



BTC VIETNAM
BANKING TRADING COMPANY



RESULTS REPORT 2015

**TECHNICAL SUPPORT UNIT FOR WATER
MANAGEMENT AND URBAN
DEVELOPMENT IN RELATION TO
CLIMATE CHANGE IN THE PROVINCES
OF HA TINH, NINH THUAN AND BINH
THUAN**

TABLE OF CONTENTS

ACRONYMS	4
1 INTERVENTION AT A GLANCE	5
1.1 INTERVENTION FORM	5
1.2 BUDGET EXECUTION	5
1.3 SELF-ASSESSMENT OF PERFORMANCE	6
1.3.1 <i>Relevance</i>	6
1.3.2 <i>Effectiveness</i>	6
1.3.3 <i>Efficiency</i>	7
1.3.4 <i>Potential sustainability</i>	7
1.4 CONCLUSIONS	7
2 RESULTS MONITORING.....	9
2.1 EVOLUTION OF THE CONTEXT	9
2.1.1 <i>General context</i>	9
2.1.2 <i>Institutional context</i>	9
2.1.3 <i>Management context: execution modalities</i>	9
2.1.4 <i>Harmonization context</i>	10
2.2 PERFORMANCE OUTCOME.....	11
2.2.1 <i>Progress of indicators</i>	11
2.2.2 <i>Analysis of progress made</i>	11
2.2.3 <i>Potential Impact</i>	12
2.3 PERFORMANCE OUTPUT 1	13
2.3.1 <i>Progress of indicators</i>	13
2.3.2 <i>Progress of main activities</i>	13
2.3.3 <i>Analysis of progress made</i>	14
2.4 PERFORMANCE OUTPUT 2	17
2.4.1 <i>Progress of indicators</i>	17
2.4.2 <i>Progress of main activities</i>	17
2.4.3 <i>Analysis of progress made</i>	18
2.5 PERFORMANCE OUTPUT 3	19
2.5.1 <i>Progress of indicators</i>	19
2.5.2 <i>Progress of main activities</i>	19
2.5.3 <i>Analysis of progress made</i>	19
2.6 TRANSVERSAL THEMES.....	20
2.6.1 <i>Gender</i>	20
2.6.2 <i>Environment and social issues</i>	20
2.7 RISK MANAGEMENT	21
3 STEERING AND LEARNING	22
3.1 STRATEGIC RE-ORIENTATIONS.....	22
3.2 RECOMMENDATIONS.....	22
3.3 LESSONS LEARNED	22

4	ANNEXES	23
4.1	QUALITY CRITERIA	23
4.2	DECISIONS TAKEN BY THE STEERING COMMITTEE AND FOLLOW-UP	26
4.3	UPDATED LOGICAL FRAMEWORK.....	28
4.4	MORE RESULTS AT A GLANCE	28
4.5	BUDGET AND EXPENDITURE TO 31/12/2015	29

Acronyms

ADB	Asian Development Bank
AFD	Agence Française de Développement
BTC	Belgian Technical Co-operation
CC	Climate Change
CCA	Climate Change Adaptation
DSENRE	Department of Science, Education, Natural Resources and Environment - MPI
GGSF	Green Growth Strategy Facility
GIZ	German Development Agency (<i>Deutsche Gesellschaft für Internationale Zusammenarbeit</i>)
IWRM	Integrated Water Resource Management
M&E	Monitoring and Evaluation
MARD	Ministry of Agriculture and Rural Development
MoC	Ministry of Construction
MoNRE	Ministry of Natural Resources and Environment
MPI	Ministry of Planning and Investment
MTR	Midterm Review
NEX	National Execution
NOL	No Objection Letter
NTA	National Technical Advisor
PCR	Project Completion Report
PCU	Project Coordination Unit
POM	Project Operation Manual
SC	Steering Committee
TAC	Technical Advisory Committee
TFF	Technical and Financial File
TICA	Technical and Institutional Capacity Assessment
ToR	Terms of Reference
TSU	Technical Support Unit
VN	Vietnam
VUF	Vietnam Urban Forum
WB	World Bank
WRM	Water Resource Management

1 Intervention at a glance

1.1 Intervention form

Intervention title	Technical Support Unit for water management and urban development in relation to Climate change in the Provinces of Ha Tinh, Ninh Thuan and Binh Thuan
Intervention code	NN 3012430
NAVISION CODE	VIE 12 045 11
Location	Hanoi
Total budget	4,400,000 EURO
Partner Institution	Ministry of Planning and Investment
Start date Specific Agreement	June 20, 2013
Date intervention start /Opening steering committee	October 16, 2013 (1st SC meeting)
Planned end date of execution period	June 20, 2019
End date Specific Agreement	June 20, 2020
Target groups	
Impact	To contribute to the sustainable development of Vietnam, by enhancing its resilience to Climate Change
Outcome	To strengthen the capacities in climate change management in relation to Integrated Water Resource Management and Urban Development.
Outputs	Expertise is provided to the provinces of Ha Tinh, Ninh Thuan and Binh Thuan
	Coordination at central and provincial level is strengthened
	Knowledge management of the experiences is assured
Year covered by the report	2015

1.2 Budget execution

All amounts in Euro

Budget code	Budget	Disbursement			Balance	Cumulative disbursement fraction at end 2015
		2013	2014	2015		
Total	4,000,000	94,594	424,083	462,905	3,018,417	24.5%
A01	2,910,000	94,594	295,534	392,738	2,127,134	26.9%
A02	147,000	0	5,723	3,180	138,097	6.1%
A03	295,000	0	47,514	37,456	210,030	28.8%
A04	100,000	0	87	0	99,913	0.1%
X	114,900	0	0	0	114,900	0.0%

Z	433,100	0	75,225	29,531	328,343	24.2%
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1.3 Self-assessment of performance

1.3.1 Relevance

	Performance
Relevance	A

As at commencement, the project remains consistent with the priorities of Vietnamese government. The project supports the policies and strategies of Vietnam, including the National Strategy for Climate Change, the National Green Growth Strategy and action plans in sustainable development, climate change adaptation and impact mitigation.

The basic function of the TSU is to provide technical support to implementation at the province level and transfer these messages and outputs for promotion and replication at the national level. The intervention logic therefore remains valid because the issues being addressed in the provinces are highly relevant to national level policies and the kinds of issues which Vietnam is facing as it comes to terms with rapid development, an increased urban population and climate change.

1.3.2 Effectiveness

	Performance
Effectiveness	B

The project Outcome relates to strengthened capacity in climate change response in relation to IWRM and urban development with the target groups being in the provinces and across the national level. In general, the TSU remains on track to achieve this specific objective over the course of the project. In 2015 the human resource capacity of the TSU was greatly strengthened and the project has transitioned from passive role of just responding to requests from provinces, to a more proactive role in showing greater technical leadership and providing a clearer direction for the PCUs.

Challenges remain to ensure that the various activities being implemented in the provinces (such as, studies, capacity building, communications and investments) link together well in a coherent way such that the lessons learned are well-captured and can be communicated broadly. Without vigilance and follow-up from the TSU, the risk remains that the reports from the studies implemented in the provinces will fail to reach their full potential. Connecting the studies to form an integrated approach to CCA, WRM and urban development is a key priority for program effectiveness and the TSU has a vital role in this regard.

The overall program, while already complex in its formulation, has been complicated further due to delays in implementation at the provincial level. To mitigate the impacts of this, and to accelerate the program, the TSU have supported several interventions. This includes support for acceleration in the program of investments, quarterly coordination meetings with each PCU, and the preparation of technical guidance or concept notes on key implementation activities. It is noted though, that effectiveness comes not only from 'ticking off' each activity as it is implemented but also from the broader application of study results and transferral to lessons-learned.

1.3.3 Efficiency

	Performance
Efficiency	B

Delays in implementation, particularly in the early parts of 2015, have hampered progress on some key issues. In the second half of 2015, the outlook improved considerably with the eventual recruitment of a full team of international and national experts in the TSU. The impact of the delays has meant slower than planned implementation of TSU-lead activities in 2015 and consequently a less-than-expected rate of disbursement.

In the latter part of 2015, improvements in the management and coordination of inputs (particularly the human resource inputs) have greatly enhanced the implementation capacity at the TSU. The more pro-active approach adopted by the TSU has resulted improved communication and coordination with the provinces and the more efficient provision of technical advice. This is evident not only in the number of specific examples of advice or support provided but also in the quality of the advice. This has led to an acceleration in the 'No Objection' process as well as the confidence to enhance project planning for 2016 by advancing certain items in the implementation schedule. The potential for delays still exist and vigilance on this will key issue for improving in project efficiency.

1.3.4 Potential sustainability

	Performance
Potential sustainability	B

Success on sustainability will be achieved if the capacity building opportunities and demonstration value of the province-led activities are realized. The potential for sustainability therefore remains quite high (but not without some risks).

The issues targeted in the program – CCA, IWRM, and sustainability in urban development – are key priorities in government at all levels therefore there is a strong potential that (if well delivered) the messages from the program will be well received. Avoiding risks of sub-optimal sustainability requires a clear engagement with key stakeholders to ensure ownership and, where possible, enhance existing systems (rather than establishing unsustainable parallel systems).

In 2015, while the activities in the provinces are still incomplete, engagement with stakeholders at the national level is at an early stage. In 2016 engagement with national level stakeholders will be expanded to commence discussions on potential lessons with respect to ministry level practices and policies. The situation is similar at the provincial level. This coming year (2016) will see greater involvement with provincial level stakeholders in activities such as climate vulnerability assessment, adaptation planning and improved spatial planning of urban areas. On-going monitoring of sustainability issues therefore will be important for 2016.

1.4 Conclusions

Overview

In overview, 2015 was a transitional year for the TSU and the overall climate change program. While the year started slowly due to the combined impacts of a changeover in international co-coordinator and a slower than planned recruitment of national experts, the year finished with a much brighter outlook. A full-compliment of well-qualified

international and national experts has now been recruited and coordination and cooperation mechanisms both within the TSU and with the provincial coordination units have been greatly improved. At a technical level, the TSU now has a much more proactive approach towards delivering technical services to the provinces and at the organizational level, there is improved communication and coordination with the national level partner. Although not without on-going risks, the outlook is positive for accelerated implementation in 2016.

Project Framework

The project's logical framework as set out in the TFF remains valid and relevant. As an on-going process activities are reviewed yearly and amended accordingly.

At the institutional level coordination between the TSU, BTC, MPI and the PCUs have improved. Systems for more open and clearer communication and coordination have been established which are serving to unblock the bottlenecks and roadblocks of the past. Solutions do not happen overnight, and vigilance remains a requirement to ensure that emerging issues and concerns are resolved quickly and amicably. Completion of the POM (to be approved early in 2016) greatly contributes to a clearer understanding of organizational relationships.

Disbursement

Disbursement in 2015 was 64.5% of plan. The less than expected disbursement rate was due to:

- Later than expected approval of the annual procurement plan which delayed recruitment of national experts. This impacted both on the disbursement of salary and the disbursement of allowances and travel costs.
- Less than expected progress on provincial level activities, which delayed some the TSU's planned activities such as workshops to disseminate results and support for academic studies

National execution official	BTC execution official
 <p>Nguyen Tuan Anh Deputy Director PMU TSU</p>	

2 Results Monitoring

2.1 Evolution of the context

2.1.1 General context

The year 2015 was a landmark year in international cooperation in climate change. The COP21 held in December resulted in a Paris Agreement; a legally binding requirement for the post 2020 global regime, including mitigation, adaptation, loss & damage, finance, technology, capacity, education, transparency, stocktaking, compliance, procedural issues, and institutional arrangements. The Agreement marks the completion of a decade-long transition from a top down binding regime focused on developed country mitigation to a bottom up and largely non-binding approach to global cooperation on climate change¹.

The significance of this event was that Vietnam played a prominent role with strong backing from the central government, thus affirming the significant role of climate change in the national policy agenda. In this context, the Climate Change Program remains a significant and highly relevant initiative.

2.1.2 Institutional context

The institutional context remains largely unchanged since the formulation of the project. At a basic structural level the Project is housed within the Department of Science, Education, Natural Resources and Environment (DSENRE) in the Ministry of Planning and Investment (MPI) with direct linkages to the other key relevant ministries, Ministry of Construction (MoC) and Ministry of Natural Resources and Environment (MoNRE). These ministries remain highly relevant to decision making and development of policy with regard to climate change, IWRM and urban planning.

In addition, the Climate Change Program maintains strong links with the sister program in the BTC's Vietnam portfolio, the Green Growth Support Facility (GGSF). In 2015, specific links included joint cooperation with MPI for the 4th National environment conference in September.

2.1.3 Management context: execution modalities

The execution modality for the TSU comprises a combination of Own Management, Co-Management and Counterpart contribution. The modality arrangements have not changed during implementation.

During the reporting period, the modality has not been a limiting factor on implementation. Levels of cooperation and coordination between the partners are high and there are few reasons for concern. This spirit of cooperation was demonstrated by the positive mood expressed by MPI during a joint Project Steering Committee meeting² held in September. Commitment to the objectives of the program remains high with all government partners.

¹ Doelle, Meinhard 2015 Draft working paper on "The Paris Agreement: Historic Breakthrough or High Stakes Experiment?" Schulich School of Law Dalhousie University, Halifax, Canada. <http://ssrn.com/abstract=2708148>

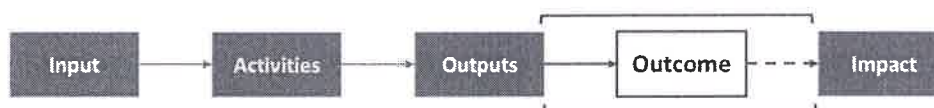
² The joint meeting held in September 2015 including a simultaneous meeting of the Steering Committees of all four projects in the Climate Change Program (TSU, Ha Tinh, Ninh Thuan and Binh Thuan)

2.1.4 Harmonization context

Since the TSU project is mostly in co-management, the majority of the implementation process remains in harmony with the Vietnamese system. It has been identified that since the co-management budget lines are regulated both by Vietnamese procurement law and (in part) by BTC's procurement thresholds, a dual process of approval exists. Close cooperation and good communication between all parties is required to avoid disagreements or misunderstandings which may delay procurement processes.

Due to the clear linkages in scope and geographical context, harmonization is also achieved between the TSU and provincial projects and BTC's GGSF project. Communication and collaboration with other actors, such as, World Bank, ADB, GIZ, and AFD is also fostered through participation in the forums, conferences and other even

2.2 Performance outcome



2.2.1 Progress of indicators

The finalization of the M&E system, including the establishment of the baseline and the monitoring matrix, has taken much longer than expected, both in the TSU and in the provinces.

To address this issue an M&E training workshop was held in Hanoi on 8-10 December 2015 for the TSU plus the three provinces. The principal output was an overall system for M&E that is consistent, manageable and project owned. In this Results Report for 2015, the description of performance with regard to Outcomes and Outputs refers to the latest revised indicators and monitoring matrix as developed in December 2015. It is expected that this revised system will be formally approved at the next SC meeting in 2016.

At the time of writing, the Baseline Report was yet to be completed therefore baseline and target values remain incomplete. In some cases, indicative values have been adopted, but these are still to be considered preliminary.

It is noted that the Results Report for 2014 refers to a different, earlier set of indicators. In a review conducted in 2015, it was considered that these indicators were largely unworkable or failed to provide sufficient useful information for monitoring and ensuring accountability. Based on the revision conducted the latter part of 2015, the current monitoring matrix aims to streamline the process of ensuing a manageable and informative M&E framework.

OUTCOME : To strengthen the capacities in climate change management of Vietnam in relation to integrated water resource management and urban development in particular in the provinces of Ninh Thuan, Binh Thuan and Ha Tinh					
Indicators	Baseline value	Value year N-1	Value year N	Target year N	End Target
Indicator O-1: Sample evidence of increased CC management capacity	0	0	0	tbd ^A	tbd
Indicator O-2: Measurable increase in institutional capacity	0	0	0	tbd	tbd

Note: A – tbd = to be determined

2.2.2 Analysis of progress made

At the Outcome level, the expectation is that the TSU project will influence the capacity in Vietnam for climate change management, particularly in relation to water resource management and urban development. Since the activities of the provinces will have the greatest effect in this regard, it is the role of the TSU to provide technical support to the implementation of province level activities and to promote key messages and lessons learned to a broader audience in Vietnam. This learning-through-demonstration approach is expected to raise awareness at higher levels of the merits of a comprehensive approach to water resource management and urban planning with a climate change focus.

In 2015, many activities at the province level remained as work-in-progress, therefore it is premature for the TSU to reflect on these to draw attention to their conclusions. Activities currently underway include the studies for climate change downscaling, hydrologic and hydraulic modelling, technical and institutional capacity assessment, mangroves (in Ha Tinh province), and the socio-economic survey/assessment.

It has been the role of the experts in the TSU to support the preparation and technical review of these studies. It is anticipated that during 2016 (and, in some cases, into 2017) most studies will be completed, therefore the coming year will see more direct achievements towards influencing the expected project outcome.

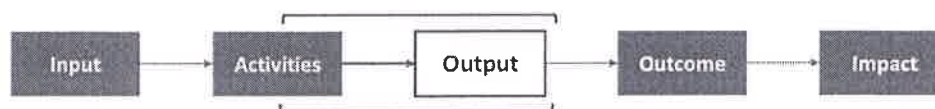
It is noted that it is near impossible to pre-determine how a measurable change in the capacity in climate change management will manifest itself, therefore the indicators rely on 'sample evidence' which may be collected opportunistically. For example, sample evidence may include statements in the press, or decisions of government, which reflect a noticeable improvement of climate change management with respect to IWRM or urban development. Another example may be the roll-out of a similar approach to CCA planning or urban planning in another province that has clearly brought forward lessons from the work in 3 the program provinces.

2.2.3 Potential Impact

The expected impact in the project's sphere of interest is *to contribute to the sustainable development of Vietnam by enhancing its resilience to Climate Change*. Based on the work undertaken to date and the overall framework of the program, expectations with respect to this general objective remain valid. In particular, the thorough approach taken towards vulnerability assessment, climate change action plan preparation and modern approaches to urban planning in respect climate change are expected to provide valuable and transferrable lessons for Vietnam as a whole. It is reasonable to expect that reflection and dissemination of these (and other) lessons learned will contribute to enhanced resilience to climate change in Vietnam.

As with the Outcome Indicators, it is not possible to predict how the Impact of the project will be manifested. It is expected that sample evidence will be collected opportunistically to demonstrate positive validation of the expected Impact. This evidence will be sought during the following few years of project implementation.

2.3 Performance Output 1



2.3.1 Progress of indicators

OUTPUT 1 : Timely and appropriate expertise is provided in a more cost efficient way to the provinces of Ninh Thuan, Binh Thuan, and Ha Tinh					
Indicators	Baseline value	Value year N-1	Value year N	Target year N	End Target
<i>Indicator 1.1: Accomplishment of the TSU's actual deliverables compared with planned</i>	n.a.	-	95%	90%	90%
<i>Indicator 1.2: Number of staff and stakeholders trained in activities coordinated by the TSU</i>	0	-		tbd	tbd
<i>Indicator 1.3: Average change in scores on entry and exit tests</i>	0	-	n.a.	50%	50%
<i>Indicator 1.4: Level of satisfaction, particularly regarding timeliness and appropriateness of support</i>	tbd	-	tbd	tbd	tbd

2.3.2 Progress of main activities

Progress of <u>main</u> activities	Progress Rating¹			
	A	B	C	D
Activity A01.01: Technical support to the 3 provinces				
<i>Activity A01.01.01: Recruitment of international technical assistance</i>		✓		
<i>Activity A01.01.02: Recruitment of Vietnamese technical assistance</i>		✓		
<i>Activity A01.01.03: Recruitment of international and national consultants</i>		✓		
<i>Activity A01.01.04: Training on project management</i>		✓		
Activity A02.01: Studies and implementation of provincial action plans				
<i>Activity A02.01.01: Support for preparation and review of ToR for studies.</i>		✓		
<i>Activity A02.01.02: Support for revision of CC action plans</i>			✓	
<i>Activity A02.01.03: Guidance for the 3 provinces to develop a data collection strategy (protocol, tools for collection and analysis...)</i>		✓		
<i>Activity A02.01.04: Technical support during implementation of studies in the provinces</i>		✓		
<i>Activity A02.01.05: Advice on the revision of Master plans</i>			✓	
<i>Activity A02.01.06: Support to capacity development of staff</i>		✓		

Note 1. Progress is rated according to the following scale:

- A: The activities are ahead of schedule
- B: The activities are on schedule
- C: The activities are delayed, corrective measures are required.
- D: The activities are seriously delayed (more than 6 months). Substantial corrective measures are required

2.3.3 Analysis of progress made

Activity A01.01.01: Recruitment of international technical assistance

- International Co-coordinator and Integrated Water Engineering Advisor recruited and commenced in March 2015
- International Climate Change and Hydrology Specialist recruited and commenced in May 2015

Remarks:

Activity is on-track – both international technical assistants recruited and commenced.

Activity A01.01.02: Recruitment of Vietnamese technical assistance

- Of the 11 planned positions for Vietnamese technical assistance, four were recruited prior to 2015; Administration and Finance Officer, Secretary/Translator, Cashier/Admin assistant, and Driver.
- During 2015, five key technical positions were recruited; IWRM advisor, CC and Environment Advisor, Data Management and GIS Expert, M&E Specialist, and Team for Communication and Community Development.
- The remaining two positions will be recruited later, as according to plan. These positions, advisor on Green Architecture and Sustainable Planning (in 2016) and Water Engineering Advisor (in 2017)

Remarks:

Due to the slower than expected approval of the procurement plan, the activity was initially delayed during the first part of 2015 but is now on-track.

Activity A01.01.03: Recruitment of international and national consultants

- Four specific roles are a planned for this activity. A fifth role is flexible to adapt to the needs of the project.
- One of the positions, International Consultant for Hydraulics, completed his assignment in 2014.
- The team of national experts for CC and hydraulic modelling for quality assurance was recruited and commenced mid-2015.
- Other positions, such as national specialist for mangroves, national website specialist, and international town-planner will be recruited, as needed, in 2016

Remarks:

The activity is on-track.

Activity A01.01.04: Training on Project Management

- In 2015, training has been provided by the TSU for communications and community development, baseline preparation and M&E

Remarks:

The activity is on-track. Additional training project management and technical issues is to be rolled-out in 2016.

Activity A02.01.01: Support for preparation and review of ToR for studies

In 2015, experts from the TSU supported the provinces with technical advice on TORs for a total of 22 specific items. These are listed as follows:

Ha Tinh	Ninh Thuan	Binh Thuan
Academic research program	CC downscaling	CC downscaling
Development of criteria and standard designs for eco-house	Hydrology/hydraulics	Hydrology/hydraulics
Credit fund management regulations	Salinity study	Salinity and coastal stability study
Workshop awareness raising on CC, IWRM and urban devel.	Study for Early Warning System and GIS data management	Socio-economic & baseline study
Socio-economic & baseline study	Academic research program	Technical and institutional capacity development
Consultant for IWRM	Workshop CC and water resources management	Consultant for Communications and Community Development
Consultant for Communications and Community Development	Socio-economic & baseline study	
	Technical and institutional capacity development	
	Consultant for Communications and Community Development	

Remarks:

The activity is on-track. The TSU have in general responded promptly with requests for support from provinces (and from BTC) in relation to preparation for studies. Since the latter part of 2015 and moving into 2016, a more proactive approach has been adopted to accelerate the program of studies as implemented in the provinces. For example, the TSU international and national experts have been researching and investigating methodologies and approaches to ensure smooth and timely implementation of some of the more complex activities such as the vulnerability assessment (which integrates the results from many of the on-going studies), the climate change action planning, and the revision of the urban master plans. Other key areas being investigated relate to partnering for the academic studies and the establishment of river basin organizations in the local context.

Activity A02.01.02: Support for preparation/revision of CC action plans

The activity for the revision of CC action plans is largely contingent on obtaining the results from various other studies, such as, CC downscaling, hydrology/hydraulics, salinity, socio-economic survey, and the vulnerability assessment. While the main action for the revision of the CC action plans is delayed pending the outcomes of these studies, actions have commenced already for data identification and collection and early preparation of TORs.

Remarks:

The activity is delayed due to slower than expected implementation of predecessor studies in the provinces. A more pro-active approach has been adopted in the TSU to avoid further delays. A decision has been made to bring forward the selection process for the pilot investments in the project to ensure that delays in studies will not be allowed to delay implementation of the major investments.

Activity A02.01.03: Guidance for the 3 provinces to develop a data collection strategy (protocols, tools for collection and analysis...)

Activity commenced in each province with the support of the national GIS specialist.

Remarks:

The activity is on-track and in time to support other activities such as CC action planning and urban planning.

Activity A0.02.04: Technical support during implementation of studies in the provinces

In 2015, experts from the TSU supported the provinces with technical advice for implementation of the following studies:

Ha Tinh	Ninh Thuan	Binh Thuan
CC downscaling Hydrology/hydraulics Socio-economic & baseline study Technical and institutional capacity development (TICA)	Technical and institutional capacity development	Technical and institutional capacity development Drainage planning for Cho Lau town, Bac Binh District

Advice and support included specific feedback and guidance to consultants for example with regard to the CC downscaling and Hydrology/Hydraulics studies. The international and national experts have helped facilitate several meetings to promote discussion and provide advice on a variety of technical challenges.

Remarks:

While the activity in-general is behind schedule to the later than expected commencement of studies in the provinces, the role of the TSU has been carried out to a high standard. Particularly since the mobilization of a full-compliment of international and national experts, the TSU has been able to provide expert advice in a timely fashion to support unhindered implementation of the studies. Provision of technical advice is obviously contingent on progress with procurement of the studies. As indicated above, the TSU also provides support to the development of TORs and the overall procurement process.

Activity A02.01.05: Advice on the revision of Master plans

This activity has not yet commenced because it is contingent on the outcomes of various other studies such as CC downscaling, hydrology/hydraulics, salinity, socio-economic survey, etc... In preparation for this activity, the TSU will engage international and national consultants in early 2016 to support development of a concept note and TOR for the revision of the master plans.

Remarks:

The activity is delayed pending completion of various other studies.

Activity A02.01.06: Support to capacity development of staff

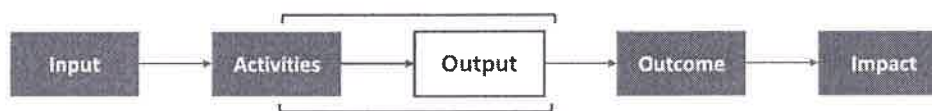
As mentioned in Activity A01.01.04, training for staff on project management has been provided by the TSU in 2015 for communications and community development, baseline preparation and M&E.

In 2016 the TSU will also identify key issues for additional capacity development for staff of the PCUs. Training will be provided by TSU experts in areas such as CC science, fundamentals of hydrology and hydraulics, flood risk management and principles for risk management through spatial planning..

Remarks:

The activity is generally on-track. Training to be provided as needs are identified.

2.4 Performance Output 2



2.4.1 Progress of indicators

OUTPUT 2 : Co-ordination between central and provincial level is strengthened					
Indicators	Baseline value	Value year N-1	Value year N	Target year N	End Target
<i>Indicator 2.1: Number of the TSU activities involving stakeholders at different levels (central, provincial, etc.)</i>	0	n.a.	7	tbd	tbd
<i>Indicator 2.2: Level of satisfaction, particularly regarding quality of coordination between central and provincial level</i>	tbd	n.a.	tbd	tbd	tbd

2.4.2 Progress of main activities

Progress of <u>main</u> activities	Progress Rating ¹			
	A	B	C	D
Activity A03.01: Situation analysis				
<i>Activity A03.01.01: Review of role and responsibilities of national and provincial actors & development of a coordination strategy</i>		✓		
Activity A03.02: Advisory committee				
<i>Activity A03.02.01: Advisory Committee Establishment</i>				
Activity A03.03: Strengthen collaboration and information mechanisms				
<i>Activity A03.03.01: Training and experience sharing with working groups of national & provincial agencies</i>		✓		
<i>Activity A03.03.02: Data collection at national level</i>		✓		
<i>Activity A03.03.03: National and international study tours in coordination with 3 Provinces</i>		✓		
<i>Activity A03.03.04: Organization of workshops, seminars at national level for both national and provincial agencies</i>		✓		
Activity A03.04: Networking				
<i>Activity A03.04.01: Contribution to the Vietnam Urban Forum (VUF)</i>		✓		
<i>Activity A03.04.02: Coordination with academic institutes</i>			✓	

Note 1. Progress is rated according to the following scale:

- A: The activities are ahead of schedule
- B: The activities are on schedule
- C: The activities are delayed, corrective measures are required.
- D: The activities are seriously delayed (more than 6 months). Substantial corrective measures are required

2.4.3 Analysis of progress made

Activity A03.01.01: Review of role and responsibilities of national and provincial actors & development of a coordination strategy

This task was repurposed to provide opportunity for dissemination and communication of policy and guidance in a top-down way from Ministry to provincial level. In particular, this includes advice on climate change action planning (from MONRE) and coordination of river basin management activities (from MONRE and MARD). An initial review was completed in 2015. A workshop on river basin management is to be organized in Q1 2016.

Activity A03.02.01: Advisory committee establishment

In the absence of a strong and well-identified need, the establishment of a technical advisory committee (TAC) has been postponed. The draft POM foresees no role for a TAC.

Activity A03.03.01: Training and experience sharing with working groups of national & provincial agencies

No specific actions in 2015. Training for provincial agencies is considered an activity for the provincial level projects. Training of project staff is covered under activity A02.01.06.

Experience sharing activities to be undertaken in 2016 or later as lessons learned are captured from provincial level activities. This activity overlaps with A03.03.03.

Activity A03.03.02: Data collection at national level

No specific actions planned or implemented in 2015. Planning for 2016 includes acquisition of base map GIS data for each project province.

Activity A03.03.03: National and international study tours

Study tour to Australia was conducted in October 2015. Tour included 5 representatives from MPI plus three each from Ninh Thuan and Binh Thuan.

Activity A03.03.04: Organization of workshops, seminars at national level for both national and provincial agencies

No national level workshops or seminars were planned or implemented in 2015. A series of technical workshops are foreseen for 2016, including topics such as, river basin management, approaches to vulnerability assessment, integration of green growth concepts in urban planning.

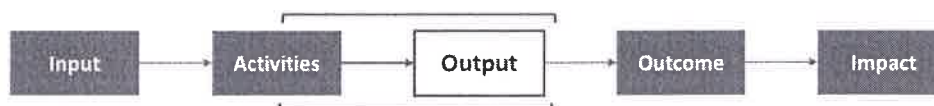
Activity A03.04.01: Contribution to the VUF

Since January 2015 the project supports salary and allowances for the VUF coordinator based in the Ministry of Construction. Activities supported included National VUF seminar in June 2015 and a seminar on "Urban building toward green growth of Vietnam – 2015", in November.

Activity A03.04.02: Coordination with academic institutes

No specific actions planned or implemented in 2015. Planning for 2016 includes preparation for technical seminars to bring together researchers from the three provincial projects.

2.5 Performance Output 3



2.5.1 Progress of indicators

OUTPUT 3 : Knowledge management of the experiences is assured.					
Indicators	Baseline value	Value year N-1	Value year N	Target year N	End Target
<i>Indicator 3.1: Number of documents prepared or coordinated by the TSU to capitalize knowledge / lessons learned</i>	0	n.a.	0	tbd	tbd
<i>Indicator 3.2: Level of satisfaction, particularly regarding quality of knowledge management</i>	tbd	n.a.	tbd	tbd	tbd

2.5.2 Progress of main activities

Progress of <u>main</u> activities	Progress Rating ¹			
	A	B	C	D
Activity A04.01: Capacity building in M&E in CC				
<i>Activity A04.01.01: Capacity building in M&E in CC with IT tool, training and consultancy</i>		✓		
Activity A04.02: Production and dissemination of lessons learned				
<i>Activity A04.02.01: Collection of experiences, production concept notes</i>		✓		
<i>Activity A04.02.02: Dissemination of lessons learned</i>		✓		

Note 1. Progress is rated according to the following scale:

- A: The activities are ahead of schedule
- B: The activities are on schedule
- C: The activities are delayed, corrective measures are required.
- D: The activities are seriously delayed (more than 6 months). Substantial corrective measures are required

2.5.3 Analysis of progress made

Activity A04.01.01: Capacity building in M&E in CC with IT tool, training and consultancy

No specific actions planned or implemented in 2015. Planning for 2016 includes consultation with provincial projects and partners on the appropriateness of a centralized tool for CC M&E. Depending on the consensus of discussions, this may lead to the development of a concept note for tool selection, data gathering and implementation.

Activity A04.02.01: Collection of experiences, production concept notes

Activity A04.02.02: Dissemination of lessons learned

No specific actions planned or implemented in 2015. Lessons learned will emerge with continued progress at the provincial level. Planning in 2016 anticipates that lessons learned, particularly on CC downscaling, flood modelling and vulnerability assessment will become available towards the end of 2016.

2.6 Transversal Themes

2.6.1 Gender

While activities with a specific gender focus are yet to be planned, gender has been identified as an important issue in the communications and community development activities. In particular, this includes identification of means of receiving communication messages and participating in community activities which are specific to women.

In the poorer rural areas, women conduct a large proportion of manual labour in the fields as well as look after the household. In recognition of this, the poor housing credit schemes in Ha Tinh and Ninh Thuan have been established with a specific gender focus. In both these locations credit fund management is to be led by the Women's Union due to their strong track record in being able to support families well and ensure funds are well utilized.

2.6.2 Environment and social issues

Environment and social issues will emerge as key issues during the process of selection of investments and the activities for CC action plan preparation and the revision of urban master plans. It is envisaged that in 2016 the risk of adverse environmental or social impact will be a key issue in the selection and concept design of investments.

2.7 Risk management

Identification of risk or issue			Analysis of risk or issue			Deal with risk or issue			Follow-up of risk or issue	
Risk description	Period of identification	Category	Likelihood	Potential impact	Total	Action(s)	Resp.	Deadline	Progress	Status
Poor coordination between the TSU and the provincial project activities	2013-2015	OPS	Medium	Medium	Medium Risk	Establish process of annual planning for projects with program approach through POM. Enhance regular (weekly and quarterly) reporting within TSU and with PCUs	TSU & PCUs	Dec-15	TSU's role of coordination has been improved by supporting PCUs in setting their annual operation plans and BTC. New systems have been established for quarterly assistance with program planning in PCUs and TSU and weekly sharing of TSU action plan with PCUs	Risk management measure in place. Continue to monitor situation
Different interpretation of project modalities Co-management versus NEX	2013-2015	OPS	Low	Medium	Low Risk	Clarification provided in the POM	TSU	Jan-16	Clarity will be provided in the POM but this issue does not impact seriously the project implementation. This risk can be eliminated.	Risk management measure in place. Continue to monitor situation
Differences in capacity and intensity of activity between each PCU creates difficulty for a uniform approach in the TSU	2014-2015	OPS	Medium	Medium	Medium Risk	TSU to work closely with PCUs to identify where capacity is lacking or other issues that might cause delay.	TSU & PCUs	Dec-15	With the recruitment of a full team of international and national experts in the TSU, it is now possible to provide more active support to the PCUs. While it is difficult to make up for time lost, the new approach will seek to minimize potential for further delay in provincial activities.	Risk management measure in place. Continue to monitor situation
Delays to the implementation of TSU activities carrying forward from slow progress in the provincial projects	2014-2015	OPS	Medium	Medium	Medium Risk	Maintain close communication with PCUs to anticipate potential problems or delays. Proactively tackle likely issues	TSU & PCUs	Dec-15	New systems have been established for quarterly assistance with program planning in PCUs and TSU and weekly sharing of TSU action plan with PCUs. Based on lessons from activities to date, it is now easier to anticipate and address the problems which may cause delay.	Risk management measure in place. Continue to monitor situation
Delays to the approval of the TSU procurement plan	2015	OPS	Low	Medium	Low Risk	Enhance Cooperation between TSU, DSENRE and MPI	TSU	Mar-16	2016 procurement plan to be completed in Mar-2016. Slow approval of the procurement plan is a known issue, but measures are in place to limit the potential impact of implementation of TSU activities.	Risk management measure in place. Continue to monitor situation

3 Steering and Learning

3.1 Strategic re-orientations

In the latter part of 2015, new systems were established to enhance communication and cooperation between the TSU and the project provinces. The impact of this has been better understanding and an appreciation that there are opportunities to accelerate progress of the procurement of several studies that were planned for later in the program. The TSU now has a full complement of international and national experts and is able to provide high-quality and timely advice to the PCUs.

The level of cooperation and its effectiveness will be monitored to regularly check on its level of success. Provided that the systems are working no further re-orientation is foreseen.

3.2 Recommendations

Continue to monitor implementation progress and review project management arrangements if further action is required.

3.3 Lessons Learned

Lessons learned	Target audience
A proactive approach to problem solving is required to ensure good planning and preparation. Advice from TSU experts should provide guidance to the PCUs in a timely fashion to allow for the long lead times for procurement (which seem inevitable).	TSU, PCUs
Consensus on objective and cooperation/supporting relationships within the program/project is necessary	TSU, PCUs
Enhance communication mechanisms between all parties – TSU, PCUs, BTC – to ensure clear understanding and timely action .	TSU
Enhance project management and implementation capacity. Enhance technical capacity in PCUs.	TSU, PCUs

4 Annexes

4.1 Quality criteria

1. RELEVANCE: The degree to which the intervention is in line with local and national policies and priorities as well as with the expectations of the beneficiaries				
<i>In order to calculate the total score for this quality criterion, proceed as follows: 'At least one 'A', no 'C' or 'D' = A; Two times 'B' = B; At least one 'C', no 'D' = C; at least one 'D' = D</i>				
Assessment RELEVANCE: total score	A	B	C	D
	✓			
1.1 What is the present level of relevance of the intervention?				
✓	A	Clearly still embedded in national policies and Belgian strategy, responds to aid effectiveness commitments, highly relevant to needs of target group.		
	B	Still fits well in national policies and Belgian strategy (without always being explicit), reasonably compatible with aid effectiveness commitments, relevant to target group's needs.		
	C	Some issues regarding consistency with national policies and Belgian strategy, aid effectiveness or relevance.		
	D	Contradictions with national policies and Belgian strategy, aid efficiency commitments; relevance to needs is questionable. Major adaptations needed.		
1.2 As presently designed, is the intervention logic still holding true?				
	A	Clear and well-structured intervention logic; feasible and consistent vertical logic of objectives; adequate indicators; Risks and Assumptions clearly identified and managed; exit strategy in place (if applicable).		
✓	B	Adequate intervention logic although it might need some improvements regarding hierarchy of objectives, indicators, Risk and Assumptions.		
	C	Problems with intervention logic may affect performance of intervention and capacity to monitor and evaluate progress; improvements necessary.		
	D	Intervention logic is faulty and requires major revision for the intervention to have a chance of success.		

2. EFFICIENCY OF IMPLEMENTATION TO DATE: Degree to which the resources of the intervention (funds, expertise, time, etc.) have been converted into results in an economical way				
<i>In order to calculate the total score for this quality criterion, proceed as follows: 'At least two 'A', no 'C' or 'D' = A; Two times 'B', no 'C' or 'D' = B; at least one 'C', no 'D' = C; at least one 'D' = D</i>				
Assessment EFFICIENCY : total score	A	B	C	D
		✓		
2.1 How well are inputs (financial, HR, goods & equipment) managed?				
	A	All inputs are available on time and within budget.		
✓	B	Most inputs are available in reasonable time and do not require substantial budget adjustments. However there is room for improvement.		
	C	Availability and usage of inputs face problems, which need to be addressed; otherwise results may be at risk.		
	D	Availability and management of inputs have serious deficiencies, which threaten the achievement of results. Substantial change is needed.		

2.2 How well is the implementation of activities managed?	
	A Activities implemented on schedule
✓	B Most activities are on schedule. Delays exist, but do not harm the delivery of outputs
	C Activities are delayed. Corrections are necessary to deliver without too much delay.
	D Serious delay. Outputs will not be delivered unless major changes in planning.
2.3 How well are outputs achieved?	
	A All outputs have been and most likely will be delivered as scheduled with good quality contributing to outcomes as planned.
✓	B Output delivery is and will most likely be according to plan, but there is room for improvement in terms of quality, coverage and timing.
	C Some output are/will be not delivered on time or with good quality. Adjustments are necessary.
	D Quality and delivery of outputs has and most likely will have serious deficiencies. Major adjustments are needed to ensure that at least the key outputs are delivered on time.

3. EFFECTIVENESS TO DATE: Degree to which the outcome (Specific Objective) is achieved as planned at the end of year N				
<i>In order to calculate the total score for this quality criterion, proceed as follows: 'At least one 'A', no 'C' or 'D' = A; Two times 'B' = B; At least one 'C', no 'D' = C; at least one 'D' = D</i>				
Assessment EFFECTIVENESS : total score	A	B	C	D
		✓		
3.1 As presently implemented what is the likelihood of the outcome to be achieved?				
	A	Full achievement of the outcome is likely in terms of quality and coverage. Negative effects (if any) have been mitigated.		
✓	B	Outcome will be achieved with minor limitations; negative effects (if any) have not caused much harm.		
	C	Outcome will be achieved only partially among others because of negative effects to which management was not able to fully adapt. Corrective measures have to be taken to improve ability to achieve outcome.		
	D	The intervention will not achieve its outcome unless major, fundamental measures are taken.		
3.2 Are activities and outputs adapted (when needed), in order to achieve the outcome?				
	A	The intervention is successful in adapting its strategies / activities and outputs to changing external conditions in order to achieve the outcome. Risks and assumptions are managed in a proactive manner.		
✓	B	The intervention is relatively successful in adapting its strategies to changing external conditions in order to achieve its outcome. Risks management is rather passive.		
	C	The intervention has not entirely succeeded in adapting its strategies to changing external conditions in a timely or adequate manner. Risk management has been rather static. An important change in strategies is necessary in order to ensure the intervention can achieve its outcome.		
	D	The intervention has failed to respond to changing external conditions, risks were insufficiently managed. Major changes are needed to attain the outcome.		

4. POTENTIAL SUSTAINABILITY: The degree of likelihood to maintain and reproduce the benefits of an intervention in the long run (beyond the implementation period of the intervention).				
<i>In order to calculate the total score for this quality criterion, proceed as follows: At least 3 'A's, no 'C' or 'D' = A ; Maximum two 'C's, no 'D' = B; At least three 'C's, no 'D' = C ; At least one 'D' = D</i>				
Assessment POTENTIAL SUSTAINABILITY : total score	A	B	C	D
		✓		
4.1 Financial/economic viability?				
	A	Financial/economic sustainability is potentially very good: costs for services and maintenance are covered or affordable; external factors will not change that.		
✓	B	Financial/economic sustainability is likely to be good, but problems might arise namely from changing external economic factors.		
	C	Problems need to be addressed regarding financial sustainability either in terms of institutional or target groups costs or changing economic context.		
	D	Financial/economic sustainability is very questionable unless major changes are made.		
4.2 What is the level of ownership of the intervention by target groups and will it continue after the end of external support?				
	A	The steering committee and other relevant local structures are strongly involved in all stages of implementation and are committed to continue producing and using results.		
✓	B	Implementation is based in a good part on the steering committee and other relevant local structures, which are also somewhat involved in decision-making. Likelihood of sustainability is good, but there is room for improvement.		
	C	The intervention uses mainly ad-hoc arrangements and the steering committee and other relevant local structures to ensure sustainability. Continued results are not guaranteed. Corrective measures are needed.		
	D	The intervention depends completely on ad-hoc structures with no prospect of sustainability. Fundamental changes are needed to enable sustainability.		
4.3 What is the level of policy support provided and the degree of interaction between intervention and policy level?				
	A	Policy and institutions have been highly supportive of intervention and will continue to be so.		
✓	B	Policy and policy enforcing institutions have been generally supportive, or at least have not hindered the intervention, and are likely to continue to be so.		
	C	Intervention sustainability is limited due to lack of policy support. Corrective measures are needed.		
	D	Policies have been and likely will be in contradiction with the intervention. Fundamental changes needed to make intervention sustainable.		
4.4 How well is the intervention contributing to institutional and management capacity?				
	A	Intervention is embedded in institutional structures and has contributed to improve the institutional and management capacity (even if this is not an explicit goal).		
✓	B	Intervention management is well embedded in institutional structures and has somewhat contributed to capacity building. Additional expertise might be required. Improvements in order to guarantee sustainability are possible.		
	C	Intervention relies too much on ad-hoc structures instead of institutions; capacity building has not been sufficient to fully ensure sustainability. Corrective measures are needed.		
	D	Intervention is relying on ad hoc and capacity transfer to existing institutions, which could guarantee sustainability, is unlikely unless fundamental changes are undertaken.		

4.2 Decisions taken by the steering committee and follow-up

Decision		Action				Follow-up			
Decision	Identification period (mmm.yy)	Timing	Source*	Actor	Action(s)	Resp.	Deadline	Progress	Status
The allocation of the VN contribution is the responsibility of the project owner (DSENRE/MPI)			SC Minutes	DSENRE	Complete			MPI has issued the Decision on the counterpart fund allocated in 2014 for the TSU in May 2014 but not equal to commitment	
The Approval of TSU FIN & OPS Plan 2014 year			SC Minutes	TSU	Complete			FIN and OPS Plan approved by BTC and MPI in Apr. and May 2014	
The Approval of the TSU Procurement Plan 2014 year			SC Minutes	DSENRE	Complete			Procurement plan approved by BTC and MPI in May and June 2014	
Submission by MPI to BTC no objection of the procurement bidding documents			SC Minutes	DSENRE	Complete			BTC has issued NOL for bidding packages in 2014. Bidding process is complete.	
The replacement of the foreseen national technical assistants by national consultants. They will be contracted for the entire project duration for regular short inputs based on program need (framework contract)			SC Minutes	TSU	Complete	2 NTA shall be recruited: (i) Communication & community involvement; (ii) CC & hydraulic modelling for quality assurance		Communication & Community development consulting group has started working on March 10, 2015. Consultant team on quality assurance has started working in July 2015.	
03National technical assistants on CC, IWRM and M&E will still be recruited under fulltime basis contract			SC Minutes	TSU	Selection of consultants			Recruitment of consultants has been completed and all consultants commenced work in Q3 and Q4 2015	

Decision		Action			Follow-up				
Decision	Identification period (mmm.yy)	Timing	Source*	Actor	Action(s)	Resp.	Deadline	Progress	Status
At the meeting on December 12, 2014, The SC assigned the Cashier to work also as Administrative assistance			SC Minutes	TSU				The SC has approved at its meeting on December 12, 2014.	
Reallocate 25.000 EURO from budget line A 03 03 02 to A 03 03 03 to organize 01 study tour abroad in 2015.			SC Minutes	TSU	Complete			The SC has approved at its meeting on December 12, 2014	
Reallocate 1,429 EURO from Z 02 04 to Z 02 01 to pay for car purchase			SC Minutes	BTC & TSU	Complete			SC has approved at meeting on September 05, 2015. Subsequently approved by BTC Headquarters	
Reduce estimate of A 03 03 03 01 from 37.000 Euro to 36.800 Euro;			SC Minutes	BTC & TSU	Complete			SC has approved at its meeting on September 05, 2015	

4.3 Updated Logical framework

To be updated soon along with the preparation of the Baseline Report in March 2016.

4.4 MoRe Results at a glance

Logical framework's results or indicators modified in last 12 months?	Not applicable
Baseline Report registered on PIT?	In progress. Completion expected March 2016
Planning MTR (registration of report)	Proposed for September 2016
Planning ETR (registration of report)	To be scheduled for 2019
Backstopping missions since 01/01/2012	None

4.5 Budget and expenditure to 31/12/2015

Code	Description	Budget (EUR)						Disbursement (EUR)												Balance (EUR)			
		2013		2014		2015		Total to end 2015		Fract. of budget		2013		2014		2015		Total to end 2015		Fract. of budget		Balance (EUR)	
		BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN
A0101	National institutional staff	180,000	172,800	18,732	15,011	25,453	17,000	44,184	32,011	24.5%	18.5%							135,816	140,789				
A0102	International TA	1,530,000		231,756		286,652		608,531		39.8%								921,469					
A0103	Vietnamese Staff & TA	750,000		35,037		69,165		104,202		13.9%								645,798					
A0104	VN & international consultants	430,000		168		9,461		9,629		2.2%								420,371					
A0105	Training on project management	20,000		9,841		2,007		16,289		81.4%								3,711					
A0201	Flights and per diem	147,000		5,723		3,180		8,904		6.1%								138,096					
A0301	Situation analysis	30,000								0.0%								30,000					
A0302	Advisory committee	15,000								0.0%								15,000					
A0303	Collaboration mechanisms	200,000	227,200	47,161		21,405	3,393	68,565	3,393	34.3%	1.5%							131,435	223,807				
A0304	Networking	50,000		353		16,051		16,404		32.8%								33,596					
A0401	Capacity building in M&E in CC	50,000		87		87		87		0.2%								49,913					
A0402	Dissemination of lesson learned	50,000								0.0%								50,000					
X0101	Contingencies COGEST	34,900								0.0%								34,900					
X0102	Contingencies REGIE	80,000								0.0%								80,000					
Z0101	Legal advice	1,500		12				12		0.8%								1,488					
Z0201	Vehicles	24,429		24,429				24,429		100%								0					
Z0202	Office equipment	6,600		3,909		481		4,391		66.5%								2,209					
Z0203	IT equipment	15,800		14,859		355		15,214		96.3%								586					
Z0204	Office rent & LAN installation	148,571		16,208		14,406		30,614		20.6%								117,957					
Z0301	Utilities	21,600		376		1,669		2,045		9.5%								19,555					
Z0302	Vehicle operating costs	36,000		10,665		2,949		13,614		37.8%								22,386					
Z0303	Communications incl. internet	18,000		988		1,127		2,115		11.7%								15,885					
Z0304	Operation costs	57,600		3,287		3,755		7,041		12.2%								50,559					
Z0306	Steering Committee	18,000		493		4,790		5,282		29.3%								12,718					
Z0401	Audit	35,000								0.0%								35,000					
Z0402	MTR & PCR	50,000								0.0%								50,000					
	TOTAL	4,000,000	400,000	424,083	15,011	462,905	20,392	981,551	35,404	24.5%	8.9%							3,018,449	364,596				

