



# REQUEST FOR CEO ENDORSEMENT/APPROVAL

PROJECT TYPE: Full-sized Project  
THE SPECIAL CLIMATE CHANGE FUND  
S

Submission Date: 10 March 2011  
Resubmission Date: 6 May 2011

## PART I: PROJECT INFORMATION

GEFSEC PROJECT ID: 3103

GEF AGENCY PROJECT ID: 41461 (ADB)  
3741 (UNDP)

COUNTRY(IES): Vietnam

PROJECT TITLE: Promoting Climate Resilient Infrastructure in Northern Mountain Provinces of Vietnam<sup>1</sup>

GEF AGENCY(IES): ADB, UNDP

OTHER EXECUTING PARTNER(S): Ministry Of Agriculture and Rural Development

GEF FOCAL AREA(S): Climate Change - Adaptation

Expected Calendar (mm/dd/yy)	
Milestones	Dates
Work Program (for FSPs only)	February 2011
Agency Approval date	April 2011
Implementation Start	June 2011
Mid-term Evaluation (if planned)	June 2013
Project Closing Date	December 2014

### A. PROJECT FRAMEWORK (Expand table as necessary)

**Project Objective:** To increase the resilience and reduce vulnerability of local, critical economic infrastructure in the northern mountains areas of Vietnam to the adverse impacts of climate change and to support a policy framework conducive to promoting resilient northern mountains zone development.

Project Components	Indicate whether Investment, TA, or STA*	Expected Outcomes	Expected Outputs	SCCF Financing		Co-Financing <sup>2</sup>		Total (\$) c=a+ b
				(\$ a)	%	(\$ b)	%	
1. Mainstreaming of Climate Change Adaptation into Policy Formulation and Sectoral Planning	TA	<b>Outcome 1</b> – Climate change adaptation integrated into policy, strategy and planning that relate to rural infrastructure – specifically agriculture, rural water and rural roads (UNDP Administered).	1.1 Documented review of institutions and existing policies, strategies and standards related to rural infrastructure. 1.2 Technical paper providing guidance on mainstreaming climate change into sectoral planning related to rural infrastructure in northern areas. 1.3 Manual on mainstreaming climate change into the design of rural infrastructure projects.	\$398,500	11%	UNDP: \$3,265,000	89%	3,663,500

<sup>1</sup> The Project PIF was approved under the title “Climate Resilient Infrastructure Planning and Coastal Development in Vietnam”. Justification for the geographical shift in focus is explained in Part IV.

<sup>2</sup> Co-financing includes parallel funded baseline projects and investment. See Part II, Section E for details.

			1.4 A technical discussion paper on existing standards and codes and on the implications of climate change.					
2. Capacity Development	TA	<b>Outcome 2</b> – Enhanced capacity to adapt/climate-proof rural infrastructure investments and provincial area planning (UNDP Administered).	2.1 Climate vulnerability assessment across all 15 SRIDP provinces. 2.2 Raised awareness amongst decision-makers on impacts of climate change on poverty reduction (all 15 SRIDP provinces). 2.3 Provincial strategies for climate proofing rural infrastructure to climate change (based on vulnerability impact assessments and maps) (Son La and Bac Kan provinces only). 2.4 Climate change mainstreamed into rural infrastructure components of Provincial Development Plans (Son La and Bac Kan provinces only). This will be linked to preparation/ roll-out of <i>Provincial Action Plans to Respond to Climate Change</i> . 2.5 A cadre of experts able (i) to prepare, interpret and utilize provincial level climate	\$596,500.	15%	UNDP: \$3,500,000	85%	4,096,500

			vulnerability maps and (ii) mainstream climate change into development plans (all 15 provinces).					
3. Enhanced sustainability of rural infrastructure.	Investment /TA	Outcome 3 – Mainstream adoption of low cost local resource based measures to decrease negative impacts of climate change. (ADB administered).	<p>3.1 Identification and development of low cost climate proofing measures adapted to the rural areas of Vietnam.</p> <p>3.2 Demonstrations of appropriate climate resilience techniques (.</p> <p>3.3 Development of a trained cadre of technical personnel familiar with the use of low cost infrastructure protection measures.</p> <p>3.4 Integration of low cost local resource approaches into training curricula, standard design procedures and specifications.</p> <p>3.5 Identification of broader climate change risk and vulnerabilities along with potential measures for strengthening the resilience of communities within the influence areas of the demonstration projects.</p>	\$2,000,000	1.6%	SRIDP/ADB: \$91,320,000  SRIDP/Gov: \$30,000,000	98.4%	\$123,320,000
4. Knowledge Management	TA	<b>Outcome 4 – Lessons learnt</b>	4.1 Project lessons captured,	\$125,000	100%	0	0%	\$125,000

and Learning		and best practices from Outcomes 1, 2 and 3 are disseminated to stakeholders and development partners (UNDP Administered).	classified and evaluated. 4.2 Adaptation knowledge and experiences from the project documented and disseminated within Vietnam, in the Asian region and beyond.					
5. Project management (ADB)				0	1.6%	SDRIP/ADB: \$16,680,000	98.4%	\$17,360,000
5. Project management (UNDP)				\$280,000				
<b>Total Project Costs</b>				\$3,400,000	2.3%	\$145,165,000	97.7%	\$148,565,000

\* TA = Technical Assistance; STA = Scientific & Technical Analysis.

#### B. SOURCES OF CONFIRMED CO-FINANCING<sup>3</sup> FOR THE PROJECT

<i>Name of Co-financier (source)</i>	<i>Classification</i>	<i>Type</i>	<i>Amount</i>	<i>%*</i>
ADB	GEF Agency	Loan	\$108,000,000	74.4
Government of Vietnam	Government	Cash and in-kind	\$30,400,000 <sup>a</sup>	20.9
UNDP	GEF Agency	Parallel funded baseline project	\$6,765,000 <sup>b</sup>	4.7
<b>Total Co-financing</b>			\$145,165,000	100%

\*Percentage of each co-financier's contribution at CEO endorsement to total co-financing.

<sup>a</sup> Includes \$30 million provided through Loan 2682/2683 (see Attachment 1) and \$400,000 in-kind to support SCCF implementation (see attached MOU-Attachment 2).

<sup>b</sup> See attached UNDP letter of cofinancing (Attachment 3).

#### C. CONFIRMED FINANCING PLAN SUMMARY FOR THE PROJECT (\$)

	<i>Project Preparation a</i>	<i>Project b</i>	<i>Total c = a + b</i>	<i>Agency Fee</i>	<i>For comparison: SCCF and Co-financing at PIF<sup>4</sup></i>
GEF financing	\$100,000	\$3,400,000	\$3,500,000	\$350,000	\$3,500,000
Co-financing	\$105,000	\$145,165,000	\$145,270,000		\$177,145,000
<b>Total</b>	\$205,000	\$148,565,000	\$148,770,000	\$350,000	\$180,995,000

#### D. GEF RESOURCES REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)

<i>GEF Agency</i>	<i>Focal Area</i>	<i>Country Name/ Global</i>	<i>(in \$)</i>		
			<i>Project (a)</i>	<i>Agency Fee ( b)<sup>5</sup></i>	<i>Total c=a+b</i>

<sup>3</sup> Co-financing includes parallel funded baseline projects and investment. See Part II, Section E for details.

<sup>4</sup> See approved PIF, dated 20 March 2009

<sup>5</sup> Relates to the project and any previous project preparation funding that have been provided and for which no Agency fee has been requested from Trustee. These figures cover both preparation and implementation phases.

ADB	CC-A	Vietnam	\$2,050,000	205,000	\$2,255,000
UNDP	CC-A	Vietnam	\$1,450,000	145,000	\$1,595,000
<b>Total GEF Resources</b>			<b>3,500,000</b>	<b>\$350,000</b>	<b>\$3,850,000</b>

## E. PROJECT MANAGEMENT BUDGET/COST

<i>Cost Items</i>	<i>Total Estimated person weeks</i>	<i>GEF (\$)</i>	<i>Co-financing (\$)</i>	<i>Project total (\$)</i>
Local staff and consultants*				
Project Coordinator (including travel)	Full time, 4 years	84,000	2,600,000	2,684,000
Administrative and Financial Assistant	Full time, 4 years	54,000	1,800,000	1,854,000
NPD, Provincial Coordinators, Office support staff	Part time	15,000	4,920,000	4,935,000
Office facilities, equipment, and communications and utilities.		52,000	3,480,000	3,532,000
M&E		75,000	4,280,000	4,355,000
Miscellaneous		0		
<b>Total</b>		<b>280,000</b>	<b>17,080,000</b>	<b>17,360,000</b>

\*Details provided in Annex C

## F. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

<i>Component</i>	<i>Estimated person weeks</i>	<i>GEF amount(\$)</i>	<i>Co-financing (\$)</i>	<i>Project total (\$)</i>
Local consultants*	856.5 (GEF)	\$519,800	676,500	1,196,300
International consultants*	177 (GEF)	\$755,500	676,500	1,432,000
<b>Total</b>		<b>1,275,300</b>	<b>1,353,000</b>	<b>2,628,300</b>

\* Details provided in Annex C.

## G. DESCRIBE THE BUDGETED M & E PLAN:

The project's M&E Plan is described more thoroughly in the UNDP Project Document (Part 6). The table below provides a summary.

<b>Type of M&amp;E activity</b>	<b>Responsible Parties</b>	<b>Budget US\$ Excluding project team staff time</b>	<b>Time frame</b>
Inception Workshop and Report	<ul style="list-style-type: none"> <li>▪ Project Coordinator</li> <li>▪ UNDP CO, ADB Office</li> </ul>	Indicative cost: 5,000	Within first two months of project start up
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> <li>▪ Project Team</li> </ul>	None	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	<ul style="list-style-type: none"> <li>▪ Oversight by Project Coordinator</li> <li>▪ Project team</li> </ul>	To be determined as part of the Annual Work Plan's preparation.	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> <li>▪ Project Coordinator and team</li> </ul>	None	Annually

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
	<ul style="list-style-type: none"> <li>▪ UNDP CO and RTA</li> <li>▪ ADB Office</li> </ul>		
Periodic status/ progress reports	<ul style="list-style-type: none"> <li>▪ Project Coordinator and team</li> </ul>	None	Quarterly
Mid-term Evaluation	<ul style="list-style-type: none"> <li>▪ Project Coordinator and team</li> <li>▪ UNDP CO</li> <li>▪ UNDP RCU and ADB office</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	Indicative cost: 20,000	At the mid-point of project implementation.
Final Evaluation	<ul style="list-style-type: none"> <li>▪ Project Coordinator and team,</li> <li>▪ UNDP CO and RCU, and ADB office</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	Indicative cost : 40,000	At least three months before the end of project implementation
Project Terminal Report	<ul style="list-style-type: none"> <li>▪ Project Coordinator and team</li> <li>▪ UNDP and ADB</li> <li>▪ local consultant</li> </ul>	0	At least three months before the end of the project
Audit	<ul style="list-style-type: none"> <li>▪ UNDP CO</li> <li>▪ Project Coordinator and team</li> </ul>	Indicative cost per year: 2500, total 10,000	Yearly
Visits to field sites	<ul style="list-style-type: none"> <li>▪ UNDP CO and RCU and ADB (as appropriate)</li> <li>▪ Government representatives</li> </ul>	For GEF supported projects, paid from IA fees and operational budget	Yearly
<b>TOTAL indicative COST</b> Excluding project team staff time and UNDP staff and travel expenses		US\$ 75,000	

## **PART II: PROJECT JUSTIFICATION:**

### **A. STATE THE ISSUE, HOW THE PROJECT SEEKS TO ADDRESS IT, AND THE EXPECTED ADAPTATION BENEFITS:**

1. Please refer to details already outlined in the PIF, the ADB Technical Assistance Paper and the UNDP Project Document.
2. Since the adoption of market-oriented reforms almost two decades ago, and the opening of its economy to international trade, Vietnam has taken great strides to overcoming economic and human poverty. It is now well on its way to achieving middle-income status. The national poverty rate declined from 58% in 1993 to 16% in 2008,

and rural poverty declined from 64% to 20% over the same period<sup>6</sup>. Yet, despite these overall achievements in overcoming poverty, poverty remains persistently entrenched in some areas: rural areas have far more poverty than urban areas; areas with a large ethnic minority population often have high poverty levels, and; hilly and mountainous areas experience high poverty levels. Poverty is particularly entrenched in the Northern Mountains.

3. Development studies consistently show that poor infrastructure is a key factor limiting economic growth and poverty reduction. The fifteen provinces of Northern Vietnam have very poor infrastructure compared to the rest of Vietnam. The number of roads is amongst the lowest in the country. Likewise, there is a low proportion of irrigated land. The communities often lack reliable and convenient access to clean water. Market structures tend to be poorly sited and constructed. In addition, where there is infrastructure, it is typically either of poor quality or in a poor state of repair. For example, the proportions of unsealed rural roads is high for all categories of roads across all northern provinces and is significantly higher still in mountainous districts. The Northern provinces also generally share the following tendencies: low population densities, large ethnic minority population, high dependence on agriculture, and high levels of persistent poverty.
4. The Vietnamese Government, with the support of several international development partners, has been undertaking major efforts to improve rural infrastructure. These efforts are to be consolidated in coming years, including a focus in the northern mountains.
5. Viet Nam's topography and exposure to monsoons and typhoons make it highly prone to climate-change and climate-related disasters. The impacts of climate related disasters are high and increasing, due to a series of ecological and socio-economic factors that increase vulnerability, and due to climate change. The increase in extreme events that are predicted under climate change will lead to damage to infrastructure. All fifteen Northern provinces already experience a large number of climate-related challenges. The most notable of these are:
  - Increasingly intensive and increasingly regular flash floods leading to damage to public and private property and lives. These are typically caused by either the heavy, lengthy monsoon rains, or by the passage of tropical storms;
  - Increasingly intensive and regular landslides leading to damage to infrastructure, in particular to the closing of roads – also caused by monsoon rains and the passage of tropical storms;
  - Localized droughts leading to water shortages for agriculture and domestic consumption.
6. The existing infrastructure is threatened by damage from climate change. More importantly, as mentioned above, there are major investment programmes to improve and rehabilitate infrastructure. These are also threatened by damage from climate change. This, in turn, threatens to undermine efforts to reduce poverty in Vietnam, particularly in the Northern provinces.

## **B. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH NATIONAL PRIORITIES/PLANS:**

7. This SCCF Project is guided by and is consistent with the following national policies/plans:
  - The *Five Year Socio-Economic Development Plan (SEDP) 2006-2010* and forthcoming *SEDP (2011-2015)* focus on poverty reduction, with an emphasis on disaster stricken areas and on improving rural infrastructure, and on northern areas;
  - The *Second National Communication to the UNFCCC (SNC)* of 2010 which uses projections from 2009 of the effects of climate change over the 21<sup>st</sup> Century, based on selected IPCC emissions scenarios<sup>7</sup>, confirming the vulnerability of the northern mountainous regions;
  - The '*National Target Programme to Respond to Climate Change*'<sup>8</sup> (NTP). In particular, this SCCF project contributes to the following Specific Objectives of the NTP: (a) to assess climate change impacts on every sector and locality; (b) to identify measures to respond to climate change; (e) to enhance public awareness,

---

<sup>6</sup> ADB Project Preparatory Technical Assistance (PPTA) 7215-VIE Interim Report (2009)

<sup>7</sup> *Climate Change, Sea Level Rise Scenarios for Viet Nam*. MONRE, Government of Vietnam (2009)

<sup>8</sup> Ministry of Natural Resources and Environment, 2008

responsibility and participation; and, (g) to mainstream climate change issues into socio-economic, sectoral and local development strategies and plans;

- The ‘*Ministry of Agriculture and Rural Development (MARD) Action Plan Framework for Adaptation and Mitigation of Climate Change of the Agriculture and Rural Development Sector, Period 2008-2020*’ (MARD Action Plan). Notably, it contributes directly to two of the three stated General Objectives, namely: “ensuring the stability and safety of residents in cities and different zones and regions, especially ..... mountainous areas”; and “ensuring the maintenance of dyke and infrastructure systems.....”.

8. As described in previous sections, a main element in the government’s development plans and priorities are the programmes to expand and upgrade rural infrastructure, together with support from international partners. A main element of these programmes is the “Sustainable Rural Infrastructure Development Project in the Northern Mountains (SRIDP)”, to be financed by the Government and an ADB loan. The SRIDP is designed to address the persistent and significant levels of poverty, particularly amongst the ethnic minority communities, in the Northern Mountains provinces. The SRIDP will provide resources in the 15 Northern provinces to rehabilitate and, in some situations, establish new rural infrastructure to improve access to services for the target population. The SRIDP will be implemented through a number of infrastructure subprojects – typically 3 per province - will be completed in each province.
9. This SCCF project adopts the SRIDP as its baseline. By linking into the SRIDP project, the SCCF assures its operational consistency with government poverty reduction programmes. Moreover, the SCCF can leverage activities in the SRIDP in order to have a major impact.

#### **C. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH SCCF ELIGIBILITY CRITERIA AND PRIORITIES:**

10. This project is consistent with guidance from the Conference of Parties (CoP) and is in alignment with Vietnam’s Second National Communication (SNC) to the UNFCCC. It conforms with CoP guidance under the Adaptation window of the Special Climate Change Fund (SCCF), as it implements high priority interventions to assist urgent adaptation needs in an identified priority area, i.e. infrastructure development. Also, it supports capacity building for preventive measures in areas prone to extreme weather events.
11. In line with CoP and SCCF guidance, this Project catalyzes and leverages co-financing resources from bilateral and multilateral sources. The GEF/SCCF financing helps to cover the additional costs of achieving sustainable development that are imposed on Vietnam by the impacts of climate change. Moreover the SCCF project is country-driven, cost-effective, and will integrate climate change risk considerations into rural infrastructure projects in areas with high poverty. These are priority interventions and eligible under the SCCF guidelines.
12. The project focus of safeguarding Vietnam’s rural infrastructure against future climate risk by pursuing a range of adaptation measures in the field of infrastructure resilience and capacity development is aligned with the scope of expected interventions as articulated in the SCCF programming paper. As climate impacts fall disproportionately on the poor, the project recognizes the link between adaptation and poverty reduction (GEF/C.28/18, 1(b), 29), and the main ultimate beneficiaries are poor people in remote mountainous regions of northern Vietnam.

#### **D. OUTLINE THE COORDINATION WITH OTHER RELATED INITIATIVES:**

13. As described above, the project will be implemented in line with the NTP and the MARD Action Plan. MARD will play the lead role in ensuring the project is closely coordinated with related initiatives and synergies are generated.
14. The SCCF project implementation is linked to the implementation of the SRIDP project. MARD will ensure the SRIDP and SCCF activities are fully coordinated. This will include, where possible and appropriate, joint activities and inputs.
15. UNDP will also ensure that the SCCF Project is closely coordinated with several ongoing initiatives financed by UNDP and implemented by key national agencies, namely:
  - “*Strengthening national capacities to respond to Climate Change in Viet Nam, reducing vulnerability and controlling GHG emissions*”, in collaboration with the Ministry of Natural Resources and Environment (MONRE) and MARD;



- “*Strengthening Sustainable Development and Climate Planning*”, in collaboration with the Ministry of Planning and Investment (MPI);
  - “*Strengthening Institutional Capacity for Disaster Risk Management in Vietnam, including Climate Change Related Disasters*”, in collaboration with MARD.
16. With support from the international community, the Vietnamese government is currently implementing a number of initiatives related to climate change. These focus mainly on assessment, research and planning; very few of them include actual activities to adapt, and none do so in the northern mountainous regions. Annex 5 of the UNDP Project Document provides basic information on the most relevant ongoing and planned initiatives supported by international partners. The project will link with all concerned projects as appropriate in order to develop synergies and increase lessons learning.
17. Finally, the project will develop appropriate linkages with the following internationally supported initiatives that address rural infrastructure in Vietnam, with components in the northern provinces:
- The World Bank and its *Northern Mountains Poverty Reduction Project*, with the Second Phase due to start in 2010;
  - The Japanese Government and its *Small-Scale Pro-Poor Infrastructure Development* projects. The new loan for Small-Scale Pro-Poor Infrastructure Development Project (III) (SPL VI) should start up in 2010;
  - The International Fund for Agricultural Development (IFAD). IFAD has supported infrastructure development in rural parts of northern Vietnam through the *Rural Income Diversification Project in Tuyen Quang Province* and the *Decentralised Program for Rural Poverty Reduction in Ha Giang Province*.

## E. DESCRIBE ADDITIONAL COST REASONING

### **Outcome 1 – Climate change adaptation integrated into policy, strategy and planning that relate to rural infrastructure – specifically agriculture, rural water and rural roads.**

18. In the baseline, climate change will not be mainstreamed into policies, plans or programmes that are related to rural infrastructure sectors in the Northern Mountains. The procedures to prepare such plans will not include steps or mechanisms to incorporate climate change. As a result, future strategies (e.g. the Rural Transport Strategy) will not be adapted to climate change. In the baseline, efforts to adapt to climate change will be mostly separate from sectoral initiatives and not mainstreamed. Moreover, they will mostly focus on planning, assessing and researching climate change, as set out in the NTP. There will be few concrete measures leading to real changes. The baseline includes three ongoing projects financed by UNDP which address some specific issues related to climate change but which focus neither on the Northern Mountains nor on the climate risks associated with rural infrastructure.
19. In the alternative, the SCCF intervention will lead to the preparation of a series of tools that will strengthen capacity to adapt the rural infrastructure elements of plans to climate change, and increase ability to integrate climate change into the planning, design, implementation and monitoring of rural infrastructure projects. These tools will all be developed based on the findings of the demonstration projects (Outcome 3) - which will have demonstrated to decision-makers and government staff that low-cost, effective climate proofing measures are feasible.
20. The first step will be to prepare a document identifying and analysing all policies, standards and strategies related to rural infrastructure. The policies and strategies where adaptation measures are most urgently needed will be selected and assessed in a participatory manner, and recommendations regarding mainstreaming climate change will be forwarded to MARD.
21. The next step, building on the findings from Outcome 3 below, will be the preparation of a technical paper that provides guidance on integrating climate change into provincial planning, with specific relevance only to rural infrastructure. This technical paper, to be disseminated by MARD to all provincial departments, will guide provincial planners in Northern Mountain provinces and experts on how: to utilize existing information on climate change; to assess the vulnerability of plans to climate change; to assess likely climate change impacts; to assess likely costs of climate change, and; to determine cost-effective, alternative plans that are less vulnerable to climate change.
22. The next step will be to prepare a Manual to guide in a step-by-step manner the design, construction and implementation of rural infrastructure projects. The Manual will cover: assessing likely climate change at the

project site, assessing likely physical impacts of climate change, assessing likely economic impacts of climate change, assessing costs of likely impacts, identifying alternative approaches with costs, and comparing alternatives. The Manual will also provide detailed technical specifications – to be developed under Outcome 3. An important step in preparing the Manual will be to assess previous methods used in Northern Vietnam to reduce climate related risk – such as vented drifts.

23. Finally, it is known that ultimately construction standards and codes will need revising to account for climate change. That is beyond the scope of this project. This project will prepare a technical discussion paper, reviewing existing standards, discussing strengths and weaknesses regarding climate change, and making initial recommendations on which standards to revise.
24. The development, appraisal, approval and roll-out of these tools and policy initiatives to adapt to climate change entail a series of costs to national government agencies. These costs are additional and should be covered by SCCF.

### **Outcome 2 – Enhanced capacity to adapt/climate-proof rural infrastructure investments and provincial area planning.**

25. In the baseline, provincial level capacity to adapt and climate proof infrastructure is very limited. The provinces do not have the incentives, the information, the tools or the expertise to adapt to climate change. Little work is done to adapt. Each province has been requested by the Ministry of Natural Resources and Environment (MONRE) to prepare an ‘*Provincial Action Plan to Respond to Climate Change*’. In the baseline, the provinces do not have the capacity to prepare effective Action Plans.
26. The baseline includes three ongoing projects financed by UNDP which address some specific issues related to climate change, including provincial capacity. “*Strengthening national capacities to respond to Climate Change in Viet Nam, reducing vulnerability and controlling GHG emissions*”, will support capacity development at local levels, and provide ongoing technical advice, though there will be little focus in Northern areas or on rural infrastructure. “*Strengthening Sustainable Development and Climate Planning*” will support sustainable development planning at the national level and mechanisms for provincial planning.
27. In the alternative, the SCCF funds will be used specifically to develop the capacity of the Northern Provinces. The first step will be to undertake a coarse climate vulnerability assessment that covers all 15 northern provinces. This will ensure the latest data and techniques are used to establish climate scenarios and coarse impact vulnerability maps across the provinces. This information will then be used a part of a package to raise the awareness of decision-makers across the provinces – notably awareness of how climate change is to undermine poverty reduction efforts. This will develop the responsibility of the provinces to adapt to climate change.
28. The next step will be to undertake in-depth climate change impact assessment work in two provinces – Son La and Bac Kan. The project will develop detailed maps based on historical data, local conditions, population, poverty, and best available climate scenarios. These maps will identify the places that are most vulnerable to climate change in the Province. These maps will be used to develop provincial strategies for climate proofing rural infrastructure to climate change.
29. Next, the project will support the mainstreaming of climate change into the rural infrastructure related components of the two concerned Provincial Development Plans. The project will link into the ongoing work to prepare *Provincial Action Plans to Respond to Climate Change* under the National Target Programme for Climate Change. It will provide training and guidance, and determine best ways to use project generated information to mainstream climate change into Provincial Development Plans.
30. Finally, a cadre of experts covering all fifteen provinces will be trained in order to be able (i) to prepare, interpret and utilize provincial level climate vulnerability maps and (ii) mainstream climate change into development plans will be trained.

### **Outcome 3 – Mainstream adoption of low cost local resource based measures to decrease negative impacts of climate change.**

31. Current rural infrastructure in Viet Nam is designed according to relevant government standards and specifications. These standards and specifications are rigid, out of date, and tend to focus narrowly on issues such as pavement thickness or width of canal but not at the broader environment in which the infrastructure exists. As a result, current infrastructure can be vulnerable to poor performance, rapid deterioration or failure even under existing climatic conditions. The most damaging impacts are associated with frequent flood events, which cause high volume and velocity of surface water movement. This can cause severe erosion leading to damage to rural infrastructure. The ensuing damage results in high maintenance and rehabilitation costs as well as a loss of benefits while the infrastructure remains in poor condition. At present there are few agreed measures which can be taken in the context of existing design standards to prevent or mitigate these impacts, as alternate methods are either not known, or where known they may not be accepted or considered cost-effective.
32. Under the baseline situation, rural infrastructure in the northern mountains region of Viet Nam, including the 45 SRIDP supported rural infrastructure sub-projects, will be constructed according to existing design standards and as a result will be vulnerable to damages caused by climate variability. With the addition of future climate change – which is projected to increase the frequency and intensity of high rainfall events and cause more pronounced dry seasons – existing deficiencies with current rural infrastructure designs will be further exacerbated, leading to higher levels of failure and loss of benefits for communities. Further, in the baseline, government officers and planners are not fully aware of the potential impacts of climate change on their projects and even in cases where there is theoretical knowledge of approaches for adapting to climate, there is limited practical knowledge and experience.
33. In the alternative, SCCF funds will be used to demonstrate practical, cost-effective and convenient ways to climate proof four sub-projects in two provinces: Bac Kan and Son La. Two rural roads, one irrigation scheme and one river embankment will be climate proofed. This will demonstrate that it is possible to increase climate resilience, that the benefits of adaptation can outweigh the costs, and that this can be done without causing delays to the infrastructure project cycle. As a result, provincial level decision-makers will be convinced of the advantages of climate-proofing. Also, the four concerned sub-projects will be more resilient to climate related hazards and will yield benefits to local poor people over a longer period (See Appendix 4 ADB TA Paper for details of the four sub-projects, including the process to select the sub-projects and selection criteria).
34. The first step will be to review the design of the four sub-projects and identify aspects of the design or their location that are vulnerable to climatic impacts or which can be enhanced to increase their resilience. The second will be to identify alternative or additional approaches. This will be followed by a comparison of the costs and benefits of alternatives. Next, the actual measures required to increase resilience will be implemented. This is likely to include bio-engineering to increase slope stability, or low-cost civil engineering to increase slope stability, or strengthened water flow structures, or strengthened canal and river embankments through bio-engineering and/or low civil engineering. In the case of rural roads important considerations will also include: (i) the choice of pavements that are able to resist erosion arising from raindrops and the movement of water over the pavement; (ii) the height of the road embankments; (iii) the stabilization of the road embankments and side drains; and (iv) the design and sizing of the cross drainage structures and the provision of structures or controlled failure mechanisms to allow high flows of water to cross the road quickly while limiting the damage to a small area.
35. This will be accompanied by training to develop a cadre of experts in Bac Kan and Son La and neighbouring provinces. Furthermore, through linkage with Component 1, the project will be able to prepare a “Technical Discussion Paper” on existing standards and codes and on the implications of climate change; and “Manual” on mainstreaming climate change and variability into the design of rural infrastructure projects. These interventions will allow the project experience to be more effectively scaled-up, by the Government and through other ADB supported projects in Viet Nam, which will increase cost effectiveness.
36. While the cost – benefits of individual measures are likely to be specific to the sites, it is anticipated that measures will follow a “no regrets” approach. Such an approach will aim to enhance the sustainability of infrastructure investments under both existing and projected future climatic conditions. This will improve the cost effectiveness of measures and increase the likelihood of their uptake by government.
37. Activities under Component 3 will be accompanied by a programme to monitor resilience to climate change, and to increase collective understanding of how to increase infrastructure resilience. A key indicator will be to assess the change in relative resilience and/or deterioration rates of the infrastructure attributable to the impacts of climate

change (as compared to control sites that have not been assisted by the project). The dimensions of the rates and attributes will be further developed during the project, once the designs of the infrastructure sub-projects is completed and resilience strengthening measures identified. To ensure sustainability of the monitoring program, a national institute within MARD will be used, and the development of monitoring indicators will be done as a participatory process as part of the projects learning by doing approach to capacity development.

**Outcome 4 – Lessons learnt and best practices from Outcomes 1, 2 and 3 are disseminated to stakeholders and development partners managed.**

- 38. In the baseline, as there are no lessons available related to climate change adaptation, there is no system to disseminate lessons, and no dissemination.
- 39. In the alternative, all project activities will be assessed and the lessons learned from their implementation will be captured and disseminated to other provinces and other countries embarking on similar processes. As this project is one of the first projects in Vietnam undertaking actual adaptation measures in northern rural areas, the alternative will ensure that the project becomes a source of vital information on climate change adaptation in a user-friendly way to all relevant stakeholders. Also, this is one of the first rural infrastructure projects in the SCCF portfolio, hence the importance of lesson learning.
- 40. In the alternative, linkages will be made to UNDP-GEF’s Adaptation Learning Mechanism (ALM) and other networks and platforms focusing on Asia-Pacific to ensure that lessons from this project will reach a broader audience including other international agencies, and donors engaged in similar initiatives in other countries. The achievements under Outcomes 1, 2 and 3 will contribute towards lessons on improving resilience to climate change, including variability. These lessons will form a crucial input to inform Vietnam’s plans and strategies to adapt to climate change. The SCCF Project will play a pivotal role in enhancing local knowledge and capacities, which will in turn enable Vietnam to scale up and replicate these interventions.
- 41. The project will build into existing coordination mechanisms such as MARD’s Office for Climate Change Adaptation (OCCA). A range of effective communication tools – e.g. short films and photo stories both in Vietnamese and English – will be prepared to communicate the lessons from Outcomes 1, 2 and 3 to a wider audience.

**Summary**

- 42. The SCCF contribution is \$3,400,000, with \$2,000,000 managed by ADB and \$1,400,000 managed by UNDP.
- 43. Co-financing to the project is \$145,165,000. This is principally in the form of parallel projects implemented as part of the baseline, specifically:
  - “Sustainable Rural Infrastructure Development Project in the Northern Mountains (SRIDP)”, to be financed by the Government and an ADB loan;
  - “Strengthening national capacities to respond to Climate Change in Viet Nam, reducing vulnerability and controlling GHG emissions”, financed by UNDP and implemented by MARD and MONRE;
  - “Strengthening Sustainable Development and Climate Planning”, financed by UNDP and implemented by the Ministry of Planning and Investment (MPI);
  - “Strengthening Institutional Capacity for Disaster Risk Management in Vietnam, including Climate Change Related Disasters”, financed by UNDP and implemented by MARD.

**F. INDICATE RISKS THAT MIGHT PREVENT THE PROJECT OBJECTIVE(S) FROM BEING ACHIEVED AND OUTLINE RISK MANAGEMENT MEASURES:**

- 44. The following table summarizes the main risks, their probability and likely scale of impact, and the management measures to be taken.

#	Description	Impact &	Countermeasures/Management response
---	-------------	----------	-------------------------------------

		Probability <sup>9</sup>	
1	The impacts of climate change cannot be assessed at the scale relevant to the rural infrastructure projects.	I- 1 P- 4	The best available models are to be used.  Project funds are allocated to addressing this
2	The costs of adapting to climate change are prohibitive.	I – 4 P -1	The project sets out to find cost-effective measures. Considerable project efforts are devoted to this.
3	Inter-agency coordination is not adequate.	I – 3 P – 3	The project is designed to rely on coordination at the provincial level which is known to be possible in Vietnam, whereas national level coordination can be difficult. Strong national level coordination, whilst preferential, is not essential to project success.
4	Funding for continued demonstration and monitoring does not continue after completion of the SCCF support.	I – 4 P – 2	Funding for this purpose can be included within a proposed future ADB loan to rural infrastructure RI sector. The project is designed to not depend on continued external funding, other than funding available for climate change adaptation.
5	Conservative views within line agencies resist new manuals and changes to design standards.	I – 2 P – 2	Awareness raising of decision-makers should overcome this. Also, the project always sets out to demonstrate the advantages and benefits of adaptation.
6	Demonstrations are not successful and convincing.	I – 3 P - 1	Several demonstrations will be undertaken. Each will be closely monitored. Funding is adequate.

#### **G. EXPLAIN HOW COST-EFFECTIVENESS IS REFLECTED IN THE PROJECT DESIGN:**

45. ADB and UNDP have developed a substantial package of investment projects and technical assistance grants that are relevant to the proposed project, and so the GEF/SCCF grant will be part of an integrated package of coherent climate change relevant policy development, infrastructure development, and capacity building. These activities include: the SRIDP project, and the three UNDP Capacity development projects listed earlier.
46. At a general level, the project's cost-effectiveness is assured through its association with the large SRIDP programme and with other grant projects financed by UNDP. In addition, the SCCF funds are to be managed in an coherent manner with the large SRIDP investment programme, through this SCCF should yield influence and impacts well beyond its scale. Through this partnership, SCCF can work with agencies and projects having a major impact on rural development and infrastructure, and so SCCF can in-turn have large impact for its investment.
47. At the level of the activities, the measures implemented through this project were identified through an analytical process. Multi-criteria analysis was used to prioritize the list of activities according to the potential to yield positive effects on climate change, and accounting for economic development, social capital and environmental needs. Cost effectiveness was an underlying criteria. The actions proposed are not only the most urgent and most pressing; they are also judged to be cost effective.
48. The selection of target province, local partners and demonstration sites was based on an analysis of potential costs and benefits, in order to optimize cost-effectiveness. At the micro-level, careful attention to partnerships and activity design will mean that each activity/input is managed in the most effective manner. This, assisted by monitoring by UNDP and ADB, will ensure the optimal cost-effective use of SCCF funds.

### **PART III: INSTITUTIONAL COORDINATION AND SUPPORT**

#### **A. PROJECT IMPLEMENTATION ARRANGEMENTS:**

49. The Executing Agency (EA) for the proposed GEF/SCCF project will be MARD. The management structure for the proposed GEF/SCCF project is shown in an organization chart in Attachment.

<sup>9</sup> Range 1-5, where 5 is highest.

50. SCCF funds are to be implemented through two modalities: Outcomes 1, 2, 4 and Project Management are under the responsibility of UNDP; Outcome 3 is under the responsibility of ADB. All Outcomes are coordinated by MARD through a single coordination mechanism (see below). Hence, for Outcomes 1,2 and 4, the funds flow from SCCF through UNDP to CPMU (see below) to project activities, under UNDP National Implementation (NIM) procedures. Outcome 3 will be implemented under a parallel Capacity Building Technical Assistance (CDTA) managed by the Asian Development Bank (ADB).
51. The management arrangements for the GEF/SCCF project will be closely linked with those of the SRIDP Project. Under these arrangements, MARD will delegate responsibility for overall GEF/SCCF project management and coordination to its Agricultural Projects Management Board (APMB) through CPMU. The Director for CPMU will function as the National Project Director (NPD) and will be responsible for ensuring that project objectives and outcomes are achieved. The Director for CPMU will report to a GEF/SCCF Project Board chaired by MARD on progress and will be responsible for coordination the flow of results and knowledge.
52. The APMB will establish a Central Project Management Unit (CPMU) for SRIDP managed by a full time Project Director<sup>10</sup>. The CPMU will implement the GEF/SCCF project at national and province levels, supported by a dedicated Sub-Project Management Unit – (see organogram in Attachment) – led by a Project Coordinator. Province level GEF/SCCF related activities, particularly in the two target provinces, will be managed through the CPMU in collaboration with provincial Departments of Agriculture and Rural Development (DARD) as indicated in the organogram.
53. The Project Board is the strategic decision making body of the project, meeting at least twice per year. The Project Board will be chaired by a Vice-Director of MARD and will consist of: (1) the Chair who will be the Vice-Director, (2) Representative of APMB (the Executive); (3) Representative of MARD-DOSTE; and (4) Representative of UNDP. An ADB representative may also attend the Project Board as an observer. The Project Board will approve/endorse Annual Workplans which are the instruments of authorization through which the project will deliver results.<sup>11</sup> The Project Board will undertake project assurance reviews at designated decision points during project implementation, or as required, at the request of the Director of CPMU. Additional functions are to: (1) ensure that GEF/SCCF resources are committed exclusively to activities that relate to the achievement of approved project objective and outcomes and in line with approved annual workplans; (2) provide guidance on overall project management arrangements to ensure coherence and coordinated implementation of all components of the project; (3) arbitrate significant conflicts within the project; and (4) negotiate a solution to major problems that may arise between the project and external bodies.
54. CPMU will recruit a Project Coordinator and other staff in line with UNDP NIM procedures. The GEF/SCCF Project Coordinator will be responsible for the day-to-day management, administration, coordination, and technical supervision of project implementation reporting to the CPMU Project Director. S/he will monitor work progress, and ensure timely delivery of outputs as per Annual Workplans and the Project Results Framework and within budget. The GEF/SCCF Project Coordinator will also prepare an Annual Workplan each year during the entire project for approval/endorsement by the Project Board. The work plans will include component 3 (to be financed through a separate ADB TA) to ensure that all elements are reflected into a single set of outputs and outcomes for the project. For component 3, budget management will be administered by ADB under its standard TA procedures.<sup>12</sup> The consultant team leader for Component 3 to be recruited by ADB will coordinate closely with the GEF/SCCF Project Coordinator to ensure a high quality of project planning, management and technical and financial progress monitoring and reporting.

---

<sup>10</sup> This function is not funded by the project.

<sup>11</sup> Under these arrangements the Project Board will approve the Annual Workplan and budget for the UNDP supported components 1, 2 and 4 under National Implementation (NIM) arrangements. For component 3, which will be implemented through a parallel ADB TA, the Project Board will endorse the Annual Workplan and budget and will provide guidance to ensure the overall coherence and coordination between all components.

<sup>12</sup> ADB will engage the consultants in accordance with its Guidelines on the Use of Consultants (2010, as amended from time to time). Equipment and materials to be financed by the TA will be procured in accordance with ADB's Procurement Guidelines (2010, as amended from time to time). On completion of the TA project, the equipment will become the property of the government and participating local institutions and/or communities. Disbursements under the TA project will be made in accordance with ADB's Technical Assistance Disbursement Handbook (2008, as amended from time to time).

55. As indicated above a Sub-Project Management Unit will be established under the SDRIP Central Project Management Unit. GEF/SCCF Project management funds provided under UNDP National Implementation (NIM) arrangements will be used by the CPMU to hire a Project Coordinator and other support staff. These staff will ensure delivery of results as specified in the Project Results Framework and Annual Workplans. As part of the Government's in kind contribution, APMB will provide office space for the GEF/SCCF Sub-Project Management Unit, as well as remuneration and per diem for counterpart staff.
56. Additional GEF/SCCF Sub-Project Management Unit staff (see outline TORs in Annex C) will be hired to support the Project Coordinator as follows: 1 senior technical adviser (part time), 1 financial officer (half time); 1 administrative assistant/interpreter (half time). The GEF/SCCF Sub-Project Management Unit will be further strengthened by international and national project consultants funded in two ways. For Component 3, consultants will be recruited in accordance with ADB's Guidelines on the Use of Consultants (2007, as amended from time to time). For the other components (Components 1, 2 and 4) recruitment will follow UNDP NIM arrangements. Consultants hired for deliverables under each project component will be responsible to the CPMU Project Director through the GEF/SCCF Project Coordinator.
57. Project Assurance: UNDP will ensure application of standard UNDP administrative and financial procedures for the use of GEF/SCCF funds relating to components 1, 2 and 4, as well any Project Management Funds that are channeled through UNDP. ADB will ensure the appropriate use of GEF/SCCF funds for component 3 according to the ADB-GEF financial procedures agreement<sup>13</sup>. UNDP will ensure project monitoring and evaluation according to an agreed and budgeted schedule and in line with UNDP and GEF requirements. M&E outputs (including Annual Project Implementation Reports (PIRs), Mid and Terminal Evaluations Reports) will be compiled by the GEF/SCCF Sub-Project Management Unit with inputs from the ADB TA Team Leader. Submission to the GEF will be carried out by ADB as the lead GEF agency for the Project. Inception missions, mid-term and final evaluations, will be undertaken jointly between the Government, UNDP and ADB. UNDP will assist in compiling lessons learned and sharing project experiences on a national, regional and international basis.
58. At the project start-up, the Project Board will assess the usefulness or otherwise of establishing a Technical Advisory Group on 'Climate Science and Vulnerability Assessment'. If established, this Group will provide technical guidance and reviews specifically covering components 2 and 3. This Group would be chaired by MARD. Its membership will be drawn from a combination of government and non government experts. The non government experts will be funded from within Components 2 and 3 of the project. Other members of the Group may be drawn from the MARD Office for Climate Change (OCCA), and the Department for Hydrometeorology and Climate Change of MONRE.
59. Terms of Reference of the Project Board, the National Project Coordinator, project staff and experts are provided in Annex 10 of the UNDP project document. Possible introductory ToR for the Technical Advisory Group are also included in Annex 10 of UNDP Project document.

#### **PART IV: EXPLAIN THE ALIGNMENT OF PROJECT DESIGN WITH THE ORIGINAL PIF:**

60. The project design is fully in line with the PIF. The components, outcomes and outputs identified in the PIF have been validated and elaborated.
61. However, there has been a geographical shift of focus from the Central Provinces in Vietnam to the Northern Mountains Provinces. The rationale for this shift was based on two main factors:
- Initially, the SCCF project was to be mainstreamed into the Government/ADB Integrated Rural Development Sector Project in the Central Provinces. However, this project is due to be completed by 2012, and the opportunities for integrating into this and achieving climate proofing of infrastructure and the other policy related objectives through it are limited;
  - The Board of ADB has approved the SRIDP project in the Northern Mountains loans. This project will be implemented in areas highly vulnerable to climate change. This project has strong support from national and


<sup>13</sup> Financial Procedures Agreement between ADB and the International Bank for Reconstruction and Development as Trustee of the GEF Trust Fund, dated July 7, 2007.

provincial government agencies. This project presents a huge and unique opportunity for multi-level mainstreaming of climate change adaptation into rural infrastructure.

62. In summary, the SRIDP presents a far better baseline for SCCF funds in order to achieve the same objectives. For these reasons, the Government of Viet Nam requested that the SCCF resources be redirected to the mountainous areas of Northern Viet Nam.
63. It is believed that the need for and impact of the project will be at least as great for a number of reasons:
- The northern mountains region has been identified as being highly vulnerable to climate change as indicated in the Vietnam National Target Program on Climate Change – key issues are increased flooding and landslides; increased temperatures, and changes in rainfall variability and distribution;
  - There are very few climate change adaptation activities in northern mountain provinces – hence this project is urgent;
  - Climate change has significant implications for the design, management and delivery of rural infrastructure and is a significant challenge to rural infrastructure operations. Improvements in water productivity will be especially critical, as will the need to confront extreme climatic events (e.g., through disaster-preparedness and early warning systems within areas prone to flash flooding). The need to introduce increased flexibility in irrigation and water management schemes is also recognised, as is the need to enhance the resilience of the agriculture and natural resources sector;
  - As in coastal areas, there is a critical need to refine and down-scale existing global and regional climate change models to a scale suitable for sub-regional and provincial planning;
  - Finally, from an institutional perspective, there is a clear need to develop integrated management policies, plans, regulations and capacities in order to build climate change resiliency in the northern mountains region.
64. The GEF/SCCF contribution is unchanged from the PIF. The distribution of SCCF costs across the five Outcomes has not changed significantly from the PIF. In order to increase efficiency, all Project Management costs are to be administered by UNDP. The level of co-financing has decreased slightly compared to the PIF, from \$176,960,000 to \$145,165,000. This still remains a very significant co-financing. The distribution of co-financing across the four Outcomes has not changed significantly from the PIF.

## **PART V: AGENCY(IES) CERTIFICATION**

This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for CEO Endorsement.

Agency Coordinator, Agency name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
N.J. Ahmad Director, Environment and Safeguards concurrently Practice Leader (Environment) Asian Development Bank		May 6, 2011	David Salter Natural Resources and Agriculture Specialist, ADB	+632 632 6494	<a href="mailto:dsalter@adb.org">dsalter@adb.org</a>
Yannick Glemarec Executive Coordinator UNDP/GEF		May 6, 2011	Angus Mackay Regional Adviser - Climate Adaptation Asia Pacific Regional Centre United Nations Development Programme	+6622882784	<a href="mailto:Angus.mackay@undp.org">Angus.mackay@undp.org</a>



## ANNEX A: PROJECT RESULTS FRAMEWORK

	Indicator (See notes below explaining the suitability and choice of indicators)	Baseline Start of Project	Targets End of Project	Source of verification	Risks and Assumptions
<b>Project Objective</b> – To increase the resilience and reduce vulnerability of local, critical economic infrastructure in the northern mountains areas of Vietnam to the adverse impacts of climate change and to create a policy framework conducive to promoting resilient northern mountains zone development.	Provinces in the Northern mountainous areas of Vietnam are replicating the process to prepare vulnerability maps.  Evidence that public funds are being invested in adapting rural infrastructure to climate change.	n/a – at project outset there is no process to replicate  0 funds invested	5 maps – covering at least five northern mountainous provinces.  Project lessons support Integration of adaptation measures within 5 new rural infrastructure projects over and above the selected SIDRP demonstration pilots	Project records  Provincial records	Provinces in Northern Vietnam are replicating the process to prepare vulnerability maps.  Evidence that funds are being invested in adapting rural infrastructure to climate change.
<b>Outcome 1</b> Climate Change Adaptation integrated into rural infrastructure (i.e. transport, irrigation, construction and water supply) strategies, policies, plans and regulations.	Technical Guidance Paper  Consideration of climate change in next revision of Transport standards	n/a – there is no guidance paper at project outset  n/a – there has not been a revision of transport standards	Evidence that the Technical Guidance Paper prepared under project and circulated by MARD is being used in at least two provinces  Whenever MOT next revises Standards (could be after project completion), the findings of this project are taken into consideration and influential.	MARD’s records  MOT records	Technical Guidance Paper  Consideration of climate change in next revision of Transport standards
<b>Outcome 2</b> Enhanced capacity to adapt/climate-proof rural infrastructure investments and provincial/local area planning.	Capacity development indicator (See Annex 9 of UNDP Project Document).  Evidence of major planning decisions being modified due to vulnerability maps (in 2 target provinces).	To be determined  0 decisions are modified	To be determined at the project outset  ‘X’ decisions modified. (to be determined)	Capacity development scorecard with 6-10 questions will be sent 15 DARDs each year.  Provincial record/interviews.	Capacity development indicator (See Annex 9 of UNDP Project Document).  Evidence of major planning decisions being modified due to vulnerability maps (in 2 target provinces).
<b>Outcome 3</b> Mainstream adoption of low cost local resource based measures to decrease negative impacts of climate change.	The approaches developed will be used by MARD rural infrastructure investments as standard practice by end of the project.  Deterioration rates of rural infrastructure attributable to the impacts of climate change of the demonstration sites are lower than the control sites by the end of the project.	1. MARD has mainstreamed low cost climate measures for cross drainage structures by the use of drifts but not other measures. 2. There are no demonstrations of appropriate climate resilience techniques for rural infrastructure. 3. No trained technical personnel familiar with the use of low cost infrastructure protection	1. Documentation identifying low cost climate proofing measures adapted to the rural areas of Vietnam. 2. Four demonstrations for three kinds of rural infrastructure. 3. 60 trained technical personnel. 4. Draft recommendations prepared. 5. Four subprojects assessed and reports completed.	Project completion report. Documents describing MARD construction manuals, handbooks and design standards; feasibility studies, detailed project designs, complementary training courses, and inputs to curricula at technical training institutes. Investment project documents.	Conservative views within line agencies will resist changes to design standards and manuals requiring a long-term support that can be provided through a MFF.  Demonstrations to control erosion and to stabilize embankments/slopes predominantly using bio-engineering under the TA are successful.  Demonstrations are convincing.

		measures. 4. No low cost local resource approaches in training curricula, standard design procedures and specifications. 5. No identification of broader climate change risk and vulnerabilities along with potential measures for strengthening the resilience of communities within the influence areas of the demonstration projects.			
<b>Outcome 4</b> Lessons learnt and best practices from Outcomes 1, 2 and 3 are disseminated to stakeholders and development partners.	Number of articles from project activities appearing on external websites.  Number of contributions to UNDP's Adaptive Learning Mechanism (ALM) or other comparable platforms.	0 articles issued by the project  0 contributions.	4/year by the end of the project  3/year by the end of the project	Web-sites  ALM records	Number of articles from project activities appearing on external websites.  Number of contributions to UNDP's Adaptive Learning Mechanism (ALM).

*Notes explaining the choice and suitability of each indicator:*

Indicator	Explanation
<b>Overall Objective Indicators</b>	
Provinces in the Northern mountainous areas of Vietnam are replicating the process to prepare vulnerability maps.	Overall, if the Provinces in the Northern mountainous areas, under their own initiative and with their own funds, are replicating the main processes introduced by this SCCF project, that can be considered an indicator that the project has been successful. To achieve this, the project must be well adapted, technical sound, and well anchored.
Evidence that public funds are being invested in adapting rural infrastructure to climate change.	If, after the project, there is evidence that provincial governments are agreeing to increase the costs of infrastructure projects in order to finance adaptive measures to climate change, that indicates that the project has been successful at each level.
<b>Outcome 1 Indicators</b>	
Technical Guidance Paper	If the Technical Guidance Paper prepared under project is (i) officially circulated by MARD to all provinces; and (ii) being used in several provinces; then clearly the Paper is useful and pertinent and having an impact.
Consideration of climate change in next revision of Transport standards	If the project outputs are of use to, and are used by, MOT, during its next revision of standards, that indicates the project has been technically sound and that it has been truly anchored in governmental processes.
<b>Outcome 2 Indicators</b>	

Capacity development indicator.	Outcome 2 is a capacity development outcome. This indicator, based on UNDP's global capacity development indicator, has been adapted to the subject matter and provincial context. The indicator is measured using a simple scorecard – see Annex 9 of UNDP Project document.
Evidence of major planning decisions being modified due to vulnerability maps (in 2 target provinces).	If the two provinces are modifying planning decisions due to project's capacity development work, that strongly indicates that the provinces have the information, understanding and processes to assess climate change and adapt to climate change.
<b>Outcome 3 Indicators</b>	
The approaches developed by this TA will be used by MARD rural infrastructure investments as standard practice by the end of the project.	The purpose of the demonstrations is to provide sound empirical evidence of the technical and cost effectiveness of the measures so that they are directly mainstreamed into MARD's rural infrastructure investment program.
<b>Outcome 4 Indicators</b>	
Number of articles from project activities appearing on external websites.	If the project findings are collected and disseminated, through websites, by agencies that are external to the project, that means the project findings are good, and it means the project has a good enough outreach to communicate through external agencies. For example, project articles may appear on the MARD website, or on the website of the National Irrigation Agency.
Number of contributions to UNDP's Adaptive Learning Mechanism (ALM).	This indicates that the international community is aware of and interested in the lessons and best practices from this project; in turn this suggest that the lessons are being collected and disseminated effectively.

## Outputs and Activities

<b>Outcome 1: Climate Change Adaptation integrated into policy, strategy and planning that relate to rural infrastructure – specifically agriculture, rural water and rural roads.</b>	
Outputs	Activities
1.1 Documented review of institutions and existing policies, strategies and standards related to rural infrastructure (see MARD CC Action Plan no. 3.3).	1.1.1 Prepare a list of all concerned policies, strategies and standards; 1.1.2 Identify the most related policies, strategies and standards for further study; 1.1.3 Prepare 4 papers (respectively on roads, irrigation, water supply, embankments) which describe how policies presently take account of climate change and identify the priority policies, strategies for modification in order to better account for climate change.
1.2 Technical paper providing guidance on mainstreaming climate change into sectoral planning related to rural infrastructure in northern areas.  <i>Contributes to NTP Activity 13, 14 and 15.</i> <i>Contributes to MARD CC Action Plan activity no. 3.</i>	1.2.1 Review the findings of the demonstration projects (Outcome 3); 1.2.2 Review the process to prepare long-term Socio-Economic Development Plans (e.g. 2016-2020, etc.) and identify 'entry points' in the process/Plans where climate change issues can be mainstreamed; 1.2.3 Based on lessons learnt from Outcome 3 demonstration projects, and on international best practices, prepare a detailed technical paper providing guidance on climate change issues to be used by planners when preparing plans.

<p>1.3 Manual on mainstreaming climate change into the design of rural infrastructure projects.</p> <p><i>Contributes to NTP Activity 15 and 19.</i> <i>Contributes to MARD CC Action Plan activity no. 5.2.</i></p>	<p>1.3.1 Collect information from other countries on possible processes and measures to adapt rural infrastructure (roads, irrigation, water supply and embankments) projects to climate change;</p> <p>1.3.2 Collect information on measures used in Northern Vietnam to increase resilience to climate events (e.g. vented drifts, bamboo planting) and on the process to choosing to use these measures;</p> <p>1.3.3 Prepare a technical paper describing the strengths of each measure and its potential in northern mountainous Vietnam;</p> <p>1.3.4 Based on the lessons learnt from Outcome 3 demonstration projects and the technical specifications coming from those demonstrations, prepare a detailed Manual to be used by provincial departments and/or consultants in order to mainstream climate change into rural infrastructure projects (in line with budget, this Manual may not cover all sub-sectors). The manual will introduce measures, specifications, background institutional and policy issues. It will guide the process of assessing climate change vulnerability, identifying options, and undertaking cost benefits.</p>
<p>1.4 A technical discussion paper on existing standards and codes and the implications of climate change.</p> <p><i>Contributes to NTP Activity 19.</i> <i>Contributes to MARD CC Action Plan activity no. 5.2.</i></p>	<p>1.4.1 Collect basic information on all standards/codes related to rural infrastructure (on roads, irrigation, water supply, embankments) in Vietnam;</p> <p>1.4.2 Identify priority standards/codes which would benefit from modification in order to adapt to climate change;</p> <p>1.4.3 Based on lessons learnt from Outcome 3 demonstration projects, propose technical paper discussing the priority standards/codes identified in 1.4.2.</p>
<p><b>Outcome 2: - Enhanced capacity to adapt/climate-proof rural infrastructure investments and provincial/local area planning.</b></p>	
<p><b>Output</b></p>	<p><b>Activities</b></p>
<p>2.1 Climate vulnerability assessment (all 15 northern provinces).</p>	<p>2.1.1 Collect latest information on scenarios applicable to northern Vietnam;</p> <p>2.1.2 Using best regional scenarios, determine likely climate changes in Northern mountains of Vietnam;</p> <p>2.1.3 Using info from 2.1.2, prepare coarse prediction of climate change impacts and distribution across Northern Vietnam.</p>
<p>2.2 Raised awareness amongst decision-makers on impacts of climate change on poverty reduction (all SRIDP provinces).</p> <p><i>Contributes to NTP Activity 5.</i></p>	<p>2.2.1 Identify and describe needs in terms of raised awareness. Targets include Leaders of PPC and DPC, and Leaders of Provincial DARD, DPI, DONRE and other provincial departments;</p> <p>2.2.2 Based on best practices in Vietnam and Output 2.1, develop an awareness raising programme for decision-makers in the 15 northern mountainous provinces, develop awareness raising material;</p> <p>2.2.3 Implement the awareness raising programme, for example by organising conferences, or information workshops, or distributing fact sheets, or organising site visits for senior decision-makers.</p>
<p>2.3 Provincial strategies for climate proofing rural infrastructure to climate change (based on Vulnerability impact assessment and maps) (Son La and Bac Kan provinces only).</p>	<p>2.3.1 Using historical data, and local conditions, and lessons from Outcome 3, prepare climate-related risk maps for Son La and Bac Kan Province;</p> <p>2.3.2 Based on climate-risk maps (from 2.4.1), and on vulnerability levels of the population, and on best available climate change scenarios, prepare a ‘vulnerability map’ for both Son La and Bac Kan Provinces. This map will identify the places that are most vulnerable to climate change in the Province;</p> <p>2.3.3 In Son La and Bac Kan, prepare a provincial strategy for climate proofing rural infrastructure. This will set priorities, determine criteria for choosing vulnerable infrastructure, criteria for</p>

<p><i>Contributes to MARD CC Action Plan activity no. 2.2.</i></p>	<p>choosing proofing measures, and will determine the process for preparing cost-benefit analysis and decision-making.</p>
<p>2.4 Climate change mainstreamed into rural infrastructure components of Provincial Development Plans (Son La and Bac Kan provinces only). This is linked to preparation/roll-out of Provincial Action Plans to Respond to Climate Change.</p> <p><i>Contributes to NTP Activity 26</i> <i>Contributes to MARD CC Action Plan no. 3.4.</i></p>	<p>Provinces are currently preparing <i>Provincial Action Plans to Respond to Climate Change</i> – an activity led by MONRE.</p> <p>2.4.1 Review process to prepare Provincial Action Plans to Respond to Climate Change;</p> <p>2.4.2 Collect and review long-term plans and sectoral planning for rural roads, irrigation and water supply;</p> <p>2.4.3 Provide training to provincial teams preparing the Provincial Action Plans to Respond to Climate Change;</p> <p>2.4.4 Use maps and strategy (from 2.3.2 and 2.3.3) to assess exposure of existing infrastructure to climate risks and identify high-risk zones;</p> <p>2.4.5 Using national guidance paper (from 1.2), and information from 2.3.2/2.3.3, ensure that rural infrastructure components of long term Development Plans in Son La and Bac Kan account for climate change.</p>
<p>2.5 A cadre of experts able (i) to prepare, interpret and utilize provincial level climate vulnerability maps and (ii) mainstream climate change into development plans (all provinces).</p>	<p>2.5.1 Undertake training needs assessment for government experts and provincially based consultants, and identify the most suitable participants;</p> <p>2.5.2 Develop training material on preparing vulnerability maps and on practical measures to mainstream climate change into development plans;</p> <p>2.5.3 Using the process to implement 2.3 and 2.4 as a training-model, run two sets of training courses covering climate mapping, vulnerability mapping, GIS, and climate adaptation strategy preparation.</p>
<p><b>Outcome 3 - Demonstrated and developed lessons learned from climate proofing of selected SRIDP infrastructure sub-projects</b></p>	
<p>Output</p>	<p>Activities</p>
<p>3.1 Identification and development of low cost climate proofing measures adapted to the rural areas of Vietnam.</p>	<p>3.1.1 Literature review and inventory of potential measures suitable to the project area. - Month 1.5.</p> <p>3.1.2 Survey of existing problems for RI and potential low-cost solutions for increasing climate resilience and infrastructure sustainability in northern mountains provinces. - Month 3.</p> <p>3.1.3 Consolidation of the range of specific climate resilience measures for use in demonstration pilots. - Month 4.</p>
<p>3.2 Demonstrations of appropriate climate resilience techniques.</p>	<p>3.2.1 Carry out training of implementation personnel. – Month 4</p> <p>3.2.2 Site level survey and data gathering. - Month 5</p> <p>3.2.3 Review of provincial climate vulnerability assessment prepared by UNDP component. – Month 5.</p> <p>3.2.4 Data interpretation and identify range of appropriate measures. – Month 6.</p> <p>3.2.5 Prepare the implementation approach and related documents. – Month 7</p> <p>3.2.6 Carry out detailed design and cost estimate. - Month 8</p> <p>3.2.7 Prepare monitoring framework. – Month 8</p> <p>3.2.8 Implement demonstration works in coordination with sub-project implementation. Months 8 - 24</p>
<p>3.3 Development of a trained cadre of technical personnel familiar with the use of low cost infrastructure protection measures.</p>	<p>3.3.1 Initial briefing and training at the provincial level in relation to climate change vulnerability assessment and approaches for increasing the resilience of RI. – Months 1-3</p> <p>3.3.2 Initiate dissemination program. - Months 7-33</p> <p>3.3.3 Prepare training materials and programs. - Month 12.</p>
<p>3.4 Integration of low cost local resource approaches into training curricula, standard design procedures and specifications.</p>	<p>3.4.1 Review training curricula, standard design procedures and specifications. - Month 30</p> <p>3.4.2 Identify opportunities and needs for incorporating climate resilience measures and techniques. –</p>

	<p>Month 32</p> <p>3.4.3 Prepare recommendation and present to relevant authorities. - Month 34</p>
<p>3.5 Identification of broader climate change risk and vulnerabilities along with potential measures for strengthening the resilience of communities within the influence areas of the demonstration projects.</p>	<p>3.5.1 Within the area of influence of the four subprojects assess the general trends and issues related to climate change. - Month 24.</p> <p>3.5.2 Relate the assessment to the broader vulnerability assessment for the northern mountains region. - Month 30.</p> <p>3.5.3 Identify key and critical future climate change initiatives. - Month 34.</p>
<p><b>Outcome 4 - Lessons learnt and best practices from Outcomes 1, 2 and 3 are disseminated to stakeholders and development partners.</b></p>	
<p>Output</p>	<p>Activities</p>
<p>4.1 Project lessons captured, classified and evaluated;</p>	<p>4.1.1 Develop project database to record all project findings and lessons and to maintain a full record of all data generated under the project;</p> <p>4.1.2 Prepare optimal communication material (e.g. fact sheets, newsletters, reports, brochures, DVD, etc) and distribute across Vietnam. This may include a film of components 2 and 3 for optimal visible impact.</p>
<p>4.2 Adaptation knowledge and experiences from the project documented and disseminated within Vietnam, in the Asian region and beyond.</p> <p><i>Contributes to NTP activity 12.</i></p>	<p>4.2.1 Establish agreement with a national knowledge management institution</p> <p>4.2.2 Share information with similar projects in other countries;</p> <p>4.2.3 Share lessons learnt with UNDP's Adaptive Learning Mechanism (ALM) and other relevant regional, sub-regional and national knowledge management platforms.</p>

**ANNEX B: RESPONSES TO PROJECT REVIEWS** (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF)

Response to Comments of German Council Member on PIF (July 2009)

<b>Comment</b>	<b>Response</b>
<p>The value added of the UNDP contribution is questionable and needs to be clearly outlined or reconsidered:</p>	
<p>1. The PIF describes several ADB baseline projects, for which additional costs of taking into consideration climate change are clearly evident. Yet, the two UNDP projects both already address climate change and should by their very design adequately address impacts of climate change.</p>	<p>The existing UNDP projects address components of climate change but do not address specifically climate change impacts on rural infrastructure in mountainous regions. The existing UNDP projects address general planning capacity and impacts in other regions of Vietnam. The UNDP components of this SCCF project focus specifically on capacity building related to rural infrastructure, and on capacity building at selected northern provinces.</p> <p>This is further explained in the Strategy Section of the UNDP project document.</p>
<p>2. Another role of the project is outlined as helping form a coherent program on climate change building on the package of investments by the two agencies. While an integrated and coordinated approach is encouraged, this should rather go through national coordination in Vietnam, e.g. the NTP. Coordination between the ADB and UNDP projects should be part of good practice in donor coordination and alignment, for which SCCF funding does not seem appropriate.</p>	<p>The SCCF project is to be implemented as an integral part of the <i>MARD Action Plan Framework for Adaptation and Mitigation of Climate Change of the Agriculture and Rural Development Sector, Period 2008-2020</i>, which, in turn, is coordinated by the NTP. The SCCF project activities will be coordinated by MARD, and thereby ensuring coordination with other activities.</p> <p>This is further explained in Part II B of the CEO Endorsement paper and 2.3 of the UNDP project document.</p>
<p>3. Close coordination with the Vietnamese-German and other bilateral projects on coastal zone management should be ensured.</p>	<p>Close coordination is to be ensured with all related national and internationally supported projects by MARD, by the Project Board, and through UNDP and ADB active participation in donor coordination forums in Vietnam. However, coordination with the mentioned coastal zone management project is no longer relevant given the geographical shift of this SCCF project.</p>

**ANNEX C: CONSULTANTS TO BE HIRED FOR THE PROJECT USING GEF RESOURCES**

<i>Position Titles</i>	<i>\$/ person week*</i>	<i>Estimated person weeks**</i>	<i>Tasks to be performed</i>
<b>For Project Management</b>			
Local			



National Coordinator (full time)	370	200	<p><u>Management and Planning</u></p> <ol style="list-style-type: none"> <li>1. Supervise and lead the project team in discharging duties at an optimum level;</li> <li>2. Assumes operational management of the project in consistency with the project document and UNDP policies and procedures;</li> <li>3. Oversees preparation and updates of the project work plan as required; and formally submits updates to UNDP/ADB and reports on work plan progress to the NPD and UNDP/ADB as requested but at least quarterly;</li> <li>4. Oversees the mobilization of project inputs under the responsibility of the UNDP;</li> <li>5. Guides all team members;</li> <li>6. Ensures that appropriate accounting records are kept, and financial procedures for NEX are followed, and facilitates and cooperates with audit processes at all times as required;</li> <li>7. Ensures all reports are prepared in a timely manner;</li> <li>8. Assist in the finalization of TORs and the identification and selection of national consultants;</li> <li>9. Assists in the planning and design of all project activities, through the quarterly planning process and the preparations of TOR and Activity Descriptions;</li> <li>10. Supervises the project staff and consultants assigned to project;</li> <li>11. Throughout the project, when necessary, provides advice and guidance to the national consultants, to the international experts and to project partners;</li> <li>12. Prepare Project Monitoring Plan, Project Risk Logs, Financial Reports, AWP, Project Progress Reports, and Atlas Project Management Module;</li> </ol> <p><u>Partnerships</u></p> <ol style="list-style-type: none"> <li>1. Ensures effective partnerships with other parties;</li> <li>2. Ensures project activities are integrated and coordinated with all MARD and APMB operations;</li> <li>3. Oversees development and implementation of communications strategy;</li> <li>4. Oversees development and implementation of the M&amp;E monitoring system;</li> <li>5. Develop and maintain good working relationships with national and international partners in this sector;</li> </ol> <p><u>Policy</u></p> <ol style="list-style-type: none"> <li>1. Oversees the recruitment of all consultants and sub-contractors and ensures that their work is focused on policy development;</li> <li>2. Advises on how to disseminate the project findings, notably to governmental departments;</li> <li>3. Assists on the dissemination of project findings, notably to governmental departments and internationally;</li> <li>4. Ensures the coordination of project policy oriented work with related work of partners;</li> <li>5. Helps establish a regular policy dialogue mechanism on adapting to climate change.</li> </ol>
Administrative Assistant (half-time)	270:	100	<p><u>Including:</u></p> <ul style="list-style-type: none"> <li>• Standardize the finance and accounting systems of the project while maintaining compatibility with UNDP financial and accounting procedures</li> <li>• Prepare budget revisions of the projects based on the Combined</li> </ul>

			<p>Delivery Reports (CDRs)</p> <ul style="list-style-type: none"> <li>• Assist in the preparation of the Annual Work Plan (AWP)</li> <li>• Comply and verify budget and accounting data by researching files, calculating costs, and estimating anticipated expenditures from readily available information sources.</li> <li>• Prepare financial status reports, progress reports and other required financial reports</li> <li>• Process all types of payment requests for settlement purpose including quarterly advances to the partners</li> <li>• Prepare periodic accounting records by recording receipts and disbursements (ledgers, cash books, vouchers, etc.) and reconciling data for recurring or financial special reports and assist in preparation of annual procurement plan</li> <li>• Undertake project financial closure formalities including submission of terminal reports, transfer and disposal of equipment, processing of semi-final and final revisions, and support professional staff in preparing the terminal assessment reports</li> <li>• Prepare reports and documents as per specified formats, project, or programme plans and general reference documents as well as general administrative/financial or specialised tasks related to the project which may be of a confidential nature within the assigned area of responsibility</li> <li>• Assist in the timely issuance of contracts and assurance of other eligible entitlements of the projects personnel, experts, and consultants by preparing annual recruitment plans</li> <li>• Provide substantive support to the National Project Manager for overall implementation</li> <li>• Prepare and update inventories of expendable and non-expendable project equipment.</li> <li>•</li> </ul>
Financial Assistant (half-time)	270:	100	<p><u>Including:</u></p> <ul style="list-style-type: none"> <li>• Set up and maintain all files and records of the project in both electronic and hard copies</li> <li>• Collect project related information data</li> <li>• Help establish office and purchase office facilities;</li> <li>• Update plans</li> <li>• Establish document control procedures</li> <li>• Compile, copy and distribute all project reports</li> <li>• Provide logistical support to the National Project Manager, and national/international consultants in organising training events, workshops, and seminars</li> <li>• Assist international, short-term consultants by organizing their travel schedules, arranging meetings with different stakeholders, and booking hotel accommodations</li> <li>• Provide support in the use of Atlas for monitoring and reporting</li> <li>• Draft necessary correspondence with local and international agencies and stakeholders</li> </ul>

<b>For Technical Assistance</b>			
Local			
National Technical Advisor (full time)	300	196	<ul style="list-style-type: none"> <li>• Undertake technical oversight on a daily basis of all activities;</li> <li>• Help develop and implement project's strategic approach to capacity building;</li> <li>• Help develop the project approach to climate change downscaling;</li> <li>• Develop methodologies for major project activities;</li> <li>• Review all major outputs and reports and contribute to improving their quality;</li> <li>• Oversee and help implement project work to strengthen resource mobilization;</li> <li>• Help to implement project communications strategy;</li> <li>• Oversee project consultants and contractors;</li> <li>• Identify, analyse and communicate lessons learnt that may be useful in the design and implementation of similar projects;</li> <li>• Oversee implementation of the project's communication strategy;</li> <li>• Oversee implementation of the project's M&amp;E;</li> <li>• Ensure Vietnamese stakeholders benefit from best practices and latest knowledge throughout Asia.</li> </ul>
Miscellaneous	600	179	Contribute to Outputs 1.1 - 1.4
Miscellaneous	600	217	Contribute to Outputs 2.1 - 2.4
Database expert	600	12.5	Design database and provide related training
Deputy Team Leader (Component 3)/Agricultural Engineer	857	162	<ul style="list-style-type: none"> <li>• Assisting the Bio-Engineering Specialist in preparing and delivering the start up orientation and training program and in identifying participants for the program;</li> <li>• Working with the Bio-Engineering Specialist and the agronomist (see below) to determine techniques and in the case of bio-engineering measures species which would be applicable and relevant to the rural infrastructure and climate change concerns in Vietnam;</li> <li>• Reviewing the proposed SRIDP subprojects for demonstrations and identifying specific techniques and practices which would be applicable for the structures to be provided;</li> <li>• Assisting with the design of demonstrations as part of the detailed design of the subprojects;</li> <li>• Working with the Bio-Engineering Specialist to ensure that demonstrations are properly implemented by the contractors;</li> <li>• Monitoring the demonstrations on a regular basis and ensuring that remedial actions are taken in areas where either (a) demonstrations were not properly implemented or (b) the techniques being used do not seem to be successful;</li> <li>• Working with the Bio-Engineering Specialist Leader to develop a results dissemination program to publicize the effects of the demonstrations;</li> <li>• Continuing to monitor and document the outcome of the demonstrations and operate the dissemination program until the end of the project period;</li> <li>• Assisting in the preparation of a project completion report and the documentation of the results of the bioengineering demonstrations; and,</li> <li>• Handing over the demonstrations to a designated research agency for further monitoring and documentation.</li> </ul>

Agronomist/Forester	857	27	<ul style="list-style-type: none"> <li>• Working with the Component 3 Team Leader and Deputy Team Leader to identify species best suited to the bioengineering techniques being proposed;</li> <li>• Determining sources of planting material for use in the demonstrations;</li> <li>• Assisting in the design of demonstration plots as part of the detailed design of selected subprojects;</li> <li>• Briefing and guiding contractors in the preparation of the demonstration sites;</li> <li>• Suggesting replacement species in cases where the initial demonstration do not meet desired results;</li> <li>• Working with local community officials to formulate schemes in which the local population participates in the maintenance of demonstration sites in return for access to and use of any commercial produce;</li> <li>• Participating in the monitoring of demonstration sites and dissemination of results up to the end of the project period; and,</li> <li>• Assisting in the documentation of the results of the demonstrations and the preparation of the final report.</li> </ul>
Civil Engineer	857	27	<p>Work with the International Civil Engineer to:</p> <ul style="list-style-type: none"> <li>• Assisting the Bio-Engineering Specialist to identify a range of technical responses to the identified erosion problems applicable within the context of the subprojects to be implemented under the SRIDP and in preparing and presenting the orientation program;</li> <li>• advising on supplementary civil engineering works which would be needed to make bioengineering techniques fully effective;</li> <li>• Assisting the Bio-Engineering Specialist to identify sites within proposed subprojects on the types of techniques to be selected;</li> <li>• assisting the bioengineering specialist to incorporate bioengineering demonstrations into the detailed subproject designs and to cost them appropriately.</li> <li>• Assisting the bioengineering specialist to document the results of the bioengineering demonstrations from a civil engineering (i.e. structure sustainability) point of view.</li> </ul>
Geotechnical Engineer	857	18	<p>Work with the International Geotechnical Engineer to:</p> <ul style="list-style-type: none"> <li>• Assisting the bioengineering specialist to identify instances and techniques where bioengineering would be applicable within the context of the subprojects to be implemented under the SRIDP;</li> <li>• Advising on supplementary geotechnical engineering works which would be needed to make bioengineering techniques fully effective;</li> <li>• Identifying sites in selected subprojects where bioengineering would be an appropriate response to geotechnical concerns; and</li> <li>• Assisting in the formulation of bioengineering demonstrations as part of the detailed design of subprojects.</li> </ul>
Meteorologist/Hydrologist	857	18	<ul style="list-style-type: none"> <li>• On the basis of discussions with the international climate change specialist, determine the types of data to be recorded which would best reflect the impact of climate change in the SRIDP project area and specifically in the provinces selected for climate resilience demonstrations;</li> <li>• Set up a climate and hydrology monitoring program determining the types of equipment required, the level of</li> </ul>

			<p>intensity of measurement and the support needed to regularly collect and assess data. This could be based at (an) existing research station(s) and contracted out to the station(s);</p> <ul style="list-style-type: none"> <li>• Conduct periodic monitoring of the data being collected and determine any patterns or changes in patterns of climate and stream-flow during the project period; and,</li> <li>• Document extreme events (typhoons, floods) and together with the bioengineer, the agricultural engineer and the agronomist/forester, examine the impact of these events on the bioengineering demonstrations and the degree to which the structures being protected withstood them.</li> </ul>
International			
Senior Technical Advisor	3000	21	<p><u>PCU Management and Planning</u></p> <ol style="list-style-type: none"> <li>1. Assists preparation and updates of the project work plan;</li> <li>2. Reviews all major reports and provides quality control on all key reports;</li> <li>3. Assists in the finalisation of methodologies;</li> <li>4. Assist in the finalization of TORs and the identification and selection of national consultants and international consultants;</li> <li>5. Assists in the planning and design of key project proeject activities, through the quarterly planning process and the preparations of TOR and Activity Descriptions;</li> <li>6. Advises and helps train the project staff and consultants assigned to project;</li> <li>7. Throughout the project, when necessary, provides advice and guidance to the national consultants, to the international experts and to project partners;</li> </ol> <p><u>Partnerships</u></p> <ol style="list-style-type: none"> <li>1. Supports development and implementation of communications strategy and of the M&amp;E monitoring system;</li> <li>2. Helps develop working relationships with national and international partners in this sector, and helps mobilise follow-up resources to coastal protection;</li> </ol> <p><u>Policy</u></p> <ol style="list-style-type: none"> <li>1. Introduces in an effective manner the related best practices from other countries, notably related to adaptation of rural infrastructure to climate hazards;</li> <li>2. Advises on the dissemination of project findings, notably to governmental departments and internationally;</li> <li>3. Ensures the coordination of project policy oriented work with related work of partners;</li> <li>4. Helps establish a regular policy dialogue mechanism on adapting to climate change.</li> <li>5.</li> </ol>
Miscellaneous	3000	42	Contribute to Outputs 1.1-1.4
Miscellaneous	3000	23	Contribute to Outputs 2.1 - 2.4
Bio-Engineering Specialist/Component 3 Team Leader	4808	68	<ol style="list-style-type: none"> <li>1. Formulating and presenting an orientation and training program on bioengineering for key staff of the CPMU, PPMUs, DARD and DOT staff of provinces where the demonstrations will be undertaken and engineering staff of contractors likely to bid for subproject implementation works;</li> <li>2. Reviewing proposed subprojects in the provinces selected for</li> </ol>

			<p>bioengineering demonstrations and identifying bioengineering techniques along with sites which could be used to demonstrate the value of bioengineering in climate change protection;</p> <ol style="list-style-type: none"> <li>3. Working with the detailed design engineers to incorporate bioengineering demonstrations into the detailed design of the civil works to be undertaken under the selected subprojects (this will also include costing the bioengineering demonstrations which will be funded separately from the subprojects themselves but form part of the overall bid package);</li> <li>4. Supervising the implementation of the bioengineering demonstrations;</li> <li>5. Monitoring the results of the demonstrations over time and determining any remedial or corrective work needed;</li> <li>6. Formulating a training and results dissemination package based on successful demonstrations which can be used to illustrate the results of the demonstrations to relevant personnel from other provinces and agencies as well as key planners at the national and provincial levels. These will include reference to the cost of the supplementary works, the ease of implementation and the potential benefits to the local community through participation in bioengineering activities.</li> <li>7. Participating in the initial demonstration briefings to ensure that national consultants and staff are able to convincingly promote the new technologies being demonstrated and</li> <li>8. Preparing a project completion report which documents the results of the demonstrations and the results dissemination program as well as making recommendations for the continuation of bioengineering demonstration activities and climate change monitoring.</li> </ol>
Climate Change Specialist	4808	4	<ol style="list-style-type: none"> <li>1. Working with the Bio-Engineering Specialist to identify the likely effects and impacts of climate change on RI and to identify appropriate practices and techniques which would mitigate these effects;</li> <li>2. Participating in the start up workshops and seminars given by the Bio-Engineering Specialist to provide a climate change perspective and emphasize the need for mitigation measures; and,</li> <li>3. Identifying the parameters which will need to be documented historically and in the future to link the long term performance of the demonstrations with changes in climate.</li> </ol>
Civil Engineer	4808	12	<ol style="list-style-type: none"> <li>1. Assisting the Bio-Engineering Specialist to identify a range of technical responses to the identified erosion problems applicable within the context of the subprojects to be implemented under the SRIDP and in preparing and presenting the orientation program;</li> <li>2. advising on supplementary civil engineering works which would be needed to make bioengineering techniques fully effective;</li> <li>3. Assisting the Bio-Engineering Specialist to identify sites within proposed subprojects on the types of techniques to be selected;</li> <li>4. assisting the bioengineering specialist to incorporate bioengineering demonstrations into the detailed subproject designs and to cost them appropriately.</li> <li>5. Assisting the bioengineering specialist to document the results of the bioengineering demonstrations from a civil engineering (i.e. structure sustainability) point of view.</li> </ol>

Geotechnical Engineer	4808	8	<ol style="list-style-type: none"> <li>1. Assisting the bioengineering specialist to identify instances and techniques where bioengineering would be applicable within the context of the subprojects to be implemented under the SRIDP;</li> <li>2. Advising on supplementary geotechnical engineering works which would be needed to make bioengineering techniques fully effective;</li> <li>3. Identifying sites in selected subprojects where bioengineering would be an appropriate response to geotechnical concerns; and</li> <li>4. Assisting in the formulation of bioengineering demonstrations as part of the detailed design of subprojects.</li> </ol>
Miscellaneous	4808	12	Contribute to Component 3
Justification for Travel, if any:			

\* Provide dollar rate per person week. \*\* Total person weeks needed to carry out the tasks.

**ANNEX D: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS**

**A. EXPLAIN IF THE PPG OBJECTIVE HAS BEEN ACHIEVED THROUGH THE PPG ACTIVITIES UNDERTAKEN.**

The PPG objective of producing a UNDP-GEF compliant project document has been met through the various PPG activities detailed in the approved PPG document. The project baseline and the adaptation alternative that the project will support have been clearly identified. The UNDP-GEF project document has been developed in a participatory manner on the basis of broad-based consultations.

**B. DESCRIBE FINDINGS THAT MIGHT AFFECT THE PROJECT DESIGN OR ANY CONCERNS ON PROJECT IMPLEMENTATION, IF ANY:**

As indicated in Part IV above, the geographical focus of the project shifted from coastal zones to the Northern Mountains of Vietnam and the reasoning for this shift has been clearly stated and communicated to the GEF. The consultations undertaken during the PPG phase confirmed that the outcomes and approach taken to addressing the adaptation challenges outlined in the PIF remain relevant despite this geographical shift.

**C. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES AND THEIR IMPLEMENTATION STATUS IN THE TABLE BELOW:**

**FOR ASIAN DEVELOPMENT BANK**

<i>Project Preparation Activities Approved</i>	<i>Implementation Status</i>	<i>GEF Amount (\$)</i>				<i>Co-financing (\$)</i>
		<i>Amount Approved</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>	<i>Uncommitted Amount*</i>	
1. Technical Definition and Capacity Needs Assessment	Completed	25,000	25,000			23,000
2. Institutional Arrangements, Monitoring and Evaluation	Completed	12,000	12,000			12,000
3. Stakeholder Consultations	Completed	8,000	8,000			2,000
4. Financial planning and co-financing definition	Completed	5,000	5,000			3,000
PPG Management Budget Costs*	Completed	0	0	0	0	20,000
<b>Total</b>		<b>50,000</b>	<b>50,000</b>			<b>60,000</b>

\* Any uncommitted amounts should be returned to the GEF Trust Fund. This is not a physical transfer of money, but achieved through reporting and netting out from disbursement request to Trustee. Please indicate expected date of refund transaction to Trustee.

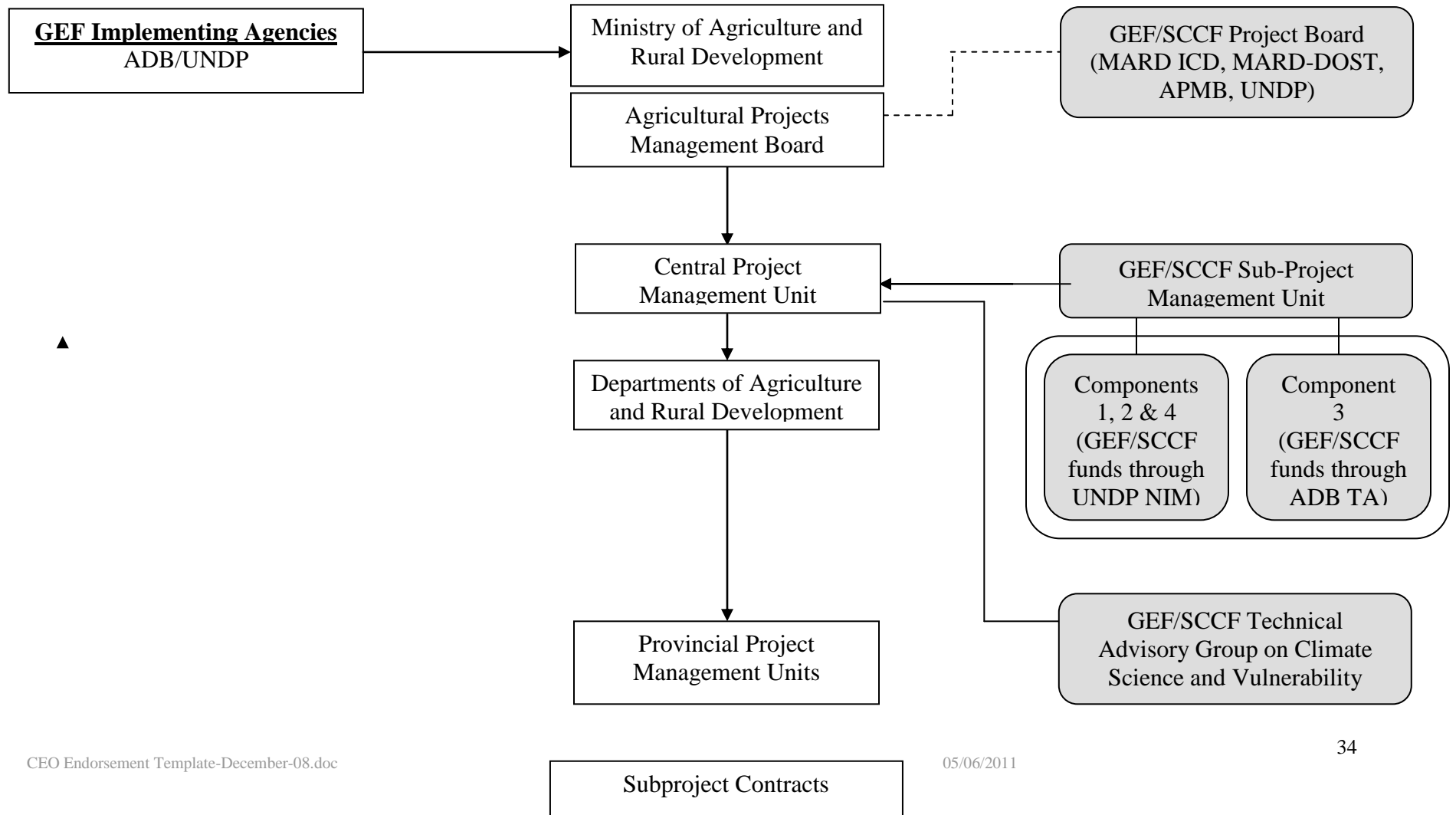


**FOR UNITED NATIONS DEVELOPMENT PROGRAMME**

<i>Project Preparation Activities Approved</i>	<i>Implementation Status</i>	<i>GEF Amount (\$)</i>				<i>Co-financing (\$)</i>
		<i>Amount Approved</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>	<i>Uncommitted Amount*</i>	
1. Technical Definition and Capacity Needs Assessment	Completed	25,000	25,000	0	0	12,000
2. Institutional Arrangements, Monitoring and Evaluation	Completed	12,000	11,800	200	0	10,000
3. Stakeholder Consultations	Completed	8,000	4,473	3,527	0	4,000
4. Financial planning and co-financing definition	Completed	5,000	4,199	801	0	5,000
PPG Management Budget Costs*	Completed	0	0	0	0	34,000
<b>Total</b>		<b>50,000</b>	<b>45,472</b>	<b>4,528</b>	<b>0</b>	<b>65,000</b>

Attachment 1

Overall Project Organization and Management Structure



# Central Project Management Unit

