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Project Document

Project title: Viet Nam National Adaptation Plan (NAP) Development and Operationalization Support Project	
Country: Viet Nam	
Implementing Partner: UNDP	Management Arrangements : Direct Implementation Modality (DIM)
UNDAF/Country Programme Outcome: <i>CPD Outcome 2: By 2021, Viet Nam has accelerated its transition to low-carbon and green development, and enhanced its adaptation and resilience to climate change and natural disasters, with a focus on empowering the poor and vulnerable groups</i>	
UNDP Strategic Plan Output: 2.3.1 Data and risk-informed development policies, plans, systems and financing incorporate integrated solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent crisis	
UNDP Social and Environmental Screening Category: EXEMPT	UNDP Gender Marker for the project output: 2
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Planned start date: 19 December 2019	Planned end date: 18 December 2021
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Brief project description: Ranked 8 th on the 2017 Climate Risk Index ¹ , Viet Nam is a country highly vulnerable to climate change. Average temperatures have risen by 0.5 degrees and sea levels by 20 cm in the last 50 years. Extreme weather events such as typhoons and tropical storms have increased in frequency and intensity, magnifying socio-economic and health	

¹ Germanwatch, 2017, Global Climate Risk Index 2017. (<https://germanwatch.org/de/download/16411.pdf>)

impacts on rural, urban, coastal and mountain communities, and endangering critical transportation and drainage infrastructure. The Mekong Delta is one of the most susceptible deltas in the world to sea level rise.

Consequently, climate change adaptation (CCA) has been well recognized in Viet Nam through a series of national climate change, green growth, and sustainable development policies, strategies, and action plans. The Government of Viet Nam (GoV) has developed the National Strategy on Climate Change 2012-2020. Some elements of a National Adaptation Plan (NAP) are already in place, such as integration of CCA into the national five-year Socio-Economic Development Plan (SEDP). To date, the government has been able to put in place several key climate change related decisions, including the landmark Plan for Implementation of the Paris Agreement in 2016 and prepare its Nationally Determined Contribution (NDC), which has an adaptation component.

The main readiness challenge in Viet Nam is the lack of capacity in government structures to effectively integrate climate change adaptation into plans and budgets at different levels and to design, operationalize, finance and monitor adaptation actions. Barriers include lack of technical capacity to integrate data and information, and undertake assessments for adaptation planning, lack of capacity for appraising adaptation options in sector and provincial departments, ineffective inter-ministerial coordination, lack of active participation from private sector and local communities, lack of financing strategies, limited government and external resources, and lack of participatory and results-based monitoring and evaluation frameworks.

To address these barriers, the NAP readiness project is designed along the following outcomes:

Outcome 1: Capacity for data integration enhanced and National Adaptation Plan (NAP) prepared and aligned with NDC review 2

Outcome 2: National adaptation plan and CCA integrated into national, subnational, and sectoral development plans and budget of priority sectors with Private Sector Participation

Outcome 3: Participatory results-based monitoring and evaluation mechanism developed and operationalized

These three outcomes and their associated activities will contribute to the overall objective of the project, which is to 'establish an effective system to integrate climate change adaptation into government administration processes in the priority sectors.' The priority sectors to be addressed under this proposal are: Agriculture and Rural Development, Transport, Health, Natural Resources and Environment, and Planning and Investment.

The project will be conducted in two phases. The first phase aims to complete the upstream work, background studies, tools and guidelines, preliminary project pipeline, and capacity building in order to deliver the Vietnam NAP before the end of 2020, the target date set by the government. The participatory and result based monitoring and evaluation (M&E) framework and necessary capacity building support will also be completed in the first phase. The second phase of the project will focus on the implementation of NAP and adaptation mainstreaming as well as its M&E framework. The second phase will also prepare financing strategy together with detailed concept notes of the high priority adaptation projects chosen from the project pipeline prepared in the first phase.

Outcome 1 and 3 will also contribute to the operationalization of the NAP and will be aligned with the review process of the NDC adaptation component. This includes defining priority adaptation options for mobilizing investment, supporting monitoring and evaluation of adaptation, and reporting the results through national communications and forthcoming global stock-takes.

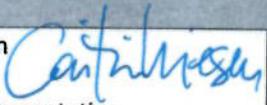
This is a multi-stakeholder project involving collaboration between a number of ministries, including: MONRE (Ministry of Natural Resource and Environment), MARD (Ministry of Agriculture and Rural Development), MPI (Ministry of Planning and Investment), MOT (Ministry of Transportation), and MOH (Ministry of Health). Outside of the GoV, research institutions, civil society and private sector organizations will also be involved.

Outcome 1 - MONRE will be the lead agency to carry out activities, in close collaboration with MPI, MARD, MOT, and MOH.

Outcome 2 - MPI will take the lead in the implementation of Outcome 2 in close collaboration with MONRE, MARD, MOT, and MOH.

Outcome 3 - MONRE will be the lead agency for Outcome 3 to coordinate M&E of the NAP Process in coordination with MPI, MARD, MOT, and MOH. Achievement of NDC targets will also be monitored

² As a part of the overall management and coordination of climate change adaptation, the government envisions that the entire NAP process will align with the National Determined Contributions on climate change adaptation (NDC-Adaptation) review and update process.

FINANCING PLAN		
GCF grant WITHOUT DP FEE	USD 1,787,129.00	
GCF grant WITH DP FEE	USD 1,939,035.00	
(1) Total Budget administered by UNDP	Project Budget: USD 1,787,129.00 UNDP Delivery Partner Fee: USD 151,906.00 ³	
SIGNATURES		
Signature: Caitlin Wiesen Resident Representative	 Agreed by UNDP	Date/Month/Year: 02/06/2020

Disbursement: The UNDP CO is aware of the conditions of disbursement ascribed to the first and subsequent tranches of the GCF funding as specified in the Framework Agreement (FA) (and in particular Clause 4 of the FA). To the extent that these obligations reflect actions of UNDP, UNDP must ensure that the conditions are met and there is continuing compliance, as well as understanding that availability of GCF funding is contingent on meeting all conditions listed in the FA.

³ The total grant amount of GCF approved budget is US\$1,939,035, of which US\$1,787,129 is allocated for all programme related activities. The total Delivery Partner Fee for UNDP, as per approved Project Proposal, is USD 151,906

I. TABLE OF CONTENTS

I.	Table of Contents.....	4
II.	Development Challenge	5
III.	Strategy.....	7
IV.	Results and Partnerships	10
V.	Project Management.....	18
VI.	Project Results Framework.....	21
VII.	Monitoring and Evaluation (M&E) Plan.....	29
VIII.	Governance and Management Arrangements.....	33
IX.	Financial Planning and Management	39
X.	Total Budget and Work Plan.....	41
XI.	Legal Context	48
XII.	Risk Management.....	48
XIII.	Mandatory Annexes	50
	Annex A: GCF approved Readiness and Preparatory Support Proposal	51
	Annex B: GCF notification of approval letter	52
	Annex C: Procurement plan	53
	Annex D: Terms of References for Project Board and Project Team	61
	Annex E: Terms of References for UNDP Staff (as needed).....	62
	<i>Terms of Reference of Technical Services to be provided by UNDP:</i>	62
	Annex F: UNDP Risk Log.....	64

II. DEVELOPMENT CHALLENGE

Viet Nam ranks 8th on the 2017 Climate Risk Index⁴ and suffers from routine extreme weather events such as typhoons and tropical storms, sea level rise, land subsidence, and seawater intrusion. The country has a mountainous landscape and a coastline extending 1,662 km from North to South. The coastal area includes two major deltas, the Mekong River Delta in the South and Red River Delta in the North. These deltas are the major lifeline of livelihoods in Viet Nam. The country has achieved tremendous poverty reduction outcomes over past three decades. Nearly 60% of the population was living in poverty in the early 1990s; whereas the poverty headcount ratio in 2014 was only 13.5%. However, a World Bank report observes that "... many (non-poor) have incomes very close to the poverty line and remain vulnerable to falling back into poverty as a result of idiosyncratic shocks and related economy-wide shocks, such as the effects of climate change on rainfall and temperatures, ..."

Viet Nam is situated at the southeastern tip of the Eurasian continent. As its territory spans many longitudes with diverse topography, the differences in climatic conditions between regions are significant. Annual average rainfall varies between regions, ranging from 600 mm in the North to 5,000 mm in the South with 80 to 90% of precipitation occurring during the rainy season. The timing of rainy season varies based on each ecological zone. However, over the past five decades, changing precipitation patterns have been visibly observed. While annual precipitation has decreased in the North, it has correspondingly increased in the South⁵. It is likely that this trend will continue well in the future. In contrast to the changing precipitation patterns in different regions, average temperature has increased by 0.5°C throughout the country over the past 50 years.

Over the past two decades, natural disasters in Vietnam have caused more than 13,000 deaths and property damage in excess of US \$6.4 billion⁶. This is valued at an annual average of about 1 % of gross domestic product (GDP)⁷. According to climate change projections, in the next 50 years Viet Nam has a 40% chance of experiencing economic losses exceeding VND 141.2 trillion (US\$6.7 billion) and a 20% chance of experiencing losses exceeding VND trillion (US\$8.1 billion).⁸ The most recent flood disaster in 2016 resulted in \$227 million in total damages and losses. Of these damages, 46% and 31% of total losses occurred in the agricultural and transport sectors, respectively, followed by 19% in irrigation and flood control infrastructure and 4% in the housing sector. Recent health studies⁹ in Vietnam have illustrated: (i) worsening health conditions when temperatures are extremely high; and (ii) lack of capacity of the health care system to cope with the impacts of extreme weather and climate events such as flood, storm surge, landslides, and drought. High heat events are likely to increase in frequency and severity with climate change.

The NDC for Viet Nam observes that the most vulnerable sectors, regions and communities to climate change are as follows: Sectors: agriculture, natural ecosystems, biodiversity, water resources, public health, and transport and other infrastructure; Regions: the deltas, the central coast, and the mountainous regions in the north and central highlands; Communities: the poor, ethnic minorities, the elderly, women, children and people with disabilities. The vulnerable groups have been identified as part of the National Climate change Strategy development and related policies of prioritized sectors. With close to 300,000 km of road and other transportation networks, most of which is along the coastline and in mountainous landscapes, Vietnam's transport infrastructure is susceptible to climate change-induced natural disasters such as flood and landslide, storm surges and strong wind, and sea level rise.

Sea level rise and urban inundation are major climate threats and are expected to affect coastal zones, transport and other infrastructure, urban drainage systems and industrial parks. There are considerable risks to residential areas affected frequently by storm surges, floods, riverbank and shoreline erosion, or areas at risk of flash floods and

⁴ Germanwatch, 2017, Global Climate Risk Index 2017. (<https://germanwatch.org/de/download/16411.pdf>)

landslides. Issues related to construction and transportation will require planning for climate resilient infrastructure. With over 50% of Viet Nam’s population will live in cities by 2030, they are highly exposed to rising sea levels, coastal salination and flood risks and related adaptation challenges.

In 2100, if the sea level rise 100cm, the following impacts are expected: Population: 9% of Red River Delta Provinces and Quang Ninh; 9% of Central Coast Provinces and 7% of Ho Chi Minh City population; Land Loss: 6.3% land areas inundated (10% in red river delta, 2.5% in coastal provinces, and 20% in Ho Chi Minh City inundated); Transport affected: 4% of railway system, 9% of national roads; Most vulnerable is the Mekong Delta with 39% areas will be inundated, 35% population attached and 40.5% of total rice production loss if no action taken. Climate impacts are disproportionately distributed, particularly affecting poor communities and vulnerable groups.

The agricultural sector in Vietnam contributes around 18.1%¹⁰ of the national GDP and employs around 41%¹¹ of the total labour force. Therefore, the livelihoods of a vast number of Vietnamese are dependent on limited arable land. Most of the poor are now concentrated in the ethnic minorities in the North and Central Highlands where their livelihoods depend heavily on agriculture. Agriculture in Viet Nam is highly exposed to climate risks, and the poor remain one of the most vulnerable groups due to the combination of economic shocks, including from disasters, weather extremes, and climate variability¹². Temperature, access to water, and soil moisture content are among the key factors of agricultural production that are highly vulnerable to climate change and natural calamities (see Figure below).

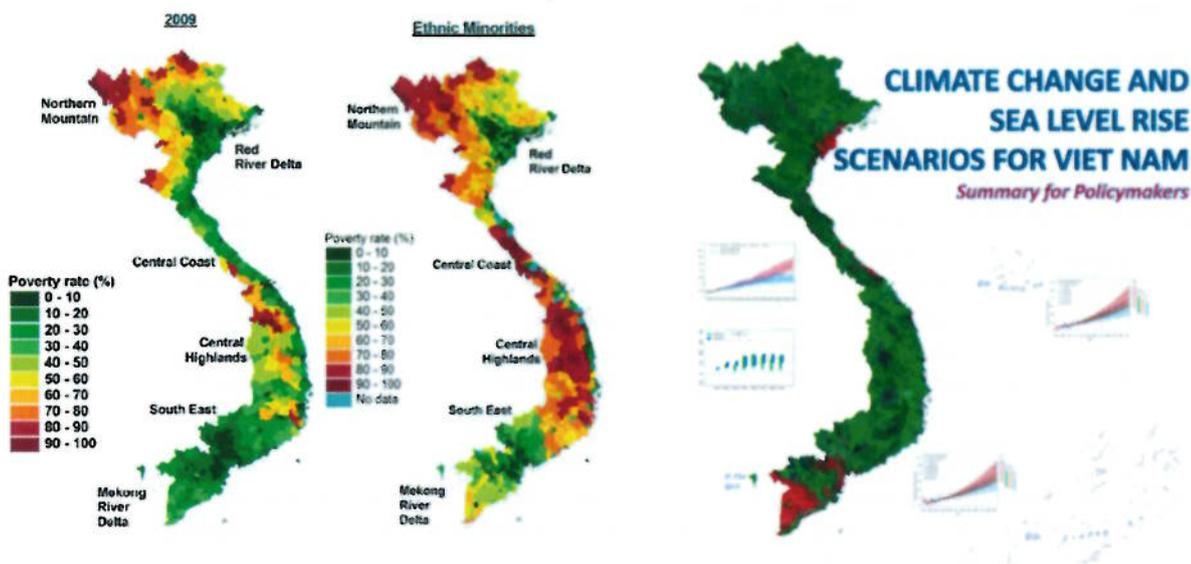


Figure 1: Poverty and Vulnerability Map

In response to the increasing impacts and challenges of climate change, in October 2016, the Prime Minister issued the Decision 2053 to endorse the Paris Agreement with a National Action plan to implement the Paris Agreement from 2020-2030 (PIPA). The Ministry of Natural Resources and Environment is assigned by the Government to develop the National Adaptation Plan for 2021 – 2030 (NAP) as part of the action to implement its NDC and PIPA.

This NAP readiness proposal builds on the three main climate change relevant policy instruments currently in place in Vietnam, namely, the NDC, the Plan for Implementation of the Paris Agreement, and Viet Nam’s Socio-Economic Development Plan (SEDP) 2016-2020. Fundamentally, this proposal is designed to support the Government’s efforts

10 *Ibid.* <https://data.worldbank.org/indicator/NV.AGR.TOTL.ZS?locations=VN&view=chart>

11 General Statistical Office of Vietnam, 2017, Report of Labor Force Survey: Quarter 1, 2017

12 General Statistical Office, 2015, Report of Labor Force Survey.

to address the barriers that have impeded the achievement of adaptation objectives and strengthen an effective system to fully integrate climate change adaptation into the Government's planning and operation process.

The proposal aims to accelerate transformative solutions and actions to address the urgent needs of climate adaptation across key sectors of Agriculture, Natural Resources and Environment, Transportation, and Health as well as at sub-regional levels. The project systematically strengthens the institutional capacity and builds effective synergies of climate adaptation policy frameworks at the national level as well as across the key prioritized sectors as an integral part of Viet Nam's NAP process. Building on both national and international good practices, key sectors will be supported in their identification and conceptualization of co-benefits and transformative adaptation project pipelines to enable the continuous integration or alignment with Viet Nam's NDC.

III. STRATEGY

This project is prepared to support the Government of Viet Nam's vision to strengthen its capability to effectively integrate climate change adaptation into the government's administration processes in priority sectors. These processes encompass policy formulation, development planning, budgeting, implementation, and monitoring and evaluation. So far, the Government has already put in place several key climate change policies, strategies, action plans, and decisions including the landmark Plan for Implementation of the Paris Agreement in 2016.

However, the effort to move from policy and plan to adaptation actions with actual results and outcomes on the ground can be further strengthened by addressing key barriers identified in documents including the SEDP 2016-2020, CPEIR (2015), NDC (see Annex 2), and stocktaking report for the agricultural sector. **The main underlying challenge, as clearly stated in the NDC, is the lack of capacity and resources to effectively integrate and coordinate climate change adaptation into plans and budgets at different levels and to operationalize and monitor adaptation actions that will lead to tangible results on the ground.**

This underlying lack of capacity can be disaggregated into the following barriers:

Lack of technical capacity to integrate data and information and undertake assessments for adaptation planning:

To integrate climate change adaptation into relevant government's apparatus, the capability to interpret data at the national, sector, sub-national, river-basin level, both climate related and corresponding socioeconomic data is required. Viet Nam has a comprehensive national climate data and information system from its weather stations though out the country, however effective and timely integration between climate data and socio-economic data has yet to be established and is not widely accessible available to line ministries at the national and subnational levels. Climate change risk and vulnerability assessments are also not available for several sectors and geographical areas.

Lack of technical capacity for appraisal of CCA options: The NCCS, the NDC, and the Plan for Implementation of the Paris Agreement have provided a list of high priority climate change adaptation (CCA) actions to be carried out from 2016-2030. Even though MPI has adopted the Adaptation Prioritization Framework (APRF) in 2013, it is not clear whether all tasks, especially sectoral specific tasks have been subjected to rigorous appraisal in terms of climate and other economic or social co-benefits, technical soundness and potential alternatives, financial attractiveness, potential environment and social impacts, as well as long-term sustainability both from the technical, operational, and financial aspects. Furthermore, to attract private sector participation to invest in climate change adaptation measures, the government needs to go through proper due diligence and appraisal process to ensure participating private sector that their investment would yield sufficient returns under a given risk level. Appraisal capacity needs to be supported also with impact evaluation capacity – to carry out suitable evaluation of potential climate change impacts on specific sectors. Without these capacities, ministries cannot identify and plan for appropriate actions to cope with the potential impacts of climate change.

Lack of effective inter-ministerial coordination: The NDC has pointed out that although the government has committed substantial efforts in implementing climate change adaptation, there is still ineffective coordination between line ministries (as well as intra-agencies within a ministry), related sectors, and localities to efficiently respond to climate change which are cross-sectoral and inter-regional in nature. The Plan for Implementation of the Paris Agreement (2016) takes this coordination issue forward as one of its main objectives i.e., to enhance coordination of regional and inter-sectoral issues. However, for the high priority tasks to be implemented during 2016-2030, coordinated tasks among related agencies are not defined. The National Climate Change Committee (NCCC), a policy advisory body to the Prime Minister relies mainly on the secretariat support from MONRE, does not have adequate capacity nor mandate to step up and fill the coordination gap.

Lack of private sector participation to implement climate change adaptation measures: The private sector lacks awareness of impacts of climate change that could have severely affected private sector operations and their bottom-line. Furthermore, they do not have access to tailored climate information products to climate proof their own investments, and neither do they have good understanding of climate change risks to invest in proper risk management of adaptation options. Importantly, the financial intermediaries do not have knowledge and capacity to evaluate climate change risks and how to evaluate adaptation loan applications. The NDC has indicated that the costs of climate change adaptation would reach 3% - 5% of the Gross Domestic Product (GDP) by 2030 and that the government's resources can only meet one-third of the financial needs to implement climate change adaptation measures aimed to minimize the economic impacts of climate change. Multiple benefits (e.g., development and climate benefits) from spending limited resources would need to be quantified to maximize the value of the investment. As Viet Nam is progressing toward higher Middle-Income country status and with the global economy in weak recovery, support from international sources is an inevitably declining trend. Facing limited national and international public resources, the NDC and the Plan make a case for private sector participation in climate change adaptation investment. Success of several critical tasks listed by the Plan is hinged on the availability of private sector participation and investment.

Lack of M&E system to monitor and evaluate how well the goals of climate change policies are being realized: Monitoring and Evaluation of the implementation of the climate change adaptation response was included as a key part of the NDC which would be reflected in Vietnam's Biennial Updated Reports and National Communication and shared with UNFCCC. However, specific climate change adaptation M&E guidelines, a framework and indicators for line ministries are not available. Participation from broad stakeholders in the M&E process would help build public awareness and support of government's response to climate change. Tracking of expenditures on CCA is also difficult to assess. The CPEIR (2015) also revealed that: (i) data on public expenditure both investment and recurrent expenses were not readily available as they were held in various formats cross government agencies; (ii) definition and typology of climate change spending were not explicit; and (iii) only outputs (e.g., kilometer of irrigation canal built) of the spending were monitored and data on the intended results (e.g., improved yields and income) were not available.

Throughout the project design, important gender aspects such as participation, empowerment, vulnerability, and equality are included. Taking advantage of the rich knowledge base and lessons learned in Vietnam, the gender assessment and mainstreaming exercise will be led by a dedicated gender specialist who will work closely with the multi-disciplinary NAP project team to ensure that gender balance NAP process would be delivered. Gender data will be collected and analysed as part of the risk and vulnerability assessments under Outcome 1.1; specific procedures and requirements to ensure gender data collection for analysis will be provided in the training. A separate gender analysis report will be undertaken in Outcome 1.2 to provide a comprehensive review of gender gaps in each sector and across regions. The analysis will also explore opportunities to strategically promote gender equality in all sectors.

It should be noted that although government agencies face similar type of barriers, the level of challenges are not the same for each agency. For example, some agencies may have had strong international support over the last few years, so that they have gone through some basic processes to integrate climate change adaptation within their agencies. On the contrary, some agencies may have just begun to put some efforts to integrate climate change adaptation into their policy and plan. For example, the MARD has various different plans that address adaptation issues in different fields like Disaster Prevention; Agriculture; Fishery. Each of this plan is detailed in terms of actions needed. On the other hand, other ministries like MOH, MONRE still lack their sectoral plans for adaptation.

Therefore, measures to address this barrier will have to be tailor-made to suite the specific baseline of each priority ministries.

This NAP readiness proposal is builds on the three main climate change relevant policy instruments currently in place in Vietnam, namely, the NDC, the Plan for Implementation of the Paris Agreement, and the SEDP 2016-2020. Fundamentally, this proposal is designed to support the Government's efforts to address the barriers that have impeded and delayed the achievement of its main objective: Establishment of an effective system to fully integrate climate change adaptation into the Government's administration process. To do so, the project will work closely with relevant government agencies, development partners, the private sector, and local communities to deliver the following three outcomes through a phased approach

Figure 2 below illustrates the Theory of Change (TOC), which is developed to illustrate the project objective. The project goal is to **establish an effective system to integrate climate change adaptation into the government administration process in priority sectors**. The project is designed to address these barriers articulated above through the following inter-connected outcomes and sub-outcomes:

Outcome 1: Capacity for data integration enhanced and National Adaptation Plan (NAP) prepared and aligned with NDC review

Sub-outcome 1.1: Integrated data analytics capability built in priority sectors

Sub-outcome 1.2: NAP developed, consulted, and disseminated

Outcome 2: National adaptation plan and CCA integrated into national, subnational, and sectoral development plans and budget of priority sectors with private sector participation

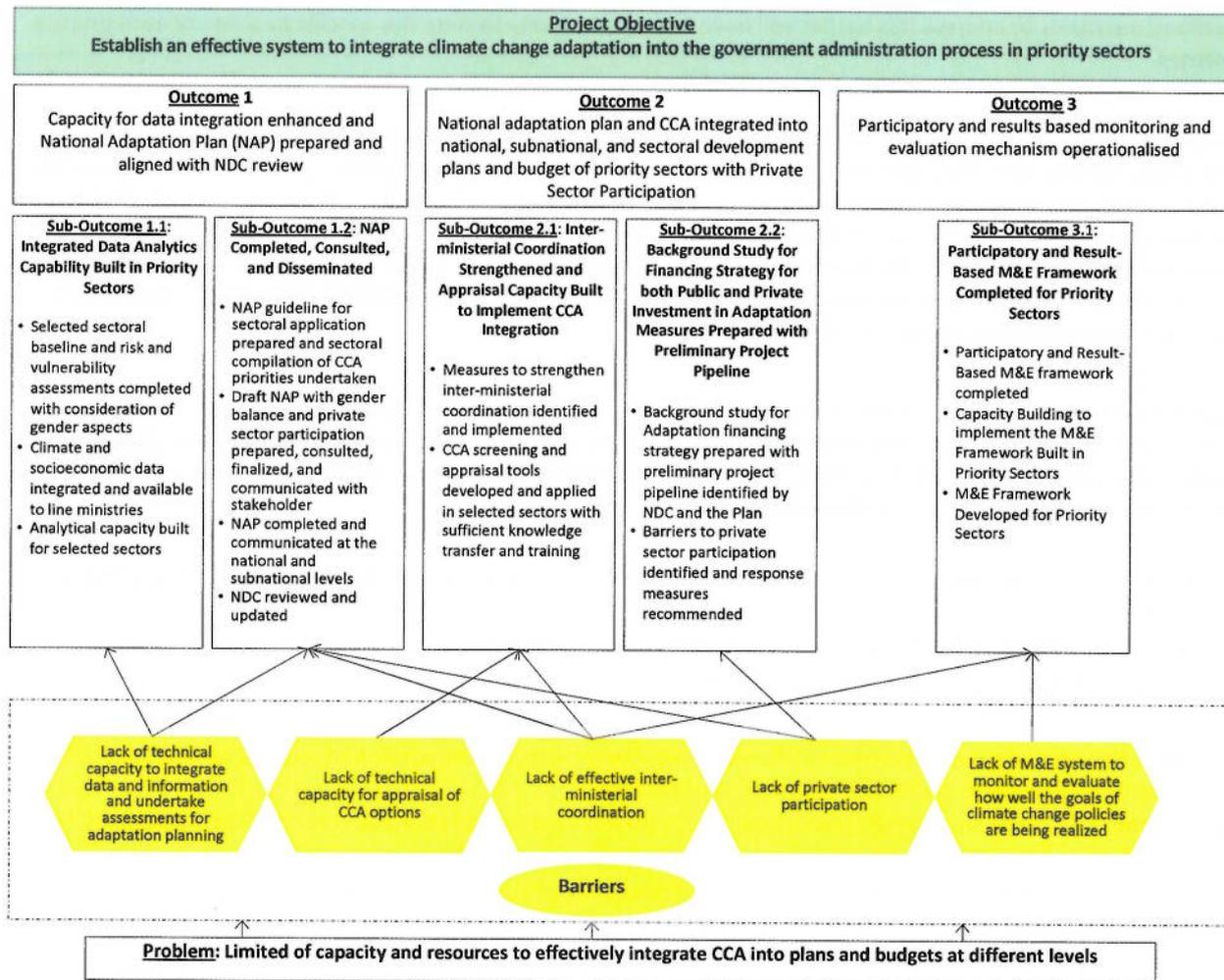
Sub-outcome 2.1: Inter-ministerial coordination strengthened, and appraisal capacity built to implement NAP integration

Sub-outcome 2.2: Background study for a financing Strategy for both public and private investment in adaptation measures prepared with preliminary project pipeline

Outcome 3: Participatory and results-based monitoring and evaluation mechanism operationalized

Sub-outcome 3.1: Participatory and results-based M&E framework developed for priority Sectors

Figure 2: Theory of Change Diagram



IV. RESULTS AND PARTNERSHIPS

Expected Results:

Specifically, the project plans to work closely with relevant government agencies, development partners, the private sector, and local communities to achieve its expected impacts. Below is the description of the key interventions in the project:

Outcome 1: Capacity for data integration enhanced and National Adaptation Plan (NAP) prepared and aligned with NDC review

This first outcome will support the government in building a necessary foundation to prepare a NAP and integrate adaptation into national, sectoral, and local plans. Extensive consultation with relevant stakeholders at the national and subnational levels is crucial for the NAP drafting process. The NAP will have to be aligned with the NDC update/review process and implementation, including the national coordination role of MONRE and implementation roles of other ministries and stakeholders at national and local levels. To deliver Outcome 1, activities are designed to address the lack of climate and socioeconomic data integration and gaps in capacity to analyze potential climate change impacts for key economic sectors. These activities will be completed within the first year of the project implementation and their outputs will become necessary building blocks of Outcomes 2 and 3.

Sub-outcome 1.1: Integrated data and analytical capability built into priority sectors This Sub-outcome will specifically address data fragmentation and the lack of analytical capacity to integrate climate change adaptation into national and sectoral plans. The activities under this Sub-outcome will support the government to have strong data and analytical foundation to undertake effective integration of climate change adaptation into national and sectoral plans. The same data and information utilized in integration will be used as one of the inputs into capacity building programs with practical outputs, namely sectoral baseline climate change risk and vulnerability assessments completed for the priority sectors, which are agriculture, health, natural resources and environment, and transport. The project will have an open interface that effectively links climate data with socioeconomic data. It will be developed and made available for line ministries to connect their own data acquisition system (Outcome 1). These datasets will be maintained and systematically updated as part of the NAP planning process by line ministries and the private sector. The interface will be built on the existing work of the Viet Nam's Climate Risk Index Website (www.climaterisk.org.vn).

The project will apply systematic climate impacts and risk assessments across sectors and regions, as part of NAP development process. An open source knowledge platform (www.climaterisk.org.vn) for vulnerability and risk assessments will be developed for all key sectors (Activity 1.1.1). This is built on the existing good practices of the climate risk index and vulnerability assessments for 4 key sub-sectors in Agriculture Sector (developed under the NAP-Ag Project, which completed recently). The platform will also include information on vulnerable populations (demographics and sub-regional plans), which will be updated periodically. One of the key knowledge gaps of the NAP-Ag project is to assess the impacts of climate change in Agriculture sub-sectors. This gap will be addressed in the NAP Project.

Overall, the NAP Process project will expand work to: (i) update the latest socio-economic baseline data from recent household census; (ii) analyse the climate scenarios for each targeted sector (data for the agriculture sectors is already available in the NAP-Ag project - climate risk platform); (iii) expand the risk and vulnerability assessments of different sectors/sub-sectors of Agriculture, Natural Resource and Environment, Health, Transportation; (iv) analyse and assess vulnerabilities and risks of each sub-sectors; and (v) assess the medium and long-term impacts of climate change scenarios of each sectors to prioritise adaptation measures. This exercise will inform the next steps of identification and appraisal of the adaptation measures in the sectors (outcome 1.2).

- 1.1.1 An open interface that effectively links climate data with socioeconomic data will be developed by an IT firm and made available for line ministries to connect their own data acquisition system with this open interface. With combined climate and socioeconomic data, comprehensive analysis can then be performed. This activity will be completed within the first 9 months from the project starting date.
- 1.1.2 This activity will fill the analytical capability gaps (to analyze potential climate impacts on priority sectors) of selected line ministries by providing both a training-of-trainers program and on-the-job exercises to help technical staff analyze climate change impacts on specific economic sectors as a part of the sectoral baseline and climate change risk and vulnerability assessment process (see 1.1.3 below). This activity will be completed within the first 8 months from the project start date.
- 1.1.3 Selected sectoral baseline and climate change risk and vulnerability assessments, with specific attention to gender participation and equality, will be prepared so that gaps and response measures can be designed and integrated into the sectoral plans. These sectors include health, transport, and natural resources and environment. For the agricultural sector (where general baseline, vulnerability, and stocktaking reports are already available) the baseline and climate change risk and vulnerability assessment will focus on in-depth analysis of impacts of climate change to each sub-sectors in agriculture to priority adaptation. This activity will be completed within the first 18 months from the project start date.

Sub-outcome 1.2: NAP developed, consulted, and disseminated This Sub-outcome will focus on supporting the government to synthesize climate change adaptation elements of key policies, strategies, and plans as well as results of additional studies to form the foundation of the NAP. The NAP will be prepared with extensive consultation with key stakeholders, including youth, women, vulnerable groups, and the private sector at both the national and subnational levels. Two approaches will be applied to ensure participation of vulnerable groups into the adaptation planning process. The project will apply a top-down process to collect socio-economic baseline and scientific data

of climate change induced and disaster hazards, undertake scenario-based analysis, and conduct risk and vulnerability assessments to understand the scale and scope of impacts of climate change to the targeted sectors and vulnerable groups (as part of Sub-outcome 1.1.). At the same time, a bottom-up participatory consultation process will be followed with the participation of the identified groups to address their key concerns and incorporate their perspective into adaptation planning (as part of the Sub-outcome 1.2). Representatives from provinces, local communities, CSOs, private sectors, women unions, and development partners will be the key stakeholders for the validation of main challenges and opportunities, solutions, and priorities. Gender disaggregated data will be collected and analyzed as part of the climate change risk and vulnerability assessment under Outcome 1.1; specific procedures and requirements to ensure gender data collection for analysis will be provided in the training. A separate gender analysis report will be undertaken in Outcome 1.2 to provide a comprehensive review of gender gaps in each sector and across regions. The analysis will also explore opportunities to promote gender equality in all sectors strategically. In addition, the National Adaptation Plan process can support analysis and promote risk informed planning to address unavoidable losses and damages. For this, it will identify and implement interventions to address the capacity and planning gaps for losses and damages for key sectors. With respect to unavoidable losses, this project can also build capacity to systematically track unavoidable long-term risks to inform adaptation planning process. Based on the results of climate change risks and vulnerability assessments in Sub-outcome 1.1, the project will identify key sectors for which Viet Nam should initiate action to track long-term unavoidable climate losses and damages. This will support the Government to make progress in tracking and communicating unavoidable L&D of climate in the NDC in the long term. In parallel, there will be complementary efforts from two projects - GCF Coastal Adaptation project and NAP-Agriculture Project to deepen robust methodology (both implemented by UNDP) for Viet Nam to track long-term climate losses and damages. It also helps to identify potential financial instruments/ strategies and policy actions that Viet Nam should undertake to finance these long-term unavoidable losses. The results from GCF Coastal Adaptation Project in 2019, will also feed into the NAP process for Viet Nam in 2020. Effective institutional arrangements, necessary policy frameworks, and mechanisms to deliver adaptation actions on the ground will be one of the key sections of the NAP. The NAP development process will be aligned with the NDC review and update process. The final NAP will be widely disseminated throughout Viet Nam. It will also be submitted to UNFCCC as agreed under the Paris Agreement.

- 1.2.1 To support selected line ministries to prioritize and compile adaptation priorities into their plans, sectoral NAP guideline for key sectors will be developed and institutionalized under close collaboration between the line ministries and MONRE and applied by each priority sector. The guideline will be prepared for priority sectors, including elaborated guidance on inclusion of vulnerable groups and geographical regions. Each sectoral guideline will be prepared in close consultation with the lead sectoral agency as well as relevant authorities such as MPI and MONRE. Adaptation measures for each sector will be identified, compiled, and prioritized to build resilience of the most vulnerable groups in the sector.
- 1.2.2 Assemble the NAP drafting group comprising of government representatives from key agencies, national and international experts. The team will work under the guidance of the Project Executive Board and the Project Management Team. This activity will support the government to prepare a NAP for the period 2021-2030, and to align with the NDC review and update process particularly in relation to adaptation and institutionalized in the future NDC cycles.
- 1.2.3 A background report on gender mainstreaming and gender equality within the NAP framework will also be prepared. The results of this outcome will contribute to the NDC review and update process (2018-2020) as well as for the NDC-Adaptation implementation cycle from 2021 onwards. This activity will be completed within 18 months from the project start date.
- 1.2.4 First draft of the NAP will be completed by the drafting team and circulated to relevant agencies and other stakeholders such as women and youth groups, local community, NGOs, private sector, and parliamentarians, for review and comments. Consultation meetings will be organized to present the draft and collect feedback from stakeholders.
- 1.2.5 The NAP drafting team incorporates feedback and input from stakeholder, relevant experts, and peer reviewers to complete the final draft of the NAP. Once, the final draft is developed it will be submitted to the government for final approval through the government process.
- 1.2.6 Once approved, the NAP will be disseminated using various public media such as prints, online, infographic, television. The information and communication material will be accessible, and publicly shared to facilitate the comprehensive understanding of the targeted audiences. This activity focuses on NAP dissemination using various media such as printouts, online, infographic, public television, etc.

Besides the regular Government channel of dissemination, the project will ensure these communication materials and its channels of communication will be accessible and online to serve different targeted audiences, including private sector stakeholders and vulnerable local communities.

MONRE will serve as the lead agency to coordinate the activities under the Outcome 1, in close collaboration with MPI, MARD, MOT, and MOH.

Outcome 2: National adaptation plan and CCA integrated into national, subnational, and sectoral development plans and budget of priority sectors with private sector participation

This outcome focuses on supporting the government to overcome barriers to operationalizing the NAP so that CCA is integrated into national/subnational and sectoral planning and budgeting, including strong private sector participation. To deliver this Outcome, activities are designed to address the following barriers: lack of appropriate appraisal of climate change adaptation options with co-benefits at different levels of government; limited public resources and shortage of private sector investment in adaptation measures; and lack of effective inter-ministerial coordination to plan and implement climate change adaptation measures. The specific priorities emerging from this project will be mainstreamed in the planning and budgeting processes domestically. Additional investments required will be included in the future iterations of Viet Nam's Country work programme and future investment plan to target GCF and other sources.

Sub-outcome 2.1: Inter-ministerial coordination strengthened, and appraisal capacity built to implement NAP Integration As pointed out by the NDC that although the Government of Viet Nam has put substantial efforts in implementing climate change adaptation, ineffective coordination between line ministries to efficiently respond to climate change still persists. This is mainly because climate change adaptation is a cross-sectoral and inter-regional issue. This sub-outcome is focusing on addressing this coordination barrier by building effective inter-ministerial coordination through capacity building and establishment of systematic processes for inter-agency collaboration on climate change adaptation integration and implementation. Tools to support the identification and appraisal of sector-specific adaptation options will be prepared and implementation training will be delivered.

- 2.1.1 A NAP Implementation Working Group is set up with representatives from priority sectors and supported by national and international experts. This working group is charged with establishing an institutional framework for coordination to implement the NAP by integrating climate change adaptation in priority sectors. The working group will provide guidance and support to implement those measures even after the project is completed (the working group will meet twice a year at the beginning and mid-year, excluding the extraordinary meetings due to its urgency). This activity is focused on developing an institutional framework to facilitate effective inter-sectoral coordination to implement the NAP and integration of climate change adaptation, including representative of line ministries, sub-national authorities and city representatives, private sectors and vulnerable groups. This activity will be completed within the first 18 months of the project start date.
- 2.1.2 Necessary tools such as cost-benefit analysis, multi-criteria decision analysis and other tools will be applied to appraise sector-specific and cross-sectoral climate change adaptation options compiled in the draft NAP, including both physical adaptation and ecosystem-based adaptation (EbA) options. Evaluation and appraisal of these adaptation alternatives will be carried out with respect to technical, financial, economic, and environmental and social impact aspects.
- 2.1.3 Training and on-the-job support will be provided to support the government to prioritize projects at the national, subnational, and sectoral levels. This activity will be completed within the first 18 months of the project start date.

Sub-outcome 2.2: Background Study for a financing strategy for both public and private investments in adaptation measures prepared with preliminary project pipeline as indicated by the NDC, the Government of Viet Nam is likely to finance only one-third of the total financing needs for climate change adaptation responses identified in their NDC. Therefore, the two-third gaps will have to be mobilized from other partners, such as international development partners and private sector (both national and multinational firms). This Sub-outcome will address the lack of resources by developing an adaptation financing strategy. This will be accompanied by a preliminary list of priority projects that can be financed by the private sector and/or international development partners.

- 2.2.1 A Private Sector Finance Working Group comprising of representatives from the public and private sector as well as development partners will be set up supported by national and international experts. This activity will build a cornerstone of the Adaptation Financing Strategy by identifying the barriers to private sector investment in adaptation projects in Vietnam. Short and medium-term responses such as how to fast track Public-Private-Partnership engagement, how to assess climate change risks and how to evaluate co-benefits, and prepare tailor-made adaptation specific financial products and services such as insurance and partial risk guarantees, with particular emphasis on women entrepreneurs, will be designed and reported: (i) Extensive consultation meetings with key stakeholders will be organized by the Working Group to prepare the draft report; (ii) The draft final report will be presented, and feedback collected at a review workshop.

MPI will serve as the lead agency to coordinate the activities under Outcome 2 in collaboration with MARD, MOT, MONRE, and other line ministries.

Outcome 3: Participatory and results-based monitoring and evaluation (M&E) mechanism operationalized

It is critical that implementation of adaptation-integrated plans and budgets are properly monitored and evaluated to ensure effectiveness, efficiency, and impact of government spending. Currently in Viet Nam, participatory and results-oriented approaches in monitoring and evaluation are at the early stage of development. While there are complementary efforts underway by GIZ, UNDP, and others to track climate relevant expenditures, the effectiveness of government spending (especially in climate change adaptation) cannot be readily measured. Effective and results-based M&E is emphasized in the NDC, however the indicators are still nascent and need to be further defined. The revised set of indicators will be reflected in Viet Nam's Biennial Updated Reports and National Communication and shared with UNFCCC. This outcome is designed to overcome the barriers to M&E, especially the current output-based M&E, by establishing a participatory and result-based monitoring and evaluation framework at the national, sectoral, and subnational level to monitor tangible progress of adaptation investment on the ground. All the relevant results and deliverables from the project will be updated in the transparency framework of the NAP M&E system (Outcome 3). Regular NAP results and data will be updated in the NAP M&E system, as well as communicated via the NAP and NDC update process by the Government of Viet Nam. Beyond, 2020 the future M&E mechanisms which will track adaptation and the NAPs processes will be designed and integrated the lessons and foundation of this M&E mechanisms set by several line ministries.

Sub-outcome 3.1: Participatory and Result-Based M&E Framework Developed for Priority Sectors This Sub-outcome will prepare a participatory and results-based M&E framework with clear distinction between output and outcome. Barriers to adopt the results-based M&E system will be identified, and corrective measures will be applied. This effort will be focused on the priority sectors. As part of the line ministry action plan on climate change, and as part of the National Strategy on Climate change, the relevant government M&E mechanisms have been set for 2011-2020. Beyond, 2020 the future M&E mechanisms, which will track adaptation and the NAPs processes, will be designed and integrate the lessons and foundation of this M&E mechanisms set up by several line ministries.

- 3.1.1 This activity will prepare a participatory and result-based M&E framework and implementation guideline by: (i) surveying the current M&E system within each priority sectors; (ii) designing a participatory and result-based M&E framework, identifying required baseline data and information across social, economic, environment, climate and institutional dimensions (big data and data analytic tools will be used when available); formulating appropriate indicators (greater weight will be given to quantitative indicators) that are comparable across space and time; (iv) developing a meaningful and effective participatory process to be included within the M&E framework. The M&E framework and process will enable tracking outcomes of adaptation interventions for vulnerable populations. This activity will be accomplished in close collaboration with the M&E Task Force and responsible units of each priority sectors.

MONRE will serve as the coordinating agency for Outcome 3 in collaboration with MPI, MARD, MOT, and other line ministries.

These three outcomes are closely linked, meaning most activities can be carried out simultaneously in alignment with the four key elements of the NAP process as proposed by UNFCCC (Decision 5/CP.17). The Outcome 1 focuses on addressing key capacity gaps to lay the groundwork and preparatory elements for an improved NAP process. Outcome 2 focuses on building a coherent and effective implementation strategy for NAP in Viet Nam in the coming 10 years. And the Outcome 3 will support establishing capacity and a system for NAP M&E and reporting. Some outputs, such as of the NAP development 2021-2030 and update of adaptation section of the NDC will have to be completed according to the time frame set by NDC and the Plan for Implementation of the Paris Agreement by 2020.

Under the Outcome 1, the project is expected to establish capacity for an effective implementation and related institutional arrangements for NAP across key sectors, as well as to utilise synergies with Viet Nam's NDC cycle. Specifically, the project will address the gaps of technical capacities to integrate data and information to undertake risk and vulnerability assessments in adaptation planning across key sectors. This is the foundation to inform a standardization and coordination of efforts across stakeholders, including private sectors, and ensure an inclusive and effective mobilization of resources and capacity to implement the NAP in Viet Nam. This is the key attribution to ensure the adaptation capacities are consistently and systematically built into the government's administrative process for priority sectors as part of the overall project objective.

Under the outcome 2, attention is given to improve appraisal and coordination processes for effective prioritization, planning and budgeting across sectors. This is a particularly high priority and of significant importance for Viet Nam given the extensive impacts of climate change and increasing socio-economic loss across multi sectors in Viet Nam in recent years. Multiple weakness of sectoral development planning process has been exposed in the past years, including the lack of appraisal capacity for climate options, the poor synergies and frequent silos across sectors to build effective set of adaptation measures, as well as the necessity of enabling a mobilization of resources, particularly from private sector, to address financial gaps for adaptation. By addressing these barriers, it is expected that an effective planning and budgeting system for climate adaptation will be built for prioritized sectors and private sector will play an increasing role in financing adaptation.

The project will focus on an improved participatory and results-based monitoring and evaluation system for NAP and its prioritized sectors. By addressing the gaps of the existing M&E framework across line ministries and building coherent M&E guidelines and trainings for the prioritized adaptation sectors it is expected that the upcoming implementation of adaptation will be tracked nationally.

The sub-outcomes described above for each outcome, and shown in this theory of change, will be carried out in the first phase of the programme. For the second phase, sub-outcomes will be identified based on the results of the project through the first phase. During the preparation of this NAP Readiness project proposal, a range of priorities have been identified that the NDA will set as priority for the second phase of this NAP readiness project, including: (i) developing a bankable project pipelines that corresponding to the NAP Financing Strategy for both Public and Private Investment in Adaptation Measures; (ii) enforcement of the M&E in selected sectors to track the progress and results of Adaptation Measures and enable transparent reporting and a communication system of NAP as part of Government's commitments to Paris Agreement (e.g. National Communication and Biennial Update Report as specified in NDC).

Partnerships: *Describe how the project will work with partners, to achieve results and briefly map what other stakeholders and initiatives are doing to address the development challenge. This should include other GEF/LCDF/SCCF financed projects and other relevant projects. This can be in tabular format. Link the partners selected to the project ToC. For example, what are the assumptions and expected results achieved by partners that are critical for the achievement of results of this project?*

The project proposal has been consulted intensively among active stakeholders in Viet Nam. Under the strong leadership of the Government, including Viet Nam NDA and MONRE, pipeline project initiatives are being consulted for aligning their interventions upon this project. There is a strong commitment from NAP stakeholders, including IFIs, NGOs, donors and UN agencies, who participated in the consultations to share their good practices during the

project implementation under the thematic NAP working groups. National climate change stakeholders are prepared to participate into this NAP process as the main foundation for their future supports of adaptation initiatives, once the proposal is approved.

In particular, the proposal will complement the efforts from two projects - GCF Coastal Adaptation project and NAP-Agriculture Project to deepen robust methodology for Viet Nam to track long-term climate impacts and projected losses and damages. It also helps to identify potential financial instruments/ strategies and policy actions that Viet Nam should undertake to finance these long-term unavoidable losses. The results from GCF Coastal Adaptation Project in 2019, will also feed into the NAP process for Viet Nam in 2020.

The project will also benefit from the recent lessons and good practices of two projects completed by GIZ and World Bank. Specifically:

- **Strategic mainstreaming of Ecosystem-based Adaptation (EbA):** Supported by GIZ, this initiative aims to assist the government to integrate EbA into its policy and more broadly into the society with two selected pilot provinces Ha Tinh (mountain ecosystem) and Quang Binh (coastal ecosystem). This three-year project was completed in early 2018. The project supported the development of climate change risk and vulnerability assessments at the provincial and commune level to identify suitable EbA options for further implementation. Additionally, the project supported the mainstreaming of EbA into specific legal framework at the provincial level such as land-use planning, planning regulation, and provincial climate change action plans to 2020.
- **Mekong Delta Integrated Climate Resilience and Sustainable Livelihood project:** Mainstreaming climate resilience into planning process in the Mekong Delta is one of the key sub-components of the on-going World Bank's financed project, "Mekong Delta Integrated Climate Resilience and Sustainable Livelihood" project. This component provides support to link data and information system to the planning process led by Ministry of Planning and Investment (MPI) with close collaboration with MARD and MONRE. Ultimately, climate resilience will be integrated into the Mekong Delta Socioeconomic Master Plan, related sectoral master plans, and provincial socioeconomic development plan.

Recently GIZ also initiated a new project to Support to Vietnam for the Implementation of the Paris Agreement (VN-SIPA). During this project formulation, synergies and coordination had been made by MONRE to ensure this project and GCF-NAP will be complimentary. The VN-SIPA project focuses on five areas: (i) Advice to MONRE on NDC development and implementation; (ii) Support for the set-up of an institutional framework for implementing the Paris Agreement and integration in sectoral strategies; (iii) Development of five bankable mitigation actions (NAMAs) as a contribution to achieve Viet Nam's climate targets as stated in its NDC; (iv) Implementation of ecosystem-based adaptation measures in two provinces with scaling up potential to achieve Viet Nam's climate targets as stated in its NDC; and (v) Operation of the "IKI interface" for Viet Nam. The Government expects that, as part of the NDC implementation plan, NAP Readiness Support from GCF will support with the development of adaptation pipeline projects and relevant feasibility studies for those pipelines via phased approach. UNDP and GIZ have been closely coordinated in the support to the Government in development and implementation of the NDC. UNDP will ensure that the results from GCF-NAP Process Project will be well coordinated with the current VN-SIPA and other on-going efforts for implement NDC in Viet Nam.

Risks and Assumptions: See Annex F

Gender equality and empowering women: See Gender Mainstreaming Guidance for further information. Ensure gender is meaningfully integrated into the project's strategy, theory of change and results framework.

Addressing gender inequality in climate change adaptation in Viet Nam:

The Government of Viet Nam has shown its commitment to gender equality in climate change and disaster risk reduction through the development of various policies, plans and in their efforts to implement them. However, awareness, understanding and application vary among stakeholders at various levels highlighting that gender mainstreaming in climate change and disaster risk reduction still needs further strengthening.

According to the recent policy brief on **Gender equality** in Climate Change Adaptation and Disaster Resilience in Viet Nam¹³, the key gender gaps include: (i) Gender mainstreaming has begun, but data and integration into policy and practice is incomplete; (ii) Gender stereotypes persist and negatively impact women's advancement within DRR/ resilience building; (iii) Recent trends show that more men are killed in disasters than women, however, women are more negatively affected by the impact in the aftermath of disasters than men; (iv) Women play a key role in protection of their community and family, income and assets, yet their role is not recognized and their leadership is not promoted in public decision-making in relation to CCA/DRR; and (v) Unequal access to and control over land and productive assets, training, information, technology, extension services and finance that limit women's opportunities and capacity for resilience.

The Project will undertake a further in-depth gender assessment and consultation with line ministries to advance relevant interventions to address the following recommendations to promote gender equality climate adaptation agenda.

The key gap areas that the project should prioritize tentatively include actions to support:

- (i) Line ministries, and especially the Ministry of Agriculture and Rural Development (MARD), the Ministry of Natural Resources and Environment (MONRE), and the Ministry of Labour, Invalids and Social Affairs (MOLISA) to cooperate in ensuring that their gender CCA/DRR actions have budget and that gender equality indicators and actions are integrated;
- (ii) The Ministry of Planning and Investment (MPI) to develop a legal decision, technical guidance and circulars to promote gender equity in the implementation of CCA/DRR interventions and investments; and
- (iii) As the mandate of MOLISA includes gender mainstreaming across ministries and sectors and regular consultations with the Viet Nam Women's Union (VWU), NAP should develop a clear workplan to support this process within the government, and work with women's organizations and institutions (e.g. local groups, academia, INGOs, UN) to support this process. Specific intervention on how the NAP should strategically address gender issues and set gender objectives in the coming period of 2021-2030 will be assessed in the gender study of this project.

South-South and Triangular Cooperation (SSTrC): *Describe how the project intends to support/encourage SS/TrC to achieve and sustain results, if applicable. See UNDP SS/TRC for further information.*

At the regional and global level, UNDP will also provide regular sharing and exchange of lessons from its network of countries that receive support from GCF NAP Readiness. These lessons will be regularly updated at the UNDP NAP Platform (<https://www.adaptation-undp.org/>) or via South-South Exchange opportunities. Likewise, lessons from Viet Nam will also be exchanged with other country members in the NAP programme.

Viet Nam is currently developing their first NAP and there will be opportunities to learn from the process with other countries. Currently there are a number of countries who are advancing their process for NAP formulation in the region including Thailand, Bhutan, Sri Lanka, Nepal, Fiji, etc. Through the regional platform, the project will also seek opportunities to encourage knowledge sharing, including virtual platform and/or technical cooperation, from those relevant countries with Viet Nam and vice versa.

Sustainability and Scaling Up: *Describe how the project will use relevant national systems, and specify the transition arrangements to sustain and/or scale-up results, as relevant. How will the intervention continue to be implemented without GCF grant financing once this project is completed? Describe how national capacities will be strengthened and monitored as relevant, and how national ownership will be ensured.*

The sustainability of this project is ensured through the engagement of the appropriate government departments and focal points in the development of datasets and data management systems.

13 http://www.un.org.vn/en/publications/doc_details/550-policy-brief-gender-equality-in-climate-change-adaptation-and-disaster-resilience-in-viet-nam.html

The Project will use their existing systems, such as government databases and the climate risk platform, which is already online, to house the generated knowledge. Roles and responsibilities for maintenance of training products, knowledge products, and data updates will be discussed at the project's inception.

If additional support is required, concept notes to address adaptation planning aspects will be formulated. Moreover - the project results are likely to be sustainable. All the results of the project will directly support to systematically strengthen the planning process and trigger larger scale of financing for adaptation actions of key sectoral ministries in Viet Nam.

By establishing a comprehensive risk-informed NAP with progressive participation and ownership of line ministries, provinces and stakeholders, a transparent M&E system, and a robust implementation guideline to all the actors, the project will be able to mobilize multi-stakeholder' resources towards more effective adaptation priorities.

As key sectoral ministries and provincial development plans will be supported to mainstream climate adaptation in their planning and budgeting processes, the project will also leverage public and private finances to address the key gaps of adaptation in a sustainable manner. Particularly, establishing an indicative public-private investment framework for advancing NAP progress in Viet Nam will be supportive in this regard.

All the resources, including training outcomes, guidelines, and datasets from the project will be systematically documented and maintained in the web-based platforms for NAP, which will likely be linked with the future NDC Implementation Platform in Viet Nam.

V. PROJECT MANAGEMENT

Cost efficiency and effectiveness:

The Project will benefit from global experience of the NAP-GSP team and from its pools of experts in areas such as Climate Information and Science Experts, Climate Change /Environment Economists, Private Sector Experts, Financial Expert, etc. Stakeholder consultations will be periodically organized both at the national, regional, and provincial levels to disseminate project information and progress report as well as to collect feedbacks and recommendations on the project progress.

The development of sectoral plans and NAP related activities under this project will take into account the work already done under the NDA's GCF readiness project in terms of the priority setting, stakeholder consultations, and capacity assessments. The NAP project provides resources for much deeper technical work. The NAP project will be elaborating some of the identified country priorities, prepare in-depth training packages to respond to needs identified through capacity assessments, and design the content of workshops by taking earlier stakeholder engagement activities into account.

The Project will benefit through the implementation arrangements already established under NDA's GCF readiness project and build up existing national experience and knowledge of experts of MARD, MONRE, MPI, and UNDP country office, which will be part of the project board. The same experts have provided guidance and oversight to NDA's GCF readiness project and the GCF coastal adaptation project in Viet Nam. This ensures regular exchange about lessons learned and experiences made through different GCF projects (as part of the GCF project portfolio in Viet Nam), which can support avoiding similar pitfalls and address challenges in a timely manner.

The Project also benefits from regular consultative meetings on the GCF Programme Portfolio, as organized by Viet Nam's NDA annually as part of the GCF readiness project. At the meeting, the NDA ensures that line ministries, stakeholders, and Development Partners exchange lessons, good practices, challenges, and opportunities of their

on-going projects that are in line with the national strategies, to ensure concerted efforts of project interventions are made towards sustainable and transformational change across the portfolio.

National and local stakeholders as well as community members have a key role in the implementation and monitoring of the project. During the inception phase of the project, UNDP will consult with all stakeholders, including vulnerable community members, NGOs, Civil Society Organizations (CSOs), women and youth organizations, etc., to facilitate an understanding of the roles, functions, and responsibilities within the Project's decision-making structures, including reporting and communication lines.

The project Logic Framework (indicators, means of verification, assumptions) will be reviewed and the quarterly and annual work plans will be refined engaging the communities from the targeted locale. The stakeholders will also be engaged during the mid-term and final evaluations to assess the progress of the project and enable adaptive project management in response to the needs and priorities of the communities. The project will be conducted with very extensive consultations at the national, provincial, and local levels to ensure a participatory approach and avoid any social issue.

Project management: provide information on the location (s) where the project will be operationalized, the number and local of physical project offices, arrangement for dedicated or shared operations support, how the project will work with other projects etc.

The **Project Management Team (PMT)** will be hosted at MONRE – the National Coordination Focal Point, with regular technical assistance and management support from UNDP Viet Nam Country Office – Climate Change and Environment Unit. The PMT will be responsible for the overall project administration and coordination with the various implementing agencies for the delivery of quality and timely project outputs/outcomes. It will facilitate project-related planning activities such as preparation of annual work and budget plans including risk assessment and management and be responsible for overall project monitoring and reporting. Beside the Government-funded Project Director and Accountant, UNDP will recruit **two full-time Project Coordinators** (based in MONRE and MPI) according to UNDP policies and in consultation with the Government as well as will mobilize existing technical experts based in UNDP if relevant to ensure best value for money as well as effective coordination with various government agencies and development partners. Specifically, the PMT will be comprised of the following positions:

Project Manager (full time), based in UNDP, for overall project administration coordination, monitoring and reporting of project activities to the PB. The Project Manager will be responsible for: (i) the day-to-day management of the project on behalf of the Implementing Partner; (ii) facilitating the preparation of the annual work plans reviewed by UNDP and approved by the PEB, in consultation with relevant stakeholders; and (iii) ensuring that the project delivers the results (outputs) specified in the project document, to the required standard of quality and within the specified constraints of time and budget. The Project Manager function will end when the final project terminal evaluation report and other documentation required by the GCF and UNDP has been completed and acceptable to UNDP.

Two Project Coordinators (full-time), based in MONRE and MPI, who are responsible for the day-to-day coordination and facilitation of the project-related activities. The Project coordinator in MONRE will primary responsible for: (i) day-to-day implementation of MONRE's related activities; (ii) regular coordination with other ministries to carry out the activities under Outcome 1 and 3, which is led by MONRE; and (iii) support the National Project Director in regular coordination and reporting following Government's regulation and review and comments on the TORs from all project focal points in the line ministries. The Project coordinator in MPI will primarily be responsible for regular implementation and coordination with other ministries to carry out the activities under Outcome 2, which is led by MPI.

One Project Finance Officer (full time) and **one Project Assistant** (full-time) for supporting day-to-day administrative tasks including procurement, communication, logistics, accounting, and budgeting to the project manager for the full duration of the project; translation and interpretation of technical document meeting, preparation of budget tracking and progress reports, mission arrangement and logistical support. The Project Assistant will also serve as supporting resource person for all ministries to implement the Outcome 1-3.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information:

To accord proper acknowledgement to the GCF for providing grant funding, the GCF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GCF will also accord proper acknowledgement to the GCF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy¹⁴ and the relevant GCF policy. See also GCF Branding Guidelines.

Disclosure of information: Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy¹⁵ and the GCF Disclosure Policy¹⁶.

14 See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

15 See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

16 See https://www.greenclimate.fund/documents/20182/184476/GCF_B.12_24_-_Comprehensive_Information_Disclosure_Policy_of_the_Fund.pdf/f551e954-baa9-4e0d-bec7-352194b49bcb

	<p>established and made available to relevant users.</p> <p>Strong capacity in climate change analysis and socioeconomic analysis are available within respective agencies. However, to analyses potential climate impacts on a given sector using the integrated climate and socioeconomic data, additional skills and capacity are needed.</p> <p>Countrywide climate assessment and vulnerability information are available mostly at the macro level. To integrate CCA into sectoral planning, however, a more disaggregated assessment is required.</p>	<p>strengthened to effectively integrate climate change into the planning and budgeting process of priority government agencies (especially MARD and MOT).</p>	<ul style="list-style-type: none"> ● Developed and deployed with user manuals and user training²⁰ (M6). 	
	<p>Activity 1.1.2: To strengthen analytical capacity to evaluate the potential climate impacts on priority sectors, up to 5 short (1-5 days) training-of-the-trainer (ToT) programs accompanied by on-the-job tutoring will be prepared and delivered. The training will focus mainly on how to apply appropriate modelling techniques to real cases faced by the participants.</p> <p>Deliverables 1.1.2:</p> <ul style="list-style-type: none"> ● Training material with exercises and case studies prepared for priority sectors. Up to 5 short (1-5 days) training modules prepared and completed. After the trainings, on-site and on-the-job tutoring support provided for up to 20 working days for each priority sector (M6). ● Reports of the results from the trainings and on-the-job tutoring support prepared and submitted (M9). 			<p>X</p> <p>X</p>

²⁰ All project assets and intellectual property generated during implementation using GCF resources will be accessible, freely shareable for all relevant stakeholders including the public and private sector, as well as the means to update and manage these assets in an appropriate database as part of the NAP implementation process. The interface will be built on the existing work of the Viet Nam's Climate Risk Index Website www.climateisk.org.vn.

	sectoral specific plans and budgets.	completed by 2019.	Project Executive Board and the Project Management Team.	
Climate change policies and strategies in Viet Nam typically focus on both mitigation and adaptation with fragmented responses. The government has recognized this gap and plan to have the NAP for the period 2021-2030 prepared and completed with the support of this project.			<p>Deliverables 1.2.2:</p> <ul style="list-style-type: none"> NAP Drafting Group established (M6) and provide the regular inputs until NAP approved (M10, 14, 18). <p>Activity 1.2.3: Prepare a background paper on gender mainstreaming and gender equality within the NAP framework.</p> <p>Deliverables 1.2.3:</p> <ul style="list-style-type: none"> Gender background paper completed (M12). 	<p>X</p>
			<p>Activity 1.2.4: First draft of the NAP will be completed by the drafting team and circulated to relevant agencies and other stakeholders such as women and youth groups, local community, NGOs, private sector, and parliamentarians, for review and comments. Consultation meetings will be organized to present the draft and collect feedback from stakeholders.</p> <p>Deliverables 1.2.4:</p> <ul style="list-style-type: none"> NAP first draft developed (M6). Up to 3 consultation meetings organized during the drafting process (M9). A review workshop arranged to present the draft and collect feedback from stakeholders (M12). 	<p>X</p> <p>X</p> <p>X</p>
			<p>Activity 1.2.5: The NAP drafting team incorporates feedback and input from stakeholder, relevant experts, and peer reviewers to complete the final draft of the NAP. Once, the final draft is developed it will be submitted to the</p>	<p>X</p> <p>X</p> <p>X</p> <p>X</p>

	<p>actions are occurring. This baseline is recognized by the NDC. Strengthening of the coordination has become one of the objectives of the Plan for Implementation of the Paris Agreement. However, how this objective can be achieved is not clearly defined.</p> <p>Although MPI has adopted the APRF, which takes relevant climate change adaptation actions into the normal project design and appraisal procedures of the SED, capacity of other line ministries in adopting similar adaptation prioritization framework have not been clearly demonstrated.</p>	<p>Climate change adaptation appraisal capacity strengthened in MPI and priority sectors.</p>	<p>specific climate change adaptation measures including both physical adaptation and ecosystem-based adaptation (Eba) options. Evaluation and appraisal of these adaptation alternatives will be carried out with respect to technical, financial, economic, and environmental and social impact aspects.</p> <p>Deliverables 2.1.2:</p> <ul style="list-style-type: none"> • Tool to Identify sector specific adaptation options developed (M6). • Tool to Appraisal and Prioritization prepared (M12). <p>Activity 2.1.3: Training and on-the-job support will be provided to support the selected government agencies to appraise and prioritize projects at the national and subnational levels.</p> <p>Deliverables 2.1.3:</p> <ul style="list-style-type: none"> • Training materials on how to use the Tools to identify sector-specific adaptation options prepared (M6). • Appraisal and Prioritization Tools with exercises and case studies prepared for priority sectors (M12). • Up to 5 short (1-5 days) training modules delivered at the national and subnational levels (M15). • After the trainings, on-site and on-the-job tutoring support provided for up to 20 working days for each priority sector. Overall reports of the results of the training and on-the-job tutoring support prepared and submitted (M18). 	
			<p>Activity 2.2.1: A Private Sector Finance Working Group comprising of representatives from the public and private sector as well as development partners will be set up supported by national and international experts. This</p>	
<p>Sub-outcome 2.2: Background Study for a Financing</p>	<p>The NDC states that the Government of Vietnam can only finance one-third of the total costs of</p>	<p>Adaptation Financing Strategy and actionable measures focusing on unlocking private sector</p>		

operationaliz ed	Deployed in Priority Sectors	<p>Progress has been made to track public climate expenditures for priority sectors through the CPEIR exercise. However, CPEIR focused mainly on flow of fund with limited participation from wider stakeholders. To measure outcome/results of adaptation response measures, a more robust M&E and operational procedure is required.</p>		<p>data analytic tools will be used when available); formulating appropriate indicators (greater weight will be given to quantitative indicators) that are comparable across space and time; (iv) developing a meaningful and effective participatory process to be included within the M&E framework. The M&E framework and process will enable tracking outcomes of adaptation interventions for vulnerable populations. This activity will be accomplished in close collaboration with the M&E Task Force and responsible units of each priority sectors.</p> <p>Deliverables 3.1:</p> <ul style="list-style-type: none"> • M&E Task Force for each priority sector formed (M6). • Participatory and Result-Based M&E framework for priority sectors completed (M18). 	
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VII. MONITORING AND EVALUATION (M&E) PLAN

The project results as outlined in the project results framework will be monitored and reported bi-annually and evaluated periodically during project implementation to ensure the project effectively achieves these results.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation Policy. While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GCF-specific M&E requirements will be undertaken in accordance with relevant GCF policies.

In addition to these mandatory UNDP and GCF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Workshop Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including national/regional institutes assigned to undertake project monitoring.

M&E oversight and monitoring responsibilities:

Project Manager: The Project Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Board, the UNDP Country Office and the UNDP-GEF Regional Technical Advisor of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

The Project Manager will develop annual work plans to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the Bi-Annual Project Report, and that the monitoring of risks occur on a regular basis.

Project Board: The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

Project Implementing Partner: The UNDP CO, as the Implementing Partner for the project, is responsible for providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The UNDP CO will strive to ensure project-level M&E is undertaken effectively and is aligned with national systems so that the data used by and generated by the project supports national systems.

UNDP Country Office: The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key M&E activities including the Annual Project Report, the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality.

The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP POPP. This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the Bi-Annual Project Report and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. Annual Project Report quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager.

The UNDP Country Office will support GCF staff (or their designate) during any missions undertaken in the country and support any ad-hoc checks or ex post evaluations that may be required by the GCF.

The UNDP Country Office will retain all project records for this project for up to seven years after project financial closure in order to support any ex-post reviews and evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GCF.

UNDP-Global Environmental Finance Unit (UNDP-GEF): Additional M&E and implementation oversight, quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

Audit: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on DIM implemented projects. Upon request, project audit reports (s) will be shared with the GCF (the donor).

Additional GCF monitoring and reporting requirements:

Inception Workshop and Report: A project inception workshop will be held within two months after the project document has been signed by all relevant parties. A project inception workshop will:

- a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
- b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
- d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E;
- e) Identify how project M&E can support national monitoring of SDG indicators as relevant;
- f) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log;
- g) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the periodic audit; and
- h) Plan and schedule Project Board meetings and finalize the first-year annual work plan.

UNDP country office will prepare the inception workshop no later than one month after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Advisor and approved by the Project Board.

GCF Bi-Annual Project Report (due June and December each year of project implementation): The Project Manager, the UNDP Country Office, and the UNDP-GEF Regional Technical Advisor will provide objective input to the bi-annual project reports covering the 6 months in the calendar year for each year of project implementation. The Project Manager will ensure that the indicators included in the project results framework are monitored annually in advance so that progress can be included in the report.

The Bi-Annual Project Report will also be shared with the Project Board. The UNDP Country Office will coordinate the inputs of other stakeholders to the report as appropriate. The quality rating of the previous year's report will be used to inform the preparation of the subsequent report.

Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

Final Independent Evaluation Report: A final independent evaluation report will be completed by 01 December 2021. The final evaluation will take place upon completion of all major project outputs and activities. The final evaluation process will begin at least three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability.

The Project Manager will remain on contract until the final evaluation report and management response have been finalized. The terms of reference, the evaluation process and the final evaluation report will follow the standard templates and guidance prepared by the UNDP IEO available on the UNDP Evaluation Resource Center. As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Additional quality assurance support is available from the UNDP-GEF Directorate. The final evaluation report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board. The final evaluation report will be publicly available in English on the UNDP ERC.

The UNDP Country Office will include the planned project evaluations in the UNDP Country Office evaluation plan and will upload the evaluation reports in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC).

Final Report: The project's final Annual Project Report along with the final independent evaluation report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

Mandatory GCF M&E Requirements and M&E Budget:

GCF M&E requirements	Primary responsibility	<u>Indicative costs to be charged to the Project Budget[1] (US\$)</u>	Time frame
		GCF grant	
Inception Workshop	UNDP Country Office	USD 11,000	March 2020
Inception Report and baseline assessments	Project Manager	Per year: est. USD 10,000	To be determined

Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	Annually
Risk management (including Atlas Risk logs)	Project Manager	None	Quarterly, annually
	Country Office		
Monitoring of indicators in project results framework	Project Manager	Per year: est. USD 10,000	Annually
<i>(including hiring of external experts, project surveys, data analysis etc...)</i>			
GCF Bi-Annual Project Report	Project Manager and UNDP Country Office and UNDP-GEF Unit	None	Bi-Annually as per FA
Audit of Project as per UNDP audit policies	UNDP Country Office	Per year: USD 3,000 – 5,000	As per UNDP Audit policies.
Lessons learned, case studies, and knowledge generation	Project Manager	Per year: USD 8,300	Annually
Project Board meetings	Project Board	None	At minimum annually
	UNDP Country Office		
	Project Manager		
Supervision missions	UNDP Country Office	<u>None</u> [2]	Two per year

Oversight missions	UNDP-GEF Unit	None ⁶	Troubleshooting as needed
GCF learning missions/site visits	UNDP Country Office and Project Manager and UNDP-GEF Unit		To be determined.
Final independent evaluation and management response	UNDP Country Office and Project team and UNDP-GEF Unit	USD 20,000	Add date
Translation of evaluation reports into English	UNDP Country Office	USD 2,000 – 10,000	As required. GCF will only accept reports in English.
TOTAL indicative COST			
Excluding project team staff time, and UNDP staff and travel expenses		USD 107,600	

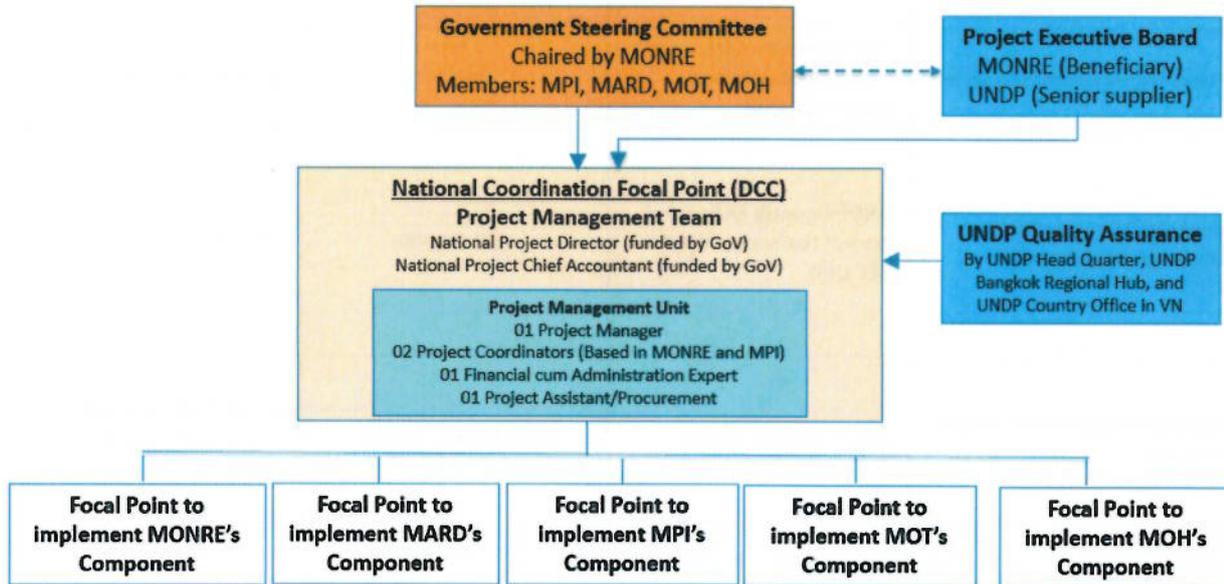
VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

As of the date of this proposal, the Framework Readiness and Preparatory Support Grant Agreement between the Green Climate Fund and UNDP ("Framework Agreement"), dated 6th March 2018, is being amended. The implementation of the readiness activities under this proposal will be in accordance with, and subject to the execution and effectiveness of, the amended Framework Agreement between UNDP and the GCF.

The project will be implemented following UNDP's direct implementation modality, according to the Readiness and Preparatory Support Grant Agreement between the GCF and UNDP.

The management arrangements for this project are summarized in the chart below:

Project Governance Structure



The Project Implementation Structure is designed to reflect the role of UNDP as GCF Delivery Partner, inter-ministerial nature of the National Adaptation Plan, and to facilitate effective delivery of high-quality outcomes. A Government Steering Committee will be chaired by the senior representatives of MONRE and made up of senior representatives from the MPI, MARD, MOT, and MOH. The Steering Committee will set the strategic direction of the project based on government priorities and ensure effective coordination of efforts supported by development partners and by domestic actors for the NAP process within and across sectors.

A **Project Executive Board** comprised of UNDP and MONRE will be established to provide guidance and oversight, required for successful and timely implementation of the project to meet its objectives and results, including recommendations and approval of project plans, budget and revisions, as well as periodic monitoring and evaluation. following the approved Project Proposal with GCF. The PEB is responsible for making, by consensus, management decisions when guidance is required by the National Project Director. The PEB's decisions are to be made in accordance to standards that ensure efficiency, cost-effectiveness, transparency, effective institutional coordination, and harmony with the overall development policies and priorities of the Government of Viet Nam, UNDP, GCF, and their development partners. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Viet Nam Resident Representative. The PEB will meet at least biannually to review the progress of the project. UNDP will appoint its representative to work closely with the National Project Director to be appointed by MONRE to ensure efficient project management through the Project Management Team (PMT) and effective coordination among collaborating agencies.

While UNDP assumes ultimate management responsibility and accountability for all of the project implementation, i.e. delivering all activities to reach the expected outputs of the approved project, this accountability only extends to the execution of approved activities and budget resources under the project as approved by the NDA. It does not in any way imply UNDP ownership or ultimate accountability for the formal approval or post-project implementation of any country plans, policies or other deliverables of the project which fall under the purview of the host government. UNDP's final vote is to ensure fiduciary compliance only when consensus agreement cannot be reached by the Board.

Thus, UNDP's overall role is to provide oversight and quality assurance through its Headquarters, Regional and Country Office units. This role includes: (i) project preparation oversight; (ii) project implementation oversight and supervision, including financial management; and (iii) project completion and evaluation oversight. It also includes oversight roles in relation to reporting and knowledge-management.

- The 'project assurance' function of UNDP is to support the Project Executive Board (PEB) by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed;
- The 'senior supplier' role of UNDP is to represent the interests of the parties that provide funding and/or technical expertise to the project. The senior supplier's primary function within the PEB is to provide guidance regarding the technical feasibility of the project.
- The two functions will be segregated as per UNDP Internal Control Framework (ICF) to ensure impartiality and a firewall between oversight and implementation.

The Ministry of Natural Resources and Environment (MONRE) will work closely with UNDP in carrying out activities in their respective sector. MONRE will take the lead in coordination and provide the overall guidance of the implementation of the Outcome 1 and Outcome 3 in close collaboration with MPI, MARD, MOT and MOH. In the event the UNDP and GCF agree to allow a "responsible party/implementing entity" to implement activities in an amended RFA, the NDA and UNDP may engage the GCF to explore opportunities and implications for amending / revising the implementation arrangements of the proposal at a later stage. As collaborating ministries, MARD, MOT and MOH will work closely with UNDP in carrying out activities in their respective sectors.

As the Government focal point on NAP and the leading ministry for Outcome 1 and 3, MONRE has some specific functions, which include but not limit to:

- Coordinate with collaborating ministries to provide inputs to the preparation of the project overall workplans and submit to the PEB for review and approval;
- Coordinate with collaborating agencies to contribute to all project reports and submit to the PEB for review and approval;
- Host and organize meeting and consultation on the project's topics, outputs, appraise all project's results;
- Provide administrative support and facilitation to UNDP and collaborating ministries to carry out their sectoral activities;
- Work closely with UNDP in preparation of terms of reference for activities and expertise that are responsible for by MONRE;
- Work closely with UNDP to review consultants' deliverables and appraisal of final reports and timely provide recommendations on the utilization and development of the project's output;
- Ensure uptake of the project results and practices into policies.
- Provide technical contribution to adaptation measures in Water, Land, Biodiversity sectors;

As the leading ministry for the Outcome 2, MPI has some specific functions, which include but not limit to:

- Provide technical contribution on the theme of Climate Financing
- Provide technical guidance and support collaborating ministries in development of pipelines of priority investment projects;
- Work closely with UNDP in preparation of terms of reference for activities relating to MPI;

- Work closely with UNDP to review consultants' deliverables and appraisal of final reports and timely provide recommendations on the utilization and development of the project's output.

As collaborating ministries, MARD, MOT and MOH will be responsible to:

- Provide timely contribution to the preparation of project work-plans
- Provide timely update to MONRE and UNDP on the progress of the project, including any arising issues, challenges, opportunities and recommendation to implement the project effectively;
- Work closely with UNDP in preparation of terms of reference for activities relating to their ministries;
- Share related draft TORs and technical reports to MONRE for possible comments in 5 working days;
- Work closely with UNDP to review consultants' deliverables and appraisal of final reports and timely provide recommendations on the utilization and development of the project's output.
- Send quarterly and annual progress reports to MONRE, in according with Viet Nam ODA regulations.

Note: It is acknowledged that the current Readiness Framework Agreement (RFA) between UNDP and GCF only allows for UNDP to implement the activities themselves in countries where they are selected by the NDA as a delivery partner. While this method of delivery is being contemplated in the review/revision of the RFA, it does not, at this time, allow the transfer of readiness funds to third parties as regular UNDP programme implementation practices for ODA project in Viet Nam. The reason is there are not yet clear provisions for a "Responsible party/Implementing entity in the RFA. It is also acknowledged by GCF that the NDA and other relevant government ministries will play a key role in providing guidance and coordination to the readiness activities in the country, as well as consequently endorse and take the full ownership of the project results for NAP implementation. In the event the UNDP and GCF agree to allow an "responsible party/implementing entity" to implement activities in an amended RFA, the NDA and UNDP will engage with GCF to explore opportunities for amending / revising the proposal implementation at a later stage when the full implications/conditions to do so are clarified.

Project Manager: The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

The Implementing Partner appoints the Project Manager, who should be different from the Implementing Partner's representative in the Project Board.

Specific responsibilities include:

- Provide direction and guidance to project team(s)/ responsible party (ies);
- Liaise with the Project Board to assure the overall direction and integrity of the project;
- Identify and obtain any support and advice required for the management, planning and control of the project;
- Responsible for project administration;
- Plan the activities of the project and monitor progress against the project results framework and the approved annual workplan;
- Mobilize personnel, goods and services, training and micro-capital grants to initiative activities, including drafting terms of reference and work specifications, and overseeing all contractors' work;
- Monitor events as determined in the project monitoring schedule plan/timetable, and update the plan as required;
- Manage requests for the provision of financial resources by UNDP;
- Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports;

- Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis;
- Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
- Capture lessons learned during project implementation;
- Prepare the annual workplan for the following year; and update the Atlas Project Management module if access is made available.
- Prepare the Bi-Annual Project Report and submit the final report to the Project Board;
- Based on the Bi-Annual Project Report and the Project Board review, prepare the AWP for the following year.
- Identify follow-on actions and submit them for consideration to the Project Board;
- Ensure the final evaluation process is undertaken as per the UNDP guidance, and submit the final evaluation report to the Project Board;

Project Assurance: UNDP provides a three – tier supervision, oversight and quality assurance role – funded by the agency fee – involving UNDP staff in Country Offices and at regional and headquarters levels. Project Assurance must be totally independent of the Project Management function. The quality assurance role supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. This project oversight and quality assurance role is covered by the accredited entity fee provided by the GCF.

As a Delivery Partner to the GCF, UNDP delivers the following GCF-specific oversight and quality assurance services: (i) day to day project oversight supervision covering the start-up and implementation; (ii) oversight of project completion; and (iii) oversight of project reporting. A detailed list of the services is presented in the table below.

Function	Detailed description of activity	Typical GCF fee breakdown
Day-to-day oversight supervision	<p>1. Project start-up:</p> <ul style="list-style-type: none"> • In the case of readiness proposals, if needed assist the NDA and/or government partners prepare all the necessary documentation for approval of a readiness grant proposal • Prepare the Project Document with the government counterparts • Technical and financial clearance for the Project Document • Organize Local Project Appraisal Committee • Project document signature • Ensure quick project start and first disbursement • Hire project management unit staff • Coordinate/prepare the project inception workshop • Oversee finalization of the project inception workshop report <p>2. Project implementation:</p> <ul style="list-style-type: none"> • <u>Project Board:</u> Coordinate/prepare/attend annual Project Board Meetings • <u>Annual work plans:</u> Quality assurance of annual work plans prepared by the project team; issue UNDP annual work plan; strict monitoring of the implementation of the work plan and the project timetable according to the approved readiness proposal • <u>Prepare GCF/UNDP bi-annual project report:</u> review input provided by Project Manager/team; provide specialized technical support and complete required sections 	70%

Function	Detailed description of activity	Typical GCF fee breakdown
	<ul style="list-style-type: none"> • <u>Portfolio Report (readiness)</u>: Prepare and review a Portfolio Report of all readiness activities done by UNDP in line with Clause 9.02 of the Readiness Framework Agreement. • <u>Procurement plan</u>: Monitor the implementation of the project procurement plan • <u>Supervision missions</u>: Participate in and support in-country GCF visits/learning mission/site visits; conduct annual supervision/oversight site missions • <u>Risk management and troubleshooting</u>: Ensure that risks are properly managed, and that the risk log in Atlas (UNDP financial management system) is regularly updated; Troubleshooting project missions from the regional technical advisors or management and programme support unit staff as and when necessary (i.e. high risk, slow performing projects) • <u>Project budget</u>: Provide quality assurance of project budget and financial transactions according to UNDP and GCF policies • <u>Performance management of staff</u>: where UNDP supervises or co-supervises project staff • <u>Corporate level policy functions</u>: Overall fiduciary and financial policies, accountability and oversight; Treasury Functions including banking information and arrangements and cash management; Travel services, asset management, and procurement policies and support; Management and oversight of the audit exercise for all GCF projects; Information Systems and Technology provision, maintenance and support; Legal advice and contracting/procurement support policy advice; Strategic Human Resources Management and related entitlement administration; Office of Audit and Investigations oversight/investigations into allegations of misconduct, corruption, wrongdoing and fraud; and social and environmental compliance unit and grievance mechanism. 	
Oversight of project completion	<ul style="list-style-type: none"> • Initiate, coordinate, finalize the Project Completion Report, Final Independent Evaluation Report and management response • Quality assurance of final evaluation report and management response • Independent Evaluation Office assessment of final evaluation reports; evaluation guidance and standard setting • Quality assurance of final cumulative budget implementation and reporting to the GCF • Return of any un-spent GCF resources to the GCF 	10%
Oversight of project reporting	<ul style="list-style-type: none"> • Technical review of project reports: quality assurance and technical inputs in relevant project reports • Quality assurance of the GCF bi-annual project report • Preparation and certification of UNDP annual financial statements and donor reports • Prepare and submit fund specific financial reports 	20%
	TOTAL	100%

Governance role for project target groups:

The primary targeted groups will be national and provincial experts and decision makers of line ministries (NAP prioritized sectors), mass organizations, representative of business sectors and NGOs who are participating and/or

engaging into the NAP process of Viet Nam. They also had been well consulted about the project, right from the beginning of project formulation.

The project will support to establish and/or strengthen the Government institutional arrangement to implement NAP in Viet Nam for 2021-2030, including the establishment of the NAP Implementation Working Group, Private Sector Finance Working Group. This two groups will be formed and chaired by the Government and will receive the technical support of UNDP and related technical consultants to advance related work packages. Relevant stakeholders of NAP, including representative of business, women union, mass organization, NGO's climate change working group, etc. will be invited to participate and contribute into the activities of the two groups. Results and recommendation from these working groups will support the project in finetuning the project interventions.

IX. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is *USD 1,787,129.00*. This is financed through a GCF grant. UNDP, as the GCF Delivery Partner, is responsible for the oversight and quality assurance of the execution of GCF resources.

GCF Disbursement schedule: Disbursement requests will be managed at portfolio level by UNDP-GEF MP&SU in NY, as agreed in the "Framework Readiness and Preparatory Support Grant Agreement" between GCF and UNDP. Under Clause 4 of said Framework Agreement, "the Delivery Partner shall be entitled to submit two Requests for Disbursement each year. Each such Request for Disbursement must be submitted to the Fund within 30 days of receipt by the Fund of the Portfolio Report referred to in Section 9.02." GCF grant funds will be disbursed according to the GCF disbursement schedule. The Country Office will submit an annual work plan to the UNDP-GEF Unit and comply with the GCF milestones in order for the next tranche of project funds to be released. All efforts must be made to achieve 80% delivery annually.

GCF disbursement request for this proposal will only be submitted upon execution and effectiveness of a second amendment to the Framework Readiness and Preparatory Support Grant Agreement between UNDP and the GCF.

Description	GCF Project Funds
<i>For Year 1 Activities</i>	<i>816,827</i>
<i>For Year 2 Activities</i>	<i>1,122,207</i>
Total	1,939,035

Direct Project Services: services provided to the project. To ensure the strict independence required by the GCF and in accordance with the UNDP Internal Control Framework, these execution services should be delivered independent from the GCF-specific oversight and quality assurance services (i.e. not done by same person to avoid conflict of interest). These execution services will be charged to the project budget in accordance with the UNDP's Harmonized Conceptual Funding Framework and Cost Recovery Methodology. These costs need to be transparently and correctly budgeted in the TBWP.

Budget Revision and Tolerance: 10% of the total overall projected costs can be reallocated among outcomes. No changes are allowed in the PMC. Any budget reallocation involving a major change in the project's scope, structure,

design or objectives or any other change that substantially alters the purpose or benefit of the project requires the GCF's prior written consent.

As outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board (within the GCF requirements noted above). Should such deviation occur, the Project Manager and UNDP Country office will seek the approval of the UNDP-GEF Unit.

Any over expenditure incurred beyond the available GCF grant amount will be absorbed by the Country Office using non-GCF resources (e.g. UNDP TRAC or cash co-financing).

Refund to GCF: Unspent GCF resources must be returned to the GCF. Should a refund of unspent funds to the GCF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.²¹ On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-Global Environmental Finance Executive Coordinator.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Final Independent Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The UNDP CO through a Project Board decision will notify the UNDP GEF Unit when operational closure has been completed.

Transfer or disposal of assets: In consultation with the other parties of the project, UNDP programme manager (UNDP Resident Representative) is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file²².

Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) UNDP CO has closed the accounts for the project; d) UNDP CO has certified a final Combined Delivery Report (which serves as final budget revision).

The project is required to be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the UNDP CO will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

²¹ see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>

²² See

https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default.

Total Outcome 2.1										293,779						
Sub-outcome 2.2: Background Study for a Financing Strategy for both Public and Private Investment in Adaptation Measures Prepared with Preliminary Project Pipeline	UNDP	66001	12526	74200	Audio Visual & Printing	annual	2.00	13,000	26,000	10,945	94,957	94,957	92,921	14		
				71300	Consultant - Individual - Local	W/day	155.00	280	43,400	4,340	13,020	13,020	5,200	7,800	10	
				71400	Contractual Services - Indiv	annual	0.60	45,000	27,000	6,750	6,750	6,750	6,750	6,750	6,750	4+11+20+24
				71400	Contractual Services - Indiv	annual	0.60	30,000	18,000	4,500	4,500	4,500	4,500	4,500	4,500	4+11+20+24
				71400	Contractual Services - Indiv	annual	2.00	24,000	48,000	12,000	12,000	12,000	12,000	12,000	12,000	11
				72800	IT Equipment	laptop	2.00	1,500	3,000	750	750	750	750	750	750	15
				74500	Miscellaneous	Lumpsum	1.00	3,539	3,539	885	885	885	885	885	885	31
				Total Outcome 2.2										168,939		
														482,718		
														138,061		
										43,105						
										48,305						
										43,105						
										45,705						
										138,061						
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										Percentage of PMC requested:						
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4	<p>1 Project CCA Planning Expert USD 45,000/year (90% distributed across 3 outcomes and 10% in PMU) who will provide both technical services and serve as project manager.</p> <p>1 Project Assistant USD 30,000/year (90% distributed across 3 outcomes and 10% in PMU).</p> <p>1 Full-time sector coordinator /CCA expert assigned to work closely with MONRE for Outcome 1 and 3, with 50:50 time allocation. Total budget USD 12,000 for two years under outcome 1 (USD 24,000 per year).</p>
5	<p>IT equipment such as server, router, etc for the data platform</p> <p>Estimated lump sum costs associated with the preparation of consultation and training workshops:</p> <p>2 Open Interface and data sharing platform user training 1-day workshops (USD 10,000 per workshop with 50 participants) Activity 1.1.1</p> <p>5 Training-of-the-Trainer 5-day workshops for five priority sectors focusing on how evaluate the potential climate impacts on priority sectors using a case study approach (USD 7,000 per workshop with 20 participants), Activity 1.1.2</p> <p>5 Consultation 1-day workshops for reviewing the baseline and vulnerability assessment reports for 5 priority sectors (USD 6,000 per workshop with 30 participants), Activity 1.1.3</p>
6	<p>5 Consultation 1-day workshops to develop adaptation integration guideline for priority sector and support the preparation of the NAP document (USD 5,000 per workshop with 30 participants), Activity 1.2.1 Training 1-day workshops to train users in the five priority sectors (5 trainings) to effectively use the adaptation integration guideline (USD 5,000 per workshop with 30 participants), Activity 1.2.1</p> <p>5 Training 1-day workshops to train users in the five priority sectors (5 trainings) to effectively use the adaptation integration guideline (USD 5,000 per workshop with 30 participants), Activity 1.2.1</p> <p>2 Consultation 1-day workshops to review draft background paper on gender mainstreaming and gender equality in the NAP framework (USD 6,000 per workshop with 30 participants), Activity 1.2.2</p> <p>3 Consultation 1-day workshops (1 workshop in Hanoi, 1 Workshop in HCMC, and 1 Workshop in Hue) to provide input to the drafting of the NAP (USD 15,000 per workshop with 100 participants), Activity 1.2.2</p> <p>2 Consultation 1-day workshops (1 workshop in Hanoi and 1 Workshop in HCMC) to provide input to the draft final of the NAP (USD 15,000 per workshop with 100 participants), Activity 1.2.2</p> <p>1 NAP Launch workshop (USD 23,000 with 100 participants), Activity 1.2.2</p> <p>4 NAP Dissemination workshops at four regional centers (USD 9,000 per workshop with 100 participants), Activity 1.2.2</p>
7	<p>Estimated costs associated with travel costs for international consultants and where relevant, in-country travel costs for associated with consultation and workshop (approx. USD 800/trip x 13 trips over 2 years)</p>
8	<p>Printing of guidelines, publications, sectoral reports from LMIs, and National level Video clips production in component 1</p> <p>Estimated costs of 3 international consultants (approximate daily rate of USD 600):</p>
9	<p>1 International Consultant to design a process to strengthen the effective of inter-ministerial coordination (45 person-day), Activity 2.1.1</p> <p>1 International Consultants to prepare Tool to Identify sector specific adaptation options and Tool to Appraisal and Prioritization as well as provide necessary training to the selected sectors (55 person-day per consultant), Activity 2.1.2 and 2.1.3</p>

	<p>1 International Regular Staff to prepare Report on barriers to private sector investment in adaptation and measures to build partnership in NAP, provide review of international good practices on private sector engagement and related financial and prioritization tools for NAP in related sectors (approx. 35 person-day total), Activity 2.2.1</p> <p>Estimated costs of 12 national consultants (approximate daily rate of USD 280):</p> <p>1 National Consultant to serve as a technical expert on CCA private sector finance (120 days x USD 280)</p> <p>1 National Senior Consultant for screening and appraisal (28 days) Activity 2.1.2</p> <p>5 Sectorial Planning Experts (30 days each) Activity 2.1.1</p> <p>2 National Consultants for Integrated NAP Planning and Budgeting (30 days each) Activity 2.1.1</p> <p>1 National Consultant to design a process to strengthen the effective of inter-ministerial coordination (60 person-day), Activity 2.1.1</p> <p>1 National Consultant to prepare Tool to Identify sector specific adaptation options and Tool to Appraisal and Prioritization as well as provide necessary training to the selected sectors (40 person-day), Activity 2.1.2</p> <p>1 National Consultant to prepare Report on barriers to private sector investment in adaptation and measures to overcome them (approx. 35 person-day x USD 280), Activity 2.2.1</p>
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11	<p>1 Project CCA Planning Expert USD 45,000/year (90% distributed across 3 outcomes and 10% in PMU).</p> <p>1 Project Assistant USD 30,000/year (90% distributed across 3 outcomes and 10% in PMU).</p> <p>1 National consultant serving as a full-time sector coordinator and CCA mainstreaming and finance expert assigned to work closely with MPI for Outcome 2. Total budget USD 48,000 for two years. (USD 24,000 per year).</p> <p>Estimated costs associated with travel costs for international consultants and where relevant, in-country travel costs for associated with consultation and workshop (approx. USD 800/trip x 12 trips over 2years)</p> <p>Estimated lump sum costs associated with the preparation of consultation and training workshops:</p> <p>5 Training-of-the-Trainer 5-day workshops for five priority sectors focusing on how to appraise and prioritize projects with adaptation options for five priority sectors using a case study approach (USD 8,000 per workshop with 20 participants), Activity 2.1.1</p> <p>5 Consultation 1-day meetings for the Private Finance Working Group to develop Report on barriers to private sector investment in adaptation and measures to overcome them (USD 6,000 per workshop with 30 participants), Activity 2.2.1</p> <p>2 Consultation 1-day workshops to review the draft and the draft final reports on barriers to private sector investment in adaptation and measures to overcome them (USD 17,500 per workshop with 100 participants), Activity 2.2.1</p> <p>Printing and publications for activities in component 2</p> <p>IT equipment such as computer, printer, router, and projector</p> <p>Printing and publications for activities in Component 3</p> <p>1 International Consultant to develop the Participatory and Result-Based M&E Framework with Implementation guideline as well as to provide M&E training to the five priority sectors (40 days x approx. USD 600/day - total USD 24,000), Activity 3.1.1</p> <p>5 National Consultant to develop the Participatory and Result-Based M&E Framework with Implementation guideline as well as to provide M&E training to the five priority sectors (40 days each x approx. USD 280/day), Activity 3.1.1</p>
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19	<p>1 National Consultant to serve as a technical expert on participatory M&E (70 days x USD 280)</p> <p>1 Regular Staff - Local to provide peer review on international and national good practices on adaptation M&E and alignment with NDC and National Communication to UNFCCC process (70 days x USD 280)</p> <p>Contractual Services - A Firm, hired competitively, to undertake Terminal Evaluation</p>
20	<p>1 Project CCA Planning Expert USD 45,000/year (90% distributed across 3 outcomes and 10% in PMU).</p> <p>1 Project Assistant USD 30,000/year (90% distributed across 3 outcomes and 10% in PMU).</p> <p>1 Full-time sector coordinator/CCA expert assigned to work closely with MONRE for Outcome 1 and 3, with 50:50 time allocation.</p>
21	<p>IT equipment such as lap top or printer for activities in outcome 3</p>
22	<p>Estimated lump sum costs associated with the preparation of consultation and training workshops:</p> <p>2 Training-of-the-Trainer 5-day workshops for five priority sectors focusing on how to implement the Participatory and Result-Based M&E Framework for five priority sectors using a case study approach (USD 10,000 per workshop with 30 participants), Activity 3.1.1.</p> <p>2 M&E Knowledge sharing workshops with all sector and stakeholder (USD 10,000 per 1-day workshop with 100 participants)</p>
23	<p>Estimated costs associated with travel costs for international consultants and where relevant, in-country travel costs for associated with consultation and workshop (approx. USD 800/trip x 12 trips over 2years)</p>
24	<p>1 Project CCA Planning Expert USD 45,000/year (10% in PMU - equivalent to 9,000US\$).</p> <p>1 Project Assistant USD 30,000/year (10% in PMU - equivalent to 6,000US\$).</p> <p>1 full-time Project Finance Officer (USD 30,000 per year for 2 years, equivalent to 60,000US\$)</p>
25	<p>IT equipment - 5 laps tops for related project staff mobilized to the project</p>
26	<p>Costs related to dedicated time of UNDP staff to provide implementation support services to the Project (HR, procurement, logistics, issuance of vouchers and checks, etc.).</p>
27	<p>Office supplies such as paper, toners, inks, etc.</p>
28	<p>Estimated lump sum cost for Profession services (Audit) - an audit firm will be hired competitively</p>
29	<p>Estimated lump sum costs associated with the preparation of consultation and training workshops including Annual Project Board Meetings (2x approx. USD 4,300 - total USD 8,600) and Quarterly Project Review Consultation with stakeholder (8xUSD 1,000 with 20 participants). Total USD 16,600</p>
30	<p>Estimated costs associated with travel costs for international consultants and where relevant, in-country travel costs for associated with consultation and workshop (approx. USD 500/trip x 10 trips - total USD 5000)</p>
31	<p>Unforeseen programme cost, such as FX gain and loss, courier service etc., which is unrelated to implementation/service fee. Any use of contingency will be reported to and agreed by the GCF Secretariat in writing (email is sufficient) in advance with sufficient justifications.</p>

XI. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Viet Nam and UNDP, signed on 15 May 1978. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by UNDP ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

Any designations on maps or other references employed in this project document do not imply the expression of any opinion whatsoever on the part of UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

XII. RISK MANAGEMENT

UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.) UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]²³ [UNDP funds received pursuant to the Project Document]²⁴ are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).

UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:

- a. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible parties, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
 - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;

²³ To be used where UNDP is the Implementing Partner

²⁴ To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

- ii. assume all risks and liabilities related to such responsible parties, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
- b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible parties, subcontractor's and sub-recipient's obligations under this Project Document.
- c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
- d. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
- e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- f. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

- g. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

- h. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.

- i. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
- j. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

XIII. MANDATORY ANNEXES

Guidance to the project developer:

The following documents are mandatory annexes and must be included as part of the final project document package. Links can be provided to these documents if they have been posted to the UNDP GEF PIMS and open.undp.org.

Annex A: GCF approved Readiness and Preparatory Support Proposal

Annex B: GCF notification of approval letter

Annex C: Procurement plan

Annex D: Terms of References for Project Board and Project Team

Annex E: Terms of References for UNDP Staff (as needed)

Annex F: UNDP Risk Log

Annex J: UNDP Project Quality Assurance Report (to be completed in UNDP online corporate planning system, does not need to be attached as separate document)

Annex A: GCF approved Readiness and Preparatory Support Proposal

Annex B: GCF notification of approval letter



Dr. Pham Hoang Mai
Director General
Department of Science, Education, Natural
Resources and Environment
Ministry of Planning and Investment
No. 6B Hoang Dieu street, Ba Dinh district, Ha Noi
Socialist Republic of Viet Nam

COUNTRY PROGRAMMING

Date : 19 December 2019
Reference : DCP/2019/681
Page : 1 of 1

Subject: Notification of Approval on Readiness and Preparatory Support Programme Proposal for the Green Climate Fund - [Grant Reference Number VNM-RS-002]

Dear Dr. Mai,

I am pleased to inform you that the Green Climate Fund (GCF) Secretariat has approved the Readiness Proposal for the Socialist Republic of Viet Nam, initially submitted on 8 April 2019, in accordance with the terms of the Framework Readiness and Preparatory Support Grant Agreement (Framework Agreement) between the Green Climate Fund and the United Nations Development Programme (UNDP), dated 2 September 2016, and amended and restated on 6 March 2018.

The above-mentioned proposal was approved on 18 December 2019 for the amount of USD 1,939,035 for Viet Nam National Adaptation Plan (NAP) Development and Operationalization Support Project. A copy of the proposal is attached for your reference.

Kindly note that as of the date of this Notification the Framework Agreement between the GCF and UNDP is being amended, and that the implementation of the readiness activities under this Approved Proposal will be subject to the execution and effectiveness of the amended Framework Agreement. Once the amendment to the Framework Agreement becomes effective, UNDP can submit a request for disbursement to the Secretariat to begin the implementation of the activities under the Approved Proposal.

Please contact us if you have any other questions about your approved proposal or next steps.

Yours sincerely,


for Mr. Pa Ousman Jarju
Director

Enclosure: Readiness Proposal of the Socialist Republic of Viet Nam

cc: Mr. Pradeep Kurukulasuriya, Executive Coordinator and Director, Global Environmental Finance, Bureau for Policy and Program Support, UNDP

Green Climate Fund
Songdo International Business District
G-Tower, 175 Art Center-daero
Yeonsu-gu, Incheon 22004
Republic of Korea

Annex C: Procurement plan

Item	Item Description	Estimated Cost (US\$)	Procurement Method	Thresholds (Min-Max monetary value for which indicated procurement method must be used)	Estimated Start Date	Projected Contracting Date
Goods and Non-Consulting Services						
Audio Visual & Printing	Printing of guidelines, publications, sectoral reports from LMs, and National level. Video clips production in component 1	50,000	Open tender	\$10,000-\$150,000	Q1+Q2 Y1	QTR1-YR1 QTR1-YR2
Audio Visual & Printing	Printing and publications for activities in component 2	26,000	Direct procurement	\$10,000-\$150,000	Q1+Q2 Y1	QTR2-YR1 QTR2-YR2
Audio Visual & Printing	Printing and publications for activities in Component 3	15,000	Direct procurement	\$10,000-\$150,000	Q1+Q2 Y1	QTR1-YR1 QTR1-YR2
Miscellaneous	Miscellaneous - Unforeseen programme cost, such as FX gain and loss, courier service etc., which is unrelated to implementation/service fee	10,000	Direct procurement	\$10,000-\$150,000	Q1+Q2 Y1	QTR1-YR1 QTR4-YR2
Office supplies	Office supplies such as paper, toners, inks, etc.	5,000	Direct procurement	\$10,000-\$150,000	Q1+Q2 Y1	QTR1-YR1 QTR4-YR2
IT Equipment	IT equipment such as server, router, etc for the data platform	9,345	Direct procurement	\$10,000-\$150,000	Q1+2 Y1	Q3 Y1
IT Equipment	IT equipment such as computer, printer, router, and projector for outcome 2	3,000	Direct procurement	\$10,000-\$150,000	Q1+2 Y1	Q3 Y1
IT Equipment	IT equipment such as lap top or printer for activities in outcome 3	3,000	Direct procurement	\$10,000-\$150,000	Q1+2 Y1	Q3 Y1
IT Equipment	IT equipment - 5 laps tops for related project staff mobilized to the project	5,000	Direct procurement	\$10,000-\$150,000	Q1+2 Y1	Q3 Y1
Training, Workshop, Confer	2 Open Interface and data sharing platform user training 1-day workshops (USD 10,000 per workshop with 50 participants) Activity 1.1.1	20,000	Direct procurement	\$10,000-\$150,000	Q3+4 Y1	QTR3-YR1 QTR3-YR2

Training, Workshop, Confer	5 Training-of-the-Trainer 5-day workshops for five priority sectors focusing on how evaluate the potential climate impacts on priority sectors using a case study approach (USD 7,000 per workshop with 20 participants), Activity 1.1.2	35,000	Direct procurement	\$10,000-\$150,000	Q3+4 Y1	QTR3-YR1 QTR1-YR2
Training, Workshop, Confer	5 Consultation 1-day workshops for reviewing the baseline and vulnerability assessment reports for 5 priority sectors (USD 6,000 per workshop with 30 participants), Activity 1.1.3	30,000	Direct procurement	\$10,000-\$150,000	Q3+4 Y1	QTR3-YR1 QTR4-YR2
Training, Workshop, Confer	5 Consultation 1-day workshops to develop adaptation integration guideline for priority sector and support the preparation of the NAP document (USD 5,000 per workshop with 30 participants), Activity 1.2.1 Training 1-day workshops to train users in the five priority sectors (5 trainings) to effectively use the adaptation integration guideline (USD 5,000 per workshop with 30 participants), Activity 1.2.1	50,000	Direct procurement	\$10,000-\$150,000	Q3+4 Y1	QTR3-YR1 QTR4-YR2
Training, Workshop, Confer	5 Training 1-day workshops to train users in the five priority sectors (5 trainings) to effectively use the adaptation integration guideline (USD 5,000 per workshop with 30 participants), Activity 1.2.1	25,000	Direct procurement	\$10,000-\$150,000	Q3+4 Y1	QTR3-YR1 QTR4-YR2
Training, Workshop, Confer	2 Consultation 1-day workshops to review draft background paper on gender mainstreaming and gender equality in the NAP framework (USD 6,000 per workshop with 30 participants), Activity 1.2.2	12,000	Direct procurement	\$10,000-\$150,000	Q3+4 Y1	QTR3-YR1 QTR4-YR2
Training, Workshop, Confer	3 Consultation 1-day workshops (1 workshop in Hanoi, 1 Workshop in HCMC, and 1 Workshop in Hue) to provide input to the drafting of the NAP (USD 15,000 per workshop with 100 participants), Activity 1.2.2	45,000	Direct procurement	\$10,000-\$150,000	Q3+4 Y1	QTR3-YR1 QTR4-YR2

Training, Workshop, Confer	2 Consultation 1-day workshops (1 workshop in Hanoi and 1 Workshop in HCMC) to provide input to the draft final of the NAP (USD 15,000 per workshop with 100 participants), Activity 1.2.2	30,000	Direct procurement	\$10,000-\$150,000	Q3+4 Y1	QTR3-YR1 QTR4-YR2
Training, Workshop, Confer	1 NAP Launch workshop (USD 23,000 with 100 participants), Activity 1.2.2	23,000	Direct procurement	\$10,000-\$150,000	Q3+4 Y1	Q3+4 Y1
Training, Workshop, Confer	4 NAP Dissemination workshops at four regional centres (USD 9,000 per workshop with 100 participants), Activity 1.2.2	36,000	Direct procurement	\$10,000-\$150,000	Q3+4 Y1	Q3+4 Y1
Training, Workshop, Confer	5 Training-of-the-Trainer 5-day workshops for five priority sectors focusing on how to appraise and prioritize projects with adaptation options for five priority sectors using a case study approach (USD 8,000 per workshop with 20 participants), Activity 2.1.1	40,000	Direct procurement	\$10,000-\$150,000	Q3+4 Y1	Q3+4 Y1
Training, Workshop, Confer	5 Consultation 1-day meetings for the Private Finance Working Group to develop Report on barriers to private sector investment in adaptation and measures to overcome them (USD 6,000 per workshop with 30 participants), Activity 2.2.1	30,000	Direct procurement	\$10,000-\$150,000	Q3+4 Y1	Q3+4 Y1
Training, Workshop, Confer	2 Consultation 1-day workshops to review the draft and the draft final reports on barriers to private sector investment in adaptation and measures to overcome them (USD 17,500 per workshop with 100 participants), Activity 2.2.1	35,000	Direct procurement	\$10,000-\$150,000	Q3+4 Y1	Q3+4 Y1
Training, Workshop, Confer	2 Training-of-the-Trainer 5-day workshops for five priority sectors focusing on how to implement the Participatory and Result-Based M&E Framework for five priority sectors using a case study approach (USD 10,000 per workshop with 30 participants), Activity 3.1.1	20,000	Direct procurement	\$10,000-\$150,000	Q3+4 Y1	Q3+4 Y1
Training, Workshop, Confer	2 M&E Knowledge sharing workshops with all sector and stakeholder (USD 10,000 per	20,000	Direct procurement	\$10,000-\$150,000	Q1+Q2 Y1	Q1+Q2 Y1

	1-day workshop with 100 participants)					
Training, Workshop, Confer	Estimated lump sum costs associated with the preparation of consultation and training workshops including Annual Project Board Meetings (2x approx. USD 4,300 - total USD 8,600) and Quarterly Project Review Consultation with stakeholder (8xUSD 1,000 with 20 participants). Total USD 16,600	16,600	Direct procurement	\$10,000-\$150,000	Q1+Q2 Y1	Q1+Q2 Y1
Travel	Estimated costs associated with travel costs for international consultants and where relevant, in-country travel costs for associated with consultation and workshop (approx. USD 500/trip x 12 trips over 2 years)	9,600	Direct procurement	\$10,000-\$150,000	Q1+Q2 Y1	Q1+Q2 Y1
Travel	Estimated costs associated with travel costs for international consultants and where relevant, in-country travel costs for associated with consultation and workshop (approx. USD 500/trip x 12 trips over 2years)	9,600	Direct procurement	\$10,000-\$150,000	Q1+Q2 Y1	Q1+Q2 Y1
Travel	Estimated costs associated with travel costs for international consultants and where relevant, in-country travel costs for associated with consultation and workshop (approx. USD 500/trip x 10 trips - total USD 5000)	5,000	Direct procurement	\$10,000-\$150,000	Q1+Q2 Y1	Q1+Q2 Y1
Travel	Estimated costs associated with travel costs for international consultants and where relevant, in-country travel costs for associated with consultation and workshop (approx. USD 500/trip x 13 trips over 2 years)	10,400	Direct procurement	\$10,000-\$150,000	Q1+Q2 Y1	Q1+Q2 Y1
Goods and Non-Consulting Services Total		628,545				

Consultancy Services						
Consultant - Individual - International	1 International Consultant to deliver capacity building, training, and mentoring support to priority sectors (50 person-day), Activity 1.1.2	30,000	Open tender	\$10,000- \$150,000	Q1+Q 2 Y1	Q1+Q2 Y1
Consultant - Individual - International	1 International Consultant to prepare selected sectoral baseline and vulnerability assessment reports (60 person-day per consultant), Activity 1.1.3	36,000	Open tender	\$10,000- \$150,000	Q3+4 Y1	Q3+4 Y1
Consultant - Individual - International	1 International Consultant to develop adaptation integration guideline for priority sector and support the preparation of the NAP document (60 person-day), Activity 1.2.1 and 1.2.2	36,000	Open tender	\$10,000- \$150,000	Q3+4 Y1	Q3+4 Y1
Regular staff - International	1 International - Regular Staff to prepare a background paper on gender mainstreaming and gender equality for the NAP framework and provide peer reviews on lessons learned from other countries on NAP processes, alignment with UNFCCC guidelines, advice on NAP and NDC and SDG integration (35 person-day), Activity 1.2.2	21,000	Direct procurement	\$10,000- \$150,000	Q3+4 Y1	Q3+4 Y1
Consultant - Individual - International	1 International Consultant to design a process to strengthen the effective of inter-ministerial coordination (45 person-day), Activity 2.1.1	27,000	Open tender	\$10,000- \$150,000	Q3+4 Y1	Q3+4 Y1
Consultant - Individual - Local	1 National consultant to support the development of open Application Program Interface (55 person-day x USD 280 per day) - Act 1.1.1	15,400	Open tender	\$10,000- \$150,000	Q3+4 Y1	Q3+4 Y1
Consultant - Individual - Local	5 National Consultant to deliver capacity building, training, and mentoring support to priority sectors (46 person-day per consultant x USD 280/day), Activity 1.1.2	64,400	Open tender	\$10,000- \$150,000	Q1+Q 2 Y1	Q1+Q2 Y1
Consultant - Individual - Local	5 National Consultants to prepare selected sectoral baseline and vulnerability assessment reports (70 person-day per consultant x USD 280/day)	98,000	Open tender	\$10,000- \$150,000	Q1+Q 2 Y1	Q1+Q2 Y1

Regular staff - local	01 Regular Staff - Local to provide peer review on existing good practices in NAP and NDC in Viet Nam and alignment with UNFCCC and SGDs - 50 days, Activity 1.1.3	14,000	Direct procurement	\$10,000- \$150,000	Q2+3 Y1	Q2+3 Y1
Consultant - Individual - Local	1 National Consultant to serve as a technical expert on CCA mainstreaming and integration with sectoral budget (120 days x USD 280) - Act 1.2.2	33,600	Open tender	\$10,000- \$150,000	Q3+4 Y1	Q3+4 Y1
Consultant - Individual - Local	5 National Consultants to develop adaptation integration guideline for priority sector and support the preparation of the NAP document for targeted sectors (60 person-day per consultant x USD 280/day), Activity 1.2.1 and 1.2.2	84,000	Open tender	\$10,000- \$150,000	Q3+4 Y1	Q3+4 Y1
Consultant - Individual - Local	1 National Consultant Local to prepare background paper on gender mainstreaming and gender equality for the NAP framework, (40 person-day x USD 280/day), Activity 1.2.2	11,200	Open tender	\$10,000- \$150,000	Q1+Q 2 Y1	Q1+Q2 Y1
Regular staff - local	01 Regular Staff - Local to prepare background paper on gender mainstreaming and gender equality for the NAP framework, (40 person-day x USD 280/day), Activity 1.2.2	11,200	Open tender	\$10,000- \$150,000	Q3+4 Y1	Q3+4 Y1
Consultant - Individual - Local	1 National Consultant to serve as a technical expert on CCA private sector finance (120 days x USD 280)	33,600	Open tender	\$10,000- \$150,000	Q3+4 Y1	Q3+4 Y1
Consultant - Individual - Local	1 National Senior Consultant for screening and appraisal (28 days) Activity 2.1.2	7,840	Open tender	\$10,000- \$150,000	Q3+4 Y1	Q3+4 Y1
Consultant - Individual - Local	5 Sectorial Planning Experts (30 days each) Activity 2.1.1	42,000	Open tender	\$10,000- \$150,000	Q3+4 Y1	Q3+4 Y1
Consultant - Individual - Local	2 National Consultants for Integrated NAP Planning and Budgeting (30 days each) Activity 2.1.1	16,800	Open tender	\$10,000- \$150,000	Q3+4 Y1	Q3+4 Y1
Consultant - Individual - Local	1 National Consultant to design a process to strengthen the effective of inter-ministerial coordination (60 person-day), Activity 2.1.1	16,800	Open tender	\$10,000- \$150,000	Q1+Q 2 Y1	Q1+Q2 Y1
Consultant - Individual - Local	1 National Consultant to prepare Tool to identify sector specific adaptation options and Tool to Appraisal and Prioritization as well as provide necessary training to	11,200	Open tender	\$10,000- \$150,000	Q3+4 Y1	Q3+4 Y1

	the selected sectors (40 person-day), Activity 2.1.2					
Consultant - Individual - Local	1 National Consultant to prepare Report on barriers to private sector investment in adaptation and measures to overcome them (approx. 35 person-day x USD 280), Activity 2.2.1	9,800	Open tender	\$10,000- \$150,000	Q3+4 Y1	Q3+4 Y1
Contractual Services – Indiv	1 National consultant serving as a full-time sector coordinator and CCA mainstreaming and finance expert assigned to work closely with MPI for Outcome 2. Total budget USD 48,000 for two years (USD 24,000 per year).	48,000	Open tender	\$10,000- \$150,000	Q1+Q 2 Y1	Q1+Q2 Y1
Contractual Services – Indiv	1 Project CCA Planning Expert USD 45,000/year (90% distributed across 3 outcomes and 10% in PMU) who will provide both technical services and serve as project manager.	48,000	Open tender	\$10,000- \$150,000	Q1+Q 2 Y1	Q1+Q2 Y1
Contractual Services – Indiv	1 Project Assistant USD 30,000/year (90% distributed across 3 outcomes and 10% in PMU)	60,000	Open tender	\$10,000- \$150,000	Q1+Q 2 Y1	Q1+Q2 Y1
Contractual Services – Indiv	1 Project CCA Planning Expert USD 45,000/year (90% distributed across 3 outcomes and 10% in PMU) who will provide both technical services and serve as project manager.	90,000	Open tender	\$10,000- \$150,000	Q1+Q 2 Y1	Q1+Q2 Y1
Contractual Services – Indiv	1 Project finance officer USD 30,000/year (100% in PMU)	60,000	Open tender	\$10,000- \$150,000	Q1+Q 2 Y1	Q1+Q2 Y1
Consultant - Individual - International	1 International Consultants to prepare Tool to Identify sector specific adaptation options and Tool to Appraisal and Prioritization as well as provide necessary training to the selected sectors (55 person-day per consultant), Activity 2.1.2 and 2.1.3	33,000	Open tender	\$10,000- \$150,000	Q3+4 Y1	Q3+4 Y1
Regular staff - International	1 International Regular Staff to prepare Report on barriers to private sector investment in adaptation and measures to build partnership in NAP, provide review of international good practices	21,000	Direct procurement	\$10,000- \$150,000	Q3+4 Y1	Q3+4 Y1

	on private sector engagement and related financial and prioritisation tools for NAP in related sectors (approx. 35 person-day total), Activity 2.2.1					
Consultant - Individual - International	1 International Consultant to develop the Participatory and Result-Based M&E Framework with Implementation guideline as well as to provide M&E training to the five priority sectors (40 days x approx. USD 600/day - total USD 24,000), Activity 3.1.1	24,000	Open tender	\$10,000-\$150,000	Q3+4 Y1	Q3+4 Y1
Consultant - Individual - Local	5 National Consultant to develop the Participatory and Result-Based M&E Framework with Implementation guideline as well as to provide M&E training to the five priority sectors (40 days each x approx. USD 280/day), Activity 3.1.1	56,000	Open tender	\$10,000-\$150,000	Q3+4 Y1	Q3+4 Y1
Consultant - Individual - Local	1 National Consultant to serve as a technical expert on participatory M&E (70 days x USD 280)	19,600	Open tender	\$10,000-\$150,000	Q3+4 Y1	Q3+4 Y1
Regular staff - local	1 Regular Staff - Local to provide peer review on international and national good practices on adaptation M&E and alignment with NDC and National Communication to UNFCCC process (70 days x USD 280)	19,600	Direct procurement	\$10,000-\$150,000	Q3+4 Y1	Q3+4 Y1
Contractual Services – Companies/Firm	Contractual Services - A Firm, hired competitively, to undertake Terminal Evaluation	20,000	Open tender	\$10,000-\$150,000	Q3 Y2	QTR4-YR2
Contractual Services – Companies/Firm	Estimated lump sum cost of National or international firm to develop open interface and data analytic platform completed with user manual and user training (USD 15,000) Activity 1.1.1	15,000	Open tender	\$10,000-\$150,000	Q1+Q2 Y1	QTR1-YR1 QTR3-YR2
Professional Service	Professional Audit	7,000	Direct procurement	\$10,000-\$150,000	Q4Y1	QTR4-YR1 QTR4-YR2
Consultancy Services Total		1,141,040				
Grand Total		1,769,585				

Annex D: Terms of References for Project Board and Project Team

Terms of Reference for Key Project Staff

Project Manager

Background

The Project Manager (PM) will be appointed by UNDP. The PM will be responsible for the overall management of the Project, including the mobilisation of all project inputs, supervision over project staff, consultants and sub-contractors.

Duties and Responsibilities

- The Project Manager (full time), based in UNDP, for overall project administration coordination, monitoring and reporting of project activities to the PB.
- The Project Manager will be responsible for the day-to-day management of the project on behalf of the Implementing Partner;
- Facilitating the preparation of the annual work plans reviewed by UNDP and approved by the PEB, in consultation with relevant stakeholders; and
- (iii) ensuring that the project delivers the results (outputs) specified in the project document, to the required standard of quality and within the specified constraints of time and budget
- The Project Manager function will end when the final project terminal evaluation report and other documentation required by the GCF and UNDP has been completed and acceptable to UNDP.

Project Coordinators (full time)

Background

The Project Coordinator (PC) will be appointed by UNDP. The project will have one PC based in MONRE and one PC based in MPI, who are responsible for the day-to-day coordination and facilitation of the thematic inter-agencies/inter-ministries working groups across line ministries for Adaptation Planning and Operationalization.

Duties and Responsibilities

For MONRE's Coordinator:

- Day-to-day coordination of the MONRE's NAP Implementation Working Group and related stakeholders and adaptation platforms e.g. CCWG, NDC Implementation Support Mechanism/Platform/Programme that is under review by the Prime Minister
- Support the National Project Director in regular coordination and reporting following Government's regulation and review and comments on the TORs from all project focal points in the line ministries.
- Regular coordination with other ministries to carry out the activities under Outcome 1 and 3, which is led by MONRE; and
- Develop a project partnership development plan for NAP Implementation Working Group, incorporate it with the annual work plans and update it annually in consultation with project stakeholders; coordinate its implementation
- Coordinate the implementation of knowledge management outputs of the project;
- Coordinate up-to-date and dynamic learning and sharing of knowledge and experiences relevant to the project

For MPI's Coordinator:

- Day-to-day coordination of the MPI's Public - Private Sector Finance Working Group and related stakeholders
- Support the MPI in regular coordination and reporting following Government's regulation and review and comments on the TORs from all project focal points in the line ministries.
- Regular coordination with other ministries to carry out the activities under Outcome 2, which is led by MPI.
- Develop a project partnership development plan for NAP (Public - Private Sector Finance Working Group), incorporate it with the annual work plans and update it annually in consultation with project stakeholders; coordinate its implementation
- Coordinate the implementation of knowledge management outputs of the project;
- Coordinate up-to-date and dynamic learning and sharing of knowledge and experiences relevant to the project

One Project Finance Officer (full time) and one Project Assistant (full time) for supporting day-to-day administrative tasks including procurement, communication, logistics, accounting, and budgeting to the project manager for the full duration of the project; translation and interpretation of technical document meeting, preparation of budget tracking and progress reports,

mission arrangement and logistical support. The Project Assistant will also serve as supporting resource person for all ministries to implement the Outcome 1-3.

Annex E: Terms of References for UNDP Staff (as needed)

Terms of Reference of Technical Services to be provided by UNDP:

Regional NAP Advisor - Terms of Reference

This TOR details the provision of technical support the UNDP-GEF will extend towards the execution/implementation of the GCF-funded project, *“Viet Nam National Adaptation Plan (NAP) Development and Operationalization Support Project.”* The UNDP-GEF will provide technical services through the partial engagement of a Regional NAP Advisor. The Advisor will provide technical backstopping to the Project and more specifically to: (1) Sub-outcome 1.1: Integrated Data and Analytical Capability Built in Priority Sectors, (2) Sub-outcome 1.2: NAP Developed, Consulted, and Disseminated, and (3) Sub-outcome 2.1: Inter-ministerial Coordination Strengthened and Appraisal Capacity Built to Implement NAP Integration.

This technical assistance will be provided in the following areas:

- (a) Provide technical advisory services to the Viet Nam NAP team;
- (b) Identify and source international technical expertise and support, including assisting with the inputs to TORs, identification, evaluation of experts and the review of deliverables;
- (c) Contribute review of Viet Nam NAP activities focused on stocktaking of on-going and completed initiatives of relevance to informing and contributing to the national adaptation plans process;
- (d) Support to prepare a background paper on gender mainstreaming and gender equality for the NAP framework;
- (e) Support to prepare Report on barriers to private sector investment in adaptation and measures to build partnership in NAP, provide review of international good practices on private sector engagement and related financial and prioritization tools for NAP in related sectors;
- (f) Provide peer reviews on lessons learned from other countries on NAP processes;
- (g) Support efforts to ensure that Viet Nam NAP activities are aligned and coordinated with national, regional and global development agenda, including but not limited to the SDGs, UNFCCC and CBD processes, Sendai Framework on Disaster Risk Reduction, UN Development Assistance Framework etc.;
- (h) Facilitate linkages and lessons learned sharing with relevant agencies, stakeholders, key donors of UNDP-GEF, NGOs, civil society, international organizations, and implementing partners in the Asia Pacific Region, globally and Viet Nam;
- (i) Provide inputs to synthesize lessons and stimulate the uptake of best practices and knowledge, including support to the development of resource kits and other knowledge materials;

The number of days envisaged for this assignment is 70 days during the lifetime of the project. The costs will be charged against the Staff lines of the project budget and will amount to 42,000.00 USD (70*600).

Senior Climate Change Expert, Viet Nam - Terms of Reference

This TOR details the provision of technical support the UNDP-GEF will extend towards the execution/implementation of the GCF-funded project, *“Viet Nam National Adaptation Plan (NAP) Development and Operationalization Support Project.”*

The UNDP Country Office will provide technical services through the partial engagement of a Senior Climate Change Expert. The Expert will provide technical backstopping to the Project and more specifically to: (1) Sub-outcome 1.1: Integrated Data and Analytical Capability Built in Priority Sectors, (2) Sub-outcome 1.2: NAP Developed, Consulted, and Disseminated, and (3) Sub-outcome 3.1: Participatory and Result-Based M&E Framework Developed and Deployed in Priority Sectors.

This technical assistance will be provided in the following areas:

- (a) Regular facilitation of and dialogue with development partners (monthly) to ensure alignment of the NAP project outputs and results with wider development and adaptation agendas;
- (b) Provide peer review on existing good practices in NAP and NDC in Viet Nam and alignment with UNFCCC and SDGs;
- (c) Substantive technical inputs to align the project outputs and results to broader development aspirations and relevant adaptation initiatives in Viet Nam;
- (d) Support preparation of background paper on gender mainstreaming and gender equality for the NAP framework;
- (e) Provide technical advisory services to the Viet Nam NAP team;

- (f) Policy analysis and inputs to ensure coherence with efforts to implement the Nationally Determined Contribution (NDCs);
- (g) Substantive technical inputs for policy dialogue at regional and national levels;
- (h) Substantive technical inputs to align the NAP financing and investment strategy with broader climate financing initiatives underway in Viet Nam;
- (i) Substantive technical analysis on issues related to project outcomes;
- (j) Peer review of TORs across all outputs;
- (k) Substantive guidance to develop knowledge products based on best practice and knowledge review processes; and

The number of days envisaged for this assignment is 160 days during the lifetime of the project. The costs will be charged against the Staff lines of the project budget and will amount to 44,800.00 USD (160*280).

Annex F: UNDP Risk Log

As per standard UNDP requirements, the Project Manager will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high (i.e. when impact is rated as 5, and when impact is rated as 4 and probability is rated at 3 or higher).

#	Description	Date Identified	Risk Category	Impact & Probability	Risk Treatment / Management Measures	Risk Owner	Status
1	Problems related to coordination of different institutions and organizations relevant to the NAP process in Viet Nam; and problems related to coordination or measurement, reporting and overall impact of the system wide NAP process	Apr 2019	Political and organizational	<p>Constraints in implementing the NAP Readiness activities</p> <p>Difficulties in establishing a coordinated process for NAP</p> <p>P = 1 I = 4</p>	<p>A steering mechanism for efficient coordination process for the NAP will be set up (Outcome 2). Outcome 3 will have a Participatory Monitoring and Evaluation framework set-up to gauge progress</p> <p>A mandate will be developed to identify the roles of different institutions and organizations in the NAP process</p>	Project Manager	On track
2	Stakeholders (vulnerable and marginal communities affected by not participating in the process, and stakeholders not provided access to the NAP process in Viet am	Apr 2019	Political and organizational	<p>The NAP process not participatory, and not inclusive and does not reflect sector specific priorities</p> <p>The NAP process not reflective of the vulnerabilities at the ground level, and the ground level realities</p> <p>Concerns and priorities of the vulnerable groups not addressed</p> <p>P = 2 I = 3</p>	<p>Stakeholders mechanism will be set up as part of the NAP process engaging with priority sectors</p> <p>Decisions of the NAP process to be taken with the mandate of the steering committee, and activities to include different stakeholders into the consultations and workshops processes</p> <p>Priority to be allocated to the participatory and inclusive aspect of the NAP process in all activities (all outcome 1, 2, 3)</p>	Project Manager, MONRE DCC	On track

					Gender responsiveness a key element of the NAP proposal, to ensure that gender related vulnerabilities are addressed		
3	Lack of capacity among sector stakeholders of the NAP process to implement the activities relevant to the NAP process	Apr 2019	Capacity	Inefficiency in implementing the NAP Readiness activities. Delays in implementing activities due to lack of technical knowledge and skills P = 1 I = 4	Outcome 1 and Outcome 2 focus on sector specific capacity building for technical expertise related to NAP process Government officers and practitioners prioritized to ensure the sustainability of activities relevant to the NAP process	Project Manager	On track
4	Gaps and constraints in data available for climate change adaptation related activities, and science/evidence-based data availability for sectors	Apr 2019	Organizational	NAP process in Viet Nam may leave out sector specific issues Climate actions in sectors may not be clearly defined due to lack of related data P = 2 I = 4	Outcome 1 Activities are focused working with sectors enhancing the system for macro climate change and socio-economic data which already exists.	Project Manager	On track
5	Insufficient funds to sustain the project activities once the readiness activities end	Apr 2019	Financial	Lack of continuation of the proposed activities for implementation of the NAP of Viet Nam P = 1 I = 4	Projects on which the activities proposed could build on have been identified in the baseline of NAP readiness activities included in the proposal. A study on public private financing is proposed which will be linked to the project pipeline in outcome 2.	MONRE	On track

					Potential donors/ existing programmes related to the activities of the NAP readiness proposal, allowing for scaling up/ contributing to the implementation to relevant activities identified in the proposal		
6	Emerging Covid-19 Epidemic may affect the progress of the project overall, particularly on the target of the project that the Viet Nam NAP will be approved by the government by the end of 2020.	7 April 2020	Management	<p>The Epidemic restricts a numbers of project meetings and travels. Overall it will likely hinder the progress and quality of activities, e.g. consultation.</p> <p>On 8th April, GCF also sent notification to UNDP for possible options of no-cost extension of 6 months for readiness projects with completion dates after 1 March 2020. This project will have this option open.</p> <p>P = 4</p> <p>I = 3</p>	<p>A number of technical preparation work for the project is being advanced. The project team will elaborate further on the feasibility of some activities due to travel restriction of Covid-19.</p> <p>Some NAP development can be continued, and the Government confirmed at the LPAC meeting that the NAP process is well advance. As such no major delay has been foreseen. The project team will continue to review the situation and will adjust if needed.</p> <p>As much as possible, the project team will try to operate under telecommunication mode.</p> <p>UNDP will follow with GCF guidance to work with MONRE in case a request for no-cost extension is foreseen.</p>	MONRE, Project Manager	Ontrack, closely monitoring

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL				
OVERALL PROJECT				
EXEMPLARY (5) ●●●●●	HIGHLY SATISFACTORY (4) ●●●●○	SATISFACTORY (3) ●●●○○	NEEDS IMPROVEMENT (2) ●●○○○	INADEQUATE (1) ●○○○○
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.
DECISION				
<ul style="list-style-type: none"> • APPROVE – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner. • APPROVE WITH QUALIFICATIONS – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner. • DISAPPROVE – the project has significant issues that should prevent the project from being approved as drafted. 				
RATING CRITERIA				
STRATEGIC				
1. Does the project’s Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project): <ul style="list-style-type: none"> • 3: The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project’s strategy is the best approach at this point in time. • 2: The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time but is backed by limited evidence. • 1: The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD’s theory of change. 			3	2
			Evidence	
<small>*Note: Management Action or strong management justification must be given for a score of 1</small>			3	2
			1	

<p>2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> • 3: The project responds to one of the three areas of development work²⁵ as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas²⁶; an issues-based analysis has been incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. <i>(all must be true to select this option)</i> • 2: The project responds to one of the three areas of development work¹ as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. <i>(both must be true to select this option)</i> • 1: While the project may respond to one of the three areas of development work¹ as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan. 	Evidence	
RELEVANT		
<p>3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable). The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) <i>(all must be true to select this option)</i> • 2: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. <i>(both must be true to select this option)</i> • 1: The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project. <p><small>*Note: Management Action must be taken for a score of 1, or select not applicable.</small></p>	3	2
	1	
	Evidence	
<p>4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives. 	3	2
	1	
	Evidence	

²⁵ 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building

²⁶ sustainable production technologies, access to modern energy services and energy efficiency, natural resources management, extractive industries, urbanisation, citizen security, social protection, and risk management for resilience

<ul style="list-style-type: none"> • 2: The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives. • 1: There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>							
<p>5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: A <u>participatory</u> gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. <i>(all must be true to select this option)</i> • 2: A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. <i>(all must be true to select this option)</i> • 1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<table border="1"> <tr> <td>3</td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> <tr> <td colspan="2">Evidence</td> </tr> </table>	3	2	1		Evidence	
3	2						
1							
Evidence							
<p>6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. <i>(all must be true to select this option)</i> • 2: Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified. • 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<table border="1"> <tr> <td></td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> <tr> <td colspan="2">Evidence</td> </tr> </table>		2	1		Evidence	
	2						
1							
Evidence							

SOCIAL & ENVIRONMENTAL STANDARDS

7. Does the project seek to further the realisation of human rights using a human rights-based approach? (select from options 1-3 that best reflects this project):

- **3:** Credible evidence that the project aims to further the realisation of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (*all must be true to select this option*)
- **2:** Some evidence that the project aims to further the realisation of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget.
- **1:** No evidence that the project aims to further the realisation of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.

*Note: Management action or strong management justification must be given for a score of 1

3	2
1	
Evidence	

8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project):

- **3:** Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (*all must be true to select this option*).
- **2:** No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.
- **1:** No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.

*Note: Management action or strong management justification must be given for a score of 1

3	2
1	
Evidence	

9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]

Yes	No

MANAGEMENT & MONITORING

3	2
1	

<p>10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. <i>(all must be true to select this option)</i> • 2: The project's selection of outputs and activities are at an appropriate level but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. <i>(all must be true to select this option)</i> • 1: The results framework does not meet all of the conditions specified in selection "2" above. This includes: the project's selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project's theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. <p><small>*Note: Management Action or strong management justification must be given for a score of 1</small></p>	Evidence	
<p>11. Is there a comprehensive and costed M&E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?</p>	Yes (3)	No (1)
<p>12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The project's governance mechanism is fully defined in the project composition. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. <i>(all must be true to select this option)</i>. • 2: The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The ProDoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. <i>(all must be true to select this option)</i> • 1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided. <p><small>*Note: Management Action or strong management justification must be given for a score of 1</small></p>	3 1	2 2
<p>13. Have the project risks been identified with clear plans stated to manage and mitigate each risk? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. <i>(both must be true to select this option)</i> 	3 1	2 2
	Evidence	

<ul style="list-style-type: none"> • 2: Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk. • 1: Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document. <p>*Note: Management Action must be taken for a score of 1</p>		
EFFICIENT		
<p>14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.</p>	Yes (3)	No (1)
<p>15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)</p>	Yes (3)	No (1)
<p>16. Is the budget justified and supported with valid estimates?</p> <ul style="list-style-type: none"> • 3: The project’s budget is at the activity level with funding sources and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. • 2: The project’s budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates. • 1: The project’s budget is not specified at the activity level, and/or may not be captured in a multi-year budget. 	3	2
	1	
	Evidence	
<p>17. Is the Country Office fully recovering the costs involved with project implementation?</p> <ul style="list-style-type: none"> • 3: The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.) • 2: The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant. • 1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidising the project. <p>*Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.</p>	3	2
	1	
	Evidence	
EFFECTIVE		

<p>18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. <i>(both must be true to select this option)</i> • 2: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments. • 1: The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered. <p><small>*Note: Management Action or strong management justification must be given for a score of 1</small></p>	3	2
	1	
	Evidence	
<p>19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?</p> <ul style="list-style-type: none"> • 3: Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions. • 2: Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions. • 1: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project. 	3	2
	1	
	Evidence	
<p>20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After-Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?</p>	Yes (3)	No (1)
<p>21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.</p> <p><small>*Note: Management Action or strong management justification must be given for a score of "no"</small></p>	Yes (3)	No (1)
	Evidence	
<p>22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The project has a realistic work plan & budget covering the duration of the project <i>at the activity</i> level to ensure outputs are delivered on time and within the allotted resources. • 2: The project has a work plan & budget covering the duration of the project at the output level. • 1: The project does not yet have a work plan & budget covering the duration of the project. 	3	2
	1	
	Evidence	

SUSTAINABILITY & NATIONAL OWNERSHIP

<p>23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP. • 2: The project has been developed by UNDP in close consultation with national partners. • 1: The project has been developed by UNDP with limited or no engagement with national partners. 	3	2
	1	
	Evidence	
<p>24. Are key institutions and systems identified, and is there a strategy for strengthening specific/comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection and adjust the strategy to strengthen national capacities accordingly. • 2.5: A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities. • 2: A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment. • 1.5: There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned. • 1: Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions. 	3	2.5
	2	1.5
	1	
	Evidence	
<p>25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?</p>	Yes (3)	No (1)
<p>26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?</p>	Yes (3)	No (1)