

**Global Environment Facility
SMALL GRANTS PROGRAM IN VIET NAM
(UNDP/GEF – SGP)**

GEF/SGP PROGRAMME REVIEW REPORT

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LIST OF ACRONYMS AND ABBREVIATIONS

CBD	Convention on Biological Diversity
CBOs	Community-based organizations
CPMT	Central Programme Management Team
DARD	Department of Agriculture and Rural Development
DOSTE	Department of Science, Technology and the Environment
GEF	Global Environment Facility
GEF/SGP	Global Environment Facility Small Grants Programme
LEF	Local Environment Fund
M&E	Monitoring and Evaluation
MoA	Memorandum of Agreement
NGOs	Non-government Organizations
NC	National Coordinator
NSC	National Steering Committee
OPs	Operational Programs
SEF	Swedish Environment Fund
SNV	Netherlands Development Organization
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNOPS	United Nations Office of Project Services
USD	US Dollars

CHAPTER 1: BACKGROUND ON GEF/SGP

I. ABOUT GEF/SGP

Founded in 1991, the Global Environment Facility (GEF) is a financial mechanism that provides grant and concessional funds to developing countries and those with economies in transition. Funds are used for projects and activities that aim to protect the global environment related to the GEF focal areas: biodiversity, climate change, international waters and ozone layer.

It was in recognition of the essential role of local communities in conserving biodiversity, reducing the likelihood of adverse climate change, and protecting international waters that led to the launching of the Global Environment Facility-Small Grants Programme (GEF/SGP) by UNDP in 1992. It provides small grants of up to US\$50,000 to community-based organisations (CBOs) and local non-governmental organisations (NGOs) for projects and activities that address local environmental problems related to the GEF focal areas. The overall aim is to contribute to protecting the global environment.

The GEF/SGP is currently active through 60 country programmes in Africa, the Middle East, Asia and the Pacific, Europe and Latin America. The programme has funded more than 2,300 projects throughout the world that link local, community-based activities with the GEF focal areas.

II. OVERVIEW ON GEF/SGP IN VIET NAM

UNDP Viet Nam launched the GEF/SGP in November 1998. Its principal objective during the pilot years in Viet Nam is setting up a decentralized program for small grant support to NGOs and CBOs for their initiatives in the GEF focal areas. In order to achieve this objective, the GEF/SGP in Vietnam has taken a number of basic steps, including setting up an office, recruiting a National Coordinator (NC) and secretary, establishing a National Steering Committee (NSC), formulating a country strategy and awarding small grants to local NGOs and CBOs.

1. Office Set-up and Staffing

The GEF/SGP in Viet Nam is located within the UNDP Viet Nam office. UNDP in Viet Nam provides overall management support to the programme's operations. It helps to facilitate interaction with the Government, and develops links with other in-country financial and administrative arrangements. The UNDP Deputy Resident Representative signs the Memorandum of Agreement (MOA) with NGO/CBO grantees. UNDP in Viet Nam also facilitates the disbursement of grant payments.

A National Coordinator and a secretary have been recruited. The National Coordinator takes the lead in managing programme implementation. The NC assists NGOs and CBOs in the formulation of project and pre-screening project proposals. The NC is the programme's main contact with the Government. The NC is responsible to report to the Central Programme Management Team (CPMT), located within UNDP-GEF in New York, which is responsible to manage the GEF/SGP at the global level, and to UNOPS which is the executing agency of the GEF/SGP.

2. Establishment of the National Steering Committee

The National Steering Committee (NSC) provides overall guidance and strategic direction for the programme, and screens and selects projects for grant awards. The committee guides the development of a country strategy and establishes country-specific project eligibility criteria within the framework of the overall GEF guidelines. Members of the NSC serve on a voluntary basis and include representatives from local and international NGOs, governmental agencies, scientific institutes and UNDP Vietnam. NSC working procedures and terms of reference have been developed. Two terms of the NSC have been appointed. The first was for the years 1999-2000 and the second for the years 2001-2003. NSC acts through quarterly meetings, mail, phone, fax and email.

NSC members have participated in the development and approval of the country strategy, country-specific project eligibility criteria, and procedures for proposal screening and selection. They have assisted in disseminating information on the GEF/SGP, proposed program approaches and provided overall guidance and strategic direction to the implementation of the GEF/SGP in Vietnam. Details on the NSC operation are presented in Chapter 3 of this report.

3. Country Strategy Formulation and Implementation

One key action for the implementation of the GEF/SGP in Viet Nam was the formulation of country strategy (CS). In line with the GEF/SGP Global Strategic Framework and taking into account Viet Nam's environmental conditions, policies and priorities, and NGO and CBO capabilities in managing environmental projects, the GEF/SGP in Viet Nam has set the overall goal and objectives, and anticipated results during the period 1999-2001. The CS also identified the GEF/SGP approach, its strategic directions, and country-level programming priorities in each focal areas of GEF. The development and implementation of the CS are detailed in Chapter 3 of this report.

4. The enabling environment in Viet Nam

Vietnam is a tropical endowed with abundant natural resources and favorable environmental conditions. It has a high diversity of natural ecosystems, species, and genetic resources, which have very significant economic and environmental value.

Vietnam has undergone rapid economic growth and industrialization in the past decades. Population growth and economic development, however, are posing a serious threat to the country's environment and natural resources. Among the most serious environmental problems in Vietnam are deforestation; degradation of land resources; inefficient use of fresh water; degradation of coastal and marine ecosystems; overexploitation of biological resources and significant loss of biodiversity; and increasing environmental pollution.

In response to the critical environmental issues and recognizing that the country's people and economy largely depend on natural resource-based activities, the Vietnamese Government, with considerable support and assistance from the international community, including the United Nations agencies, multilateral banks, bilateral donors, and international NGOs, has made significant efforts to better manage its environment and natural resource base. National strategies and plans have been developed and implemented within a revised and strengthened legal and institutional framework aimed at addressing environmental problems and support the

country's commitment to the conventions which Vietnam signed, such as Convention on Biological Diversity (CBD); United Nations Framework Convention on Climate Change (UNFCCC); and POPs Convention.

In addition to these contributions from the international community, local NGOs and CBOs are joining the task of environmental management in Vietnam and are beginning to play an important role. Recognizing the fact that local NGOs have an important role in supporting the implementation of the national programs, especially in mobilizing community participation in promoting sustainable development at the community level in Vietnam, the Government has supported the operation of local NGOs over recent years. It now looks more favorably on NGOs than it had in the past. The Government is reviewing its policy and legislation on local NGOs in Vietnam. Although a limited number of NGOs exists in Vietnam and they are relatively young organizations, local NGOs have already played an important role in community development projects in general and in environmental protection and poverty alleviation projects in particular.

Community-based organisations (CBOs) include mass organizations, such as Women's Union, Youth Union, Farmer's Union and Veteran's Union. They function at the commune level and form associations at higher levels, up to the national level.

In summary, progress in the field of environmental protection and management has been impressive over the past decade. The Government's efforts combined with external assistance are creating favorable conditions for environmental protection and management and pursuing the goal of sustainable development in Vietnam. The institutional and legal framework as well as the national strategies, which encourage and promote community participation, provide the framework within which sustainable development can be promoted in Vietnam. Decentralisation programme structures and systems at the local development level have been developed and are being implemented to support environmental management and rural development. However, community participation in the task of environment management and protection is still limited. Raising environmental awareness and mobilizing the community to participate in environmental management and protection will significantly contribute to successfully implementing the national strategies and plans.

The local NGOs and CBOs can bring together activists, social and educational workers, scientists, technicians, and managers who are interested in and motivated to increase public awareness of environmental protection, improve community living standards and promote nature conservation and sustainable development at the grassroots level.

CHAPTER 2

THE GEF/SGP PROGRAM REVIEW PROCESS

This chapter explains the Program Review purpose, process and methodology.

I. PURPOSE OF THE GEF/SGP PROGRAM REVIEW PROCESS

The Program Review is part of the global GEF/SGP monitoring and evaluation strategy. It is an overall assessment of the country program performance and is supposed to be undertaken once every two years by the NSC and the NC. It is also a forum for interacting with the GEF/SGP grantees and other stakeholders. Viet Nam is one of the countries participating in the Program Review exercise in 2002. This Program Review aims at analyzing achievements and shortfalls of the GEF/SGP in Viet Nam and its project portfolio, to allow a better understanding of why certain approaches and strategies work and others less well.

II. OBJECTIVES OF THE GEF/SGP PROGRAM REVIEW PROCESS

The objective of the Program Review is to assess progress in implementation of the country program strategy, including:

1. To help the country program understand the strengths and weaknesses of the program and projects, and to draw useful lessons, approaches, and experiences
2. To allow the country program to adjust and refocus the country program strategy and operating mechanisms as necessary to meet both known and new challenges.
3. To enable the Central Program Management Team (CPMT) to effectively identify problem areas and target guidance and resources.
4. To provide country specific information that will contribute to the Global GEF/SGP Status report to the GEF Council as well as the GEF Program Implementation Review (PIR).

III. EXPECTED OUTPUT OF THE GEF/SGP PROGRAM REVIEW PROCESS

The key output of the Program Review is the report setting forth the process and methodology followed, key findings and assessment of implementation in terms of the country programme strategy, the project portfolio, and general SGP operation and administration. It highlights recommendations for improvement of GEF/SGP operations in Viet Nam. The report consists of 4 chapters:

- Chapter 1: Background on GEF/SGP
- Chapter 2: The GEF/SGP Program Review Process
- Chapter 3: Findings of the GEF/SGP Program Review Process
- Chapter 4: Lessons learned and recommendations

IV. AREAS OF ASSESSMENT OF THE GEF/SGP PROGRAM REVIEW PROCESS

The GEF/SGP programme review addressed the following three areas:

1. At the programme level

The following specific areas of assessment were considered at the programme level:

- a) Development and implementation of country programme strategy
- b) Execution of grant allocation.
- c) Capacity-building for GEF/SGP partners and key stakeholders.
- d) Development of working relationship with GEF/SGP partners and key stakeholders
- e) Implementation of the communications strategy, including program publicity and visibility and increasing public awareness of global environmental problems and solutions.
- f) Project and program monitoring and evaluation.
- g) Programme institutional arrangements (NSC (functions, activities, changes in membership); relations with UNDP Viet Nam and CPMT and UNOPS)

2. At the project level

The GEF/SGP programme review analysed the GEF/SGP Project Portfolio. The specific areas of project development, implementation and monitoring and evaluation were considered at the project level:

- a) Criteria and procedure of GEF/SGP project review and appraisal
- b) GEF/SGP mechanisms in project management and monitoring and evaluation

V. METHODS AND PROCESS OF THE GEF/SGP PROGRAM REVIEW

The National Coordinator was the supervisor of the Program Review process and provided technical and logistical in-put/support as needed, assisted by the Program Secretary and under the guidance of the NSC. NSC members provided technical input and guidance to the review, comment and approved the TOR of the Programme Review and provided information through filling the questionnaire for NSC. A group of 3 consultants were contracted to assist the NC to review relevant documentation, conduct field visits, organise interviews and group discussions to collect information, and provide input to the Program Review report.

The methods used for the Program Review aimed at ensuring that the process creates a participatory mechanism of reporting and information collection. The methods used to collect data to address the key areas of assessment as outlined above included questionnaire (Annex 1), interview of beneficiaries and group discussions for key stakeholders at the project site. Eight projects were selected (Annex 2). From the point of view of the GEF/SGP secretariat and the NSC, project site selection was based on project thematic area of focus and period of implementation of the project:

- Project thematic area of focus: The projects selected covered the GEF focal areas of biodiversity conservation and climate change.
- Period of implementation of the project: The eight projects selected included four closed projects and four on-going projects.

Materials reviewed during the Program Review included:

- At the project level: GEF/SGP project proposals, project progress and financial reports, final reports, evaluation reports.
- At the programme level:
 - materials developed by global GEF/SGP, including GEF/SGP project document, GEF/SGP Strategic Framework; GEF/SGP M&E, Communication and Resource Mobilisation strategies; GEF/SGP Operational Guidelines
 - Materials developed by GEF/SGP in Viet Nam: GEF/SGP country strategy, M&E project site visit reports, the Semi-Annual programme progress reports, manual on GEF/SGP project development and management.

CHAPTER 3

THE GEF/SGP PROGRAM REVIEW RESULTS

PART I

ASSESSMENT ON GEF/SGP IMPLEMENTATION

AT THE PROGRAM LEVEL

I. GEF/SGP COUNTRY STRATEGY

1. GEF/SGP Country strategy development

The process of the country strategy (CS) development was the key action of the program implementation during the first six months of the year 1999. The CS has been developed through an inclusive and consultative process to ensure that GEF/SGP are consistent with the GEF/SGP Global Strategic Framework and related to and supportive of the overall GEF objectives of producing global environmental benefits in the GEF focal areas. The GEF/SGP in Viet Nam has held extensive consultations and information gathering with key Government agencies, NSC members, concerned NGOs and CBOs and UNDP Viet Nam. The GEF/SGP in Viet Nam has received useful comments from CPMT for its CS.

The CS has been developed with view to serving the following three purposes:

- to have a clear and common understanding of the mission and long-range strategic goals of the GEF/SGP;
- to provide a strategic framework for allocating resources and implementation; and
- To provide a basis for evaluating program effectiveness and impact.

The GEF/SGP country strategy (CS) of GEF/SGP in Viet Nam for the period of 1999-2001 was formulated on the basis of the following strategies and plans:

- GEF strategy and operational programs
- GEF/SGP global strategic framework
- GEF/SGP project document
- National plan on environment and sustainable development for 1991-2001
- Action plan for biodiversity conservation in Viet Nam (1995)
- National programs related to the environment
- the international conventions on biodiversity (CBD) and climate change (UNFCCC)

Goals and objectives of the GEF/SGP in Viet Nam for the pilot phase 1999-2001 and key aspects of thematic foci, potential GEF operational programs, capacity building, monitoring and evaluation, and resource mobilisation have been identified in the CS. In line with the GEF/SGP Global Strategic Framework and taking into account

Vietnam's environmental conditions, policies and priorities for the environment, and NGO and CBO capabilities in developing and managing environmental projects, the goal and main objectives of the GEF/SGP strategy for the period of 1999-2001 were as follows.

Goal

To help alleviate global environmental degradation through conserving biodiversity and combating global warming and protecting international waters, while enhancing sustainable livelihoods and eliminating poverty through community-based approaches.

Objectives

- contribute to biodiversity conservation by promoting conservation and sustainable use of biological resources of various ecosystems, including forest, mountain, coastal, marine and freshwater ecosystems, wetlands, and arid and semi arid ecosystems; and conservation of species important to agriculture development;
- contribute to combating global warming by improving energy efficiency and promoting the adoption of renewable energy, and sustainable forestry;
- contribute to combating land degradation and desertification;
- improve community knowledge and understanding, and raise environmental awareness on global, national and local environmental problems and their long term consequences, focusing on the loss of biodiversity, the threat of climate change, land degradation and desertification, and natural resource degradation;
- strengthen the capacity and activities of NGOs, CBOs and local organizations to address global environmental issues and promote sustainable development, and encourage them to cooperate with local government in the pursuit of national and local improvements livelihoods and the environment;
- raise awareness on the GEF and GEF/SGP through developing effective communication and outreach;
- attempt to develop a model which links local economic development and environmental protection in the GEF focal areas; and
- Build partnerships and networks of local stakeholders to support and strengthen community, CBO and NGO capacity to address global environment problems and promote sustainable development.

The expected outputs of GEF/SGP in Viet Nam during the pilot years of 1999-2001 were as follows:

- Improving NGO and CBO understanding of the GEF/SGP and strengthening their capacity in project design and implementation so as to improve the fit of GEF/SGP funded projects with the GEF Operational Strategy and Operational Programs. By the end of the year 2001, the GEF/SGP in Vietnam will involve about 25 NGOs and CBOs, and fund a minimum of 25 projects which fit the GEF criteria;
- Raising awareness about GEF/SGP. By the end of the year 2001, key stakeholders at the national and local level will be aware of the GEF and GEF/SGP;

- Building partnership with local stakeholders to support NGOs/CBOs to address environmental issues of interest to GEF in the areas where GEF/SGP projects take place;
- Developing and implementing a Monitoring and Evaluation system to support effective implementation of the program and projects. Monitoring and evaluation plans will be developed at the program and project levels.
- Developing effective communication and outreach in order to raise awareness about the GEF/SGP in general and the GEF/SGP in Viet Nam in particular among communities, NGOs, CBOs and other programs and agencies in the country. This would result in creating favorable conditions for resource mobilization for the program in the future in order to secure co-financing for baseline activities to facilitate congruence with the incremental cost criteria and to attain project and the GEF/SGP in Vietnam sustainability.

2. Assessment on the contents and the implementation of the GEF/SGP country strategy

a) Strengths

- On the strategy contents:
 - suitable to the overall objectives of GEF/SGP and the specific situation in Viet Nam;
 - identifying the right issues of priority during the pilot period of GEF/SGP in Viet Nam, i.e. developing a mechanism for the implementation of GEF/SGP meeting the Vietnamese specific conditions on the basis of experience drawn from GEF/SGP programs in other participating countries;
 - Strategic in terms of identified objectives, which can be served as a preliminary for a long-term development of GEF/SGP in Viet Nam.
- On the strategy implementation:
 - By identifying aims, objectives and focal areas of the GEF/SGP in Viet Nam for the period 1999-2001, the CS has laid the foundation for GEF/SGP implementation in Viet Nam. It has given focus to the start-up of the GEF/SGP in Viet Nam and provided a strategic framework for allocating resources as well as for the other GEF/SGP strategic directions.
 - Achieving the objectives and expected results identified in the strategy to a high extent. The operational mechanism of GEF/SGP implementation was set up and has successfully experimented and now fully operated in Vietnam.
 - Strictly following the strategy and also ensuring timely adjustment of the country strategy during the implementation process to meet specific conditions and changes at the national and global levels in the enabling environment for GEF/SGP operations. For example, the inclusion in the implementation of the country strategy of the GEF new operational programmes, such as agro biodiversity conservation (OP 13), integrated management of ecosystems (OP 12), sustainable transport (OP 11), and of the global GEF/SGP strategies on communication, resource mobilization, monitoring and evaluation.

b) Shortfalls

- lack of clear and detailed priorities in each GEF/SGP focal areas and each GEF operational programmes, which could have provided a clearer direction to interested organisations in identifying project ideas which fit GEF/SGP criteria
- lack of clear identification of geographic prioritization for GEF/SGP projects
- limited impact of GEF/SGP projects in the GEF focal areas due to the limitations of small grant projects in terms of project financial resources and duration, and due to an unclear orientation in GEF/SGP priority investment in focal areas and in geographical areas
- lack of detailed strategies for the following tasks: capacity building for GEF/SGP partners and key stakeholders; GEF/SGP communication to promote GEF/SGP visibility and disseminating information and lessons learned; monitoring and evaluation; and resource mobilization

II. EXECUTION OF GRANT ALLOCATION OF GEF/SGP IN VIET NAM

Grant allocation under GEF/SGP is approved by the Central Programme Management Team (CPMT) in New York on an annual basis based on the proposal and implementation progress of participating countries. Table 1 shows annual grant allocation and execution in Viet Nam.

Table 1

Execution of grant allocation of GEF/SGP in Viet Nam (as of February 2002)

Year	Allocated grant (USD)	Committed grant (USD)	Percentage (%)
1998-2000	250,000	100,690	42
2000	250,000	115,000	46
2001	530,000	636,100	120
Total	1,030,000	851,790	82.7

It can be seen from the table that:

- The allocated grants were committed at a high percentage (82.7%).
- The number of approved projects is 28 (excluding planning grants). The average grant for approved projects is USD 20,000, in which the lowest grant is USD 8,000 and the highest USD 50,000 (Annex 3). The scale of grants has increased through time. In 1998 and 1999, the average grant were USD 15,000 and this figure reached USD 30,000 in 2000 and 2001. There is low absorption capacity by beneficiaries in the first two years of operations due to poor institutional structures and arrangements, limited expertise available, and inadequate organizational management skills, and a limited understanding on GEF/SGP criteria.

- The number of planning grant projects is 24 with a total fund of 15.644 USD (Annex 4). The average planning grant is USD 700. Twenty-one (21) out of these 24 projects were approved for full funding (91.6%).
- The percentage of projects within the focal areas of GEF/SGP:
 - 19 projects in the focal area of biodiversity conservation (68%);
 - 5 projects in the focal area of climate change, desertification and land degradation (17.8%); and
 - 4 projects for capacity-building, awareness enhancement and environmental education (14.2%)
- Project categories: Among the 28 projects, 24 are demonstration projects (86%), two (2) for capacity building for GEF/SGP partners and key stakeholders (7%), two (2) for environmental communication, awareness enhancement and education (7%). All the demonstration projects contained components on environmental communication, awareness enhancement and education, as well as capacity building.
- The priorities applied to the grant allocation according to GEF/SGP focal areas and the above project categories proved to conform to the objective set out in the country strategy of GEF/SGP in Viet Nam.
- The scale of grants as allocated for the projects is reasonable, starting with small grants which has increased through time once experience in GEF/SGP operation in Viet Nam has been obtained and accumulated.
- Forecasts for the coming years: GEF/SGP in Vietnam will be able to absorb bigger grants thanks to:
 - widespread information nationwide on GEF/SGP;
 - Improved knowledge and awareness of GEF/SGP criteria; higher capacity and experience in project development of local NGOs and CBOs; strong interest and attention from the local authorities and agencies in mobilizing grants from international organizations to support the projects and activities related to the environment; the local authorities' and relevant agencies' focus on building the local NGOs' and CBOs' capacity and on assisting these in identifying project ideas, formulating project proposals so as to obtain GEF/SGP grants.

3. Disseminating information on GEF/SGP

In order to raise awareness of GEF/SGP and to solicit proposals, information on the programme, including the nature of the programme, criteria and procedure for proposal screening and selection, has been disseminated to a wide array of NGOs, CBOs and government entities.

GEF/SGP has paid great attention and given high priority to this task in its implementation in Viet Nam. This has been done through the following means:

- Developing and distributing brochures/leaflets on GEF/SGP;
- Organising briefings or individual meetings to introduce GEF/SGP to international organizations, relevant agencies at the central and provincial levels; and local authorities;

- Organizing workshops on project design and proposal writing with the participation of local NGOs/CBOs, local relevant agencies, and technical institutions. Five such workshops were held with 180 participants.
- Participation of the NC and NSC members and distribution of GEF/SGP information at national conferences/workshops.
- Making use the mass media: calling for project concepts and proposals on local newspapers twice a year; attracting the attention from mass media on GEF/SGP activities at the programme and project levels; airing features and news on GEF/SGP activities on the Central and local radio and television
- Disseminating information on GEF/SGP on website, UNDP Vietnam Bulletin, and informing press announcement with the help of UNDP Vietnam's information office
- All the projects have activities in raising public awareness on environment issues in GEF focal areas, and carrying out propaganda of GEF and GEF/SGP in the project areas.

Assessment on the dissemination of information on GEF/SGP

a) Strengths:

In general, the Programme has been considered to be quite well-known and well-received among the NGO community and local authorities and relevant agencies, and CBOs in many provinces in Vietnam.

- Achieving the expected result identified in the country strategy to a high extent. The information was widely disseminated, attracting the attention and interest of GEF/SGP partners and stakeholders, including the local authorities and relevant agencies at the district and provincial levels, such as the provincial departments of environment, science and technology (DOSTEs), departments of agriculture and rural development DARDs), and departments of planning and investment (DPIs). The number of project concepts received was 445 and 28 projects were developed and implemented in 20 provinces.
- Significantly contributing to raising awareness and improving undertaking among the public about GEF.
- Developing a strong link with the mass media at the central and provincial levels.
- Creating favorable conditions and laying foundation for resource mobilisation from other donors. GEF/SGP has established working relationships with other small grants programmes, such as Ford Foundation, Swedish Environment Fund, SNV Local Environment Fund, AusAID Fund for Small Projects, ...
- Obtaining good variety and abundance in information contents and styles, many of which brought about good results such as the television (results of the GEF/SGP programme review show that the public gain information on GEF/SGP through TV).

b) Shortfalls:

- The GEF/SGP partners and stakeholders, especially the CBOs, still have limited understanding and knowledge about GEF/SGP, especially its criteria. This has created difficulties in identifying project ideas suitable to GEF/SGP criteria.

- The materials used for disseminating information on GEF/SGP were still far from simple, with technical terminology, which is too hard to understand to GEF/SGP partners, and stakeholders, especially the CBOs.

4. Building capacity for GEF/SGP partners and key stakeholders

To deal with the limited capability and experience of the NGOs/CBOs in Vietnam in identifying project ideas and formulating projects which fit with GEF/SGP criteria, and in project management, GEF/SGP has paid special attention and given priorities to building the capacity for GEF/SGP partners and key stakeholders in project development and proposal writing, and project management. This has been performed through the following modalities:

- Holding workshops on project design and proposal writing with the participation of local NGOs/CBOs and other key stakeholders. Lessons learned on project development and proposal writing from GEF/SGP grantees were shared at the workshop. Four (4) such workshops were held with 120 participants and evaluated as very useful by the workshop participants;
- Holding workshops on project implementation and management with the participation of the project management teams. Three (3) such workshops were held with 106 participants and evaluated as successful by the workshop participants. Lessons learned on project implementation and management from GEF/SGP grantees were shared at the workshop;
- Organizing study tours to share and exchange experience among the projects. Those projects with similar objectives or in the same GEF/SGP focal areas and favorable in geographical distances have had opportunities to attend project opening, review or closing meetings, or other activities. Visits to some GEF/SGP on-going projects were always included in the agenda of the workshops on project implementation and management;
- Formulating and implementing the manual on GEF/SGP project development and implementation. The Manual provides a clear-cut and adequate guidance and instructions to all GEF/SGP partners and key stakeholders to develop and implement their projects. It has been used as key materials in all GEF/SGP workshops. The Manual has been regularly adjusted following the partners' and key stakeholders' comments and remarks as well as lessons learned in GEF/SGP project development and implementation (two adjustments have been done). It has also been shared with other small grants programmes such as SEF, SNV, and with other relevant local agencies (the provincial DOSTEs and DARDs) as workshop materials for building capacity for local organisations in project development and implementation;
- Organizing project site visits: The members of the NSC and the NC conduct the proposed and on-going projects site visits:
 - The proposed project site visits by the NSC and the NC assisted GEF/SGP to assess the feasibility of the proposed project, evaluate the proposing organization's capability, mobilize the technical support and financial contribution from the local authorities and agencies, and enhance the support from GEF/SGP to proposing organizations in identifying and formulating the project proposal. These visits were indispensable before any grant approval;

- The on-going project site visits helped in monitoring, supervising and evaluating projects, as well as having a look at the real operation of the project, from which experience could be drawn and supplemented to the execution of GEF/SGP in Viet Nam. The close project supervision and monitoring through the visits by the NSC and NC have exerted great influence on the local authorities in a positive trend. Many problems have been solved in place during these visits, bringing about greater efficiency in project development and implementation. Results of the GEF/SGP programme review show that the projects have highly evaluated the role and effectiveness of the visits in the project success. The NSC and the NC have visited GEF/SGP on-going projects once a year on the average;
- Planning grant: The mechanism of planning grant has been used to assist the proposing organisations, especially the CBOs with limited capacity and experience, in project development and proposal writing. The criteria for planning grant approval is that the project idea fits the GEF/SGP criteria and likely to be approved. The planning grant has assisted the proposing organisations in mobilizing technical assistance to conduct surveys, holding consultative meetings with local authorities and agencies, and community of the project, and writing the project proposal. Results of the GEF/SGP programme review show that the mechanism of planning grant has significantly improved the project proposal quality and enhanced the capacity of the proposing organisation in project development. It has assisted in promoting the participation of community and key stakeholders in project development and in enhancing local ownership of the project, a key factor for the project success in implementation.

Assessment on the output of capacity-building among GEF/SGP partners and key stakeholders

a) Strengths:

The results of the GEF/SGP programme review show that GEF/SGP has made every effort in the task, owing to the awareness and recognition of the limited capability of the GEF/SGP partners and key stakeholders in developing projects which fit with GEF/SGP criteria and in project management.

- Rich and effective forms of implementation;
- Most approved projects have good quality and fit well with GEF/SGP criteria. Thanks to this effort, most projects have effectively implemented. According to project evaluation reports, seven (7) closed projects achieved the project objectives from above average to excellent (excellent: 1 project; good: 4/7; fair: 3/7);
- Enhanced project management capability of the GEF/SGP grantees;
- Good preparation and performance of the training workshops and site visits, meeting the partners' requirements, resulting in higher performance of the partners in project management and execution;
- Effective mechanism of planning grant for project development in improving the project quality, ensuring the success and the feasibility of the projects thanks to

adequate survey and assessment with the participation of the partners and key stakeholders, including the local communities, authorities and relevant agencies.

b) Shortfalls:

The results of the GEF/SGP programme review show that the shortfalls in project development and implementation originated from the limited capability and the lack of experience from GEF/SGP partners, which affected the quality of project development and implementation. This has proved to be the greatest challenge in improving the quality of GEF/SGP project proposals and ensuring effective project implementation.

5. Building the working relationship with the GEF/SGP partners and key stakeholders

In developing and implementing the country strategy, GEF/SGP has paid much attention and given high priority to this task, aiming to achieve the followings:

- To mobilize support and assistance from the local authorities and relevant agencies in project development and implementation for the GEF/SGP partners, especially the CBOs, who have limited capacity and experience in project development and implementation, and a strong lack of knowledge and understanding on the environmental issues in the GEF/SGP focal areas;
- To mobilize financial contributions to meet the GEF/SGP co-financing criteria;
- To attract the attention and commitment of the local authorities and relevant agencies to replicate the successful results of the GEF/SGP projects; and
- To raise the public awareness of GEF and GEF/SGP in Vietnam;

The task of building the working relationship with the GEF/SGP partners and key stakeholders was performed through the following forms:

- With the local authorities and related agencies:
 - It is a requirement of GEF/SGP in project development that the proposing organisation seek comments on the project concepts and proposals from local authorities and relevant agencies, and community through consultative meetings/workshops conducted during project development stage. The letter of commitment in project implementation and financial contribution from local key stakeholders have to be attached in the project proposals. The NC and NSC also seek for comments from local key stakeholders on the proposed projects during their proposed project site visits and considered them during the process of project review and appraisal;
 - It is a requirement of GEF/SGP in project implementation and management that the project management team regularly submit progress reports to the local authorities. Participation of the local authorities was also encouraged in the membership of the project management team. The project final report was forwarded to local authorities and relevant agencies.
- With technical institutions:

- GEF/SGP experimented a co-implementing organisation mechanism, which provided the technical assistance to GEF/SGP partners in project development and implementation. Due to the limited technical capacity, the CBOs need this assistance from technical institutions in project identification, development and implementation. The co-implementing organisation also assisted in project management. This has contributed to building the working relationship between GEF/SGP and relevant national and local technical institutions.

Assessment on the task of building the working relationship with the GEF/SGP partners and key stakeholders

a) Strengths:

The results of the GEF/SGP programme review show that:

- GEF/SGP has established a strong cooperation and collaboration with partners and key stakeholders, including the grantees, local NGOs/CBOs at central, provincial, district and commune levels; local authorities and relevant agencies; and technical institutions.
- All of the grantees highly appreciated the support and assistance from GEF/SGP in project development and implementation, and saw this as one of the main factors of project successes;
- Thanks to the strong partnership established, GEF/SGP grantees have received significant support from local key stakeholders in project development and implementation. Favorable conditions created by GEF/SGP principles on project development and implementation have ensured the full participation of project partners and local key stakeholders in project development and implementation, contributing to the successes and sustainability of the projects.
- GEF/SGP has identified a good source of technical institutions to work in GEF focal areas of biodiversity conservation and climate change mitigation;
- GEF/SGP has built a cooperative relationship in sharing and exchanging information and experience with other small grants programs in Viet Nam, such LEF, SEF, This has created favorable conditions and laid the foundation for resource mobilisation and avoided the duplication and overlap in allocating project funding.

b) Shortfalls:

- A link with major UNDP and macro GEF projects is yet to be developed.
- There are still expected detailed results of collaboration and cooperation with other small grants programs.

6. Monitoring and evaluation

Systematic monitoring and evaluation (M&E) is recognised as critical to the GEF/SGP success and therefore are required at all levels of project and country in GEF/SGP implementation. Therefore, GEF/SGP has paid much attention to participatory monitoring and evaluating process which enables capacity-building and understanding and applying lessons learned from project and programme experiences.

Monitoring and evaluation under the GEF/SGP is intended to provide GEF/SGP participants with information about the status and results of individual projects, the progress of country programmes, and the achievement of overall programme objectives. Monitoring and evaluation at the programme and project levels in GEF/SGP implementation serves several following purposes:

- Facilitates the identification and assessment of potential problems and obstacles during project and programme implementation. Adjustments and corrections in project and programme design and implementation can then be made, and thus enhance chances of success;
- enhances project performance and ensures congruence with the GEF/SGP criteria;
- provides the basis for technical and financial accountability;
- builds local capacity to implement and manage projects successfully, maintain accountability, achieve sustainability, allow for replicability, and
- Promotes the identification and dissemination of lessons learned by participants themselves. It provides opportunities for eliciting and communicating lessons learned, improves project and programme design and implementation as a result of applying lessons learned gained from monitoring and evaluation.

Although this task is still lacking in details in the country strategy, GEF/SGP in Vietnam has closely based itself on the global GEF/SGP monitoring and evaluating strategy for implementation. GEF/SGP in Viet Nam has developed M&E plan following the GEF/SGP M&E strategy and Operational Guidelines and supporting the M&E activities at the global level. M&E plan focuses on technical and financial aspects of GEF/SGP implementation. Annual workplans are drawn and used as a basis for monitoring and evaluating the GEF/SGP implementation. Based on the annual workplans and the specific conditions of Vietnam, GEF/SGP has proposed to CPMT and UNOPS for annual financial allocation, including administrative expenses at GEF/SGP office and project grants.

The information collected and analysed in the course of participatory M&E in each participating country has been organised and presented in semi-annual progress reports and submitted to the CPMT by the GEF/SGP national coordinator. These reports will form the basis of the annual reporting to be carried out by the CPMT for GEF. A database has been developed and updated to share information on GEF/SGP implementation. The NC carries out correctly the reporting stipulations on a quarterly basis to the NSC on the GEF/SGP implementation through regular meetings or through written reports. With this current GEF/SGP reporting mechanism, the information on GEF/SGP implementation is fully shared to the participants at national level such as the NSC, UNDP and to CPMT and UNOPS at the global level. Experience drawing of GEF/SGP implementation is integrated in the agenda of the NSC quarterly meetings.

As mentioned in Chapter 2 of this report, GEF/SGP in Vietnam has carried out the programme review of GEF/SGP implementation in Vietnam after 3 years of operations in order to draw out learned lessons and to adjust in due time and in suitable manner the current mechanism to conform to Vietnamese conditions, serving as a basis for revising the GEF/SGP strategy for the programme development in the following years. This exercise is also part of the GEF/SGP monitoring and evaluation

strategy.

Monitoring and evaluation is required at the project level as an integral part of the project cycle in GEF/SGP implementation in Viet Nam. The goal of participatory project M&E is to assess progress in project implementation and achievement of results, helps to ensure project success and sustainability, and at the same time promote community ownership of GEF/SGP projects.

All GEF/SGP projects must incorporate participatory M&E into their design and implementation. Each approved GEF/SGP project must include an M&E plan with appropriate indicators which are the basic tools used to measure and/or assess the progress and results of a project. The information collected and analysed in the course of participatory M&E is organised and presented in quarterly progress reports and eventually in the final evaluation of the project. Submission of project progress and final reports is part of the GEF/SGP grantees' responsibilities under the grant agreement, and is also required for grant disbursements.

7. GEF/SGP operational mechanism

GEF/SGP operates in a highly decentralised and country-driven manner through an NC and the NSC with support from UNDP Vietnam at the country level. At the global level, the UNDP/GEF Unit and the UN Office of Project Services (UNOPS) provide global coordination and support.

a) UNDP Vietnam

The Programme has been located at UNDP Vietnam office. UNDP Vietnam has provided suitable and sufficient office space and other facilities. The UNDP Viet Nam has provided overall programmatic and management support to GEF/SGP operations. The Resident Representative has assigned the head of the environment unit to serve as an NSC member. The UNDP Viet Nam also helps to facilitate interaction with the government, and develop links with other in-country financial and administrative arrangements for the GEF/SGP. The Resident Representative signs the Memoranda of Agreement (MOA) with NGO/CBO grantees. The UNDP Viet Nam facilitates the disbursement of grant payments and has initiated the GEF/SGP in Viet Nam.

Assessment on the support by UNDP Vietnam in GEF/SGP implementation

- very supportive and committed to GEF/SGP implementation in Viet Nam, and providing the best support to GEF/SGP
- playing an important role in launching GEF/SGP in Vietnam, and promoting the visibility and disseminating information on GEF/SGP
- assisting in establishing working relations with relevant government agencies, donors, international organizations to mobilize financial contributions to GEF/SGP
- GEF/SGP received significant support and assistance from the Environment Unit in its operations. NC has been well assisted by the Environment Unit Head and the GEF focal point in particular and has received necessary support from UNDP Vietnam staff in general
- Being associated with UNDP has improved GEF/SGP visibility and facilitated the establishment of operating mechanisms

- At the UNDP Country Office level, there is overall satisfactory support to the GEF/SGP. However, the resource constraints that UNDP has, limit the level of support that it can provide to GEF/SGP.

b) The National Steering Committee (NSC)

A broad-based national steering committee has been established. The NSC key functions include providing overall guidance and strategic direction for the programme and screening and selecting projects for grant awards. The committee guides the development of a country strategy and establishes country-specific project eligibility criteria within the framework of the overall GEF guidelines.

NSC working procedures and Terms of Reference have been developed for the functioning of the NSC. Members of the NSC have served on a voluntary basis and typically represented the government; the CBO/NGO community; national academic, scientific, and technical institutions; and the UNDP Country Office. The NSC has acted through fax, phone, e-mail, and meetings. NSC meetings have been organized on a quarterly basis to discuss matters related to the implementation of the Programme, and to select proposals for grant. The NSC mechanism to review and select projects has participatory and transparent operating characteristics.

For the first term 1999 – 2000, seven (7) members have been appointed to serve on the NSC (Annex 5). The NSC consists of highly respected individuals from local and international NGOs, governmental agencies, including environmental agency, scientific institutes and UNDP Vietnam. NSC members are very knowledgeable and experienced in the areas of sustainable livelihoods, environmental and natural resource management, and NGO and CBO activities. Some NSC members are technically experienced in GEF focal areas.

For the second term 2001 – 2003, eleven (11) members have been appointed to serve on the NSC. The appointment of NSC members for the new term 2001 - 2003 has taken into account of the requirement of the EU/UNDP SGP PTF project in the inclusion of forestry expertise in NSC. It is intended to establish the sub-committee for PTF project.

Assessment on the NSC operations

- The results of the GEF/SGP programme review show that the NSC functions and responsibilities as well as its working procedures are clear-cut and specific. The NSC is enthusiastic and committed to the program implementation. The NSC has performed well in its strategic advisory function and its primary role as proposal screening and selection. The NSC has reviewed 47 project proposed and selected 28. Besides, the NSC members also took part in project site visits, monitoring and supervision and evaluation of the projects.
- NC has been well supported by capable and dedicated NSC members who have devoted their time despite their busy schedules. NC has received technical advice from NSC members during the concept paper screening process and for the implementation of individual projects. NSC members have assisted in GEF/SGP project monitoring despite their busy schedule. NSC members have accompanied NC to visit projects and have provided grantees with guidance in project implementation and management. NC shares site visit reports with NSC members and with grantees, and regularly seeks their guidance in program and GEF/SGP project implementation. NC has received great

assistance from the NSC Chairman in particular. The NSC has also been very interested in the development of the PTF program.

c) The National Coordinator (NC)

- The National Coordinator has taken the lead in managing country programme implementation. The NC is responsible for managing the implementation of the country programme. Major tasks performed by the National Coordinator include raising awareness of the GEF/SGP's objectives and procedures among key stakeholders, assisting NGOs and CBOs in the formulation of proposals, pre-screening project proposals, facilitating the work of the National Selection Committee, assisting NGOs and CBOs with access to technical support services, and ensuring sound programme monitoring and evaluation, and laying the foundation for programme sustainability. The NC is the program's main contact with government, sometimes supported by a government agency representative on the NSC.

Assessment on the operations of the NC

The results of the GEF/SGP programme review show that:

- A high appreciation of the NC's role and activities during the process of launching and developing GEF/SGP in Vietnam and the NC's support and assistance in the process of GEF/SGP project development and implementation.
- The NC plays the key role in implementing GEF/SGP, creating a good link between GEF/SGP and the NSC and UNDP Vietnam, between GEF/SGP and CPMT and UNOPS in New York.
- The NSC meetings held by the NC were highly effective with proper contents and good organization; the amount of meetings was acceptably adequate; the contents and the preparation of the visits to the project were good. Reports by the NC forwarded to the NSC on the project implementation were good, enabling the NSC mastering the implementation of GEF/SGP.

d) CPMT and UNOPS

- At the global level, the UNDP/GEF Executive Coordinator at headquarters remains accountable both within UNDP and to the GEF Council for the management and implementation of the GEF/SGP. Within the UNDP/GEF Unit, the GEF/SGP Central Programme Management Team (CPMT) is directly responsible for overall programme management and support of the country programmes. The CPMT focuses more intensively on providing operational guidance and support and on documenting and disseminating lessons from the program's community-based experiences.
- The UN Office of Project Services (UNOPS) is responsible for providing programme execution support services in the following areas: (1) personnel recruitment and contract administration for national project staff and national/international consultants; (2) subcontracts for host NGOs and country programme grant allocations; (3) budget administration, including monitoring of expenditures; (4) guidance on the above to country-level staff; and (5) supporting initiation of the programme in new countries.

Assessment on the support from CPMT and UNOPS to the GEF/SGP implementation in Vietnam

- The materials produced by CPMT, including the GEF/SGP Global Strategic Framework, the Communications Strategy, the M&E strategy, and the Resource Mobilization Strategy serve as a basis for GEF/SGP orientation for the development of country strategy and the operational mechanisms in Viet Nam.
- GEF/SGP in Vietnam has received adequate and effective programme execution and technical support from CPMT and UNOPS. The assistance provided by CPMT and UNOPS are timely and prompt with simplified formalities.
- The mechanisms of sharing information and experience through Exchange, Database, and global conferences are effective in implementing GEF/SGP. Thanks to the SGP Exchange, NC can easily and quickly get updated information and good examples of project proposals, country strategies and other key documents. It is also a very effective means for NCs to exchange experience and information and distributes lessons learned.

PART II

ASSESSMENT ON GEF/SGP IMPLEMENTATION AT THE PROJECT LEVEL

1. GEF/SGP project development process

a) Assessment on the criteria and procedures in GEF/SGP project appraisal and selection

In order to implement GEF/SGP in Viet Nam, basing itself on the GEF/SGP general criteria and the real conditions of Vietnam, and to achieve the objectives set out in the GEF/SGP country strategy, GEF/SGP has established the specific criteria and the procedures for selecting GEF/SGP projects in Vietnam.

- Criteria for selecting GEF/SGP projects:
 - Eligible organizations of GEF/SGP are Vietnamese NGOs/CBOs.
 - Eligible projects and activities are those in GEF/SGP focal areas of biodiversity conservation, climate change mitigation, and land degradation and desertification if it relates to biodiversity conservation and climate change mitigation. To be eligible for GEF/SGP support, a project proposed for funding must fit the national strategy of GEF/SGP and eligibility criteria approved by the NSC, as follows:
 - In the biodiversity focal area, activities must promote the conservation and sustainable use of biological resources in forest ecosystems, mountain ecosystems, coastal, marine and freshwater ecosystems, arid and semi-arid ecosystems, and agrobiodiversity.
 - In the focal area of climate change, activities must either demonstrate the removal of local barriers to energy conservation and energy efficiency, or promote the adoption of renewable energy.

- Activities must control and limit land degradation and desertification, aiming to conserving biodiversity and mitigating climate change.
- Eligible categories of projects: Within the GEF focal areas, the GEF/SGP in Vietnam has provided grants to support a wide range of community-based projects in the following categories: demonstration projects; capacity building; and policy study and analysis, policy dialogue, and information dissemination, networking, and awareness raising. Depending on specific local conditions and priorities, projects may consist of one or more components.
- The GEF/SGP in Vietnam has given priority to projects which:
 - Have innovative and experimental ideas rather than regular development projects
 - Adopt field-tested approaches that can be replicated and expanded to benefit the global environment; or that can be built on by other projects funded from other sources. Drawing lessons from community-based activities that will be of value to agencies charged with protecting the global environment will be a high goal of the GEF/SGP in Vietnam.
 - include local contributions (in-kind and cash) and cost-sharing by stakeholders;
 - demonstrate the sustainability of the project and activities;
 - directly link measures to conserve the environment to concerns for poverty alleviation and sustainable livelihoods; and
 - Show the integration of the GEF focal areas and operational programs with national and local environmental priorities, which enhances the possibilities for mobilizing in-kind and monetary resources from national and local key stakeholders.
- Procedures in GEF/SGP project appraisal and selection
 - The project proponent contacts the GEF/SGP the National Co-ordinator to receive project application guidelines.
 - With assistance from the NC and using the standard GEF/SGP format, the proponent prepares a brief project concept paper (2 pages maximum) and submits this to the NC.
 - The NC, in consultations with the NSC, screens the concept paper according to GEF criteria and criteria adopted by the NSC, and make the decision of planning grant if the project concept is judged eligible.
 - The NC informs the project proponent with eligible concept paper who prepares a full project proposal.
 - The project proposal submitted by the proponent is screened by NC. The project proposal is either cleared by the NC and submitted to the NSC, or it is returned to the project proponent with comments by the NC.
 - The NSC reviews the proposal and either accepts it, rejects it, or returns it to the proposer with a request that further work be done on formulating and refining the project idea.

- Proposals cleared by the NSC are submitted to UNDP Vietnam and CPMT for final clearance.
- Approved proposals enter the Vietnam GEF/SGP work programme.
- Assessment on the criteria and procedure for GEF/SGP projects appraisal and selection

Strengths:

- Consistent with the general criteria of global GEF/SGP and suitable to the real conditions of Vietnam
- GEF/SGP partners and key stakeholders are comfortable with the procedures for GEF/SGP project appraisal and selection. The procedures used by GEF/SGP are generally straightforward and easy to follow.
- The criteria and the procedures for GEF/SGP project appraisal and selection are clear-cut, logical, and effective. The division of the project appraisal and selection process into 2 stages of project concepts and full-blown project proposal contributes to enhancing the project quality. With this mechanism, GEF/SGP has gathered many project concepts from many organizations. The amount of project concepts received through the calls by GEF/SGP in the past 3 years has reached a total of 445 (Annex 6). The screening of the project concepts conforming to the GEF/SGP criteria has created conditions for the orientation of priorities in order to devote time and efforts of the NC and the NSC to assist the proposing organizations in designing projects and enhancing the project quality. This mechanism also assists GEF/SGP to identify priorities in funding planning grant, and as a result, promotes the effective use of planning grant. Among the 445 project ideas received, 50 project concepts were developed into full-blown projects which were then reviewed by the NSC. 28 out of these 50 project concepts were approved for planning grants. 24 out of these 28 planning grant projects were approved for funding by GEF/SGP.
- The currently used mechanism of project appraisal and selection ensures the transparency and has created trust among the GEF/SGP partners and key stakeholders.
- The guidelines on GEF/SGP project design and proposal writing and the related forms are clear-cut and detailed. It has provided a clear guidance for proponents in GEF/SGP project development and proposal writing.

▪ Shortfalls:

- The criteria set out in the GEF focal areas are so limited and narrow. This makes it difficult for proposing organisations to identify those project concepts that fit the GEF/SGP criteria. Besides, it is very hard to apply the GEF criteria on global benefit to small grants projects.
- The form of project proposal is far from simple to fit the capacity of the CBOs. The project proposal is high in requirement, especially in identifying success criteria of the project objectives and in setting out project objectives, outputs and activities.
- GEF/SGP partners, especially the CBOs, with a strong lack of knowledge and experience in project development and proposal writing, have to depend too much

on organizations which provide technical assistance during the process of project development.

b) Assessment on the quality of GEF/SGP approved projects

Strengths

- All the approved projects have proven to fit the GEF/SGP criteria.
- The project proposals are good in quality. The projects approved in 2000 and 2001 (totaling 21) have a better quality than those approved in 1998 and 1999 (7 in amount), thanks to the application of the planning grant mechanism which promoted the participation of local authorities, relevant agencies and community in the project area, and the strong technical assistance from the technical institutions.
- Another important factor in improving project quality is the priority given to the capacity building and experience exchange of project design and proposal writing through the training workshops.
- GEF/SGP has attracted the strong interest of local authorities, relevant agencies and technical institutions. The partnerships between GEF/SGP partners and key stakeholders have been well established and resulted in the strong support and assistance to be given to GEF/SGP partners in project development.

Shortfalls:

- Due to the very limited capacity of the GEF/SGP partners in identifying project concepts, designing and writing project proposals on environmental issues given priority by GEF/SGP, despite the big number of project concepts received, the proportion of project concepts that fit GEF/SGP criteria was low (Annex 6). There is still a significant gap in the number of concept papers received to the number of project approved. Many project concept papers submitted to the Programme did not meet GEF/SGP criteria. The main reasons for proposal concept papers rejection were that (1) the proposed project was not within the GEF focal areas; 2) activity proposed was not or did not support a community-based initiative; and 3) no innovative element in the focal context.
- The project concepts were still poor with repetition of ideas in the focal area of biodiversity (conservation and development projects in buffer zone of protected areas) and in the focal area of climate change (biogas or energy saving cookstoves projects).
- During GEF/SGP project development stage, inadequate attention has been paid to the integration of GEF/SGP projects into those with similar objectives which have been implemented in the same project site, and mainstreaming with macro GEF and UNDP projects.

2. GEF/SGP project implementation

a) Operational mechanism of implementing GEF/SGP projects

- GEF/SGP has developed and applied the ‘Manual on GEF/SGP project implementation and management’ which guides the GEF/SGP grantees in project implementation and management. The Manual stipulates in details the guiding

principles in GEF/SGP project management and implementation. The content of the Manual includes the grantees' responsibilities; the principles on recruiting project personnel; organization of training activities; procurement; reporting; monitoring and evaluation; and financial management.

- The key principles of GEF/SGP project management ensures the participation, flexibility and transparency, aiming at promoting the role of the community participation in project implementation and management.

b) Assessment on GEF/SGP project implementation

Strengths

The results of GEF/SGP programme review show that all the projects highly appreciated the efficiency and effectiveness of the GEF/SGP operational mechanism in project management and implementation.

Shortfalls

- The requirements of GEF/SGP in project management, especially the stipulations on financial management, were beyond the capacity of GEF/SGP partners, especially CBOs, and failed to fit the specific features of a number of remote areas in Viet Nam.
- Some projects, especially in the case of CBO grantees, have encountered some problems in project implementation and management due to the following reasons:
 - CBOs have limited experience in project management. Therefore, they have had difficulties in developing project workplans and writing monitoring records and reports. For some projects, which have agricultural activities depending on crops, due to bad planning, the project had to extend the duration of the project to achieve the project objectives.
 - Some projects have not been sound designed because of the limited time for project development when the GEF/SGP just launched in Vietnam in 1998. Some project objectives and activities had to be revised to fit better with the local context.
- Some grantees have not followed the GEF/SGP procedure and met the requirement in financial management and reporting which caused the delay in grant disbursement, and as a result, in undertaking project activities and achieving project anticipated outputs and objectives within project timeframe. The application of the GEF/SGP principles concerning the personnel recruitment in a number of GEF/SGP projects was not proper, resulting in the ineffective use of technical experts and low quality of training activities and limited technical assistance given to the projects.
- The operational mechanism in project implementation of GEF/SGP have not effectively motivated full participation of local authorities and relevant agencies. The results of the GEF/SGP closed project evaluation showed that 3 out of 28 GEF/SGP projects failed to mobilize the support from the local authorities and relevant agencies, resulting in a limited achievement of project objectives and outputs, and reducing the sustainability of the projects when the projects ended.

c) Impacts of GEF/SGP projects:

- The results of GEF/SGP programme review show that most of GEF/SGP projects were successful, contributing to raising awareness among community, local authorities and agencies on GEF, GEF/SGP and environmental issues in the GEF focal areas.
- Capacity of GEF/SGP partners in project management has been considerably improved through implementing and managing GEF/SGP projects, participating in GEF/SGP capacity building activities in project management, such as training workshops and exchange visits to share experience among GEF/SGP projects. This has provided GEF/SGP partners with opportunities to improve their understanding and gather experience in project management.
- Implementing GEF/SGP projects have significantly contributed to promoting the grantees' prestige towards their local authorities and relevant agencies, and community, creating favorable conditions for their organisations to perform better their functions and responsibilities in encouraging and motivating their communities to better perform the government's policies and programs.
- GEF/SGP projects have brought about benefit to the communities in all aspects, including increasing people's income and improving their living standards and environment. Local authorities and the communities have appreciated the contribution of the project to their communes and communities.
- Another key result of GEF/SGP projects is that working partnership has been well established among GEF/SGP local key stakeholders at the local level, and between GEF/SGP local key stakeholders and national technical institutions. This partnership has resulted in the mobilization of contributions, both in-kind and in cash, from the local authorities, relevant agencies and communities to GEF/SGP projects (Annex 3). This contribution played a major role in not only increasing the project budget but also in promoting the commitment of partners and key stakeholders to GEF/SGP projects, and contributed to GEF/SGP project sustainability.

3. GEF/SGP project monitoring and evaluation

a) Operational mechanism of GEF/SGP project monitoring and evaluation

- GEF/SGP stipulates the principles on project monitoring and evaluation through the mechanism of developing project quarterly workplans and budget, through project site visits, project mid-term review, and project evaluation at the end of the project. The key objective of GEF/SGP project monitoring and evaluation is to ensure project implementation progress according to the developed workplan, to apply correctly the GEF/SGP operational mechanism in project management, to adjust projects in due time against the difficulties and changes arising during project implementation, in order to achieve the objectives set out in the project proposal. Success criteria identified in GEF/SGP project proposals are the milestones to measure the level of achieving project objectives.
- GEF/SGP promotes community participation in GEF/SGP project monitoring and evaluation.

- The ‘Manual on GEF/SGP project implementation and management’ stipulates in detail the grantees’ responsibilities and the tools to be used in GEF/SGP project monitoring and evaluation.

b) Assessment on the application of GEF/SGP operational mechanism in project monitoring and evaluation

Strengths

- GEF/SGP places an important role on project monitoring and evaluation, and gives high priority to this task. Building capacity of GEF/SGP grantees in GEF/SGP project monitoring and evaluation is one of the main objectives of the training workshops on GEF/SGP project implementation and management.
- The currently used operational mechanism of GEF/SSSGP in project monitoring and evaluation has been proven effective, creating favorable conditions for the participation of local authorities and relevant agencies, and of community.
- The effectiveness of GEF/SGP project implementation was ensured and promoted thanks to close monitoring and supervision. The evaluation results of closed GEF/SGP projects showed that close monitoring and supervision is a decisive factor of the projects’ successes.

Shortfalls

- GEF/SGP partners, especially CBOs, have limited capacity in project monitoring and evaluation. They lacked skills to develop M&E plans and had difficulties in identifying success criteria in project proposals, and collecting data and information, and using these success criteria to measure project’s success during project implementation.
- GEF/SGP monitoring and evaluation strategy is not detailed in the GEF/SGP country strategy
- Participation of UNDP Viet Nam and the NSC members in GEF/SGP project is limited due to their busy schedule.

CHAPTER IV

LESSONS LEARNED AND RECOMMENDATIONS

I. LESSONS LEARNED

1. The task of raising public awareness of GEF and GEF/SGP among local authorities, relevant agencies and community where GEF/SGP projects take place is of major significance. It needs to be carried out in the first place and in a regular manner. It is crucial to raise awareness and understanding among GEF/SGP partners and key stakeholders through the dissemination of information on the GEF/SGP criteria right at the stage of project development.
2. The community's ownership, response, acceptance and participation into the process of project development and implementation is a decisive factor for GEF/SGP project success and sustainability. The linkage between conservation activities and sustainable livelihoods should be made to ensure the project's sustainability. It is therefore necessary to mobilize funds from other sources to support community income generating activities to assist the community in replacing environmentally adverse exploitation measures with more sustainable ones in order to meet the community's needs and secure the project's sustainability. The revolving loan programme managed by the community-based organisations proves to be suitable to income-generating activities, ensuring equality, raising awareness and responsibilities, getting rid of dependability among both the community and the local government, as well as the mechanism of begging-giving, especially among the ethnic minorities, and increasing the financial sustainability of the projects. The projects implemented among the ethnic minorities need the participation of the village-heads or hamlet heads into the project management team in order to bring about confidence and create conditions for mobilizing the community to take part into the project.
3. Conducting surveys and investigations in project development with the full participation of local key stakeholders, including local authorities and relevant agencies, and communities, is an important factor contributing to the project success. Building the GEF/SGP partners' capacity through training workshops on project development and implementation, and through the planning grant mechanism plays a decisive role in enhancing the quality of project proposals and the efficiency and effectiveness of project implementation.
4. In project implementation, it is necessary to assist grantees in building detailed project workplans suitable to the local conditions in order to ensure the progress of project implementation and achievement of project objectives within the project timeframe.
5. The simplified mechanism is needed to create favorable conditions in project implementation. The role and the pledged contribution by local governments is very necessary for the project implementation, replication and sustainability. Local governments are important partners in project planning and implementation. Ownership of GEF/SGP projects by local governments is very important and is one of the elements that could contribute to project sustainability. They also help in project promotion, resource mobilization and

networking of CBOs and NGOs. All projects should be included in the development plans of these local governments so that they are integrated in the localities' development efforts and not isolated. In addition, the results of the programme review show the practical benefits of working with local organisations already operating in close proximity to the project locations. Priorities should not be given if the project implementing agency is too far from the project site as this does require great expenses in project management and does not ensure close monitoring and supervision during project implementation.

6. It is possible to access both in-kind and cash co-financing at both program and project levels. In-kind contributions are the most common with CBOs and other community groups. More cash co-financing could be available from donor, governmental and non-governmental partners if GEF/SGP developed a strategy for accessing them.
 - The sources that GEF/SGP could mobilize (co-financing or parallel) at the program level are the small grants programs funded by the embassies, such as the Australian and Japanese Embassies, the Swedish Embassy with Swedish Environment Fund (SEF), the Canadian Embassy with Local Initiative Programme, the Dutch Embassy with Local Environment Fund (LEF), executed by SNV; and other international NGOs, such as International Maritime Alliances (IMA), Flora and Fauna International (FFI), etc. At the project level, the sources that GEF/SGP projects could mobilize are from local authorities and agencies managing funds for scientific research and demonstration projects, such as DOSTEs. These funds are often granted to the local agencies, with a priority for projects demonstrating new technologies, or studying pressing issues in local socio-economic development and environmental protection.
 - Besides, mainstreaming GEF/SGP projects into the national and local programmes and projects also provides opportunities for co-financing.
7. Monitoring, supervising and evaluation is of major importance, which helps to ensure the efficiency and effectiveness of project implementation. It is necessary to boost project monitoring and evaluation to adjust the project in due time to conform to the changes of the project enabling environment.
8. The GEF/SGP assistance in project development and implementation is very necessary, significantly contributing to enhancing the project quality and implementation efficiency.
9. Small grants projects (<USD10,000) with a short duration (1 year) did not show clear impact and did not match with the invested funds and efforts in project development, and failed to attract the attention from local authorities and related agencies and to mobilize financial contributions.
10. The volunteering mechanism of the NSC has limited the members' contribution to GEF/SGP activities because the NSC members always have a very busy schedule. The Terms of Reference for the NSC indicate activities that are time demanding and cannot be reconciled with voluntary participation.

II. RECOMMENDATIONS

1. Recommendations on adjusting the contents and implementation of GEF/SGP country strategy

- a) Eligibility criteria on selecting projects:
 - It is necessary to explore enabling activities and the operational programs in GEF focal areas to enlarge the GEF/SGP eligibility criteria in Vietnam, creating favorable conditions for GEF/SGP partners to propose project ideas which fit GEF/SGP criteria. Potential projects and activities related to integrated ecosystem management (OP 12), agrobiodiversity conservation (OP 13), persistent organic pollutants (POPs) and adaptation activities in climate change focal area, should be identified and supplemented in the thematic focus of the GEF/SGP in Viet Nam.
 - Priority should be given to projects aiming at contributing to developing government policies in promoting community's role and participation in environmental management in GEF focal areas.
 - GEF/SGP should continue using the thematic focus as guiding principles followed by geographic considerations especially in cases where there are competing proposals for the same fund. Geographic location issues should be considered in the interest of minimizing costs in supervision of planning, implementation and monitoring activities. In the long-term, technical and geographical focus should be considered to make it easier for GE/SGP to implement, monitor, supervise, and to demonstrate global benefits.
 - Taking into the limited capacity of GEF/SGP partners, especially CBOs, in project development and implementation, involvement and participation of local key stakeholders, including local authorities and relevant agencies, should be seen as conditionality for GEF/SGP project selection.
- b) The issue of mainstreaming needs to be given additional attention particularly at the project level. GEF/SGP should make all efforts to establish a strong link with UNDP and large GEF projects in the country, aiming to mobilize technical assistance in project identification, development and implementation for GEF/SGP partners.
- c) Priority should continue to be given to capacity building in project identification, development and implementation for GEF/SGP partners.
- d) Attention should be given to financial mobilization at program and project levels. GEF/SGP strategy in resource mobilization should be developed and implemented, aiming to access available direct and parallel financing. GEF/SGP should explore opportunities to access available direct and parallel financing for GEF/SGP through:
 - Establishing and promoting cooperative relationship, promoting sharing and exchanging information and experience with small grants programs of other donors and other sources at the local level to seek direct and parallel financing for non-GEF activities, such as income generating activities and upgrading small rural infrastructure to meet the needs of the local people and authorities.

- As much as possible, GEF/SGP should be represented at various donor fora in the country. Efforts should be made by GEF/SGP to institutionalize resource mobilization through organizing regular fora for stakeholders interested in small grants support.
 - Resource mobilization should continue to be a conditionality for accessing GEF/SGP grants. Availability of matching funds at project level should be a priority in selecting projects for funding. In all cases, potential grantees have demonstrated the ability to provide the matching funds, especially with in-kind contribution. GEF/SGP should provide guidelines and develop tools to assist beneficiaries quantify in-kind contributions.
 - Specific limits of financial contributions to GEF/SGP projects should be set (in cash or in other forms) in order to enhance the commitment, role and participation of the locality in implementing GEF/SGP projects, ensuring the project sustainability.
 - Lessons learned and best practices in resource mobilisation should be documented and disseminated among GEF/SGP partners to enhance the possibility of resource mobilization at project level.
- e) GEF/SGP strategy on communications should be developed and implemented, aiming to promote visibility of GEF/SGP, awareness raising and improved quality in project design and management, and enhance resource mobilization. The strategy should focus on the following issues:
- Continuing to use the current forms of communications. GEF/SGP should continue to seek UNDP's support to increase its visibility and improve its performance in communications and outreach activities.
 - Priority should be given to communications activities at both program and project levels. There should be a component on communications in each individual project to promote the visibility and raise awareness among the public on GEF, GEF/SGP and environmental issues in GEF focal areas through the dissemination of communications materials such as billboards, diaries, brochures, calendars.
 - Contents and language in the GEF/SGP materials should be simple and clear. The contents should focus more on the GEF/SGP specific criteria and priorities concerning global benefits in GEF focal areas, on GEF characters of co-financing, of innovative projects and replication, of technical assistance and capacity building.
 - Publishing GEF/SGP Newsletter (quarterly or semi-annual) to disseminate information and share experience of GEF/SGP in Viet Nam and in other participating countries
 - Resource mobilization should be one of the key objectives of communications activities
 - Learned lessons and best practices in communications should be documented and disseminated among GEF/SGP partners and key stakeholders and other small grants programmes
 - Grants should be given to propaganda activities aimed at raising the awareness on various relevant occasions and events, such as World Environment Day, Biodiversity Day, Vietnamese Forestry Day, poverty alleviation day,...

2. Recommendations on project development

GEF/SGP should continue to use the current mechanism in project development, giving priority to improving project quality through the following activities:

- Priority should be given to capacity building for GEF/SGP partners; promotion of information and experience exchange; organisation of training workshops and exchange visits; and documentation and dissemination of lessons learned and best practices in project development and proposal writing.
- Adequate attention should be paid to geographical locations in conducting training workshops. GEF/SGP information has been widely but unevenly disseminated and has not popular in the provinces in Central and Southern Vietnam.
- The planning grant mechanism for project development should continue to be used. Planning grant should be increased to 2,000USD in case needed (baseline and EIA to be undertaken at the planning stage of the project). Baseline data is extremely important if projects are required to show changes overtime and global impact as a result of a certain intervention.
- Participation of community, local authorities and relevant agencies is required during project development stage. The project proposals submitted to the NSC for review must include the minutes of the consultative meeting with the participation of local authorities and agencies and community.
- The time and the scale of project budget should be greater in order to demonstrate a clear impact of the project upon completion.
- Adequate attention should be paid to enhance collaboration of GEF/SGP projects with existing/planned programs and project in the same project areas during project development stage.
- Promote the mechanism of co-implementing organisation which provide technical assistance and consultancy to help the CBOs during the process of project development and implementation. The role of the socio-professional organizations should be stressed in this mechanism.
- A network of collaborators should be formed to assist GEF/SGP in providing assistance to proposing organizations during project development and implementation, monitoring and evaluation.
- The project budget lines should be re-allocated according to the following budget proportion: budget line of personnel 30%; budget line of equipment and materials for demonstration models: 45%; budget line of training: 10%; and budget line of project management and monitoring and evaluation, and other costs: 15%. GEF/SGP norms should be identified to make it easy for proponents to develop their project budget.

3. Recommendations on GEF/SGP project implementation

GEF/SGP should continue to use the current mechanism of project implementation, giving priority to improving effectiveness in project implementation through the following activities:

- Priority should be given to building the capability of GEF/SGP grantees in project management and implementation and to sharing experience.

- Policy of phase II should be formulated and applied to projects successful in phase I with new project ideas to enhance the project results and impact achieved in phase I, create enabling environment for project replication, or upscale the projects to a bigger one. This policy also aims at encouraging the project implementing organisations to better implement the projects.
- Visits by the NC and the NSC should be conducted more regularly to assist grantees in project implementation.
- Enhancement in project personnel recruitment and management should be performed through closer supervision and monitoring of GEF/SGP, the requirement of TORs in the project proposals submitted to GEF/SGP for review and of the minutes of the project management team on personnel recruitment.
- GEF/SGP should continue to identify all central and field-based programs and projects with which it shares common concerns and goals, and pro-actively approach them to promote collaboration and synergy at the programme and project levels.
- There need to be representatives from local government in the membership of the project management team, especially in projects managed by local NGOs which are not based in the project location.
- The manual on GEF/SGP project development and implementation should be simplified in both content and language.
- Project auditing should be performed at least once during project duration in order to enhance the efficiency of project financial management.

4. Recommendations on monitoring, supervising and evaluation of GEF/SGP projects

- GEF/SGP monitoring and evaluation strategy should be developed based on the global GEF strategy in monitoring and evaluation.
- GEF/SGP should involve local relevant agencies in assisting GEF/SGP in project monitoring, supervising and evaluation.
- The role and participation of the community should be promoted in project monitoring and evaluation.
- Project monitoring and evaluation should be a major content in the training workshops on project management and implementation.
- Project success criteria to measure the achievement of project objectives should be clearly identified in the project proposal.

Annex 1

GEF/SGP Country Programme Review

Questionnaire 1

This questionnaire was sent to NSC members to collect information for the GEF/SGP country programme review. It consists of 7 questions, focusing on the assessment and recommendations of NSC members on the following issues.

- NSC TOR and working procedure
- NSC meetings organised by GEF/SGP secretariat
- Working relationships between NSC and GEF/SGP secretariat
- Criteria and procedure for GEF/SGP project appraisal and selection
- Operational mechanisms in GEF/SGP project development, implementation and M&E
- Format of project concept and proposal
- Quality of approved projects
- Results of GEF/SGP project implementation

Questionnaire 2

This questionnaire was sent to collect information for the GEF/SGP country programme review to GEF/SGP partners and key stakeholders, including:

- Grantee organisations
- Project management team members
- Technical institutions who have involved in GEF/SGP project development and implementation
- Project technical consultants
- Authorities and relevant agencies, and community of the localities where GEF/SGP has taken place

The questionnaire consists of 8 questions, focusing on the assessment and recommendations on the following issues.

- Understanding on GEF and GEF/SGP
- Criteria and procedure for GEF/SGP project appraisal and selection

- Operational mechanisms in GEF/SGP project development, implementation and M&E; and capacity building for GEF/SGP partners and key stakeholders
- Planning grant mechanism
- Results and impact of GEF/SGP project implementation
- Working relationships between GEF/SGP secretariat and project
- GEF/SGP support and assistance in project development and implementation

Annex 2
GEF/SGP Country Programme Review
TABLE OF VISITING PROJECTS

<i>No.</i>	<i>Project number and title</i>	<i>Grantee's name</i>	<i>Project location</i>	<i>Duration</i>	<i>GEF Focal area & Operational Programs</i>	<i>GEF/SGP grant amount (USD)</i>
1.	<i>SGP/VN/98/001 Conservation of endemic medicinal plants in Vinh Tuong district (*)</i>	<i>Institute of Ecological Economy</i>	<i>Bình Dương Commune, Vĩnh Tường District, Vĩnh Phúc Province</i>	<i>1/1999-2/2001</i>	<i>Biodiversity OP3</i>	<i>13,500</i>
2.	<i>SGP/VN/98/002 Promoting organic farming by application of biofertilizer and compost (*)</i>	<i>Women's Association of Tân Lĩnh Commune</i>	<i>Tân Lĩnh, Ba Trại, Vân Hoà Commune, Ba Vì District, Hà Tây Province</i>	<i>1/1999-3/2001</i>	<i>Biodiversity & Climate Change OP3</i>	<i>12,500</i>
3.	<i>SGP/VN/98/003 Developing a model for sustainable animal husbandry by adopting biogas for animal waste treatment (*)</i>	<i>Centre for Animal Advisory-Training and Technology Transfer</i>	<i>Cán Hữu Commune, Quốc Oai District, Hà Tây Province</i>	<i>1/1999-12/2000</i>	<i>Climate Change OP6</i>	<i>12,203</i>
4.	<i>SGP/VN/99/005 Biodiversity Conservation Project in Xuan Thuy Ramsar Nature Reserve in Nam Dinh Province (*)</i>	<i>Farmers' Association of Giao Thủy District, Nam Dinh Province</i>	<i>Giao An, Giao Lạc, Gia Xuân, Giao Thiện Commune, Giao Thủy District, Nam Định Province</i>	<i>10/1999 - 3/2001</i>	<i>Biodiversity OP2</i>	<i>18,190</i>
5.	<i>SGP/VN/99/010 Biodiversity Conservation Project in Van Long, a local nature reserve (*)</i>	<i>Farmers' Association of Gia Vân Commune, Gia Viễn District, Ninh Bình Province</i>	<i>Gia Vân Commune, Gia Viễn District, Ninh Bình Province</i>	<i>10/1999-3/2001</i>	<i>Biodiversity OP2</i>	<i>15,040</i>

6.	<i>SGP/VN/99/004 Developing the bird sanctuary of Chi Lang Nam into a centre for environmental education</i>	<i>Association of Environmental Education of Hai Duong City</i>	<i>Chi Lăng Nam Commune, Thanh Miện District, Hải Dương Province</i>	<i>9/2000-9/2002</i>	<i>Biodiversity OP2</i>	<i>17,327</i>
7.	<i>SGP/VN/99/023 Contributing to biodiversity conservation of Tam Dao National Park</i>	<i>Farmers' Association of Vinh Phuc Province</i>	<i>Đại Đình, Tam Quan Commune (Tam Dương District) and Đạo Trù Communes (Lập Thạch District), Vĩnh Phúc Province</i>	<i>9/2000-9/2003</i>	<i>Biodiversity OP3</i>	<i>27,054</i>
8.	<i>VIE/00/007 Developing a model of sustainable use of naturally regenerated chestnut forest in Chi Linh District, Hai Duong Province</i>	<i>The Tropical Silviculture and Environment Research Centre</i>	<i>Bắc An & Hoàng Hoa Thám Communes, Chí Linh District, Hải Dương Province</i>	<i>6/2001-10/2004</i>	<i>Biodiversity OP3</i>	<i>35,952</i>

(*) Closed projects

Annex 3
GEF/SGP in Viet Nam
TABLE OF GEF/SGP APPROVED PROJECTS

No.	Project number and title	Grantee's name	Project location	Duration	GEF Focal area & Operational Programs	Project Budget		
						Total budget (USD)	GEF/SGP grant amount (USD)	Cofinancing amount (in kind and cash) (USD)
1.	SGP/VN/98/001 Conservation of endemic medicinal plants in Vinh Tuong district (*)	Institute of Ecological Economy	Bình Dương Commune, Vĩnh Tường District, Vĩnh Phúc Province	1/1999-2/2001	Biodiversity OP3	17,208.36	13,500	3,708.36
2.	SGP/VN/98/002 Promoting organic farming by application of biofertilizer and compost (*)	Women's Association of Tan Linh Commune	Tân Lĩnh, Ba Trại, Vân Hoà Commune, Ba Vì District, Hà Tây Province	1/1999-3/2001	Biodiversity & Climate Change OP3	14,500	12,500	2,000
3.	SGP/VN/98/003 Developing a model for sustainable animal husbandry by adopting biogas for animal waste treatment (*)	Centre for Animal Advisory-Training and Technology Transfer	Cấn Hữu Commune, Quốc Oai District, Hà Tây Province	1/1999-12/2000	Climate Change OP6	24,229	12,203	12,026
4.	SGP/VN/98/004 Using coffee cover to grow edible mushroom and produce biofertilizer in order to increase coffee yield and protect the environment (*)	Hanoi Biological Branches Association	Hoà Thỉnh Commune, Buôn Mê Thuột City, Đắk Lắk Province	1/1999-6/2000	Biodiversity & Climate Change OP3	15,845	11,345	4,500
5.	SGP/VN/99/005 Biodiversity Conservation Project in Xuan Thuy Ramsar	Farmers' Association of Giao Thuy	Giao An, Giao Lạc, Gia Xuân, Giao Thiện Commune,	10/1999 - 3/2001	Biodiversity OP2	30,417	18,190	12,227

	<i>Nature Reserve in Nam Dinh Province (*)</i>	<i>District, Nam Dinh Province</i>	<i>Giao Thủy District, Nam Định Province</i>					
6.	<i>SGP/VN/99/008 Biodiversity Conservation Project in Chu Yang Sin Nature Reserve, Daklak Province (*)</i>	<i>Youth Union of Daklak Province</i>	<i>Hoà Phong Commune, Krông Bông District, Đắk Lắk Province</i>	<i>10/1999-3/2001</i>	<i>Biodiversity OP3</i>	<i>26,889</i>	<i>17,903</i>	<i>8,986</i>
7.	<i>SGP/VN/99/010 Biodiversity Conservation Project in Van Long, a local nature reserve (*)</i>	<i>Farmers' Association of Gia Van Commune, Gia Vien District, Ninh Binh Province</i>	<i>Gia Vân Commune, Gia Viễn District, Ninh Bình Province</i>	<i>10/1999-3/2001</i>	<i>Biodiversity OP2</i>	<i>24,102</i>	<i>15,040</i>	<i>9,062</i>
8.	<i>SGP/VN/99/004 Developing the bird sanctuary of Chi Lang Nam into a centre for environmental education</i>	<i>Association of Environmental Education of Hai Duong City</i>	<i>Chi Lăng Nam Commune, Thanh Miện District, Hải Dương Province</i>	<i>9/2000-9/2002</i>	<i>Biodiversity OP2</i>	<i>38,048</i>	<i>17,327</i>	<i>20,721</i>
9.	<i>SGP/VN/99/020 Contributing to biodiversity conservation of Bach Ma National Park</i>	<i>Women Union of Phu Loc District, Thua Thiên Hue Province</i>	<i>Lộc Trì Commune, Phú Lộc District, Thừa Thiên Huế Province</i>	<i>9/2000-9/2003</i>	<i>Biodiversity OP3</i>	<i>35,626</i>	<i>21,387</i>	<i>14,239</i>
10.	<i>SGP/VN/99/021 Contributing to biodiversity conservation of Cat Ba National Park through community activity</i>	<i>Women Union of Cat Hai District, Hai Phong City</i>	<i>Gia Luận và Việt Hải Commune, Cát Hải District, Hải phòng Province</i>	<i>9/2000-9/2003</i>	<i>Biodiversity OP3</i>	<i>27,904</i>	<i>24,782</i>	<i>2,312</i>
11.	<i>SGP/VN/99/023 Contributing to biodiversity conservation of Tam Dao National Park</i>	<i>Farmers' Association of Vinh Phuc Province</i>	<i>Đại Đình, Tam Quan Commune (Tam Dương District) and Đạo Trù Communes</i>	<i>9/2000-9/2003</i>	<i>Biodiversity OP3</i>	<i>32,333</i>	<i>27,054</i>	<i>5,279</i>

			(Lập Thạch District), Vĩnh Phúc Province					
12	SGP/VN/99/028 Sustainable cultivation on sloping land with endemic species	Farmers' Association of Trung Khanh District, Cao Bang Province	Thông Huệ and Phong Châu Commune, Trùng Khánh District, Cao Bằng Province	9/2000-9/2003	Biodiversity OP4	22,497	17,514	4,983
13	VIE/00/001 Contributing to solving land degradation and desertification by developing an agroforestry model which promotes grafted cashew development in the waste and barren lowland in the southern central coastal areas	Farmers' Association of Cam Ranh Township, Khanh Hoa Province	Cam An Bắc Commune, Cam Ranh Township, Khánh Hoà Province	6/2001-10/2004	Biodiversity OP???	79,278	50,000	29,278
14	VIE/00/002 Promoting energy saving and efficiency technologies among rural communities in coastal areas of Binh Son District, Quang Ngai Province	Women Union of Quang Ngai Province	Bình Thới, Bình Trung, Bình Dương Communes, Bình Sơn District, Quảng Ngãi Province	6/2001-2/2004	Climate Change OP5	48,323	28,735	19,588
15	VIE/00/003 Developing the model promoting sustainable use of indigenous bamboo forest in Nguyệt An Commune, Ngọc Lặc District, Thanh Hoa Province	Consultant Centre for Investment and Development of Science Technology and Environment of Thanh Hoa Province	Nguyệt ấn Commune, Ngọc Lặc District, Thanh Hoá Province	6/2001-10/2004	Biodiversity OP3	44,484	28,608	15,876

16.	VIE/00/004 <i>Developing a model of vertical brick kiln with high efficiency</i>	<i>Vietnam Thermal Technology and Science Association</i>	<i>Xuân Quan Commune, Văn Giang District, Hưng Yên Province</i>	6/2001-3/2003	<i>Climate Change OP5</i>	56,406	32,145	24,261
17.	VIE/00/007 <i>Developing a model of sustainable use of naturally regenerated chestnut forest in Chí Linh District, Hải Dương Province</i>	<i>The Tropical Silviculture and Environment Research Centre</i>	<i>Bắc An & Hoàng Hoa Thám Communes, Chí Linh District, Hải Dương Province</i>	6/2001-10/2004	<i>Biodiversity OP3</i>	53,375	35,952	17,423
18.	VIE/00/008 <i>Conservation and sustainable use of indigenous medicinal plants of the Cao Lan ethnic minority in Doi Can Commune, Yen Son District, Tuyen Quang Province</i>	<i>Association of Traditional Medicine of Tuyen Quang Province</i>	<i>Đội Cấn Commune, Yên Sơn District, Tuyên Quang Province</i>	6/2001-10/2004	<i>Biodiversity OP4</i>	50,542	32,604	17,938
19.	VIE/00/009 <i>Training workshops on GEF/SGP project design and proposal writing (*)</i>	<i>Association of Forestry Science and Technology, University of Forestry</i>	<i>Hà Tây</i>	6/2001 - 12/2001		7,967	7,967	
20.	VIE/00/010 <i>Training workshop on GEF/SGP project implementation and management (*)</i>	<i>Association of Conservation of Nature and the Environment, Bach Ma National Park</i>	<i>Huế</i>	7-8/2001		13,233	13,233	
21.	VIE/01/009 <i>Community awareness raising</i>	<i>Viet Nam Biological</i>	<i>Vĩnh Phúc, Nam Định, Hải Dương,</i>	11/2001-2/2002	<i>Biodiversity</i>	60,390	50,000	10,390

	<i>campaigns on forestry on the occasion of Forestry Day in Viet Nam (*)</i>	<i>Branches Association</i>	<i>Huế, Đông Tháp, Vũng Tàu, Đồng Nai, Hồ Chí Minh, Hà Nội, Tuyên Quang, Thanh Hoá, Gia Lai, Hoà Bình</i>					
22	<i>VIE/01/001 Contributing to biodiversity conservation of the freshwater and forest ecosystems of Cam Son, Bac Giang province</i>	<i>Union of Science and Technology Associations of Bac Giang Province</i>	<i>Sơn Hải, Cẩm Sơn, Hồ Đập and Tân Sơn Communes, Lục Ngạn District, Bắc Giang Province</i>	<i>2/2002-6/2005</i>	<i>Biodiversity OP2&6</i>	<i>79,819</i>	<i>50,000</i>	<i>29,819</i>
23	<i>VIE/01/002 Preventing desertification in coastal area in Ha Tinh Province</i>	<i>The Association for Sustainable Life of Ha Tinh Province</i>	<i>Thạch Đĩnh Commune, Thạch Hà District, Hà Tĩnh Province</i>	<i>2/2002-6/2005</i>	<i>Climate Change</i>	<i>67,460</i>	<i>49,475</i>	<i>17,985</i>
24	<i>VIE/01/003 Contributing to the biodiversity conservation of the freshwater ecosystems of Ao Chau, Phu Tho province</i>	<i>Veteran's Association of Ha Hoa District, Phu Tho Province</i>	<i>Hạ Hoà Town, Ấm Hạ & Y Sơn Communes, Hạ Hoà District, Phú Thọ Province</i>	<i>1/2001-12/2004</i>	<i>Biodiversity OP2&6</i>	<i>86,347</i>	<i>49,475</i>	<i>36,872</i>
25	<i>VIE/01/005 Contributing to the conservation of dipterocarpaceae and restoration of its ecosystem in Phu Tho province</i>	<i>Farmers' Association of Thanh Sơn District, Phu Tho Province</i>	<i>Thạch Kiệt, Tân Phú and Sơn Hùng Communes, Thanh Sơn District, Phú Thọ Province</i>	<i>1/2001-12/2004</i>	<i>Biodiversity OP3</i>	<i>73,210</i>	<i>49,208</i>	<i>24,002</i>
26	<i>VIE/01/006 Contributing to the conservation of Cunninghamia konishii hayata in Nghe An province</i>	<i>Association of Forestry Science and Technology of Nghe An Province</i>	<i>Tây Sơn Commune, Kỳ Sơn District, Nghệ An Province</i>	<i>1/2001-12/2004</i>	<i>Biodiversity OP4</i>	<i>69,790</i>	<i>50,000</i>	<i>19,790</i>
27	<i>VIE/01/007</i>	<i>Farmers'</i>	<i>Cam Hải Đông</i>	<i>2/2002-</i>	<i>Biodiversity</i>	<i>75,774</i>	<i>50,000</i>	<i>25,774</i>

	<i>Contributing to the conservation of shorea falcata and restoration of the ecosystem in coastal sandy area of southern central areas in Viet Nam</i>	<i>Association of Song Cau District, Phu Yen Province</i>	<i>Commune, Cam Ranh Township, Khánh Hoà Province and Xuân Hoà, Xuân Hải Commune, Sông Cầu District, Phú Yên Province</i>	<i>6/2005</i>	<i>OP1&5</i>			
28	<i>VIE/01/008 Contributing to the conservation of Van Long Nature Reserve</i>	<i>Farmers' Association of Gia Van Commune</i>	<i>Gia Viễn District, Ninh Bình Province</i>	<i>2/2002-6/2004</i>	<i>Biodiversity OP2</i>	<i>78,144s</i>	<i>50,000</i>	<i>28,144</i>

Annex 4
GEF/SGP in Viet Nam
TABLE OF PLANNING GRANTS

No.	Project number and title	Grantee's name	GEF/SGP grant amount (US\$)
1	SGP/VN/99/021 (P) Biodiversity conservation of Cat Ba National Park	Women Union of Cat Hai District, Hai Phong City	452
2	SGP/VN/99/024 Conservation of mangrove forest	Farmers' Association of Vinh City, Nghe An Province	380
3	SGP/VN/99/026 Conservation of traditional rice genetic resources	Women Union of Dao Duc Commune, Vi Xuyen District, Ha Giang Province	523
4	SGP/VN/99/027 Conservation of medicinal plants of Cao Lan ethnic minorities	Ethnomedicinal Association of Tuyen Quang Province	523
5	SGP/VN/99/028 (P) Sustainable cultivation of sloping land	Farmes' Association of Trung Khanh District, Cao Bang Province	523
6	SGP/VN/99/029 Sustainable use of bamboo forest of Thanh Hoa province	Consultant Centre for Investment and Development of Science Technology and Environment of Thanh Hoa Province	523
7	SGP/VN/99/030 Non-timber forest product project	Farmers' Association of Hoa Binh Province	473
8	SGP/VN/99/031 Biodiversity conservation of Ben En national park	Youth Union of Thanh Hoa Province	452
9	SGP/VN/00/001 Combating land degradation and desertification in South Central Provinces through an agroforestry model on barren sloping land	Farmers' Association of Hoai Nhon District, Binh Dinh Province	994
10	SGP/VN/00/007 Developing a model of sustainable use of regenerated chestnut forest in Chi Linh District, Hai Duong Province	The Tropical Silviculture and Environment Research Centre	537
11	SGP/VN/00/002 Developing a model of energy saving cookstove in coastal communes of Quang Ngai Province	Women Union of Quang Ngai Province	488
12	SGP/VN/00/004 Developing a model of vertical brick kiln with high efficiency	Vietnam Thermal Technology and Science Association	403
13	SGP/VN/00/005 Developing a demonstration project on using biogas for household lighting and electricity generation	Youth Union of Quang Tri Province	640
14	VIE/01/001 (P) Contributing to biodiversity conservation of the freshwater and forest ecosystems of Cam Son, Bac Giang province	Union of Science and Technology Associations of Bac Giang Province	997
15	VIE/01/002 (P) Preventing desertification in coastal area in Ha Tinh Province	The Association for Sustainable Life of Ha Tinh Province	577

16	VIE/01/003 (P) Contributing to the biodiversity conservation of the freshwater ecosystems of Ao Chau, Phu Tho province	The Centre for Natural Resources and Environment Studies	570
17	VIE/01/004 (P) Promoting energy savings and efficiency use in paper-making industry in Bac Ninh Province	The Non-State Economic Development Centre	629
18	VIE/01/005 (P) Contributing to the conservation of dipterocarpaceae and restoration of its ecosystem in Phu Tho province	The Assistance for Natural Conservation and Community Development Centre	729
19	VIE/01/006 (P) Contributing to the conservation of Cunninghamia konishii hayata in Nghe An province	Association of Forestry Science and Technology of Nghe An Province	722
20	VIE/01/007 (P) Contributing to the conservation of shorea falcata and restoration of the ecosystem in coastal sandy area of southern central areas in Viet Nam	Farmers' Association of Song Cau District, Phu Yen Province	990
21	VIE/01/008 (P) Contributing to the conservation of Van Long Nature Reserve	Farmers' Association of Gia Van Commune, Gia Vien District, Ninh Binh Province	749
22	VIE/01/010 (P) Developing a community project to conserve indigenous fruit tree species of the ecosystem in the low-lying delta of Ly Nhan District, Ha Nam Province	The Institute for Asia Pacific Science Technology Research Cooperation, Union of Science and Technology Associations of Viet Nam	923
23	VIE/01/011 (P) Conservation and development of genetic resources of chicken species of special use for medicine	The Viet Nam Husbandry Association	997
24	VIE/01/012 (P) Developing a community model to reduce CH4 emission from paddy rice cultivation in Dien Ban District, Quang Nam Province	Farmers' Association of Dien Ban District, Quang Nam Province	850
	Total		15,644

Annex 5
GEF/SGP in Viet Nam
NATIONAL STEERING COMMITTEE MEMBERS (1999 – 2000)

Name	Title	Organisation	Expertise
Le Quy An	Mr.	Vietnam Nature and Environment Protection Association (local NGO)	Environmental policy
Nguyen Van Truong	Mr.	Institute of Ecological Economy (local NGO)	Forestry and biodiversity
Nguyen Trong Hieu	Mr.	Institute of Hydrology and Meteorology	Climate change
Nguyen Dac Hy	Mr.	GEF coordinator, National Environment Agency, Ministry of Science, Technology and the Environment	Environmental policy
Pham Khanh Toan	Mr.	National Institute of Energy	Climate change
Nguyen Thi Yen	Ms.	IUCN Vietnam	Forestry and biodiversity
Tran Nguyen Anh Thu	Ms.	GEF focal point, UNDP Vietnam	Environmental management

National Steering Committee Members (2001 – 2003)

Name	Title	Organisation	Expertise
Le Quy An	Mr.	Vietnam Nature and Environment Protection Association (local NGO)	Environmental policy
Nguyen Van Truong	Mr.	Institute of Ecological Economy (local NGO)	Forestry and biodiversity
Nguyen Trong Hieu	Mr.	retire from Institute of Meteorology and Hydrology	Climate change
Nguyen Dac Hy	Mr.	Centre for Ecology and Environment (local NGO)	Environmental policy
Pham Khanh Toan	Mr.	National Institute of Energy	Climate change
Nguyen Thi Yen	Ms.	IUCN Vietnam	Forestry and biodiversity
Nguyen Ngoc Ly	Ms.	UNDP Vietnam	Environmental management
Nguyen Khac Hieu	Mr.	Institute of Hydrology and Meteorology	Climate change
Tran Hong Ha	Mr.	GEF coordinator, National Environment Agency, Ministry of	Environmental policy

		Science, Technology and the Environment	
Vu Van Me	Mr.	Government – Donor Forestry Partnership, Ministry of Agriculture and Rural Development	Forestry
Nguyen Thi Be	Ms.	Department of Forestry Development, Ministry of Agriculture and Rural Development	Forestry

Annex 6

TABLE OF GEF/SGP PROJECT CONCEPTS & PROPOSALS

Grant-making Round	No. of concepts received	No. of project proposals reviewed by NSC	No. of projects GEF/SGP approved for funding
Round I (Dec 1998)	65	8	4
Round II (July 1999)	83	8	3
Round III (Jan 2000)	57	10	4
Round IV (Dec 2000)	136	12	9
Round V (Sept 2001)	60	9	8
Round VI (Feb 2002)	44	3	3
Total	445	50	28