



BTC VIETNAM



RESULTS REPORT 2016

**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>	6
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>	9
2.2 PERFORMANCE OUTCOME.....	10
2.2.1 <i>Progress of indicators</i>	10
2.2.2 <i>Analysis of progress made</i>	10
2.2.3 <i>Potential Impact</i>	11
2.3 PERFORMANCE OUTPUT 1	12
2.3.1 <i>Progress of indicators</i>	12
2.3.2 <i>Progress of main activities</i>	13
2.3.3 <i>Analysis of progress made</i>	13
2.4 PERFORMANCE OUTPUT 2	18
2.4.1 <i>Progress of indicators</i>	18
2.4.2 <i>Progress of main activities</i>	19
2.4.3 <i>Analysis of progress made</i>	19
2.5 PERFORMANCE OUTPUT 3	21
2.5.1 <i>Progress of indicators</i>	21
2.5.2 <i>Progress of main activities</i>	22
2.5.3 <i>Analysis of progress made</i>	22
2.6 TRANSVERSAL THEMES.....	23
2.6.1 <i>Gender</i>	23
2.6.2 <i>Environment and social issues</i>	23
2.7 RISK MANAGEMENT	24
3 STEERING AND LEARNING	25
3.1 STRATEGIC RE-ORIENTATIONS.....	25
3.2 RECOMMENDATIONS.....	27
3.3 LESSONS LEARNED	27

4	ANNEXES	28
4.1	QUALITY CRITERIA	28
4.2	DECISIONS TAKEN BY THE STEERING COMMITTEE AND FOLLOW-UP	31
4.3	UPDATED LOGICAL FRAMEWORK.....	34
4.4	MORE RESULTS AT A GLANCE	34
4.5	BUDGET AND EXPENDITURE TO 31/12/2016	35

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	2016

1.2 Budget execution

All amounts in Euro

Budget code	Budget	Disbursement (Belgian funds)				Balance at end 2016	Cumulative disbursement fraction at end 2016
		2013	2014	2015	2016		
Total	4,000,000	94,564	424,083	468,768	619,583	2,393,003	40.2%
A01	2,910,000	94,564	295,534	398,601	552,519	1,568,782	46.1%
A02	147,000	0	5,723	3,180	14,998	123,099	16.3%
A03	295,000	0	47,514	37,456	22,552	187,479	36.5%
A04	100,000	0	87	0	0	99,913	0.1%
X	114,900	0	0	0	0	114,900	0.0%
Z	433,100	0	75,225	29,531	29,515	298,829	31.0%

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 water management 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 2016 the human resource capacity of the TSU was further strengthened and the project has maintained a very proactive role in providing technical leadership and direction for the Project Coordination Units (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 climate change adaptation (CCA), water resource management (WRM) and urban development is a key priority for program effectiveness and the TSU has a vital role in this regard. In support of this, the TSU will be developing a more integrated knowledge management program to be implemented in 2017 and 2018.

During 2016 the TSU supported activities to accelerate the program and make up for earlier delays. 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 as well as financial management and monitoring and evaluation (M&E).

1.3.3 Efficiency

	Performance
Efficiency	B

During 2016 continued 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 this advice. This has led to an acceleration in the 'No Objection' process as well as the confidence to enhance project planning for 2017 and beyond.

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.

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.

In 2016, while the activities in the provinces are still incomplete, engagement with stakeholders at the national level is at an early stage. In 2017 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 (2017) will see greater involvement with provincial level stakeholders in activities such as climate vulnerability assessment, adaptation planning and improved spatial planning of urban areas.

1.4 Conclusions

Overview

In overview, 2016 was a building year for the TSU and the overall climate change program. During the year, the momentum which emerged during 2015 was maintained and further strengthened. Key achievements included continued high-quality and timely technical support from the TSU to the PCUs. This included finalizing the selection of investment activities, support for the commencement of design, support for finalizing key technical studies (such as, climate change, hydrology and hydraulics, technical and institutional capacity assessment {TICA}, socio-economic assessment), support for instigating follow-on studies (such as, vulnerability assessment, revision of CC action plans, academic research, salinity and sea level rise impacts, climate-smart agriculture models, groundwater assessment etc..) and support for communications activities. At the national level, the TSU has engaged consultants to evaluate and propose a program for CCA investments in support of the Department of Science, Education, Natural Resources and Environment (DSENRE) in Ministry of Planning and Investment (MPI) who have been assigned to provide a response to the Government of Vietnam's (GoV's) COP21 commitment. In support of Ministry of Construction (MoC), a Vietnamese expert is being recruited to review Vietnamese urban policy in cooperation with an OECD supported initiative.

At a technical level, the TSU now has a demonstrated track-record for providing the support that it was designed to achieve. In the coming period the priority will be to not

only continue this level of support but also to capitalize on the lessons learned to inform strategy and policy discussions at all levels. The outlook is positive for accelerated implementation in 2017 and beyond.

Project Framework

The project's logical framework as set out in the Technical and Financial File (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 of the past. Completion of the Project Operation Manual (POM), baseline documents and the M&E framework greatly contributes to a clearer understanding of organizational relationships and ensures better structure for implementation.

Disbursement

From the Project start till the end of Q4 2016, the Project executed €1,606,973 or 40.2% of its €4,000,000 total budget. Per modality the subtotals for 'COGEST' and for 'REGIE' for the same period count with a total execution rate of 27.5% and 57% respectively.

For 2016, at the end of Q4, the Project executed €619,583 or 90.9% of its €681,424 year budget. Per modality the subtotals for 'COGEST' and for 'REGIE' for the same period count with an execution rate of 91.5% and 90.5% of the 2016 subtotals against planning, respectively.

National execution official	BTC execution official
<p>Pham Hoang Mai Director PMU TSU</p>	

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National execution official	BTC execution official
 Pham Hoang Mai Director PMU TSU	  Alain Devaux Resident Representative The Belgian Development Agency Vietnam

2 Results Monitoring

2.1 Evolution of the context

2.1.1 General context

During 2016, the response to climate change remains as one of the top priorities in Vietnam. Following commitments made by the Vietnamese government at the COP21 event from December 2015 and the formal signing of the Paris Agreement in 2016, responding to CC in a coherent manner in accordance with international expectations remains a priority.

Furthermore the overall program remains relevant to the following GoV initiatives: National Target Program to Response to Climate Change (2008); National Strategy on Climate Change 2011; National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020 (2007); MoNRE (2009) Guideline Framework on Building Action Plan Response to Climate Change, MoNRE (2006) National Water Resource Strategy towards 2020; and National and provincial Socio-Economic Development Plans.

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).

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. Commitment to the objectives of the program remains high with all government partners.

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 events.

2.2 Performance outcome



2.2.1 Progress of indicators

The reporting described in this section makes reference to the finalized M&E system that was presented in the TSU Baseline Report, approved by the Steering Committee (SC) in June 2016.

It is noted that because this Baseline and Results Indicators were only completed during 2016, this Results Report (for 2016) is the first annual report to reference these indicators systematically.

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: <i>Sample evidence of increased CC management capacity</i>	0	0	0	No target set	No target set
Indicator O-2: <i>Measurable increase in institutional capacity</i>	0	0	0	No target set	No target set

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 2016, 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 recently completed include the studies for climate change downscaling (3 provinces), hydrologic and hydraulic modelling (HT), technical and institutional capacity assessment (3 provinces), and the socio-economic survey/assessment (3 provinces). Activities currently on-going include climate change downscaling (NT & BT), hydrologic and hydraulic modelling (NT & BT), Study for Early Warning System and GIS data

management (NT) and Salinity and coastal stability study (NT & BT).

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 2017 (and, in some cases, into 2018) all 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.

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.

IMPACT : To contribute to the sustainable development of Vietnam by enhancing its resilience to Climate Change					
Indicators	Baseline value	Value year N-1	Value year N	Target year N	End Target
<i>Indicator O-1: Sample evidence of increased resilience (Monitored in close collaboration with the provincial level)</i>	0	0	0	No target set	No target set

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:</i> Accomplishment of the TSU's actual deliverables compared with planned	0	90%	89%	90%	90%
<i>Indicator 1.2:</i> Number of staff and stakeholders trained in activities coordinated by the TSU	0	13	15	45	221
<i>Indicator 1.3:</i> Average change in scores on entry and exit tests	0	n.a.	17%	15%	25%
<i>Indicator 1.4:</i> Level of satisfaction, particularly regarding timeliness and appropriateness of support	62%	62%	85%	75%	85%

Assessment of overall performance compared with plan

It is the nature of the TSU that operational planning includes components of both responding to the requests of others for advice and planned self-directed activities. In terms of the former this includes support for the preparation of ToRs and bidding documents as well as support during the implementation of studies. Support is provided to the implementing agencies (the PCUs) plus to BTC directly (for example, with advice regarding the issuance of a No Objection Letter, NOL). In terms of performance, of the 40 items relating to the preparation of studies, 35 were fully completed during the reporting period (see below for details). And of the 16 items relating to study implementation, 15 have been fully completed (see below for details). The accomplishment of the TSU's actual deliverables compared with planned is therefore assessed at 50 completions from 56 items, or 89%, which is close to the 2016 target value of 90%.

Training

During 2016, the TSU supported two training events on technical skills for M&E and Financial Planning. Further details are provided below with respect to Activity A02.01.06. In summary, 15 participants were trained and the reported difference between the pre- and post-training evaluation sheets indicated an average increase of 17% in the level of knowledge.

Satisfaction survey

On 19/01/2017 the TSU sent a questionnaire to each PCU to obtain feedback relevant to Indicator 1.4 and Indicator 2.2. In their response to the Satisfaction Survey for *Indicator 1.4 Level of satisfaction (with the TSU), particularly regarding timeliness and appropriateness of support*, the PCUs provided an overall average score of 85% thus signifying a general high level of satisfaction with the quality of service provided by the TSU. This compares favourably to the 2016 target value of 75% and is a considerable improvement on the previous year's value of 62%.

With regard to the *timeliness* of the support the scores from Ha Tinh, Ninh Thuan and Binh Thuan were 84%, 74% and 92% respectively. With regard to the *technical quality* of the support the scores from Ha Tinh, Ninh Thuan and Binh Thuan were 95%, 68% and 94% respectively. The survey provides useful feedback to the TSU to identify weaknesses and therefore to continue to improve service.

2.3.2 Progress of main activities

Progress of <u>main</u> activities	Progress Rating ¹			
	A	B	C	D
Activity A01.01: Technical support to provincial and central levels				
<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 commenced in March 2015, contract extended until June 2019.
- International Climate Change and Hydrology Specialist commenced in May 2015, contract completes in June 2017

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.
- During 2016, the National town planning advisor was recruited. At the end of 2016, the recruitment process was underway for the Water Engineering Advisor and this is expected to be complete in early 2017.

Remarks:

The activity is on-track.

Activity A01.01.03: Recruitment of international and national consultants

- The International Consultant for Hydraulics completed his assignment in 2014.
- The team of national experts for CC and hydraulic modelling for quality assurance was commenced in mid-2015 and completed their assignment in October 2016.
- In 2016, a national website specialist was recruited and has already completed his assignment. A national procurement specialist was recruited and has commenced work.
- At the end of 2016 the recruitment processes was underway for the International advisor for Early Warning Systems, the International Town Planning Advisor, and the national specialist for mangroves. Contract negotiations for the two international positions are expected to be complete in January 2017 and mobilization will occur during Q1, 2017.
- During 2016 a team of national consultants was recruited to evaluate and propose a program for CCA investments in support of DSENRE (MPI) for the tasks of supporting the GoV in respect of the commitment agreed during COP21.
- At the end of 2016 recruitment was underway a Vietnamese expert to support MoC by reviewing Vietnamese urban policy in cooperation with an OECD supported initiative.

Remarks:

The activity is on-track.

Activity A01.01.04: Training on Project Management

- In 2016, the TSU has supported the training provided by the international Management Advisor. Two separate events were conducted with staff from the PCUs: (a) Training on M&E (August 2016), and (b) Training on Financial Management (September 2016).

Remarks:

The activity is on-track. Additional training project management and technical issues is to be rolled-out in 2017.

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

In 2016, experts from the TSU supported the provinces with technical advice on Terms of Reference (ToRs) for a total of 40 specific items. These are listed as follows:

Ha Tinh	Ninh Thuan	Binh Thuan
<p>Academic research program, including: Studies on water quality, groundwater and irrigation infrastructure</p> <p>Capacity building & training plan</p> <p>Study tour to Australia (Apr 2016)</p> <p>GIS system for data management</p> <p>Vulnerability assessment study including revision of CC action plan</p> <p>Revision (or supplements) to urban planning in Ha Tinh city</p> <p>Investment proposal for mangrove rehabilitation</p> <p>Design activities for investments at Ben Da retention lake, Dap Hau culvert, NW drainage works, and environmental parks.</p> <p>Communications strategy</p> <p>Credit fund management regulations</p> <p>Consultant for Communications and Community Development</p>	<p>Academic research program, including: Efficient irrigation model</p> <p>Capacity building & training plan</p> <p>GIS system for data management</p> <p>Integrated river and reservoir management for flood & drought</p> <p>Vulnerability assessment study including revision of CC action plan</p> <p>Revision (or supplements) to urban planning</p> <p>Design activities for investments at Cau Ngoi drain, Siphon upgrade works and eco-house.</p> <p>Communications strategy</p> <p>Credit fund management regulations</p> <p>Study for strengthening irrigation management (including PIM)</p> <p>Consultant for Communications and Community Development</p>	<p>Academic research program, including: Study on groundwater</p> <p>Capacity building & training plan</p> <p>Study tour to Belgium and 3 other countries in Europe</p> <p>GIS system for data management</p> <p>Vulnerability assessment study including revision of CC action plan</p> <p>Demonstration of water efficient agriculture model</p> <p>Revision (or supplements) to urban planning</p> <p>Design activities for investments at Luy River embankment and Luong Son water supply works.</p> <p>Communications strategy</p> <p>Consultant for Communications and Community Development</p>

Remarks:

The activity is on-track. The technical experts of the TSU are working well to provide high-quality and prompt support to the requests of the provinces (and the requests of BTC) in relation to preparation for studies. Through this support progress on activities has accelerated in all provinces. In some cases, the support provided has been just to provide review or comment on ToRs prepared by others. While in other cases such as for 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, the TSU has played a leading role in developing the ToRs.

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. National and international experts from the TSU have worked with the PCUs to develop comprehensive ToRs for the combined work of vulnerability assessment and development (or revision) of the CC action plans.

Remarks:

Revision of CC action plans is expected to take place in 2017.

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

The national GIS specialist in the TSU has been actively working with the PCUs to develop detailed ToRs for the implementation of activities to develop comprehensive data management systems including integration of GIS.

Remarks:

The activity is on-track and implementation of the consulting work is expected to take place in 2017.

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

In 2016, experts from the TSU supported the provinces with technical advice for implementation of the following studies:

Ha Tinh	Ninh Thuan	Binh Thuan
Socio-economic & baseline study (completed)	Socio-economic & baseline study (completed)	Technical and institutional capacity development (completed)
Technical and institutional capacity development (TICA) (completed)	Technical and institutional capacity development study (completed)	Socio-economic & baseline study (completed)
Climate change downscaling study (completed)	Workshop CC and water resources management (completed)	Climate change downscaling study (final draft completed)
Hydrology/hydraulics study of Rao Cai river basin (completed)	Climate change downscaling study (final draft completed)	Hydrology/hydraulics study of Luy river basin (completion in Q1 2017)
	Hydrology/hydraulics study of Dinh river basin (draft report completed)	Salinity and coastal stability study (underway)
	Study for Early Warning System and GIS data management (commenced)	Drainage planning for Cho Lau town, Bac Binh District (completed)

One of the most significant tasks has to been to provide advice and support to consultants who have been implementing 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. The TSU has also been instrumental in conducting detailed technical review of the final reports to ensure that have been completed to a standard consistent with international expectations.

Remarks:

During 2016 a considerable volume of the technical work has been completed in each of the provinces. Using the resources of the international and national experts, the TSU has been able to provide expert advice in a timely fashion to support unhindered implementation of the studies. As indicated above, the TSU also provides support to the development of ToRs and the overall procurement process, including advice to BTC, with respect to the providing No Objection on both ToRs and completed reports.

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

The TSU national town planning advisor has been working with each of the PCUs and other provincial stakeholders to conduct an assessment of current status and to identify needs with respect to the urban planning activities. A detailed update is necessary because this activity was first identified during project formulation in 2011 and 2012 and since then considerable urban planning work has been on-going in the provinces. The challenge for this activity is to ensure that the outputs from the technical studies are integrated into any new revision of urban planning.

Remarks:

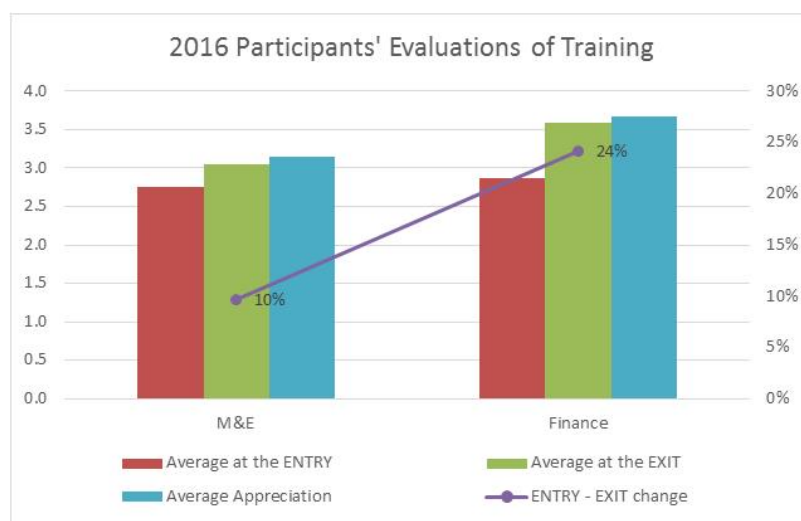
The activity is underway and will be further supported once the international urban planning expert is mobilized in Q1 2017.

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 on M&E and Financial Management. This included detailed training on spread sheet-based tools for M&E and financial management.

The M&E tool simplifies the reporting on the results of Entry and Exit tests as well as feedback and overall appreciation of the workshops / training.

During 2016 2 training workshops were held covering 3 days in total and 15 participants. According to the entry tests the participants rated their initial condition on the subject of the training / workshop at a level of 60% (on average). On the exit test, the participants evaluated their condition at 77% (on average) which indicates an increase of 17% in skills and knowledge. The overall appreciation of the organisation of the training workshop achieved a level of 80%. This is illustrated in the following graph.



Participants are distributed according to gender and years of working experience with the subject of the workshops / training, as follows:

- A total of 15 participants attended 3 days of workshops / training, covering 2 events. A number of 10 or 67% were female participants.
- The number of years of working experience with the subject of the workshops / training count with an average of 4 years and a median of 2.5 years (i.e. the 'middle' value in the list of numbers in numerical order).

Participants have following functions and work at following institutions / organisations:

- Out of the 5 standard functions of the survey, the participants to the 2 events are registered as follows : 2 Heads ; 13 Officers
- Out of the 14 'standard' Institutions of the survey, the participants to the 2 events are registered as follows : 7 MCDU Ninh Thuan ; 2 IWMC Ha Tinh ; 4 PCU Binh Thuan ; 2 Other

Additionally in May 2016, the TSU organized a seminar in Quy Nhon (Binh Dinh province) to share the experience of this province on community based early warning systems. Involving members from each PCU and relevant departments in each project province, the seminar highlighted the approaches taken and the achievements to strengthen flood early warning systems.

In 2017 the TSU expect to provide training in areas such as spatial planning starting with a workshop event scheduled for February.

Remarks:

The activity is generally on-track. Further training will 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: Accomplishment of the TSU's actual activities having involvement of stakeholders at different levels (central, provincial, etc.) compared with planned</i>	0	100%	100%	90%	90%
<i>Indicator 2.2: Level of satisfaction, particularly regarding quality of coordination between central and provincial level</i>	67%	67%	78%	80%	80%

Accomplishment with respect to plan in relation to activities having involvement of stakeholders at different levels

As is further explained below, there were three relevant activities for the TSU. The first relates to the engagement of consultants to conduct an evaluation of the status of previous investment programs for CC in Vietnam, and using this as a basis, to develop a new investment program. This activity which draws on experiences both at national and provincial levels supports DSENRE (MPI) who have been assigned to provide a response to the GoV's COP21 commitment.

The second relevant item was the coordination promoted by the TSU as part of the concluding workshop with the PCUs conducted for the review of the selected provincial investments. The TSU coordinated information exchange with leading professionals from the Vietnam Urban Planning Institute to raise awareness of new approaches in urban design including Sustainable Urban Drainage Systems.

The third item relates to the workshop on "Community Oriented Approaches to Flood Early Warning and Risk Reduction – Experiences from Quy Nhon, Binh Dinh Province" held in May 2016, in which participants from the PCUs and relevant provincial departments were exposed to central and provincial level ideas relevant to flood warning.

The three activities were considered to be implemented according to plan (therefore the indicator value is deemed to be 100%).

Satisfaction survey

Based on the questionnaire sent on 19/01/2017, the TSU has obtained feedback from the PCUs relevant to *Indicator 2.2: Level of satisfaction, particularly regarding quality of coordination between central and provincial level*. The PCUs provided an overall average score of 78% thus signifying a general high level of satisfaction with central and provincial

level coordination. Individually Ha Tinh, Ninh Thuan and Binh Thuan provided scores of 100%, 67% and 67% respectively.

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 include an activity to evaluate previous investments and propose a program for new CCA investments in support of DSENRE (MPI) who have been assigned to provide a response to the GoV's COP21 commitment. Additionally support is being provided to MoC with a Vietnamese expert recruited to review Vietnamese urban policy in cooperation with an OECD supported initiative

Activity A03.02.01: Advisory committee establishment

The establishment of a technical advisory committee (TAC) has been cancelled. The draft POM foresees no role for a TAC.

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

During 2016, the technical experts of the TSU have actively supported and contributed to the initiatives of a number of other on-going programs in areas relevant to the program.

Involvement ranges from participation in relevant events, workshops or seminars to active involvement and contributions in discussion.

The profile achieved of the BTC project is best illustrated by the fact that the TSU experts were invited to conduct a review of Vietnamese National Climate Change Scenarios and participate in a national level workshop to contributed to discussions.

Further experience sharing and coordination activities are anticipated for 2017.

TSU involvement in specific activities is listed in the following table. Cooperation also includes meetings with other programs from development partners including World Bank, ADB, GIZ, JICA and the Rockefeller Foundation.

List of events and contribution from TSU in 2016

Date	Event Description	Contribution from TSU
18 January	Round Table Workshop on Hydro-Meteorological Services in VN (NCHMF, WB)	Attended workshop and contributed to discussion sessions
15 March	Workshop on Severe Drought and Salt Intrusion - Donors & Partners (MARD, UNDP)	Attended workshop and contributed to discussion sessions
18 March	Working group session on Urban Community-Based Disaster Risk Management (UCR-CoP)	Participated in round-table discussions
01 April	Donor Coordination Mtg. on Ninh Thuan – DRR, Water supply & Sanitation (WB & consultants)	Participated in round-table discussions
20 April	National Urban Development Strategy Workshop (MOC, Cities Alliance)	Attended event
25 April	MPI workshop on planning law	Attended event
11-12 May	Workshop on Drought and Solutions for Central Coastal Provinces – Vietnam. Ninh Thuan	Event organized by the MCDU. TSU supported with communications resources and technical review.
17 June	Workshop on Inputs for Vietnam City Resilience Index (UCR-CoP)	Attended event
18 July	Core Donor Coordination Group Meeting - Urban Sanitation & Wastewater (ADB)	Attended event and participated in discussions
19 July	Progressive cities as resilient cities	Attended event
3 August	Final Consultation Workshop on National Urban Development Strategy (Phase 1) (MOC, Cities Alliance)	Attended event
23-24 August	Vietnam Forum on Urban Planning and Development Towards Green Growth and Climate Change Resilience, Tam Ky City, Quang Nam,	Presentation given on “Issues for Urban Planning and Development with regard to Green Growth and Climate Change”
14-15 September	Asia-Europe (ASEM) High-level conference on Disaster Risk Reduction and Management. Da Nang	Attended conference and contributed to discussion sessions
17 - 20 October	Habitat III: The United Nations Conference on Housing and Sustainable Urban Development. Quito - Ecuador.	No attendance at event from TSU. TSU contributed to presentation materials to be displayed by delegation from BTC HQ
24 October	Technical workshop on IPCC achievements and Vietnam Action in Climate Change (IPCC, VPCC, UNDP, IMHEN)	Attended workshop and contributed to discussion sessions. Conducted review of VN National CC Scenarios
13 November	Belgian Day	TSU contributed to the displays to raise awareness of CC issues and showcase the cooperation between GoV and Belgium.
24 November	Workshop on Sustaining Resilience in Vietnam: Lessons from 7 Years of ACCCRN, Hanoi.	Attended workshop and contributed to discussion sessions
24-25 November	4th Workshop of the Southeast Asia Regional Climate Downscaling (CORDEX, VNU University of Science)	Attended workshop and contributed to discussion sessions

Date	Event Description	Contribution from TSU
8 December	Workshop on Urbanization: Sustainable Growth – Belgian know-how on Urbanization, Green Growth and Infrastructure Development	Attended event

Activity A03.03.02: Data collection at national level

Activity in 2016 included acquisition of base map GIS data for each project province.

Activity A03.03.03: National and international study tours

The TSU supported the preparations for study tours to Australia by Ha Tinh province in April 2016 and to Europe by Binh Thuan province in August 2016.

One member of the TSU Board of Directions was supported to attend the COP22 event in Marrakech.

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 2016. As part of an overall plan for knowledge management specific topic areas for technical workshops will be identified for 2017. This may include topics such as 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. This position concluded in mid-2016.

Activity A03.04.02: Coordination with academic institutes

During 2016 coordination meetings were held with the Belgian supported academic program – the WATER Management and urban DEVELOPMENT in Ha Tinh in relation to climate change (WAMADE). Coordination arrangements were discussed with cooperation and sharing of results and data.

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:</i> Number of documents prepared or coordinated by the TSU to capitalize knowledge / lessons learned	0	n.a.	0	tbd	tbd
<i>Indicator 3.2:</i> Level of satisfaction, particularly regarding quality of knowledge management	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

As indicated above in Section 2.3.3, training was conducted with PCU for application of the M&E system including the use of specific spread sheet tool. The TSU GIS specialist has hosted several detailed technical discussions with stakeholders at the provincial level on the development and future application of a GIS based data management tool in support of WRM and CC. During 2017 this activity will continue along with the implementation by consultants for the development of the GIS system.

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

Activity A04.02.02: Dissemination of lessons learned

In May 2016, the TSU organized a seminar in Quy Nhon (Binh Dinh province) to share the experience of this province on community based early warning systems. Involving members from each PCU and relevant departments in each project province, the seminar highlighted the approaches taken and the achievements to strengthen flood early warning systems.

The TSU website (<http://bdkh.mpi.gov.vn>) has been operational since Q3 2016 and in addition to the concept note on the Quy Nhon workshop, several other news items have been uploaded.

In planning for 2017, it is expected that lessons learned will emerge with continued progress at the provincial level. Planning anticipates that lessons learned, particularly on CC downscaling, flood modelling and vulnerability assessment will become available during the year.

During Quarter 1 2017, a concept plan for knowledge management will be developed; including objectives, scope, target audience, engagement process, implementation schedule, ToR and budget. It is expected that communication tools may include concept notes, brochures, fact sheets, presentations, maps, wall-hangings, web-articles, YouTube clips, etc... Since the skills required are specialised then the use of international consultants will be considered.

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. It is noted that for involvement in TSU events, such as training, the reporting is gender disaggregated.

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 design of investments and the activities for CC action plan preparation and the revision of urban master plans. It is envisaged that in 2017 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
Maintaining close communication & cooperation between the TSU and PCUs to ensure quick & responsive and support	2015-2017	OPS	Low	Medium	Low Risk	Currently relationships are good, but vigilance is always required. Maintain practices for weekly updates and quarterly planning sessions with PCUs	TSU & PCUs	Dec-17	A new monitoring tool was developed to better track current status of actions for coordination between TSU, PCUs and BTC.	In Progress
High workloads may arise as activities in the provinces increase. This may affect TSU responsiveness	2017	OPS	Low	Medium	Low Risk	Maintain good project management practices in the TSU, including managing human resources and controlling work plans	TSU	Dec-17	TSU currently conduct regular meetings and review of work plans. Workload may increase with more outputs from provinces, so this has to be monitored	In Progress
Insufficient engagement at national level (e.g. MoC & MoNRE) results in shortcomings in lessons learned, knowledge transfer and policy dialog.	2017	OPS	Low	Medium	Low Risk	TSU to engage with MoC & MoNRE via focal points to identify needs and opportunities. Urban Planning experts (national & international) to work closely with MoC	TSU	Dec-17	International and national experts to follow-up and prepare action plan for cooperation.	In Progress
Potential for failure to maximize the use of the lessons learned from provincial activities (particularly the studies)	2017	OPS	Low	Medium	Low Risk	Develop Knowledge Management plan. Include allowances for appropriate support in the TSU budget. Identify support (consultants) that may be required	TSU	Dec-17	Developing a concept plan for Knowledge Management to be prioritized in Q1 2017. Follow-up discussions required with project partners	In Progress

3 Steering and Learning

3.1 Strategic re-orientations

The Mid-Term Review of the entire CC program was conducted in September and October 2016. A draft report was presented in November 2016 and updated in January 2017. Many issues have been raised with the quality of the report and the level to which an accurate assessment of issues was presented.

Notwithstanding these concerns, the TSU has drafted an Action Plan to respond to recommendations made in the report (see below). Specifically in relation to the TSU most of the MTR recommendations reflect actions already underway or planned for 2017.

TSU ACTION PLAN FOR RESPONDING TO THE RECOMMENDATIONS OF THE MTR

Item	Description of recommendation from MTR report ¹	Response/Action (for TSU)	Deadline
1	Cancel activities: NT: Eco-house; Housing Credit fund HT: Housing Credit fund BT: Luong Son water supply extension	Provincial PSCs to decide. TSU's responsibility is to support the decisions of the PSCs.	1st PSC of 2017
2(a)	Reappraisal, including economic analysis, design check, environmental impact assessment NT: Upgrade to siphons 12 & 13 on Lu river , Drainage works Cau Ngoi canal HT: North-west drainage upgrade	Support the decisions of the provincial PSCs and provide technical advice	1st PSC of 2017
2(b)	Confirm support taking into account O&M arrangements and cost reductions HT: Mangrove reforestation, Dap Bot retention lake, Ben Da Retention Lake, Upgrade to culvert at Dap Hau BT: Cho Lau Drainage works, Luong Son Drainage works, Stabilization of river bank on Luy River	Support the decisions of the provincial PSC and provide technical advice. TSU currently recruiting national water engineering specialist whose role it is to specifically support PCUs in relation to O&M. Identify training needs and conduct capacity building.	1st PSC of 2017 Recruitment by Feb 2017
3	(i) Urgently finalise design and bidding documents (ii) PCUs to review and update operational plans iii) PCUs to prepare detailed operational plans (GANTT charts) for "soft" activities (capacity building, studies)	On-going technical support to PCUs for project management. Actively monitor review and NOL process. Facilitate quick approvals from BTC side. Include more detailed discussion on Gantt charts in quarterly program planning updates.	On-going support. Quarterly updates

¹ Description obtained directly from the Draft MTR report (with some paraphrasing)

Item	Description of recommendation from MTR report ¹	Response/Action (for TSU)	Deadline
4	<p>Urban planning</p> <p>i) Institutional assessment in provinces, consider:</p> <ul style="list-style-type: none"> - Activities necessary to integrate the findings of the technical studies into provincial planning - Information required from the studies to inform urban planning and in what form - Capacity building needs of the respective stakeholders, including equipment <p>ii) Discuss with MoC for possible support for on-going or new initiatives on institutional reform of development planning at provincial level. In particular, guidelines on the revision of master plans for climate change adaptation and flood plain management (or IFM).</p>	<p>Any change to the scope of TSU activities will require further discussion with project owner as well as SC approval.</p> <p>TSU are currently finalizing recruitment of international urban planner. (To be mobilized in February 2017). National and international planners to follow-up on these tasks. Including:</p> <ul style="list-style-type: none"> - Develop overall concept plan for support to urban planning - Institutional and needs assessment - Engagement with MoC on support <p>Concept plan to be discussed and finalized during Q1 2017.</p>	<p>Concept plan to be discussed and finalized during Q1 2017</p>
5	<p>Capitalization & Knowledge Management</p> <p>i) Develop strategy for knowledge management (KM) to capitalise study outputs and lessons learned.</p> <p>ii) Follow-up to interpret and adapt the outputs from the technical studies in a suitable form ready for use by the provincial stakeholders.</p>	<p>(i) Develop concept plan for KM, including objectives, scope, target audience, engagement process, implementation schedule, ToR and budget.</p> <p>(ii) Scope the needs for this requirement. Prepare concept outline. Communication tools: concept notes, brochures, fact sheets, presentations, maps, wall-hangings, web-articles, YouTube clips, etc... Consider use of international consultants. Recruit consultants and implement.</p>	<p>Concept plan in Q1 2017 By May 2017 Implement 2017-18</p>
6	<p>IWRM, MoNRE and River Basin Management</p> <p>i) Engage with MoNRE for possible support for ongoing or new initiatives supporting institutional reform supporting the introduction of IWRM at provincial level, including the new guidelines for River Basin Management Committees</p> <p>ii) PCUs to review Activities 4.2 Establishment of different platforms for dialogue with stakeholders to either a) realign with current MoNRE guidelines or b) to reallocate budget to other activities.</p> <p>iii) All PCUs to give attention to implementation hydrological and meteorological monitoring stations.</p>	<p>Any change to the scope of TSU activities, including a revised approach to engagement with MoNRE will require further discussion with project owner as well as SC approval.</p> <p>Capacity building activities for IWRM are to be supported in all provinces. The new activities in Ninh Thuan province for PIM and joint reservoir-river management provide the basis for improved resource management.</p> <p>TSU currently recruiting international EWS expert to support PCUs for monitoring and flood warning systems.</p>	<p>2017</p>
7	<p>MPI to ensure that the application of the new Public Investment law does not constrain the implementation of the program</p>	<p>TSU to monitor</p>	<p>On-going</p>
8	<p>PSC meetings are to be held at least every six months including operational and financial reporting</p>	<p>TSU to comply with POM</p>	<p>On-going</p>
9	<p>Strengthen PCU project management capacity including improving the quality of reporting and physical/financial monitoring.</p> <p>TSU is to identify means to improve coordination of the PCUs and improve PCU project management.</p>	<p>TSU to continue to provide support.</p> <p>Planning for 2017 in TSU to consider follow-up training for operational planning, financial management, M&E etc..</p>	<p>Q1, 2017</p>

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
Procurement processes in the Vietnamese system in the provinces take much more time than anyone could have anticipated (certainly much longer than was expected in the TFF).Future programs should take this into account during design.	BTC
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
A decision was made to undertake the technical studies (such as, CC downscaling and hydrology/hydraulics) with national consultants rather than with international consultants. The upside to this is that the technical experience gained through doing this work remains in the country and can be accessed by the target provinces or other actors in the future. The downside has been that this has placed an additional burden on the international technical experts in the TSU and completion of the technical studies has been a lengthy process.	BTC

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				MPI has issued the Decision on the counterpart fund allocated in 2014 for the TSU in May 2014 but not equal to commitment	
					Complete				
The Approval of TSU FIN & OPS Plan 2014 year			SC Minutes	TSU				FIN and OPS Plan approved by BTC and MPI in Apr. and May , 2014	
					Complete				
The Approval of the TSU Procurement Plan 2014 year			SC Minutes	DSENRE				Procurement plan approved by BTC and MPI in May and June , 2014	
					Complete				
Submission by MPI to BTC no objection of the procurement bidding documents			SC Minutes	DSENRE				BTC has issued NOL for bidding packages in 2014. Bidding process is complete.	
					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	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.	
					Complete				
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	
					Complete				

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.	
					Complete				
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				The SC has approved at its meeting on December 12, 2014	
					Complete				
Reallocate 1.429 EURO from Z 02 04 to Z 02 01 to pay for car purchase			SC Minutes	BTC & TSU				SC has approved at meeting on September 05, 2015. Subsequently approved by BTC Headquarters	
					Complete				
Reduce estimate of A 03 03 03 01 from 37.000 Euro to 36.800 Euro			SC Minutes	BTC & TSU				Approved at SC meeting September 05, 2015	
					Complete				
Submission by MPI to BTC no objection of the procurement bidding documents			SC Minutes	BTC & TSU				Approved at SC meeting June 24, 2016	
					Complete				
Decrease budget line A 01 04 02 by EU46,000 because there is no longer a demand for this position			SC Minutes	BTC & TSU				Approved at SC meeting June 24, 2016	
					Complete				
Increase budget line A 01 04 05 by EU48,000 to ensure adequate funds for the consultant.			SC Minutes	BTC & TSU				Approved at SC meeting June 24, 2016	
					Complete				
Decrease budget line A 01 04 06 by EU2,000 to re-allocate funds between sub-activities			SC Minutes	BTC & TSU				Approved at SC meeting June 24, 2016	
					Complete				
Increase budget line A 03 01 by EU25,000 to conduct institutional studies at a national level.			SC Minutes	BTC & TSU				Approved at SC meeting June 24, 2016	
					Complete				

Decision					Action			Follow-up	
Decision	Identification period (mmm.yy)	Timing	Source*	Actor	Action(s)	Resp.	Deadline	Progress	Status
Decrease budget line A 03 02 by EU15,000 because existing national consultants have sufficient capacity and to avoid overlapping in organization. Provide additional budget to A 03 01			SC Minutes	BTC & TSU	Complete			Approved at SC meeting June 24, 2016	
Increase budget line A 03 03 02 by EU10,000 to provide additional budget institutional studies in A 03 01			SC Minutes	BTC & TSU	Complete			Approved at SC meeting June 24, 2016	
Increase budget line A 03 04 01 by EU10,000 to provide sufficient budget for the VUF coordinator.			SC Minutes	BTC & TSU	Complete			Approved at SC meeting June 24, 2016	
Decrease budget line A 03 04 02 by EU10,000 to provide additional budget for A 03 04 01.			SC Minutes	BTC & TSU	Complete			Approved at SC meeting June 24, 2016	
Create additional budget line A 03 05 with EU5,000 to let BTC to pay for preparing agenda for study tour to Belgium and Netherlands in October 2014.			SC Minutes	BTC & TSU	Complete			Approved at SC meeting June 24, 2016	
Approve TSU Baseline Report			SC Minutes	BTC	Complete			Approved at SC meeting June 24, 2016	
Allow application of UN-EU cost norms version April 2015 in TSU activities and new consultancy contracts signed from 01 July 2016			SC Minutes	TSU	Complete			Approved at SC meeting June 24, 2016	
Recruit 1 national consultant in urban planning (A 01 03 01) as initially designated in the TFF instead of consultant team as revised in the 1st SC meeting			SC Minutes	TSU	Complete			Approved at SC meeting June 24, 2016	

4.3 Updated Logical framework

There has been no revision to the overall structure of the Logical Framework. The indicators have been revised and approved in the Baseline report.

4.4 MoRe Results at a glance

Logical framework's results or indicators modified in last 12 months?	Baseline Report with updated indicators approved in June 2016.
Baseline Report registered on PIT?	Baseline Report approved in June 2016.
Planning MTR (registration of report)	Conducted September-October 2016
Planning ETR (registration of report)	To be scheduled for 2019
Backstopping missions since 01/01/2012	Backstopping conducted in March 2015 and June 2016. Further mission scheduled for April 2017.

4.5 Budget and expenditure to 31/12/2016

Code	Description	Budget (EUR)		Disbursement (EUR)												Balance (EUR)	
				2013		2014		2015		2016		Total to end 2016		Fract. of budget			
		BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN
A0101	National institutional staff	180,000	172,800			18,770	15,011	25,453	17,000	24,961	16,259	69,184	48,270	38.4%	18.5%	110,816	124,530
A0102	International TA	1,530,000		90,123		231,756		292,503		343,816		958,198		62.6%		571,802	
A0103	Vietnamese Staff & TA	750,000				35,037		69,165		145,583		249,785		33.3%		500,215	
A0104	VN & international consultants	430,000				168		9,461		37,510		47,139		11.0%		382,861	
A0105	Training on project management	20,000		4,441		9,841		2,020		649		16,950		84.8%		3,050	
A0201	Flights and per diem	147,000				5,723		3,180		14,998		23,901		16.3%		123,099	
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	9,206		77,771	3,393	38.9%	1.5%	122,229	223,807
A0304	Networking	50,000				353		16,051		13,346		29,750		59.5%		20,250	
A0401	Capacity building in M&E in CC	50,000				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%		-	
Z0202	Office equipment	6,600				3,909		481		41		4,431		67.1%		2,169	
Z0203	IT equipment	15,800				14,859		355				15,214		96.3%		586	
Z0204	Office rent & LAN installation	148,571				16,208		14,406		13,955		44,570		30.0%		104,001	
Z0301	Utilities	21,600				376		1,669		926		2,971		13.8%		18,629	
Z0302	Vehicle operating costs	36,000				10,665		2,949		2,845		16,458		45.7%		19,542	
Z0303	Communications incl. internet	18,000				988		1,127		1,492		3,607		20.0%		14,393	
Z0304	Operation costs	57,600				3,287		3,755		6,876		13,918		24.2%		43,682	

Code	Description	Budget (EUR)		Disbursement (EUR)												Balance (EUR)	
				2013		2014		2015		2016		Total to end 2016		Fract. of budget			
		BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN
Z0305						493		4,790		597		5,879				(5,879)	
Z0306	Steering Committee	18,000												0.0%		18,000	
Z0401	Audit	35,000								1,573		1,573		4.5%		33,427	
Z0402	MTR & PCR	50,000								1,210		1,210		2.4%		48,790	
TOTAL		4,000,000	400,000	94,564	0	424,083	15,011	468,768	20,392	619,583	16,259	1,606,997	51,663	40.2%	12.9%	2,393,003	348,337