



BTC VIETNAM



RESULTS REPORT 2017

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

VIETNAM

DGCD CODE : NN 3012430

NAVISON CODE : VIE 12 045 11

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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	2017

1.2 Budget execution

All amounts in Euro

Budget code	Budget	Disbursement (Belgian funds)						Balance at end 2017	Cumulative disbursement fraction at end 2017
		2013	2014	2015	2016	2017	Total		
Total	4,000,000	94,564	424,083	468,768	620,346	651,718	2,259,478	1,735,522	56.5%
A01	2,639,695	94,564	295,534	398,288	553,282	559,511	1,901,179	738,516	72.0%
A02	50,000	0	5,723	3,180	14,998	5,550	29,451	20,549	58.9%
A03	812,176	0	47,514	37,767	22,552	41,085	148,918	658,258	18.3%
A04	82,400	0	87	0	0	0	87	82,313	0.1%
X	109,900	0	0	0	0	0	0	109,900	0.0%
Z	305,829	0	75,225	29,531	29,515	45,572	179,843	125,986	58.8%

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.

During the period of implementation, the project provinces have experienced the extremes of climate variability including severe drought in the south-central region in 2015 and 2016 as well as typhoons and flooding in north central region. This includes typhoon Doksuri which crossed the Vietnamese coastline in Ha Tinh province on 15 September 2017. Access to needed resources as well as strengthened capacity to plan for, and manage, climate-related natural disasters is a high priority for government at all levels.

As the program approaches its final stages, opportunities are emerging to re-direct Technical Support Unit (TSU) funds towards the relevant priorities of Ministry of Planning and Investment (MPI). These government-driven initiatives reflect a strong desire to strengthen capacity for mainstreaming climate change (CC) and Water Resource Management (WRM) in socio-economic development planning as well as strengthening knowledge and understanding of Integrated Water Resource Management (IWRM) issues in drought affected regions of Vietnam.

With regard to urban planning and integration of CC and IWRM, feedback from both provincial and central level actors signals a strong desire for additional capacity strengthening in this area. A TSU initiative for this is currently rolling-out with a focus on demonstrating application of CC and flood modelling studies for urban and regional planning.

Overall, the CC program remains highly relevant and the program has demonstrated that it is responsive to the needs of the partners. The long process that was designed in the program is beginning to bear fruits. The considerable time and effort that was invested in the comprehensive approach to detailed CC assessment and linking with river basin hydrologic/hydraulic modelling is generating results which are now finding wider application.

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 2017 the project has maintained a proactive role in providing technical support and guidance to 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 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 2018.

1.3.3 Efficiency

	Performance
Efficiency	B

During 2017 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 2018. Furthermore, during 2017, the role of the TSU transitioned from direct technical support for the development of TORs to more support during activity implementation and review of technical outputs.

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 2017, while the activities in the provinces are still incomplete, engagement with stakeholders at the national level is at an early stage. In 2018 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 (2018) will see greater involvement with provincial level stakeholders in activities such as climate vulnerability assessment, adaptation planning and improved spatial planning of urban areas.

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1.4 Conclusions

Overview

In overview, 2017 was a consolidation year for the TSU and the overall climate change program. During the year, the momentum which developed in previous years was maintained and further strengthened. Key achievements included continued high-quality and timely technical support from the TSU to the PCUs. In addition to support for ongoing communications activities, technical support was provided for finalizing key technical studies, such as, climate change, hydrology and hydraulics, and estuarine salinity, and the commencement of others such as, vulnerability assessment, revision of CC action plans, academic research, groundwater and sea level rise impacts, and climate-smart agriculture models. Considerable attention has also been given to technical quality of the engineering designs for the investments in each province.

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. Seven significant new studies in support of key national-level initiatives are also about to commence in 2018.

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.

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. Strengthened management tools, particularly for project financial management and tracking of activity milestones has also improved communication and understanding to work towards more realistic planning and goal achievement.

Disbursement

From the Project start till the end of Q4 2017, the Project executed €2,259,478 or 56.5% of its €4,000,000 total budget (Belgian funds). Per modality the subtotals for 'COGEST' and for 'REGIE' for the same period count with a total execution rate of 75.2% and 42.8% respectively.

For 2017, at the end of Q4, the Project executed €651,718 or 76.4% of its €852,956 year budget. Per modality the subtotals for 'COGEST' and for 'REGIE' for the same period count with an execution rate of 62.4% and 100.1% of the 2017 subtotals against planning, respectively.

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

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2 Results Monitoring

2.1 Evolution of the context

2.1.1 General context

During 2017, response to climate change remains as one of the top priorities for the government 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 coordinated 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 refers to the finalized M&E system that was presented in the TSU Baseline Report, approved by the Steering Committee (SC) in June 2016.

Table 1 Outcome Indicators

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	No target set	No target set
Indicator O-2: Measurable increase in institutional capacity	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 2017, 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 completed to date include the studies for climate change downscaling, hydrologic and hydraulic modelling, TICA and socio-economic studies. Activities currently on-going include support for early warning systems, GIS data management, salinity and coastal stability, vulnerability assessment, revision of CC action plans, academic research, assessment of groundwater with regard to CC and sea level rise impacts, climate-smart

agriculture models, reservoir management, water supply planning, participatory irrigation management (PIM) and training for capacity building.

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 all studies will be completed in 2018, 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

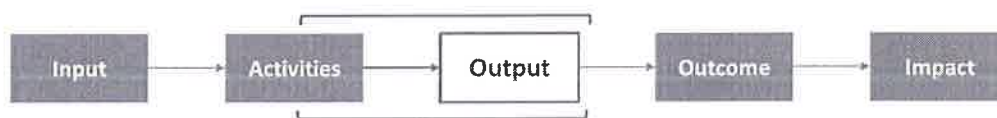
The expected impact in the project's sphere of interest is *to contribute to the sustainable development of Vietnam by enhancing its resilience to Climate Change*. Based on the work undertaken to date and the overall framework of the program, expectations with respect to this general objective remain 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.

Table 2 Impact Indicators

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

Table 3 Output 1 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>	0	89%	94%	90%	90%
<i>Indicator 1.2: Number of staff and stakeholders trained in activities coordinated by the TSU</i>	0	15	97	45	221%
<i>Indicator 1.3: Average change in scores on entry and exit tests</i>	0	17%	-	20%	25%
<i>Indicator 1.4: Level of satisfaction, particularly regarding timeliness and appropriateness of support</i>	62%	85%	92%	85%	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 34 items (listed in Table 6 below) relating to support for the preparation of TORs, 32 were fully completed during the reporting period. And, of the 37 items relating to support during the study implementation phase (refer to Table 7 below), all support was provided in a timely fashion. The accomplishment of the TSU's actual deliverables compared with planned is therefore assessed at 32 completions from 34 items, or 94%, which exceeds the 2017 target value of 90%.

Training

During 2017, the TSU conducted several events relevant to training and awareness raising (as list below in Table 4). Further details are provided below with respect to Activity A02.01.06. In summary, 97 participants were trained. Unfortunately, records are not available for training evaluation therefore there is no information to support Indicator 1.3.

Table 4 TSU training and workshop events

Event Date	Title/description	Location	No. Trainees	Comments
22/03/17	Workshop to introduce Structural Strategic Planning (SSP) and climate resilient approaches in Urban planning	Hanoi	25	PCU representatives from Ha Tinh, Ninh Thuan and Binh Thuan. Provincial DoC, DPI, Bac Binh District, Ha Tinh City & Hong Linh town. MOC, VIUP and Hanoi Architecture University
20-21/04/17	Training on communication materials for climate change, integrated water resource management and urban planning	Hanoi	14	PCU representatives from Ha Tinh, Ninh Thuan and Binh Thuan
20/07/17	Workshop to present findings and transfer knowledge on the study to support Government commitments from COP21	Hanoi	11	Included representatives from MARD, Ha Tinh, MoT, MoNRE
26/09/17	Training on financial planning and application of the Financial Management Tool	Hanoi	10	PCU representatives from Ha Tinh, Ninh Thuan and Binh Thuan, TSU, RALG
25/10/17	Workshop on SSP and climate resilience in Urban planning and application of CC and flood information from studies	Ha Tinh	37	PCU representatives from Ha Tinh, Ninh Thuan and Binh Thuan. Cam Xuyen district, Ha Tinh city, Hong Linh town, DoC, DPI, Tuy Phong district (BT), Bac Binh district (BT)

Satisfaction survey

In January 2018 the TSU sent a questionnaire to each PCU to obtain feedback relevant to Indicators 1.4, 2.2 and 3.2. 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 92% thus signifying a general high level of satisfaction with the quality of service provided by the TSU. This compares favourably to the 2017 target value of 85% and an improvement on the previous year's value of 85%.

With regard to the *timeliness* of the support the scores from Ha Tinh, Ninh Thuan and Binh Thuan were 75%, 100% and 98% respectively. With regard to the *technical quality* of the support the scores from Ha Tinh, Ninh Thuan and Binh Thuan were 81%, 100% and 100% 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

Table 5 Progress Rating for Output 1 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 completed 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. During 2017, the recruitment process was completed for the National Water Engineering Advisor.

Remarks:

The activity is on-track – all expected recruitments have been completed.

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.
- 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. This assignment is now complete.
- During 2017 recruitment was completed for a Vietnamese expert to support MoC by reviewing Vietnamese urban policy in cooperation with an OECD supported initiative. This assignment completes in Q1 2018
- During 2017 recruitment was completed for an International advisor for Early Warning Systems, an International Town Planning Advisor, and national specialists for mangroves.

Remarks:

The activity is on-track.

Activity A01.01.04: Training on Project Management

- In 2017, the TSU has supported the training provided by the international Management Advisor with PCU and other BTC project staff on financial planning and application of the Financial Management Tool (26/09/17).

Remarks:

The activity is on-track. No further training on Project Management is expected at this stage.

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

In 2017, experts from the TSU supported the provinces with technical advice on Terms of Reference (ToRs) for a total of 34 specific items as listed in Table 6.

Table 6 TORs for PCU activities developed with support of the TSU

Ha Tinh	Ninh Thuan	Binh Thuan
Academic research study on irrigation infrastructure Capacity building & training plan GIS system for data management Early warning system Capacity support for hydro-meteorology service and monitoring equipment Vulnerability assessment study including revision of CC action plan Investment for mangrove nursery and mangrove area rehabilitation Design activities for investments at Ben Da retention lake, Dap Hau culvert, NW drainage works, environmental parks, urban street drains, Thach Quy drain, Duc Thuan drain, Trung Luong drain, Binh Lang retention lake, Thuan Loc drain, Bac Hong retention lake.	Efficient irrigation model for grape cultivation Capacity building & training plan GIS system for data management Integrated river and reservoir management for flood & drought Vulnerability assessment study including revision of CC action plan Study for strengthening irrigation management (including PIM) Design of Cau Ngoi drain investment works.	Academic research program, including: Study on groundwater Capacity building & training plan GIS system for data management Vulnerability assessment study including revision of CC action plan Hydro-meteorology monitoring equipment and early warning system Demonstration of water efficient agriculture model Revision to urban planning

Remarks:

The activity is on-track. With the support of the TSU's technical experts, TORs for all technical studies in the provinces were completed. By the end of the year, most studies had commenced or were at a well-advanced stage of procurement. The main role of the TSU has transitioned from TOR development to technical support during implementation. As studies complete, the TSU also supports the dissemination of information and lessons learned.

A significant technical role for 2017 and on-going in 2018 is for the review of the design work for the construction investments. For Binh Thuan and Ninh Thuan, this work was complete in 2017, while in Ha Tinh several design contracts will continue into the early parts of 2018. The TSU has a highly qualified National Water Engineering Advisor and through his support a large volume of review work has been undertaken. His advice has been instrumental in ensuring that BTC have been able to provide NOLs to the designs and to ensure that the construction schedule remains on-track.

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

The activity for the revision of CC action plans is currently being implemented in each province as it is bundled with the consultant services contract for the vulnerability assessment. On request, the TSU provides technical support and advice to the consultants implementing these studies

Remarks:

Revision of CC action plans is expected to take place in 2018.

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. This includes ensuring that the data received from the various studies (particularly the climate change, CC, and hydrology/hydraulics, HH, studies) is processed, sorted and structured into a comprehensive database. Training in GIS in the provinces is on-going and the TSU's GIS expert supports this process to ensure that the technical officers at the provincial level understand the database and are able to use the data in real applications

Remarks:

The activity is on-track. Data for the CC and HH studies has been processed. Support will be provided in 2018 to ensure that the database users are well-trained in its use.

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

In 2017, experts from the TSU supported the provinces with technical advice for implementation of the following studies and design activities:

Table 7 PCU technical activities supported by the TSU

Ha Tinh	Ninh Thuan	Binh Thuan
Climate change downscaling study (completed)	Climate change downscaling study (completed)	Climate change downscaling study (completed)
Hydrology/hydraulics study of Rao Cai river basin (completed)	Hydrology/hydraulics study of Dinh river basin (completed)	Hydrology/hydraulics study of Luy river basin (completed)
GIS system for data management (on-going)	Saltwater intrusion at downstream of Dinh river (completed)	Salinity and coastal stability study (initial phase completed, but extension proposed)
Criteria/standards for design of Eco-house (completed)	Study for Early Warning System and GIS data management (on-going)	Groundwater study (on-going)
Vulnerability assessment study including revision of CC action plan management (on-going)	Efficient irrigation model for grape cultivation (on-going)	GIS system for data management (ongoing)
Coastal groundwater study (on-going)	Integrated river and reservoir management for flood & drought (on-going)	Vulnerability assessment study including revision of CC action plan (on-going)
Rao Cai water quality study (on-going)	Vulnerability assessment study including revision of CC action plan (on-going)	Demonstration of water efficient agriculture model (on-going)
Investment for mangrove nursery and mangrove area rehabilitation	Study for strengthening irrigation management, including PIM (on-going)	Design activities for investments at Luy River embankment, Luong Son water supply works and Song Dong river drainage (completed)
Design activities for investments at Ben Da retention lake, Dap Hau culvert, NW drainage works, environmental parks, urban street drains, Thach Quy drain, Duc Thuan drain, Trung Luong drain, Binh Lang retention lake, Thuan Loc drain, Bac Hong retention lake.	Domestic water supply planning (on-going)	Communications activities
Communications activities	Design of Cau Ngoi drain investment works. (Complete)	
	Communications activities	

One of the most significant tasks was to provide advice and support to consultants who were conducting 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 2017 a considerable volume of the technical work was 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 international and national town planning advisors worked with the PCU in Binh Thuan to assess current status and to identify needs with respect to the urban planning activities. After a consultation workshop with the three PCUs, only Binh Thuan opted to proceed with the detailed activity for urban planning. Given that since the initial project formulation in 2011 and 2012, a considerable amount of urban planning work has been on-going in Ha Tinh and Ninh Thuan. Because new urban planning had been recently conducted, these two provinces decided to not continue with this activity. The TOR for the urban planning revision in Phan Ri Cua and Chao Lo in Binh Thuan province has been completed and it is anticipated that a consulting contract will be signed in March 2018.

In order to not miss the opportunity availed by the volume of detailed information on CC and flooding, the TSU has commenced an initiative to develop a "Guideline for Urban Climate Resilient Planning". The guidelines cover building resilience to climate change in Urban Planning through integration of strategic orientations in spatial planning and water sector using project specific sectoral studies on hydrological modelling and climate change downscaling. The focus of this report is to provide a demonstrative understanding of the necessity, and use of, spatial planning tools of Geographic Information Systems (GIS).

As listed in Table 4, a workshop to introduce SSP and climate resilience in Urban planning and the application of CC and flood information from studies was conducted in Ha Tinh on 25/10/17.

Remarks:

This activity is being conducted by the TSU's national and international urban planning specialists and will be completed in Q4 2018.

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 financial planning and application of the Financial Management Tool. The event was conducted in Hanoi 10 participants including financial offices from the TSU, the three project provinces as well as from BTC's RALG project which plan to also adopt the same system.

The effectiveness of this event and the overall support to strengthening financial planning is demonstrated by a significant improvement in the quality of the reporting and planning presented by the PCUs. The financial management tool is being used by the provinces to not only create projections for future planning, but also to track disbursement more accurately and timely.

Remarks:

The activity is on-track. No further formal training for the PCU staff is anticipated at this stage.

TSU Support for Communications Activities in Project Provinces

TSU Website

As part of the program for technical support, the TSU's team of communication specialists continued to provide support for Communication and Community Development (CCD) in the project provinces. This included launching the program's website: www.bdkh.mpi.gov.vn which provides up-to-date information about provincial activities. The website also links with the websites of the province-level projects, and of relevant ministries, sectors, and donors.

The website has become a reliable information source for sharing information about project activities including with ministries, donors, and international organizations. Traffic to the TSU website includes more than 13,600 hits on the Vietnamese-language version, and more than 11,600 hits on the English version

Support for training and workshop events held by PCUs:

CCD activities in the provinces are largely led by the staff of the PCU. The role of the TSU's communication experts is to support the provinces in the planning and implementation of these activities. The following is a brief summary of the activities and events supported by the TSU.

- In Ha Tinh, the TSU supported a provincial initiative to training on communication skills. Six courses were provided on climate change adaptation, water resources management and urban development for representatives from District's and communes People Committee and other local organizations such as the Women's Union, Youth Union, Famer's Union, and VN Red Cross. The districts included Cam Xuyen, Thach Ha, Loc Ha, Ha Tinh city and Hong Linh Town covering about 300 participants.
- In Ninh Thuan the TSU communication expert participated in training held for visual toolkits for communication at the community level. This included more than 50 participants from districts, wards, communes, and schools.
- All together in 2017 the provincial projects have organized more than 60 CCD activities, with the direct participation of more than 3,500 people.

Communications and community development at TSU and 3 provinces in 2017

During 2017, the TSU Communication Experts have supported the PCUs to establish Communication and Community Development (CCD) networks and to conduct capacity building for these networks. This included information on preparing communication tools, planning and creating communication activities and events. Training events included topics on climate change, integrated water resource management and urban planning.

The activities were implemented in different forms, including development of communications tools, organizing contests, forums, seminars, round-tables, and tours for experience sharing, and many other activities in localities. Through this work, thousands of people have been introduced to key messages on climate change, integrated water resource management and urban planning. The activities have accordingly contributed to change behaviours in responding to climate change of these people, who include managers, ordinary people, and entrepreneurs.

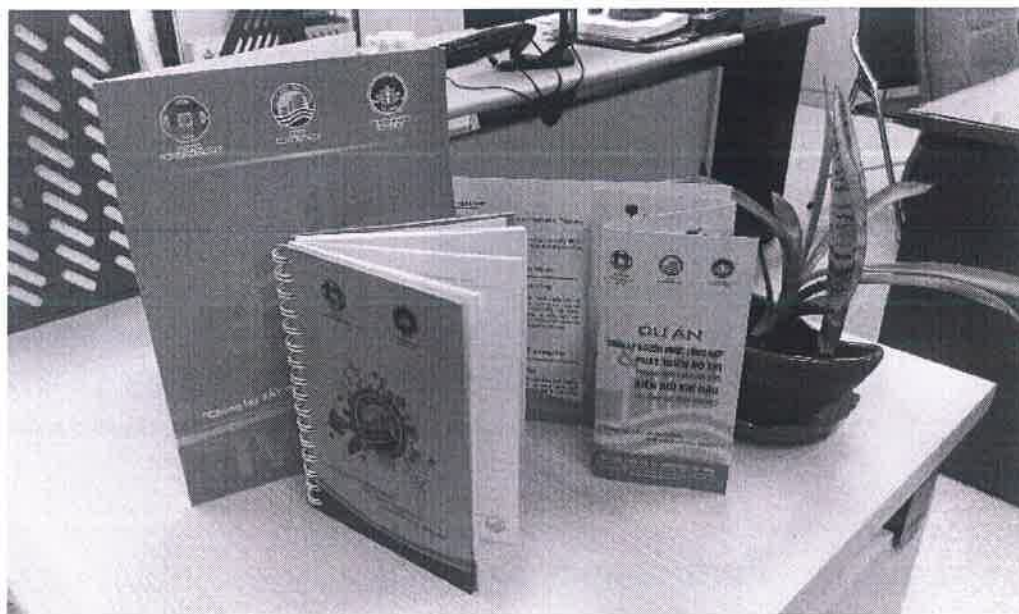


Photo 1: Sample of communications materials developed in Ninh Thuan

Notably, the CCD staff have not only highlighted activities that already or will be implemented, the staff have also shared experiences in implementing the activities, including experiences in attracting the participation of the community and private sectors, experiences in communications in mass media, and experiences in producing communications tools such as video clips.



Photos 2 and 3: A drawing contest for pupils and a forum with young people in Ha Tinh province

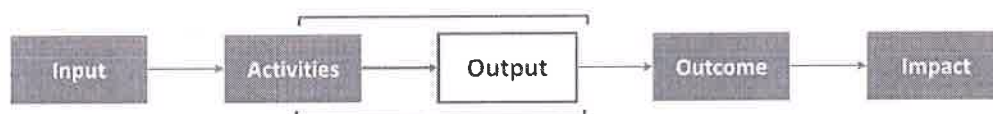


Photos 4 and 5: A contest for women and a communications activity in Binh Thuan province



Photos 6 and 7: A round-table discussion on green lifestyle and tree planting activities in Ninh Thuan province

2.4 Performance Output 2



2.4.1 Progress of indicators

Table 8 Output 2 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%	78%	89%	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 two 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 initiative to develop a "Guideline for Urban Climate Resilient Planning". In two workshop events, senior government officers from central and provincial levels were brought together to discuss the issues surrounding the need to enhance the practice of urban planning in Vietnam with emphasis on spatial approaches taking into account climate change and other environmental constraints.

The two 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 89% 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 67%, 100% and 100% respectively.

2.4.2 Progress of main activities

Table 9 Progress Rating for Output 2 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

Over the course of the project this activity line has been re-oriented to support initiatives which address climate change issues relevant to the priorities of government, particularly MPI and MARD.

During 2016 an initiative was developed 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. The study on the GoV's COP21 commitment was completed during 2017 and the work supporting the review of urban policy will be complete in Q1 2018.

In 2017, seven new studies were developed (refer to Table 10) to support the institutional agendas with regard to CC in MPI and MARD. This list of priority activities was developed in consultation with stakeholders in both ministries and it responds to high-priority needs emerging from the government's response to CC. The list of studies was approved by the steering committee in December 2017 and study procurement will take place during Q1 2018 with completion expected prior to the end of the year.

The opportunity to be able to support these initiatives arose from a review of the budget situation in the TSU. The funds for the studies (totalling EU587,000) come a number of budget lines which were either over estimated in the original TFF or have been re-prioritised more recently. This includes about EU280,000 (or 20.5%) from the budget lines for *National institutional staff* (A-01-01), *Vietnamese technical assistance* (A-01-03) and *Vietnamese and international consultants* (A-01-04). In amongst the other 10 budget line reduced, the largest (EU97,000) comes from savings in the line *Flights and per diem* (A-02-01).

Table 10 List of new technical studies supported by the TSU

Item	Study title	Budget (EUR)
1	Preparation of guidelines for integrating climate change issues into the National Socio-Economic Development Plan (SEDP)	35,000
2	Replication of Climate Public Expenditure and Investment Review (CPEIR) process in five central highland provinces	91,000
3	Replication of CPEIR process in six provinces in the north-central provinces	91,000
4	Guidelines for mainstreaming GHG mitigation and environmental protection into the investment cycle including project proposal, preparation, implementation and operation	88,000
5	Solutions to some urgent issues in integrated water resources management for Dong Nai river basin in the context of climate change toward sustainable socio-economic development	110,000
6	Determining the additional changes of investment costs for irrigation infrastructure with climate change adaptation – Case study for tidal sluice gates in northern and central areas	77,000
7	Technical Guidelines for prioritization of Investment in CC Adaptation in the water resources sub-sector for sustainable agriculture in Mekong delta	95,000

Activity A03.02.01: Advisory committee establishment

The establishment of a technical advisory committee (TAC) was cancelled in 2016.

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

During 2017, 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.

Further experience sharing and coordination activities are anticipated for 2018.

TSU involvement in specific activities is listed in Table 11. Cooperation also includes meetings with other programs from development partners including World Bank, ADB, GIZ, JICA and the Rockefeller Foundation.

Table 11 List of events and contribution from TSU in 2017

Date	Event Description	Contribution from TSU
09 February	Donor Coordination Meeting DRR, Water supply & Sanitation (ADB, WB, GIZ & other development partners)	Participated in round-table discussions
02 March	Working group session on Urban Community-Based Disaster Risk Management (UCR-CoP)	Participated in round-table discussions
28 March	Donor Coordination Meeting (ADB, WB, GIZ & other development partners)	Participated in round-table discussions
05 April	Roundtable discussions on CC issues with Mr. Rudy Huygelen, Chief of Cabinet of the Minister of Foreign Affairs and European Affairs of Belgium	Participating in discussions along with other experts from ADB & UNDP.
16 May	Working group session on Urban Community-Based Disaster Risk Management (UCR-CoP)	Participated in round-table discussions
22 June	Donor Coordination Meeting (ADB, WB, GIZ & other development partners)	Participated in round-table discussions
22 June	Meeting with NZAID at New Zealand embassy	Discussion on cooperation opportunities
06 September	WAMADE workshop with visiting team from Belgium plus Belgian Ambassador and other representatives	Gave presentation on the CC program
14 October	EU Climate diplomacy fair	Supported the BTC booth to display information about Belgian activities about CC

Activity A03.03.02: Data collection at national level

No new activities in 2017 were undertaken with this budget line.

Activity A03.03.03: National and international study tours

One member of the TSU Board of Directions was supported to attend the COP23 event in Bonn, Germany.

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 2017. As part of an overall plan for knowledge management specific topic areas for technical workshops will be identified for 2018. This may include topics such as approaches to vulnerability assessment, integration of green growth concepts in urban planning.



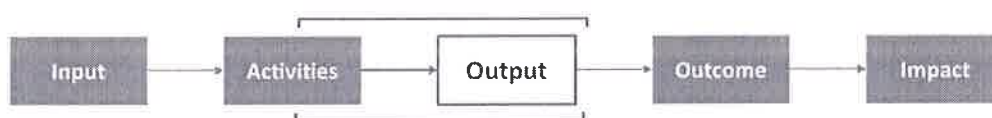
Activity A03.04.01: Contribution to the VUF

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 2017 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. The TSU gave a presentation at the WAMADE workshop event on 06 September 2017.

2.5 Performance Output 3



2.5.1 Progress of indicators

Table 12 Output 3 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.	89%	tbd	tbd

2.5.2 Progress of main activities

Table 13 Progress Rating for Output 3 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:</i> Capacity building in M&E in CC with IT tool, training and consultancy		✓		
Activity A04.02: Production and dissemination of lessons learned				
<i>Activity A04.02.01:</i> Collection of experiences, production concept notes		✓		
<i>Activity A04.02.02:</i> Dissemination of lessons learned		✓		

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 the PCUs for application of tools for financial management and tracking of contract milestones. The TSU's M&E expert continues to work with the PCU's to ensure that the system is updated and the results are reported in a timely manner.

In addition, the TSU GIS specialist has hosted several detailed technical discussions with stakeholders at the provincial level about support for maintaining a database of project results in GIS. This activity will continue in 2018.

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

Activity A04.02.02: Dissemination of lessons learned

The TSU website (<http://bdkh.mpi.gov.vn>) has been operational since Q3 2016 and it is regularly updated with information about events from the TSU and from the provincial projects. In 2017, over 20 articles in both English and Vietnamese on project activities were posted to the website.

In planning for 2018, 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.

Specific activities for Knowledge Management include recruiting a consulting team to pull-together a suite of knowledge products (short reports, brochures etc) on project outputs. Additionally, workshops are planned for 2018 to share and disseminate results.

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.

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 2018 management of potential environmental impacts will need to be managed during the construction 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-18	A new monitoring tool was developed to better track contract milestones 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	Medium	Medium	Medium Risk	Maintain good project management practices in the TSU, including managing human resources and controlling work plans. Provide clear definition for roles and requirements	TSU	Dec-18	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
Capacity building potential may not be realized if the results from the studies are not transferred properly and recipients are not provided with concrete applications	2017	OPS	Medium	Medium	Medium Risk	Use national and international support to review reports and ensure international quality and results are presented in a transferable manner	TSU	Dec-18	TSU has planned events for knowledge sharing of results and lessons learned, however more follow-up is required in 2018	In Progress
Knowledge management needs to be assured. The results from studies are important however current 'thick report' formats don't readily allow for publicizing of results and findings.	2017	OPS	Medium	Medium	Medium Risk	Develop Knowledge Management Plan for planning what (and how) results will be reported and disseminated. Engage external consultant support as required	TSU	Dec-18	Considerable effort has gone into reviewing the reports for the major studies on CC and HH. Poor quality of initial drafts has made this task difficult. Many studies are underway or launching therefore this need will continue	In Progress

Disbursement rates are less than planned and activities and inputs need to be managed carefully until completion.	2017	OPS	Medium	Medium	Medium Risk	Clearly define working plans and schedule of activities.	TSU	Dec-18	Planning being conducted for 2018 to ensure timeliness of all TSU activities	In Progress
New study activities to be conducted with TSU funds have tight deadlines to ensure timely completion	2017	OPS	Medium	Medium	Medium Risk	Clearly define responsibilities and ensure high-level management support in MPI.	TSU	Dec-18	MPI have assigned Mr Tuan Anh to project manage the TSU funded studies. Coordination enhanced also with MARD to ensure support	In Progress

3 Steering and Learning

3.1 Strategic re-orientations

As the project enters its final year for the implementation of activities, no further re-orientation of overall direction is expected. During 2017, the main change in direction for the TSU has been the development of new studies to support CC initiatives in MPI and MARD (as described in Section 2.4.3).

In the coming time, the priority for the TSU will be:

- To continue to support the provinces in the implementation of their activities
- To monitor progress and to review results from provincial activities as they become available
- To manage the successful implementation of the studies being commissioned by the TSU.
- To ensure appropriate steps for knowledge management and sharing of project outputs

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

<p>Enhance communication mechanisms between all parties – TSU, PCUs, BTC – to ensure clear understanding and timely action. Clear tracking of contract milestones assists communication and provides good supporting evidence to back-up financial planning and projections of project progress.</p>	<p>TSU</p>
<p>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.</p>	<p>BTC</p>

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.	
03 National 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	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			Approved at SC meeting September 05, 2015
Submission by MPI to BTC no objection of the procurement bidding documents			SC Minutes	BTC & TSU	Complete			Approved at SC meeting June 24, 2016
Decrease budget line A 01 04 02 by EU46,000 because there is no longer a demand for this position			SC Minutes	BTC & TSU	Complete			Approved at SC meeting June 24, 2016
Increase budget line A 01 04 05 by EU48,000 to ensure adequate funds for the consultant.			SC Minutes	BTC & TSU	Complete			Approved at SC meeting June 24, 2016
Decrease budget line A 01 04 06 by EU2,000 to re-allocate funds between sub-activities			SC Minutes	BTC & TSU	Complete			Approved at SC meeting June 24, 2016
Increase budget line A 03 01 by EU25,000 to conduct institutional studies at a national level.			SC Minutes	BTC & TSU	Complete			Approved at SC meeting June 24, 2016

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	

Decision			Action				Follow-up		
Decision	Identification period (mmm. yy)	Timing	Source*	Actor	Action(s)	Resp.	Deadline	Progress	Status
Agree to recruit 01 urban policy expert using budget line A 01 04 06 (other consultancy) to support MOC conducting "Vietnamese urban policy review" (cooperation between MOC and OECD). Estimated budget for this activity is 21.000 Euro			SC Minutes	TSU	Complete			Approved at SC meeting March 13, 2017	

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 to be considered.

4.5 Budget and expenditure to 31/12/2017

Code	Description	Budget ¹ (EUR)		Disbursement (EUR)												Balance (EUR)	
		BEL	VN	2013		2014		2015		2016		2017		Total to end 2017		BEL	VN
				BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN		
A0101	National institutional staff	135,000	172,800		18,770	15,011	17,000	24,961	16,259	25,219	13,246	94,402	61,516	69.9%	35.6%	40,598	111,284
A0102	International TA	1,530,000		90,123	231,756		292,503	344,579		284,993		1,243,955		81.3%		286,045	-
A0103	Vietnamese Staff & TA	676,600			35,037		68,853	145,583		165,762		415,236		61.4%		261,364	-
A0104	VN & international consultants	268,095			168		9,461	37,510		76,943		124,082		46.3%		144,013	-
A0105	Training on project management	30,000		4,441	9,841		2,020	649		6,593		23,544		78.5%		6,456	-
A0201	Flights and per diem	50,000			5,723		3,180	14,998		5,550		29,451		58.9%		20,549	-
A0301	Situation analysis	616,000								25,567		25,567				590,433	-
A0302	Advisory committee	-														-	-
A0303	Collaboration mechanisms	161,114	227,200		47,161		21,405	9,206	1,564	15,518	1,893	93,289	6,850	57.9%	3.0%	67,825	220,350
A0304	Networking	30,062			353		16,363	13,346				30,062		100%		-	-
A0305	Study tour	5,000															-
A0401	Capacity building in M&E in CC	400			87							87		21.6%		313	-
A0402	Dissemination of lesson learned	82,000														82,000	-
X0101	Contingencies COGEST	34,900														34,900	-
X0102	Contingencies REGIE	75,000														75,000	-
Z0101	Legal advice	1,500			12							12		0.8%		1,488	-
Z0201	Vehicles	24,429			24,429					(11)		24,418		100%		11	-
Z0202	Office equipment	6,600			3,909		481	41		(192)		4,240		64.2%		2,360	-
Z0203	IT equipment	15,800			14,859		355			(872)		14,342		90.8%		1,458	-
Z0204	Office rent & LAN installation	87,000			16,208		14,406	13,955		11,181		55,751		64.1%		31,249	-
Z0301	Utilities	8,000			376		1,669	926		585		3,555		44.4%		4,445	-
Z0302	Vehicle operating costs	26,000			10,665		2,949	2,845		3,298		19,757		76.0%		6,243	-
Z0303	Communications incl. internet	8,500			988		1,127	1,492		1,082		4,689		55.2%		3,811	-

Code	Description	Budget ¹ (EUR)		Disbursement (EUR)												Balance (EUR)		
		BEL	VN	2013		2014		2015		2016		2017		Total to end 2017		Fract. of budget		
				BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL	VN	BEL
Z0304	Operation costs	42,000			3,287		3,755		6,876		9,038		22,556		54.7%	17.1%	19,044	
Z0305	Steering Committee	11,000			493		4,790		597		382		6,261		56.9%		4,739	
Z0401	Audit	25,000							1,573		2,880		4,453		17.8%		20,547	
Z0402	MTR & PCR	50,000							1,210		18,199		19,409		38.8%		30,591	
	TOTAL	4,000,000	400,000	94,564	424,083	15,011	468,768	20,392	620,346	17,824	651,718	15,139	2,259,478	68,366	56.5%	17.1%	1,735,522	331,634

1. This is the most up-to-date Budget, as was revised in January 2018