CLIMATE FINANCE ADAPTATION STUDY REPORT

Vietnam

2020

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ACRONYMS

AMD	Adaptation to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh
CCA	Climate Change Adaptation
CCWG	Climate Change Working Group
CGIAR	Consultative Group for International Agricultural Research
COP	Conference of Parties
CSO	Civil Society Organisation
GEF	Global Environment Facility
IFAD	International Fund for Agricultural Development
JICA	Japan International Corporation Agency
JPA	Joint Principles for Adaptation
MDB	Multilateral Development Bank
MONRE	Ministry of Natural Resources and Environment
NDC	National Determined Contribution
OECD-DAC	Organisation for Economic Co-operation and Development – Development Assistance Committee
READY	Red River Delta Adaptation and Youth
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
USAID	United States Agency for International Development

SUMMARY OF KEY FINDINGS AND RECOMMENDATIONS

CHAPTER 1: INTRODUCTION

This report is part of an international pilot project on climate adaptation finance tracking. The project engaged civil society organisations in 6 developing countries (Ghana, Uganda, Ethiopia, Nepal, Vietnam, and Philippines) to assess multilateral and bilateral international support for climate change adaptation.

The project aims to assess if multilateral and bilateral donors' reporting of adaptation finance is reliable, in the sense that the amounts reported are reasonably accurate, through the assessment of 23 projects, including the 10 largest received by Vietnam, between 2013-2017. The project further investigates if the supported adaptation activities are targeting the poorest and most climate vulnerable parts of the population, and if the activities are gender sensitive.

CHAPTER 2: INTERNATIONAL AND NATIONAL NEEDS FOR ADAPTATION FINANCE

Across the 15th and 16th sessions of the Conference of the Parties (COP) to the United Nations Framework Convention on Climate Change (UNFCCC) in Copenhagen and Cancun, respectively, developed countries committed to mobilise climate financing to developing countries of 100 billion USD per year by 2020, to address the needs of developing countries. At COP21 in Paris, it was urged that the allocation of funds strive to be balanced between adaptation and mitigation objectives. Yet, recent OECD (2019) reporting indicates that these targets and the stated balance are far from being met. With public climate finance from developed to developing countries reaching USD 54.5 billion in 2017, of which only 12.9 billion USD, or 23%, targeted adaptation activities and only 15% was channelled towards LDCs.

Vietnam is one of the most at-risk countries for climate-related disasters, by international comparison, according to the Global Climate Risk Index. The most vulnerable sectors are expected to be agriculture and food security, natural ecosystems, biodiversity, water resources, public health, shelters and technical infrastructure.

In Vietnam, the cost of adaptation to climate change is increasing and is estimated to reach 3-5% of national GDP per year by 2030. According to the United Nations Development Programme (UNDP), and based on data from the government, Vietnam would be able to cover only 30% of the costs of adaptation, which necessitates additional adaptation funding from international sources. Vietnam's Nationally Determined Contribution (NDC) submission to the UNFCCC shows the expected budget for adaptation activities across all ministries is approximately 0.21% of GDP. Furthermore, if the country aims for the expenditure option of 1.5% of GDP, additional funds of USD 3.5 billion per year, or USD 35 billion for the period of 2021-2030, is required.

CHAPTER 3: OVERVIEW OF RECEIVED CLIMATE FINANCE IN VIETNAM

A total of 1,091 climate-related projects were committed to Vietnam in the period 2013-2017, with the related total climate commitments (for adaptation as well as mitigation) summing to 6.13 billion USD, of which 2.2 billion USD was committed in 2016 and 2017 over 489 projects. The four largest providers of climate finance were the World Bank (WB), Japan, Germany and the Asian Development Bank (ADB), providing around 33%, 28%, 16% and 6% of all climate-related finance flows over the period, respectively.

With cross-cutting finance distributed equally between objectives, the ratio of adaptation to mitigation finance received by Vietnam was 41% and 59%, with 1.8 billion USD and 2.6 billion USD committed for adaptation and mitigation, respectively. Representing a significant imbalance between the objectives of 777 million USD over the 5-year analysis period.

Key finding 1: Climate finance received by Vietnam predominantly targets mitigation. To represent the balance stipulated in the Paris Agreement, donor development aid targeting adaptation activities must be significantly increased without adversely impacting general increases in received climate finance.

As noted in the OECD's Rio Marker Handbook (Annex 18), those projects which have been assigned "principal" Rio markers of "2" for both mitigation and adaptation objectives should "be considered only upon explicit justification".[1] This is due to the exceptional circumstances through which both mitigation and adaptation can be considered as fundamental to the design and objectives of a climate-related project. Our analysis finds that 106 projects received in Vietnam have been assigned "2" for both climate Rio markers, accounting for 719 million USD, or 12% of total received climate finance, and is concentrated in projects reported by the United States (62) and Japan (18).

Key finding 2: 719 million USD, or 12% of total received climate finance in Vietnam, has been Rio marked "principal" for both mitigation and adaptation objectives. Considering the OECD's guidelines, this figure risks inflating climate finance figures. In the team's assessment three of the four projects with Rio markers of "2,2" should instead be marked as "2,1" or even 0 for adaptation.

Recommendations:

- It is important to determine the extent to which mitigation and adaptation are specifically targeted, and particularly to avoid, or have very good arguments for, reporting a project with principal markers for both mitigation and adaptation (i.e. with both Rio markers as 2).
- Donors should revise guidelines on their adaptation finance tracking so that only relevant projects are reported and included in reporting and donor effort calculations.They should avoid reporting projects as adaptation-relevant if not well justified.

CHAPTER 4: ANALYSIS OF ADAPTATION RELEVANCE

Chapter 4 presents the results from the assessment of 23 adaptation-relevant climate finance commitments flowing to Vietnam from 2013-2017. The assessment focuses on analysing the quality of the adaptation activities undertaken and the accuracy of donor adaptation finance reporting. To do this the study followed a multi-step process adapted from the 3-step assessment developed by the MDBs, including assessments of: (1) the climate vulnerability context outlined by a project; (2) the stated intent of a project and its consideration of the identified risks, vulnerabilities and impacts; and (3) the demonstration of a direct link between these identified risks, vulnerabilities and impacts, and the financed activities.

An initial and important finding of this report concerns donor transparency. Accessing full project documents for many of the adaptation-relevant development projects was extremely difficult, due to reluctance from donors to share information. Project documents for 4 projects led by the Japanese development agency, Japan International Development Agency (JICA), were not made available to the assessment team.

Key finding 3: Accurate and independent analyses of adaptation finance, and climate finance more generally, is hindered by a lack of willingness of donors to make project documentation public. This lack of transparency makes it difficult for recipients of climate finance to determine if it suitably meets national, regional and local needs and priorities. Project documents and reports should be made more easily available online.

Within the individual assessments, the 3-step process highlighted key characteristic of projects which effectively target adaptation. Most importantly it was found that a project's ability to adequately assess and outline the climate vulnerability context within the relevant implementation area or sector leads to more successful adaptation projects.

Key finding 4: Adaptation projects seen to address adaptation needs routinely produce vulnerability analyses relevant to the projects activities and impacted stakeholders. Furthermore, projects which are found to effectively consider the relevant context of climate vulnerabilities, are also found to develop activities addressing the identified risks, vulnerabilities and impacts. Similarly, projects which fail to outline an adequate vulnerability context, often fail to meet the adaptation needs of those affected by the project's activities.

In total the team assessed 2.4 billion USD of climate finance across 23 projects, amounting to 39% of total climate-related commitments received in Vietnam between 2013-2017. Of this total 2.19 billion USD was reported by donors as finance for adaptation objectives. Using the individual assessments, the team was able to produce adaptation-relevance coefficients for each project, which allowed the adaptation-relevant portion of a project's climate-relevant budget to be calculated. This enabled the team's adaptation finance figures to be compared to those which were reported by donors, who make use of the Rio marker method or a 3-step approach (utilised by the MDBs).

The team finds that a significant portion of adaptation finance received in Vietnam has been innacurately and over-reported. The overwhelming contributor to the produced over-reporting figure resulted from four projects committed by the Japanese International Coperation Agency (JICA). All of which occurred from projects Rio marked "significant" (1) for adaptation, whilst having no adaptation-relevance. This results in significantly over-reported figures for adaptation finance as Japan remains as one of the few developed country providers to maintain a Rio marker 1 coefficient of 100%. Meaning that the entire climate-related budget of projects with Rio marker allocations of "significant" (which is applied to indicate that adaptation is one of multiple objectives) is considered as adaptation finance. In comparison, the majority of donors utilise figures ranging from 30-50%.

Key finding 5: This report finds that the climate-relevant budgets of four large infrastructure projects provided by Japan have been innacurately reported as climate-relevant. The assessment team finds that all four of these projects have been reported as adaptation-relevant finance, and therefore that this adaptation finance has been over-reported in full. This over-reporting by Japan amounts to 852 million USD of adaptation-related finance.

Furthermore, a fifth infrastructure project committed by Japan and assessed in this report, the Ben Tre Water Management Project, resulted in an additional 38 million USD of over-reported adaptation finance. Combining these five projects, JICA is responsible for 80% of the assessment team's estimate of over-reported adaptation finance.

Key finding 6: Of the 2.19 billion USD of assessed adaptation finance, the team estimates that 890 million USD can be considered as over-reported by JICA. This equates to 55% of adaptation finance committed by Japan to Vietnam from 2013-2017, or 27% of the high-end estimate of adaptation finance committed to Vietnam by all donors throughout 2013-2017.[1] Highlighting the high impact of inflated adaptation finance reporting on figures of provided and received climate and adaptation finance.

The team also assessed just over a 1 billion USD of adaptation finance provided by the World Bank. The team found 827 million USD, or 82%, to be adaptation-relevant. As a result the team finds that 214 million USD of adaptation finance has been over-reported by the WB in 6 projects, according to project document analysis, namely: "Vinh Phuc Flood Risk and Water Management Project"; "Vietnam Dam Rehabilitation and Safety Improvement Project"; "Vietnam Irrigated Agriculture Improvement Project"; "Can Tho Urban Development and Resilience"; "Mekong Delta Integrated Climate Resilience and Sustainable Livelihoods Project"; and "Ho Chi Minh City Green Transport Development".

Key finding 7: This report finds that 214 million USD of adaptation finance has been over-reported by the World Bank to Vietnam across 6 projects. Therefore, of the 2.19 billion USD of assessed adaptation finance, our estimates show that a total of 1.12 billion USD has been over-reported, 99% of which by Japan and the World Bank

The total amount of climate finance provided in loans for the projects included in the assessment comes to 2 billion USD, out of a total 2.41 billion USD. As a developing country and among the most vulnerable to climate change, Vietnam needs more support for poor communities for adaptation, without the incursion of debt. For the greatest impact, this funding should be decentralized to communities. Loans for adaptation is an issue of social justice, and countries are unable to get out of the poverty trap when any development gains must be put back into taking on loans to address climate risks.

Loans for adaptation is an issue of social justice, and countries are unable to get out of the poverty trap whilst development gains are offset against loans to address climate risks, and their related debt. As a result, there is a need for grant-based support for adaptation objectives in low income developing countries who are at high risk from climate impacts, without having contributed much to their drivers.

Key finding 8: The total amount of adaptation finance provided as loans for the projects included in this assessment amounts to 2 billion USD, of a total 2.4 billion USD. As a developing country and among the most vulnerable to climate change, Vietnam needs more support for poor communities for adaptation to be provided as grants and without the incursion of debt. For the greatest impact, this funding should be decentralized and provided to communities.

In an assessment of the accuracy of donor Rio marker allocations, other than the four infrastructure projects provided by JICA mentioned above, the team finds only one further example where Rio markers have been inaccurately allocated by a donor for adaptation, namely the "Governance for Inclusive Growth" (GIG) project, provided by the United States. Additionally, three projects: (1) the US GIG, Australia's "Child-centred Climate Resilience", and the GCF/UNDP "Improving the Resilience of Vulnerable Coastal

Communities to Climate Change Related Impacts in Vietnam" projects were inaccurately allocated Rio markers for mitigation.

Five of the assessed adaptation projects, all supported by different donors, showed a reported adaptation finance figure that was in good agreement to the team's assessment. These were projects funded by IFAD, the GCF/UNDP, Germany, and the US. The assessment team's analysis of the IFAD "Adaptation to Climate Change in the Mekong Delta, Ben Tre and Tra Vinh Provinces" project showed only a 3% difference between the adaptation finance reported to the OECD by the donor and the observational assessment (USD 30.6 million vs 29.6 million). The other four projects showed a 13% difference between reported and observed adaptation finance.

Across the 23 assessed projects those engaged at the community level, and consulted for observational evidence, highly appreciated climate-smart agriculture initiatives. IFAD's AMD project rated the maximum score of 10 for such activities according to analysis through observation sources. According to the Vietnamese NDC, agriculture is one of the sectors most vulnerable to climate change while consitituting the main livelihood sources for 43% of Viet Nam's population of 92 million[2], with potential co-benefts from climate smart agriculture highlighted in the document.Regarding financial transparency, not being able to easily access project information was a common hurdle for the assessment team when analysing for majority of projects. For some projects, such as IFAD's AMD and Australia's "Vietnam Child-Centered Climate Resilience" projects communities only were able to learn about the project budgets through meetings with the community officers.

Recommendations

- Additional focus from donors in future adaptation projects should specifically aim to increase resilience in Vietnam's agricultural sector and promote climate-smart agriculture initiatives.
- Future projects should implement systematic feedback mechanisms to ensure transparency and engage local communities.

CHAPTER 5: ANALYSIS OF POVERTY ORIENTATION, GENDER, AND THE JOINT PRINCIPLES FOR ADAPTATION

Chapter 5 assesses whether the selected projects adequately integrate gender concerns, poverty orientations, and the Joint Principles for Adaptation within their design.

Poverty reduction is key to the achievement of the Sustainable Development Goals, including Goal 13 on Climate Action. The assessed projects have varied emphasis and orientation towards poverty reduction, yet most projects are implemented in areas with significant poverty, such as the Mekong Delta. However, most projects do not focus specifically on the poorest or identify the numbers of poor people they would reach. In most cases, project implementation is slow and so it is not possible to appraise their impact on the poor in implementation.

> **Key finding 9:** The majority of projects focus on the Mekong Delta. In the near future, Vietnam should strive to balance support for adaptation in the Mekong with projects in mountainous areas where the poorest and vulnerable ethnic minorities live, as well as in the Red River Delta, which is a typhoon hotspot and where livelihood strategies are sensitive to climate change.

Parties to the Paris Agreement have recognized the importance of incorporating gender equality aspects into adaptation flows. Between 2013-2016, on average, 32% of received adaptation projects also reported gender equality objectives. Yet, only 24% of adaptation finance (199 million USD) is found to target gender equality, thus 76% of this adaptation finance lacks gender co-targets.

[2] FAO, 2018

Key finding 10: Only 32% of donor adaptation projects report gender co-targets, and 76% of adaptation finance does not address gender equality. Identifying a large blind spot in the focus of adaptation projects in Vietnam.

None of the projects reviewed scored 2 on the OECD gender marker, which would indicate that gender equality was the fundamental driver of the project. Only a few projects included an analysis of how climate change is affecting the livelihoods of different genders, gender disaggregated indicators, or gender-specific activities. The impact of the projects on the resilience of women and girls is therefore likely to be weak.

Key finding 11: There should be an increased effort from donors to report on the results relating to gender, to reflect comprehensive and integrated achievements and to ensure real progress on gender equality. In some projects, such as those funded by the World Bank and ADB, gender analysis and gender action plans were conducted. However, progress on gender issues was not captured in their reports.

Recommendations

- In the near future, Vietnam should strive to balance support for adaptation in the Mekong with projects in mountainous areas where the poorest and vulnerable ethnic minorities live, as well as in the Red River Delta, which is a typhoon hotspot and where livelihood strategies are sensitive to climate change.
- Projects should begin with careful vulnerability and gender analyses, which will help establish an understanding of the communities' adaptive capacity and needs.
- There should be an explicit budget allocation for gender analysis and planning within projects. The projects should also address gender in their implementation strategy and results frameworks used for monitoring and evaluation. This would allow results relating to gender to be recorded more comprehensively and better integrated and reflected upon, ensuring real progress on gender equality.
- Projects should focus on building climate-resilient livelihoods.

BOX 1: TRACKING CLIMATE ACTION - INTEGRATED WATER MANAGEMENT IN HA TINH

Ha Tinh is a coastal province in the central part of Vietnam, which has experienced a number of extreme weather-related disasters including tropical storms, droughts, heavy rains leading to floods, and flash floods. According to Mr. Quang, a Project Coordinator living in Ha Tinh, the city experienced serious flooding in 2010, 2016 and 2018. Many parts of the city were inundated up to 2-3 meters, which caused severe damage to infrastructure, agriculture production, and livelihoods.

Rapid urbanization has increased demand for water and put greater pressure on the province's drainage system. Given these climate impacts, the Ha Tinh project aimed to integrate water resources management into the urban planning process. Climate scenarios and hydraulic modelling were developed for the project to help find solutions for water resources management and urban planning in the context of more extreme flooding and drought. In particular, studies analysed vulnerability to natural disasters and climate change impacts on infrastructure, private assets, livelihoods and income generation activities within the Rao Cai basin area, with a focus on Ha Tinh City. It reviewed physical capital (access to improved water supplies, sanitation facilities and services); economic capital (sector productivity, access to employment and productive assets); and financial capital. The project also aimed at enhance cooperation between stakeholders involved in climate change, urban development and water resource management.

A reduction in flooding and its impacts in Ha Tinh City and Hong Linh City have been observed in the past few years, thanks to the improved drainage system, reservoirs combined with green parks, mangrove plantation, improved awareness and local residents' behaviour changes in relation to flooding risks. A demonstration project on climate change vulnerability assessments and action plans in Ha Tinh Town has paved the way for integrating climate change into other provincial plans. Regarding awareness rising in communities, the project has contributed to 22 reports on local televisions, 28 local media reports, hundreds of messages on the commune radio station, and newsletters on climate change. The project also collaborated with schools to support climate change awareness raising, attracting 3,500 students to participate in events.

Koos Neefjes, Director of Climate Sense and expert on climate change in Vietnam, said this project has been quite successful in promoting good flood and drainage planning and design, including systems that will benefit the poorer neighbourhoods of Ha Tinh City.

1. INTRODUCTION

This report is part of an international project on adaptation finance tracking with the aim to assess if multilateral and bilateral donors' reporting of adaptation finance is reliable and reasonably accurate. The project builds on civil society assessments of international support for climate adaptation to six developing countries: Ghana, Uganda, Ethiopia, Nepal, Vietnam, and the Philippines. Specifically, the purpose for this pilot project on Adaptation Finance Tracking is to:

- Check if OECD donors' reporting of climate finance for adaptation activities in selected developing countries reflects reality on the ground, i.e. no over-reporting takes place.
- Investigate if the supported adaptation activities are targeting the poorest and most climate vulnerable parts of the population, and if the activities are gender sensitive.
- Develop a methodology that makes it easier for civil society organisations (CSOs) in other countries to perform similar analysis.

This project focuses on Vietnam and responds to the current situation in which, despite the increased emphasis on climate change, little information exists as to the status of adaptation finance at the recipient country level. Some questions it hopes to answer include: *How much finance for adaptation is available within developing countries? Who gets the money? How is it used?* By tracking and monitoring adaptation finance, it is possible to engage in evidence-based advocacy to improve transparency and accountability, ultimately making adaptation initiatives more effective.

This report is only about international adaptation financing for Vietnam but results from all six countries will be summarized in a global report all reports from the assessments will be available at https://careclimatechange.org/.

The assessment was carried out by a team of researchers from CARE International in Vietnam in cooperation with the Center for Sustainable Rural Development (SRD). The team conducted desk reviews of available project documents and interviewed project officers, local government officials at the commune, district, and provincial levels, as well as community members.[3]

2. INTERNATIONAL AND NATIONAL NEEDS FOR ADAPTATION FINANCE

2.1 INTERNATIONAL CONTEXT

Developed countries promised in the Paris Agreement to increase their collective mobilization goal of 100 billion USD per year in climate finance to developing countries between 2020 and 2025. The Paris Agreement also calls for striking a balance between climate finance for mitigation and adaptation, addressing the conditions and capacity constraints in the poorest and most vulnerable developing countries.

In Paris, countries decided to develop modalities for the accounting of climate finance to be adopted as part of the "rulebook" at COP24 in December 2018. Oxfam's climate finance shadow report, launched in May 2018, aggregated donors' reports of public climate finance to the UNFCCC and OECD and found an estimated total of just USD 48 billion per year (average 2015-16). It seems unlikelythat the USD 100bn target will be met.

[3] More detailed information on the methodology is available in Annex A.

2.2 CLIMATE CHANGE IMPACTS IN VIETNAM

Vietnam is one of the most at-risk countries for climate-related disasters, by international comparison, according to the *Global Climate Risk Index*.[4] The most vulnerable sectors are expected to be agriculture and food security, natural ecosystems, biodiversity, water resources, public health, shelters and technical infrastructure.[5] Across the country, the most vulnerable groups include the poor, ethnic minorities, those with climate-dependent income, the elderly, women, children, and the sick.

Every year, Vietnam is struck by an average of 7 to 8 typhoons. Typhoons have historically tended to strike the northern and central regions of Vietnam, but some have noted a shift southwards over the past decades, and annually there are tropical storms that hit the Mekong Delta. The coastal strip of more than 3,000 km and the country's waterways and islands will be subjected to greater hazards, with most impacts related to climate change and sea level rise. Large deltas and urban municipalities will also be at increased risk, especially the highly populated coastal cities; this is partly due to inadequate urban planning that does not integrate disaster risk reduction and climate change adaptation.

The northern mountainous and central areas face higher risks of flash floods and landslides due to the changes in rainfall patterns. At the same time, increasing desertification, drought, and water shortages will occur in the Central Coast and South Central Coast, Red River Delta, and the Central Highlands. The river flows into Vietnam are somewhat less than in previous extreme flood years such as 2000 and 2001, however the extent of flooding in the central delta appears to have been worse as a result of reduced flood retention capacity in the upper delta. In 2000 and 2001, most fatalities were children who drowned.

After 2020, many areas may experience water shortages due to the impacts of climate change. In the Central South and southern areas, if water flows are reduced by 10-30%, groundwater levels may be lowered by about 11m compared to the current level. Droughts affected different parts of Vietnam and especially the Mekong Delta, and have been associated with extreme saline water intrusion penetrating deeply inland. Droughts with saline water intrusion have caused major crop losses and also human suffering. Major climate-related disasters have been significant set-backs to regional GDP, and by some analyses, the Mekong Delta region has experienced slower economic development compared to other regions of the country.

If the sea level rises by 100 cm, the Mekong Delta and Ho Chi Minh City may lose up to 40.5% of total rice production. Sea level rise, along with salinization, has already shrunk many lowland coastal farming areas. In addition, grasslands and other grazing areas have also decreased, negatively impacting the livestock sector. The fisheries and aquaculture sectors have also experienced losses. Storms not only affect the catches produced in that year, but they also affect the yields of subsequent years by reducing hatchery yields. In the Red River Delta, mangrove ecosystems have decreased in response to climate change and sea level rise.

With these increasing impacts from climate change, it is clear that effective and targeted resources are needed for Vietnam to successfully adapt in the coming decades.

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[4] Eckstein, David, Marie-Lena Hutfils and Maik Winges, 2018. *Global Climate Risk Index 2019: Who Suffers Most From Extreme Weather Events? Weather-related Loss Events in 2017 and 1998 to 2017*. Briefing paper. Bonn: Germanwatch. http://www.germanwatch.org

[5] MONRE, 2019. *The Third National Communication of Vietnam to the United Nations Framework Convention on Climate Change*. Hanoi: Vietnam Publishing House of Natural Resources, Environment and Cartography.

2.3 ADAPTATION FINANCE NEEDS IN VIETNAM 2012-2030

In Vietnam, the cost of adaptation to climate change is increasing and is estimated to reach 3-5% of the GDP per year by 2030.[6] According to UNDP (based on data from the government), Vietnam would be able to cover only 30% of the costs of adaptation, which necessitates additional adaptation funding from international sources. Vietnam's NDC submission to the UNFCCC shows the expected budget for adaptation activities across all ministries is approximately of 0.21% of GDP. Furthermore, Vietnam's INDC indicates that, over the last 30 years, natural disasters reslting in death and injury result in annual economic losses of 1.5% of GDP. If the country aims for the expenditure option of 1.5% of GDP, additional funds of USD 3.5 billion per year, or USD 35 billion for the period of 2021-2030, is required.[7]

Vietnam's climate change adaptation priority actions for 2021-2030 are summarized below:[8]

1. *Responding proactively to natural disasters and improving climate monitoring.* Vietnam needs to modernize its hydro-meteorological observatory and forecasting system to ensure the timely forecasting and early warning of weather events. An assessment and monitoring system on climate change and sea level rise must also be developed. Realistic climate change scenarios can then be fed into the planning process for socio-economic development plans, with a focus on key sectors and regions. Implementing disaster prevention plans and measures, including capacity building and public awareness along with more structural measures, can protect communities and peoples' lives.
2. *Ensuring social security.* There is a need to review, adjust and develop livelihoods and production processes that are appropriate under climate change conditions and are linked to poverty reduction.
3. *Responding to sea level rise and urban inundation.* Need to implement integrated coastal zone management; use sea level rise scenarios in urban and land use planning for infrastructure, industrial parks, coastal and island resettlement areas; implement anti-inundation measures for large coastal cities; construct climate change resilient urban infrastructure; strengthen and build new large urban drainage infrastructure; consolidate, upgrade and complete crucial sea and river dykes; control saline water intrusion in the most severely affected areas.

Projects in agriculture, forestry, and livelihoods, are best placed to respond to the priorities outlined in points 1 and 2 above. Whilst coastal infrastructure and resilience projects in Vietnam, can address the issues relating to sea level rise highlighted in point 3. However, in the Vietnamese context, there is still a big gap in investment regarding effective forecasting systems that can get actionable advisories and climate information to farmers in a timely manner. The finalization of the NDC also acknowledges the co-benefits of adaptation and mitigation actions undertaken simultaneously in cross-cutting activities.

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[6] UNDP, 2018. Issue Brief: Climate change adaptation in Vietnam contribution to the review and update of the NDC1. http://www.vn.undp.org/content/vietnam/en/home/library/environment_climate/issue-brief--climate-change-adaptation-in-viet-nam---contributio.html

[7] MONRE, 2019

[8] Intended Nationally Determined Contribution of Vietnam. https://www4.unfccc.int/sites/ndcstaging/PublishedDocuments/Viet%20Nam%20First/VIETNAM%27S%20INDC.pdf

3. OVERVIEW OF RECEIVED CLIMATE FINANCE IN VIETNAM

3.1 TOTAL RECEIVED CLIMATE FINANCE

Vietnam had a total of 1,091 climate-related projects in the period 2013-2017, with a value of USD 6.13 billion, or an average of USD 1.23 billion per year.[9] However, this was not evenly spread over each year; 2016 saw a significant increase with commitments totaling USD 2.02 billion, as shown in Figure 1.

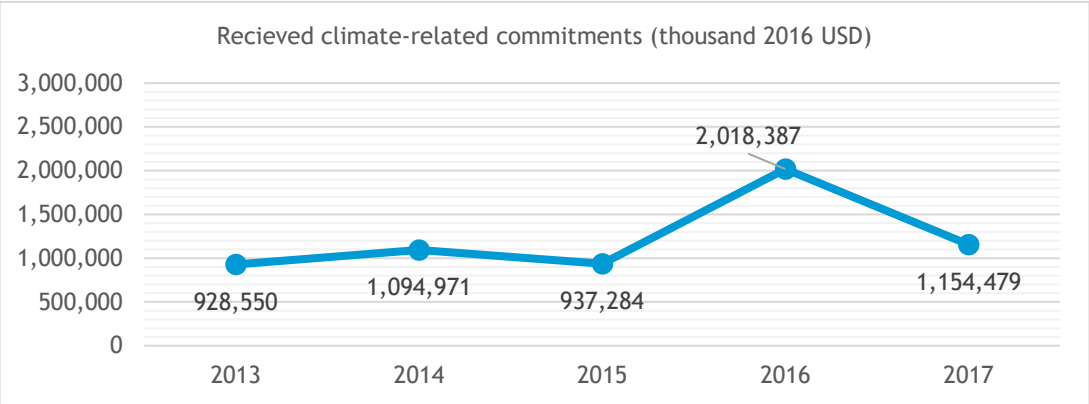

Figure 1. Value of climate-related commitments recieved in Vietnamfrom 2013-2017, estimated using a Rio marker 1 coefficient of 40%.

3.2 DEVELOPMENT PARTNERS

The largest providers of climate finance to Vietnam in this period are the World Bank and Japan, followed by Germany and the ADB:

- The World Bank committed 103 projects totaling USD 2.01 billion over the period 2013-2017, with 45 of those projects committed in 2016. Funding peaked at USD 0.83 billion in 2016, compared to a low of just USD 0.01 billion in 2013.
- Japan financed 158 projects with a value of USD 1.74 billion over the period 2013-2017. Commitments are concentrated in 2016, with USD 0.51 billion. This is mostly due to the Ho Chi Minh City Urban Railway Construction Project at USD 0.31 billion, the largest project (financially) committed to Vietnam.
- Germany committed a total of USD 0.97 billion over the period 2013-2017.
- The ADB provided 377 million USD over the period.

The two largest projects in 2017 were the "Efficient Power Grids in Small and Medium-Sized Cities, Phase 2" project, funded by Germany at USD 163 million. This was followed by the cross-cutting project led by Japan, valued at USD 95 million called the "Support Programme to Respond to Climate Change (VII)".

[9] Climate finance data is found at the CRS database at OECD/DAC: https://stats.oecd.org/viewhtml.aspx?datasetcode=CRS1&lang=en, where donors report all project level data to recipient countries with budget as well as policy markers on gender, climate mitigation and adaptation (Rio markers).

3.3 RATIO OF ADAPTATION AND MITIGATION FINANCE

As mentioned, the Paris Agreement calls for a balance to be struck between climate finance for mitigation and for adaptation, addressing conditions and capacity constraints in the poorest and most vulnerable developing countries (Article 9.4). The ratio of climate financing for Vietnam during the period 2013-2017 favors mitigation, which recieved 59% of total financing compared to 41% for adaptation. Mitigation figures can often be larger due to large-scale infrastructure projects, as in this case with the Ho Chi Minh City Urban Railway Construction Project.

The imbalance between mitigation and adaptation was most pronounced in 2016, with adaptation falling to a low of USD 207.7 million, compared to a peak in mitigation commitments of USD 773.7 million. The years 2015 and 2017 are the only years in which adaptation financing is the higher of the two. A significant peak of USD 568.6 million for adaptation commitments occurred in 2017, which is over twice the figure for previous years in Vietnam. This increase may partly be explained by more detailed reporting from MDBs regarding separate mitigation and adaptation targets, seemingly the case for their reporting in 2017. That year also saw a global increase in funding to combat climate change—an analysis found that climate financing increased from USD 58.6 billion in 2016 to USD 71.2 billion in 2017.

The OECD found that public financing for global adaptation, excluding export credits, increased by 65% between 2013 and 2017 to reach USD 12.9 billion. During the same period, funding for mitigation increased by 38% for a total of USD 36.8 billion.[10] The figure of 71.2 billion suggests that developed countries must increase annual climate finance figures by 28.8 billion in the remaining three reporting years to uphold the Paris Agreement target.

3.4 CROSS-CUTTING OR OVERLAP FIGURES FOR VIETNAM

Donors report to the OECD uses a scoring system of policy markers, to indicate whether a project focuses on mitigation, adaptation using Rio markers of 0, 1 and 2 to indicate a project is "not related to that objective", a "significant" objective or "principal objective", respectively.[11] According to the OECD, for a project to receive Rio markers of principal for both mitigation and adaptation simultaneously (e.g. a score of 2 for both mitigation and adaptation) "should therefore be considered only upon explicit justification".[12]

A considerable number of cross-cutting projects have been marked "2" for both adaptation and mitigation (106 in total), including projects reported on by the United States (62), Japan (18), Korea, France and Australia (6), UK and Italy (both 2), GEF, Switzerland, Sweden and Canada (all 1).
The commitments amount to a total of 719 million USD of the reported climate-relevant commitments in the years 2013-2017. It is important for future calculations of provided and received climate finance to determine the extent to which mitigation and adaptation are specifically targeted in such projects. The reporting of double principal objectives peaked in 2016, with 38 projects being reported "2, 2" (see Figure 2).

10 Farand, Chloé, 2019. "Only one-fifth of climate finance going to adaptation, finds OECD", *Climate Home News*. Published on 13 Sep 2019. https://www.climatechangenews.com/2019/09/13/one-fifth-climate-finance-going-adaptation-finds-oecd/

11 See OECD DAC Rio Markers for Climate Handbook. *https://www.oecd.org/dac/environment-development/Revised%20climate%20marker%20handbook_FINAL.pdf*

12 OECD DAC, 2016. Annex 18. Rio Markers. Background on Rio Markers. https://www.oecd.org/dac/environment-development/Annex%2018.%20Rio%20markers.pdf. See page page 7, paragraph 14.

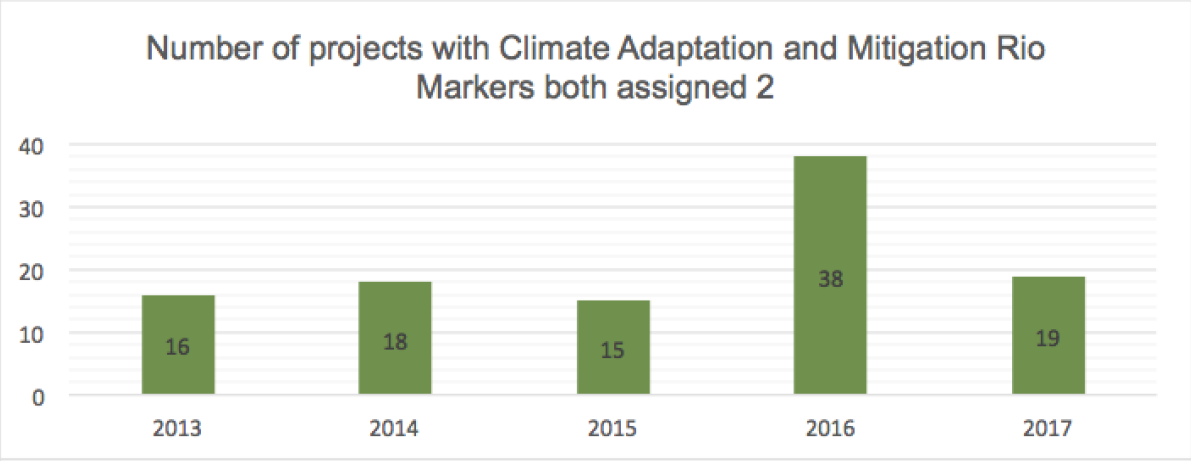

***Figure 2**. Number of projects reported with "principal" Rio markers for both mitigation and adaptation objectives ("2,2") by year.*

BOX 2: TRACKING CLIMATE ACTION - VIETNAM FORESTS AND DELTAS (VFD)

The VFD project exceeded its targets. It supported local household livelihoods through planting forests and establishing payments for forest environmental services (PFES). After 5 years of implementation, the VFD project successfully developed policies and implemented actions to achieve green growth, sustainable forest management, and equitable payments for forest environmental services in Nghe An and Thanh Hoa provinces. As a result, approximately 25,000 households now receive PFES payments and are now more actively engaged in local forest protection. In Nam Dinh and Long An provinces, VFD worked with communities to better prepare for disasters resulting in more than 200,000 people in 60 communes implementing risk-reducing best practices. VFD's experts partnered with local agriculture extension centers to promote sustainable agriculture models. This collaboration helped more than 30,000 farmers in both forested and delta areas to improve their practices and productivity. At the national level, the program worked with the government to develop important policies including Vietnam's Coastal Forest Decree 119, which for the first time provides specific guidance on management and protection of coastal forests. Decree 119 provides the critical foundation to leverage more than $150 million in World Bank investments for coastal forest management.

Local governments, partner organizations, and community members believe the project has been greatly beneficial. For example, 4000 people in 30 communes of 3 coastal districts participated in climate and disaster risk assessments. In addition, students in grade 4 and 5 in 33 schools in 30 communes participated in a serries of activities on disaster mitigation and climate adaptation. Other outputs of the project include a plan for forest protection 2016-2020, forest fire protection, local spice plantations, and study tours for local residents/staff to learn about climate change adaptation in other destinations in Vietnam.

A key to the project's sucess has been a robust design that began with a climate vulnerability assessment during the project's inception stage. The work plan includes SMART objectives and criteria for monitoring and evaluation. The activities implemented are in line with vulnerability and adaptation needs in the area, and as a result, the project has helped to strengthen adaptation capacity.

3.5 GENDER-RELATED CLIMATE FINANCE

Parties to the Paris Agreement have recognized the importance of incorporating gender equality aspects into adaptation flows, with a gender action plan further established at COP23: "Parties acknowledge that adaptation action should follow a country-driven, gender-responsive, participatory and fully transparent approach."[13] Using data sourced from the OECD's climate-related development finance dataset, which was amended to include gender equality markers for the years 2013-2016.[14]

The percentage of adaptation projects with a gender equality marker has varied over the period 2013-2016. On average 32% of adaptation projects in the period have a gender equality marker of 1 or 2. Lows of 24% and 28% are seen in the years 2013 and 2016, compared to a peak of 45% in 2014. Furthermore, the number of adaptation projects with a gender equality marker of "2" is particularly low; in 2013 there were no adaptation projects marked as having gender equality as a principal objective (see Figure 3).

The value of adaptation-related commitments with a gender marker totals USD 199 million for the period, making up some 24% of total adaptation-related commitments for the period (see Table 1). This shows that 76% of adaptation finance does not have an associated gender marker. The lower percentage of overall financing relative to the absolute number of projects indicates that the financially larger-scale projects are more likely to be missing a gender marker.

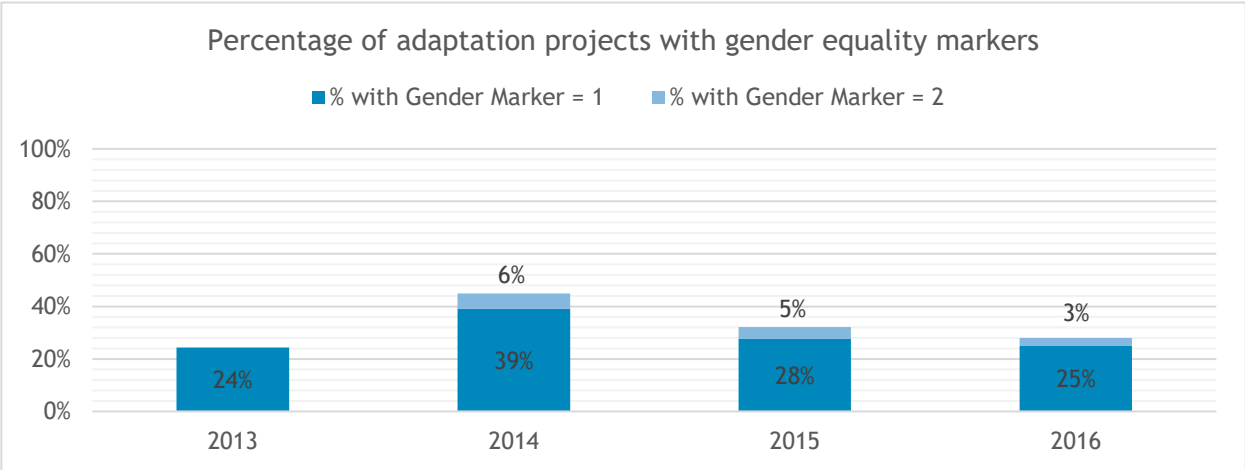

Figure 3. Percentage of adaptation projects with a gender equality marker of either 1 or 2

The analysis of gender-related climate finance is based on the official reporting of these projects by their donors to the OECD. An in-depth review of this report's sample of adaptation projects by the assessment team, provided in Section 5.2, also suggests that there is a systematic bias towards overstating gender equality objectives than is justified.

[13] https://bigpicture.unfccc.int/content/mitigation.html#content-adaptation

[14] Projects are marked for the extent to which gender equality is targeted in their objectives, design and expected results. They are graded as '0- not targeted', '1- significant' integration of gender/ mainstreaming; and '2- principal' indicating gender equality is the principal objective; see http://www.oecd.org/dac/gender-development/dac-gender-equality-marker.htm. Gender-related climate finance analysis for the recipient country of Vietnam for the period 2013-2016 has been made using data provided on request by the OECD Financing for Sustainable Development team.

2013-2016	NUMBER OF PROJECTS	VALUE OF ADAPTATION-RELATED COMMITMENTS (USD)
Adaptation projects with a gender marker (1 or 2)	107	199 million (24%)
Adaptation projects without a gender marker (0 or blank)	231	630 million (76%)
Total	**338**	**829 million**

Table 1: Representation of gender equality markers in adaptation projects. Note: This table excludes crosscutting projects and mitigation projects with adaptation Rio markers.

BOX 3: TRACKING CLIMATE ACTION - VIETNAM CHILD-CENTERED CLIMATE RESILIENCE PROGRAM (CCCR): RESILIENT LIVELIHOODS SUPPORTING CHILDREN'S EDUCATION

The CCCR program introduced climate-resilient rice cultivation to support adaptive livelihoods in Thai Nguyen, Quang Ngai, Thua Thien Hue, and Tien Giang provinces. The programme provided technical assistance on rice cultivation through a series of trainings. It used a number of approaches, such as field schools and local sharing workshops. Evidence from the programme showed that farmers who applied the new techniques increased their summer season crop yield and profits. Importantly, the farmers gained confidence in their ability to adapt to climate change and its impacts.

"I am happy to have an increased profit in this crop as the result of participating in the rice cultivation technical training provided by the agriculture extension centre district technicians. Furthermore, I am also pleased that my knowledge of how to apply these crop cultivation methods has improved. I plan to use the increased amount of income from the crop to contribute to my children's education fees. I hope that with next season's crop, I will get more money to invest so my children can continue studying, maybe through to university," said Mrs. Nguyen Kim Tien, 42, from Tien Giang province.

4. ANALYSIS OF ADAPTATION RELEVANCE

4.1 ASSESSMENT METHODOLOGY

As outlined in Chapter 3, this study seeks to assess the accuracy and quality of donors' own reporting to the OECD-DAC - which provides the most comprehensive and detailed set of data at the project level on climate-related development aid. The OECD's guidelines for assigning the adaptation relevance of a project stipulates that a project should only be classified as adaptation-related, when it intends to reduce the vulnerability of human or natural systems to the current and expected impacts of climate change, including climate variability, by maintaining or increasing resilience, through increased ability to adapt to, or absorb, climate change stresses, shocks and variability and/or by helping reduce exposure to them (OECD-DAC Annex 18, Page 7).

The 23 projects for this analysis were selected based on predetermined criteria. The assessment includes:

a) The ten largest adaptation projects by budget, with the inclusion of multilateral development bank-funded projects.
b) Ten other complementary adaptation projects. The team chose projects keeping the following criteria in mind:
    - Projects that reflect the knowledge base within the CSO networks (member organisations) and the assessment team
    - One or two projects having both Rio markers as principal objectives ("2, 2")
    - Projects with a large budget and no gender marker are especially relevant
    - Projects that member organisations of the CSO network consider it important to examine

Table 2 contains a list of the selected projects, with the first 10 projects listed in the table being the 10 largest, and the second 13 representing the complementary projects. The abbreviations provided in Table 2 will be used to describe the projects in the following sections of the report.

This assessment includes five JICA projects, which together account for approximately 40% of the reported climate financing included in this assessment. However, only one project actually relates to climate change adaptation, according to the assessment team, while the other four projects are assessed as providing zero climate financing due to their irrelevance to adaptation objectives.

Project name	Abbreviation	CRS ID	Climate-related commitment (OECD) (USD thousands)	Financial instrument
WB: Mekong Delta Integrated Climate Resilience and Sustainable Livelihoods Project	WB: Mekong ICR	2016026147	310,000	Debt instruments
Japan: North-South Expressway Construction Project (DN-QG)(II)	JPN: DN-QG	2014003032	282,282	Debt instruments
Japan: Bien Hoa City Drainage and Wastewater Treatment Systems	JPN: Bien Hoa	2017003074	227,635	Debt Instruments

Project name	Abbreviation	CRS ID	Climate-related commitment (OECD) (USD thousands)	Financial instrument
Japan: Ben Tre Water Management Project	JPN: Ben Tre	2017003069	223,552	Debt instruments
WB: Can Tho Urban Development and Resilience	WB: Can Tho	2016026017	203,450	Debt instruments
Japan: Second HCMC Water Environment Improvement Project (III)	JPN: HCMC Water	2016003048	192,707	Debt instruments
WB: Vietnam Irrigated Agriculture Improvement Project	WB: IrriAgri	2014020523	153,493	Debt instruments
Japan: Nhat Tan Bridge (Vietnam-Japan Friendship Bridge) Construction Project (III)	JPN: Nhat Tan Bridge	2013003042	149,669	Debt instruments
WB: Forest Sector Modernization and Coastal Resilience Enhancement Project	WB: Forest Modernization	2017028775	147,507	Debt instruments
WB: Vinh Phuc Flood Risk and Water Management Project	WB: Vinh Phuc	2016025941	133,320	Debt instruments
WB: Vietnam Dam Rehabilitation and Safety Improvement Project	WB: Dam Rehab	2015027983	122,553	Debt instruments
WB: Ho Chi Minh City Green Transport Development	WB: HCMC Green Transport	2015001723	118,521	Debt instruments
IFAD: Project for Adaptation to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces	IFAD: AMD	2013000259	30,642	Grant
GCF/UNDP: Improving the Resilience of Vulnerable Coastal Communities to Climate Change Related Impacts in Vietnam	GCF/UNDP: Coastal Resilience	2016000074	29,523	Grant
USA: Governance for Inclusive Growth	USA: GIG	2017019978A	22,832	Grant
USA: Vietnam Forest and Deltas	USA: VFD	2013016146	19,597	Grant
ADB: Urban Environment and	ADB: Urban CCA	2017001995	9,244	Debt instruments

Project name	Abbreviation	CRS ID	Climate-related commitment (OECD) (USD thousands)	Financial instrument
Climate Change Adaptation Project				
Belgium: Integrated Water Management and Urban Development in Relation to Climate Change in Ha Tinh Province	Belgium: Ha Tinh	2013012426	8,919	Grant
Germany: Integrated Coastal Management Program	Germany: ICMP	2016001744	8,487	Grant
Germany: Strategic Mainstreaming of Ecosystem-based Adaptation in Vietnam	Germany: EBA	2014011181	4,572	Grant
Australia: Partnership for Equitable Resilience to the Impacts of Climate Change of the Coastal Communities in the Deltas of Vietnam	Australia: PRC	2012000178	1,123	Grant
Australia: Vietnam Child-Centered Climate Resilience	Australia: CCCR	2012000365	1,284	Grant
USA: Red River Delta Adaptation and Youth – Clean Productive Environment (READY)	USA: READY		259	Grant
Assessed climate-related commitments (USD thousands)			2,401,171	
Total climate-related commitments 2013-2017 (USD thousands)			6,130,000	
As a percentage of national climate			39%	

Table 2: List of selected projects. Note: The top 10 projects in the table are the 10 largest.

The adaptation (and mitigation) relevance of a development project is assigned by most donors by allocating a 'Rio marker' to a project of 0, 1 or 2 to indicate an objective was "not targeted", a "significant" objective, or a "principal" objective, respectively. A "significant" marker would indicate adaptation and/or mitigation objectives are explicitly stated but not the fundamental driver or motivation for undertaking and designing the activity. Whereas a "principal" marker shows that the objectives are explicitly stated as fundamental in the design of, or the motivation for, the activity. Additionally, donor countries have the obligation to inform at project level about policy markers for gender equality.

Rio markers are applied to relevant projects by all developed country providers of ODA and climate finance, and also by multilateral organisations other than the MDBs. Importantly these Rio markers are the basis for the calculation of international flows of climate finance using the so-called 'Rio marker method' of climate finance accounting – which is utilized by all providers excluding the US, UK and MDBs. Through the Rio marker method, Rio markers of 2 result in 100% of a project's developmental budget being considered

as climate finance, whilst Rio markers of 1 result in lower coefficients being used by almost all donors to report only a portion of the project's budget as climate finance. Where projects are assigned both mitigation and adaptation markers, i.e. cross-cutting projects, a variety of climate finance accounting methods are used by different donors to determine levels of provided climate finance going to each objective.[15]

Whilst bilateral and some multilateral donors report Rio markers to the OECD, this is not the case with the MDBs who have their own "climate components" method of calculating the climate finance resulting from their projects. The method is published, in part, in their annual *Joint Report on Multilateral Development Banks' Climate Finance* and *Common Principles for Climate Change Adaptation Finance Tracking* documents. The method results in a granular percent figure indicating the climate-relevance of a given project, and the portions of its budget going towards adaptation and mitigation budgets. For adaptation finance, the amounts reported by the MDBs are only the incremental cost of adaptation within the project.

Due to the limitations of international estimates of climate finance when calculated using a simple and limited set of coefficients relating to combinations of Rio markers, our approach, outlined below, builds on and adapts existing methodologies such as the MDBs. Allowing assessments to produce adaptation finance figures and assess the relevance and quality of an adaptation project's activities.

To assess a selection of adaptation projects, the quality of their activities and resuling accuracy of their reporting the team selected 23 projects for assessment, including the 10 largest reieved over the period in Vietnam. The team then followed a multi-step process, which drew on a compilation and analysis of international climate finance flows to Vietnam. The methodology follows a 3-step approach analysis informed by the MDB's jointly agreed "Common Principles for Climate Change Adaptation/Mitigation Finance Tracking" to assess the adaptation-relevance of development projects, which includes 3 guiding strands, or steps:

(1) Climate vulnerability context: How well does the project set out the context of risks, vulnerabilities and impacts related to climate variability and climate change?
(2) Statement of Purpose or Intent: Is the intent of the project to address the identified risks, vulnerabilities and impacts related to climate variability and climate change?
(3) Link to Project activities: Is there a demonstrated direct link between the identified risk, vulnerabilities and impacts, and the financed activities?

Project activities were rated based firstly on the project documentation, and, where possible, also by the collective observations of the Assessment Team and collaborating CSO networks. These two sources of evidence result in two strains of analysis. In this way, a comparison between the planned and actual initiatives can be established and used to inform our analysis of the quality of adaptation activities.

A rating scale of 0-10 was applied to assess how strongly the project performs against each of the three analysis steps. With 0 being the lowest rating, indicating the project does not at all address the guiding questions and 10 being the highest rating which indicates the project fully address all aspects of the guiding questions. The resulting project rating after the 3-step analysis was then used to produce an adaptation-relevance coeffient, as pesented in Section 4.5, which allows the calculation of adaptation finance figures from a project's total climate finance figure. Allowing the comparison of this report's assessed adaptation finance figures with those reported by the donors themselves to the OECD-DAC.

The majority of adaptation projects selected for this report, and in developmental projects in Vietnam in general, focus on the Mekong Delta. In the near future, Vietnam should strive to balance support for adaptation in the Mekong with projects in mountainous areas where the poorest and vulnerable ethnic

[15] See the OECD's "Results of the first survey on coefficients that Members apply to the Rio marker data when reporting to the UN Conventions on Climate Change and Biodiversity" for more details on accounting methods: http://www.oecd.org/dac/financing-sustainable-development/Results%20of%20the%20first%20survey%20on%20coefficients%20that%20Members%20apply%20to%20the%20Rio%20marker%20data%20when%20reporting%20to%20the%20UN%20Conventions%20on%20Climate%20Change%20and%20Biodiversity.pdf

minorities live, as well as in the Red River Delta, which is a typhoon hotspot and where livelihood strategies are sensitive to climate change.

4.2 CLIMATE VULNERABILITY CONTEXT

The first step of the assessment was to assess the climate vulnerability context, which analyses *how well the project sets out the context of risks, vulnerabilities, and impacts related to climate variability and climate change.* For the most part, the climate vulnerability context of the projects is clearly laid out in the project documents, with 15 projects scoring at least 7 out of 10 in Step 1 of our analysis, meaning that projects "addressed nearly all aspects of the guiding questions" (see Table 3). For example, the project should clearly describe the socio-economic, geographic, and climate context of the project area. Furthermore it should draw links between the projected climate scenario and its impacts on the region's socio-economic situation, land use, infrastructure, or other sector. The justification for implementing adaptation projects should be described in terms of four main areas: 1) geographic vulnerability, 2) climate hazards, 3) vulnerable sectors and groups, and 4) the communities' and institutions' capacity and assets for adaptation.

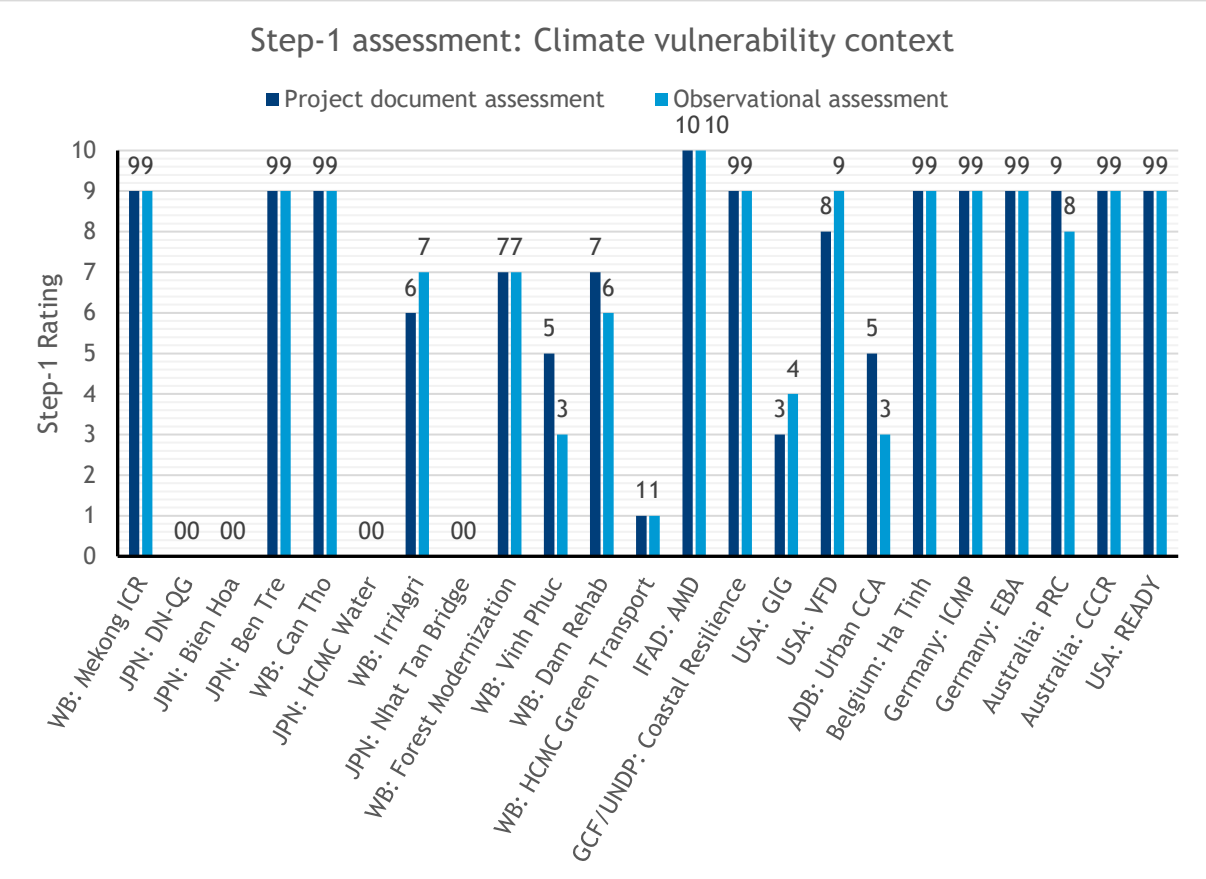

Figure 4: Analysis of climate vulnerability context

As shown in Figure 4, the team's observations show their agreement with most assessments of project documents, that the areas are vulnerable to climate change, and that there is a need for adaptation assistance. In all but two cases, the team gave the same ratings, or were within one point of the same rating, for the climate vulnerability context being adequately demonstrated according to both the project documents and their observations. There was an average score of 7.6 based on the team's assessment, excluding the 4 projects scored 0 and committed by Japan.[16]

[16] The four commitments from Japan scored 0 throughout this assessment include: North-South Expressway Construction Project; Bien Hoa City Drainage and Wastewater Treatment Systems; Second HCMC Water Environment Improvement Project (III); and Nhat Tan Bridge (Vietnam-Japan Friendship Bridge) Construction

For some of the projects rated lower than 7, the main objectives were something other than climate change adaptation, and therefore the climate change vulnerability context was not as clearly defined or comprehensive. For example, the World Bank's Ho Chi Minh City Green Transport Development Project focused more on sustainable transportation or reducing emissions. In the case of another project that scored a 6 for this step, the team found that the project did not fully take into account the local context of risks, vulnerability, and impacts related to climate change. The project document covered the overall national context, when instead it would have benefited from a more thorough analysis of the local and provincial components. This then impacted the effective implementation of the project.

Important considerations leading to project ratings included whether there was a concrete context of climate vulnerability. For example, only some projects mentioned a linkage with other climate-related programs as part of their context. In other cases, climate change is not a fundamental driver of the project, or the program statement is not relevant to climate change. Scoring within the 3-step method involved a project assessment and observational source.

4.3 STATEMENT OF PURPOSE OR INTENT

The assessment team analysed how fully each project addressed the identified risks, vulnerabilities and impacts related to climate variability and climate change. The team looked at whether climate change adaptation or resilience was a fundamental driver of the project's objective. It also looked at whether the project objective and main strategy were in line with the government's climate change strategy or policies. Similar to Step 1, all projects scored at least a 7 out of 10, excluding the project provided by Japan which were scored 0. According to the project documentation and observations, the projects addressed nearly all of these climate change risks with an average score of 7.5 for the team's assessment. This means the projects were, on average, relevant to climate change adaptation, or they may have had a secondary objective (e.g. water management, infrastructure, etc.) while still contributing greatly to adaptation and improving resilience.

The READY project identified the need to strengthen local capacity to implement climate change adaptation activities, and the project targeted youth groups as a local population to strengthen community resilience. The AMD project identified salinization and its impact on local livelihoods as an urgent adaptation need, and the project's objective addressed this by supporting sustainable rural financial services and new knowledge on climate-smart agriculture.

For the projects that scored lower than 7, this was due to the fact that the main purpose or intent of the projects was something other than climate change adaptation. That is, climate change has been mainstreamed so that there are adaptation co-benefits in projects for which adaptation is not the main focus. This is true for those projects that have conducted good vulnerability analyses and integrated adaptation interventions accordingly. For the Vinh Phuc project, the impacts are not clear, and activities are focused on flood risk management rather than climate adaptation. The two projects that scored 5 (the Green Transport project and the Vietnam Dam Rehabilitation and Safety Improvement project) focused instead on sustainable transport and improving infrastructure safety, respectively. Together these two projects have a total developmental budget of USD 470.5 million according to their documentation, which leads to climate and adaptation co-benefits. These co-benefits are reported within OECD reports, with the climate-related total of the two projects budgets totalling USD 241 million (no adaptation-related commitment was provided to the OECD for either project). However, when taking into account the projects' effectiveness with specific regards to adaptation, based on this report's 3-step method, the budget going towards adaptation is reduced to less than USD 100 million, or only 41% of the stated climate-related budget.

Project (III). These projects have been excluded from all averages so as to not overtly influence the ratings of other donors.

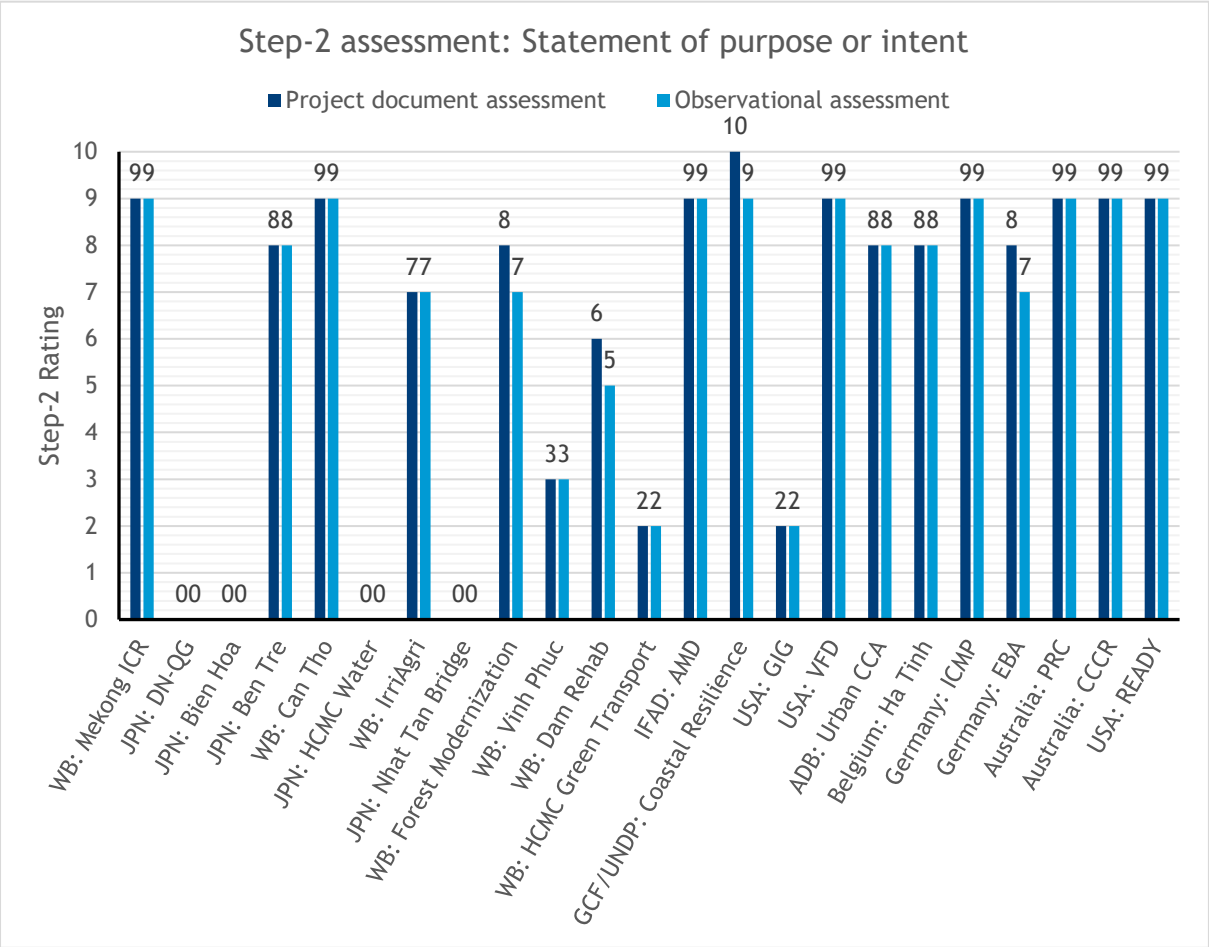

Figure 5: Analysis of statement of purpose or intent- summary of project ratings.

An important factor is whether projects began with a climate vulnerability assessment, which provide a basis for a strong project design that addresses the identified needs. For example, as described in Box 1 below, the VFD project scored 27 in the 3-step process and produced a strong initial vulnerability analysis which fed into its statements of purpose and intent, and the team estimated its adaptation-relevant coefficient as 90% of the reported climate-related budget.

4.4 LINK TO PROJECT ACTIVITIES

This part of the analysis examined how clearly the project's financed activities were linked to the identified climate vulnerabilities. The assessment team specifically reviewed how the interventions actually supported adaptation and how well the project collaborated with local institutions and other organisations. The 20 projects with scores above 0 had an average of 7.4 for this step, meaning they demonstrated clear links between climate change vulnerabilities and the financed activities. Again, the lower-rated projects were those that primarily addressed concerns other than climate change adaptation, i.e. Green Transport, the Dam Rehabilitation and Safety Improvement, and good governance projects.

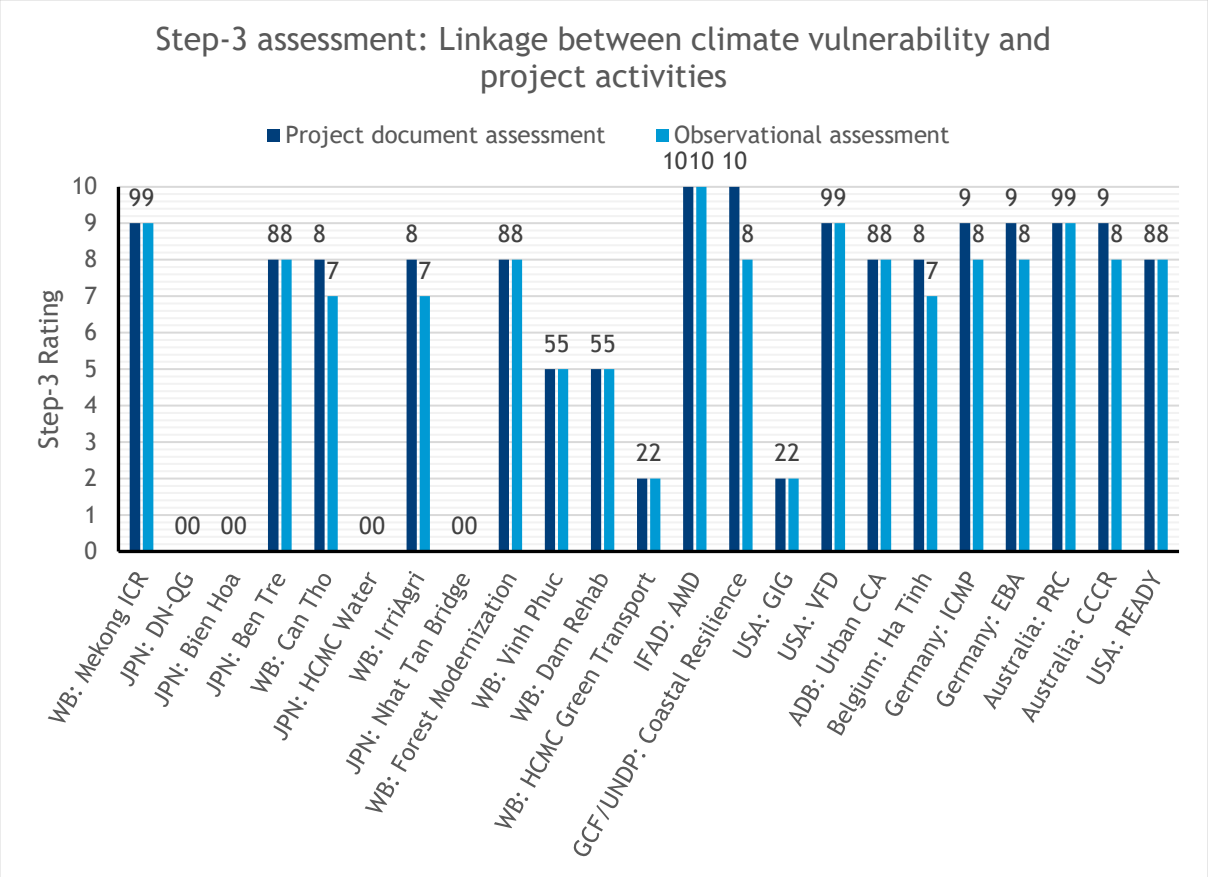

Figure 6: Analysis of the linkage between climate vulnerability and project activities

On the other hand, the IFAD-funded Project for Adaptation to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh provinces (AMD Project) consistently scored well in terms of adaptation effectiveness. The activities provided significant benefits for an estimated 125,000 poor rural people in 30,000 households. The beneficiaries have improved capacity building and access to credit, while the communities have improved climate-informed planning, technology transfer, upgraded infrastructure, and co-financing of investment in their farming operations. Feedback from project officers and community members showed that the AMD project contributed to the creation of other funds to support local adaptation, including an infrastructure fund for transportation; a government co-financing mechanism to support livelihoods; and a public-private cooperation fund to help create a new zone for clean production. Climate resilience increased due to enhanced training and skills for natural disaster risk reduction, and local incomes saw a remarkable increase to VND 39 million per person, compared to VND 17.5 million per person in 2014.

Rating a 7 for this step, the Ha Tinh project supported the resilience of Ha Tinh city through institutional capacity building for urban development planning, particularly focusing on integrated water management to reduce flooding risks. The project intervention helped to improve institutional capacity related to climate change, integrated water resource management, and urban planning. It improved cooperation and coordination, and a comprehensive climate change strategy is now in place. The READY project scored an 8 and helped to improve the capacity of community members, particularly youth groups, and local institutions to adapt to climate change through training, workshops and a demonstration project.

The Vietnam Child-centered Climate Resilience Program (CCCR) was funded by DFAT and implemented by Save the Children, Plan International, and local counterparts. The program aimed to build the adaptive capacity of children and their communities in Vietnam to manage the impacts of climate change. This project illustrates how a strong link between project activities and identified vulnerabilities result in effective adaptation. The assessment estimates that 87% of the project budget was adaptation-relevant finance.

There were some inadequacies with regards to the interventions, such as insufficient inclusiveness (e.g. engaging youths who had left schools) and working with community members and government officers to better sustain impacts. Projects also need to make stronger linkages between climate change adaptation and better address gender issues.

BOX 4: TRACKING CLIMATE ACTION - ADAPTATION TO CLIMATE CHANGE IN THE MEKONG DELTA IN BEN TRE AND TRA VINH PROVINCES (AMD PROJECT)

The farmers of Thua Duc Commune face water shortages for their crops. This problem, in addition to saline intrusion and soil erosion, is exacerbated in the dry season, which now lasts longer than usual due to climate change. The AMD project's objective is to build the adaptive capacity of individual farmers, communities and institutions in the Mekong Delta to better contend with climate change risks. The approach is to improve participatory planning, policy formulation and facilitating adaptive change. This is accomplished through sustainable rural financial services and strategic government co-financing for investing in climate resilient livelihoods at the household and community levels.

In early 2018, climate change awareness and training workshops were organized and supported by IFAD, which introduced different resilient farming methodologies. The drip irrigation system was one such model introduced by the commune officers. Interested farmers formed a collaborative group consisting of 13 members, of which 8 members and their households are in poverty. The group members contribute to a revolving fund that is used for the operation and maintenance of the irrigation systems, and for any member who is disadvantaged.

Reducing the wastage of water allows the farmers to better prepare for the impacts of climate change and the longer dry seasons. Using a drip irrigation system also allows the farmers to diversify their crops and rotate crops according to the seasons. This reduces the reliance on one crop as the only source of income and the associated risks. Farmers have constructed the irrigation system in such a way that it draws water from a well not more than 4 m deep. This well collects rainwater and is kept shallow so as to prevent saline intrusion. Notably, the irrigation system is constructed by farmers and can be supported via the infrastructure investment foundation established by AMD.

The farmers received VND 340 million (approximately USD 15,000) from AMD to install the irrigation system in each of their farms, while each group member contributed towards the purchase of seedlings. Investing in irrigation systems that will save water in areas experiencing longer dry seasons will not only have a direct positive impact on the farmers' incomes but also on their health. In addition, there are many positive knock-on effects for the entire village.

This system has reduced the number of people and work hours required to water the crops, and using the irrigation system does not damage crops as the old method did. The collaborative group meets regularly to share information on farming techniques and new ideas, such as using damaged crops for goat feed and using crop residues to produce bio fertilizer, which helps to save money on fertilizer costs.

Source: Radheeka Jirasinha, Consultant, Environment, Climate, Gender and Social Inclusion Division and the Asia-Pacific Division, IFAD

4.5 CONSOLIDATED 3-STEP RESULTS

This section details the consolidated 3-step rating of each of the assessed 23 projects, to determine the extent to which each project targets adaptation, as presented in the formation of adaptation-relevance coefficients outlined in Figure 7. The produced adaptation-relevance coefficients are then used to estimate the levels of adaptation finance flowing to Vietnam from the assessed projects climate-related commitments. In addition,Table 7 then examines how donor assigned Rio markers compared to the assessment team's views, based on both project document and observational analysis.

Aggregating the scores for Steps 1-3 above, the team's assessment based on observations tracked fairly closely with scores given based on the review of project documents. Most of the scores were exactly the same, or differed by only 1 point. This illustrates how, of the assessed projects, the project documents fairly accurately described the climate vulnerability context, project intent, and link to project activities. The largest difference was 3 points (29 from project documents vs 26 from observations), for the project funded by UNDP/Green Climate Fund: Improving the Resilience of Vulnerable Coastal Communities to Climate Change-related Impacts in Vietnam. For the GIG USA project, both adaptation and mitigation markers have been adjusted, mitigation from 2 to 1 and adaptation from 2 to 0 by the assessment team. Climate change is not a fundamental driver of the project, and no activities are directly related to addressing adaptation needs in the area. The total score from the 3-step method is 7 according to project documents, and 8 according to the assessment team's observations.

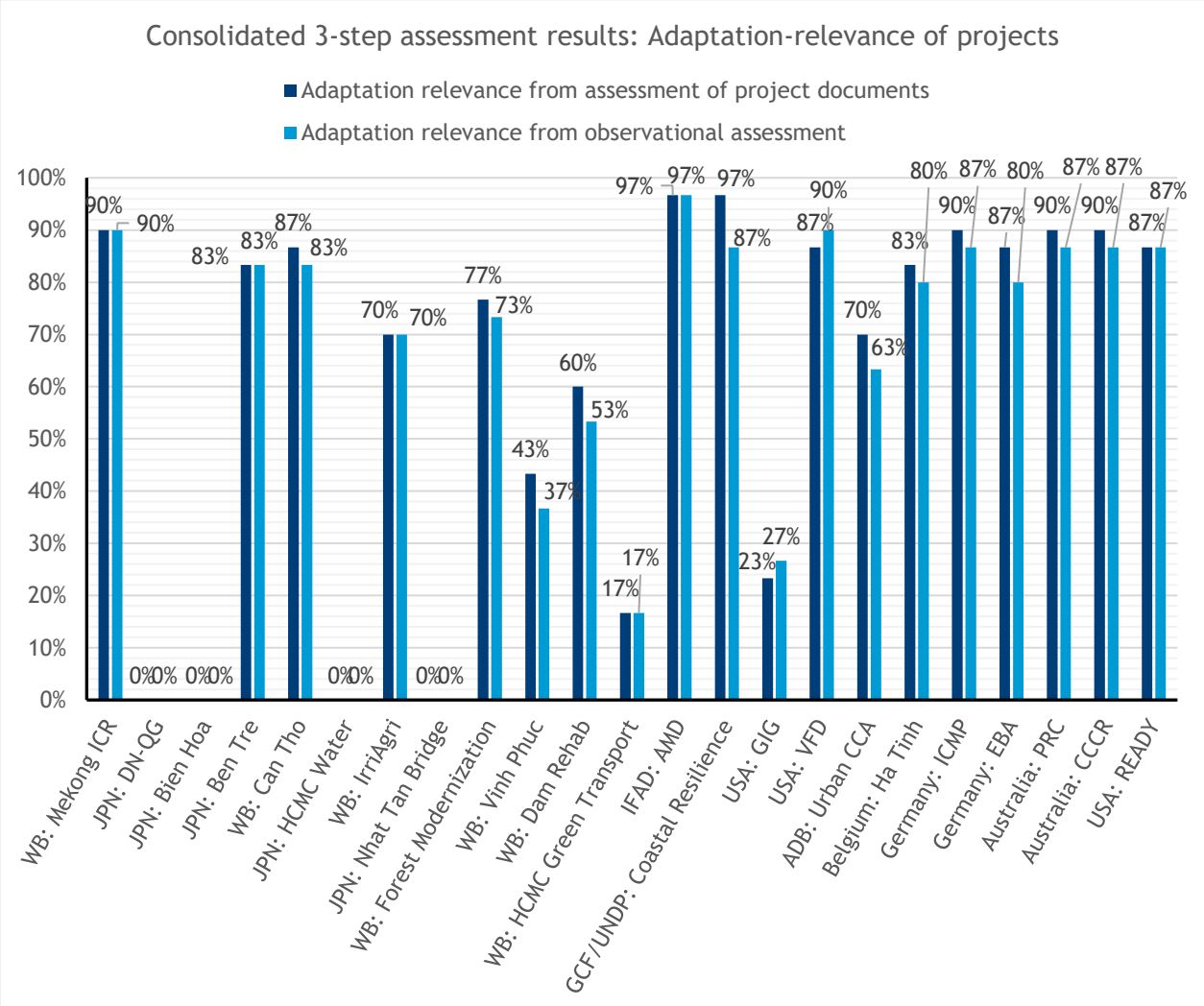

Figure 7: Consolidated 3-step assessment results: Adaptation-relevance coefficients of projects.

4.6 COMPARISON OF REPORTED AND ASSESSED ADAPTATION FINANCE

The coefficients in Figure 7 allow the climate-relevant budget of each assessed project to be adjusted with regards to their assessed adaptation relevance, further allowing a comparison of adaptation finance figures reported by donors and estimated in this report. These comparative figures are presented in Table 6 below.

Project Name	Rio markers		Financial commitments reported to OECD (thousand USD)		Assessed adaptation-related commitments (thousand USD)	
	Adaptation	Mitigation	Climate-related finance	Adaptation-related finance	From project document assessment	From observational assessment
1. WB: Mekong Delta Integrated Climate Resilience and Sustainable Livelihoods Project	n/a (MDB)	n/a (MDB)	310,000	291,400	279,000	279,000
2.Japan: North-South Expressway Construction Project (DN-QG)(II)	1	0	282,282	282,282	0	0
3. Japan: Bien Hoa City Drainage and Wastewater Treatment Systems	1	0	227,635	227,635	0	0
4. Japan: Ben Tre Water Management Project	1	0	223,552	223,552	186,293	186,293
5. WB: Can Tho Urban Development and Resilience	n/a (MDB)	n/a (MDB)	203,450	203,450	176,323	169,542
6. Japan: Second HCMC Water Environment Improvement Project (III)	1	0	192,707	192,707	0	0
7. WB: Vietnam Irrigated Agriculture Improvement Project	n/a (MDB)	n/a (MDB)	153,493	153,493	107,445	107,445
8. Japan: Nhat Tan Bridge (Vietnam-Japan Friendship Bridge) Construction Project (III)	1	0	149,669	149,669	0	0
9. WB: Forest Sector Modernization and Coastal Resilience Enhancement Project	n/a (MDB)	n/a (MDB)	147,507	72,632	113,089	108,172

Project Name	Rio markers		Financial commitments reported to OECD (thousand USD)		Assessed adaptation-related commitments (thousand USD)	
	Adaptation	Mitigation	Climate-related finance	Adaptation-related finance	From project document assessment	From observational assessment
10. WB: Vinh Phuc Flood Risk and Water Management Project	n/a (MDB)	n/a (MDB)	133,320	133,320	57,772	48,884
11. WB: Vietnam Dam Rehabilitation and Safety Improvement Project	n/a (MDB)	n/a (MDB)	122,553	122,553	73,532	65,362
12. WB: Ho Chi Minh City Green Transport Development	n/a (MDB)	n/a (MDB)	118,521	23,704	19,754	19,754
13.IFAD: Project for Adaptation to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces	2	0	30,642	30,642	29,621	29,621
14. GCF/UNDP: Improving the Resilience of Vulnerable Coastal Communities to Climate Change Related Impacts in Vietnam	2	1	29,523	29,523	28,539	25,587
15. USA: Governance for Inclusive Growth	2	2	22,832	11,416	5,327	6,089
16. USA: Vietnam Forest and Deltas	2	2	19,597	9,799	16,984	17,637
17. ADB: Urban Environment and Climate Change Adaptation Project	n/a (MDB)	n/a (MDB)	9,244	9,244	6,471	5,855
18. Belgium: Integrated Water Management and Urban Development in Relation to Climate Change in Ha Tinh Province	2	1	8,919	8,919	7,433	7,135

Project Name	Rio markers		Financial commitments reported to OECD (thousand USD)		Assessed adaptation-related commitments (thousand USD)	
	Adaptation	Mitigation	Climate-related finance	Adaptation-related finance	From project document assessment	From observational assessment
19. Germany: Integrated Coastal Management Program	2	0	8,487	8,487	7,638	7,355
20. Germany: Strategic Mainstreaming of Ecosystem-based Adaptation in Vietnam	2	0	4,572	4,572	3,962	3,658
21. Australia: Partnership for Equitable Resilience to the Impacts of Climate Change of the Coastal Communities in the Deltas of Vietnam	2	0	1,123	1,123	1,011	973
22. Australia: Vietnam Child-Centered Climate Resilience	2	2	1,284	642	1,156	1,113
23. USA: Red River Delta Adaptation and Youth – Clean Productive Environment (READY)	2	0	259	259	224	224
Totals			**2,401,171**	**2,191,023**	**1,121,574**	**1,089,697**
			Over-reporting		**1,117,605**	**1,145,173**
			Under-reporting		**48,156**	**43,849**

*Table 6: Implications of adaptation finance- comparing reported and assessed adaptation finance figures.*Adaptation-related finance sourced from the OECD has been adjusted for each donors specific Rio marker 1 coefficient, where possible. When not possible, it has been calculated using a 40% coefficient. For MDB projects that do not apply Rio markers, the stated amount is the "Adaptation-related development finance" figure as reported by the donor to the OECD*

In total the team assessed 2.4 billion USD of climate finance across the 23 projects, amounting to 39% of total climate-related commitments received in Vietnam between 2013-2017. Of this total, 2.19 billion USD was reported by donors as finance for adaptation objectives.

The team finds that a significant portion of adaptation finance reportedly received in Vietnam has been innacurately and over-reported. From the analysis of project documents, over-reporting relating to the 23 assessed projects totaled 1.12 billion USD, or 51% of the adaptation finance reported by donors as targeting adaptation activities in Vietnam. With both of these figures slightly higher when resulting from the observational analysis. The overwhelming contributors to the produced over-reporting figure is a result of four projects committed by the Japanese International Coperation Agency (JICA), namely: the North-South

Expressway Construction Project (DN-QG) (II); the Bien Hoa City Drainage and Wastewater Treatment Systems project; and the Nhat Tan Bridge (Vietnam-Japan Friendship Bridge) Construction Project (III).

The team finds that the entire climate-relevant budgets of these four large infrastructure projects have been innacurately reported as both climate- and adaptation-relevant finance. This amounts to 852 million USD of over-reported adaptation finance. All four projects were Rio marked "significant" (1) for adaptation whilst having no adaptation-relevance. This results in such a significant contribution to the figures on over-reported adaptation finance as Japan remains as one of the few developed country providers of climate finance to maintain a Rio marker 1 coefficient of 100%. In calculations of climate and adaptation finance, a 100% coefficient means that projects which have a Rio marker of "1", indicating that adaptation is one of multiple objectives, are in fact reported with their entire climate-relevant budget contributing towards adaptation finance totals. In contrast, the majority of other donors use coefficients ranging from 30-50%.

Due to the inability of the assessment team to access project documentation from JICA for the 4 large infrastructure project, it was difficult for the team to analyse, score, and assess their adaptation-relevance. However, based on direct correspondence with the JICA climate change team, these projects were stated to be non-adaptation-relevant. Thus, based on this information, and the guidance offered in the OECD's Annex 18 with regards to infrastructure projects such as those in road costruction, and such projects' ability to be adaptation-relevant, the assessment team recommends both adaptation finance totals and adaptation Rio markers of 0 for the relevant JICA projects.

A fifth infrastructure project committed by Japan and assessed in this report, the Ben Tre Water Managmenet Project, resulted in an additional 37 million USD of over-reported adaptation finance. As a result, JICA is responsible for 890 million USD, or 80%, of this report's estimated over-reporting of adaptation finance.

OVERREPORTING OF CLIMATE ADAPTATION FINANCE: JAPAN

Of the 2.19 billion USD of assessed adaptation finance, the team estimates that 890 million USD can be considered as over-reported by JICA. This equates to 80% of the assessed over-reported adaptation finance in this report, 55% of total adaptation finance committed by Japan to Vietnam from 2013-2017, and 27% of the high-end estimate of total adaptation finance committed to Vietnam by all donors throughout 2013-2017.[a] Highlighting the high potential impact of donor reporting methods on figures of provided and received climate and adaptation finance. The over-reporting figure can be attributed to Japan's reporting of 100% of the total climate-related finance as adaptation-relevant, regardless whether the Rio marker score is 2 or 1. Disregarding what should be a considered distinction between Rio markers of 2 and 1 reduce the possibility of accurate climate finance figures.

[a] *The figure of 27% is stated as a high-end estimate of received adaptation finance in Vietnam as the figure is not adjusted for donors Rio marker coefficients and accounting methods. It is therefore a conservative estimate which significantly over-estimates received totals.*

For the largest project in this assessment, the World Bank's Mekong Delta Integrated Climate Resilience and Sustainable Livelihoods project, documents and team observations both estimate the adaptation relevance coefficient, and resulting adaptation finance figure, to be 90% of the total climate-related budget, or 279 million USD. In general, our analyses through project document analysis and observational analysis are in agreement. Yet for WB activities such as the "Can Tho Urban Development and Resilience" project, "Forest Sector Modernization and Coastal Resilience Enhancement" project, "Vinh Phuc Flood Risk and Water Management" project, "Vietnam Dam Rehabilitation and Safety Improvement" project – observational assessments consistently estimate lower levels of adaptation finance than those resulting from project document analysis. Such a shortfall could indicate that numerous adaptation objectives are outlined and presented in project design, yet less prominent in implementation or initial results.

The team also assessed 1 billion USD of WB provided adaptation finance, across 7 projects. The team found 827 million USD, or 82%, to be adaptation-relevant. As a result the team finds that 214 million USD of adaptation finance has been over-reported by the WB in 6 projects, according to project document analysis, namely: "Vinh Phuc Flood Risk and Water Management Project"; "Vietnam Dam Rehabilitation and Safety Improvement Project"; "Vietnam Irrigated Agriculture Improvement Project"; "Can Tho Urban Development and Resilience"; "Mekong Delta Integrated Climate Resilience and Sustainable Livelihoods Project"; and "Ho Chi Minh City Green Transport Development". Whilst the "Forest Sector Modernization and Coastal Resilience Enhancement Project" was found to be under-reported. Alongside over-reporting from Japan, over-reporting from the WB forms the majority of over-reported finance estimated in this report. Together these two providers over-reported upwards of 1.1 billion USD of adaptation finance to Vietnam, or nearly 99% of the adaptation finance found in this report.

The total amount of climate finance provided in loans for the projects included in the assessment comes to 2 billion USD, out of a total 2.41 billion USD. As a developing country and among the most vulnerable to climate change, Vietnam needs more support for poor communities for adaptation, without the incursion of debt. For the greatest impact, this funding should be decentralized to communities. Loans for adaptation is an issue of social justice, and countries are unable to get out of the poverty trap when any development gains must be put back into taking on loans to address climate risks.

4.7 COMPARISON OF REPORTED AND ASSESSED RIO MARKERS

The assessment then moved on to compare the Rio markers reported by donors to the OECD with the markers assigned by the assessment team. The scoring system consists of three values, in which official development aid activities reported to OECD are given a score of 2 (where, in this case, adaptation is the project's "principal" objective); a 1 (adaptation is a "significant" objective), or a 0 (adaptation is "not an objective" of the project). These markers indicate donors' policy objectives in relation to each development finance activity.[17] It should also be noted that the MDBs have their own method for attributing climate relevance, and therefore the projects funded by MDBs do not have donor allocated Rio markers in Table 6.

Eight projects assigned Rio markers for adaptation of 2, five projects scored 1, and 11 did not report Rio markers, due to being MDB projects who utilize other methods to track climate-relevance. The assessment team agreed with seven of those eight projects marked as 2, and overall scored 13 projects with a 2. See Table 7 below for a summary of reported and observed Rio scores, along with the estimated amounts of adaptation financing for the project.

Project Name	Adaptation Rio marker		Mitigation Rio marker		Gender equality marker	
	Donor	Assessed	Donor	Assessed	Donor	Assessed
WB: Mekong ICR	n/a (MDB)	2	n/a (MDB)	0	n/a (MDB)	1
JPN: DN-QG	1	0	0	0	-	-
JPN: Bien Hoa	1	0	0	0	-	-
JPN: Ben Tre	1	1	0	0	-	-
WB: Can Tho	n/a (MDB)	1	n/a (MDB)	1	n/a (MDB)	1
JPN: HCMC Water	1	0	0	0	-	-
WB: IrriAgri	n/a (MDB)	1	n/a (MDB)	0	n/a (MDB)	1
JPN: Nhat Tan Bridge	1	0	0	0	-	-

[17] OECD. Annex 18: Rio Markers, *OECD DAC Rio Markers for Climate: Handbook*. https://www.oecd.org/dac/environment-development/Revised%20climate%20marker%20handbook_FINAL.pdf

Project Name	Adaptation Rio marker		Mitigation Rio marker		Gender equality marker	
	Donor	Assessed	Donor	Assessed	Donor	Assessed
WB: Forest Modernization	n/a (MDB)	2	n/a (MDB)	1	n/a (MDB)	1
WB: Vinh Phuc	n/a (MDB)	1	n/a (MDB)	0	n/a (MDB)	1
WB: Dam Rehab	n/a (MDB)	1	n/a (MDB)	0	n/a (MDB)	1
WB: HCMC Green Transport	n/a (MDB)	0	n/a (MDB)	1	n/a (MDB)	1
IFAD: AMD	2	2	0	0	-	1
GCF/UNDP: Coastal Resilience	2	2	2	1	1	1
USA: GIG	2	0	2	1	1	1
USA: VFD	2	2	2	2	1	1
ADB: Urban CCA	n/a (MDB)	1	n/a (MDB)	0	n/a (MDB)	1
Belgium: Ha Tinh	2	2	1	0	1	0
Germany: ICMP	2	2	0	0	1	1
Germany: EBA	2	2	0	0	0	0
Australia: PRC	2	2	0	0	1	1
Australia: CCCR	2	2	2	0	0	0
USA: READY	2	2	0	1	1	0

Table 7: Donor and assessment team Rio markers.

The assessment team found sufficient information to grade 18 of the projects using the OECD gender equality policy marker . Five were appraised as having a zero score and 13 as having a 1. Both this and the observed over-marking on the available official scores, suggest a low integration of gender in the projects overall. This will limit the overall impact of the projects.

5. ANALYSIS OF POVERTY ORIENTATION, GENDER, AND THE JOINT PRINCIPALS FOR ADAPTATION

5.1 POVERTY ORIENTATION

This next section of the assessment aims to determine the performance of the selected projects with regards to poor communities, and levels of project orientation towards poverty reduction within their design and implementation. Four guiding questions directed the poverty assessment, each measured using the 10-point scale utilized in the 3-step adaptation assessment for consistency. The scores for each assessment variable were summed, with a highest possible score of 40. The guiding questions looked to determine the levels of: i) poverty orientation within the project design; ii) prioritization of poor communities, regions, or ethnic groups; iii) the application of Human Rights Based approaches; and iv) evidence of poverty orientation in project implementation.

The 19 assessed projects have varied emphasis and orientation towards poverty reduction. The GiZ-funded Strategic Mainstreaming of Ecosystem Based Adaptation (EBA) in Vietnam Project received the lowest rating of 11 as it focuses on capacity building for the government agencies and supporting integration of EBA into the policy process. The AMD Project received the highest rating of 38 as it was implemented in areas with high levels of poverty and included a range of funding mechanisms which were effective in improving the livelihoods of poorer families. The mean poverty rating for all projects was 26. There was a

positive correlation between those projects which have a strong poverty orientation in their contextual analysis and objectives and those which show strong poverty orientation in their implementation.

Those projects focusing on infrastructure generally scored lower, while projects specifically targeting communities scored the highest. However, the World Bank Irrigated Agriculture project included extensive consultation by government municipalities with poor, ethnic minority populations. This resulted in reduced impacts on these populations and overall the project was appraised as having a positive impact on poverty levels.

Most projects are implemented in areas with significant poverty, although none of the projects in the assessment target the pocket of most severe poverty in the northern mountainous areas and central highlands. For example, according to CGIAR's Vietnam poverty map in 2005[18], one third of the population in the provinces targeted in the Red River Delta is poor.[19] According to the WB poverty map, the pocket of the poor is in Northen mountainous areas and Central Highland. The program activities are appraised as being of significant value to poorer people whose livelihoods and dwellings are disproportionately affected by climate change impacts such as flooding and droughts. Similarly, the Promoting Climate Resilient Rural Infrastructure in Northern Mountain Provinces project focuses on communes with poverty rates as high as 42%. However, most projects do not focus specifically on the poorest or most remote communities, nor do they identify the numbers of poor people they would reach. In most cases, project implementation is slow and so it is not possible to appraise their impact on the poor in implementation.

The projects' programme approaches are typically appraised as rights-based. For example the Red River Delta project focuses on empowering young people to improve their livelihoods and the Ha Tinh project empowers stakeholders including poorer communities to understand climate change impacts. The appraisal of project implementation provides a mixed picture. The Ha Tinh project supports a range of climate-smart livelihood activities and water resource management activities within a framework of supporting overall climate-smart policy and planning in the province. However, although the criteria included the most vulnerable groups and sectors, it was not clear how they were benefited and targeted in the action priorities. In the Mekong Delta (Ben Tre and Tra Vinh provinces) with the AMD project, the impact on the poor was appraised as more significant. Adaptation models are co-funded and have been

[18] http://www5.worldbank.org/mapvietnam/

[19] http://gisweb.ciat.cgiar.org/povertymapping/

Project Name	Poverty orientation assessment rating (0-40)
WB: Mekong ICR	27
JPN: DN-QG	not assessed
JPN: Bien Hoa	not assessed
JPN: Ben Tre	not assessed
WB: Can Tho	24
JPN: HCMC Water	not assessed
WB: IrriAgri	25
JPN: Nhat Tan Bridge	not assessed
WB: Forest Modernization	24
WB: Vinh Phuc	22
WB: Dam Rehab	27
WB: HCMC Green Transport	23
IFAD: AMD	38
GCF/UNDP: Coastal Resilience	34
USA: GIG	29
USA: VFD	29
ADB: Urban CCA	26
Belgium: Ha Tinh	31
Germany: ICMP	28
Germany: EBA	11
Australia: PRC	35
Australia: CCCR	29
USA: READY	32

Figure 5. Poverty orientation results

"helpful in creating jobs and income, and diversifying livelihood." The activities resulted in average increases in income of 30%, with many poor and nearly poor households involved in the scheme.

Several of the infrastructure projects involve resettlement. However, in all cases resettlement plans have been developed which identify measures to compensate affected households. For example, the Can Tho urban development and resilience project will require land acquisition affecting 4,539 households (about 17,700 persons), of which 1,814 would need to be relocated. The project's social aspects were identified and remedial measures to mitigate social risks are being designed on the basis of a Social Assessment. As the projects have not been completed, it is not possible to evaluate whether the resettlement plans will reduce negative impacts, including on poorer families and marginalised groups, like ethnic minorities.

5.2 GENDER EQUALITY AND ADAPTATION

This section presents the results from the assessment of gender within the selected projects, and aims to assess a project's effectiveness in mainstreaming gender into its design and implementation, or successfully involving transformative activities regarding gender equality within its design and implementation. As with the poverty analysis, there were four guiding questions leading the assessment, each measured using the 10-point scale. The scores for each assessment variable was summed, with a highest possible score of 40. The guiding questions saught to determine the project's orientation towards gender sensitivity by determining whether: i) the project was informed by an anlysis of gender differences; ii) the project was planned with indicators that imply the collection and analysis of both sex and age disaggregated data; iii) the project attempts to meet the distinct needs different genders; and iv) the project's interventions ensure the meaningful participation of different genders. CARE's gender analysis framework has been applied to assess the projects which critically appraises the degree of gender equality in the projects.

Unsurprisingly those projects appraised as having the lowest gender scores by the OECD gender marker also scored low in the CARE gender analysis. The CARE project team disagreed with the assigned gender marker scores for 3 of the 8 projects for which scores were available: CCCR, Ha Tinh and Ready. They gave OECD gender equality markers of zero for these projects based on review of project documents and conversations with project staff which indicated there was no or minimal analysis of differences across gender in program analysis and design. These projects also did not have gender specific activities or analysis of how the program would impact differently on different genders. Their scores in the CARE gender analysis were 8, 6 and 6 respectively.

Project Name	Gender integration assessment rating (0-40)
WB: Mekong ICR	24
JPN: DN-QG	not assessed
JPN: Bien Hoa	not assessed
JPN: Ben Tre	not assessed
WB: Can Tho	29
JPN: HCMC Water	not assessed
WB: IrriAgri	27
JPN: Nhat Tan Bridge	not assessed
WB: Forest Modernization	29
WB: Vinh Phuc	19
WB: Dam Rehab	26
WB: HCMC Green Transport	28
IFAD: AMD	22
GCF/UNDP: Coastal Resilience	28
USA: GIG	28
USA: VFD	24
ADB: Urban CCA	20
Belgium: Ha Tinh	8
Germany: ICMP	22
Germany: EBA	6
Australia: PRC	32
Australia: CCCR	19
USA: READY	6

Figure 6. Gender equality and adaptation results

The detailed gender ratings for the project and commentaries yield greater insights into gender issues. The projects reviewed scored a minimum of 6 for the USA: READY and Germany: EBA projects, and a maximum of 32 for gender orientation for the Australia Partnership for Resilience in Coastal Communities Project. The mean rating for gender orientation is 23. The results of the assessment show that climate-related projects vary from those that are gender sensitive and responsive to those that are insensitive to gender.

The World Bank and Australia projects reflect commitment towards gender equality by mainstreaming gender throughout their project cycle. These projects had strong gender analysis as part of the vulnerability context and the strongest ones incorporated gender specific activities and outcomes. However it was difficult to evaluate how they were implemented as final evaluation reports were not available.

There should be an explicit budget allocation for gender analysis and planning. The project progress should encompass the results relating to gender to reflect comprehensive and integrated achievements and to ensure real progress on gender equality. In some projects, such as those funded by the World Bank and ADB, gender analysis and gender action plans were conducted. However, the progress on gender issues was not captured in the reports.

BOX 5: TRACKING CLIMATE ACTION - *RICE FIELDS AND FLOWER BANKS INITIATIVE*

The Red River Delta Adaptation and Youth (READY) project contributes innovative approaches to the urgent challenge of responding to the climate change impacts in one of the two most important deltas of Vietnam. Along with the increasing negative impacts of climate change on the environment, it also appears to be having an outsized impact on the livelihoods of some of the most vulnerable among coastal communities in the Red River Delta. The project addressed the weak climate change adaptation capacity at district level and among the "invisible youth", often marginalized from adaptation initiatives.

The project was formed to equip passionate young people with the skills and opportunities to help their communities adapt to the threats posed by climate change. Beside engaging youth as active participants in developing the district climate change adaptation action plan, the project also invited them to propose adaptation initiatives focused on livelihoods. The project would then pilot the most promising initiatives in the area. Amongst the CCA initiatives proposed by youths, a number of them were considered applicable for a larger community scale and were approved for implementation. These included applying ecological technology in agriculture, improving water access, and improving water quality for aquaculture farming and domestic use.

The Rice Fields and Flower Banks initiative in Tay Tien commune, Tien Hai district, equipped farmers with new skills to plant a variety of flowers in rice fields. Planting flowers is an environmentally friendly form of pest control, since the flowers attract the natural enemies of rice pests and some types of flowers may also limit pest fertilization. As a consequence, the volume of pesticides is reduced significantly, along with farmers' expenditures on pesticides and spraying. Another benefit is that with the density of flowers, there is less space available for grasses and weeds to grow, so farmers also save on herbicides. This also contributes to soil quality conservation. These improvements from using biological pest control leads to an increase in the quality of the rice since there is less contamination from pesticides and herbicides, thereby increasing the health of both farmers and consumers. This approach does not increase rice productivity. However, since the rice is of a higher quality, farmers can command a higher price and their incomes increased.

Mr. Ngo Duy Huong, Chairman of the Tay Tien Commune People's Committee, said that READY has reduced farmers' production costs. By provided flowers free of charge, farmers spent 30-50% less on insecticides compared to previous seasons. Some farmers said that they used to spray insecticides 4-5 times per season, and now they spray only twice while maintaining an average yield of 6 tons of rice per hectare.

5.3 THE JOINT PRINCIPLES FOR ADAPTATION

The Joint Principles for Adaptation (JPA) were developed by civil society organisations across the world to summarise good practice standards for adaptation. Limited local validation necessitated the reliance of the team to project documents in rating the projects. Projects reviewed generally scored moderately and highly for the JPA, with only two scores of "not good" recorded.

As shown in Table 8, below, highest scores were consistently recorded for JPA principles C (engagement with government authorities) and D (building local resilience), with an average of 2.7 out of 3 across the

19 projects. Weaker scores were generally seen for JPA principle B (transparent use of funding). Projects that have high good ratings are the World Bank's irrigation project (IRI) and the Vietnam Forests and Deltas (VFD) project.

Field validation showed that communities have limited participation in the design and implementation of the different projects. Highest community engagement is observed to occur in projects that require resettlement and/or displacement of communities, as there were mandatory requirements for social assessment.

Projects that were strong in JPA principle A in utilizing a participatory and inclusive approach by consulting and engaging target groups in all stages of project design, implementation, and monitoring were more successful in implemented sustainable adaptation measures. Similarly, good integration with existing local institutions and ongoing programmes (JPA C) would also support sustainability. For example, the Partnership for Equitable Resilience to the Impacts of Climate Change of the Coastal Communities in the Deltas of Vietnam (the PRC project) was funded by DFAT and implemented by Oxfam, MDC and local counterparts. It aimed to increase the resilience of the most vulnerable people, especially women, living in coastal communities affected by the impacts of climate variability, change and disasters in in 31 target communities in Red River Delta and Mekong Basin Delta.

An important lesson learned is that beneficiary involvement in the selection of livelihoods-focused adaptation options is key, so that their needs are reflected, options come from the community's own prioritization of needs, and the livelihood selections are appropriate to their available resources. The project had an overall score of 27 in the 3-step process as scored by the assessment team's observations and adaptation finance was 87% of the total reported budget.

Vietnam should promote projects that have co-benefits on adaptation and mitigation, such as the USA-funded Vietnam Forest and the Delta (VFD) project. Such projects would contribute to both targets under the NDC. The projects that promote climate-smart agriculture also contribute to the Sustainable Development Goals on food security and agricultural resilience. They also reduce chemical fertilisers and pesticides, as well as save natural resources such as water supply.

	Not good	Moderate	Good
A. The formulation, implementation and monitoring of the (selected) adaptation project is participatory and inclusive.	0	15	4
B. Funds for the adaptation project are utilized efficiently, and managed transparently and with integrity.	0	16	2
C. Government sectors and levels of administration (related to the adaptation project) have defined responsibilities and appropriate resources to fulfill them.	0	6	13
D. The adaptation project is developed through approaches that build resilience of communities and/or ecosystems.	1	4	14
E. The resilience of target groups who are most vulnerable to climate change is promoted.	1	12	6
F. The adaptation project has an appropriate investment in the building of skills and capacities for adaptation, as well as in physical infrastructure.	0	10	9
G. The adaptation project responds to evidence of the current and future manifestations and impacts of climate change.	0	14	5

Total	2 Not good (Max = 140)	77 Middle (Max = 140)	53 Good (Max = 140)

Table 8: JPA summary of assessments. Note: The five JICA projects (DN-QG, Bien Hoa, Ben Tre, HCMC Water, and Nhat Tan Bridge) were not rated for JPAs, and the USA:READY project did not have a JPA B rating.

Generally, the implemented approaches were relevant to the poor but did not specifically target poor populations. A more explicit focus on women and girls in project analysis, design and implementation would increase benefits for these groups and enhance the overall impact on poverty. Grading against the JPA principles gave marks that were generally high or medium, reflecting the emphasis in project documents on capacity building of communities, the government, and other actors, and on building community resilience to climate change.

ANNEXES

ANNEX A: METHODOLGY FOR THE RESEARCH

The assessment team followed the methodology outlined in the Methodological Paper prepared by CARE Netherlands, CARE Denmark and partners.[20] The team then tailored the steps to fit the Vietnamese context, as described below.

- Step 1: Compile and analyse international adaptation finance flows to your country – this analysis was prepared by INKA Consult and formed the basis of Chapter 3: Overview on climate finance in Vietnam[21]
- Step 2: Assessment Team and Advisory Group – The team consisted of five members, and there were also five members of the Advisory Group. See Annex 2 below for a list of members.
- Step 3: Selection of 3 adaptation projects/programmes, applying the criteria for selection.
- Step 4: Accessing project/programme documents
- Step 5: Fill in the assessment questionnaire in Annex A. The team applied a rating scale of 0–10 to assess how the project performed against each of the three-step questions, based on the project documentation and on the assessment team's observations (see Table below).
- Step 6: Lesson learning from first three projects
- Step 7: Assessment of remaining projects
- Step 8: Writing a full adaptation finance tracking report for Vietnam

A. SELECTION OF CASE STUDIES

The 23 projects for this analysis were selected based on suggested criteria in the project guidance document. The assessment should include:

a) The ten largest adaptation projects by budget, with the inclusion of multilateral development bank-funded projects.
b) Ten other complementary adaptation projects. The team chose projects keeping the following criteria in mind:
    - Projects that reflect the knowledge base within the CSO networks (member organisations) and the assessment team
    - One or two projects having both Rio markers as principal objectives ("2, 2")
    - Projects with a large budget and no gender marker are especially relevant
    - Projects that member organisations of the CSO network consider it important to examine

The challenge with the selection of the projects is that it is difficult to know whether the project actually satisfies the assessment's criteria of "addressing adaptation" until the research has been undertaken. Therefore, there is a high-risk factor that a programme may be selected but then upon closer inspection, it may not be suitable.

[20] Roy, Christopher, Andrew Hattle and Hans Peter Dejgaard, 2019. "Methodological Paper: Pilot project on Adaptation Finance Tracking with CARE Netherlands, CARE Denmark and partners, 2 April 2019

21 INKA Consult, 2018. Vietnam Climate Adaptation International Finance – Brief Overview, 4 December 2018

Rating	Explanation
10	Project fully addresses all aspects of the guiding question(s) (and preferably corresponds to a sector example in Annex 18 regarding adaptation). This step is fully relevant for an adaptation project.
9	Project fully addresses all aspects of the guiding question(s) (and preferably corresponds to a sector example in Annex 18 regarding adaptation). This step is assessed positively as highly relevant for an adaptation project.
8	Project addresses nearly all aspects of the guiding question(s) (and preferably corresponds to a sector example in Annex 18 regarding adaptation). This step is assessed positively as relevant for an adaptation project.
7	Project addresses nearly all aspects of the guiding question(s) (and content for adaptation in Annex 18). It is likely that the project has a secondary objective (e.g. water management, infrastructure, etc.), but the project contributes greatly to adaptation/improving resilience.
6	Project addresses the majority of aspects of the guiding question(s) (and content for adaptation in Annex 18). It is likely the project has a secondary objective (e.g. water management, infrastructure, etc.), but the project contributes in the main to adaptation/improving resilience.
5	Project addresses only part of the guiding question(s) (and content for adaptation in Annex 18). It is likely that the project has another objective (e.g. water management, infrastructure, etc.) and the project only partly contributes to adaptation/improving resilience.
4	Project addresses only part of the guiding question(s) (and content for adaptation in Annex 18). It is likely that the project has another principal objective (e.g. water management, infrastructure, etc.) and the project only partly contributes to adaptation/improving resilience.
3	Project addresses less than half of the guiding question(s) (and content for adaptation in Annex 18). It is most likely that the project has another principal objective (e.g. water management, infrastructure, etc.) and the project only slightly contributes to adaptation/improving resilience.
2	Project does not address a majority of aspects of the guiding question(s) and only contain a few elements for being considered adaptation climate finance.
1	Project addresses minimal aspects of the guiding question(s) and only contains limited/minor elements that can be considered relevant as adaptation climate finance.
0	Project does not at all address the guiding question(s) (and content in Annex 18) and the project cannot be considered adaptation finance.

Table 9: Rating scale for the 3-step assessment

B. FRAMEWORK OF DOCUMENTS TO BE EVALUATED

As described in the project methodology, ideally the documentation would be available if organisations comply to the International Aid Transparency Initiative. After discussions, it was agreed that the project should aim to obtain the documents below. CARE in Vietnam wrote an official letter to the Donor/Implementing party to explain about the assessment purpose and requested the documents. By doing this, they are also aware that their project is selected for assessment. Several project documents have been obtained through programme websites with the support of CARE Denmark or through contacting the relevant parties and requesting the documents.

Document	Explanation
Pre-project document	In the initiation of most projects, a "pre-project" document will be produced. This will serve to lay out the aims and objectives of the project. In order to promote publicity and transparency, such documents are commonly available. Reviewing this document will provide key information about the intent of the programme.
Interim report	This document is commonly produced within programmes for the staff to understand how their programme is progressing. There are several benefits of being able to view this document: 1) It will reveal what progress was made within the programme 2) It will reveal any changes or moderations to the initially stated aims and objectives 3) On occasions, the monitoring and evaluation of the programme is in itself revealing. For example, should gender be an integral part of the pre-project

	document but not monitored and/or evaluated in the interim report, then this is, in itself, a significant finding. Although interim reports are sometimes available publicly, we should also be able to request them if they are not. Such reports do not normally contain sensitive or privileged information.
Final programme evaluation	Final programme evaluations should be generally available within the public domain. These may only be summary documents, but a more detailed account may be available on request. Once again, there will be value in understanding what the evaluations say, as well as in identifying what the documents do not address.
Finance report	It would be ideal if we were able to acquire financial reports from the implementing organisations. This would allow us to look at the ways in which money was prioritised and spent within the programme, and to identify key trends or targeted work areas. However, there was a major obstacle to obtaining these documents in that this information is not generally available within the public domain or at a minimum, not in any great depth. Financial reports are open to misinterpretation and/or contain sensitive market information; essentially there is little to be gained from an organisation releasing the minutiae of their programmes and therefore this was quite difficult to obtain even on request.

C. INFORMATION FROM SOURCES

Although these documents will give a significant outline to the project that additional steps should be taken to attempt to interview people involved with the programmes to gain additional information and insight into the programme. Using primary research in addition to document review offers a number of advantages.

The Assessment Team sees the advantage of a survey approach, which enables direct comparison of answers from different respondents or to make overall judgments about the environment. For this assessment, however, the team found it more suitable to request the Donor/Implementing Party to provide two key project informants for an interview, one man and one woman, who benefited and had good knowledge about the project. Once the initial documents have been collected and reviewed, the organisation and/or individuals will be approached for interviews. The assessment team developed a list of questions covering four topics for verification: vulnerability, poverty, JPAs and gender. The interviewees in fact preferred to fill in the questionnaire in writing.

D. EVALUATIONS OF TOPICS AND COMPLETING THE SURVEY

i. *Third-party verification through CSO networks.* A further purpose of the interviews mentioned in the previous section is to build understanding of the success of the programme beyond the official documentation. Where possible the assessment members identified and communicated with relevant CSOs within the area. However, it should also be noted that there were very few CSOs/CSO networks who are in a position to be able to comment comprehensively on the breadth of activities within a programme.

The analysis has been divided into the four constituent parts, i.e. vulnerability, poverty orientation, gender and Joint Principles of Adaptation (JPAs). The assessment group decided that it would be most productive for the different members of the group to engage with the areas which best fit their areas of expertise. The various aspects of the programmes were scored by the individual experts and then the team met back together and went through the results to draw conclusions from the outputs.

ANNEX B: LIST OF ASSESSMENT TEAM AND ADVISORY GROUP

Assessment Team Member	Organisation	Function
Nguyen Thi Yen	CARE International in Vietnam	Team leader/JPA
Vu Minh Hai	CARE International in Vietnam	Team member/Gender key person
Vu Cong Lan	SRD	Team member/Poverty reduction key person
Nguyen Thi Tho	SRD	Team member/Vulnerability key person
Thuan Sarzynski	SRD	Team member/Poverty reduction

Advisory Group Member	Organisation	Function
John William Mellors	SRD	Contribution to contextualized methodology and framework
Peter Bruun Clausen	CARE	Ensures to articulate the quality and expectation from CARE Denmark
Koos Neefjes	Director/Climate Sense; Ex-UNDP High Advisor	Consultation
CCWG	Network	Consultation
VNGO & CC	Network	Consultation

ANNEX C: LIST OF PERSONS INTERVIEWED OR CONSULTED

Name	Institution	Title	Email	Contact	Project
Tran Dinh Quang	IWMC project, Ha Tinh component – Ha Tĩnh province	Operation Manager	trandinhquangimpp@gmail.com	0913582572	**Belgium:** Integrated water management and urban development in relation to climate change in Ha Tinh Province **Belgium:** Gestion integree de l eau et du development urbain en rapport avec le changement climatique en province de Binh Thuan, 2013
Ms. Chu Thanh Hoa	Save the Children	Manager	Chuthanh.Hoa@savethechildren.org		**Australia:** Child-Centered Climate Resilience Program
Mr. Pham Hoai Nam	DFAT/Australian Embassy	Senior Program Manager	HoaiNam.Nguyen@dfat.gov.au	84-24-37740239 84 984 073 588	
Ms.Ho Thi Yen Thu	**Centre for Marinelife Conservation and Community Development (MCD)**		thu@mcdvietnam.org;	904 418 049 +84 24 2221 2923	**DFAT/ Oxfam** Partnership for equitable resilience to the impacts of climate change of the coastal communities in the deltas of Vietnam – PRC
Mr. Vu Thai Truong	UNDP	Project Manager	vu.thai.truong@undp.org	0913082727	**GCF/ UNDP** Improving the resilience of vulnerable coastal communities to CC related impacts in Vietnam (2016)
Mr. Nguyen Viet Nghị and community people, Mr.Nhe	Thanh Hoa Project	PO/Local Contact	nguyenvietnghi@gmail.com	0985239870	
Ms. Din	Beneficiary	Community Women's Union Officer		01698617332	
Ms.Nguyen Thi Mai	Women's Union,Vinh Phuoc Commune, An Giang Province	Women Union Officer	'phunuvp@gmail.com'	0968770792	**Germany** Integrated Coastal Management Program
Mr. Thach Soi	Âu Thọ B hamlet Vĩnh Châu district- Sóc Trăng province	Co-management Lead			
Ms. Nguyen Thi Ngoc Anh	GIZ, Quang Binh	Project Manager	anh.nguyen@giz.de	0903284386	**Germany/GIZ** _Mainstreaming of Ecosystem based Adaptation into the National Climate Change Adaptation Strategy & into Land Use and Development of Vietnam
Ms. Nguyen Thi Thuong	Hoa Binh village, Quang Hung commune, Quang Trach district, Quang Binh province	Beneficiary			
Mr. Nguyen Ngoc Quang	Hoa Binh village, Quang Hung commune, Quang Trach district, Quang Binh province	Village Leader/Beneficiary			
Mr. McGrath Tim	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH 37 Le Dai Hanh Hanoi	Programme manager	tim.mcgrath@giz.de	0913005045	**Switzerland/GIZ** Mekong Urban Flood Proofing and Drainage Program

Name	Institution	Title	Email	Contact	Project
	Vietnam				
Ms.Tran Thi Thanh Thuy	GIZ Vietnam	Programme Officer	thuy.tran@giz.de	0983932816;	
Mr. Trang Tien Dai	GIZ Can Tho	Programme Officer		0901019449	
Ms. Tran Diem Thuy	PCU AMD Bến Tre	Operation Manager-	thuyamdbt@gmail.com	0982332312	**IFAD_** Adaptation to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh provinces (AMD Project)
Ms. Dang Thi Trong	Mỏ Cày Nam district, Ben Tre province	Commune facilitator	dcomocaynam@gmail.com	0913745885	
Ms Nguyễn Thị Thuỷ	Nam Phú commune, Tiền Hải district, Thái Bình province	Commune officer	nguyenthuy2221990@gmail.com	0329124498	**USAID_** Red River Delta Adaptation and Youth – Clean Productive Environment (READY)
Ms. Nguyễn Thị Minh Thu	Xuân Đám commune, Cát Hải district, Hải Phòng city	Women Union's officer	nguyenthuvpubxd@gmail.com	0964500982	
Brian Bean and local staff (Ms. Nguyet project trainer, Mr.Hoai (commune agriculture extension officer)	Winrock	Chief of Party	BBean@winrock.org	0912.123212 0912.123289	**USA_** Vietnam Forest and Deltas (VFD) 2016
Mr. Tran Chinh Khuong, Ms. Nguyen Thuy	U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT	Senior Environment Adviser	khuongtran@usaid.gov thunguyen@usaid.gov	0987367258	**USA_** Governance for exclusive growth – public sector 8executive function, 2016.
Mr. Vu Dinh Hung	Agriculture Improvement Project	Project Management Unit	hungvd_cpo@yahoo.com	0945095908	**World Bank:** Vietnam irrigated agriculture improvement project, 2014
Nguyen Van Tam	Ha Tinh Agriculture Improvement Project	Project Management Unit	kegohatinh@gmail.com	0948923368	
Nguyen Canh Tinh	Project Management (DSMP-WB8)	Deputy Director	nctinhcpo@gmail.com; linhcpo@gmail.com	0977999568	**World Bank:** Vietnam dam rehabilitation and safety improvement project, 2015
Mr. Nguyen Duc Phu	The Ministry of Natural Resources and Environment (MONRE)	Director, Project Management Unit (Construction Investment Project)	pmumonre@gmail.com	0979153234	**World Bank:** Mekong delta integrated climate resilience and sustainable livelihoods project, 2016
Mrs.Vu Thanh Huan and local staff –Tran Thai Minh	The Ministry of Natural Resources and Environment (MONRE)	Project Coordinator, Project Management Unit (Construction Investment Project)	vuthanhhuan@gmail.com	0903439986	
Le Quang Duc (Mr)	Hydraulic Project Investment & Construction Management Board No.9	Deputy Director	duc250965@yahoo.com		**JICA:** Ben Tre Water Management Project
Mr. Murooka,	JICA		Murooka.Naomichi@jica.go.jp;		**JICA_** NORTH-SOUTH EXPRESSWAY

Name	Institution	Title	Email	Contact	Project
NguyenThanh Ha.	JICA		NguyenThanhha.VT@jica.go.jp		CONSTRUCTION PROJECT(DN-QG)(II) **JICA_** BIEN HOA CITY DRAINAGE AND WASTEWATER TREATMENT SYSTEMS **JICA_** SECOND HCMC WATER ENVIRONMENT IMPROVEMENT PROJECT (III) **JICA_**NHAT TAN BRIDGE (VIETNAM-JAPAN FRIENDSHIP BRIDGE) CONSTRUCTION PROJECT (III)

ANNEX D: LIST OF DOCUMENTS UTILISED FOR THE ANALYSIS

Project	Documents Reviewed
World Bank. Vietnam dam rehabilitation and safety improvement project	• Implementation Status & Results Report • Audited Financial Report • Project Appraisal • Result Framework • Financing Agreement
World Bank. Mekong delta integrated climate resilience and sustainable livelihoods project	• Implementation Status & Results Report • Audited Financial Report • Project Appraisal • Result Framework • Financing Agreement
JICA. North-South expressway construction Project (DN-QG) (II)	Not available
World Bank. Vinh Phuc Flood Risk and Water Management Project	• Vinh Phuc Concept Stage • Project appraisal document • Integrated safeguards data sheet
JICA. Bien Hoa city drainage and wastewater treatment systems	Not available
JICA. Ben Tre Water Management Project	• Project Appraisal • Concept stage • Safeguards data sheet (PID/ISDS) • Decision on Feasibility Study and Report
JICA. Second HCMC water environment improvement project (III)	Not available
World Bank. Forest sector modernization and coastal resilience enhancement project	• Project information document and Integrated safeguards data sheet-appraisal stage • Environmental, social, indigenous people, settlement plans • Implementation status and Results Report • Financing agreement • Procurement plan
JICA. Nhat Tan (Vietnam-Japan Friendship) bridge construction project (III)	Not available
World Bank. Can Tho urban development and resilience project	• Audited Financial Statement Report (June 2019) • Implementation Status & Results Report • Financing Agreement • Project appraisal document • Project information document (PID) Concept stage • Result Framework
ADB. Urban Environment and Climate Change Adaptation Project	• Completion Report (March 2016) • Technical Assistance Consultant's Report (May 2017) • Project Administration Manual 2015,2019 • Project Data Sheet, Project Loan Document • Social Monitoring Report

IFAD. Project for Adaptation to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh provinces (AMD Project)	• Project document • Project report
USA. Governance for inclusive growth – public sector executive function	• Project Approval/ Decision • Performance Evaluation/midterm review report • Project Evaluation (2017) Project Final Report (2018)
GCF/UNDP. Improving the resilience of vulnerable coastal communities to CC related impacts in Vietnam	• Project Proposal Document (Vietnamese &English version) • Funding Proposal, Feasibility Study • Revised GCF Adaptation Project Initial Gender Action Plan (FINAL) • Project Annual Review (2018) • Human Story • CSO comment • Environmental and Social Management Plan • Environmental and social Safeguards • Gender Action Plan/Assessment
World Bank. Ho Chi Minh City Green Transport Development	• Audited Financial Report (2019) • Integrated safeguards • Project appraisal document • Result Framework (Latest Implementation) • Project Data sheet (2013) Implementation Status & Results Report
Germany. Integrated Coastal Management Program	• Program document, overview • Project Implementation and Agreement • ICMP Information (Approach/Challenge) • Project Agreement (Amendment) • Final Report
World Bank. Vietnam irrigated agriculture improvement project, 2014	• The World Bank Implementation Status & Results Report (Vietnam Irrigated Agriculture Improvement Project ((12 Jul, 2019) • Audited Financial Statement, assurance report.(Deloitte, 2019) • Financing Agreement (April 24,2014) • Project appraisal document (December 11, 2013) • Project information document (PID) Appraise stage Results Framework. Latest Implementation Status and Results Report
USA. Vietnam Forest and Deltas (VFD)	• Project Document • Annual Progress Report
Belgium. Integrated water management and urban development in relation to climate change in Ha Tinh Province	• Project document/Technical and financial life • Project report
Germany. Strategic mainstreaming of Ecosystem Based Adaptation in Vietnam	• Project Documents, Vietnam- Germany Technical Support Feb 2015 (Project Strategic mainstreaming of ecosystem–based Adaptation in Vietnam) (Vietnamese & English version) • Project Annual report 2016 and Action plan 2017 • Program/ Project Final Report • Operational Report 2017 • Conference Proceeding (Sep 2015) • Project Final Report 2019 (Institute of strategies and policies resources and environment, MONRE) • Project Leave Left , Fact Sheet
DFAT/Oxfam. Partnership for equitable resilience to the impacts of climate change of the coastal communities in the deltas of Vietnam	• Base line survey on knowledge attitude and practice (KAP) in relation to disaster risk reduction and climate change adaptation (AMDI, May 2013) • CCA livelihoods in RRD MRD • End line survey on knowledge attitude and practice (KAP) in relation to disaster risk reduction and climate change adaptation (June 2015).

	• Project Design Document: Community-based Climate Change Action Grants Program Partnership for equitable Resilience to the impacts of climate change of the Coastal communities in deltas of Vietnam – PRC Project • Oxfam and MCD report on the implementation of CCCAG in the Mekong and Red River deltas Mid-term review meeting (6 May, 2014) • Final evaluation report: Partnership for equitable Resilience to the impacts of climate change of the Coastal communities in deltas of Vietnam (PRC Project) • Build partnership to increase responsibility to climate change of the Vietnam marine community (PRC Project) • Six month progress report, May 2014 • Activity completion report (August 2015)
DFAT/Save the Children. Vietnam Child-Centered Climate Resilience	• Project Design Document (Jul, 2012) • Program Budget • Master Implementation Plan • Quarterly Reports (2014, 2015) • Evaluation of PLAN INTERNATIONAL (Jul, 2016) • Cases Study
USAID. Red River Delta Adaptation and Youth – Clean Productive Environment (READY)	• Project document • Project report