

Terminal Evaluation of the Project, “Conservation of Critical Wetland Protected Areas and Linked Landscapes” (Viet Nam)

TERMINAL EVALUATION REPORT



(Tam Giang Lagoon, Thua Tien Hue Province; Vu Bao Ngoc, photographer)

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Prepared for:

United Nations Development Programme, Viet Nam

14 December 2020 (draft)



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LIST OF ACRONYMS AND ABBREVIATIONS

APR	Annual Performance Review
AWP	Annual Work Plan
BCA	Biodiversity Conservation Agency (VEA/MONRE)
CBD	Convention on Biological Diversity
CIP	Co-implementation partner
CPAP	UNDP country programme action plan
CPD	UNDP country programme 2017 – 2021
DARD	Department of Agriculture and Rural Development
DONRE	Department of Environment and Natural Resources
GEF	Global Environment Facility
ISPONRE	Institute of Strategy and Policy on Natural Resources and Environment
M&E	Monitoring and Evaluation
MARD	Ministry of Agriculture and Rural Development
METT	Management Effectiveness Tracking Tool
MONRE	Ministry of Natural Resources and Environment
MTR	Midterm Review
NGO	Non-Governmental Organization
NIP	National implementation partner
OSP	UNDP One Strategic Plan 2017-2021
PA	Protected Area
PIP	Project Implementation Plan
PIR	Project Implementation Report
PMU	Project Management Unit
PPC	Provincial People's Committee
TB	Thai Binh (Province)
TE	Terminal Evaluation
TER	Terminal Evaluation Report
TG-CH WCA	Tam Giang-Cau Hai Wetland Conservation Area
TOR	Terms of Reference
TT WCA	Thai Thuy Wetland Conservation Area
TTH	Thua Thien Hue (Province)
UNDP	United Nations Development Programme
VEA	Vietnam Environment Administration
WCA	Wetlands Conservation Area

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OPENING PAGE

Title of UNDP supported GEF financed project	• Conservation of Critical Wetland Protected Areas and Linked Landscapes
UNDP PIMS# and GEF project ID#	• PIMS#4537/GEF ID#4760
TE time frame; and date of TE report	• Timeframe: 16 September 2020-30 December 2020
	• Date of Report: December 2020
Region and countries included in the project	• Viet Nam
GEF Operational Focal Area/Strategic Program	• BD-SO-1; BD-SO-2
Implementing Agency and other project partners	• Implementing Agency: Ministry of Natural Resources & Environment (MONRE)
	• Implementing Partners: Institute of Strategy and Policy on Natural Resources and Environment (ISPONRE) and Biodiversity Conservation Agency (BCA) of MONRE
Evaluation team members	• Mr James T. Berdach—International Evaluator
	• Mr Pham Duc Chien—National Evaluator

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Finally, the consultants would like to express their appreciation to other personnel of key central and provincial government agencies, especially MONRE, DONRE in two provinces; commune leaders and community members; NGOs; consultants; and others. The stakeholders all gave freely of their time and energy to engage in lively discussions and to share their views and opinions. These were invaluable inputs which contributed significantly to this evaluation. For this we say, **"XIN CẢM ƠN"**!



James Berdach



Pham Duc Chien

EXECUTIVE SUMMARY

<Executive Summary will be included in the Final TER>

- Project Summary Table
- Project Description (brief)
- Evaluation Rating Table
- Summary of conclusions, recommendations, and lessons

I. INTRODUCTION

A. Project Background

1. The “Conservation of Critical Wetland Protected Areas and Linked Landscapes” (PIMS #4537; also referred to herein as the “Wetland PA Project”) is a full-sized project conducted with support from the United Nations Development Programme (UNDP) and financing from the Global Environmental Facility (GEF). In accordance with UNDP and GEF monitoring and evaluation (M&E) policies and procedures, all full and medium-sized UNDP-supported GEF-financed projects are required to undergo a Terminal Evaluation (TE) upon completion of implementation. This report has been prepared according to the guidance outlined in the document, *Guidance For Conducting Terminal Evaluation of UNDP-Supported, GEF-Financed Projects*,¹ and presents the findings of the TE. The Terms of Reference (TOR) for the assignment are presented in **Annex A**.

B. Purpose of the TE

2. The TE is tasked to review and evaluate certain key aspects of the project, including:
- project performance;
 - relevance;
 - effectiveness;
 - efficiency;
 - sustainability; and
 - project impact.
3. In addition, ratings have been provided on key performance criteria.²

C. TE Team

4. Two consultants have been contracted by the UNDP Country Office in Viet Nam to undertake the Terminal Evaluation (TE) of the project:
- Mr. James T. Berdach—International Evaluator; and
 - Mr Pham Duc Chien—National Evaluator.

D. Methodology

5. The TE has followed a participatory and consultative approach ensuring close engagement with key government counterparts and key stakeholders. The methodology which has been employed has consisted of several principal information-gathering activities, described here:

- **Document Review:** As stipulated in the Terms of Reference (TOR) for the assignment, a thorough review of project documents and other related documents was conducted. The list of documents that were reviewed is presented in **Annex B**.

¹ Accessible at: <http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf>

² Ratings have been assigned according to specifications in the Terms of Reference, Annex D, of the UNDP/GEF Guidance document. Most of the criteria use a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Moderately Satisfactory, 3: Moderately Unsatisfactory, 2: Highly Unsatisfactory and 1: Highly Unsatisfactory. Further details on ratings are found in the relevant sections of this report.

- **Stakeholder Consultations:** Meetings with stakeholders were arranged, either as one-on-one interviews or in small group settings, with key stakeholder/informants. Consultations were conducted in Ha Noi; at the two project sites in Thai Binh and Thua Tien Hue provinces; and remotely, in order to include the International Evaluator. A list of the persons consulted is included in **Annex C**.
- **Questionnaires:** In some cases, it was not possible to meet personally with key stakeholders. In other cases, while in-person meetings were conducted, it was felt that there was still a need to solicit and obtain further in-depth information. These shortcomings were overcome through the use of questionnaires. The questionnaires were designed to pose the main questions that could shed light on the criteria being examined as part of the TE. The templates for the questionnaires (in English and in Vietnamese) are presented in **Annex D**. Also in Annex D is a summary of the questionnaire responses given by stakeholders.
- **Site Visits:** Missions were conducted by the National Evaluator to the two project sites in Thai Binh and Thua Tien Hue provinces. In addition to affording the opportunity for in-person meetings and consultations with key stakeholders, the missions were also used for site visits so that first-hand observations could be made, of prevailing physical and environmental conditions, as well as project-supported activities that were being conducted, at the two sites. These observations helped to validate data provided by stakeholders, and thus further informed the TE analytical process. The schedules for the missions conducted to the two project areas are presented in **Annex E**.

6. The methodology used for conducting the TE provides the information needed to assess the prescribed evaluation criteria, which in turn provides the analytical basis for producing the expected findings of the evaluation. This pathway is illustrated schematically in Figure 1.

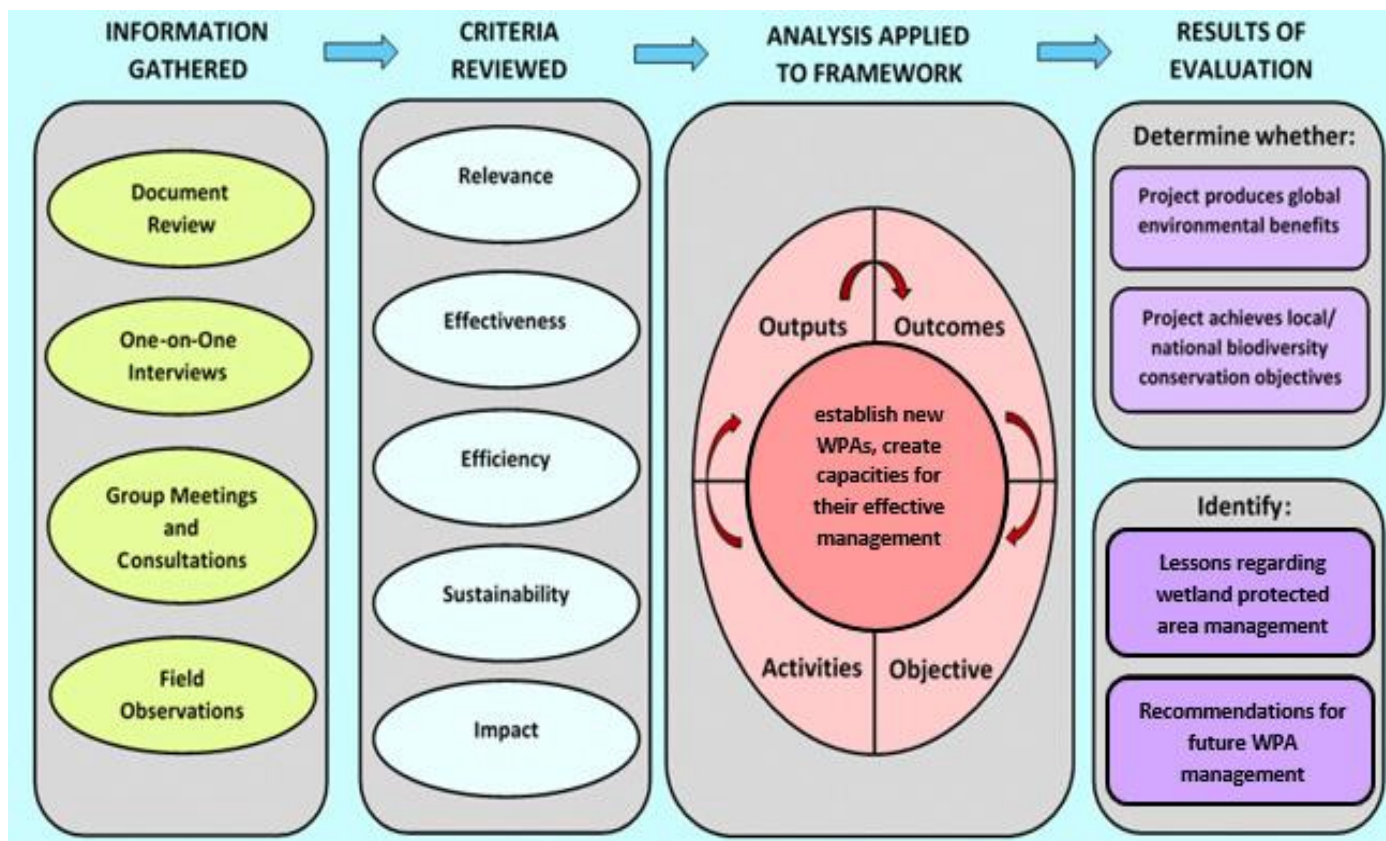
E. Limitations of the Evaluation

7. It must be mentioned here, that two factors had a significant adverse effect on the ability of the TE team to gather information during the course of this assignment. The first of these was the COVID-19 pandemic. Due to restrictions put in place in response to the pandemic, it was not possible for the International Evaluator to travel to Viet Nam, to personally participate in the mission and to conduct face-to-face consultations. Instead, the National Evaluator had the primary responsibility for conducting the consultations, and for sharing the information received with the International Evaluator. This constraint was somewhat mitigated by use of available communications technology³ which enabled the remote participation of the International Evaluator for several selected meetings.

8. The second factor that constrained the activities of the TE team, was the prolonged severe weather which affected the area surrounding the project site in Thua Tien Hue, for almost the entire implementation period of the TE. Repeated typhoons, and accompanying severe flooding, had a serious impact on this area, and rendered transportation to the area extremely difficult and hazardous. As a result, the travel of the National Evaluator to Hue had to be postponed on several occasions. Only during the final days of the TE implementation period did it become possible for the National Evaluator to conduct the mission to Hue. This created additional time pressures in meeting the reporting deadlines for the assignment.

³ The Zoom conferencing application was used to link computers, to enable communications between parties who were located remotely from each other.

Figure 1. Pathway Showing the Methodology and Expected Results of the TE



II. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT

9. Vietnam is richly endowed with wetlands, which are among the most productive ecosystems found on Earth. Vietnam's wetlands are extraordinarily rich in biodiversity, and also provide essential ecological goods and services that support local livelihoods, and contribute to national economic development. Thirty percent of the nation's land area is wetland, and at least 39 of 42 different wetland types, as defined by the Ramsar Convention,⁴ are found here.

10. Vietnam has established an extensive national system of protected areas (PAs) to conserve its biodiversity assets, but wetlands are under-represented in the PA system. This project was designed with the purpose of strengthening the national PA system by addressing specific biogeographic gaps in wetland coverage, and to overcome deficiencies in wetland PA management. Also among its aims are to strengthen the PA system by tailoring policy and regulatory frameworks for the specific characteristics of wetlands, and to put in place a sub-system administration for wetland PAs.

11. The project has been designed to engineer a paradigm shift to manage wetland PA sites and activities in the immediate landscapes, to address both direct threats to biodiversity at the wetland sites,

⁴ The Ramsar Convention on Wetlands of International Importance especially as Waterfowl Habitat is an international treaty for the conservation and sustainable use of wetlands. It is also known as the Convention on Wetlands.

and those emanating from the landscape. This is because wetland PAs, as compared to other terrestrial PAs, are highly vulnerable to impacts from activities outside their borders (e.g., through water abstraction and pollution), which can undermine vital ecosystem functions within the PAs. Central to the project objective was the establishment of two new PAs covering two globally-important wetland sites: (i) the Tam Giang-Cau Hai Wetlands Conservation Area (WCA) covering 21,620 ha in Thua Thien Hue Province in central Viet Nam; and (ii) the Thai Thuy WCA covering 13,696 ha in Thai Binh Province in northern Viet Nam (location and site maps in Figure 2). Furthermore, the project is intended to ensure that management of the WCAs is effectively embedded into systems for sustainable management of linked landscapes.

12. The project received funding through a grant from the GEF of USD 3,180,287, with cofinancing of USD 14,911,600 from government, UNDP, and other sources, for a total project value of USD 18,091,887.⁵

13. As presented in the project's Logical Framework/Results Framework,⁶ the project has the following **objective**:

To establish new wetland protected areas and to create capacities for their effective management to mitigate existing and emerging threats from connected landscapes.

14. The achievement of the objective is dependent upon successful removal of barriers that prevent the effective conservation and sustainable use of Viet Nam's wetlands. Project interventions to overcome these barriers were organized into two inter-related components that reflect the GEF's focus on system-level solutions and on influencing behavioral change at different levels.

15. The two project **components** are as follows:

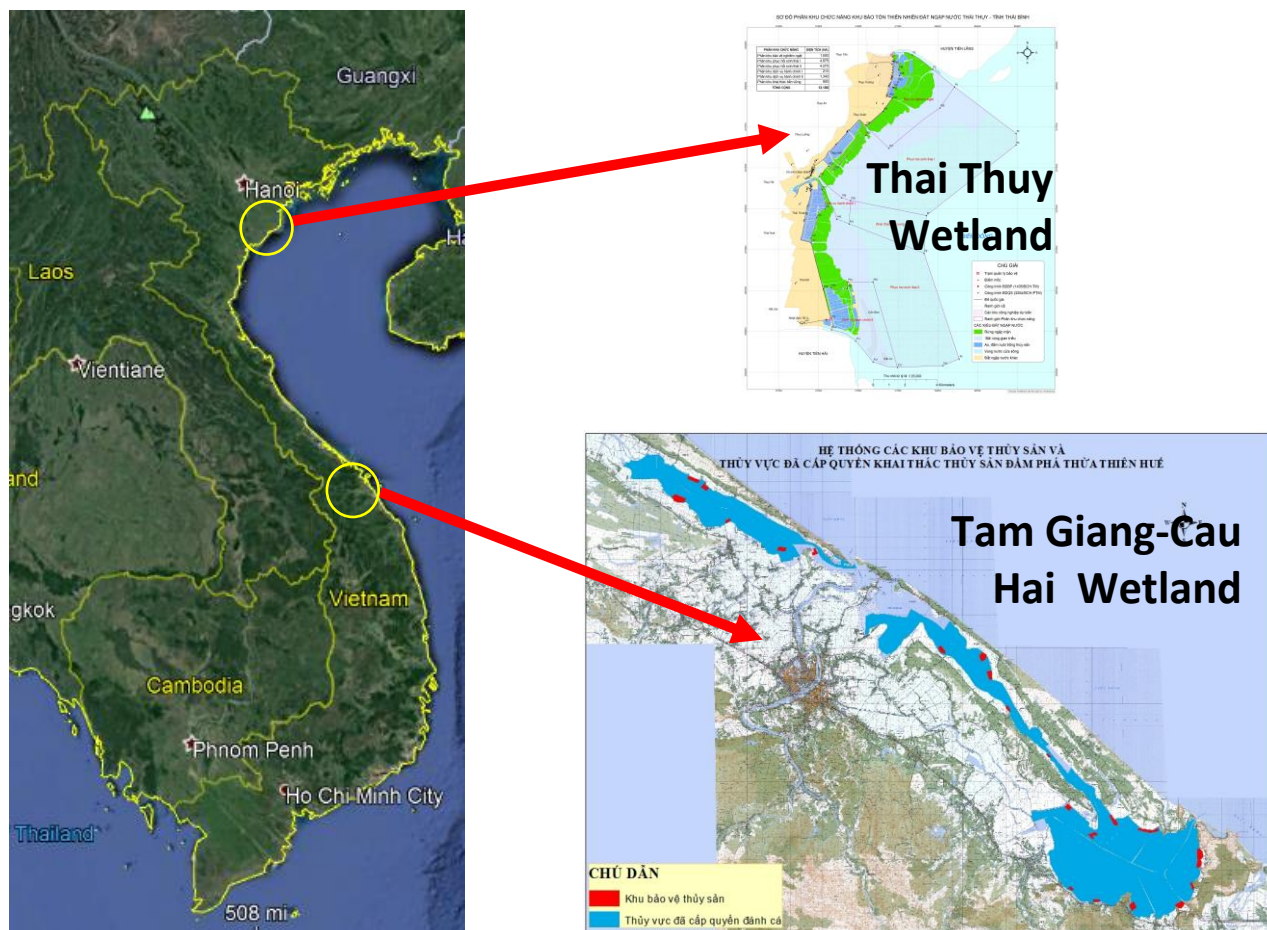
- **Component 1** focused on overcoming the existing gap in Viet Nam's otherwise impressive national PA system, namely the inadequate representation of wetland ecosystems, which are being increasingly threatened by other economic sectors. In order to do so, activities under Component 1 were centered on developing systemic capacity at national and subnational levels for the establishment and effective administration and management of a subsystem of wetland PAs in Viet Nam, which was previously lacking. For historical reasons, MONRE, the agency with state responsibility for wetland biodiversity conservation, had no prior experience of establishing, administering or managing PAs either nationally or at site level through its provincial arm, the Department of Natural Resources and Environment (DONRE). There is also limited capacity within the wider provincial governments for planning and managing wetlands specifically to maintain and strengthen biodiversity values, although this is also of critical importance since PAs within a single province's boundaries are established and managed by the concerned Provincial People's Committee (PPC). Therefore, under Component 1, the aim of the project was to develop capacity for effective wetlands conservation planning, administration and management both within MONRE and DONRE as well as within other key sections of provincial and district level-government, through the following inter-related strategies:
 - formal training on selected aspects of wetlands biodiversity planning and management as well as 'learning-by-doing', i.e., through the actual process of establishing two new WCAs; and

⁵ United Nations Development Programme. 2013. Conservation of Critical Wetland Protected Areas and Linked Landscapes. Project Document. Socialist Republic of Viet Nam.

⁶ Ibid.

- by improving coordination and collaboration and thus synergies between the work of different government departments and agencies both at national and provincial levels.

Figure 2. Tam Giang-Cau Hai and Thai Thuy Wetlands Conservation Areas



Source: Google Earth, Project files

- **Component 2** addressed the lack of capacity among key stakeholders from government to local communities to effectively identify and manage threats to wetlands arising from activities and interventions within the wider landscape, particularly upstream in the catchments of their water sources, but also in terms of key breeding and feeding sites for migratory species. Effective wetlands management requires an approach that explicitly takes into account ecological and economic connections within the wider landscape. However, these critical linkages and the implications of wetlands degradation and loss are often poorly understood. There is also often limited knowledge of the potential tools available for managing and mitigating threats to wetlands biodiversity and promoting sustainable use and conservation. Component 2 was designed to address this particular barrier through a combination of:
 - 1) increasing understanding of the economic benefits of wetlands and the landscape-level linkages critical to their long-term sustainability;

- 2) developing capacity to apply a range of mechanisms and tools for mainstreaming wetlands conservation and sustainable use principles into broader land use governance and development planning frameworks; and
- 3) developing the capacity of local agriculturists and fishers to adopt practices and techniques that are more wetlands biodiversity-friendly with a particular focus on threats arising from rice cultivation, aquaculture, and fishing.

16. The project worked along three parallel lines: (i) at the national level, to fill the gaps and address the systemic weaknesses mentioned above; at the provincial and district levels within Thua Thien Hue (TTH) and Thai Binh (TB) provinces, working with the local government agencies within relevant sectors; and (iii) by working in close coordination with communes and local communities at two pilot sites—the Tam Giang-Cau Hai coastal lagoon and surrounding landscape in TTH, and Thai Thuy coast and surrounding landscape in TB. These two sites were selected during project preparation through a process of applying objective criteria validated through national and local stakeholder consultations and field visits.

17. It was intended that the delivery of these two components would result in the following two **outcomes**:

- **Outcome 1:** New wetland PAs and relevant systemic capacities for their effective management established (total cost: US\$ 11.1 million; GEF US\$2.0 million; Co-financing US\$ 9.1 million)
- **Outcome 2:** Integrity of wetland PAs are secured within the wider wetland connected landscapes (Total cost: US\$6.05 million; GEF US\$1 million; Co-financing US\$ 5.05 million)

18. Activities under these two outcomes were focused at three levels of intervention:

- i) working with national public institutions and agencies, particularly within MONRE, to develop systemic, institutional, and individual capacity for establishing and administering a subsystem of wetland PAs, which will be known as Wetland Conservation Areas (WCAs);
- ii) working with provincial- and district-level public institutions and agencies to develop institutional and individual capacity for site-based and landscape-level wetland planning, conservation and management; and
- iii) site-level engagement with local stakeholders, including local communities, to implement measures for the conservation and sustainable use of two demonstration WCAs.⁷

19. Under Outcome 1, the following **outputs** were identified:

- 1.1: New and updated national policy, regulatory and planning frameworks for wetland conservation;
- 1.2: Strengthened national capacity for administration of WCAs;
- 1.3: Two new WCAs established and operational; and
- 1.4: Strengthened provincial capacity for wetlands conservation and management and sustainable use.

20. Under Outcome 2, the following **outputs** were identified:

⁷ The foregoing section describing the project objective, components, and outputs is extracted from the ProDoc.

- 2.1 Increased understanding and knowledge about wetlands values, sustainable use and management across the wider landscape;
- 2.2 Wetlands conservation and sustainable use mainstreamed into key provincial plans; and
- 2.3 Reduced threats to biodiversity from local livelihoods.

21. In pursuing the stated objective, outcomes, and outputs, the project is consistent with GEF Biodiversity focal area Objective BD1: Improve Sustainability of PA Systems; and Outcome 1.1: Improved management effectiveness of (existing and) new protected areas. The project will also institute mechanisms for sustainable financing of these protected areas, thereby directly contributing to Outcome 1.2: Increased revenue for protected area systems to meet total expenditures required for management and Output 3: Sustainable financing plans. Component 2 of the project also contributes to Objective BD2: Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes, Seascapes and Sectors, as the project is supporting the integration of biodiversity considerations into land use management in critical landscapes linked to wetland protected areas. Especially relevant under BD2 are Outcome 2.1: Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation and Output 2: National and sub-national land-use plans that incorporate biodiversity and ecosystem services valuation.

22. The Wetland PA Project began implementation on 09 June 2015, and is expected to conclude by 30 December 2020.⁸

III. FINDINGS

23. This section presents the key findings of the TE, based on the research that has been conducted and information gathered through review of project documents, interviews with stakeholders, and site visits to the two project areas. For those criteria where ratings are required, the ratings have been assigned according to scales detailed in the GEF/UNDP Guidance document. The rating scales are also provided in **Annex F**.

A. Project Design / Formulation

24. While the project Results Framework as presented in the Project Document (ProDoc) is generally adequate, several shortcomings in the framework were identified during the midterm review (MTR). As reported in the management response to the MTR, ISPONRE/BCA worked with UNDP to review the project results framework and to take appropriate corrective actions, as needed. These actions did not result in modification of project outputs and outcomes in the design framework, but rather, focused on addressing the key actions needed to ensure that the desired outputs and outcomes could be achieved. Thus, for example, while it was recommended that gender sensitivity be better integrated into the framework, this was accomplished, in a tangible way, by taking steps to ensure that greater effort would be made to promote gender participation in project activities. This approach seemed to adequately address the design shortcomings identified in the MTR.

25. One key element of the project design process, which is requisite for all GEF-supported projects, and which can help to ensure project relevance, is building on lessons learned from other relevant projects. In Section 2.3.1 of the ProDoc ("Coordination and Related Initiatives"), similar or related projects are discussed, and it is mentioned that lessons have been drawn from these projects, to inform the design of the Wetland PA project. However, no specific lessons are presented or cited, so it is difficult to ascertain the extent to which such lessons may have contributed to project design.

⁸ The closing date of 08 December 2020 which is reported in the 2020 Project Implementation Review (PIR), has been extended slightly, with a revised completion date of 30 December 2020.

26. In addition, taking the views, perspectives, and knowledge of stakeholders into account as part of the project design process is critical for promoting stakeholder support and ownership for the project. The Stakeholder Involvement Plan (Annex 3 of the ProDoc) described the stakeholders who were involved in project conceptualization and design, and the mechanisms through which they were engaged during the preparation of the project (e.g., workshops/consultations, field visits, meetings with stakeholders and communities). This suggests that stakeholders were adequately consulted during the design of the project. As reported in PIRs and other project documents, and as verified through consultations held during the TE, a fairly robust program of stakeholder engagement has continued throughout the implementation of the project.

27. The design of the project management arrangements was quite complex, and in some respects unconventional. Within MONRE, ISPONRE was designated as the national implementing partner (NIP), represented by the Project Management Unit (PMU), and responsible for day-to-day implementation of project activities. ISPONRE also oversaw the implementation of activities by the BCA. ISPONRE was responsible for mobilizing all national and international inputs and collaborating with other MONRE agencies to support project implementation, and organizing project activities in accordance with the agreed work plan.

28. The BCA, an agency of the Vietnam Environment Administration (VEA) under MONRE, was designated as co-implementing partner (CIP) for the project. While the PMU was the project's operational arm within ISPONRE, the operations center within BCA was designated as a sub-PMU. Responsibilities for coordination of field activities were shared between the two agencies, with ISPONRE taking primary responsibility for establishment and operationalization of the Tam Giang-Cau Hai WPA, and BCA assuming a lead role in guiding the creation of the Thai Thuy WPA. The diagram in Figure 3 presents the project management arrangements in a schematic format.

29. These organizational arrangements were set forth in the ProDoc, and it was envisioned that the various agencies would be able to work together smoothly. However, the respective roles and responsibilities of the various entities were not always clearly defined, particularly, as this applied to ISPONRE and BCA. This management structure also resulted in difficulties arising with respect to financial and accounting matters.

B. Project Implementation

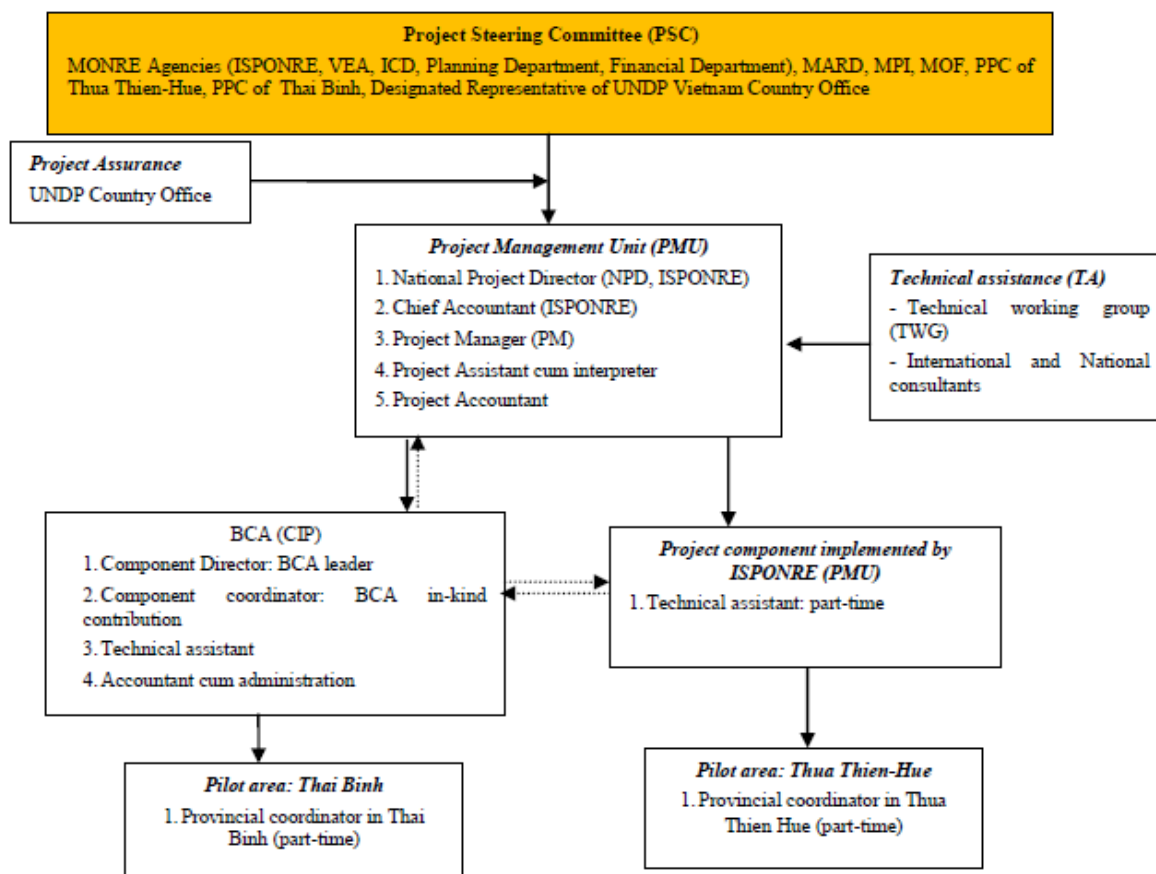
1. Adaptive management

30. To a large degree, adaptive management of the project depends upon utilizing information from the project M&E system to first identify potential weaknesses, and then taking corrective actions in order to keep the project on-track and moving along a trajectory that will lead towards accomplishment of the project objective and outcomes. For this project, one of the clearest opportunities for taking corrective actions in an adaptive manner, arose from the MTR, which offered several recommendations for such corrective actions. The management response, as well as the subsequent actions that were undertaken in the final period of project implementation, demonstrated that many of the recommendations were followed, and that the project adapted to necessity in responding to challenges. For example:

- Compromises were made in order to resolve difficult issues that arose with respect to establishment of the Thai Thuy WPA in Thai Binh. In the early phases of the project, there were differences of opinion regarding the area to be set aside for conservation purposes in the WPA. Because of the overlap of areas of the proposed WPA with an area which had already been included within the provincial master plan for economic development, conflicts arose that threatened to prevent the accomplishment of one of the main objectives of the project. The situation was ultimately resolved by the parties coming to an agreement to reduce the size of the
-

WPA, compared to what had originally been proposed—the original proposed WPA area of 13,100 hectares (ha) was subsequently reduced to 6,560 ha, with the remainder of the original area (6,540 ha) designated as “linked landscapes.”⁹ While this was a significant downsizing in the conservation area of the WPA, without taking this step, it is possible that the goal of establishing the WPA might not have been realized.

Figure 3. Project Management Arrangements



Source: ProDoc

- Where it was considered beneficial, a shift was made for certain functions (e.g., procurement) to be conducted according to a direct implementation modality (DIM), vs. a national implementation modality (NIM). These shifts in modality were not universal, but rather, confined to a few targeted actions. For procurement, this shift resulted in reducing delays and improving efficiency.

⁹ According to the 2020 PIR: “By April 12, 2019 the provincial Standing Committee has ratified the establishment of TT WPA... Leaders of Thai Binh PC, MONRE and UNDP had agreed that there would be no overlap between the land for TT WPA and Thai Binh economic zone. Thai Binh working group (established under Decision 3053/QĐ-UBND) and UNDP consultant have worked together to identify options for demarcating the boundaries of TT WPA and TB economic zone as well as assess the impact from the economic zone setup to the biodiversity of TT wetlands. By January, 2019, the boundary of TT WPA had been identified and agreed among Thai Binh authority with a total area of 6,560ha.”

- Steps were taken to strengthen the project framework. This was done without making changes to the project objective and outcome statements, but rather, by focusing on key actions needed to ensure the key outputs and outcomes would be achieved.

31. In addition to the adaptive responses mentioned above, in its final year, the project was also faced by another challenge due to the impacts of the coronavirus pandemic. Project implementation was significantly affected by COVID-19 (e.g., the postponement of various trainings/ workshops/ conferences) which delayed the overall delivery of the project. No PSC meeting was held during this period either. The regular coordination meetings among PMU (ISPONRE), CIP (BCA) and the project sites were not organized, especially those in the field--this affected the project's overall progress. Despite these difficulties, the project managed to keep on-track (albeit at a somewhat slower pace) during this period.

32. Taking all these factors into account, it is concluded that the project was quite successful in acknowledging weaknesses and challenges; adapting to difficult situations; and making necessary corrections along the way.

2. Partnership arrangements

The project demonstrated effective partnering with a number of key stakeholders. Such partner relationships enhanced, and indeed, were essential to, the effective performance of the project. Good working relationships were established with the following entities, among others: non-governmental organizations (NGOs), academia, civil society, and independent consultants; the DONREs in two provinces; district-level agency personnel; commune officials; and agricultural extensionists.

33. A good example of working with local community partners is found at TG-CH lagoon. Here, the community has become actively involved in the management and conservation of wetlands. With the establishment of fishery associations and patrol teams, the community is now fully supportive of discontinuing the use of destructive fishing gear, and enhancing environmental protection to maintain the fishery resources in order to ensure sustainable livelihood income. In TG-CH lagoon, 23 fishery protection zones have been established and are directly managed under 25 fishery associations. The fishery associations are working in close cooperation with local authorities. This arrangement for co-management of PAs and natural resources enhances community sense of ownership, and strengthens their accountability. Utilizing people who reside in the immediate project area for patrolling and monitoring functions reduces response time when incidents occur. Also, local community members, who possess rich traditional knowledge and skills, are both the beneficiaries and the prime actors for wetland and biodiversity conservation in PAs such as the TG-CH WPA.

3. Project Finance

34. Several financial aspects of the project may be considered as part of the TE, including:

- i. Financial management and administration;
- ii. Project financing and co-financing; and
- iii. Financial sustainability.

35. Financial sustainability is discussed in greater detail in Section III.C.6., below. An evaluation of financial management and project co-financing follows.

Financial management and administration

36. An in-depth assessment of financial processes for the project was carried out at the midterm. As stipulated in contractual documents, funds for project expenses flowed from UNDP, to ISPONRE, and to BCA. ISPONRE and BCA had their PMU and sub-PMU, respectively, and each of these had an

accountant, who monitored financial issues. ISPONRE and BCA entered into contracts with coordinators in each of the two provinces (one person per province), who were paid directly. All activities implemented in the two provinces were managed by ISPONRE or BCA; contracts were executed with partners in each of the two provinces by the two agencies.

37. The PMU submitted quarterly implementation reports to UNDP, and these were the basis of budget transfers to ISPONRE and BCA. The budget transfers sometimes were delayed because of delays in preparing and submitting the implementation reports. Other problems which arose with budget disbursements were as follows:

- Bidding procedure: Due to some recently enacted new policies and laws, the processing for bidding packages, even small ones, was a lengthy process. The PMU had to get an annual bidding plan approved by MONRE. This too, required time, and if not properly planned ahead of time, caused delays.
- VAT: Assessment and payment of VAT caused problems and in some cases delayed project activities.

38. In conclusion, there were some challenges that occurred with respect to project financial management. These in turn had a tangible impact on the implementation of project activities. However, as mentioned in [Section XX](#), above, some effort was made by UNDP and the implementing partners to address these issues.

Project financing and co-financing

39. Several partners were named as co-financiers for the project. However, these partners rarely met with project financial personnel to discuss their commitments to the project. This was mainly because most of their contributions were in-kind. For example, they may have contributed to the project by attending workshops or meetings, or commenting on documents and project reports. They may also have sent experts to implement or participate in other activities of the project.

40. For this reason, it is difficult to obtain an accurate figure for the actual co-financing contributions of project partners. Nonetheless, the best estimate for the actual final contributions, from GEF and from other sources, is provided in Table XX, below.

41. [<this section to be completed>](#)

Table XX. Project Finance Summary

Source	Type	Planned (USD)	Actual (USD)
I. GEF	Cash	\$ 3,180,287	\$??
II. Co-Financing			
A. Government	In-kind	12,891,600	??
B. UNDP	Cash	1,000,000	??
C. Other	In-kind	1,020,000	??
TOTAL		\$ 18,091,887	\$??

Source: ProDoc, PIR 2020, other project documents

4. Monitoring and evaluation

42. A conventional M&E framework was identified during the design of the project, and was detailed in the ProDoc. This included such standard features as:

- Review of key project elements during Inception phase

- Annual submission of AWP, PIRs
- Maintenance of logs (e.g., issues log, risks log, lessons learned log),
- Presentation of quarterly progress reports
- Mid-term review
- Annual audit reports
- Management effectiveness tracking tools (METT)
- Terminal evaluation

43. Review of the project documents indicates that in general, the M&E system was adhered to. For the most part, required reports were produced on-time, and to an acceptable level of completeness and quality.

44. As far as the implementation of the M&E system, one element where there were shortcomings, was the preparation of the required METT. Delays were encountered in obtaining completed tracking tools, both for the MTR, and for the TE.¹⁰ This did affect the ability of reviewers and evaluators to assess these important aspects of the project.

45. In summary, the design of the M&E system at entry was **SATISFACTORY (S)**, while the implementation of M&E functions was **MODERATELY SATISFACTORY (MS)**. Considered in its entirety, most of the elements of the M&E system were successfully implemented, and utilized to guide the adaptive management of the project. Thus an overall rating of **SATISFACTORY (S)** is applied to the project M&E.

5. UNDP and Implementing Partner implementation / execution

46. The majority of stakeholders expressed satisfaction with the way in which the project was executed and implemented by UNDP and ISPONRE/BCA, respectively. Coordination between UNDP and the implementing partners was smooth, as was coordination between the PMU/sub-PMU and local counterparts at the provincial, district, and community levels.

47. There were, however, several areas of weakness in implementation that were assessed. One of these was regarding delays in disbursements, especially during the earlier stages of the project (discussed in Section III.B.3., above). Following the MTR, efforts were made to circumvent this issue, by UNDP taking on greater responsibility in coordinating disbursements. While this effort did not fully resolve the problem, it may have contributed to at least some improvement in the speed of disbursements.

48. A second implementation matter concerns the Project Steering Committee (PSC). By and large, the PSC was not effectively engaged as the key governance body. In fact, the PSC did not meet at all since the time of the MTR.

49. Taking these factors into consideration, the quality of execution by UNDP is rated as **SATISFACTORY (S)**, while the quality of implementation is rated as **MODERATELY UNSATISFACTORY (MU)**. Although the poor performance of the PSC pushed the rating for implementation to the negative, other factors, both in implementation and execution, were taken into consideration and led to an overall rating of **MODERATELY SATISFACTORY (MS)** for this criterion.

¹⁰ In the case of the mid-term METT, preparation was significantly delayed, for the simple fact that the WPAs had not yet been established, thus it was not feasible to assess the management effectiveness for these facilities. By the time of the TE, baseline and midterm METTs were made available to the evaluators, but as of this writing, the final METT has not yet been produced.

C. Project Results

1. Relevance

50. The project was highly relevant. This was demonstrated by a high degree of consistency with a range of legal, policy, and planning instruments and guidelines, which have been established at various levels (e.g., international agreements, national laws and policies, provincial and other local-level plans and regulations, etc.). Examples of the key instruments, with which the project shows close alignment, are the following:

- UN Agenda 2030 Sustainable Development Goals (SDGs) Nos. 13, 14, 15;
- UNDP One Strategic Plan 2017-2021 (Focus Area 2: Ensuring Climate Resilience and Environmental Sustainability);
- GEF Biodiversity focal area Objective BD1: Improve Sustainability of PA Systems--Outcome 1.1: Improved management effectiveness of (existing and) new protected areas; Outcome 1.2: Increased revenue for protected area systems; Output 3: Sustainable financing plans;
- GEF Biodiversity focal area Objective BD2: Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes, Seascapes and Sectors—Outcome 2.1: Increase in sustainably managed landscapes and seascapes; Output 2: National and sub-national land-use plans that incorporate biodiversity and ecosystem services valuation;
- National Portfolio Formulation Exercise for the use of GEF-5 STAR resources;
- Biodiversity Law of 2009;
- Decree No. 109/2003/ND-CP on the Conservation and Sustainable Development of Wetland Areas;
- Viet Nam NBSAP, wherein wetlands in general, and Tam Giang-Cau Hai Lagoon specifically, are identified as priorities for conservation.

51. In light of the strong conformance of the project to the principles set forth within these and other major legal, policy, and planning instruments, the project is rated as **RELEVANT (R)**.

2. Effectiveness & Efficiency

52. Determining the effectiveness and efficiency of the project is based mainly upon evaluating the degree to which project resources are used effectively and efficiently. Effective and efficient project implementation thus depends upon:

- Minimizing waste or unnecessary utilization of resources;
- Minimizing delays due to financial administrative procedures;
- Creating/capitalizing on opportunities for leveraging of resources.

53. Evidence suggests that some delays in implementation occurred, which were due to the length of time needed to complete financial administrative processes. These processes were streamlined in the latter phases of project implementation, which helped to some degree to avoid further loss of time and waste of resources.

54. Regarding leveraging, while the original targeted co-financing support was valued at USD 14,911,600, the actual value of co-financing contributed to the project was USD XXX. This suggests that XXX... <awaiting figures from UNDP to complete this analysis>

55. Taking into consideration the factors presented above, it is concluded that the rating for project effectiveness is **SATISFACTORY (S)**, and efficiency is rated as **MODERATELY SATISFACTORY (MS)**.

3. Country ownership

56. Country ownership for the project was strong. This could be attributed, at least in part, to the use of the national implementation modality (NIM) for conducting the project. Under the NIM, ISPONRE and BCA were required to take a lead role in managing project activities. This fostered strong ownership, while at the same time providing personnel of those agencies the opportunity to strengthen and develop skills for management of a large-scale and complex conservation project—this in turn strengthens their capacity to replicate or scale-up such efforts, both for continuing the benefits of this project, and to apply such skills to other new projects and initiatives in the future.

57. Ownership is further demonstrated and reinforced through the success of the project in contributing to biodiversity mainstreaming (further discussed in the next section). This is because mainstreaming gives proof that commitments have been made to institutionalize the gains and accomplishments of the project with respect to biodiversity conservation.

4. Mainstreaming

58. As enumerated in the section on Relevance (**Section III.C.1.**, above) a number of existing instruments at the international and national levels already reflect a commitment by the Vietnamese government to the mainstreaming of biodiversity and wetlands conservation objectives. Where the project made a significant further contribution to mainstreaming was more site-specific, through new instruments for protection of wetlands that were developed at the provincial level.

59. In TTH province, the project supported local government agencies to mainstream wetlands management and sustainable use into provincial development plans and planning activities, including:

- Resolution No.72/NQ-CP dated June 6th 2018 on adjustment of land use planning until 2020;
- Land use plan (2016-2020) of Thua Thien Hue province;
- Five land use plans of Quang Dien, Phu Vang, Phu Loc, Phong Dien and Huong Tra districts (Decision No.1233/QD-UBND dated May 20th 2019; Decision No.1386/QD-UBND dated June 8th 2019; Decision No.938/QD-UBND dated April 13th 2019; Decision No.847/QD-UBND dated April 3rd 2019; Decision No.1087/QD-UBND dated May 4th 2019);
- Support for the Department of Planning and Investment (DPI) of TTH province to identify use zones, and propose relevant effective instruments for mainstreaming economic development and conservation as an input to formulate the "Master plan for development of Tam Giang - Cau Hai lagoon in TTH province to 2020, vision to 2030."

60. In TB, the project supported the province in conducting a review and providing guidelines and recommendations for integrating wetland conservation and sustainable use into legal documents, plans, and planning processes, in Thai Thuy district and in Thai Binh province as a whole. These actions have resulted in the creation of the following legal, policy, and planning instruments:

- Official Letter No. 1898/STNMT-CCB (July 25, 2019) issued by the Department of Natural Resources and Environment of Thai Binh province, to report on efforts to integrate the conservation and sustainable use of wetlands within the Thai Binh legal and policy framework;
 - A Resolution adjusting land use planning (Resolution No. 34/NQ-CP, "Approval of adjustment of land use planning of Thai Binh province until 2020") issued on 7 May 2018;
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- Integration of wetland conservation into relevant sectoral plans, provincial plans, and budget estimates for implementing provincial biodiversity planning, and advisories for the Provincial People's Committee, for approval of the management plans of Tien Hai wetland PA and Thai Thuy wetland PA;
- Following Prime Ministerial Decision 36/QĐ-TTg signed in 2017, a biodiversity impact assessment to identify potential impacts on wetland ecosystems and biodiversity from industrial zone development within and near the boundaries of the planned Thai Thuy Wetland Protected Area, and to identify mechanisms to resolve the establishment of the WPA in light of conflicting land uses within the industrial and economic zone.

61. Thus the project made a significant contribution to the mainstreaming of wetlands biodiversity conservation, most critically, at the provincial level.

5. Sustainability

62. Analysis of sustainability is predicated on consideration of the risks which form barriers to maintaining the intended project benefits over time—the lower the risks, the higher the probability that project benefits will be sustained in the future. If one or more of the risk factors is too great, they can threaten the chances for the sustainability of project benefits. In the TE analysis for the Wetland PA project, the following risks are taken into account: (i) financial risks; (ii) socio-economic risks; (iii) institutional and governance risks; and (iv) ecological and environmental risks. This section discusses these various risks, attempting to identify those which pose the greatest threat. Based on these analyses, ratings are assigned for financial, socioeconomic, institutional, and environmental sustainability, with the overall sustainability rating being based on consideration of the cumulative ratings for each of these components.

Financial sustainability

63. Under the project, a number of steps have been taken to ensure that sufficient funding would be made available for continuing operation of the two WPAs which have been set up through the project. These include provisions in the instruments which established the WPAs, namely:

- Under Decision No.494/QĐ-UBND of Thua Thien Hue Provincial People's Committee, (i) funds from state budget are to be allocated to the operation of the protected area from the provincial budget; (ii) funds are to be mobilized from international and domestic partners through specific cooperation activities; and (iii) funds will be derived from enterprises, organizations and stakeholders that are exploiting and using resources from Tam Giang-Cau Hai Wetland Protected Area.¹¹
- Currently, the recurrent costs of TT WPA are secured by state budget according to the Decision 2514/QĐ-UBND on the establishment of Thai Thuy WPA. The Department of Finance is responsible for advising the PPC in allocating annual budget to ensure operation of the WPA and regular operation of the management board. Therefore, annually, the Management Board will propose budget for Thai Thuy WCA activities to submit to DARD/PPC for approval. They can propose budget for the activities on conservation and sustainable use of wetlands from the environment budget line and submit to DONRE for approval. In addition, budget for the operation of the management board has been secured with 834,418,000 VND for 2020. Forest protection allocation and lease budget of about 821,580,000 VND for 2020 is secured, and currently under the management of the local authority. Once establishment of the WPA management is fully

¹¹ From 2020 PIR.

completed, including approval of operational regulations by Thai Binh PPC, the business plan shall be implemented, with expected income to be generated for the WPA.¹²

64. Although the above-mentioned provisions have been enacted to ensure sustained funding for WPA operations, stakeholder-informants who were consulted in the course of the TE have reported that adequate funds have not been made available, for a variety of necessary expenditures. For the Thai Thuy WPA:

- The budget for operation of the Management Board (staff salary, regular operational costs) is from the PPC. This budget is quite limited, and if the board would want to strengthen its activities (e.g. hire labor for patrolling, protection or planting of mangroves, etc.), budget increases would be necessary;
- The Thai Thuy WPA Management Board plans to establish offices in Tien Hai and Thai Thuy and to purchase equipment, but has not yet been able to do so.

65. For the Tam Giang-Cau Hai WPA:

- There is no formal Management Board which has been set up for this WPA (see further discussion under "Institutional and Governance Sustainability," below). As a result, no effort has been made to allocate any budget for its functioning, nor for establishment of an office as a center for its operation;
- The fishery sub-association is assigned to manage and protect several strict protection areas of the TG-CH WPA. This co-management arrangement has several benefits, i.e., it is cost-saving (avoiding the need for paying salaried staff), and it promotes greater buy-in for the project at the community level. However, the fisheries group also lacks adequate finances, to be able to purchase boats, vehicles, and other necessary equipment to support their assigned functions (e.g., patrol activities and other protection and operational functions).

66. It may be that the funding issues that are currently being faced by WPAs are, to some degree, simply a function of initial problems associated with the early-stage start-up of activities, which could be resolved over time, with increased learning and experience. Nonetheless, there is a concern that, if such problems persist, this could adversely affect the continuing operations of the WPAs. On the other hand, there is hope that, over time, in addition to receiving funding through regular government budget allocations, other revenue streams might be identified to supplement the government funds. This could include, for example, collection of visitor fees, donations, tourism taxes, payment for ecosystem services (PES), or other similar financing mechanisms.

67. In summary, through budgetary allocations from the provincial government, some support has been provided to meet the most immediate financial needs for WPA operations. However, it will also be necessary to identify and secure other funding sources, to ensure that a robust financial base is established, which can support continuing operations and management of the WPAs. Based on these considerations, the rating for financial sustainability is **MODERATELY LIKELY (ML)**.

Socio-political sustainability

68. Evidence obtained from project reporting and feedback from stakeholders suggests that the project had some success in its engagement with the local community. As explained in a previous section (Section III.B.2., "Partnership Arrangements") this included participation of community groups in project activities, as well as benefits to community members as a result of the project's initiatives to provide sustainable livelihood activities.

¹² From 2020 PIR.

69. One possible socioeconomic or political risk that could threaten sustainability, is if major use conflicts for the designated WPAs would arise. In the case of the Thai Thuy WPA, just such a conflict proved to be a significant barrier for establishing the WPA in the first place. However, this earlier dispute was amicably resolved through a negotiated compromise agreement. The success in reaching this compromise may pave the way for resolving any future disputes that might arise, in a similar manner. While this compromise involved a reduction in the land area to be included within the WPA, if the management of the area can be carried out successfully, it may in fact attract further investment to the area, for tourism, aquaculture, and other sustainable activities. In such a scenario, it is quite possible that provincial and district leaders would be supportive of increasing the area of wetlands to be set aside for protection in the future.

70. Because these factors are mostly favorable, a rating of **LIKELY (L)** is assigned for socio-political sustainability.

Institutional and governance sustainability

71. For this project, institutional and governance sustainability largely depends on whether or not appropriate legal and institutional structures have been put in place to prioritize wetlands conservation generally, and more specifically, to guarantee the continued operations of the two newly-formed WPAs. A great deal of progress has been made in this area, largely as a result of the project activities. With project support, Decree No.66/2019/ND-CP dated July 29th 2019 on sustainable conservation and use of wetlands has been adopted. In addition, the wetland national action plan and draft circular guiding the new Decree have been completed by the project consultant and handed over to BCA for processing of the official submission for approval.

72. At the local level, a series of legal Decisions has been approved, which have been the instruments for the establishment and operationalization of the two WPAs, and a Management Board has been formed for Thai Thuy WPA. However, one weakness in the institutional arrangement has been reported: as yet, no formal Management Board has been set up for the TG-CH WPA. Instead, an "Integrated Management Coordination Board of the Coastal Zone of Thua Thien Hue Province" has been formed. This entity, which includes representatives of relevant agencies, such as DONRE, DARD, Phong Dien District, Quang Dien district, and Huong Tra town, operates on a somewhat ad hoc basis, with members only attending meetings occasionally throughout the year. The coordination board has no formal budget, no staff, and no office facilities. Stakeholders have reported that they believe that having a Management Board, as is the case for Thai Thuy WPA, would be the preferable arrangement.

73. The weakness concerning the management structure for the TG-CH WPA is one that could be overcome with renewed commitment from government and community leaders in TTH province. Apart from this, other elements of the institutional and governance framework are strong. Overall, it is felt that these conditions justify a rating of **LIKELY (L)** for institutional and governance sustainability.

Ecological and environmental sustainability

74. Arguably, the premier achievement which has come about as a result of project intervention, is that an environmentally-sensitive area of the landscape which was previously subject to uncontrolled impacts, is now afforded protected status within two WCAs. This can help to ensure stronger conservation of the valuable wetland resources and biodiversity which are found there. Threats to wetlands have been reduced through the adoption of provincial development plans which have mainstreamed wetland conservation over some 372,000 ha, which exceeds the project target of 310,000 ha. Protection has been further strengthened by the fact that local communities living in close proximity to the WPAs now better understand the importance of the fragile biodiversity resources that are found there, due to community outreach and education programs undertaken through the project, and are

participating in the conservation effort, especially by refraining from destructive practices which were common in the past (e.g., destructive fishing, cutting of mangroves, etc.).

75. There are of course some threats to wetland biodiversity which persist. These include, for example, the possible impacts of climate change, as well as continuing pressures for forms of economic development which might not be environmentally sustainable. However, the protections which have been put in place as a result of project actions, give some confidence that ecosystem values can be maintained, and even improved, within the WPAs. As a result, it is considered **LIKELY (L)** that ecological and environmental sustainability of the project can be achieved.

Overall project sustainability

76. Taken collectively, the TE finds that the overall sustainability of the project is **Likely (L)**.

6. Impact

77. GEF guidelines require that an evaluation of project impact (including consideration of progress towards achieving impact) is incorporated into the TE. The key parameters to be investigated include (i) environmental status improvement; (ii) environmental stress reduction; and (iii) progress towards stress/status change. Ratings for the three parameters are also required.

Environmental Status Improvement

78. A range of interventions initiated under the project have an influence on improving the environmental status within the natural environment of the project area. These include (among others): (i) improvements in habitat and biodiversity protection, as a result of establishment of the two WPAs; (ii) improved knowledge and awareness among community members, leading to reduction of destructive practices; and (iii) planning of protection zones for mangroves, seagrasses and mudflats.

79. Because the timeframe of the project is relatively short, when compared to the time needed to bring about measurable biophysical improvements in the natural environment, it is considered unlikely that this project, even if implemented to the highest level of effectiveness, would exhibit significant improvements in environmental status in such a short time. However, some preliminary indications suggest that environmental status is at least starting to improve. Updated METT scores showed some improvement for TG-CH and TT WCAs, to 31 and 26, respectively (but with scores still falling below the project target score above 40). Also, it is quite interesting that, at least anecdotally, some positive changes in the environment were reported by community members in TTH, who stated that they saw increased numbers of migratory birds visiting the wetlands for the first time in recent memory. These positive observations may indicate the start of a trend toward improved environmental status. While these indications are not sufficient to warrant the highest rating, a rating of **MINIMAL (M)**, which is the next-highest available rating, is assigned for this criterion.

Environmental Stress Reduction

80. The project has been successful in putting in place key elements of an enabling framework for reducing environmental stress, especially in terms of reducing conflicting uses within the areas where wetlands are found. With the formal legal designation of the two WPAs, there is greater assurance that these areas will be maintained in their natural state, rather than being used for other purposes. Any future accomplishments towards improving the condition of mangroves, seagrass beds, mudflats, and other natural features of the wetlands, will also help to reduce environmental stress. While the stress reduction realized in the WPAs thus far has been minimal, the outlook is promising that this process can continue over time. The rating applied for this parameter is **MINIMAL (M)**.

Progress Towards Stress/Status Change

81. This indicator examines those impacts of the project which are transformational in nature, i.e., those that can bring about reductions in environmental stressors, or improvements in environmental status. As has already been stated in the previous discussion about environmental status and stress reduction, these two processes, as they are unfolding in the project areas, are only in their beginning stages. However, the enabling conditions that can support the continuation of these processes, have already been put in place. The project has succeeded in building a sound enabling environment based on: (i) the establishment of two new WPAs, and the protection of those areas in their natural state; (ii) the strengthening of knowledge, skills, and capacities that will support the operation of the two WPAs; and (iii) multiple other steps which have been taken to ensure the mainstreaming of wetland biodiversity conservation into decision-making, planning, and implementation as practices at the national, provincial, and district levels.

82. Because of these positive developments, the progress towards stress reduction and improvement of environmental status is rated as **SIGNIFICANT (S)**.

7. Overall Project Outcome

83. In evaluating the overall project outcome, it is helpful (and indeed, necessary) to measure the performance of the project against the project objective and outcomes, as presented in the logical framework or strategic results framework. Therefore the project objective and outcomes are again stated below:

***OBJECTIVE:** To establish new wetland protected areas and to create capacities for their effective management to mitigate existing and emerging threats from connected landscapes.*

***Outcome 1:** New wetland PAs and relevant systemic capacities for their effective management established*

***Outcome 2:** Integrity of wetland PAs are secured within the wider wetland connected landscapes*

84. Overall, notable progress in achieving the project objective and outcomes has been made, and it can be reported that, in the final year of the project, the main targeted objective and outcomes have largely been accomplished.

Enabling conditions

85. In addition to accomplishment of the main project objective, a number of key enabling conditions have been put in place, that will continue to support improvements in wetlands management in the future. Details of these accomplishments are as follows:

86. ***Establishing 2 WCAs in 2 provinces:*** The process for establishing the two WCAs was prolonged due to discussions to resolve conflicts and harmonize conservation issues and economic development concerns of the local governments as well as the investors for the two areas. With the efforts of the project participants, MONRE leader, UNDP Viet Nam, as well as the leaders of TB and TTH provinces, the two WCAs were established (Thai Thuy WPA was established through Decision 2514/QD-UBND dated 6 September 2019; TG-CH WCA was established under Decision No.495/QD-UBND dated February 20th 2020 of Thua Thien Hue Provincial People's Committee).

87. ***Establishing mechanisms for effective management:*** Biodiversity Monitoring Programs (BMPs) for both TT and TGCH WCA were developed, using Biodiversity Monitoring Indicators (BMIs)

that reflect the typical characteristics of the WCAs. The adoption of the BMPs and BMIs will support strengthened management of wetland biodiversity of the WCAs going forward. Results from baseline monitoring will be used for tracking changes in the status of biodiversity in the WCAs over time, and will support decision-making on appropriate management solutions by the designated authorities responsible for management of the areas.

88. ***Issuance of Decree:*** Decree no. 66/2019/ND-CP dated 29/7/2019 was issued to replace Decree 109/2003/ND-CP. The circular guiding implementation of Decree no.66/2019/ND-CP, as well as a draft 5-year National Wetlands Action Plan, have been finalized and are in process of approval.

89. ***Mainstreaming wetland management and sustainable use into provincial development planning processes for two provinces:*** The main contributions of the project toward biodiversity and wetlands mainstreaming are presented in Section III.C.4., above.

Capacity-building

90. One of the very important elements of the project design, intended to ensure that project benefits could be sustained beyond the life of the project, concerned interventions which were undertaken to build capacity, develop skills, and share knowledge. These interventions included the following:

- A capacity and training needs assessment (CTNA) was conducted at the national level;
- National-level training courses were conducted on wetland management and conservation for wetland-related central government officers under MONRE and MARD;
- In addition, the project conducted an update of the capacity development scorecard regarding the capacity of MONRE to implement wetlands-related policies, legislation, strategies and programs, with the result that the score increased from 21 percent to 55 percent, due to training on wetland conservation and management;
- Trainees also included lecturers from universities or institutions that offer a wetland/biodiversity curriculum; thus skills have been improved among teaching staff who instruct students who will in turn become wetland or natural resources management practitioners;
- A training manual was finalized and is ready for printing and distribution to a wider targeted audience;
- Ramsar handbooks were translated into Vietnamese for editing and printing, to be distributed together with the training document to government officers working in the field.

Supporting sustainable livelihoods

91. Another aspect of the project design, captured in Output 2.3, under Outcome 2, is to reduce threats to biodiversity from local livelihoods. Support was provided under the project to promote sustainable livelihood options, thus contributing to the reduction in threats to biodiversity. Among the specific actions undertaken, which contributed to this target, were the following:

- Successful aquaculture livelihood models were implemented in TTH. This included activities such as mullet/shrimp/seaweed and shrimp/crab/mullet polyculture, and fish cage culture. Average profit per household was reported at over 20 million VND. In addition to the economic benefits, the model also raised the awareness of participants and their communities, for the need to protect the environment.
 - The promotion of income generation models also provided an opportunity to focus on gender issues, specifically, the role of women in aquaculture. The project engaged with the local
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Women's Union in design and implementation of livelihood activities. This helped ensure that women are given an equal opportunity to participate in planning and implementation of livelihood activities and opportunities for income generation.

- In Thai Do Commune, Thai thuy District, Thai Binh province, the project supported training for growing clam and developing the value chain for marketing of products.

92. It was noted that, while the livelihood development activities produced tangible benefits, and were much appreciated by participants, further assistance in developing the value chain, and in bringing products to market, is required.

Evaluation of overall project outcome

93. Shortcomings directly related to the project outcome have already been discussed, most notably, the fact that, as a compromise, the area of the WPAs as originally proposed, needed to be reduced. This concession was necessary, in order to allow the goal for the formal establishment of the WPAs to be realized. Despite this shortcoming, the achievements for advancing the objective of conserving the wetlands in the two target provinces, as enumerated above, have been quite significant. This leads to an overall rating of **SATISFACTORY** being assigned for accomplishment of the project outcome.

8. Overall Results

94. In order to arrive at the overall rating for project results, emphasis is placed on providing a composite rating of the criteria which are components of project impact. In addition, it is the opinion of the evaluators that the other component ratings which have been assigned, should also be taken into consideration for the overall rating. For the Wetland PA Project, the primary objective of establishing two new wetland PAs was accomplished. Training and other support was provided, in order to ensure that wetlands conservation practitioners would have the skills and capacity needed to effectively manage and operate the WPAs. The project showed itself to be highly relevant, and with fairly good prospects for its sustainability over the long term. For these reasons, the rating for the overall project results is **SATISFACTORY**. The complete ratings for the project are presented in Table XX, below.

IV. LESSONS, RECOMMENDATIONS, AND CONCLUSIONS

A. Lessons

<presented here are the key lessons which emerged from the project—these will be described in greater detail in the final TER>

95. Harmonizing and balancing development and conservation objectives is often challenging—gaining a full understanding of the policies and development strategies of the nation, and the provinces where projects will be implemented, can help in this process

96. Strong commitment of the relevant central government ministry (e.g., MONRE) and the PPC at the provincial level, can help to ensure the success of the project

97. Cross-sectoral agreement and dialogue (e.g., between MONRE and MARD, and DONRE and DARD) is another element that can contribute to project success

98. Putting strong, well-conceived mechanisms in place to ensure continued financial support, will be essential for project sustainability

99. Project results will not be stable unless the economic needs of the community are addressed, by providing opportunities for sustainable livelihood

Table X. Summary of Ratings for the Wetland PA Project

CRITERIA	RATING
1. Monitoring and Evaluation	
Overall quality of M&E	S=SATISFACTORY
M&E design at entry	S=SATISFACTORY
M&E plan implementation	MS=MODERATELY SATISFACTORY
2. IA & EA Execution	
Overall quality of implementation / execution	MS=MODERATELY SATISFACTORY
Quality of execution - UNDP	S=SATISFACTORY
Quality of implementation – Implementing Partners	MU=MODERATELY UNSATISFACTORY
3. Assessment of Outcomes	
Relevance	R=RELEVANT
Effectiveness	S=SATISFACTORY
Efficiency	MS=MODERATELY SATISFACTORY
4. Sustainability	
Overall likelihood of sustainability	L=LIKELY
Financial sustainability	ML=MODERATELY LIKELY
Socio-political sustainability	L=LIKELY
Institutional and governance sustainability	L=LIKELY
Ecological and environmental sustainability	L=LIKELY
5. Impact	
Environmental status improvement	M=MINIMAL
Environmental stress reduction	M=MINIMAL
Progress towards stress/status change	S=SIGNIFICANT
OVERALL PROJECT OUTCOME	S=SATISFACTORY
OVERALL PROJECT RESULTS	S=SATISFACTORY

B. Recommendations

<presented here are the recommendations from the project—these will be described in greater detail in the final TER>

100. Explore opportunities to strengthen synergies between wetland conservation and tourism development (i.e., using tourism as a source of revenue for supporting wetland conservation)

101. Undertake measures to integrate wetlands, and wetlands biodiversity, into a system of natural capital accounting to ascertain the true and full economic value of ecological goods and services which wetlands provide

102. Promote greater utilization of co-management as a mechanism for strengthening community involvement and reducing costs of WPA management

103. Strengthen wetland protection, by establishing a national network of important wetland sites; conduct comprehensive biodiversity inventories for all wetlands sites; and nominate additional sites for Ramsar, UNESCO Man & Biosphere, and World Heritage designation

104. Provide support to further develop sustainable livelihoods, especially, developing market links and value chain links for locally-produced, wetland-derived products

105. Continue efforts to harmonize roles and responsibilities for biodiversity conservation across government sectors and agencies (especially, MONRE/MARD)

C. Conclusions

<summary concluding comments are provided here-- these will be described in greater detail in the final TER>

106. The project was generally successful in achieving the main target outcome, i.e., the establishment of 2 WPAs-this helped to improve the representation of wetlands among different ecotypes, within the Vietnam PA system

107. Significant advancements were made towards mainstreaming biodiversity conservation and wetlands protection into regular government planning and policy-making processes

108. Efforts need to be continued, to ensure the sustainability of the project, especially in:

- building capacity of WPA managers
- maintaining activities aimed at improving community participation and awareness
- securing sustainable financing for WPA operations over the long term

109. In light of the overall success of the project in advancing wetlands conservation generally, and in establishing two new wetland PAs in Viet Nam, the project receives an overall rating of **SATISFACTORY**.

ANNEXES

Annex A: Terms of Reference for the Terminal Evaluation

Annex B: List of Documents Reviewed

Annex C: List of Persons Interviewed

Annex D: Questionnaire and Summary of Questionnaire Results

Annex E: Mission Schedules

Annex F: TE Rating Scales

Annex G: Consultant Code of Conduct Agreement Forms

Annex A: Terms of Reference for the Terminal Evaluation

TERMS OF REFERENCE

PROJECT TERMINAL EVALUATION



Empowered lives.
Resilient nations.

Position: 01 international consultant to conduct a terminal evaluation of the project
Conservation of Critical Wetland Protected Areas and Linked Landscapes

Duty Station: Home base with travel to Viet Nam¹³

Type of appointment: Individual contract

Duration: International consultant: 20 days (from September 2020 to October 2020)

Reporting to: UNDP Viet Nam & PMU

PROJECT SUMMARY TABLE

GEF Project ID:	PIMS #4537		At endorsement (Million US\$)	At completion (Million US\$)
UNDP Project ID:	00088048	GEF financing:	3,180,287	
Country:	Viet Nam	IA/EA own:	1,000,000	
Region:	Asia and the Pacific	Government:	12,871,600	
Focal Area:	Biodiversity	Other:	1,020,000	
FA Objectives, OP/SP:	Objective 1: <i>Improve Sustainability of PA Systems</i>	Total co-financing:		
Executing Agency:	Ministry of Natural Resources and Environment (MONRE)	Total project cost:	18,071,887	
Other Partners involved:	Institute of Strategy and Policy on Natural Resources and Environment (ISPONRE) Biodiversity Conservation Agency (BCA)/VEA	ProDoc Signature (date project began):	9 June 2015	
		(Operational) Closing Date:		

¹³ International travels will be determined subject to the impact of COVID-19

• INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP-supported GEF-financed projects are required to undergo a Terminal Evaluation (TE) upon completion of implementation. These terms of reference (TOR) set out the expectations for a TE of the project *Conservation of Critical Wetland Protected Areas and Linked Landscapes* (PIMS #4537).

The TE process must follow the guidance outlined in the document *Guidance For Conducting Terminal Evaluation of UNDP-Supported, GEF-Financed Projects*.¹⁴

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

• PROJECT BACKGROUND INFORMATION

An estimated 30% of Viet Nam's national land area comprises inland and coastal wetlands. These harbors are considerable globally significant biodiversity and generate a vast array of ecosystem services. However, these wetlands are under increasing threats from a range of economic activities, particularly conversion for agriculture and aquaculture, overexploitation of biotic resources and pollution. The project was formulated to enhance systematic, institutional, and operational capacity for effective wetlands biodiversity management in Viet Nam nationally and at provincial level of the selected sites. The project's immediate objective is to establish new wetland protected areas and create capacities for their effective management to mitigate existing and emerging threats from connected landscapes in two project provinces: Thai Binh and Thua Thien Hue. The project also seeks to remove the policy barriers that currently prevent the effective conservation and sustainable use of Viet Nam's wetlands. Project design was organized into two inter-related components that reflect the GEF's focus on system-level solutions and on influencing behavioral change at different levels:

1. **Component 1** focuses on overcoming the existing gap in Viet Nam's otherwise impressive national PA system, namely the inadequate representation of wetlands ecosystems, which are being increasingly threatened by other economic sectors. In order to do so, activities under Component 1 are centered on developing systemic capacity at national and subnational levels for the establishment and effective administration and management of a subsystem of wetlands protected areas in Viet Nam. This is to be achieved through the following Outputs:
 - Output 1.1: New and updated national policy, regulatory and planning frameworks for wetlands conservation
 - Output 1.2: Strengthened national capacity for administration of wetland conservation areas
 - Output 1.3: Two new wetland conservation areas established with management systems in place
 - Output 1.4 Strengthened provincial capacity for wetlands conservation management and sustainable use
2. **Component 2** addresses the lack of capacity among key stakeholders from government to local communities to effectively identify and manage threats to wetlands arising from activities and interventions within the wider landscape, through the following Outputs:
 - Output 2.1 Increased understanding and knowledge about wetlands ecosystem values, sustainable use and management across the wider landscape

¹⁴ Please refer to: <http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf>.

- Output 2.2 Wetlands conservation and sustainable use mainstreamed into key provincial development plans
- Output 2.3 Reduced threats to biodiversity from local livelihoods

Since the start of the novel coronavirus (COVID-19) outbreak, Vietnam has closely monitored the situation and installed a series of proactive, comprehensive measures to combat the spread of the virus within the country and prepare its public health facilities. The first confirmed cases of COVID-19 appeared in Vietnam on January 23, 2020. Of the confirmed cases that have appeared in Vietnam to date, 307 are Vietnamese, and the rest are foreigners. Vietnam has reported no cases of community spread since April 17. Vietnam lifted its 22-day social distancing directive on April 23. Most trades and services are back in business. Flights, public transportation, inter-provincial transportation, hotels, monuments, tourism attractions, and government offices have reopened with safety measures in place. Only Vietnamese nationals, foreigners on diplomatic or official business, and highly skilled workers are allowed to enter the country at this time. Anyone entering Vietnam must undergo medical checks and 14-day quarantine upon arrival¹⁵.

• OBJECTIVE AND SCOPE

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the *Guidance For Conducting Terminal Evaluation of UNDP-Supported, GEF-Financed Projects*.

The objectives of the evaluation are (1) to assess the achievement of project results, and (2) to draw lessons that can both improve the sustainability of benefits from this project and aid in the overall enhancement of UNDP country programme 2017 – 2021 (CPD), One Strategic Plan 2017-2021 (OSP), and recommendations for the new Programming Period.

• EVALUATION APPROACH AND METHOD

An overall approach and method¹⁶ for conducting project terminal evaluations for UNDP-supported, GEF-financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the *UNDP Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects*. A set of questions covering each of these criteria has been drafted and is included with this TOR (see [Annex C](#)). The evaluator is expected to amend, complete, and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable, and useful. The evaluator team is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region, and key stakeholders. The evaluators are expected to conduct a field mission in Viet Nam, including the following project sites: **Thai Binh province (2 days) and Thua Thien Hue province (4 days)**.

Interviews will be held with the following organizations and individuals at a minimum:

Institute of Strategy and Policy on Natural Resources and Environment (ISPONRE) / Ministry of Natural Resources and Environment (MONRE);
Biodiversity Conservation Agency (BCA)/VEA (MONRE)

¹⁵ Further update can be found at <https://vietnam.travel/things-to-do/information-travellers-novel-coronavirus-vietnam> and <https://ncov.moh.gov.vn/>

¹⁶ For additional information on methods, see the *Handbook on Planning, Monitoring and Evaluating for Development Results*, Chapter 7, pg. 163.

Senior officials, key experts and consultants in the subject area, Project Steering Committee (PSC), and Project Management Unit (PMU);

DoNREs in Thua Thien Hue and Thai Binh provinces.

DARD in Thai Binh province

Thai Binh Wetland Protected Area Management Board.

Integrated Coastal Coordination and Management Board of Thua Thien Hue province.

District People's Committee of Thai Thuy District

District People's Committees of Phong Dien, Quang Dien and People's committee of Huong Tra Town, Thua Thien Hue province

Selected communities/households who are beneficiaries of the project's demonstration models at two project sites.

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

As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. Travel to the country has been restricted since April 1, 2020 and travel in the country is also restricted. If it is not possible to travel to or within the country for the TE mission then the TE team should develop a methodology that takes this into account the conduct of the TE virtually and remotely, including the use of remote interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires. This should be detailed in the TE Inception Report and agreed with the Commissioning Unit.

If all or part of the TE is to be carried out virtually then consideration should be taken for stakeholder availability, ability or willingness to be interviewed remotely. In addition, their accessibility to the internet/computer may be an issue as many government and national counterparts may be working from home. These limitations must be reflected in the final TE report.

If a data collection/field mission is not possible then remote interviews may be undertaken through telephone or online (skype, zoom etc.). International consultants can work remotely with national evaluator support in the field if it is safe for them to operate and travel. No stakeholders, consultants or UNDP staff should be put in harm's way and safety is the key priority.

A short validation mission may be considered if it is confirmed to be safe for staff, consultants, stakeholders and if such a mission is possible within the TE schedule. Equally, qualified and independent national consultants can be hired to undertake the TE and interviews in country as long as it is safe to do so.

• EVALUATION CRITERIA & RATINGS

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

EVALUATION RATINGS			
1. Monitoring and Evaluation	Rating	2. IA & EA Execution	Rating
M&E design at entry		Quality of UNDP implementation	
M&E plan implementation		Quality of execution – Executing Agency	
Overall quality of M&E		Overall quality of implementation / execution	
3. Assessment of Outcomes	Rating	4. Sustainability	Rating
Relevance		Financial resources:	
Effectiveness		Socio-political:	
Efficiency		Institutional framework and governance:	
Overall Project Outcome Rating		Environmental:	
		Overall likelihood of sustainability:	

• PROJECT FINANCE / CO-FINANCE

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

Co-financing (type/source)	UNDP's own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Actual	Actual
Grants								
Loans/Concessions								
In-kind support								
Other								
Totals								

• MAINSTREAMING

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

• IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated:

- 1) verifiable improvements in ecological status;
- 2) verifiable reductions in stress on ecological systems; and/or
- 3) demonstrated progress towards these impact achievements.¹⁷

• CONCLUSIONS, RECOMMENDATIONS & LESSONS

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

• IMPLEMENTATION ARRANGEMENTS

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

• EVALUATION TIMEFRAME

The total duration of the evaluation will be over a time period of 10 weeks (20 days for IC and 25 for NC) according to the following plan:

Timeframe	Activity
21/9/2020	Preparation period for TE team (handover of documentation)
25/9/2020 (2 days)	Document review and preparation of TE Inception Report
6/10/2020 (2 days)	Finalization and Validation of TE Inception Report; latest start of TE mission
15/10/2020 (7 days)	TE mission: stakeholder meetings, interviews, field visits, etc.
30/10/2020 (2 days)	Mission wrap-up meeting & presentation of initial findings; earliest end of TE mission
16/11/2020 (5 days)	Preparation of draft TE report
30/11/2020	Circulation of draft TE report for comments
10/12/2020	Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
15/12/2020	Preparation and Issuance of Management Response
20/12/2020 (2 days)	Expected date of full TE completion

¹⁷ A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: **ROtI Handbook 2009**.

• EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

#	Deliverable	Description	Timing	Responsibilities
1	TE Inception Report	TE team clarifies objectives, methodology and timing of the TE	No later than 2 weeks before the TE mission: September 2020	TE team submits Inception Report to UNDP and PMU
2	Presentation	Initial Findings	End of TE mission: September 2020	TE team presents to UNDP and PMU
3	Draft TE Report	Full draft report (using guidelines on report content in ToR Annex C) with annexes	Within 3 weeks of end of TE mission: October 2020	TE team submits to PMU and UNDP; reviewed by GEF RTA
5	Final TE Report* + Audit Trail	Revised final report and TE Audit trail in which the TE details how all received comments have (and have not) been addressed in the final TE report (See template in ToR Annex H)	Within 1 week of receiving comments on draft report: October 2020	TE team submits both documents to UNDP

• TEAM COMPOSITION

The evaluation team will be composed of **01 international evaluator** and **1 national evaluator** (the international evaluator will be the team leader and will be responsible for finalizing the report). The consultants shall have prior experience in evaluating similar projects. Experience with GEF-financed projects is an advantage. The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project-related activities.

QUALIFICATIONS

The team members must present the following qualifications:

Education

Master's degree or higher in Environment, Natural Resources, and/or other closely related field;

Experience

Relevant experience with results-based management evaluation methodologies;

Experience applying SMART indicators and reconstructing or validating baseline scenarios;

Competence in adaptive management, as applied to biodiversity;

Experience in evaluating projects;
 Experience working in Asia Pacific Region;
 Experience in relevant technical areas of wetland conservation, biodiversity conservation, and other relevant areas such as climate change and land degradation for at least 10 years;
 Demonstrated understanding of issues related to gender and biodiversity; experience in gender responsive evaluation and analysis;
 Excellent communication skills;
 Demonstrable analytical skills;
 Project evaluation/review experience within United Nations system will be considered an asset;
 Experience with implementing evaluations remotely will be considered an asset.

Language

Fluency in written and spoken English.

SELECTION CRITERIA

INTERNATIONAL CONSULTANT		
No.	Criteria	Score
1	Minimum 10 years of experience with results-based management evaluation methodologies;	100
2	Experience applying SMART indicators and reconstructing or validating baseline scenarios;	100
3	Competence in adaptive management, as applied to biodiversity;	50
4	Experience in evaluating projects;	200
5	Experience working in Asia Pacific Region;	50
6	Experience in relevant technical areas of wetland conservation, biodiversity conservation, and other relevant areas such as climate change and land degradation for at least 10 years;	200
7	Demonstrated understanding of issues related to gender and biodiversity; experience in gender responsive evaluation and analysis;	100
8	Demonstrable analytical and report-writing skills (at least two reports in English relevant to technical areas must be provided)	100
9	Master's degree or higher in Environment, Natural Resources, and/or other closely related field;	100
Total		1000

• EVALUATOR ETHICS

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct ([Annex E](#)) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the *UNEG Ethical Guidelines for Evaluations*.¹⁸

• PAYMENT MODALITIES AND SPECIFICATIONS

%	Milestone
20%	Payment upon satisfactory delivery of the final TE Inception Report and approval by UNDP
40%	Payment upon satisfactory delivery of the draft TE report to UNDP
40%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report

In line with the UNDP's financial regulations, when determined by the Commissioning Unit and/or the consultant that a deliverable or service cannot be satisfactorily completed due to the impact of COVID-19 and limitations to the TE, that deliverable or service will not be paid.

Due to the current COVID-19 situation and its implications, a partial payment may be considered if the consultant invested time towards the deliverable but was unable to complete to circumstances beyond his/her control.

¹⁸ <http://www.unevaluation.org/ethicalguidelines>

Annex B: List of Documents Reviewed

<further details will be added to the list of documents that were reviewed for the TE>

- GEF Project Information Form (PIF)
 - Project document (ProDoc)
 - Project Inception Report
 - Annual Workplans (AWPs) of 2016, 2017, 2018, 2019 and 2020
 - Implementing/Executing partner arrangements
 - Project reports
 - Annual Project Implementation (APR/PIR) Reports
 - Project budget and financial data
 - Project Tracking Tool, at the baseline and at the mid-term
 - Mid-term Review Report
 - One UN Plan II 2017-2021
 - UNDP Country Programme Action Plan (CPAP)
 - GEF focal area strategic program objectives
-

Annex C: List of Persons Interviewed

1. United Nations Development Programme, Viet Nam Country Office

Mr. Nguyen Trung Thong, Programme Officer

Ms. Nguyen Khanh Van, Program Associate, CCEU

2. Institute of Strategy and Policy on Natural Resources and Environment (ISPONRE), Ministry of Natural Resources and Environment (MONRE)

Mr. Nguyen The Chinh, Director General

Ms. Kim Thi Thuy Ngoc, Project Manager, PMU

Ms. Dang Thi Phuong Ha, Administration assistant, PMU

Ms. Tran Thi Nguyen Minh, Project Financial Staff, PMU

3. Biodiversity Conservation Agency (BCA) Vietnam Environment Administration (VEA), Ministry of Natural Resources and Environment (MONRE)

Ms. Tran Thi Kim Tinh, Project Coordinator, Sub-PMU

Ms. Nguyen Thi Nhung, Technical assistant, Sub-PMU

4. NGOs, Academia, Civil Society, and independent consultants

Mr. Mr. Nguyen Van Chiem, project expert/consultant (Ha Noi)

Mr. Ho Thanh Hai, project expert/consultant (Ha Noi)

Mr. Trần Hồ Hải, project expert/consultant (Planning and Investment Department, TTH province)

Mr. Luong Quang Doc, project expert/consultant, (Hue Science University, TTH province)

Mr. Dang Ngoc Quoc Hung, project expert/consultant (Bach Ma National Park, TTH province)

5. Thai Binh Province

Mr. Vu Hai Dang, Provincial Coordinator—Wetland PA Project, DONRE

Ms. Tran Thi Huyen, Director of Sea Sub-Department, DONRE

Mr. Truong Trung Hieu, Official, DONRE

Thai Binh WPA Management Board

Mr. Bui Van Tinh, Director of Thai Binh WPA Management Board

Mr. Dinh Van Cao, staff of the Management Board

Mr. Truong Trung Hieu, Official, DONRE

Thai Do Commune, Thai Thuy District, Thai Binh Province.

Mr. Ta Duc Hoa, Vice Chair Man of the Commune

Mr. Nguyen Ngoc Hien, cadastral management of the Commune

Mr. Truong Trung Hieu, Official, DONRE

Thai Thuy District, Thai Binh Province

Mr. Pham Trung Kien, Vice Head of Division of Natural Resource and Environment

Mr. Giang Van Thang, Official, Division of Natural Resource and Environment

Mr. Nguyen Van Nha, DONRE

Thuy Xuan Commune, Thai Thuy District, Thai Binh province

Mr. Le Xuan Hung, Chair man of the Commune

Mr. Mai Dang Trinh, cadastral management of the Commune

Mr. Pham Trung Kien, Vice Head of Division of Natural Resource and Environment

Mr. Nguyen Van Nha, DONRE

6. Thua Thien Hue Province

Ms. Nguyen Thi Thanh Thuy, Official, DONRE; Provincial Coordinator—Wetland PA Project

Ms. Nguyen Thi Ngoc Thanh, DONRE official, working team for the Integrated Management
Coordination Board of Coastal Zone of Thua Thien Hue Province

Agricultural Extension Centre of the province

Mr. Chau Ngoc Phi, Director of the Center

Ms. Nguyen Thi Huong Giang, Vice Director

Mr. Nguyen Thanh Tuan, Head of the Technical Division of the Centre

Phong Dien district

Ms. Nguyen Thi Quynh Chau, official, sub-donre

Quang Thai commune, Quang Dien district

Mr. Pham Cong Phuoc, Commune Chairman

Mr. Le Vinh Quy, Sub-DONRE of Quang Dien District

Mr. Van Buu, commune official

Van Duc Sang, Vice Chairman of the commune

Le Ngoc Van, Chair of farmer association

Hong Thi Minh Phuong, Chair of women association

Le Hung, cadastral staff

Huong Phong Thai commune, Huong Tra Town

Mr. Phan Huu Vinh, Vice chair man of the commune

Tran Da Min, cadastral staff

Nguyen Ngoc Vinh, farmer, attending the livelihood model

Dang Duy Than, household attending the livelihood model

Tran Thi Nhan, Chair of women association

Nguyen Duc Minh, Chair of farmer association

Le Dieu, fishery sub-association

Annex D: Questionnaires and Summary of Questionnaire Results

English Questionnaire

VIET NAM WETLAND PA PROJECT TERMINAL EVALUATION QUESTIONNAIRE FOR STAKEHOLDERS¹⁹

Respondent Name _____

Date of Completion _____

1. Please describe your responsibilities, involvement in, or knowledge about the project.
2. Do you feel that the project was successful in establishing 2 wetland PAs?
3. Do you feel that the project was successful in ensuring that there is adequate capacity (within government and local communities) for managing and preserving the PAs?
4. What are some of the strengths which have contributed to the success of the project?
5. What are some of the weaknesses which have prevented the project from being more successful?
6. Do you feel that the project was successful in addressing problems, issues, barriers, or challenges which affected its progress? Have these issues been resolved? If so, how were they resolved? If not, why have they not been resolved?
7. Do you feel that the project has been efficiently and effectively managed and implemented? Why or why not?
8. Was the management of the project adaptive, i.e., if unforeseen circumstances arose, were adjustments successfully made, to keep the project on-track?
9. Was the project well-aligned with Vietnam's national/provincial policies and plans (e.g., environmental policy, development plans, etc.)?
10. Was the project well-aligned with government, UNDP, and GEF policies, goals, and programs (e.g., One UN Plan II 2017-2021, UNDP Country Programme Action Plan (CPAP), GEF focal area strategic program objectives, national and provincial government plans and policies)?
11. Do you feel that the benefits of the project will be sustainable in the future?
12. What are some of the main risks (e.g., environmental, financial, institutional, socioeconomic) that you feel could threaten project sustainability?

¹⁹ Questions included here are intended as a guide, and may be adjusted, depending upon the target audience of stakeholders to which they will be presented. For example, the focus of questions posed to government officials, project implementers, PA managers, or community members may vary, from one group to another.

13. What are some of the key lessons to be learned from this project (positive or negative) which could be applied to other similar projects in the future?
14. Please provide any other information which you feel may be important to help evaluate the Wetland PA Project.

Thank you for your time, and your cooperation in responding to the questionnaire.

Vietnamese Questionnaire

ĐÁNH GIÁ CUỐI KỲ DỰ ÁN BẢO TỒN CÁC KHU ĐẤT NGẬP NƯỚC VIỆT NAM BẢNG CÂU HỎI CHO CÁC BÊN LIÊN QUAN²⁰

Tên người trả lời: _____

Ngày hoàn thành: _____

1. Xin vui lòng mô tả trách nhiệm, sự tham gia, hoặc kiến thức/hiểu biết của bạn về dự án.
2. Bạn có cảm thấy là dự án đã thành công trong việc thành lập 2 khu bảo tồn đất ngập nước không?
3. Bạn có cảm thấy là dự án đã thành công trong việc đảm bảo đủ năng lực (trong chính quyền và cộng đồng địa phương) để quản lý và bảo tồn các Khu đất ngập nước mới được thành lập không?
4. Một số điểm mạnh đã góp phần vào sự thành công của dự án là gì?
5. Đây là các điểm yếu đã cản trở sự thành công hơn của dự án?
6. Bạn có cảm thấy là dự án đã thành công trong việc giải quyết các vấn đề, rào cản hoặc thách thức làm ảnh hưởng đến tiến độ thực hiện dự án không? Những vấn đề này có được giải quyết không? Nếu có thì cách giải quyết như thế nào? Nếu không, tại sao chúng vẫn chưa được giải quyết?
7. Bạn có cảm thấy là dự án đã được quản lý và thực hiện đạt hiệu quả và hiệu suất không? Tại sao hoặc tại sao không?
8. Việc quản lý dự án có thích ứng, tức là, nếu các trường hợp không lường trước phát sinh, các điều chỉnh đã được thực hiện thành công hay chưa, để giữ cho dự án đi đúng hướng?
9. Dự án có phù hợp với các chính sách và quy hoạch/kế hoạch cấp tỉnh/quốc gia của Việt Nam không (ví dụ: chính sách môi trường, kế hoạch phát triển, v.v.)?
10. Dự án có phù hợp với các chính sách, mục tiêu và chương trình của chính phủ, UNDP, và GEF (ví dụ: Kế hoạch chung của LHQ II 2017-2021, Kế hoạch hành động chương trình quốc gia của UNDP (CPAP), các mục tiêu chương trình chiến lược khu vực trọng điểm của GEF, các chính sách và kế hoạch cấp tỉnh và quốc gia)?
11. Bạn có cảm thấy là lợi ích của dự án sẽ bền vững trong tương lai không?
12. Đây là một số rủi ro chính (ví dụ: môi trường, tài chính, thể chế, kinh tế xã hội) mà bạn cảm thấy có thể đe dọa tính bền vững của dự án?

²⁰ Các câu hỏi trên đây nhằm mục đích hướng dẫn, và có thể được điều chỉnh, tùy thuộc vào đối tượng của các bên liên quan. Ví dụ, trọng tâm của các câu hỏi đặt ra cho các quan chức chính phủ, người thực hiện dự án, quản lý khu bảo tồn hoặc các thành viên cộng đồng có thể khác nhau.

13. Một số bài học chính rút ra từ dự án này (tích cực hoặc tiêu cực) có thể áp dụng cho các dự án tương tự khác trong tương lai là gì?
14. Xin vui lòng cung cấp bất kỳ thông tin nào khác mà bạn cảm thấy có thể quan trọng để giúp đánh giá dự án bảo tồn các khu đất ngập nước.

Cảm ơn bạn đã dành thời gian và sự hợp tác cho việc trả lời bảng câu hỏi.

Summary of Questionnaire Results

The responses to the questionnaires are tabulated below. Due to time limitations and other constraints that arose with respect to the coronavirus pandemic, the consultations were quite limited, with only nine respondents completing the questionnaires. Nonetheless, even within this small group, there was fairly strong consensus about the general performance of the project, with overall praise for its accomplishments, while at the same time acknowledging that certain aspects of project implementation could have been carried out more effectively, which might have improved project performance.

VIET NAM WETLAND PA PROJECT TERMINAL EVALUATION QUESTIONNAIRE FOR STAKEHOLDERS

Responses were received on nine returned questionnaires. The responses are tallied in the tables below.

1. Please describe your responsibilities, involvement in, or knowledge about the project.

2. Do you feel that the project was successful in establishing 2 wetland PAs?

Successful	Not successful	Not sure	No answer	
9				

3. Do you feel that the project was successful in ensuring that there is adequate capacity (within government and local communities) for managing and preserving the PAs?

Successful	Not successful	Not sure	No answer	
7		2		

4. What are some of the strengths which have contributed to the success of the project?

5. What are some of the weaknesses which have prevented the project from being more successful?

6. Do you feel that the project was successful in addressing problems, issues, barriers, or challenges which affected its progress? Have these issues been resolved? If so, how were they resolved? If not, why have they not been resolved?

Successful	Not successful	Not sure	No answer	
7		1	1	

7. Do you feel that the project has been efficiently and effectively managed and implemented? Why or why not?

High efficiency and effectiveness	Rather high efficiency and effectiveness	Average/middle	Low	No answer
5	1		1	2

8. Was the management of the project adaptive, i.e., if unforeseen circumstances arose, were adjustments successfully made, to keep the project on-track?

Successful	Not successful	Not sure	No answer	
6		1	2	

9. Was the project well-aligned with Vietnam's national/provincial policies and plans (e.g., environmental policy, development plans, etc.)?

Well-aligned	Not well-aligned	Not sure	No answer	
9				

10. Was the project well-aligned with government, UNDP, and GEF policies, goals, and programs (e.g., One UN Plan II 2017-2021, UNDP Country Programme Action Plan (CPAP), GEF focal area strategic program objectives, national and provincial government plans and policies)?

Well-aligned	Not well-aligned	Not sure	No answer	
9				

11. Do you feel that the benefits of the project will be sustainable in the future?

Sustainable	Not sustainable	Not sure	No answer	
7		1	1	

12. What are some of the main risks (e.g., environmental, financial, institutional, socioeconomic) that you feel could threaten project sustainability?

Limited financing	Weak capacity	Unstable institution	pollution	Not sure
8	2	2	3	1

Note: One questionnaire may have more than 2 choices

13. What are some of the key lessons to be learned from this project (positive or negative) which could be applied to other similar projects in the future?

14. Were efforts made to ensure that women and/or other vulnerable or marginalized groups could participate in the project, and benefit from it?

Yes	No	Not sure	No answer	
7			2	

15. Was the project successful in providing new or improved opportunities for livelihood? Please describe them.

Successful	Not successful	Relatively successful		
6	1	1		

16. Was the project able to harmonize the establishment of wetland conservation areas, with other surrounding land uses? If there were land use conflicts, how were they resolved?

Yes	No	Not sure	No answer	
7	1	1		

17. What measures are being put in place, to ensure that the wetland conservation areas are not adversely affected by pollution?

18. Do community members living near to the wetland conservation areas understand the purpose of these areas? Are they able to have a voice in decisions about how these areas will be managed?

Yes	No	Not sure	No answer	
9				

19. Please provide any other information which you feel may be important to help evaluate the Wetland PA Project.
-

Annex E: Mission Schedule

Date	Description/time	Agenda	Participants/contact
9 Sep 2020	Orientation meeting (with UNDP) 8:00-9:00	<ul style="list-style-type: none"> Introduction of the project Discuss and agree the schedule of the mission 	<ul style="list-style-type: none"> UNDP <p>Mr. Nguyen Trung Thong Address: 304, Kim Ma, Ngoc Khanh, Ba Dinh, Hanoi</p>
13 Oct 2020	Meeting with ISPONRE and BCA (also PMU and Co-PMU) 8:30-10:00	<ul style="list-style-type: none"> Present progress and achievement of the project Discuss the strengthens/weakness, shortcomings, opportunities, lessons learns, impact, sustainability and other relevant issues of the project Discuss the field trip for consultants to Thai Binh province and Thua Thien Hue province 	<ul style="list-style-type: none"> ISPONRE, BCA <p>Ms. Dang Phuong Ha (ISPONRE) Address: 479 Hoang Quoc Viet, Co Nhue, Cau Giay, Ha Noi.</p>
14 Oct 2020	Meeting with UNDP 8:00-9:00	<ul style="list-style-type: none"> Discuss the Inception report Discuss the planning for the TE Discuss other related matters 	<ul style="list-style-type: none"> UNDP <p>Mr. Nguyen Trung Thong Address: 304, Kim Ma, Ngoc Khanh, Ba Dinh, Hanoi</p>
15 Oct 2020	Meeting with DONRE, Thai Binh province 9:00-11:00	<ul style="list-style-type: none"> Discuss the implementation progress and achievement of the project Discuss the status and management of the WPA and its management board Discuss the strengthens/weakness, shortcomings, opportunities, lessons learns, impact, sustainability and other relevant issues of the project <p>Discuss the field trip to Thai Thuy district</p>	<ul style="list-style-type: none"> Mr. Vu Hai Dang (DONRE) <p>Address: Quang Trung Street, Thai Binh City, Thai Binh province</p>
15 Oct 2020	Meeting with the WPA Management Board 13:30-15:00	<ul style="list-style-type: none"> Discuss the implementation progress and achievement of the project Discuss the status and management of the WPA and its management board Discuss the strengthens/weakness, shortcomings, opportunities, lessons learns, impact, sustainability and other relevant issues of the project 	<ul style="list-style-type: none"> Mr. Bui Van Tinh, WPA Management Board <p>Address: No 1 Le Loi Street, Thai Binh City, Thai Binh province</p>
15 Oct 2020	Meeting with Thai Do commune, Thai Thuy District, Thai Binh province 15:30-17:00	<ul style="list-style-type: none"> Discuss the activities have been implemented during and after the termination of the project. Discuss the progress and achievement of the project Discuss the livelihood models developed in the communes and other relevant issues. Discuss the strengthens/weakness, shortcomings, opportunities, lessons learns, impact, sustainability and other relevant issues of the project 	<ul style="list-style-type: none"> Mr. Ta Duc Hoa, Chair man of the commune <p>Address: Thai Do commune, Thai Thuy district, Thai Binh province</p>
16 Oct 2020	Meeting with Thai Thuy District, Thai Binh	<ul style="list-style-type: none"> Discuss the implementation progress and achievement of the project 	<ul style="list-style-type: none"> Mr. Pham Trung Kien, Vice Head of Division of

Date	Description/time	Agenda	Participants/contact
	province 8:00-9:30	<ul style="list-style-type: none"> Discuss the livelihood models developed in the communes and other relevant issues. Discuss the strengthens/weakness, shortcomings, opportunities, lessons learns, impact, sustainability and other relevant issues of the project 	<p>Natural Resource and Management</p> <p>Address: Diem Dien Town, Thai Thuy District, Thai Binh province</p>
16 Oct 2020	Meeting with Thuy Xuan commune, Thai Thuy District, Thai Binh province 9:30-11:30	<ul style="list-style-type: none"> Discuss the activities were implemented in the communes. Discuss the progress and achievement of the project Discuss the livelihood models developed in the communes Discuss the strengthens/weakness, shortcomings, opportunities, lessons learns, impact, sustainability and other relevant issues of the project 	<ul style="list-style-type: none"> Mr. Le Xuan Hung, Chair person of the commune <p>Address: Thuy Xuan commune, Thai Thuy district, Thai Binh province</p>
23 Oct 2020	Meeting with Mr. Nguyen Van Chiem (independent consultant) 9:00-11:00	<ul style="list-style-type: none"> Discuss the implementation progress and achievement of the project Discuss the status and management of the WPAs and its management board Discuss the strengthens/weakness, shortcomings, opportunities, lessons learns, impact, sustainability and other relevant issues of the project 	<ul style="list-style-type: none"> Mr. Nguyen Van Chiem <p>Address: Ha Noi</p>
23 Oct 2020	Meeting with Mr. Ho Thanh Hai (independent consultant) 15:00-16:30	<ul style="list-style-type: none"> Discuss the implementation progress and achievement of the project Discuss the status and management of the WPAs and its management board Discuss the strengthens/weakness, shortcomings, opportunities, lessons learns, impact, sustainability and other relevant issues of the project 	<ul style="list-style-type: none"> Mr. Ho Thanh Hai <p>Address: Ha Noi</p>
29 Nov 2020	Meeting with consultants working for WPA project in TTH 13:30-15:30	<ul style="list-style-type: none"> Discuss the implementation progress and achievement of the project Discuss the status and management of the WPAs and its management board Discuss strengthens, weakness, shortcomings, opportunities, lessons learns, impact, sustainability... Discuss other relevant issues of the project 	<ul style="list-style-type: none"> Mr. Tran Ho Hai (Planning and Investment Department, TTH). Mr. Luong Quang Doc (Hue Science University, Hue City, TTH). Mr. Dang Ngoc Quoc Hung (Bach Ma National Par, TTH).
30 Nov 2020	Meeting with DONRE and Integrated management coordination Board of Coastal Zone of TTH 8:30-10:00	<ul style="list-style-type: none"> Discuss the implementation progress and achievement of the project Discuss the status and management of the WPAs and its management coordination board Discuss strengthens, weakness, shortcomings, opportunities, lessons learns, impact, sustainability... Discuss other relevant issues of the project 	<ul style="list-style-type: none"> Ms. Nguyen Thi Thanh Thuy, DONRE staff, Provincial project coordinator <p>Address: 115 Nguyen Hue, Hue City, TTH province</p>

Date	Description/time	Agenda	Participants/contact
30 Nov 2020	Meeting with Agricultural Extension Centre (of TTH province) 10:15-11:30	<ul style="list-style-type: none"> Discuss the implementation progress and achievement of the project Discuss the implementation and success, impact and sustainability of livelihood models supported by the project Discuss the status and management of the WPAs and its management coordination board Discuss strengthens, weakness, shortcomings, opportunities, lessons learns, impact, sustainability... Discuss other relevant issues of the project 	<ul style="list-style-type: none"> Ms. Nguyen Thi Huong Giang, Vice Director <p>Address: 14 Phung Hung, Thuan Thanh, Hue City, TTH province</p>
30 Nov 2020	Meeting with Phong Dien district, TTH province 14:00-16:00	<ul style="list-style-type: none"> Discuss the implementation progress and achievement of the project, focusing on activities implemented in the district. Discuss the status and management of the WPAs and its management coordination board Discuss strengthens, weakness, shortcomings, opportunities, lessons learns, impact, sustainability... Discuss other relevant issues of the project 	<ul style="list-style-type: none"> Ms. Nguyen Thi Quynh Chau, official of Sub-DONRE <p>Address: Phong Dien town, Phong Dien district, TTH province</p>
01 Dec 2020	Meeting with Quang Thai commune, Quang Dien district, TTH province 9:00-11:30	<ul style="list-style-type: none"> Discuss the implementation progress and achievement of the project, focusing on activities implemented in the commune Discuss the status and management of the WPAs Discuss strengthens, weakness, shortcomings, opportunities, lessons learns, impact, sustainability... Discuss other relevant issues of the project 	<ul style="list-style-type: none"> Mr. Pham Cong Phuoc, Chair man of the commune <p>Address: Quang Thai commune, Quang Dien district, TTH province</p>
02 Dec 2020	Meeting with Huong Phong commune, Huong Tra town, TTH province 9:00-12:00	<ul style="list-style-type: none"> Discuss the implementation progress and achievement of the project, focusing on activities implemented in the commune Discuss the status and management of the WPAs Discuss strengthens, weakness, shortcomings, opportunities, lessons learns, impact, sustainability... Discuss other relevant issues of the project 	<ul style="list-style-type: none"> Mr. Phan Huu Vinh, Vice Chair man of the commune <p>Address: Huong Phong commune, Huong Tra town, TTH province</p>

Annex F: TE Rating Scales

Rating Project Performance		
Criteria	Comments	
Monitoring and Evaluation: Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall quality of M&E	(rate 6 pt. scale)	
M&E design at project start up	(rate 6 pt. scale)	
M&E Plan Implementation	(rate 6 pt. scale)	
IA & EA Execution: Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall Quality of Project Implementation/Execution	(rate 6 pt. scale)	
Implementing Agency Execution	(rate 6 pt. scale)	
Executing Agency Execution	(rate 6 pt. scale)	
Outcomes Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall Quality of Project Outcomes	(rate 6 pt. scale)	
Relevance: relevant (R) or not relevant (NR)	(rate 2pt. scale)	
Effectiveness	(rate 6 pt. scale)	
Efficiency	(rate 6 pt. scale)	
Sustainability: Likely (L); Moderately Likely (ML); Moderately Unlikely (MU); Unlikely (U).		
Overall likelihood of risks to Sustainability:	(rate 4pt. scale)	
Financial resources	(rate 4pt. scale)	
Socio-economic	(rate 4pt. scale)	
Institutional framework and governance	(rate 4pt. scale)	
Environmental	(rate 4pt. scale)	
Impact: Significant (S), Minimal (M), Negligible (N)		
Environmental Status Improvement	(rate 3 pt. scale)	
Environmental Stress Reduction	(rate 3 pt. scale)	
Progress towards stress/status change	(rate 3 pt. scale)	
Overall Project Results	(rate 6 pt. scale)	

Source: Annex 2, TOR, in UNDP-GEF Guidance for Conducting Terminal Evaluations.

Explanation of ratings

<p><i>Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution:</i></p> <p>6 – Highly Satisfactory (HS): no shortcomings</p> <p>5 – Satisfactory (S): minor shortcomings</p> <p>4 – Moderately Satisfactory (MS)</p> <p>3 – Moderately Unsatisfactory (MU): significant shortcomings</p> <p>2 – Unsatisfactory (U): major problems</p> <p>1 – Highly Unsatisfactory (HU): severe problems</p>	<p><i>Sustainability Ratings:</i></p> <p>4 – Likely (L): negligible risks to sustainability</p> <p>3 – Moderately Likely (ML): moderate risks</p> <p>2 – Moderately Unlikely (MU): significant risks</p> <p>1 – Unlikely (U): severe risks</p>	<p><i>Relevance Ratings:</i></p> <p>2 – Relevant (R)</p> <p>1 – Not Relevant (NR)</p>
<p><i>Additional ratings where relevant:</i></p> <p>Not Applicable (N/A)</p> <p>Unable to Assess (U/A)</p>		

Source: Annex 2, TOR Annex D., in UNDP-GEF Guidance for Conducting Terminal Evaluations.

Annex G: Consultant Code of Conduct Agreement Forms

Evaluation Consultant Code of Conduct Agreement Form

Evaluators:

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

Evaluation Consultant Agreement Form¹

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

Name of Consultant: Pham Duc Chien

Name of Consultancy Organization (where relevant): _____

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

Signed at Ha Noi, Viet Nam on 18 September 2020

Signature:



¹www.unevaluation.org/unegcodeofconduct

Evaluation Consultant Code of Conduct Agreement Form

Evaluators:

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

Evaluation Consultant Agreement Form¹

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

Name of Consultant: James T. Berdach

Name of Consultancy Organization (where relevant): _____

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

Signed at Reston, Virginia USA on 18 September 2020

Signature: _____

¹www.unevaluation.org/unegcodeofconduct

