators was approved by MARD on April 14th 2014 under the Decision 742/QD-BNN-TCLT; A meeting between PMU and DMC staff was held on August 27 to discuss on the needs for supporting the CBDRM M&E system. As the result, a draft TOR for individual consultant on supporting the roll-out of MARD's CBDRM M&E system was developed; - An individual consultant recruited to undertake the assignment; M&E system completed in 2015	S
Target:- A M&E framework is appraised and approved by MARD for application in CBDRM for regular M&E and reporting				

Activity Result 2.2: Enhanced capacities of city, district, ward and commune level CFSC members to plan, implement, monitor and evaluate the GoV CBDRM program ensuring broad stakeholder participation, and aiming to improve city/commune/ward/village/household resilience to disasters and climate change	

Indicators:- Number of Standard sets of training materials for CBDRM.	2.2.1	Oversee the finalization of gender sensitive, culturally appropriate CBDRM training materials and guidelines for commune, ward, and village levels, in seven different regional zones through a participatory process	DMC and the three co-implementing partners conducted eight CBDRM & CBDRA Training of Trainers (TOT) courses in 20 provinces for Provincial and District level officials to become CBDRM & CBDRA Trainers in their home provinces. The ToT trained 184 provincial and district trainers from the C/CFSC (119 males and 65 females) providing knowledge on CBDRM and how to carryout implementation at the commune level (see Annex 1). During the training the standard sets of CBDRM & CBDRA materials were utilized by facilitators and adjusted to regional and participant requirements	S
Target:- 01 standard set of training materials for gender sensitive and culturally appropriate CBDRM produced for provincial level.	2.2.2	Develop and implement public awareness programmes on gender equity in DRR/CCA nationwide and specifically in Priority Provinces		

Project specific Output 3: Evidence based action research on DRR and CCA utilized to improve policy and strategy and plans developed and implemented at national, regional and international level	

Activity Result 3.1: Applied research undertaken in DRR and CCA including the nexus with poverty, resilience and migration that informs policy, strategy and plans developed at national, regional and international level	

Indicators: Number of pieces of action research on DRR and CCA undertaken.	3.1.1	Research on DRR and CCA, including on issues related to: migration, relocation and resettlement; drought and other issues of importance	A study on how to mainstream DRR and CCA into the new rural development program was completed and is under consideration by the Government; Links were also established with the Water Resources University to scope out options for further academic partnerships and options for integrating DRM and CCA more effectively into academic curricula; The report on mainstreaming has now been submitted to the Government, and further work to support its implementation will be undertaken in 2014	
Target: - A research on DRR and CCA undertaken.	3.1.1.2	Support applied research on integration of CBDRM into New Rural Development Program / An assessment and review on small scale disaster prevention work planning to support CBDRM programme		
	Research 1	Conduct a research on DRR and CCA to mainstream into the New Rural Development program		U
	Research 2	Conduct an assessment of small-scale disaster prevention works (infrastructure) to support CBDRM programme		
	Research 3	The final TOR for conducting a research on storm surge in coastal Vietnam completed in August 10;	The final TOR for conducting a research on storm surge in coastal Vietnam completed in 2014; A meeting between IMHEN and PMU and DMFSC to discuss on methodology of development of storm surge scenarios on September 19.	
	3.2.1	Continue to forge linkages between academic bodies in Viet Nam and international centers of research and development and the establishment of appropriate Bachelor and Masters courses at University level		

Activity Result 3.2: Institutional arrangements between Vietnamese and external academic bodies to undertake research and facilitate appropriate courses in DRR and CCA				
Indicators: referenced in new or revised DRR and CCA policies, strategies and plans at the national, regional and international level. Target: At least 50% of the recommendations made in the research reports in 2013 are referenced in new or revised DRR and CCA policies, strategies and plans at the national, regional and international level.				U
Indicator: Memorandum of Understanding (MoU) or other formal agreements signed between Vietnamese and external academic bodies. Target: At least one additional MoU/equivalent developed between Vietnamese and external academic body/institutes.	3.2.1	Continue to forge linkages between academic bodies in Viet Nam and international centers of research and development and the establishment of appropriate Bachelor and Masters courses at University level	A round table workshop on strengthening cooperation between MARD and the Water Resources University of Viet Nam was held in February of 2014 and was attended by professors, representatives from Delft University, UNDP and other stakeholders. Draft collaboration plan was established and a MoU between DMC and Water Resources University on support for small research grants for DRR was drafted. Discussions on deepening collaboration were also held with a number of other academic institutions both inside and outside Viet Nam. Further work in this area is planned for 2015	U

Key for colour ranking

	Highly Satisfactory (HS)	Completed, No shortcomings Output achieved no shortcomings
	Satisfactory (S)	Well on track, still needs some work. Minor shortcomings to date
	Moderately Satisfactory (MS)	Broadly on track but some significant shortcomings.
	Moderately Satisfactory (MU)	Some progress, but largely behind schedule. Corrective measures needed
	Unsatisfactory (U)	Very limited progress. Component is way behind schedule and off-track. Urgent correction needed.
	Highly Unsatisfactory (HU)	No perceptible progress and critical intervention required.

9 APPENDIX 4 – SCHEDULE OF MEETINGS UNDERTAKEN

Monday 7 Sept			
Morning			
10:00 - 12:00	MTE kick-off meeting at UNDP office	DMC/UNDP	Done
Afternoon			
14:00 – 15:00	Meeting with and Interview representative of Department of Dyke Management	Margaretta Ayoung, Hoang Van Duong	Done
15:00 – 16:00	Meeting with and Interview representative of Department of Natural Disaster Prevention and Control	Margaretta Ayoung, Hoang Van Duong	Done
16:00 – 17:00	Meeting with and Interview with Disaster Management Centre leaders and some key staff	Margaretta Ayoung, Hoang Van Duong	Done
Tuesday 8 Sept			
Morning			
08:30 - 10:00	Meeting with and Interview CIP's project coordinator and relevant staff - Women Union	Margaretta Ayoung, Hoang Van Duong	Done
10:30 - 11:30	Meeting with and Interview CIP's project coordinator and relevant staff - Oxfam GB	Margaretta Ayoung, Hoang Van Duong	Done
Afternoon			
14:00 – 16:00	Process collected information and prepare the report	Margaretta Ayoung, Hoang Van Duong	
16:00 – 17:00	Meeting with and Interview representative of World Vision	Margaretta Ayoung, Hoang Van Duong	Done. Interview Mr. Le Van Duong at SCDM II Office
Wednesday 9 Sept	☐		
Morning	☐		
10:00 - 11:00	Meeting with and Interview SCDM II project manager	Margaretta Ayoung, Hoang Van Duong	Done. Interview Ms. Son at DMC Office
Afternoon	☐		
15:00 - 17:00	Meeting with and Interview representative of PMU staff	Margaretta Ayoung, Hoang Van Duong	Done. Interview Mr. Tinh and Mrs. Jenty at SCDM II Office

Thursday 10 Sept			
Morning	☐		
06:30 - 15:00	▪ Field visit to Quang Huc commune, Tam Nong district, Phu Tho province to participate in the event of mainstreaming of Natural Disaster Prevention and Control Plan into the commune Socio-economic Development Plan	Women Union, MTE team, DFAT, UNDP, DMC and PMU	Done
Afternoon	☐		
15:00 - 16:00	▪ Interview CFSC of Phu Tho province	Margaretta Ayoung, Hoang Van Duong	Done
17:00 - 19:00	Travel back to Ha Noi	Margaretta Ayoung, Hoang Van Duong	
Friday 11 Sept			
Morning			
09:30 - 10:30	Meeting with and Interview representative of Care International	Margaretta Ayoung, Hoang Van Duong	Done Interview Mr. Hung (0912312488) and Mr. Hieu at Care office add: 92 To Ngoc Van street, HN
Afternoon	☐		
15:00 - 16:00	Meeting with and Interview representative of MPI	Margaretta Ayoung, Hoang Van Duong	Done. Interview Mr. Le Van Minh at MPI office
Weekend			
Monday 14 Sept ☐			
Morning			
11:00 - 12:00	Meeting with and Interview representative of Save the Children and DMT NGO focal points	Margaretta Ayoung, Hoang Van Duong	Done Interview Ms. Bui Thi Cay at DMC office
Afternoon			

14:00 – 15:00	Telephone interview representative of CFSC of Thua Thien Hue province	Margaretta Ayoung, Hoang Van Duong	MTE team will contact if needed
15:00 – 16:00	Telephone interview representative of CFSC of Lao Cai province	Margaretta Ayoung, Hoang Van Duong	MTE team will contact if needed
16:00 – 17:00	Meeting with and Interview representative of VNRC	Margaretta Ayoung, Hoang Van Duong	Done Interview Mr. Hung and Mrs. Phuong at VNRC office, 82 Nguyen Du str.
16:00 – 17:00	Telephone interview representative of Malteser	Margaretta Ayoung, Hoang Van Duong	MTE team will contact if needed
Tuesday 15 Sept			
Morning			
10:00 - 11:00	Meeting with and Interview representative of the World Bank	Margaretta Ayoung, Hoang Van Duong	MTE team will contact if needed
11:00 - 12:00	Meeting with and Interview representative of UN Women	Margaretta Ayoung, Hoang Van Duong	Confirmed. Meet Ms. Sumaiya and Thuy Anh at UN house, 304 Kim Ma street
Afternoon			
14:00 – 15:00	Meeting with and Interview representative of UNICEF	Margaretta Ayoung, Hoang Van Duong	MTE team will contact if needed
15:00 – 16:00	Meeting with and Interview representative of Plan International	Margaretta Ayoung, Hoang Van Duong	Confirmed but then Canceled. Meet Ms. Trang at Plan Office, 2nd Floor, Hoa Binh International Towers, 106 Hoang Quoc Viet, Cau Giay
16:00 – 17:00	Meeting with and Interview representative of UNDP	Margaretta Ayoung, Hoang Van Duong	MTE team will contact if needed
Wednesday 16 Sept			
Morning			

10:00 - 11:00	Meeting with and Interview representative of DFAT	Margaretta Ayoung, Hoang Van Duong	Done
Afternoon			
14:00 - 15:00	Meeting with and Interview representative of IFRC	Margaretta Ayoung, Hoang Van Duong	Confirmed but then Cancelled.
Thursday 17 Sept			
09:00 - 11:30	Debriefing the findings	Margaretta Ayoung, Hoang Van Duong, UNDP, DFAT, CIPs, DMC and PMU	Done

10 APPENDIX 5 – LIST OF PERSONS INTERVIEWED

No	Full name	Male	Female	Organization	Title
		Sex		Organization	Title
		Male	Female		
1	Wendy Conway Lamp		1	Australian Embassy	First Secretary - Development
2	Doan Thu Nga		1	Australian Embassy	Gender and CSO Program Manager
3	Jenty Kirsch-Wood		1	UNDP - SCDM II	Technical Advisor
4	Bui Viet Hien		1	UNDP - SCDM II	Program Coordinator
5	Dang Quang Minh	1		DMC - SCDM II	SCDM II project Director
6	Nguyen Anh Son		1	DMC - SCDM II	SCDM II project Manager
7	Nguyen Huynh Quang	1		DMC - SCDM II	SCDM II project Coordinator
8	Nguyen Thi Thu Ha		1	DMC - SCDM II	SCDM II project Assistant
9	Dang Quang Tinh	1		SCDM II	SCDM II project Advisor
10	La Quang Trung	1		SCDM II	SCDM II project officer
11	Vu Phuong Mai		1	SCDM II	Accountant
12	Cao Minh Quy		1	WU	SCDM II project Coordinator
13	Tran Thu Thuy		1	WU	Chief Administrator
14	Le Thi My Dung		1	Oxfam	SCDM II project Coordinator
15	Vu Minh Hai		1	Oxfam	DRR/CCA program Manager
16	Tran Quoc Hung	1		VNRC	Head of NDR Prevention & Response
17	Vu Thi Phuong		1	VNRC	SCDM II project Coordinator
18	Tang Quoc Chinh	1		NDPC - WRD of MARD	Vice Director
19	Dam Thi Hoa		1	NDPC - WRD of MARD	Specialist
20	Vu Xuan Thanh	1		Dyke Management Unit - WRD of MARD	Director
21	Nguyen Thanh Tung	1		Dyke Management Unit - WRD of MARD	Specialist
22	Le Van Duong	1		World Vision	DRM manager

List of key informants - SCDM II Mid Term Review

23	Nguyen Thi Nga		1	Quang Huc commune, Ha Hoa district, Phu Tho	Farmer - beneficiary of CBDRM pilot
24	Pham Thi Say		1	Quang Huc commune, Ha Hoa district, Phu Tho	Farmer - beneficiary of CBDRM pilot
25	Nguyen Thi Minh		1	Quang Huc commune, Ha Hoa district, Phu Tho	Farmer - beneficiary of CBDRM pilot
26	Mai Thi Do		1	Quang Huc commune, Ha Hoa district, Phu Tho	Farmer - beneficiary of CBDRM pilot
27	Mai Thi Qui		1	Quang Huc commune, Ha Hoa district, Phu Tho	Farmer - beneficiary of CBDRM pilot
28	Nguyen Van Thanh	1		Quang Huc commune, Ha Hoa district, Phu Tho	Farmer - beneficiary of CBDRM pilot
29	Nguyen Thi Ngan		1	Quang Huc commune, Ha Hoa district, Phu Tho	Farmer - beneficiary of CBDRM pilot
30	Nguyen Van Minh	1		Quang Huc commune, Ha Hoa district, Phu Tho	Farmer - beneficiary of CBDRM pilot
31	Nguyen Van Tien	1		Quang Huc commune, Ha Hoa district, Phu Tho	Farmer - beneficiary of CBDRM pilot
32	Le Thi Canh		1	Quang Huc commune, Ha Hoa district, Phu Tho	Farmer - beneficiary of CBDRM pilot
33	Tran Quoc Binh	1		DARD in Phu Tho	Vice Director
34	Nguyen Hung Son	1		DARD in Phu Tho	Head of Water resources Office
35	Le Thi Hong Lien		1	DARD in Phu Tho	Head of DRPC Office
36	Le Van Minh	1		MPI	Specialist
37	Le Xuan Hieu	1		CARE International in Vietnam	Portfolio Manager
38	Tran Manh Hung	1		CARE International in Vietnam	DRM specialist
39	Bui Thi Cay		1	Save the Children	DRM specialist
40	Sumaiya Kabir		1	UN Women	DRM specialist
41	Tran Thuy Anh		1	UN Women	DRM specialist
42	Hoang Van Sit	1		Unicef	DRM specialist
43	Trinh Trong Nghia	1		Plan International in Vietnam	DRM specialist
Total	**43**	**19**	**24**	**19 male and 24 female**	

11 APPENDIX 6 - MTR TERMS OF REFERENCE

The MTR Mission will assess the SCDM- II project according to standard evaluation criteria, as elaborated below.

Relevance

- Assess the contribution of the project towards the achievement of national objectives and CPAP[2] goals / outputs
- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design.
- Analyze whether the project's community based approach addresses the needs and demands of the beneficiaries in a disaggregated manner (for men and women), and the community response.
- Assess the relevance of the tools / instruments / inputs applied by the project in supporting effective Government policy implementation and in promoting community based disaster risk reduction action.
- Assess the relevance and effect of technical assistance and planning support given to the Disaster Management Centre and other project target beneficiaries.

Effectiveness

- Review whether the project has accomplished its outputs. In particular the mission should review:
  - Area selection criteria and its implementation
  - Targeting strategy for the identification of project beneficiaries including both men and women.
  - Any emerging effect of the project on beneficiaries including both men and women. These should particularly highlight efforts to support implementation of the National CBDRM Programme 1002
- Assess the performance of the project so far with particular reference to qualitative and quantitative achievements of outputs and targets as defined in the project documents and work-plans and with reference to the project baseline
- Assess the effectiveness of the cost sharing arrangements between the project and beneficiary communities and between the Government of Viet Nam and UNDP
- Based on the progress so far and ground situations, suggest / recommend any changes to the systems outlined above

Efficiency

- Assess whether the project has utilized project funding as per the agreed work plan to achieve the projected targets.
- Assess the timeline and quality of the reporting followed by the project
- Analyze the performance of the Monitoring and Evaluation mechanism of the project and the use of various M&E tools (e.g.,)
- Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Assess the qualitative and quantitative aspects of management and other inputs (such as equipment, monitoring and review and other technical assistance and budgetary inputs) provided by the project vis- à-vis achievement of outputs and targets.
- Identify factors and constraints which have affected project implementation including technical, managerial, organizational, institutional and socio-economic policy issues in addition to other external factors unforeseen during the project design.
- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision- making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.

Sustainability and Impact

- Assess preliminary indications of the degree to which the project results are likely to be sustainable beyond the project's lifetime (both at the community and government level), and provide recommendations for strengthening sustainability.
- Assess the sustainability of the project interventions in terms of their effect on environment
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Analyse the emerging impact on the communities for both men and women in terms of food security, income and asset enhancement.
- Based on the findings (relevance, efficiency, effectiveness, sustainability and impact) as well as taking into account new initiatives emerging under the one UN Plan for Viet Nam, recommend whether extension of this project is warranted.

Network /linkages

- Evaluate the level, degree and representation by the beneficiaries and stakeholders, (government and donor partners etc.) in the implementation of the project (with particular attention to the development, testing of community based approaches).
- Examine the synergies and potential overlap between SCDM-II and the work of

other agencies on DRM-CCA in Viet Nam as well as propose strategy to enhance complementarities.

- Assess the alignment of the project with the one UN program, identifying linkages and opportunities for achievement of objectives/targets;
- Assess the project's knowledge management strategy and outreach and communications to all stakeholders.
- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?

Lessons learnt/ Conclusions

- Analyze areas for improved programme planning, especially with respect to setting targets, relevance and capacity of institutions for project decision making and delivery. In particular examine the UNDP value added in the context of the One UN program.
- Identify significant lessons or conclusions which can be drawn from the project in terms of effectiveness, efficiency, sustainability and networking.
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)

Timeframe

The total duration of the MTR will be *24 of working days over approximately 09 weeks starting on 15 July 2015*, and shall not exceed 4 months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY
03/07/2015	Application closes
10-15/07/2015	Select MTR Team/Contract Arrangement
15-20/07/2015	Prep the MTR Team (handover of Project Documents)
21/07/2015 – 02 days	Document review and preparing MTR Inception Report
25/07/2015 – 01 day	Finalization and Validation of MTR Inception Report- latest start of MTR mission – Kick off
29/07/2015 – 10/08/2015 - 10 days	MTR mission: stakeholder meetings, interviews, field visits
13/08/2015	Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
24/08/2015 - 8 days	Preparing draft report
30/08/2015 - 02 days	Incorporating audit trail from feedback on draft report/Finalization of MTR report

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

Deliverables

The Mission's findings and recommendations will be thoroughly discussed with the UNDP, GoV and project stakeholders.

The Mission will complete and submit a draft final report in both hard and soft copy at the end of the mission. The Mission Leader will finalize the report in the light of comments/suggestions of stakeholders. The key outputs of the MTR are:

- Inception report outlining the proposed MTR methodology, timeframe, key informants and stakeholders etc.
- Draft Report Template: Submission of a draft report format containing Table of Contents for the final report for approval by UNDP.
- Completion of MTR draft report to be presented at a consultative roundtable meeting of project stakeholders including GoV, UNDP PMU, CIP partners, and Australian Aid.
- Final Mid Term Review Report incorporating comments received: The report should be logically structured, contain evidence-based findings, conclusions, lessons and recommendations, and should be free of information that is not relevant to the overall analysis. The report should respond in detail to the key focus areas described above. It should include a set of specific recommendations formulated for the project, and identify the necessary actions required to be undertaken, who should undertake those and possible time-lines (if any). Project stakeholders will provide comments on the Draft Report, and the Mission will finalize the report in view of these comments.
- A brief paper documenting recommended changes (if any) to be made to the Project Document and
  results framework. This may be annexed to the MTR Report

- Final Roundtable Meeting: To present and discuss the draft final report interactively, the consultants will facilitate a half day concluding roundtable meeting for the project stakeholders.

#	Deliverable	Description	Timing	Responsibilities
1	**MTR Inception Report**	MTR team clarifies objectives and methods of Midterm Review	No later than 1 week before the MTR mission	MTR team submits to the Commissioning Unit and project management
2	**Presentation**	Initial Findings	End of MTR mission	MTR Team presents to project management and the Commissioning Unit
3	**Draft Final Report***	Full report with annexes	Within 3 weeks of the MTR mission	Sent to the Commissioning Unit, reviewed by RTA, DMC, UNDP
4	**Final Report***	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 1 week of receiving UNDP comments on draft	Sent to the Commissioning Unit

*The draft and final MTR reports must be submitted in both English and Vietnamese.

12 APPENDIX 7 – RELEVANT PROJECTS AND INITIATIVES

Under the National CBDRM programme there are several other projects and initiatives being implemented by other donors such as the World Bank and ECHO which could provide good opportunities for collaboration and could therefore impact the project results through shared lessons learned. Other initiatives include Dipecho 9 programme and the World Bank programme of works for building resilience in Vietnam. Below is a brief review of both these programmes.

World Bank: Building resilient communities in Vietnam[3]

Since 2006, the World Bank has been implementing the National Disaster Risk Management Project in Vietnam with a concessional credit of US$160 million. The Global Facility for Disaster Reduction and Recovery provided grants in the amount of US$4.4 million for studies that sparked innovations and translated global good practice to local circumstances in Vietnam.

Partners include the U.N. International Strategy for Disaster Reduction (UNISDR), the United Nations Development Program (UNDP), the World Meteorological Organization (WMO), the Food and Agriculture Organization (FAO) and AusAID. The community-based DRM projects are executed by the Ministry of Agriculture and Rural Development (MARD) and the Ministry of Natural Resources and Environment (MoNRE).

The World Bank and Global Facility for Disaster Risk Reduction and Recovery (GFDRR) have been involved in mainstreaming disaster risk management into rural development, leveraging their considerable global expertise, and provide funding to the Vietnamese government at national and local levels. They have also provided technical support and funding to the Vietnamese government to implement its strategy on Community-Based Disaster Risk Management (CBDRM).

Their approach has been a holistic approach which they have implemented by first, training communities to develop their own preparedness strategies and to integrate disaster risk management (DRM) into their communes' socio-economic development plans. Secondly, rural roads and irrigation infrastructure—both lifelines for rural communities—are being made more resilient by implementing new engineering standards. Third, livelihoods in poor households are being enhanced, for example, through an Agricultural Risk Management Information System (ARMIS), which assists farmers in improving productivity and enhancing resilience to droughts, floods, erosion, heat and water stress. Fourth, structural risk reduction measures are implemented, including dams, reservoirs and evacuation bridges.

Reported Results (as of 2012) include:

- The Vietnam government adapted its approach to disaster risk management to include Community-based Disaster Risk Management (CBDRM).
- The World Bank pilot on CBDRM has been so successful that the Vietnam government based its US$500 million National CBDRM Program on the piloted model and announced it would replicate the program in 6,000 communes
- The strategies used and the documents produced under the World Bank project have become part of Vietnam's National CBDRM Program.
- Flood and storm control infrastructure was constructed and rehabilitated.
- Government developed the capacity to strategically implement structural investments for disaster mitigation.

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[3] Main source of information is: http://www.preventionweb.net/english/professional/news/v.php?id=27888

- 12 provinces prepared the integrated National Disaster Risk Management Investment Plans.
- Provincial agencies and communes now have the capability to plan for and respond to disasters.
- 30 communes implemented structural measures, including multi-purpose evacuation centers and drainage canals, along with non-structural measures, such as development Safer Commune Plans and evacuation drills.
- The project communes received training and equipment for the early warning system.
- An awareness campaign that ran for about 18 months included television broadcasting on CBDRM best practices and a photo contest.
- Guidelines and action plans are being produced to build disaster-proof roads and irrigation structures, based on new standards.
- Disaster risk management was mainstreamed into the World Bank's rural portfolio, for example into the Northern Mountains Rural Poverty Project II, which incorporates disaster resilience indicators.

Since 2012, The World Bank has continued supporting the Vietnamese government for disaster risk management in rural areas to support the improvement of real-time weather forecasting for rural villages and the expansion of the CBDRM program to more communities. In addition, the construction of flood and storm protection infrastructure is being prioritized within selected river basins.

Innovative features are being incorporated and information-management tools that promote transparency, accountability and citizen participation are being piloted: for example, the management-information system (MIS) is a cell phone-based project monitoring tool that allows communes to report progress and compare the status of project implementation among communes.

DIPECHO 9 - CARE, PLAN and SC main lessons learnt – CBDRM projects supported by DIPECHO in Vietnam

The following is based on the lessons learnt output from the DIPECHO programme in Vietnam and on the reporting of the lessons learned workshop from the following website:

https://www.ifrc.org/en/news-and-media/news-stories/asia-pacific/vietnam/conference-to-review-the-five-year-implementation-of-the-national-community-based-disaster-risk-management-and-community-awareness-raising-project--69453/#sthash.THen7K5N.1YhdbiFm.dpuf

On 25 September 2015, the Viet Nam Red Cross Society, in collaboration with the Department of Water Resources, Ministry of Agriculture and Rural Development and the International Federation of the Red Cross and Red Crescent Societies (IFRC), organized a Conference to Review The Five-Year Implementation Of The National Community-Based Disaster Risk Management (CBDRM) and Community Awareness Raising Project (project 1002) for Vietnam's southern cities and provinces.

The conference was attended by nearly 100 representatives from the Ministry of Agriculture and Rural Development; the Office of the Government; Ministry of Finance; Ministry of Education and Training; the Viet Nam Red Cross Society; The Vietnam Women's Union; Red Cross Chapters; departments of Agriculture and Rural Development and the Committees for Disaster Prevention and Control and Search and Rescue of 19 Southern cities and provinces. The IFRC, the Japan International Cooperation Agency, Save the Children, Oxfam and other nongovernmental organizations with ongoing community based disaster risk management activities in Vietnam also attended the event. The conference was co-chaired by the Deputy Director General of the Department of Water Resources, Under-

Secretary General of the Viet Nam Red Cross Society, and Deputy Director of the Disaster Management Centre. Representatives from the participating agencies at both headquarters and local levels shared their experiences in implementing the project over the past five years, including challenges, solutions and direction for the upcoming period.

The conference is part of the 17-month project ending December 2015 called Enhancing the capacities of disaster risk reduction (DRR) practitioners in Viet Nam through the consolidation of best practices and lessons learnt for community based disaster risk management, vulnerability capacity assessment (VCA) and disaster response mechanisms (DIPECHO 9), implemented by the Viet Nam Red Cross Society with support from the IFRC, the German Red Cross and the Spanish Red Cross. The project is made possible with financial support from European Union humanitarian aid and civil protection department (ECHO) as part of its strategy to document the lessons learned and support the consolidation of capacity and systems for national, provincial and district level community-based disaster risk reduction action in Viet Nam.

The national CBDRM programme has been implemented by the Ministry of Agriculture and Rural Development with support from relevant government agencies since 2009. The Red Cross has supported the Ministry since 2011 in the implementation of the project. Since then, it has implemented CBDRM activities in 555 communes and wards in 36 cities and provinces of Viet Nam. In 2014, the National Society also issued its own CBDRM Framework.

One of the main concerns raised in the conference is the lack of clear guidance on the implementation of the project. "In addressing this, the Viet Nam Red Cross Society has been supporting the Disaster Management Centre to develop a regulation which would legitimate and provide guidance for the implementation of the national CBDRM project for all participating agencies," said Tran Quoc Hung, director of the disaster management department at the Viet Nam Red Cross Society. At the conference, the participants also commented on the draft regulation, with an emphasis on the need for clarification of human resources structure, financial procedures, and cross-cutting issues including gender, disabilities and minority groups. The regulation is expected to be enforced by the end of 2015.

The following is a summary of the key lessons learned as gleaned from the project final report obtained by the MTR team.

1. **Establishment of the technical team for the implementation of the CBDRM**

Province, district and commune levels

- Have an assessment of role, responsibilities, experience and availability before the nomination of the members.

- Do not nominate the leaders (heads, deputy heads) of the organizations to be members of the technical team.

- Do not nominate the officers who are in the evaluation plan (who will move to other positions/organizations) to be member of the technical team.

- Support the communication to leaders at district and commune levels for awareness improvement in nomination and mobilization of the officers to be members of the technical team.

- Be flexible to assign responsibilities (training on CBDRM, supporting the VCA process, monitoring and evaluating the implementation) to the team, ensuring that all the members are able to perform all those three responsibilities.

- Provide refresh training and coaching supports as well as practicing opportunities to the trained officers and have a clear plan to mobilize them to support the implementation of the CBDRM after the training.

Village level

- Use the existing DRR management structure (e.g. village search and rescue team) and do not create a new team at the village level.

- Have communication to the villagers to nominate representatives of disadvantage and vulnerable groups.

2. Capacity building

Province and district

- Provide training on facilitation skills next to the training on CBDRM/VCA/M&E

- Provide additional manuals, documents to the people

Commune

- Do not organize training in more than three days

- Focus on the practice of the use of the analysis tools

- Provide practical training on mainstreaming the DRM/CCA into SEDP to technical team

- Provide training on gender equality and mainstreaming to technical team

- Have both mem and women who are members of technical team

3. VCA

- Have a preparation meeting with technical team and village leaders (this step has not been guided in the manual of DMC/SCDM)

- Prepare the form on A4, Ao before going to the fields, meeting with the villagers

- Have clear rules and schedule of the meetings

- Perform the VCA right after the training on VCA

- Clearly define the role and responsibilities of the team members

- Focus on the practice of the 9 assessment tools

- The involvement of ethnic minority people is very limited due to their low interest and new terms/definitions of the CBDRM/VCA… It needs to use secondary data and spend more time with the villagers

- Have clear criteria for priority ranking of disasters and interventions

- Rank the priority of disasters/interventions by each criterion, not many criteria in the same time

- Have an example of natural hazard map for reference when asking the villagers to develop the hazard map

- Have short and simple questions when facilitating the discussions

4. CBDRM planning

- Be clear with the technical team that the VCA report and the CBDRM plan are two different works
- Technical team from the district and province levels have to support the technical team at commune level to develop the VCA report and CBDRM plan and hand over these reports to commune people committee and advice for follow up
- Develop the CBDRM plan right after completion the VCA report

5. Implementation the CBDRM plan

- Mobilize the sources from different stakeholders (mass organizations, private sectors, government, INGOs) to support the implementation of the CBDRM plan
- Do not just wait the financial support from central government budget
- Have advocacy to leaders of provincial people committee before the annual budget planning for budget allocation to the implementation of the CBDRM
- Conduct the assessment on access to information of the villagers and develop a clear communication strategy and plan on DRM to the villagers
- Adapt the IEC tools to local languages/culture for communication
- Spend time, resources to work with the villagers to develop and perform the communication with performance/show/contest
- Support the creation and operation of clubs in the schools to learn about the DRM/CCA

6. Monitoring and evaluation

- Conduct the pre-post knowledge, attitude and practice survey to measure the progress
- Document the successful stories for communication
- Have the monitoring missions during the implementation of the CBDRM plan

Both of these programmes are relevant to the SCDM II project and collaboration could assist in achieving the intended outcomes. The project is encouraged to examine the lessons learned from these projects (and other relevant projects) and form close links for knowledge sharing in the future.