

**Enhancing the resilience inclusive and sustainable eco-human settlement
development through small scale infrastructure interventions in the
coastal regions of the Mekong Delta in Viet Nam**

Inception Report

15 January 2021



Photo: UN-Habitat Viet Nam

Executive Summary

The Inception Report presents a summary of Project Steering Committee meeting and Inception Workshop.

The project “Enhancing the resilience inclusive and sustainable eco-human settlement development through small scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam” was approved by the Adaptation Fund Board on 1 June 2020 (Board Decision B.35.a-35.b/22).

The main objective of the project is to respond to the impact of climate change in the Mekong Delta of Viet Nam. This project focuses on dealing with saltwater intrusion and coastal erosions in Mekong Delta, which are the major impacts from the climate change. Saltwater intrusion of groundwater in the Mekong Delta is a highly complex issue as it heavily depends on varying factors, including changes in water supplies, rising water demands, and the impact of climate change especially sea level rise, drought, and rising temperature. In addition, there is a growing threat along the coastal zone in Mekong Delta regarding the coastal erosion issues due to several causes.

Mekong Delta is suffering the most in economic loss due to Climate Change Impact. Thus, vulnerable communities have increased with the impact of climate change, and socio-economic and environmental condition has been worsening.

With this project, the communities in the Mekong Delta would enhance resilience capacity for climate change risk and find appropriate solution to build back better and for preparedness.

This inception report includes all the activities for the project implementation, including stakeholders’ feedback collected during the inception workshop.

This report includes background information, a brief description of project context, the project development and objectives. The detailed project outcomes, outputs and activities needed to execute the different project components are outlined. Full proceedings from the meeting are included which contain comments from the various representatives on relevant topics. This report is supported by the necessary annexes to explain and document the project implementation plan.

Table of Contents

<i>I.</i>	<i>Background to the Project</i>	<i>4</i>
<i>II.</i>	<i>Implementation</i>	<i>8</i>
1.	Project Management (Steering) Committee Meeting.....	8
1.1	Agreement on the ToR for the PSC.....	8
1.2	Reviewing of the Governance Framework/Institutional arrangement.....	9
1.3	Workplan and Monitoring framework.....	9
1.4	Implementation Strategy.....	10
1.5	Comments during the PSC meeting.....	11
1.6	Monitoring Framework.....	11
1.7	Risk Management.....	11
1.8	Environmental and Social Safeguards (See the Appendix 8)	11
1.9	Knowledge Management, Advocacy and Communication Strategy (See the Appendix 9)	11
2.	Inception Workshop	12
<i>III.</i>	<i>Strategies</i>	<i>17</i>
1.	Environment, Social and Gender and Youth Strategy (Appendix 8)	17
2.	Knowledge Management, advocacy and communication strategy (Appendix 9)	18
	<i>Appendix 1. TOR of Project Steering Committee</i>	<i>21</i>
	<i>Appendix 2. PSC meeting Invitation, Agenda and List of Participants</i>	<i>25</i>
	<i>Appendix 3. Inception Workshop Invitation, Agenda and List of Participants</i>	<i>28</i>
	<i>Appendix 4. Presentations</i>	<i>33</i>
	<i>Appendix 5. Communication and outreach of the Inception Workshop</i>	<i>44</i>
	<i>Appendix 6. Draft Media and Communications Strategy</i>	<i>48</i>
	<i>Appendix 7. Revised and endorsed project work plan</i>	<i>49</i>
	<i>Appendix 8. Environmental, Social, Gender and Youth Strategy</i>	<i>50</i>
	<i>Appendix 9. Knowledge Management, Advocacy & Communication Strategy</i>	<i>63</i>

I. Background to the Project

Despite its rapid growth on both economic and social context, Viet Nam is one of the world's most vulnerable countries to climate change impact, including but not limited to; sea level rise, longer and more severe droughts, flooding and tropical cyclones; as is typical with climate change in this region the poorest are the most exposed. By 2050, a 1–3% loss in real GDP is predicted from climate change impacts. Natural disasters have caused average annual economic losses estimated to be at 1–1.5% of GDP over the last two decades, while more than 70% of the population is already exposed to significant natural hazard risk. Ongoing climate disaster events and climate change effects can also set back development gains, particularly as safety net programs have not yet been adapted to support the poor and vulnerable in response to natural hazard shocks.

Mekong Delta is, however, the largest producer of agricultural and aquaculture product in Viet Nam and is suffering the most in economic loss due to Climate Change Impact. The Labour force found in Mekong delta is around 10.3 million (out of a total national labour force of 54.5 million). It is also responsible for more than 13% of national GDP solely for the fishery industry (Viet Nam net, 2016). The Mekong Delta currently has an increasing economic rate of around 11% of GDP annually. In this economic context, climate change issues have a major effect on economic activities in the region, while local residents are exposed to climate change threats it has also presented new opportunities, especially in the coastal region of the Mekong delta.

In the Mekong Delta, river water and ground water levels are decreasing, while sea levels, flood tides and salt intrusion are on the rise, the demand for water has also increased in production and daily activities due to industrialisation and population growth. The extraction of groundwater has increased rapidly over the past decades and forms one of the main causes of saltwater intrusion into the groundwater. This intrusion has been accelerated by the ongoing sea level rise. Saltwater intrusion of groundwater in the Mekong Delta is a highly complex issue as it heavily depends on varying factors, including changes in water supplies, rising water demands, and the impact of climate change especially sea level rise, drought, and rising temperature. Because of saltwater intrusion of the groundwater, a growing number of provinces in the Mekong Delta are also experiencing depleted and degraded freshwater supplies for drinking and domestic use especially in dry season. The solution for the saltwater intrusion is, however, very limited and most of them are not cost-effective nor applicable for certain condition of area.

In addition, there is a growing threat along the coastal zone in Mekong Delta regarding the coastal erosion issues due to several causes. Rapid expansion of aquaculture (shrimp farming) in the Mekong Delta has contributed to economic growth and poverty reduction, but has been accompanied by rising concerns over environmental and social impacts. The lack of an integrated approach to sustainable management, utilisation and protection of the coastal zone and economic interests in shrimp farming have led to the unsustainable use of natural resources, thus threatening the protection function of the mangrove forest belt. The coastal zone is also affected by the impacts of climate change. Climate change is predicted to cause an increased intensity and frequency of storms, floods and rising sea levels.

To deal with the challenges in the Mekong Delta related to lack of awareness and capacity to the impact of climate change, water resource management, and coastal erosion, the project

will focus its actions by providing both hard and soft intervention on highly vulnerable human settlements in the selected project sites.

In order to achieve the overall project objective, “to enhance the resilience, inclusive and sustainable eco-human settlement development through small scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam.”, the project combines horizontally and vertically interrelated resilience strengthening of institutions, communities and physical, natural and social assets and ecosystems.

The specific needs of women, indigenous people, people with disabilities and youths will be considered at all stages of the project. This is achieved through engaging representatives of these vulnerable groups in community and stakeholder consultations with a community-based approach and people’s process – where community groups are formed and/or sustained throughout all stages of the project and through which communities participate in project implementation: in planning and executing activities and monitoring.

The main objective of the project is to enhance the resilience, inclusive and sustainable eco-human settlement development in the Coastal region of the Mekong Delta.

This will be achieved by implementing the activities aligned with the 4 project components:

1: Institutional and community capacity building toward eco-human settlement development for supporting enhance local climate response actions: aims to Increase awareness on resilience of human settlements and ecosystem as a result of enhanced institutional capacity, and Strengthen knowledge of climate change adaptation (In line with Adaptation Fund outcome 1 and 2)

2: Action plan and strategy development for eco-human settlement, and integrating into planning and policy with participatory approach: design to develop provincial/district/commune level’s action plan and strategy for eco-human settlement based on local people’s needs, and policy framework for integrating climate action and strategy into planning (In line with Adaptation Fund outcome 3 and 7)

3: Sustainability built through small-scale protective infrastructure: Contribute to increase community adaptive capacity with climate resilient and development sectors, and increase ecosystem resilience in response to climate change, and enhance local people’s capacity for management and operation of provided infrastructures (In line with Adaptation Fund outcome 4, 5, and 6)

4: Awareness Raising and Knowledge Management: develop enable conditions for scaling up and replicating the project related to enhancing the climate change adaptation capacity (In line with Adaptation Fund outcome 3)

Project Components	Expected Outcomes	Expected Concrete Outputs
<p>1. Institutional and community capacity building toward eco-human settlement development for supporting to enhance local climate response actions</p>	<p>1.1 Increase awareness on resilience of human settlements and ecosystem as a result of enhanced institutional capacity 1.2 Strengthen knowledge of climate change adaptation</p>	<p>1.1.1 National induction workshop 1.1.2 Guidance and training materials development for vulnerability and risk assessment at the local levels 1.1.3 Planning toolkits and training materials development for planning approach, strategy and action plan development on climate change resilience 1.1.4 Project team (facilitators) training enabling facilitation of eco-friendly settlement strategy and action plan development (for supporting Component 2.1.1 and 2.2.2) 1.2.1 Training workshops enabling national/provincial/district/com mune to set up eco-human settlement strategy and action plan development for climate change adaptation</p>
<p>2. Action plan and strategy development for eco-human settlement, and integrating into planning and policy with participatory approach</p>	<p>2.1 Develop provincial/district/com mune level’s action plan and strategy for eco-human settlement based on local people’s needs 2.2 Develop policy framework for integrating climate action and strategy into planning</p>	<p>2.1.1 Action plan and strategy development for eco-human settlement (provincial, district, and commune level) 2.2.1 Policy framework development for integrating local people’s action plans and strategies for eco-human settlement into planning (provincial level) 2.2.2 Integrating developed/ revised action plan and strategy into the relevant/ existing planning and policy (provincial level)</p>

<p>3. Sustainability built through small-scale protective infrastructure</p>	<p>3.1 Increase community adaptive capacity with climate resilient and development sectors, and increase ecosystem resilience in response to climate change</p> <p>3.2 Enhance local people’s capacity for management and operation of provided infrastructures</p>	<p>3.1.1 Prevention of the saltwater intrusion and protection of the ground water through water treatment system and rainwater harvesting</p> <p>3.1.2 Prevention of coastal erosion with green (eco-friendly) erosion rehabilitation and control system: elastocoast¹</p> <p>3.2.1 Capacity building to a working group for the sustainable operation and management of provided hard interventions</p> <p>*for more detailed information for the hard intervention, please see Annex 1</p>
<p>4. Awareness Raising and Knowledge Management</p>	<p>4.1 Enable conditions for scaling up and replicating the project related to enhancing the climate change adaptation capacity</p>	<p>4.1.1 Lessons learned and best practices regarding resilient urban community development/housing are generated, captured and distributed to other communities, civil society, and policy-makers in government appropriate mechanisms</p> <p>4.1.2 Regional advocacy and replication for developing the effective policy framework</p>

Table 1. Components, outcomes and outputs

¹ Elastocoast is mentioned in the UNFCCC as the new technology for climate change adaptation which protects the dikes by absorbing the force of the breaking waves and slowing down the water masses.

II. Implementation

The project will be implemented through Agreement of Cooperation between UN-Habitat and the Ministry of Natural Resources and Environment, under the guidance of a Memorandum of Understanding between UN-Habitat and the Ministry of Natural Resources and Environment (MONRE), which was signed in 2019. The Ministry of Natural Resources and Environment will cooperate with two Provinces, which are Bac Lieu and Tra Vinh for project implementation.

1. Project Management (Steering) Committee Meeting

The Project Steering Committee Meeting was established and held on 15 December 2020 in Ha Noi. It was chaired by Nguyen Thi Phuong Hoa, Vice Minister, Ministry of Natural Resources and Environment, and attended by 14 members, including the Director of Legal Affair, Department of Climate Change, International Cooperation Department, Bac Lieu and Tra Vinh Provinces, etc

After the Project Steering Committee meeting, the Project Steering Committee decided to:

- a) Endorse the TOR of Project Steering Committee
- b) Endorse the Activities and budget
- c) Revise the workplan for first year
- d) Empower the project activities to local government for active participation, especially component 3
- e) Accept the comments from members and reflect it to project implementation

1.1 Agreement on the ToR for the PSC

The Terms of Reference were finalized and are attached as part of the PSC report (Annex). With proposed adjustment, the PSC members are as follows:

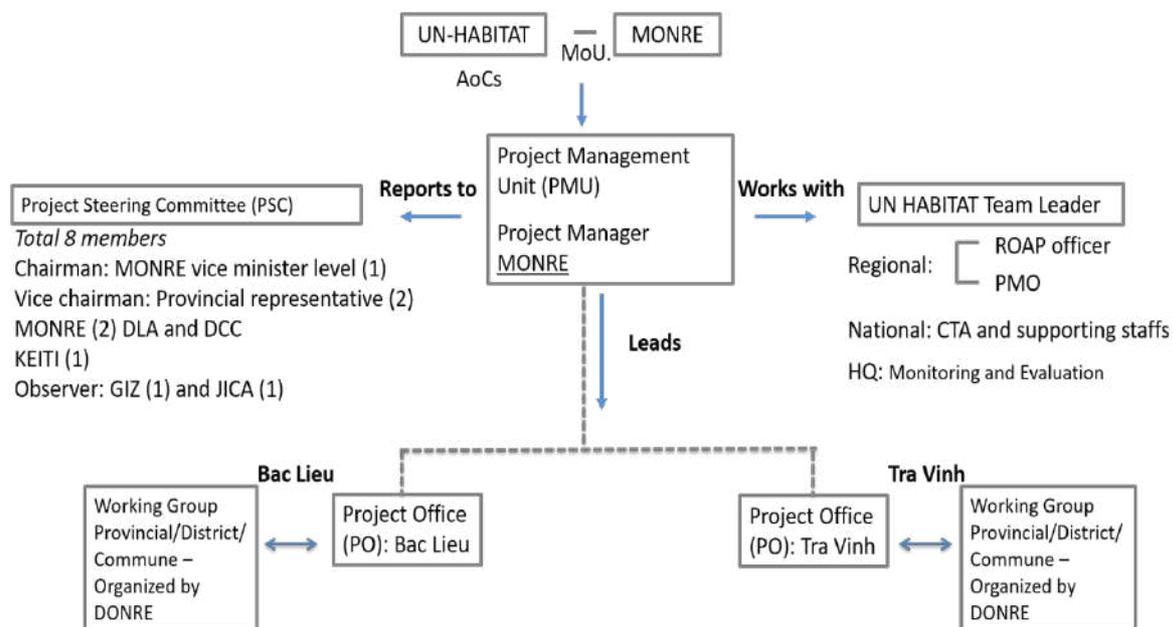
- Chairperson: Vice Minister
- Secretary: UN-Habitat, Chief Technical Advisor and Project Manager

Members

- Director General, MONRE
- Deputy Chief, Administrative Office MONRE
- Deputy Director, Department of International Cooperation, MONRE
- Deputy Director, Department of Climate Change, MONRE
- Deputy Director, Department of Planning and Finance, MONRE
- Deputy Director, Viet Nam Agency of Sea and Islands
- Representative, National Center for Water Resources Planning and Investigation (NAWAPI) / MONRE
- Director General, Department of Natural Resources and Environment (DONRE) of Tra Vinh Province
- Head of Division, DONRE of Bac Lieu Province
- UN-Habitat Programme Manager, UN-Habitat
- Chief Technical Advisor, UN-Habitat
- Representative, KEITI

1.2 Reviewing of the Governance Framework/Institutional arrangement

The governance framework/institutional arrangement was finalized and endorsed as presented in the project document with above adjustments to the Project Steering Committee. The project organigram is than revised as follows:



Role of the PO: partially independent from WG and takes the direct role from PMU through work plan and budget; PO might revise a bit from the work plan and budget;

Figure 1. Institutional arrangement by PSC

1.3 Workplan and Monitoring framework

Work Plan

The PSC reviewed and endorsed the work plan illustrated below. The PSC further agreed to the Project Management Unit and Team's suggestion to develop a more detailed work plan once the project implemented with PMU.

Output	2021				2022				2023				2024			
	Q1	Q2	Q3	Q4												
Output 1.1.2 Guidance and training materials development for vulnerability and risk assessment at the local levels	x	x														
Output 1.1.3 Planning toolkits and training materials development for planning approach, strategy and action plan development on climate change resilience		x	x													
Output 1.1.4 Project team (facilitators) training enabling facilitation of eco-friendly settlement strategy and action plan development (for supporting component 2.1.1 and 2.2.2)			x	x	x	x										
Output 1.2.1. Training workshops enabling national/ provincial/ district/ commune to set up eco-human settlement strategy and action plan development for climate change adaptation				x	x	x										
Output 2.1.1 Action plan and strategy development for eco-human settlement (provincial, district, and commune level)							x	x	x	x	x	x				
Output 2.2.1. Policy framework development for integrating local people's action plan and strategies for eco-human settlement into planning (provincial level)								x	x	x	x	x				
Output 2.2.2. Integrating developed/ revised action plan and strategy into the relevant/existing planning and policy (provincial level)													x	x	x	x
Output 3.1.1 Prevention of the saltwater intrusion and protection of the groundwater through water treatment system and rainwater harvesting					x	x	x	x	x	x	x	x	x	x	x	x
Output 3.1.2 Prevention of coastal erosion with green (eco-friendly) erosion rehabilitation and control system: elastocoast					x	x	x	x	x	x	x	x	x	x	x	x
Output 3.2.1 Capacity building to a working group for the sustainable operation and management of provided hard interventions					x	x	x	x	x	x	x	x	x	x	x	x
Output 4.1.1 Lessons learned and best practices regarding resilient urban community development/housing are generated, captured and distributed to other communities, civil society, and policy-makers in government appropriate mechanisms														x	x	x
Output 4.1.2 Regional advocacy and replication and replication for developing the effective policy framework														x	x	x

Table 2. Revised Work Plan

1.4 Implementation Strategy

The PSC discussed and noted the Implementation Strategy for the project start-up, as follows:

- Start-up through UN-Habitat's support and guidance to prepare capacity building activities before PMU established
- After PMU established, UN-Habitat support as needed, and keep providing technical assistance
- On-boarding of Project Manager and Project Officer
- Finalization of Agreement of Cooperation with MONRE
- Procurements will be set up by MONRE and it will be reviewed by PSC
- For Technical support, Technical Advisory Group will be established after the Inception Workshop
- PMU and UN-Habitat Viet Nam Team continue to communicate with local governments for implementation
- Project Offices in provinces will be indicated by Provincial Committee with the cooperation of PMU
- Cooperate with Mekong Delta Working Group (MDWG) for further implementation and sharing the progress

1.5 Comments during the PSC meeting

Comment 1 (by Mr. Pham Van Tan, Department of Climate Change)

Recommendation: Focus on Component3 for building effective models for local communities

Comment 2 (by Mr. Le Van Huu, Department of Planning and Finance)

Recommendation: The components related policies and improving capacity of the local residents should be focused on implementing, clarifying the outcomes of the activities

Comment 3 (by Mr. Tran Van Hung, DG of Tra Vinh DONRE)

Suggestion 1: there should be careful preparation of instructions for each activity, especially the bidding process; enhance the role of the Department of Planning and Finance in developing the guidelines for project implementing. Handbook of implementation: Define clearly the scale, decentralization, responsibility, consultation time of each target / activity output / monitoring result / monitoring indicator.

Suggestion 2: Training should be conducted to transparent the monitoring, reporting, payment, and evaluation mechanism for stakeholders, local to grasp for implementation

Comment 4 (by Mr. Nguyen Duy Dung, the National Centre for Water Resources Planning and Investigation, NAWAPI)

NAWAPI currently has data and information of water resource, NAWAPI is supportive to participate and consult for the project.

1.6 Monitoring Framework

The Project Monitoring framework comprises of 4 elements below,

- Adaptation Fund core indicators
- Adaptation Fund Performance Reporting
- Environmental, Social and Gender and Youth Strategy monitoring framework
- Knowledge Management, Advocacy and Communication monitoring framework

1.7 Risk Management

The PSC agreed to more strongly include the issue of maintenance of delivered infrastructure/sub projects into the Risk Framework, in order to enhance the sustainability of actions. The PSC agreed to the current risk management plan for ESGY.

1.8 Environmental and Social Safeguards (See the Appendix 8)

The PSC reviewed and approved the Environmental, Social, Gender and Youth (ESGY) strategy; an in-depth presentation of the principles was given to all participants.

1.9 Knowledge Management, Advocacy and Communication Strategy (See the Appendix 9)

The KMAC Strategy was presented with a particular emphasis on the specific needs of a broad range of identified stakeholders and the various KMAC products and channels. Thus the PSC endorsed the strategy of KMACS based on the stakeholder analysis, and its roles and responsibilities.

2. Inception Workshop

The Inception Workshop took place on 16 December 2020 at the Novotel in Ha Noi. The workshop was attended by 44 participants, including representatives of the two target provinces, representatives of the local governments from the participating communities, national government officials, representatives of the executing and partner organizations as well as key actors in climate change. Due to COVID-19 pandemic, few key participants attended the workshop via on-line meeting system. Mr. Laxman Perera, Human Settlements Officer of UN-Habitat and Mr. Jay Nam, Chief Technical Advisor – Climate Change of UN-Habitat joined via on-line meeting system.



Photo: Mr. Phan Tuan Hung, Director General of MONRE, and online participants

Due to COVID-19 pandemic, the workshop kept the guideline and policies of Viet Nam government and United Nations. Thus, all participants wore the facemasks during the events, adequate distances maintained, and temperature check was applied for.



Photo: Landscape of the workshop under COVID-19 situation in Viet Nam

The workshop consisted of two sessions: In the first session, the project and relevant information were introduced to the participants, and during the second session, all participants provided the comments and recommendation for the successful implementation.

There were two opening remarks from Mr. Phan Tuan Hung, Director General of MONRE and Mr. Laxman Perera, Hunam Settlements Officer of UN-Habitat.

Mr. Phan Tuan Hung welcomed all participants and expressed his appreciation to the participants and thanking to the Adaptation Fund for providing the financial resources, and UN-Habitat and Project Development Team in MONRE for leading the development of the project and providing oversight and project management support. He also expected to receive the comments and feedbacks to make sure the project meets the donor's requirements and the community's needs.

Mr. Laxman Perera demonstrated that this project will lead that Vietnam has the capacity and commitment to address climate change impacts and support the community in a sustainable manner.

Director General of Tra Vinh Province DONRE also had a speech as local implementing partners. Recently, Tra Vinh Province has suffered from serious salinity intrusion and drought, and the livelihood of the people has been severely affected. It is also projected that in the future the magnitude, frequency and uncertainty of such events will be much higher. Therefore, the needs of the project from certain provinces in the Mekong Delta region would increase and request to respond to the impact of climate change.

After the opening remarks and the speech from local province government, Director General of MONRE has introduced the projects, and explained how to implement the activities and utilize the budget for building resilience with communities to respond to the impact of climate change.

For more technical issues, Chief Technical Advisor – Climate Change of UN-Habitat had number of presentations related to the implementation strategy and requirements from international agencies such as environmental and social safeguards with gender issues. Also, knowledge management and advocacy and communication strategy has also been shared.

In the second session, the participants provided the questions and comments on the project.

Mr. Nguyen Quang, UN-Habitat HPM Viet Nam started the session with the encouraging speech.

“The question is how can we have an effective implementation of the project, and how to have the local communities at the centre of any interventions, how the moral of the project can be replicated. We can focus the discussion on:

- *The specific policies and plans to bring about the true benefits to the communities?*
- *What are the capacities to build and the stakeholders whose capacity we want to build?*
- *Planning process within MONRE’s responsibility: integration of natural resources consumption, community resilience, access to clean water, livelihood.*
- *Can these interventions bring true values to people’s life?”*

Mr. Phan Tuan Hung, Director General of MONRE also expected to hear what the public think of the project, and how the participants can contribute to the project implementation, and how this project can have spill over impact and ensure the better benefits to the communities.

Comment 1 (by Mr. Nguyen Ngoc Huy, Oxfam)

He Shared information about 2 Oxfam 2 projects in Tra Vinh, Bac Lieu which related to the livelihood of the local people, those are about the value chain of clam and shrimp, and explained the linkage between biodiversity and the importance of livelihoods in the Mekong Delta. Thus, ensuring clean water is a good approach, but has several questions for sustainable development.

- what is the scope and coverage?
- How many people will benefit?
- Is it economically viable?

Thus, he recommended that private sector participation is necessary for sustainability of the project.

Comment 2 (by Mr. Hua Minh Trong, DONRE of Bac Lieu Province)

He is a focal point of Bac Lieu Province for the AF project development. He also considered how the livelihood can be changed after the intervention. His recommendation was to add capacity building activities and the development of action plans for sustainable livelihoods, for local communities. DONRE in Bac Lieu reaffirmed the commitment of local authorities towards improving access to basic services and their will to provide support for a successful implementation.

Moreover, he also insisted that more detailed workplan is needed. E.g., how and when activities will be implemented in Bac Lieu and Tra Vinh, because of administration process of local government for the implementation.

He also had concern about the minorities and elderly group, because the presentation focused more on women and youth.

Based on two questions and comments, Mr. Phan Tuan Hung, Mr. Jay Nam and Dr. Nguyen Quang provided the responses.

Response of Mr. Phan Tuan Hung, Director General, MONRE

- The PMU will consider the participation of the private sector and explore how private sector engaged after the handover of the local water system. The fresh water

will not be provided for free, the water tariff will be calculated on the basis of pro-poor rate.

- Water filter system located in schools would lead pupil's attraction and increase awareness of the public
- The embankment has external mangrove plantation.
- Confirmed that there must be manuals, guidance and training to local authorities and people. In addition, the implementation team will review again and then set up the appropriated time of implementation.
- The PMU will consider the activities and raising public awareness with the ethnic minority group at local.

Response of Mr.Jay Nam, Chief Technical Advisor, UN-Habitat

- Project tool ESGY includes the ethnic minorities and other indigenous groups are considered as well.
- Livelihood strategy can be considered to integrate into action plan development and capacity building workshops. Relevant experts would be invited to material development and training workshops.
- 26,000 people will benefit from capacity and infrastructure development of the project.
- For coastal erosion infrastructure, concrete will not be used, but adopt Elastocoast with climate change adaptive technology. It should be an eco-friendly model
- The project development team has conducted surveys on the price of water in normal time and saline drought time. On the other hand, the local agencies will propose appropriate price of water & develop detailed post-project operation plan.
- For sustainability: the local communities have to find out what they need to do. We have consulted with the local people very well. The project tries to pilot with the local people and then provide them the ownership.

Response of Dr.Nguyen Quang, HPM, UN-Habitat

- In a single project, we cannot have all the resources we need. We can do pilot interventions and come up with plans and policies for the community.

Comment 3 (by Mr. Bui Van Minh, SNV)

Providing fresh water for domestic use would be good for local communities, however, plans of water for cultivation or livestock should be considered.

For water treatment facilities, the procedure for the investigation / design / investment / pricing / operation should be developed from the beginning of the activities.

Recommended: Depending on the proposal and funding, the project should expand the scope up to 3 communes.

Comment 4 (Mr. Pham Duc Thi, Vietnam Association for Conservation of Nature and Environment)

He recommended paying attention to Mangrove plantation for protecting coastal erosion and sustainability. Mangrove plantation results in benefits those are 1) protecting the sustainability of the embankment, 2) preserving the biodiversity, and 3) increasing local people's livelihoods. Local communities also need integrated action plans for water treatment system with saving system for dry season. He also commented project

implementation in more than 3 communes will be better to reflect the experience of the local district and provincial level.

Comment 5 (by Mr. Tran Van Hung, DG of Tra Vinh DONRE)

Guidelines and organizational arrangement will be necessary for provincial level.

The project implements several activities related to the livelihood sector, thus there should be a contact point or a representative from the DARD at provincial level.

Some details and statistical figures in the project documents need to be more consistent and elaborated for infrastructure development.

He also recommended that after having manual guidance, there must be consistency in management and implement the project.

Comment 6 (by Mr. Duong Ngoc Hai, MOC)

He shared experiences from the Ministry of Construction which was climate change project (GEF fund) implemented in 5 central provinces and Ca Mau in the Mekong Delta. He also commented that the embankment (Component 3) consider carefully, because construction is not always appropriate. He recommended models for post-investment management.

- Collaborate with private sector: consider decision-making limitations if private sector owns over 51% share.
- Handover to the local population: consider shortage of experts.

Also, post-investment management should consider gender mainstreaming. A governance board with representatives of the Women's Union, the Youth Union, the Commune People's Committee was recommended.

Comment 7 (by Mr. Nguyen Tuan Vu, Nowegian Mission Alliance in VN)

He also shared experience of NMAV which implemented the project in 4 provinces of Tien Giang, Hau Giang, Tra Vinh & Can Tho

Based on the experience, he recommended that the raising awareness and behaviour change should focus on foe enhancing the effectiveness.

He also shared experience in Tra Vinh, and there are a large number of ethnic minority people who are illiterate, then the project should consider more effective and efficient communication channels.

Also, the models of natural resource management should be consistent at all management level for generating livelihoods and preserving natural condition.

Based on five comments, Mr. Phan Tuan Hung and Mr. Jay Nam provided the responses, and promised Vietnamese project document will be shared soon for better understanding and efficient implementation at local level. With the responses, closing remarks have been provided by Dr. Nguyen Quang, HPM, UN-Habitat and Mr. Phan Thuan Hung, Director General, MONRE.

Closing remarks

Mr. Nguyen Quang (HPM, UN-Habitat)

I am very moved to hear that your feedback reflected what we were interested in when designing this project. I think we are practitioners who are clear about our principles and

see issues broadly in an integrated manner with the systematic mindset. Here we have an alliance that is our collective intelligence, which I think is the difference in this project. I want to emphasize the local ownership. We are moving from a subsidy-based to a market-based mechanism, so we need to engage the private sector and explore the local community's resources. It is the added value that the project can provide – to bring about broader visions where local initiatives and ownership are the most important. Finally, I'd like to stress the importance of creativity. When we deliver projects, we usually implement from the technical perspective rather than the inspirational, cultural and social aspects. These aspects will help make the difference, build our brand and link us to the resources. We are in a transformational period with Industry 4.0, we need to bring innovation into our project implementation.

Mr. Phan Tuan Hung (Director General, MONRE)

I'd like to thank all the participants for your time at the busy end of the year. I find your contributions really valuable and all come from practice. We have taken note of all your inputs and will finalize the document and submit it to MONRE's Minister for approval within this month. Based on your input today, I'm confident that the project will integrate more added values like Mr. Quang has mentioned. We will develop a more detailed workplan with Bac Lieu and Tra Vinh provinces to ensure successful delivery of the project. We look forward to closer collaboration with all of you here. I wish you all good health, success and a merry Christmas.

III. Strategies

1. Environment, Social and Gender and Youth Strategy (Appendix 8)

The ESGY Strategy demonstrates compliance of the project with the environmental and social safeguards policy and the gender policy of the Adaptation Fund. Furthermore, project will also comply with the Environmental and Social Safeguards Policy of Adaptation Fund 15 principles and UN-Habitat, and all applicable domestic and international laws. It includes a management and governance approach for the integration and mainstreaming of ESGY to unlock rights and opportunities across all project activities and overall project management. The ESGY Strategy sets out the project's drive to be gender, youth, human rights and environmental/climate change transformative.

The review of Environmental, Social and Gender and Youth issues with 15 AF principles and Environmental and Social Management Plan were introduced.

AF environmental and social principles	No further assessment required for compliance	further assessment and management required for compliance	Possible Mitigation Measures
Compliance with the Law		Possible conflicts over land ownership Failure to comply with laws relating to procurement procedures Construction works of coastal erosion and installation of water treatment system may be on private land or public land which may restrict to some kind of construction activities. Since the technology transfer to local people to establish water treatment system is not a community owned business model as private company or cooperative to manage the operation.	Only citing infrastructure on public land. Engagement with Department of Natural Resources and Environmental for land use and Department of Construction for approval Integrating legal compliance into all training - Consult the legal procedures to establish a community owned business model
Access and Equity		That certain groups are denied access to infrastructure, or that preferential access is given to others - There is possible dispute with existing drinking water suppliers in the area when treatment system installed since the price is 70% of the market price. So, there is a risk that the project's objective to provide fresh water for drinking the price will increase after the project finished and the marginalized and poor may not be able to access to that water source. - Since the water treatment plan is located in school or kindergarten there are two possible related to the safety of schoolchildren if people come to collect the water - In all community's households lacking access to clean water is more than 80 % but the project water plan can only provide clean water for limited number of people (e.g. only 1,500/10,200 people in Long Hoa commune). There is a potential risk of conflict when it comes to water shortage in long time and other water plans are not there yet.	Community management with rules ensuring that equal access is guaranteed - New business model to make sure the price stable for the poor and marginalized over time - Mechanism for safety of children should be put in place with respective authorities and communities - Consult with local stakeholders to develop criteria for selection of most suitable user groups/water users in order to reduce risk of conflicts among water users in the area.
Marginalized and Vulnerable Groups		There would be small number of vulnerable groups to access to livelihood resources. Particularly during the construction work to strengthen coastal erosion areas using elastococast, the access to coastal areas when local people may cultivate agriculture. See Access and Equity category in the table	Community co-management with rules ensuring that equal access is guaranteed The People's Process operational tools ensures equal access and will be established from the project inception through due community participation including vulnerable groups

Table 3. Review of ESGY with 15 AF principals

Moreover, gender action plan for monitoring and evaluation was implemented with gender responsive indicators and it was shown to the participants.

Component	Outcome / Output	Target	Gender responsive indicator	Action	Link to the initial gender assessment
Component 1: Institutional and community capacity building toward eco-human settlement development for supporting to enhance local climate response actions	Outcome 1.1	At least 40%, 60 women national and provincial level government officials, experts and practitioners	Evidence that equal participation opportunity policy and practices are implemented	Encourage women's participation and accessibility to capacity building events	Women can be more represented in decision-making process for climate-resilient community development planning and national procedures
	Output 1.1.1	At least 40%, 80 women government officials, experts and practitioners at all levels			
	Output 1.1.2	At least 40%, experts and consultants who will work for this outputs will be consist of 40% of women to integrate and reflect gender issues	Number and percentage of women and men participating materials development	Materials will be developed those also target women and gender issues	
	Output 1.1.3			Participation of women experts and consultation	
Component 2: Action plan and strategy development for eco-human settlement, and integrating into planning and policy with participatory approach	Output 1.1.4	At least 40%, at least 8 women facilitators will be trained	Evidence that equal participation opportunity for trainings	Encourage women's participation and accessibility to capacity building events	
	Outcome 2.1	At least 40% of whom female and women union will be represented	Workshop complete with records documenting equal participation from men and women	Community-scale plans equally consider the needs of men and women. Women's adaptation and development needs are fully incorporated	Women can be more represented in decision-making process for climate-resilient community development planning
	Outcome 2.2				
	Output 2.2.1 and 2.2.2				
Component 3: Sustainability built through small-scale protective infrastructure	Outcome 3.1	At least 40% of whom female and women union will be represented for construction work, and operation and maintenance	Survey complete, and describe in detail how the needs of women have been incorporated Equal number of men and women participate. Attendance registers taken (anonymised) that identify numbers of men and women	The project considers equally the needs of men and women, and particularly considers women who need daily labour for income generation Discussions with communities are gender equal and disaggregated	Women and poor women will be easier to access water resources when the climate change impact (drought and floods) will be occurred Women and poor women can have extra income resource during the implementation of technology installation
	Output 3.1.1				
	Output 3.1.2				Women and poor women can purchase drinkable water with pro-poor tariffs and stable prices. It will contribute less burden for extra work to get and buy drinking water
	Output 3.2.1	At least 40% of whom female and women union will be represented	Training complete with records documenting equal participation from men and women	Encourage women's participation and accessibility to capacity building events	Women can be more represented in decision-making process for facility operation and management
Component 4: Awareness Raising and Knowledge Management	Outcome 4.1	At least 40% of whom female and women union will be represented	Dialogue workshop complete with records documenting equal number of women and men attended	Encourage women's participation and accessibility to knowledge management events	Women can be more represented in decision-making process for climate-resilient community development planning

Table 4. Gender responsive indicators

2. Knowledge Management, advocacy and communication strategy (Appendix 9)

The Knowledge Management, Advocacy and Communication Strategy lays out the strategic framework specific to this project. The objective of KMACS is to enhance knowledge, communication and understanding of climate change impacts and adaptation in Viet Nam facilitating replicability at the community, local government, national and international level. Furthermore, the KMACS strategy seeks to ensure that project implementation is fully transparent. This entails that all stakeholders are informed of products and results and have access to these for replication.

The strategic framework applied for Adaptation Fund's knowledge process below,

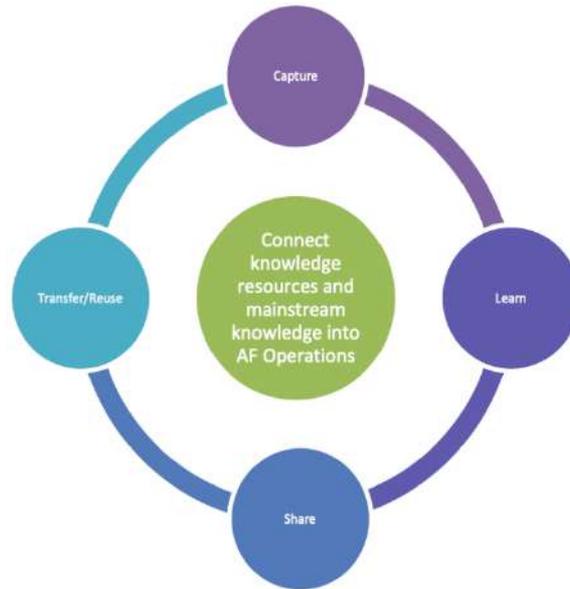


Figure 1. AF knowledge process

For achieving the strategic framework, target audiences were determined via stakeholder analysis.

Local communities	To raise awareness and generate support for addressing the issues pertaining to community vulnerabilities to climate change and adaptive capacity. Thus, targeting stakeholders at local will directly support the implementation and the sustainability of the project activities. Integrating action plans is a key project knowledge product which will inform community decision making
Women and Youth Associations	
Provincial government officials	The knowledge generated at local level is to inform provincial and national planning and programming Various national government entities and their officials are involved in this project as designated authority, executing entity, project management committee members or are other stakeholders in the project. Raising the awareness of officers involved on issues of informal settlement vulnerabilities, community resilience, community action, partnership approaches etc. can generate support for addressing these issues. Such engagement will also pave the way for policy review to ensure the project's sustainability and the development of a conducive policy environment.
National government officials	
Project stakeholders	The Technical Advisory Committee (comprising of national government agencies and technical bodies, urban and community stakeholders, academia and development partners) are expected to have similar KMAC needs as above-mentioned groups.

Table 5. Example of stakeholder analysis

Moreover, expected accomplishments for knowledge management, and advocacy and communication were explained for better understanding for outputs.

Expected Accomplishment 1 – Knowledge Management

Item	Description
Knowledge Products	Vulnerability assessment, action plan <u>etc</u>
Tools	Action plan development, resilient infrastructure, technical standards
Reporting	Project reports (annual, mid-term, terminal evaluation)
Data Management	Data collection, collation and processing
Special Events	World Urban Forum, Resilient City events <u>etc</u>

Expected Accomplishment 2 – Advocacy and Communications

Item	Description
Print Material	Traditional project information in the form of project brochures and project updates
Social Media	An effective means of communicating the knowledge generated by the project to the largest number of beneficiaries
Online	Webpages of the Adaptation Fund, UN-Habitat, and associated networks
Branding	Logos, banners, the project flyer, Facebook, PowerPoint presentations and <u>stationary</u>
Press, Media & Communications	Press releases, journalist engagement, videography and sharing project stories
Audio visual presence	A photo book or an online slide show

Table 6. Presentation for expected accomplishments

KM and AC will be an integral part of all activities and as such, all task managers must contribute to the successful roll-out of the KMACS.

Appendix 1. TOR of Project Steering Committee

TOR for Adaptation Fund Project Steering Committee in Viet Nam

1. Background

The Project Steering Committee (PSC) will be chaired by the Vice Minister of MONRE, and vice-chaired by Vice chairpersons in the provinces. A representative of UN-Habitat Viet Nam will also be a member of the PSC. Other members of the PSC are as follows: technical level representative of MONRE and KEITI, and two observers from JICA and GIZ. As Korea Environmental Industry & Technology Institute (KEITI) provided with the technical advice through feasibility study especially for component 3 and contributed also financial support for developing the project and, KEITI will also support the project implementation as the member of PSC of the project.

2. Purpose

The PSC sets out to guide the successful implementation, timely progress and completion of the project.

The PSC will approve annual work plans and review project periodical reports as well as any deviations from the approved plans.

3. Role

The Project Steering Committee ("The PSC") will be formed to oversee and facilitate the implementation of project progress on the 'Enhancing the resilience inclusive and sustainable eco-human settlement development through small scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam' project funded by the Adaption Fund.

The PSC will act as the main body overseeing the project execution.

The role of the PSC will be functional within the policies and conditions of the UN as well as the Governing laws of the Government of the Socialist Republic of Viet Nam.

The UN has strict policies and regulations on such matters as contracting, procurement of equipment and materials, staff salaries, etc. All project activities will conform to these regulations.

The PSC will:

Monitor the progress of the project, which will be achieved through meetings as well as managing inception workshops and field visits.

Liaise with the Project Team, the Technical Assurance Group and the Technical Advisory Group.

Develop and undertake a workplan with short-, medium- and long-term goals.

Approve annual work plans and review project periodical reports as well as any deviations from the approved plans.

The PSC will provide overall guidance, evaluation, monitoring of outputs and achievements of the project. It will not be expected to deal with day-to-day management and administration of the project.

4. Responsibility

(1) Approve annual workplan and review key project periodical reports;

- (2) Review and approve the contractual agreements, including workplans, with a particular emphasis on environmental and social safeguards, budgets and payment schedules;
- (3) Review any deviations and consider amendments to workplans and contractual agreements.

5. Membership:

The Committee will tentatively comprise of representatives from:

Core member

- (1) MONRE: Vice Minister, Director General and Deputy Director General for relevant departments (DLA, DCC, VASI, NAWAPI, ICD, PFD, and CAO) (8)
- (2) Provinces: Vice Chairmen and Director Generals (4)
- (3) UN-Habitat: Habitat Programme Manager, Chief Technical Advisor, and Project Manager (3)
- (4) KEITI: Director of KEITI Viet Nam Centre (1)

Observer

- (5) GIZ: Team Leader (1)
- (6) JICA: Vice Director (1)
- (7) 1001 fountains (O-We Viet Nam): Director (1)

6. Term (Frequency of Meeting)

The PSC will meet at least once per year throughout the project implementation and whenever needed to fulfil the above functions. The PSC will also convene meetings to address serious Environmental and Social safeguard risks if arise.

The PSC will be convened for a four-year period from 2020 to 2024. This term of reference is effective and will continue until the expected date of completion of the project.

7. Institutional

The PSC will:

Commit to serving for four (4) years, with the option of re-nominating for an additional period if required, within budgetary constraints.

Prepare for, attend and actively participate in meetings, working groups (if relevant) and planning days of the Committee.

Communicate via letters, e-mail and telephone on urgent project related matters.

Provide feedback to MONRE via the Chair assigned to convene the Committee.

Respond to requests for input into and/or feedback on MONRE activities, policies and reports.

Respond to, and if warranted act on, any other business brought before the PSC by one of its members.

8. Work plan

The work plan of the PSC will be (but is not limited to):

Provide guidance on specific tasks and major deliverables in the project

Ensuring that the project remains on target with respect to its outputs.
Where necessary, will support definition of new targets in coordination with the executing and implementing agencies.
Approving annual work plans.
Review the project work plan and budget expenditure, based on the reports supplied.
Reviewing the project tools including methodology, infrastructure, guidelines, technical standards, ESS and community action planning tools.

9. Monitoring

The PSC will undertake monitoring of the project (but is not limited to) through the following actions:

Endorsing of the monitoring framework (project and annual) through M & E Plans.
Conducting annual performance reviews of the project.
Reviewing financial reports.
Conducting field visits where relevant and warranted.
Review and endorse final reports from the project.

10. Conduct and interest provisions

In performing their role, a member must:

Encourage fair and reasonable discussion.

Respect the confidentiality of documents before the Committee and meeting proceedings.

Not make improper use of their position for personal or professional gain.

A member with a Conflict of Interest and/or a perceived Conflict of Interest in a matter before the PSC must declare their interest prior to Committee discussion of the item.

The declaration and nature of the conflict of interest must be recorded in the minutes of the meeting.

A member who does not adhere to this code of conduct will be asked to retire.

11. Meetings

The inception meeting is to be held within the first two months of the project inception.

Meetings of the PSC will be summoned by at least one month's notice.

There will be bi-annual PSC meetings as well as sub-committee meetings. A quorum for the Committee will be half the total members plus one.

Decisions will be made by consensus.

12. Format

The following is a proposed format for the meetings:

An introduction will be given through the agenda and there will be remarks made by the Chair and the Co-chair.

There will be discussion and adoption of the relevant workplan.

Discussion will be made on major deliverables, with planning for the acceptance of documents and results to be achieved.

Discussion will be held around staff and human resources.

Other agenda items will be discussed.

A summary and AoBs arising from the meeting will be produced, for distribution between committee members.

The meeting will be closed.

13. Minutes, agenda and reports

Minutes of the meetings will be provided to the PSC members by a secretariat within one (1) month of the meeting. An agenda will be circulated not less than forty-eight (48) hours prior to each meeting.

Minutes will contain details of meeting proceedings and actions arising and will be clear and self-explanatory.

The minutes will be formally endorsed by the PSC at the subsequent meeting.

14. Amendment, Modification or Variation

These Terms of Reference may be amended, varied or modified after consultation and agreement by the Committee members.

15. Evaluation and review

Towards the conclusion of the four-year term, the PSC will evaluate its success in meeting the objectives and priorities established at the beginning of its term, and the MONRE may consider the purpose and role of the Committee considering the overall success of the project.

The Terms of Reference will also be reviewed at this time.

16. Cost of participating in the PSC

The cost of participating in the PSC will be borne by the project.

Appendix 2. PSC meeting Invitation, Agenda and List of Participants

**MINISTRY OF NATURAL
RESOURCES AND ENVIRONMENT**

**THE SOCIALIST REPUBLIC OF VIETNAM
Freedom – Independence – Happiness**

No: 150 /GM-BTNMT

Ha Noi, 08 December 2020

INVITATION

To:.....

Ministry of Natural Resources and Environment (MONRE), in coordination with United Nations Human Settlements Programme (UN-Habitat) has developed the project proposal: “Enhancing the resilience inclusive and sustainable eco-human settlement development through small scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam”, which serves as funding application for Adaptation Fund. The project proposal has been approved by Adaptation Fund in July 2020.

To achieve consensus on the project proposal, we will be honor to invite you to participate in the *Project Steering Committee meeting for “Enhancing the resilience inclusive and sustainable eco-human settlement development through small scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam” project*. The meeting will be arranged as follows:

1. Time: 14h00 – 17h00, 15 December 2020
2. Venue: Meeting room 805, block A, Ministry of Natural Resources and Environment, 10 Ton That Thuyet Street, Ha Noi (*meeting agenda is attached in the invitation*)
3. Organizer: Leader of Ministry of Natural Resources and Environment
4. Participants: representatives of leaders of under-ministry agencies; Director of Tra Vinh Province’s Department of Natural Resources and Environment, Director of Bac Lieu Province’s Department of Natural Resources and Environment; representatives from project-related international organizations

For further information , please contact Ms. Nguyen Ngoc Anh, Department of Legal Affairs, MONRE, via telephone no: 08 5515 5656 or email nguyennngocanh.tnmt@gmail.com
Your sincerely./.

Recipients:

- As mentioned above;
- Minister Tran Hong Ha (for reporting);
- Vice Minister Nguyen Thi Phuong Hoa; (for reporting)
- Filing: Archive;

**ON BEHALF OF THE MINISTER
DIRETOR OF DEPARTMENT OF
LEGAL AFFAIRS (signed and stamped)**

Phan Tuan Hung

AGENDA

Project Steering Committee Meeting

Enhancing the resilience inclusive and sustainable eco-human settlement development through small scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam

Ha Noi, 15 December 2020

Time	Activity	In charge by/Coordinated by
13:30 – 14:00	Registration	Department of Legal Affairs
14:00 – 14:30	Opening Remarks	Ministry of Natural Resources and Environment UN-Habitat Viet Nam
	Speech from local implementing partners	Bac Lieu and Tra Vinh Province's Department of Natural Resources and Environment
14:30 – 15:00	Introduction of project and project's work plan	Department of Legal Affairs
15:00 – 15:30	Tea break	
15:30 – 16:00	Environmental and Social Safeguards, Gender and Youth Strategy	UN-Habitat Viet Nam
16:00 – 16:20	Knowledge Management, Advocacy and Communication Strategy	UN-Habitat Viet Nam
16:20 – 16:50	Discussion and feedback	All participants
16:50 – 17:00	Conclusion and Closing	Ministry of Natural Resources and Environment

List of Participants

No.	Fullname	Title	Organization
1	H.E. Nguyen Thi Phuong Hoa	Vice Minister	MONRE
2	Phan Tuấn Hùng	Vụ trưởng <i>Director</i>	Vụ Pháp chế, BTNMT <i>DLA, MONRE</i>
3	Trinh Thi Huong Thao	Deputy Chef	Văn phòng Bộ (Administrative Office) <i>MONRE</i>
4	Ngo Tuan Dung	Deputy Director	Department of International cooperation
5	Pham Van Tan	Deputy Director	Cục Biến đổi khí hậu <i>Department of Climate Change/MONRE</i>
6	Le Van Huu	Deputy Director	Department of Plannig and Finance
7	Vu Truong Son	Deputy Director	Vietnam Agency of Sea and Islands
8	Nguyen Thanh Tung	Director	DLA of VASI, <i>MONRE</i>
9	Du Van Toan		Institute of Sea and Islands

10	Nguyễn Duy Dũng	Đại diện <i>Representative</i>	Trung tâm Quy hoạch và Điều tra tài nguyên nước quốc gia <i>National Center for Water Resources Planning and Investigation (NAWAPI) / MONRE</i>
11	Trần Văn Hùng	Giám đốc <i>Director General</i>	Sở TNMT Trà Vinh <i>DONRE of Tra Vinh</i>
12	Hứa Minh Trọng	Trưởng Phòng <i>Head of Division</i>	Sở TNMT Bạc Liêu <i>DONRE of Bac Lieu</i>
13	Dr. Nguyễn Quang	Giám đốc chương trình <i>UN Habitat Programme Manager</i>	UN Habitat Viet Nam
14	Dr. Jay Nam	Trưởng cố vấn kỹ thuật <i>Chief Technical Advisor</i>	UN Habitat
15	Shon Dong Yeoub		<i>Trưởng Đại diện văn phòng KEITI tại Việt Nam KEITI</i>
16	Nguyen Ngoc Anh	Project Manager	DLA, MONRE

Appendix 3. Inception Workshop Invitation, Agenda and List of Participants

**MINISTRY OF NATURAL
RESOURCES AND ENVIRONMENT**

**THE SOCIALIST REPUBLIC OF VIETNAM
Freedom – Independence – Happiness**

No: 151 /GM-BTNMT

Ha Noi, 09 December 2020

INVITATION

To:.....

Ministry of Natural Resources and Environment (MONRE), in coordination with United Nations Human Settlements Programme (UN-Habitat) has developed the project proposal: “Enhancing the resilience inclusive and sustainable eco-human settlement development through small scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam”, which serves as funding application for Adaptation Fund. The project proposal has been approved by Adaptation Fund in July 2020.

To gather inputs for project endorsement process. We will be honor to invite you to participate in the *Inception Workshop for “Enhancing the resilience inclusive and sustainable eco-human settlement development through small scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam” project*. The workshop will be arranged as follows:

5. Time: 16 December 2020
6. Venue: Novotel Hanoi Hotel, 02 Thai Ha Street, Dong Da District, Ha Noi
(workshop agenda is attached with the invitation)

For further information and confirmation of participation, please contact Ms. Nguyen Ngoc Anh, Department of Legal Affairs, MONRE, via telephone number: 08 5515 5656 or email: nguyennngocanh.tnmt@gmail.com not later than 12 December 2020

Your sincerely ./.

Recipients:

- As mentioned above;
- Minister Tran Hong Ha (for reporting);
- Vice Minister Nguyen Thi Phuong Hoa; (for reporting)
- Filing: Archive;

**ON BEHALF OF THE MINISTER
DIRETOR OF DEPARTMENT OF
LEGAL AFFAIRS (signed and stamped)**

Phan Tuan Hung

Following the regulations of COVID-19 prevention, please WEAR FACEMASK and CLEAN YOUR HAND WITH ANTI-BACTERIA HAND WASH when participating the workshop

Agenda
Project Inception Workshop

Enhancing the resilience inclusive and sustainable eco-human settlement development through small scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam

Wednesday, 16 December 2020

Time	Activity	In charged/Coordinated by
08:00 – 08:30	Registration	Department of Legal Affairs
08:30 – 08:40	Opening Remarks	Ministry of Natural Resources and Environment UN-Habitat Viet Nam
08:40 – 09:00	Speech from local implementing partners	Bac Lieu & Tra Vinh's Department of Natural Resources and Environment
09:00 – 09:30	- Project introduction & Project Work Plan - Establishment of Project Steering Committee	Department of Legal Affairs
09:30 – 10:00	Project Monitoring and Evaluation	UN-Habitat Viet Nam
10:00 – 10:30	Tea break	
10:30 – 11:00	Project tools: <ul style="list-style-type: none"> • All planning and capacity building components and its workplan • Environmental and Social Safeguards, gender, and Youth strategy • Knowledge Management, Advocacy and Communication Strategy 	UN-Habitat Viet Nam
11:00 – 11:40	Discussion	All participants
11:40 – 12:00	Conclusion and Closing	Ministry of Natural Resources and Environment
12:00 -	Lunch	All participants

List of Participants

No.	Fullname	Title	Organization
1	Phan Tuấn Hùng	Vụ trưởng <i>Director</i>	Vụ Pháp chế, BTNMT <i>DLA, MONRE</i>
2	Doan Thanh Ha	Head of Division	Văn phòng Bộ (Administrative Office) <i>MONRE</i>
3	Vu Thang Phuong	Representative	Vụ Khoa học Công nghệ <i>Department of Science and Technology/MONRE</i>
4	Ho thi Minh Thu	Đại diện Trung tâm Ứng phó Biến đổi khí hậu (<i>Clitech</i>)	Cục Biến đổi khí hậu <i>Department of Climate Change/MONRE</i>
5	Trần Thanh Nga	Đại diện Trung tâm Bảo vệ tầng Ozôn (<i>OPC</i>)	
6	Nguyen Ba Tu	Đại diện Phòng Thích ứng Biến đổi khí hậu <i>Division of Climate Change Adaptation</i>	
7	Bui Duc Loc	Đại diện <i>Representative</i>	Tổng cục Biển và Hải đảo Việt Nam <i>Vietnam Agency of Sea and Islands/MONRE</i>
8	Pham Hong Tinh	Đại diện <i>Representative</i>	Trường ĐH Tài nguyên và Môi trường <i>Hanoi University of Natural Resources and Environment (HUNRE)</i>
9	Nguyễn Duy Dũng	Đại diện <i>Representative</i>	Trung tâm Quy hoạch và Điều tra tài nguyên nước quốc gia <i>National Center for Water Resources Planning and Investigation (NAWAPI) / MONRE</i>
10	Tran Thu Trang	Specialist	Clitech
11	Le Thu Hanh	Officer	Clitech
12	Nguyen Minh Khoa	Head of Division	Ban Biến đổi Khí hậu và các vấn đề toàn cầu, Viện Chiến lược, Chính sách và Tài nguyên môi trường <i>Division of Climate Change and Global issue (ISPONRE)/MONRE</i>
13	Mr. Laxman Perera	Chuyên gia định cư con người <i>Human Settlement Officer</i>	UN-Habitat ROAP
14	Dr. Nguyễn Quang	Giám đốc chương trình <i>UN Habitat Programme Manager</i>	UN Habitat Viet Nam

15	Dr. Jay Nam	Trưởng cố vấn kỹ thuật <i>Chief Technical Advisor</i>	
16	Mr. Nguyễn Minh	<i>HPM's Assistant</i>	
17	Ms. Ngan Nguyen	<i>Project Assistant</i>	
18	Mr. Cuong Kieu	<i>Program Assistant</i>	
19	Shon Dong Yeoub		<i>Trưởng Đại diện văn phòng KEITI tại Việt Nam KEITI</i>
20	Dương Thị Thanh Hoài		<i>Văn phòng KEITI tại Việt Nam KEITI</i>
21	Vũ Thị Phương Thanh		<i>Văn phòng KEITI tại Việt Nam KEITI</i>
22	Trần Văn Hùng	Giám đốc <i>Director General</i>	Sở TNMT Trà Vinh <i>DONRE of Tra Vinh</i>
23	Nguyễn Trọng Khâm	Phó trưởng phòng <i>Vice Head of Division</i>	Phòng Tài nguyên và Môi trường huyện Châu Thành
24	Nguyễn Tấn Nhi	Phó Chủ tịch <i>Vice Chairman</i>	Xã Long Hoà <i>Long Hoa Commune, Tra Vinh</i>
25	Trần Trung Kha	Chủ tịch <i>Chairman</i>	xã Hoà Minh <i>Hoa Minh Commune</i>
26	Hứa Minh Trọng	Trưởng Phòng <i>Head of Division</i>	Sở TNMT Bạc Liêu <i>DONRE of Bac Lieu</i>
27	DUONG NGOC HAI	Officer	MOC
28	Cao Thanh Phu		MPI
29	Nguyen Viet Ha		MPI
30	Lan Huong		Ministry of Science and Technology
31	Pham Thi Thuy Dung	Project specialist	Ministry of Information and Communication
31	TS. Ngô Thọ Hùng	Viện phó <i>Vice Director</i>	Viện Quản lý và Phát triển Đô thị, Học viện AMC <i>Institute of Urban Management and Development</i>
33	Chu Yển	Vice director	Viện đào tạo và quan hệ quốc tế Viện quản lý Xây dựng và Đô thị, Bộ Xây dựng <i>Institute of Training & International Cooperation, Academy of Managers for Construction and Cities - MOC</i>
34	Đặng Huy Đông		Viện Nghiên cứu Quy hoạch và Phát triển <i>Institute of Planning and Development</i>
35	Pham Duc Thi	<i>Specialist</i>	VACNE
36	Bui Van Minh	<i>Value Chain Advisor & Private Sector</i>	SNV Netherlands Development Organisation

37	Nguyen Tuan Vu	<i>Project staff</i>	Nowegian Mission Alliance VN
38	Truong Tuan Anh	<i>Project staff</i>	
39	Nguyễn Ngọc Huy	<i>Senior Climate Change Advisor</i>	Oxfam
40	Tran Van Giai Phong	<i>National Programme Officer SECO</i>	SECO
41	Nguyen Thanh Tu	<i>Specialist</i>	Embassy of US
42	Nguyễn Ngọc Anh	<i>Project Manager</i>	DLA, MONRE
43	Nguyễn Phương Hà	<i>Project Assistant</i>	DLA, MONRE
44	Nguyen Thi My Hanh	<i>Officer</i>	DLA, MONRE
45	Pham Thi Lan Phuong	<i>Translator</i>	
46	Vo Viet Cuong	<i>Translator</i>	

Appendix 4. Presentations

Presentations 1

Enhancing the resilience inclusive and sustainable eco-human settlement development through small scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam

PROJECT INTRODUCTION



List of contents

- Project general information
- Project objectives
- Project components
- Project outcomes and outputs
- Implementation arrangements
- Project Work Plan



1. Project general information

- Project Governing Entity: Ministry of Natural Resources and Environment
- Focal point: Department of Legal Affairs
- Donor: Adaptation Fund
- Project Executing Entity : United Nations Human Settlements Programme (UN-Habitat) - project monitoring, evaluation & reporting
- Project budget: \$USD 6.451.172 (non-refundable aid)
- Project time: 2020 - 2023 (4 years)
- Project location: Tra Vinh and Bac Lieu.

2. Project objectives

Main objectives	Specific objectives
Strengthening climate change adaptive capacity for the most vulnerable groups in Mekong Delta, by supporting the integration of inclusive eco-human settlements strategic framework for all government levels	(1) Institutional capacity building for central and local level on development of holistic adaptation planning and strategy for coastal areas;
	(2) Concrete action plan and strategy development for central and local level on development of holistic adaptation planning and strategy for coastal areas;
	(3) Piloting the sustainable infrastructure management model, strengthening capacity and promoting gender equality approach in sustainable infrastructure operation and management at local level;
	(4) Replication of approaches and lesson learned on planning development on environmental protection and climate change resilience based on local's needs and capability
	(5) Propose the integration of regulations which promotes community development and quality of life improvement towards climate change adaptation into national legal and policy system.

3. Project components

1 Institutional and community capacity building toward eco-human settlement development for supporting enhance local climate response actions

2 Action plan and strategy development for eco-human settlement, and integrating into planning and policy with participatory approach

3 Sustainability built through small-scale protective infrastructure

4 Awareness Raising and Knowledge Management

4. Project outcomes and outputs

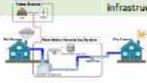
Project components	Expected outcomes	Expected outputs
Component 1. Institutional and community capacity building toward eco-human settlement development for supporting to enhance local climate response actions	1.1. Increase awareness on resilience of human settlements and ecosystem as a result of enhanced institutional capacity	1.1.1. National inception workshop
		1.1.2. Guidance and training materials development for vulnerability and risk assessment at the local levels
	1.2. Strengthen knowledge of climate change adaptation	1.1.3. Planning toolkits and training materials development for planning approach, strategy and action plan development on climate change resilience
		1.1.4. Project team (facilitators) training enabling facilitation of eco-human settlement strategy and action plan development
		1.2.1. Training workshops enabling national/provincial/district/commune to set up eco-human settlement strategy and action plan development for climate change adaptation

4. Project outcomes and outputs (cont.)

Project components	Expected outcomes	Expected outputs
Component 2. Action plan and strategy development for eco-human settlement, and integrating into planning and policy with participatory approach	2.1. Develop provincial/district/commune level's action plan and strategy for eco-human settlement based on local people's needs	2.1.1 Action plan and strategy development for eco-human settlement (provincial, district, and commune level)
		2.2.1. Policy framework development for integrating local people's action plans and strategies for eco-human settlement into planning (provincial level)
	2.2. Develop policy framework for integrating climate action and strategy into planning	2.2.2. Integrating developed/revised action plan and strategy into the relevant/existing planning and policy (provincial level)

4. Project outcomes and outputs (cont.)

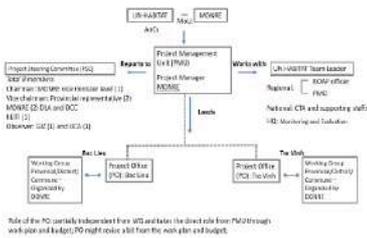
Project components	Expected outcomes	Expected outputs
Component 3: Sustainability built through small-scale protective infrastructure	3.1. Increase community adaptive capacity with climate resilient and development sectors, and increase ecosystem resilience in response to climate change	3.1.1. Prevention of the saltwater intrusion and protection of the ground water through water treatment system and rainwater harvesting 3.1.2. Prevention of coastal erosion with green (eco-friendly) erosion rehabilitation and control system: elastocast
	3.2. Enhance local people's capacity for management and operation of provided infrastructures	3.2.1. Capacity building to a working group for the sustainable operation and management of provided hard interventions



4. Project outcomes and outputs (cont.)

Project components	Expected outcomes	Expected outputs
Component 4: Awareness Raising and Knowledge Management	4.1 Project implementation is fully transparent. All stakeholders are informed of products and results and have access for replication	4.1.1 Lessons learned and best practices regarding resilient urban community development/housing are generated, captured and distributed to other communities, civil society, and policy-makers in government appropriate mechanisms 4.1.2 Regional advocacy and replication and replication for developing the effective policy framework

5. Implementation arrangements



Note: The PMU currently is independent from UN-Habitat and takes the direct role from PMU through work plan and budget. PMU might receive aid from the non-aid and budget.

5. Implementation arrangements (cont.)

Project Steering Committee

- Make necessary decisions and guidance during project implementation;
- Conduct project review to evaluate project performance and Annual Work Plan for the following years.
- The PSC will meet once a year, or whenever needed if proposed by PSC members.
- Chairman: Leader of Ministry of Natural Resources and Environment;
- Members: representative of leaders of Department of Legal Affairs, Ministry Office, Department of International Cooperation, Department of Plan – Finance, Department of Climate Change, Viet Nam Administration of Seas and Islands, NAWAPI; Bac Lieu & Tra Vinh's People Committee (or Director of DONRE); representatives of UN-Habitat, KEITI.

5. Implementations arrangements (cont.)

Project Steering Committee

- Is responsible before project governing entity, donor and before the Law on project management and implementation.
- Comply with standards and requirements of UN-Habitat and Adaptation Fund

Organizational structure of Project Steering Committee

- Project manager
- Project Chief Accountant
- Project Coordinator
- Other project staffs (finance and admin assistant, consultant)
- Project focal points at Tra Vinh and Bac Lieu

7. Project Work Plan and Budget Allocation

Project components	Year 1	Year 2	Year 3	Year 4
Component 1	X	X	X	X
Component 2		X	X	X
Component 3		X	X	X
Component 4				X

7. Project Work Plan and Budget Allocation (cont.)

Component	Total budget	Year 1	Year 2	Year 3	Year 4
Component 1	800,000	360,000	320,000	120,000	-
Component 2	600,000	-	200,000	320,000	80,000
Component 3	3,694,068	-	958,044	1,910,000	826,024
Component 4	200,000	-	-	-	200,000
	5,294,068	360,000	1,478,044	2,350,000	1,106,000
Management cost	495,347				
Total cost			\$US 6,451,172		

Project budget

- Total project budget: 6,451,172 USD
- Non-refundable aid from Adaptation Fund: 6,345,292 USD
- Expected counterpart fund: 105,880 USD

Presentation 2

Enhancing the resilience inclusive and sustainable eco-human settlement development through small scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam

AF Viet Nam project inception workshop
16 December 2020

An overview of Work Plan, implementation strategy and monitoring framework



1. Work Plan and Budget for 1st year (2020-2021)

- Need to be reviewed and endorsed the workplan
- Work Plan can be developed a more detailed once project manager is on board (with clear allocations of tasks)
- Budget is hard to be revised, only less than 10% can be revised without the notice to AFB

2020-2021, 1st year work plan for initial 3 months

Budget	Task	September	October	November	December
10,000	PSC meeting				
	PSC meeting agenda development				
	PSC meeting agenda development				
	PSC meeting agenda development				
20,000	Inception WS				
	Inception WS agenda development				
	Inception WS agenda development				
	Inception WS agenda development				
N/A	AoC				
	AoC				
	AoC				
	AoC				
N/A	Viet Nam government's approval				
	Viet Nam government's approval				
	Viet Nam government's approval				
	Viet Nam government's approval				
10,000	Technical Advisory group				
	Technical Advisory group				
	Technical Advisory group				
	Technical Advisory group				

2020-2021, 1st year work plan

Budget	Task	M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12
10,000	PSC meeting												
	PSC meeting agenda development												
	PSC meeting agenda development												
	PSC meeting agenda development												
20,000	Inception WS												
	Inception WS agenda development												
	Inception WS agenda development												
	Inception WS agenda development												
70,000	AoC												
	AoC												
	AoC												
	AoC												
80,000	Implementat on of Activities												
	Implementat on of Activities												
	Implementat on of Activities												
	Implementat on of Activities												
80,000	Implementat on of Activities												
	Implementat on of Activities												
	Implementat on of Activities												
	Implementat on of Activities												
30,000	Implementat on of Activities												
	Implementat on of Activities												
	Implementat on of Activities												
	Implementat on of Activities												
60,000	Implementat on of Activities												
	Implementat on of Activities												
	Implementat on of Activities												
	Implementat on of Activities												

1st year Budget Allocation for AoC

Outcome	Output	Activity	Total Budget	Year 1	Year 2	Year 3	Year 4	
1.1. Increase awareness on resilience and ecosystem as a result of enhanced institutional capacity in development of eco-human settlement strategy and action plan (Female government staff must be represented, and 40% of female trainers will be participated)	1.1.1. National induction workshop	National induction workshop for one day in HUE, HCMC or CT	40,000	40,000	-	-	-	
		Organize TF team for developing the toolkits, guidance, and training materials.	100,000	70,000	30,000	-	-	
	Output 1.1.1. total			140,000	110,000	30,000	-	-
	1.1.2. Guidance and training materials development for vulnerability and risk assessment at the local level	Technical meetings and dialogue workshops	120,000	80,000	40,000	-	-	
		Field visit to the project site	100,000	70,000	30,000	-	-	
	Output 1.1.2. total			220,000	150,000	70,000	-	-
	1.1.3. Planning toolkits and training materials development for planning approach, strategy and action plan development	Technical meetings and dialogue workshops	120,000	80,000	40,000	-	-	
		Field visit to the project site	120,000	80,000	40,000	-	-	
	Output 1.1.3. total			240,000	160,000	80,000	-	-
	1.1.4. Project team (facilitator) training enabling facilitation of eco-human settlement strategy and action plan development	Training for trainers with the materials developed through 1.1.2 and 1.1.3	120,000	80,000	40,000	-	-	
		120,000	80,000	40,000	-	-		
Output 1.1.4. total			240,000	160,000	80,000	-	-	
Output 1.1.1. total			140,000	110,000	30,000	-	-	
Output 1.1.2. total			220,000	150,000	70,000	-	-	
Output 1.1.3. total			240,000	160,000	80,000	-	-	
Output 1.1.4. total			240,000	160,000	80,000	-	-	
Component 1 total			840,000	580,000	260,000	-	-	

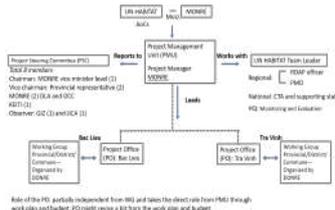
1st year Budget Allocation for AoC

Outcome	Output	Activity	Total Budget	Year 1	Year 2	Year 3	Year 4
1.2. Strengthened knowledge of adaptation and climate risk reduction (40% of female will be participated and women unions will encourage them to attend)	1.2.1. Training workshops enabling national/provincial/district V communities to set up eco-human settlement strategy and action plan development for climate change adaptation	National workshop (in HN or CT for 100 participants)	60,000	30,000	30,000	-	-
		National + provincial workshop (in Bac Lieu and Tra Vinh/ 50 participants)	120,000	60,000	60,000	-	-
	1.2.2. Provincial + district + commune level workshop (in Long Hoa, Hoa Minh, Vinh Trach, Hoa, and Vinh Hoi/ 50 participants)		240,000	120,000	120,000	-	-
			240,000	120,000	120,000	-	-
Output 1.2.1. total			420,000	210,000	210,000	-	-
Component 2 total			800,000	340,000	220,000	120,000	-

2. Implementation Strategy

- Startup through UN-Habitat's support to prepare capacity building activities before PMU established
- After PMU established, UN-Habitat support as needed, and keep providing technical assistance
- On-boarding of Project Manager and Officer
- Finalization of Agreement of Cooperation with MONRE
- Procurements will be set up by MONRE and it will be reviewed by PSC
- For Technical support, Technical Advisory Group will be established after the Inception Workshop
- PMU and UN-Habitat Viet Nam Team continue to communicate with local governments for implementation
- PO offices in provinces will be indicated by Provincial Committee with the cooperation of PMU
- Cooperate with Mekong Delta Working Group (MDWG) for further implementation and sharing the progress

Institutional arrangement



3. Monitoring Framework

The Project Monitoring framework comprises of 4 elements

- Adaptation Fund core indicators
- Adaptation Fund Performance Reporting
- Environmental, Social, Gender and Youth Strategy monitoring framework
- Knowledge Management, Advocacy and Communications monitoring framework

The PSC took note of the arrangements (and will receive the reports in accordance with the ToR)

UN-Habitat's Monitoring and Evaluation Plan

Type of M&E Activities	Responsible Parties	Time Frame	Reporting Period	Frequency	Reporting Mechanism	Reporting Period	Reporting Frequency
Baseline monitoring	Project Manager, Project Steering Committee (PSC) and UN-Habitat	Baseline survey	Baseline monitoring report	Quarterly	Project Manager, Project Steering Committee (PSC) and UN-Habitat	Baseline monitoring report	Quarterly
Monitoring of progress of activities (Quarterly, semi-annual and M&E plans)	Project Manager, Project Team	Mid-year report	Mid-year report	Bi-annual	Project Manager, Project Steering Committee (PSC) and UN-Habitat	Mid-year report	Bi-annual
Project progress and performance reviews	Project Manager, Project Steering Committee	Quarterly	Quarterly performance report	Quarterly	Project Manager, Project Steering Committee (PSC) and UN-Habitat	Quarterly performance report	Quarterly
					Project Steering Committee (PSC) and UN-Habitat	Quarterly performance report	Quarterly
					Project Manager, Project Steering Committee (PSC) and UN-Habitat	Annual report	Annual
					Project Manager, Project Steering Committee (PSC) and UN-Habitat	Annual report	Annual
					Project Manager, Project Steering Committee (PSC) and UN-Habitat	Annual report	Annual

Adaptation Fund Results Tracker

Indicator	Target	Actual	Comments
1.1. Increased resilience of coastal communities to climate change	80%	75%	...
1.2. Increased ecosystem resilience to respond to climate change-induced stresses	80%	75%	...
1.3. Increased adaptive capacity of communities to respond to the impacts of climate change	80%	75%	...
1.4. Increased income, or avoided decrease in income	80%	75%	...
1.5. Natural habitats protected or rehabilitated	80%	75%	...

Adaptation Fund Core Indicator

Table 1. Adaptation Fund Core Indicators

Indicator	Target	Comments
1.1. Increased resilience of coastal communities to climate change	80%	...
1.2. Increased ecosystem resilience to respond to climate change-induced stresses	80%	...
1.3. Increased adaptive capacity of communities to respond to the impacts of climate change	80%	...
1.4. Increased income, or avoided decrease in income	80%	...
1.5. Natural habitats protected or rehabilitated	80%	...

Adaptation Fund Indicator 1

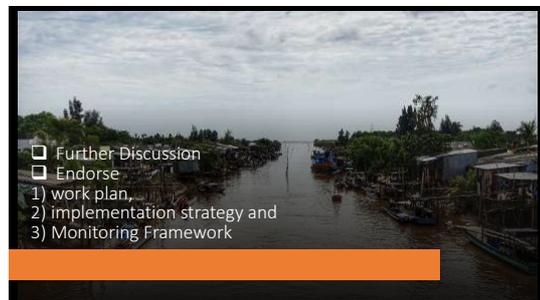
Indicator	Target	Comments
1.1. Increased resilience of coastal communities to climate change	80%	...
1.2. Increased ecosystem resilience to respond to climate change-induced stresses	80%	...
1.3. Increased adaptive capacity of communities to respond to the impacts of climate change	80%	...
1.4. Increased income, or avoided decrease in income	80%	...
1.5. Natural habitats protected or rehabilitated	80%	...

Adaptation Fund Indicator 2

Indicator	Target	Comments
1.1. Increased resilience of coastal communities to climate change	80%	...
1.2. Increased ecosystem resilience to respond to climate change-induced stresses	80%	...
1.3. Increased adaptive capacity of communities to respond to the impacts of climate change	80%	...
1.4. Increased income, or avoided decrease in income	80%	...
1.5. Natural habitats protected or rehabilitated	80%	...

Adaptation Fund Indicator 3

Indicator	Target	Comments
1.1. Increased resilience of coastal communities to climate change	80%	...
1.2. Increased ecosystem resilience to respond to climate change-induced stresses	80%	...
1.3. Increased adaptive capacity of communities to respond to the impacts of climate change	80%	...
1.4. Increased income, or avoided decrease in income	80%	...
1.5. Natural habitats protected or rehabilitated	80%	...



Presentation 3

Enhancing the resilience inclusive and sustainable eco-human settlement development through small scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam

AF Viet Nam project Inception Workshop
16 December 2020

All planning and capacity building components and its workplan



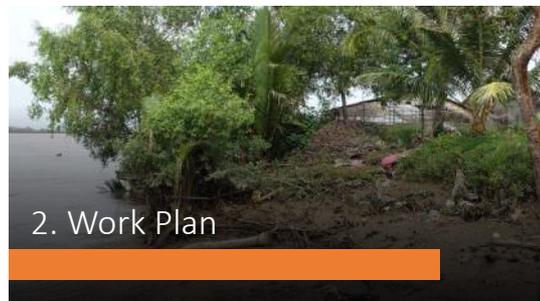
Outcome	Output	Activity	Total Budget	Year 1	Year 2	Year 3	Year 4
1.1. Increase awareness on resilience and ecosystem as a result of enhanced institutional capacity in development of eco-human settlement strategy and action plan (Female government staff must be represented, and 40% of female trainers will be participated)	1.1.1. National induction workshop	National induction workshop for one day in Hoi, HCMC, or CT	40,000	40,000	-	-	-
		Technical meetings and dialogue workshop	40,000	40,000	-	-	
	Output 1.1.1. total			80,000	80,000	-	-
	1.1.2. Guidance and training materials development for developing the toolkit, guidance, and training materials	Technical meetings and dialogue workshop	100,000	70,000	30,000	-	-
		Field visit to the project site	100,000	70,000	30,000	-	-
	Output 1.1.2. total			200,000	140,000	60,000	-
	1.1.3. Planning toolkits and training materials development for planning approach, strategy and action plan development	Technical meetings and dialogue workshop	120,000	80,000	40,000	-	-
		Field visit to the project site	120,000	80,000	40,000	-	-
	Output 1.1.3. total			240,000	160,000	80,000	-
	1.1.4. Project team (facilitators) training enabling facilities of eco-human settlement strategy and action plan development	Training for trainers with the materials developed through 1.1.2 and 1.1.3	120,000	80,000	40,000	-	-
Field visit to the project site		120,000	80,000	40,000	-	-	
Output 1.1.4. total			240,000	160,000	80,000	-	
Component 1.1 total			1,200,000	800,000	400,000	-	-

Outcome	Output	Activity	Total Budget	Year 1	Year 2	Year 3	Year 4
1.2. Strengthened knowledge of adaptation and climate risk reduction (40% of female will be participated and women union will encourage them to attend)	1.2.1. Training workshops enabling national/provincial/district + commune level workshop (in Bac Lieu and Tra Vinh/ 50 participants)	National workshop (in HN or CT for 100 participants)	60,000	30,000	30,000	-	-
		National + provincial workshop (in Bac Lieu and Tra Vinh/ 50 participants)	120,000	60,000	60,000	-	-
	1.2.2. Provincial + district + commune level workshop (in Long Hoa, Hoa Minh, Vinh Trach, Dong, and Vinh Hoa/ 50 participants)	Provincial + district + commune level workshop (in Long Hoa, Hoa Minh, Vinh Trach, Dong, and Vinh Hoa/ 50 participants)	240,000	120,000	120,000	-	-
		Provincial + district + commune level workshop (in Long Hoa, Hoa Minh, Vinh Trach, Dong, and Vinh Hoa/ 50 participants)	240,000	120,000	120,000	-	-
Output 1.2.1. total			420,000	210,000	210,000	-	-
Component 1.2 total			800,000	360,000	320,000	120,000	-

Outcome	Output	Activity	Total Budget	Year 1	Year 2	Year 3	Year 4
2.1. Provincial/district/commune level's action plan and strategy for eco-human settlement will be developed based on local people's needs (women union leaders will be participated)	2.1.1. Policy framework development for integrating local's action plans and strategies for eco-human settlement into planning (Provincial level)	Dialogue workshop	60,000	-	30,000	30,000	-
		Policy framework development	80,000	-	40,000	40,000	-
	Output 2.1.1. total			140,000	70,000	70,000	-
	2.1.2. Action plan and strategy development for eco-human settlement (Provincial, district, and commune level)	Training workshop	180,000	-	40,000	100,000	40,000
		Dialogue workshop	180,000	-	40,000	100,000	40,000
	Output 2.1.2. total			360,000	80,000	200,000	80,000
2.2. Policy framework for integrating climate action and strategy into planning will be developed (40% of female will be participated and women union will encourage them to attend)	2.2.2. Integrating developed/proposed action plan and strategy into the relevant existing planning and policy (Provincial level)	Dialogue workshop in provincial level with the various stakeholders	100,000	-	50,000	50,000	-
		Dialogue workshop in provincial level with the various stakeholders	100,000	-	50,000	50,000	-
Output 2.2.2. total			200,000	50,000	100,000	100,000	
Component 2 total			600,000	200,000	320,000	180,000	

Outcome	Output	Activity	Total Budget	Year 1	Year 2	Year 3	Year 4
3.2. Enhanced local's capacity for management and operation of provided infrastructures (40% of female will be participated and women union will encourage them to attend)	3.2.1. Capacity building to a working group for the sustainable operation and management of provided hard interventions	Training workshop with NAWOP and O/W in Long Hoa, Hoa Minh, and Vinh Trach Dong with 4 technical people (in charge of operation and management of the facilities) for 3 years	335,824	-	110,000	110,000	115,824
		Training workshop with NAWOP and O/W in Long Hoa, Hoa Minh, and Vinh Trach Dong with 4 technical people (in charge of operation and management of the facilities) for 3 years	335,824	-	110,000	110,000	115,824
	Output 3.2.1. total			671,648	-	220,000	220,000
Component 3 total			671,648	-	220,000	220,000	231,648

Outcome	Output	Activity	Total Budget	Year 1	Year 2	Year 3	Year 4
4.1. Project implementation is fully transparent. All stakeholders are informed of products and results and have access for replication (Female government staff must be represented)	4.1.1. Lessons learned and best practices regarding resilient urban community development/housing are generated, captured and distributed to other communities, civil society and policy-makers in government appropriate mechanisms	Dialogue workshop	160,000	-	-	-	160,000
		Dialogue workshop	160,000	-	-	-	160,000
	Output 4.1.1. total			320,000	-	-	320,000
	4.1.2. Regional advocacy and replication and replication for developing the effective policy framework	Policy platform development	40,000	-	-	-	40,000
Policy platform development		40,000	-	-	-	40,000	
Output 4.1.2. total			80,000	-	-	80,000	
Component 4 total			400,000	-	-	400,000	



Output	Year 1	Year 2	Year 3	Year 4
Output 1.1.1. National induction workshop	x			
Output 1.1.2. Guidance and training materials development for vulnerability and risk assessment at the local levels	x	x		
Output 1.1.3. Planning toolkits and training materials development for planning approach, strategy and action plan development on climate change resilience	x	x		
Output 1.1.4. Project team (facilitators) training enabling facilitation of eco-friendly settlement strategy and action plan development (for supporting component 2.1.1 and 2.2.2)	x	x		
Output 1.2.1. Training workshops enabling national/ provincial/ district/ commune to set up eco-human settlement strategy and action plan development for climate change adaptation	x			
Output 2.1.1. Action plan and strategy development for eco-human settlement (provincial, district, and commune level)	x	x	x	x
Output 2.2.1. Policy framework development for integrating local people's action plan and strategies for eco-human settlement into planning (provincial level)	x	x	x	x
Output 2.2.2. Integrating developed/ revised action plan and strategy into the policy/ existing planning and policy (provincial level)	x	x	x	x
Output 3.2.1. Capacity building to a working group for the sustainable operation and management of provided hard interventions	x	x	x	x
Output 4.3.1. Lessons learned and best practices regarding resilient urban community development/housing are generated, captured and distributed to other communities, civil society, and policy-makers in government appropriate mechanisms			x	x
Output 4.1.2. Regional advocacy and replication for developing the effective policy framework			x	x

Project Component 1: Institutional and community capacity building toward eco-human settlement development for supporting to enhance local climate response actions

Expected Result	Indicators	Baseline Data	Targets	Workplan
Output 1.1.1. National induction workshop	Number of participants (60 women included for participation)		100 government officials, experts and practitioners at all levels (At least 40% of whom female)	October
Output 1.1.2. Guidance and training materials development for vulnerability and risk assessment at the local levels	Developed guidance and training materials for vulnerability and risk assessment at local levels	There is less and not comprehensive guidance and training materials for vulnerability and risk assessment at all levels	1 guidance and 1 training materials	Preparation and Orientation: November 2020 Finalization: January-February 2021
Output 1.1.3. Planning toolkits and training materials development for planning approach, strategy and action plan development on climate change resilience (At least 40% of whom female)	Developed planning toolkits and training materials for planning, strategy and action plan development Percentage of Female experts and consultants (at least 40%)	There is less and not holistic planning toolkits and training materials for planning, strategy and action plan development	3 planning toolkits for all levels (national, provincial and district+ commune) and 3 training materials for all levels	Preparation and Orientation: November 2020 Finalization: March/April 2021

Project Component 1: Institutional and community capacity building toward eco-human settlement development for supporting to enhance local climate response actions

Output 1.1.4. Project team (facilitators) training enabling facilitation of eco-friendly settlement strategy and action plan development (for supporting component 2.1.1 and 2.2.2)	Number of trained facilitators Percentage of female experts and consultants for being facilitators	There is very limited capacity at all levels to provide trainings to locals	20 facilitators will be trained (At least 40% of whom female)	April to June/July 2021
Output 1.2.1. Training workshops enabling national/ provincial/ district/ commune to set up eco-human settlement strategy and action plan development for climate change adaptation	Number of training workshop (80 women included)	Less vertically integrated training workshops at all levels and limited number of training workshops for practitioners, and locals	200 government officials, experts and practitioners at all levels will be trained (At least 40% of whom female and women union will be represented)	June to October/November 2021

Project Component 2: Action plan and strategy development for eco-human settlement, and integrating into planning and policy with participatory approach

Output 2.1.1. Action plan and strategy development for eco-human settlement (provincial, district, and commune level)	Number of action plans and strategies developed Number of training workshop	Lack of action plan and strategy based on local people's needs	4 dialogue workshops 4 policy framework development workshops (At least 40% of whom female and women union will be represented)	August 2021 to December 2022
Output 2.2.1. Policy framework development for integrating local people's action plan and strategies for eco-human settlement into planning (provincial level)	Number of integrated action plans and strategies into planning Number of dialogue workshop Number of report for policy framework development	There is limited framework for integration of local people's action plan and strategies into provincial level planning	8 training workshops 8 dialogue workshops (At least 40% of whom female and women union will be represented)	October 2021 to December 2022
Output 2.2.2. Integrating developed/ revised action plan and strategy into the relevant/existing planning and policy (provincial level)	Number of dialogues workshops Number of integrated action plans and strategies into planning	There is limited integration of local people's action plan and strategies into provincial level planning	2 dialogue workshops (At least 40% of whom female and women union will be represented)	January 2023 to December 2023

Project Component 3: Sustainability built through small-scale protective infrastructure

Output 3.2.1. Capacity building to a working group for the sustainable operation and management of provided hard interventions (At least 40% of whom female and women union will be represented)	Number of people who trained / Number of training workshop / Number of management and operation guidance materials	There are less capacity for operation and management and currently no trainings for it	Training workshop with NAWA/P and O-WU in Long Hoa, Hoa Minh, and Vinh Thach Dong with 50 technical people (in charge of operation and management of the facilities) for 3 years	September 2021 to December 2023
--	--	--	--	---------------------------------

Project Component 4: Awareness Raising and Knowledge Management

Output 4.1.1. Lessons learned and best practices regarding resilient urban community development/housing are generated, captured and distributed to other communities, civil society, and policy-makers in government appropriate mechanisms	Number of dialogue workshops	There is limited chance of knowledge sharing for lessons learned and best practices	10 dialogue workshops	Year 4
Output 4.1.2. Regional advocacy and replication for developing the effective policy framework	Number of report for policy platform development Number of practices and experience sharing workshop	There is no proper policy platform for regional advocacy and replication	Policy Platform development	Year 4



Presentation 4

Enhancing the resilience inclusive and sustainable eco-human settlement development through small scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam

AF Viet Nam project Inception Workshop
16 December 2020

Environmental, Social, Gender and Youth Strategy (ESGY)



Purpose

To demonstrate compliance of the project with the environmental and social safeguards policy and the gender policy of the Adaptation Fund. It provides an initial analysis / overview of the identified risks and environmental and social co-benefits and opportunities per activity with a special emphasis on gender and youth opportunities. The strategy includes a management and governance approach for compliance and the mainstreaming of environmental, social, gender and youth.

Compliance with the AF ESP & Gender Policy

In line with UN-Habitat's Environmental and Social Management System and in line with the Adaptation Fund's ESP and Gender Policy (GP), UN-Habitat and partners are required to conduct risk screenings and impact assessments of all proposed interventions / activities and the project as a whole.

To ensure compliance with the Gender Policy, identify potential risks and actively seek out gender and youth opportunities an initial gender & youth analysis has been conducted. This is necessary in order to establish a data baseline at the project start against which implementation progress and results can be measured later. Further disaggregated data focused on climate change related issues, needs and perceptions of vulnerable groups, activity prioritization and the identification and verification of potential risks and impacts and, where needed, identification of measures to avoid or mitigate potential risks will be captured through community surveys, focus groups discussions, community planning and decision-making processes as part of the Vulnerability Assessments and Action Planning.

To ensure communities can easily participate in conducting vulnerability assessments and in developing resilience-recovery- and upgrading plans, a draft vulnerability assessment and planning tool is available to conduct climate change action planning at the community level. This guide includes a gender and inclusion assessment of actions to ensure that the needs of women and other vulnerable groups are clearly addressed through the actions.

Compliance with Environmental and Social Safeguards during project development

The project fully complied with international and national laws and the Adaptation Fund's Environmental and Social Policy. In line with UN-Habitat's Environmental and Social Policy, UN-Habitat completed an initial risk analysis, screening and assessing potential environmental and social impacts for the proposed project.

In line with the Adaptation Fund's guidelines all activities were screened against international and national laws and policies. At this stage, significant risks were not identified and it is very unlikely that national ESIA procedures will be triggered. However, given that some of the Unidentified Sub Projects (USPs) may pose environmental and social risks that could potentially result in the need for national ESIA procedures; the ESGY Strategy for the project implementation is taking this into consideration in terms of screening, assessment and responsibilities. At this stage all activities were also screened against the ESP principles.

Target Audiences via stakeholder analysis	
Local communities	To raise awareness and generate support for addressing the issues pertaining to community vulnerabilities to climate change and adaptive capacity. Thus, targeting stakeholders at local will directly support the implementation and the sustainability of the project activities.
Women and Youth Associations	Integrating action plans is a key project knowledge product which will inform community decision making.
Provincial government officials	The knowledge generated at local level is to inform provincial and national planning and programming.
National government officials	Various national government entities and their officials are involved in this project as designated authority, executing entity, project management committee members or are other stakeholders in the project.
	Raising the awareness of officers involved on issues of informal settlement vulnerabilities, community resilience, community action, partnership approaches etc. can generate support for addressing these issues. Such engagement will also pave the way for policy review to ensure the project's sustainability and the development of a conducive policy environment.
Project stakeholders	The Technical Advisory Committee (comprising of national government agencies and technical bodies, urban and community stakeholders, academia and development partners) are expected to have similar RMAC needs as above-mentioned groups.

15 Principles of the Environmental and Social Policy of the Adaptation Fund

- Gender Equity and Women's Empowerment:** Projects/programmes shall be designed and implemented in such a way that both women and men 1) are able to participate fully and equitably; 2) receive comparable social and economic benefits; and 3) do not suffer disproportionate adverse effects during the development process.
- Core Labour Rights:** Projects/programmes shall meet the core labour standards as identified by the International Labour Organization.
- Indigenous Peoples:** Projects/programmes that are inconsistent with the rights and responsibilities set forth in the UN Declaration on the Rights of Indigenous Peoples and other applicable international instruments relating to indigenous peoples cannot be supported.
- Involuntary Resettlement:** Projects/programmes shall be designed and implemented in a way that avoids or minimizes the need for involuntary resettlement. When limited involuntary resettlement is unavoidable, due process, as outlined in the joint UN-Habitat - OICHR Factsheet 25 on Forced Evictions, should be observed so that displaced persons shall be informed of their rights, consulted on their options, and offered technically, economically, and socially feasible resettlement alternatives or fair and adequate compensation.

15 Principles of the Environmental and Social Policy of the Adaptation Fund

- Compliance with the law:** Projects/programmes shall be in compliance with all applicable domestic and international law.
- Access and equity:** Projects/programmes shall provide fair and equitable access to benefits in an inclusive manner and without impeding access to basic health services, clean water and sanitation, energy, education, housing, safe and decent working conditions, and land rights. Projects/programmes should not exacerbate existing inequities, particularly with respect to marginalized or vulnerable groups.
- Marginalized and vulnerable groups:** Projects/programmes shall avoid imposing any disproportionate adverse impacts on marginalized and vulnerable groups including children, women and girls, the elderly, indigenous people, tribal groups, displaced people, refugees, people living with disabilities, and people living with HIV/AIDS. Where possible the project is to identify opportunities for empowerment and where necessary support affirmative action in support of these groups. In screening any proposed project/programme, the implementing partners shall assess and consider particular impacts on marginalized and vulnerable groups.
- Human rights:** Projects/programmes shall respect and where applicable promote international human rights.

15 Principles of the Environmental and Social Policy of the Adaptation Fund

- Protection of Natural Habitats:** Projects/programmes that involve unjustified conversion or degradation of critical natural habitats, including those that are (a) legally protected; (b) officially proposed for protection; (c) recognized by authoritative sources for their high conservation value, including as critical habitat; or (d) recognized as protected by traditional or indigenous local communities shall not be supported.
- Conservation of Biological Diversity:** Projects/programmes shall be designed and implemented in a way that any significant or unjustified reduction or loss of biological diversity or the introduction of known invasive species is avoided.
- Climate Change:** Projects/programmes shall not result in any significant or unjustified increase in greenhouse gas emissions or other drivers of climate change.
- Pollution Prevention and Resource Efficiency:** Projects/programmes shall be designed and implemented in a way that meets applicable international standards for maximizing energy efficiency and minimizing material resource use, waste production, and the pollutant release.

15 Principles of the Environmental and Social Policy of the Adaptation Fund

- **Public Health:** Projects/programmes shall be designed and implemented in a way that avoids potentially significant negative impacts on public health.
- **Physical and Cultural Heritage:** Projects/programmes shall be designed and implemented in a way that avoids the alteration, damage, or removal of any physical cultural resources, cultural sites, and sites with unique natural values recognized as such at the community, national or international level. Projects/programmes should not interfere permanently with existing access and use of such physical and cultural resources.
- **Lands and Soil Conservation:** Projects/programmes shall be designed and implemented in a way that promotes soil conservation and avoids degradation or conversion of productive lands or land that provides valuable ecosystem services.

Principles, compliance and integration of safeguards into the project management

The project will comply with:

- The Environmental and social principles of the Environmental and Social Policy of the Adaptation Fund
- The Gender Policy of the Adaptation Fund
- The Environmental and Social Safeguards Policy of UN-Habitat
- UN-Habitat's Gender Policy and Plan, UN-Habitat's Gender, Youth, Climate Change and Human Rights Markers
- All applicable domestic and international law.

The project will further fully integrate / mainstream the above polices to unlock environmental, social, gender, youth and human rights opportunities across all project activities and overall project management. In particular, the UN-Habitat Marker System supports this.

- The project aims to be gender, youth, human rights and environmental/climate change transformative



Gender & Youth

Gender & youth component has been developed to ensure compliance with the international treaties around gender / youth and climate change, consequently adhering to the Adaptation Fund Gender Policy (GP). Furthermore, it provides a framework for measures to be implemented to ensure that all genders and youth have equal opportunities to build resilience, address their differentiated vulnerabilities and increase their capability to adapt to climate change impacts through project implementation.

Gender & Youth

Throughout the project the following four points will be upheld:

- To facilitate communication and support, a gender and youth focal point will be established among the project personnel.
- To tackle underrepresentation of women, men and youth during consultation with stakeholders a gender- and youth-informed participatory method will be applied. Either through consulting with male and female beneficiaries / stakeholders both separately and in mixed groups.
- To reach all genders of all ages in a culturally appropriate way and to change gender perceptions it is important that all gender are well represented. The project will thus ensure gender balance.
- At various stages of the project, screening for gender & youth responsiveness is required to establish a qualitative baseline of gender perceptions and to monitor changes in behaviours and attitudes. The project manager will ensure this.

Gender & Youth

- Gathering and collecting data should be gender-responsive and reflect the realities of women and men by breaking down the data not only by sex (male/female), but ideally also by age and other diversity factors and in response to questions that consider existing gender concerns and differentials.
- Gender & Youth Specific Vulnerability assessments for the participating towns and settlements are necessary to capture more detailed disaggregated data focused on climate change related issues, needs and perceptions of specific vulnerable groups such as women and youth.

Gender & Youth

During the action planning stages, Gender & youth Responsive qualitative as well as quantitative Indicators will be developed.

- The indicators will support the design of Gender & Youth Responsive Implementation during the development of the specific actions (including gender and youth responsive budgeting).
- Environmental, Social, Gender & Youth Impact and Risk Assessment
- Gender & Youth Responsive Monitoring and inclusion of women and youth in monitoring and evaluation processes

Environmental and social principle	How this assessment involved for assurance	Further assessment and actions required for compliance	Further details on risk response
Compliance with the Law	Holder of conflict land and ownership	Holder to comply with laws relating to procurement procedures. Construction works of water access and establishment of water treatment system may be on private land or public land which may require to some kind of construction activities. Also the technology transfer to local people to establish water treatment system is not a community owned business model as private company or contractor to manage the operation.	Only using infrastructure on public land. Engagement with Department of Natural Resources and Environmental for land use and Department of Construction for approval. Engaging legal compliance into all training. Consult the legal procedures to establish a community owned business model.
Access and Equity	Can the water treatment plant be located in school or kindergarten if people cannot access the water	That certain groups are denied access to infrastructure, or that potential access is given to others. "There is possible dispute with existing drinking water suppliers in the area where treatment system located since the price is 70% of the market price. So, there is a risk that the project objectives to provide fresh water for drinking the group will be impacted after the project finished and the management plan will not be able to allow access to that water source.	Community management with rules ensuring that equal access is guaranteed. New business model to make sure the price stable for the poor and regulated over time. Allocation for safety of children should be put in place with specific activities and interventions. Consult with local authorities to identify if most suitable user group/holder owns in order to reduce risk of conflicts among water users in the area.
Marginalized and vulnerable groups	In all community households having access to clean water is more than 50% but the project wants plan to reach people clean water of household of people in 10% of the area in long time (continued). There is a potential risk of conflict when it comes to water changes in long time and other water plans are not there yet.	There should be small number of vulnerable groups to access to livelihood resources. Particularly during the construction work to manage potential erosion areas using vegetation, the access to coastal areas where local people may cultivate agriculture. See Access and Equity category in the table.	Community co-management with rules ensuring that equal access is guaranteed. The People's Process operational tools ensure equal access and will be established from the project inception through the community participation including vulnerable groups.

Review of Environmental, Social, Gender and Youth issues with 15 AF principles

Human Rights	Human rights breaches can arise from denying access to water and other basic services, or from land conflicts, for example. Construction work to upgrade water system may be given to strong and skilled workers, women and unskilled workers may not be able to participate in the construction work. See Access and Equity category in the table.	In line with UN-Habitat's Project Management Cycle and Work Flow policy, the project screened for its adherence to three cross-cutting issues which are gender, human rights and climate change. The Human Rights Officer of UN-Habitat will monitor to ensure that the project actions are implemented to respect and adhere to the requirements of all relevant conventions on human rights.
Gender Equity and Women's Empowerment	Women could be denied access to infrastructure, or excluded from making critical decisions. Women and children are in charge of collecting water in groupaged drought seasons in rural areas which put an extra burden into their shoulder. There will be low risk that women could be denied to access to water infrastructure. However, if it is the case the impact will be significant.	The project design will ensure that gender considerations are included in all project interventions, with a specific focus on capacity building on the all levels as well as activities on the ground. The Gender Officer of UN-Habitat will monitor to ensure that the project follows best practice guidelines. -Including women-led local Women Union along projects and especially after project finish. The activities under Component 1 will create employment, existing some marginalized and vulnerable groups including unemployed youth and women to access employment.
Core Labor Rights	Labour rights may not be respected when contracting communities. Despite the fact that the chemical for elastocast does not have any harmful components, Labour can be affected by chemicals.	All community contracts must be scrutinized to ensure they comply with both Vietnamese law and international standards. The relevant national labor laws guided by the ILO labour standards will be followed throughout project implementation. The safety manual and instruction will be provided.

Review of Environmental, Social, Gender and Youth issues with 15 AF principles

Indigenous Peoples	The certain minority groups can be defined access to infrastructure and excluded from the process of decision making. In both the Vih and Bici lines, a major percentage of indigenous people, followed by the Mestizo and Chiriquí ethnic groups, live in the Vih and Bici lines. There is a possibility that these groups are excluded from consultation processes and might have limited access to infrastructure. This can cause social conflict if no measures are taken to mitigate risk.	Community management (UN-Habitat People Process approach) with rules ensuring that participation in government and participating in the process of decision making. Identify their own sources of power/benefit/enrichment. Involve the community in the construction process especially gas keepers from minority communities and in the management of local infrastructure constructed by projects or infrastructure existing in the region.
Industrial Development	Possible evictions among those conflicts over land ownership.	There will be no industrial development, because the land for target intervention areas are owned by public and governments.
Protection of Natural Habitats	N/A	N/A
Conservation of Biological Diversity	While damage to natural habitats and threats to biological diversity are unlikely, there is a possibility that construction work undertaken or infrastructure measures may adversely impact on local biodiversity. Manage any information to a good measure not only concerning the biodiversity loss, but also regarding the availability of land for growing community from soil erosion. However, there are potential risks: The potential areas are not suitable for agriculture. The potential impact on species are not indigenous ones which might decrease the survival rate of new plants.	Community consultation and involvement in identifying the plantation areas and organized manager species. Community co-management mechanism is in place to ensure the survival of new plants. Site location shall be aligned with the local land use and development plan, in consultation with the local government and other relevant authorities. Measures such as Engagement with Department of Natural Resources and Environmental for land use and Department of Construction for approval of required for construction works. This project is generally an adaptation project and as such no modification is required. The project will not provide or install infrastructure or appliances that result in environmental impacts. Solar panels will be used in a green electric source to operate the water purification system which reducing cost and emission.
Climate Change	X	N/A

Review of Environmental, Social, Gender and Youth issues with 15 AF principles

Pollution Prevention and Resource Efficiency	Construction of infrastructure generate waste. There are potential chemical substances used in construction materials can be released into the water which might affect the aquatic and environment.	Incorporating waste management and disposal into design. Strictly follow the handling procedure when mixing chemicals with bricks. Checked residues must be collected and stored in safe places before transferring to Hazard/Chemical waste treatment facilities. The environmental effects of chemicals used in construction (Bit-coat) are analyzed by private sector, monitoring the construction area to ensure the equipment, materials and the components are non-toxic and culturally degradable. To mitigate the possible risk even though it is low, the test of effectiveness of water treatment system should be done at the project site to ensure the residues to local collectors who are at charge of local public health. To ensure to mitigate the potential risks to public health, user guidelines/procedure provided to regular company should be followed and create environmental management plan is developed during the construction phase.
Public Health	The technology for water treatment system in this project is membrane processes, which is for removal of bacteria, microorganisms, particulates, and residual organic material, and inorganic contaminants from water. There is a low risk to some human health effects due to construction. However, the test for the effectiveness of air monitoring system and non-toxic materials have done in other places. One there is potential risk of releasing chemical substances in El Estero.	The environmental effects of chemicals used in construction (Bit-coat) are analyzed by private sector, monitoring the construction area to ensure the equipment, materials and the components are non-toxic and culturally degradable. To mitigate the possible risk even though it is low, the test of effectiveness of water treatment system should be done at the project site to ensure the residues to local collectors who are at charge of local public health. To ensure to mitigate the potential risks to public health, user guidelines/procedure provided to regular company should be followed and create environmental management plan is developed during the construction phase.
Physical and Cultural Heritage	X	N/A
Land and Soil Conservation	The physical deterioration of areas will be limited when development will seek to protect risk areas and critical natural habitats from urban development. Since project will not be able to cover all the vulnerable areas of soil erosion from a potential risk that the change of water dynamic and flow may affect other areas which are not protected by El Estero. In a 100 households in San Diego Street - Long this system reach maintenance due to the deterioration of the shore of all storm ponds, and the risk of a risk of soil erosion. Estimates will cover limited number of sites.	Soil conservation will be undertaken through phytoremediation components as protective measure for land erosion control. Careful assessment of the project will be done to ensure the intervention is not likely to have a negative impact on the surrounding locations.

Environmental and Social Management and Monitoring Plan

Risks management arrangements

- The management arrangements are based on management structure of the Project which aims to provide assigned responsibilities for related actors. The main arrangements are below:
- In the execution of the project, UN-Habitat and PMU will be responsible for the implementation of the environmental and social risk measures through their contractors. Therefore, under the PMU there is a staff who supervises the implementation of the environmental and social risk measures and reporting to the UN-Habitat.
- The UN-Habitat and PMU in collaboration with their technical counterparts will have overall responsibilities for implementing the environmental and social measures requirements and compliance with the National regulation and Standards and AF principles as well.
- The site supervision and monitoring of the ESMF implementation will be carried out by PMU, local Project Offices (PO), who will also be supported by technical contractors.
- In addition, the contractor shall employ an ESM staff responsible for implementation of social/environmental requirements. This person will maintain regular contact with PMU, local PO. The contractors have responsibility to ensure that the proposed mitigation measures are properly implemented during the construction phase, particularly the application of elasto-seal solution and gravels to make elastocast or biocast.

Environmental and Social Management and Monitoring Plan

Risks management arrangements

- UN-Habitat and PMU will make sure that all project staff and counterpart who are involved in project implementation receive both initial and ongoing environmental and social safeguard awareness and training sufficient to ensure they are familiar with their environmental and social safeguard responsibilities under the ESMF.
- Direct management responsibility of the ESMF will be under the Project Manager. The Project Manager will have oversight/final compliance responsibility. Any changes or additional activities that are required during the project implementation, and that fall within allowable limits set by the Adaptation Fund, will need to be approved by the project team leader and presented to the Project Steering Committee, depending on the scale of the activity. This plan, as well as any changes in the risk landscape, will also be presented to the PSC.
- Management and implementation of the investments: All project activities have been screened against the AF 15 environmental and social risks areas during project preparation phase. Outcomes will be presented during the project inception to all stakeholders to confirm the management and monitoring arrangements and to agree on the detailed steps required to develop management plans for each activity covering detailed studies, but also risks mitigation measures to comply with national technical standards in line with Part II, Section E.

General environmental and social risks management reduction measures

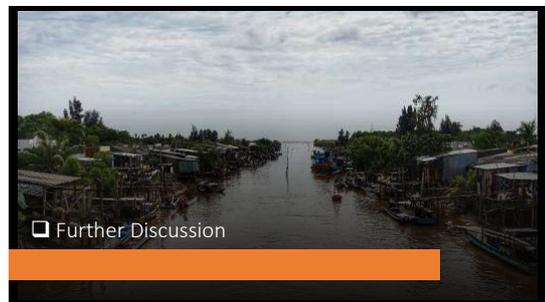
- All Memories of Understanding (MoUs) and Agreements of Cooperation with the Executing Entity will include detailed reference to this ESMF and in particular the 15 AF Principles.
- The Term of References (ToR) of Committees and Working Groups, project personnel and focal points will include detailed reference to this ESMF and in particular the 15 AF Principles.
- All key Executing Entity Partners will receive training/capacity development to understand the 15 Principles, the ESMF and in particular their responsibilities. This will include members of the Project Steering Committee, Project Management Unit, local Project Offices the Working Groups and the Communities.
- A Monitoring and Evaluation Framework, including monitoring of risks and mitigation measures, will be developed by the PMU and presented for approval to the Project Steering Committee and UN-Habitat Team Leader (HQ: Monitoring and Evaluation).
- The UN-Habitat Human rights officers and PAG will check project compliance with the AF ESMF and the Environmental and Social Safeguard System of UN-Habitat during the project (besides the project manager).

Gender Action Plan for Monitoring and Evaluation

The project's design and implementation approach are gender responsive because the project development team considered gender equality and women's empowerment in data collection, consultations, activity prioritization, objective setting and the identification of gender related or gender specific risks and impacts.

This action plan has been developed to clarify how the project will ensure compliance with the Adaptation Fund Gender Policy and, by doing so, act in compliance with national laws and international treaties, norms and standards. It also describes how the analysis has been incorporated into the implementation and monitoring. In sum, the purpose of this is to demonstrate that men and women will have an equal opportunity to build resilience, address their differentiated vulnerabilities and increase their capability to adapt to climate change impacts through project implementation, and monitoring and evaluation. The Gender Action Plan, below, will be incorporated into the overall monitoring and evaluation of the project, including the indicators and link to initial gender assessment. The monitoring of the Gender Action Plan will be done through participatory means with key stakeholders at all levels.

Objective	Indicator	Target	Means of Verification/Documentation	Source	Link to the overall project development objectives
Management & Institutional and Governance	Objective 1.1: AF team risk assessment and project management	Output 1.1.1: AF team risk assessment and project management	Establish the project management and accountability to capacity building events and organizational	Exchange information and data	Monitoring and reporting documents
	Objective 1.2: AF team risk assessment and project management	Output 1.2.1: AF team risk assessment and project management	Establish the project management and accountability to capacity building events and organizational	Exchange information and data	Monitoring and reporting documents
	Objective 1.3: AF team risk assessment and project management	Output 1.3.1: AF team risk assessment and project management	Establish the project management and accountability to capacity building events and organizational	Exchange information and data	Monitoring and reporting documents
	Objective 1.4: AF team risk assessment and project management	Output 1.4.1: AF team risk assessment and project management	Establish the project management and accountability to capacity building events and organizational	Exchange information and data	Monitoring and reporting documents
Management & Institutional and Governance	Objective 1.5: AF team risk assessment and project management	Output 1.5.1: AF team risk assessment and project management	Establish the project management and accountability to capacity building events and organizational	Exchange information and data	Monitoring and reporting documents
	Objective 1.6: AF team risk assessment and project management	Output 1.6.1: AF team risk assessment and project management	Establish the project management and accountability to capacity building events and organizational	Exchange information and data	Monitoring and reporting documents
	Objective 1.7: AF team risk assessment and project management	Output 1.7.1: AF team risk assessment and project management	Establish the project management and accountability to capacity building events and organizational	Exchange information and data	Monitoring and reporting documents
	Objective 1.8: AF team risk assessment and project management	Output 1.8.1: AF team risk assessment and project management	Establish the project management and accountability to capacity building events and organizational	Exchange information and data	Monitoring and reporting documents
Management & Institutional and Governance	Objective 1.9: AF team risk assessment and project management	Output 1.9.1: AF team risk assessment and project management	Establish the project management and accountability to capacity building events and organizational	Exchange information and data	Monitoring and reporting documents
	Objective 1.10: AF team risk assessment and project management	Output 1.10.1: AF team risk assessment and project management	Establish the project management and accountability to capacity building events and organizational	Exchange information and data	Monitoring and reporting documents
	Objective 1.11: AF team risk assessment and project management	Output 1.11.1: AF team risk assessment and project management	Establish the project management and accountability to capacity building events and organizational	Exchange information and data	Monitoring and reporting documents
	Objective 1.12: AF team risk assessment and project management	Output 1.12.1: AF team risk assessment and project management	Establish the project management and accountability to capacity building events and organizational	Exchange information and data	Monitoring and reporting documents



Presentation 5

Enhancing the resilience inclusive and sustainable eco-human settlement development through small scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam

AF Viet Nam project Inception Workshop
16 December 2020

Knowledge Management, Advocacy and Communication Strategy (KMACs)



Knowledge Management, Advocacy and Communications at the Organizational Level

UN-Habitat and the Adaptation Fund firmly adhere to the principles of strategic KM, advocacy and communications. Embedded in the principles of Results Based Management (RBM) in both organisations, strategic and coordinated KM, advocacy and communications are considered imperative for ensuring effective, results oriented project management and implementation. Beyond specific projects, this leads to increased capacity for knowledge sharing and learning at various levels: individual, community, national, international & organisational.

Core benefits of a successful KMAS

- Improves visibility of project activities and results to raise awareness on climate change impacts and adaptation
- Enhances capacity for knowledge retention and reuse (at community, national and international level)
- Enhances knowledge sharing and increases collaboration (within and across communities, relevant institutions, and organizations)
- Improves learning (Organizationally, locally and globally)
- Strengthens accountability vis-à-vis project delivery and compliance with environmental, social gender, youth, and human rights standards.
- Increases project impact through learning and access to information
- Avoids duplication
- Facilitates modification of current and future projects based on lessons learned
- Strengthens stakeholder/knowledge networks
- Contributes to normative work of the Government of Viet Nam, and other Viet Nam-based stakeholders, and of the Adaptation Fund & UN-Habitat.

Strategic Framework



Target Audiences via stakeholder analysis

Local communities	To raise awareness and generate support for addressing the issues pertaining to community vulnerabilities to climate change and adaptive capacity. Thus, targeting stakeholders at local will directly support the implementation and the sustainability of the project activities.
Women and Youth Associations	Integrating action plans is a key project knowledge product which will inform community decision making
Provincial government officials	The knowledge generated at local level is to inform provincial and national planning and programming
National government officials	Various national government entities and their officials are involved in this project as designated authority, executing entity, project management committee members or are other stakeholders in the project. Raising the awareness of officers involved on issues of informal settlement vulnerabilities, community resilience, community action, partnership approaches etc. can generate support for addressing these issues. Such engagement will also pave the way for policy review to ensure the project's sustainability and the development of a conducive policy environment.
Project stakeholders	The Technical Advisory Committee (comprising of national government agencies and technical bodies, urban and community stakeholders, academia and development partners) are expected to have similar KMAC needs as above-mentioned groups.

Target Audiences via stakeholder analysis

Project Steering Committee (PSC)	The PSC is comprised of representatives from National government: The Ministry of Natural Resources and Environment. Vice Minister will chair the PSC. The different departments of the ministry will be engaged as well as provinces. UN-Habitat serves as the Secretariat. Key project stakeholders are also represented on the PSC. The PSC is responsible for overseeing efficient project management and implementation; it is vital that its members are familiar with all elements of this KMAS and that Knowledge Products are shared effectively.
UN Country Team	All elements of this KMAS should be shared with the UN Country Team in Viet Nam. All Knowledge Products and lessons learned/experiences derived from the project implementation have the potential to inform operations
NGOs and CSOs	Local NGOs and CSOs in the project area can potentially benefit from the data, information and knowledge products collected and produced throughout the project. Effective dissemination of such products with these NGOs is therefore necessary.

Target Audiences via stakeholder analysis

International development agencies (donors)	All elements of this KMAS should be shared with international donors in Viet Nam. All Knowledge Products and lessons learned/experiences derived from the project implementation have the potential to inform operation and scale up.
UN-Habitat (ROAP and HQ)	UN-Habitat, in particular the Climate Change Planning Unit, Human Settlement Officer and other experts have a stake in this project. In line with the agency's knowledge management strategy processes outputs and outcomes will inform the development of regional and global capacity development tools and normative products such as standards for informal settlements upgrading or the development of climate change action plans.
Adaptation Fund and International Community	To enhance knowledge and inform normative operations and decision making in the area of community vulnerability and adaptation to the impacts of climate change, it is vital that feedback channels are established for the dissemination of knowledge (products) generated through the project to both the Adaptation Fund and UN-Habitat.

Expected Accomplishment 1 – Knowledge Management

Item	Description
Knowledge Products	Vulnerability assessment, action plan etc
Tools	Action plan development, resilient infrastructure, technical standards
Reporting	Project reports (annual, mid-term, terminal evaluation)
Data Management	Data collection, collation and processing
Special Events	World Urban Forum, Resilient City events etc

Expected Accomplishment 2 – Advocacy and Communications

Item	Description
Print Material	Traditional project information in the form of project brochures and project updates
Social Media	An effective means of communicating the knowledge generated by the project to the largest number of beneficiaries
Online	Webpages of the Adaptation Fund, UN-Habitat, and associated networks
Branding	Logos, banners, the project flyer, Facebook, PowerPoint presentations
Press, Media & Communications	Press releases, journalist engagement, videography and sharing project stories
Audio visual presence	A photo book or an online slide show

Knowledge Management related activities and workplan

Expected Outcome / Objectivity / Description	Learning Objectives (LO) / Key Deliverables (K)	Knowledge Products	Completion
1.1.1. National Information Workshop / Project team (facilitators) training enabling facilitation of eco-human settlement strategy and action plan development	(LO) Improved awareness and local vulnerability and strategies sharing (K) Number of participating government officials, Number of strategies shared (K) Number of local plans reflecting climate change adaptation/resilience	Workshop report and documentation (Except note, Agenda and list of Participants)	October/November 2020
1.1.2. Guidance and training materials development for vulnerability and risk assessment at the local level	(LO) Develop the guidance and training materials for mainstreaming climate change adaptation into the planning (K) Number of guidance and training materials (K) Quality of participants on the development of materials Post workshop with practitioners	Training materials, guidelines for vulnerability and risk assessment at the local level	March 2021
1.1.3. Planning tools and training materials development for planning approach, strategy and action plan development for climate change resilience	(LO) Develop the planning tools and training materials for planning approach, strategy and action plan for comprehensive and holistic climate change adaptation (K) Number of guidance and training materials (K) Quality of participants on the development of materials	Planning tools and training materials, comprising of planning approach, resilient infrastructure, and technical standards, environmental and social safeguards	May 2021
1.1.4. Project team (facilitators) training enabling facilitation of eco-human settlement strategy and action plan development for supporting component 2.2.1 and 2.2.2	(LO) Improved Climate Change awareness and enhanced knowledge of government officials at all levels and trainers for development of action plan and strategy (K) Number of trainers, participants (K) Project tools for planning approach and guidance (K) Number of workshops	Training report and training materials Guidelines comprising of assessment and planning approach, resilient infrastructure, and technical standards, environmental and social safeguards and community action planning	August 2021

Knowledge Management related activities and workplan

1.2.1. Training workshops establish baseline (assessment) components to set up eco-human settlement strategy and action plan development for climate change adaptation	(LO) Improved Climate Change awareness and enhanced knowledge of government officials at all levels and trainers for development of action plan and strategy (K) Number of participating regional and local government officials (K) Project tools for planning approach and guidance (K) Number of workshops	Training report and training materials Guidelines comprising of assessment and planning approach, resilient infrastructure, and technical standards, environmental and social safeguards and community action planning	December 2021
2.2.1. Action plan and strategy development for eco-human settlement (Provincial, district, and commune level)	(LO) Develop community based eco-human settlement planning and strategy (K) Revised climate change adaptation action plan through the workshop (K) Number of action plan and strategy development work shop (K) Number of revised eco-human settlement strategies and action plans (K) Number of developed eco-human settlement strategies and action plans	Community based eco-human settlement strategy and planning Revised action plan and strategies for climate change adaptation Revised action plan and strategy for climate change adaptation Revised community planning for climate change adaptation	January 2023
2.2.3. Policy framework development for integrating local people's action plans and strategies for eco-human settlement into planning (provincial level)	(LO) Integrated planning with eco-human settlement action plan and strategy for climate change adaptation (K) Number of integrated planning (K) Number of workshops and meetings at local levels (LO) Improve local action for climate change adaptation and planning (K) Integrate climate change action plan and strategy into community planning (K) Number of local action workshop (K) Number of local plans reflecting climate change adaptation / resilience	Integrated planning with eco-human settlement action plan and strategy for climate change adaptation Provincial ZEP that included climate change action plan and strategy from local levels	January 2023

Knowledge Management related activities and workplan

2.2.2. Integrating developed/ revised action plan and strategy into the relevant/ existing planning and policy (Provincial level)	(LO) Develop the policy framework for integrating planning (K) Revised policy framework for integrating Develop policy for climate change adaptation with the action plan and strategy at local levels (K) Number of dialogue event (K) Number of meeting with local government (K) Guidance for revising policy framework (K) Number of integrated planning with eco-human settlement for climate change adaptation	Guidance for revising policy framework Revised policy framework for integrating action plan and strategy into planning Integrated planning with eco-human settlement for climate change adaptation	December 2023
3.1.1. Prevention of the saltwater intrusion and protection of the ground water through water resource management system: water purification and rainwater harvesting	(LO) Improve the physical infrastructure for water management (K) Number of hard infrastructures in communities Feedback report	Technology for water management system Implementation plan and report	December 2023
3.1.2. Prevention of critical erosion with green (eco-friendly) erosion rehabilitation and control system: electrocass	(LO) Improve the green (eco-friendly) erosion rehabilitation and control system (K) Number of hard infrastructures in communities/ feedback report	Technology for green (eco-friendly) erosion rehabilitation and control system Implementation plan and report	December 2023

Knowledge Management related activities and workplan

3.2.3. Capacity building to a working group for the sustainable operation and management of provided hard intervention	(LO) Improve locals' capacity of operation and maintenance/ Enhance implementation arrangement and governance (K) Number of manuals and video clips for operation and maintenance (K) Number of training workshop (K) Number of meeting with working group and specialized agencies	Workshop feedback report Manual and video clips for operation and maintenance Governance for operation and maintenance Monitoring plans	December 2023
4.1.1. Lesson learned and best practices regarding resilient urban community development/housing are generated, captured and distributed to other communities, civil society, and policy makers in government appropriate mechanisms	(LO) Sharing of lessons learned and best practices for other regions in Mekong Delta (K) Number of platforms used for sharing (K) Number of workshops for sharing experience and best practices	Dissemination through regional organizations and websites Sharing experience and best practice materials Workshop and feedback report	January 2024
4.1.2. Regional advocacy and replication for developing the effective policy framework	(LO) Scaling up the good practices to the policy level and other funds (K) Number of knowledges sharing workshop at local level (K) Number of further investment and cooperation meeting	Reports of dialogue and knowledge sharing workshop Meeting minutes and partnership documents for further investments	January 2024



Further Discussion

Appendix 5. Communication and outreach of the Inception Workshop

https://fukuoka.unhabitat.org/info/news/20201225_en.html

UN-Habitat and Adaptation Fund forging partnership with the Government of the Socialist Republic of Viet Nam – Inception Workshop for launching the project



Tra Vinh Province: River Bank Erosion Photo: UN-Habitat Viet Nam

The climate change adaptation project was developed by UN-Habitat in Viet Nam in partnership with the Government of Socialist Republic of Viet Nam and was approved by Adaptation Fund through a extensive consultations . .

The main objective of the proposed project is “to enhance the resilience, inclusive and sustainable eco-human settlement development through small scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam”. To align with a government’s objectives to promote sustainable eco-human settlement in Viet Nam, this project aims to improve the poor and vulnerable communes that climate change impacts have affected the most. Also, this project focuses on dealing with saltwater intrusion and coastal erosions in Mekong Delta, which are the major impacts from the climate change. Along with the water resource management and coastal erosion issues, the lack of vertical and horizontal coordination has been a bottleneck for the community to reflect their needs to the provincial and national level policies. To achieve this, climate resilient water and coastal protection infrastructure will be built, and climate change will be mainstreamed into urban planning through trainings and other capacity building activities.

On December 15, at the Ministry of Natural Resources and Environment (MONRE), the UN-Habitat’s representative, Habitat Programme Manager (HPM) for Viet Nam, Dr. Nguyen Quang co-chaired with Vice Minister Nguyen Thi Phuong Hoa at the Project Steering Committee. Together with the participation of Tra Vinh and Bac Lieu provinces, representatives of the Korean Institute of Technology and Environment (KEITI), and leaders of many related departments under MONRE.



From Left to Right: (1) PSC Meeting at MONRE; (2) Vice Minister Nguyen Thi Phuong Hoa and (3) Dr. Nguyen Quang at the meeting.

16 December 2020, Hanoi – the project was formally launched with an inception workshop attended by over 50 relevant members from local, provincial, and national levels such as commune leaders, provincial and national governments. The US\$6.3 million project will support the action plan development for climate change adaptation and community resilience capacity building, which aim mainstreaming climate change into urban planning and development. 4,912 households and 25,199 local people will directly benefit from the climate change related impacts, and national and local government officials will increase their capacity for mainstreaming climate change adaptation into urban planning and development.



Mr. Phan Tuan Hung – Director General – Department of Legal Affair - delivered his opening speech. Photo: UN-Habitat Viet Nam



Inception Workshop Photo: UN-Habitat Viet Nam

The project is to be implemented by UN-Habitat and the Ministry of Natural Resources and Environment, in partnership with Bac Lieu and Tra Vinh Provinces. This project is well aligned with the Prime Minister’s Resolution 120, which is about the development of the Mekong Delta region, and provincial socio-economic development plans. This also contributes to the achievement of Sustainable Development Goals, especially Goal 6 ‘Clean Water & Sanitation’, Goal 11 ‘Sustainable Cities & Communities’, and Goal 13 ‘Climate Action’.



Bac Lieu Province: Human Settlement at Bank River Photo: UN-Habitat Viet Nam

Action plans for community resilience building against climate change risk will be developed with participatory approach and this action plans will be integrated into provincial and national policies for vertical and horizontal integration through the integrating policy framework development. This will contribute to reflect the locals’ needs into the planning

and policy development. Furthermore, infrastructure development for water resource management and costal erosion will provide direct benefits to local people and communities. The needs of the most vulnerable will be considered at all stages of the process.

At the inception workshop, Mr. Phan Tuan Hung, Director General of Department of Legal Affairs, highlighted that the Adaptation Fund project will be catalyst of enhancing the resilience capacity of climate change adaptation, and protection the natural assets with natural based infrastructures for water resource management and costal erosion in Bac Lieu and Tra Vinh provinces of the Mekong Delta.

Moreover, Mr. Tran Van Hung, Director General of Department of Natural Resources and Environment (DONRE) in Tra Vinh, and Mr. Pham Quoc Nam from DONRE in Bac Lieu reaffirmed the commitment of local authorities towards improving access to basic services and their will to provide support for a successful implementation.

Appendix 6. Draft Media and Communications Strategy

1. Branding

- Logos of the project, Adaptation Fund and UN-Habitat on PowerPoint presentations (one template), meeting invitations, letter heads, reports, press releases, banners etc.

2. Visibility

- Workshops, milestones etc. require
 - Facebook homepage (Social media)
 - Website (HQ, ROAP)
 - Media coverage (press release and invites)
 - Reports (website)
 - Human Impact stories
 - Project flyers
 - Project Video link to YouTube

3. Documentation

- Photos and video clips of events, field visits in support of the above
- Training reports
- Capacity building materials for action plan development
- Other reports

4. Link to knowledge management

5. Annual Reports (based on AF format)

Appendix 7. Revised and endorsed project work plan

Output	2021				2022				2023				2024					
	Q1	Q2	Q3	Q4														
Output 1.1.2 Guidance and training materials development for vulnerability and risk assessment at the local levels	x	x																
Output 1.1.3 Planning toolkits and training materials development for planing approach, strategy and action plan development on climate change resilience		x	x															
Output 1.1.4 Project team (facilitators) training enabling facilitation of eco-friendly settlement strategy and action plan development (for supporting component 2.1.1 and 2.2.2)			x	x	x	x												
Output 1.2.1. Training workshops enabling national/ provincial/ district/ commune to set up eco-human settlement strategy and action plan development for climate change adaptation				x	x	x												
Output 2.1.1 Action plan and strategy development for eco-human settlement (provincial, district, and commune level)								x	x	x	x	x						
Output 2.2.1. Policy framework development for integrating local people's action plan and strategies for eco-human settlement into planning (provincial level)									x	x	x	x						
Output 2.2.2. Integrating developed/ revised action plan and strategy into the relevant/existing planning and policy (provincial level)														x	x	x	x	
Output 3.1.1 Prevention of the saltwater intrusion and protection of the groundwater through water treatment system and rainwater harvesting					x	x	x	x	x	x	x	x	x	x	x	x	x	
Output 3.1.2 Prevention of coastal erosion with green (eco-friendly) erosion rehabilitation and control system: elastocoast					x	x	x	x	x	x	x	x	x	x	x	x	x	
Output 3.2.1 Capacity building to a working group for the sustainable operation and management of provided hard interventions					x	x	x	x	x	x	x	x	x	x	x	x	x	
Output 4.1.1 Lessons learned and best practices regarding resilient urban community development/housing are generated, captured and distributed to other communities, civil society, and policy-makers in government appropriate mechanisms															x	x	x	x
Output 4.1.2 Regional advocacy and replication and replication for developing the effective policy framework															x	x	x	x

Appendix 8. Environmental, Social, Gender and Youth Strategy

I. Introduction

1. Purpose

The purpose of this document is to demonstrate compliance of the project with the environmental and social safeguards policy and the gender policy of the Adaptation Fund. It provides an initial analysis / overview of the identified risks and environmental and social co-benefits and opportunities per activity with a special emphasis on gender and youth opportunities. The strategy includes a management and governance approach for compliance and the mainstreaming of environmental, social, gender and youth. This strategy will form the basis for the Environmental, Social, Gender and Youth Management Plan.

2. Compliance with the AF ESP & Gender Policy

In line with UN-Habitat's Environmental and Social Management System and in line with the Adaptation Fund's ESP and Gender Policy (GP), UN-Habitat and partners are required to conduct risk screenings and impact assessments of all proposed interventions / activities and the project as a whole.

To ensure compliance with the Gender Policy, identify potential risks and actively seek out gender and youth opportunities an initial gender & youth analysis has been conducted. This is necessary in order to establish a data baseline at the project start against which implementation progress and results can be measured later¹. Further disaggregated data focused on climate change related issues, needs and perceptions of vulnerable groups, activity prioritization and the identification and verification of potential risks and impacts and, where needed, identification of measures to avoid or mitigate potential risks will be captured through community surveys, focus groups discussions, community planning and decision-making processes as part of the Vulnerability Assessments and Action Planning.

To ensure communities can easily participate in conducting vulnerability assessments and in developing resilience- -recovery- and upgrading plans, a draft vulnerability assessment and planning tool is available to conduct climate change action planning at the community level. This guide includes a gender and inclusion assessment of actions to ensure that the needs of women and other vulnerable groups are clearly addressed through the actions.

3. Project summary

This project focuses on dealing with saltwater intrusion and coastal erosions in Mekong Delta, which are the major impacts from the climate change. Along with the water resource management and coastal erosion issues, the lack of vertical and horizontal coordination has been bottlenecked for the community to reflect their needs to the provincial and national level policies. In the Mekong Delta, river water and ground water levels are decreasing, while sea levels, flood tides and salt intrusion are on the rise, the demand for water has also increased in production and daily activities due to industrialisation and population growth. The extraction of groundwater has increased rapidly over the past decades and forms one of the main causes of saltwater intrusion into the groundwater. This intrusion has been accelerated by the on-going sea level rise. Saltwater intrusion of groundwater in the Mekong Delta is a highly complex issue as it heavily depends on varying factors, including changes in water supplies, rising water demands, and the impact of climate change especially sea level rise, drought, and rising

temperature. Because of saltwater intrusion of the groundwater, a growing number of provinces in the Mekong Delta are also experiencing depleted and degraded freshwater supplies for drinking and domestic use especially in dry season. The solution for the saltwater intrusion is, however, very limited and most of them are not cost-effective nor applicable for certain condition of area.

In addition, there is a growing threat along the coastal zone in Mekong Delta regarding the coastal erosion issues due to several causes. Rapid expansion of aquaculture (shrimp farming) in the Mekong Delta has contributed to economic growth and poverty reduction, but has been accompanied by rising concerns over environmental and social impacts. The lack of an integrated approach to sustainable management, utilisation and protection of the coastal zone and economic interests in shrimp farming have led to the unsustainable use of natural resources, thus threatening the protection function of the mangrove forest belt. The coastal zone is also affected by the impacts of climate change. Climate change is predicted to cause an increased intensity and frequency of storms, floods and rising sea levels.

In the case of the Mekong Delta, where water resources management and the coastal erosion are particular challenges, the project aims to establish a holistic approach policy framework balancing the gap between local and national level government and managing climate change risks by providing community-scaled hard interventions with the soft interventions. By providing the community-scaled hard interventions supported with the soft interventions, the overall adaptive capacity of the population in commune will be raised to cope with the impact of climate change.

The main objective of the proposed project is to enhance the resilience, inclusive and sustainable eco-human settlement development through small scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam. To align with the request from the national and local governments to promote the sustainable eco-human settlement in Viet Nam, the project takes a comprehensive and holistic approach which combines a number of horizontally and vertically interrelated resilience approaches towards the strengthening of institutions, communities, ecosystems and physical, natural and social assets. It is structured around the four components:

- 1) Institutional and community capacity building toward eco-human settlement development for supporting to enhance local climate response actions: this component contributes to the development of the holistic planning and strategies for eco-human settlements against the impact of climate change. Thus, this component will focus on 1) increasing the awareness on resilience and ecosystems as a result of enhanced institutional capacity and 2) strengthening the knowledge of climate change adaptation through the framework development and orientation of institutional capacity building.
- 2) Action plan and strategy development for eco-human settlement and integrating into planning and policy with participatory approach: Component 2 will support the development of holistic planning for eco-human settlement. This component will focus on 1) developing provincial/district/commune level's action plan and strategy for eco-human settlement based on local people's needs 2) developing policy framework for integrating climate action and strategy into planning. It might lead that local's demand can be integrated into planning at the policy level for climate change adaptation.
- 3) Sustainability built through small-scale protective infrastructure: The component aims at enhancing climate resilient infrastructure systems in human settlements. Due to the projected climate change impacts and disasters already occurring in coastal areas, ecosystem and human settlement can only be protected through physical intervention (with the support of the soft interventions above).

- 4) Awareness Raising and Knowledge Management: In line with AF guidelines this component will ensure the project implementation is fully transparent and that all stakeholders are informed of products and results and have access to these for replication. Lessons regarding increasing the resilience of communities against climate change impact need to be captured, and local government officials need to be trained to ensure the sustainability of this project and effective replication of the best practices.

II. Compliance with Environmental and Social Safeguards during project development

The project fully complied with international and national laws and the Adaptation Fund's Environmental and Social Policy. In line with UN-Habitats Environmental and Social Safeguards System and in line with the Adaptation Fund's Environmental and Social Policy, UN-Habitat completed an initial risk analysis, screening and assessing potential environmental and social impacts for the proposed project.

In line with the Adaptation Fund's guidelines all activities were screened against international and national laws and policies. At this stage, significant risks were not identified and it is very unlikely that national ESIA procedures will be triggered. However, given that some of the Unidentified Sub Projects (USPs) may pose environmental and social risks that could potentially result in the need for national ESIA procedures; the ESGY Strategy for the project implementation is taking this into consideration in terms of screening, assessment and responsibilities. At this stage all activities were also screened against the ESP principles.

Further, in line with the Adaptation Fund's ESP guidelines the entire project has been screened and assessed (and mitigation measures proposed) against the 15 environmental and social principles. This reflects the knowledge and information available at the project design stage and does not exclude that other risks may arise once all sub-projects are identified. During project implementation, all project activities will be further screened for environmental and social risks applying the ESMP.

In compliance with UN-Habitat's Environmental and Social Safeguards System a screening and assessment report was prepared based on the above screening and presented to UN-Habitat's Project Review Committee. Based on this screening exercise and following the Environmental and Social Policy of the Fund the overall risk ranking for this project is Category B. Project Components 1, 2 and 4 consist of studies, workshops, community consultations, training events, information sharing through print and web-based means. Thus, they are not expected to have environmental or social impacts. The potential risk related to these activities is the unequal involvement of different groups in processes and thus outcomes. This will be mitigated through quota systems, where possible, transparency of processes and thorough editorial review where applicable. Component 3 "Sustainability built through small-scale protective infrastructure" primarily comprises of concrete adaptation measures that will be further identified through community-based adaptation plans. The communities will be fully briefed on the ESMP, the project management will certify compliance, the local steering committees will approve the projects and the Project Management committee will provide oversight.

Potential social and environmental risks identified will be monitored from project outset. Further risk assessments will be conducted according to the procedure established in this strategy (in line with the Environmental, Social, Gender and Youth Strategy (ESGYS)).

Risk management will be integrated in the project management structure and in all assessment, planning and implementation elements of the project.

III. Principles, compliance and integration of safeguards into the project management

The project will comply with:

- 1) The Environmental and social principles of the Environmental and Social Policy of the Adaptation Fund
- 2) The Gender Policy of the Adaptation Fund
- 3) The Environmental and Social Safeguards Policy of UN-Habitat
- 4) UN UN-Habitat's Gender Policy and Plan, UN-Habitat's Gender, Youth, Climate Change and Human Rights Markers
- 5) All applicable domestic and international law.

The project will further fully integrate / mainstream the above polies to unlock environmental, social, gender, youth and human rights opportunities across all project activities and overall project management. In particular, the UN-Habitat Marker System supports this.

- 6) The project aims to be gender, youth, human rights and environmental/climate change transformative

1. All project activities (including tools and processes) should adequately include and/or reflect the following 15 Principles of the Environmental and Social Policy of the Adaptation Fund:

- 1) **Compliance with the law:** Projects/programmes shall be in compliance with all applicable domestic and international law.
- 2) **Access and equity:** Projects/programmes shall provide fair and equitable access to benefits in an inclusive manner and without impeding access to basic health services, clean water and sanitation, energy, education, housing, safe and decent working conditions, and land rights. Projects/programmes should not exacerbate existing inequities, particularly with respect to marginalized or vulnerable groups.
- 3) **Marginalized and vulnerable groups:** Projects/programmes shall avoid imposing any disproportionate adverse impacts on marginalized and vulnerable groups including children, women and girls, the elderly, indigenous people, tribal groups, displaced people, refugees, people living with disabilities, and people living with HIV/AIDS. Where possible the project is to identify opportunities for empowerment and where necessary support affirmative action in support of these groups. In screening any proposed project/programme, the implementing partners shall assess and consider particular impacts on marginalized and vulnerable groups.
- 4) **Human rights:** Projects/programmes shall respect and where applicable promote international human rights.
- 5) **Gender Equity and Women's Empowerment:** Projects/programmes shall be designed and implemented in such a way that both women and men 1) are able to participate fully and equitably; 2) receive comparable social and economic benefits; and 3) do not suffer disproportionate adverse effects during the development process.
- 6) **Core Labour Rights:** Projects/programmes shall meet the core labour standards as identified by the International Labour Organization.

- 7) **Indigenous Peoples:** Projects/programmes that are inconsistent with the rights and responsibilities set forth in the UN Declaration on the Rights of Indigenous Peoples and other applicable international instruments relating to indigenous peoples cannot be supported.
- 8) **Involuntary Resettlement:** Projects/programmes shall be designed and implemented in a way that avoids or minimizes the need for involuntary resettlement. When limited involuntary resettlement is unavoidable, due process, as outlined in the joint UN-Habitat - OHCHR Factsheet 25 on Forced Evictions, should be observed so that displaced persons shall be informed of their rights, consulted on their options, and offered technically, economically, and socially feasible resettlement alternatives or fair and adequate compensation.
- 9) **Protection of Natural Habitats:** Projects/programmes that involve unjustified conversion or degradation of critical natural habitats, including those that are (a) legally protected; (b) officially proposed for protection; (c) recognized by authoritative sources for their high conservation value, including as critical habitat; or (d) recognized as protected by traditional or indigenous local communities shall not be supported.
- 10) **Conservation of Biological Diversity:** Projects/programmes shall be designed and implemented in a way that any significant or unjustified reduction or loss of biological diversity or the introduction of known invasive species is avoided.
- 11) **Climate Change:** Projects/programmes shall not result in any significant or unjustified increase in greenhouse gas emissions or other drivers of climate change.
- 12) **Pollution Prevention and Resource Efficiency:** Projects/programmes shall be designed and implemented in a way that meets applicable international standards for maximizing energy efficiency and minimizing material resource use, waste production, and the pollutant release.
- 13) **Public Health:** Projects/programmes shall be designed and implemented in a way that avoids potentially significant negative impacts on public health.
- 14) **Physical and Cultural Heritage:** Projects/programmes shall be designed and implemented in a way that avoids the alteration, damage, or removal of any physical cultural resources, cultural sites, and sites with unique natural values recognized as such at the community, national or international level. Projects/programmes should not interfere permanently with existing access and use of such physical and cultural resources.
- 15) **Lands and Soil Conservation:** Projects/programmes shall be designed and implemented in a way that promotes soil conservation and avoids degradation or conversion of productive lands or land that provides valuable ecosystem services.

2. Gender & Youth

This additional gender & youth component has been developed to ensure compliance with the international treaties around gender / youth and climate change, consequently adhering to the Adaptation Fund Gender Policy (GP). Furthermore, it provides a framework for measures to be implemented to ensure that all genders and youth have equal opportunities to build resilience, address their differentiated vulnerabilities and increase their capability to adapt to climate change impacts through project implementation.

Throughout the project the following four points will be upheld:

- 1) To facilitate communication and support, a gender and youth focal point will be established among the project personnel.
- 2) To tackle underrepresentation of women, men and youth during consultation with stakeholders a gender- and youth- informed participatory method will be applied.

Either through consulting with male and female beneficiaries / stakeholders both separately and in mixed groups.

- 3) To reach all genders of all ages in a culturally appropriate way and to change gender perceptions it is important that all gender are well represented. The project will thus ensure gender balance.
- 4) At various stages of the project, screening for gender & youth responsiveness is required to establish a qualitative baseline of gender perceptions and to monitor changes in behaviours and attitudes. The project manager will ensure this.

During specific stages of the project the following points will be included:

- Gathering and collecting data should be gender-responsive and reflect the realities of women and men by breaking down the data not only by sex (male/female), but ideally also by age and other diversity factors and in response to questions that consider existing gender concerns and differentials.
- Gender & Youth Specific Vulnerability assessments for the participating towns and settlements are necessary to capture more detailed disaggregated data focused on climate change related issues, needs and perceptions of specific vulnerable groups such as women and youth.

During the action planning stages, Gender & youth Responsive qualitative as well as quantitative Indicators will be developed.

- The indicators will support the design of Gender & Youth Responsive Implementation during the development of the specific actions (including gender and youth responsive budgeting).
- Environmental, Social, Gender & Youth Impact and Risk Assessment
- Gender & Youth Responsive Monitoring and inclusion of women and youth in monitoring and evaluation processes

3. Opportunities and Co-benefits

The project promotes positive environmental and social benefits, avoids, reduces or mitigates adverse environmental and social risks and impacts considering the 15 Adaptation Fund principles. All adaptation options will seek mitigation co-benefits as well as up and downstream resilience, and generally environmental, social and economic co-benefits

IV. Review of Environmental, Social, Gender and Youth issues with 15 AF principles

AF environmental and social principles	No further assessment required for compliance	further assessment and management required for compliance	Possible Mitigation Measures
<i>Compliance with the Law</i>		<p>Possible conflicts over land ownership</p> <p>Failure to comply with laws relating to procurement procedures</p> <p>Construction works of coastal erosion and installation of water treatment system may be on private land or public land which may restrict to some kind of construction activities.</p> <p>Since the technology transfer to local people to establish water treatment system is not a community owned business model as private company or cooperative to manage the operation.</p>	<p>Only citing infrastructure on public land. Engagement with Department of Natural Resources and Environmental for land use and Department of Construction for approval</p> <p>Integrating legal compliance into all training</p> <ul style="list-style-type: none"> - Consult the legal procedures to establish a community owned business model
<i>Access and Equity</i>		<p>That certain groups are denied access to infrastructure, or that preferential access is given to others</p> <ul style="list-style-type: none"> - There is possible dispute with existing drinking water suppliers in the area when treatment system installed since the price is 70% of the market price. So, there is a risk that the project's objective to provide fresh water for drinking the price will increase after the project finished and the marginalized and poor may not be able to access to that water source. - Since the water treatment plan is located in school or kindergarten there are two possible related to the safety of schoolchildren if people come to collect the water - In all community's households lacking access to clean water is more than 80 % but the project water plan can only provide clean water for limited number of people (e.g. only 1,500/10,200 people in Long Hoa commune). There is a potential risk of conflict when it comes to water shortage in long time and other water plans are not there yet. 	<p>Community management with rules ensuring that equal access is guaranteed</p> <ul style="list-style-type: none"> - New business model to make sure the price stable for the poor and marginalized over time - Mechanism for safety of children should be put in place with respective authorities and communities - Consult with local stakeholders to develop criteria for selection of most suitable user groups/water users in order to reduce risk of conflicts among water users in the area.
<i>Marginalized and Vulnerable Groups</i>		<p>There would be small number of vulnerable groups to access to livelihood resources. Particularly during the construction work to strengthen coastal erosion areas using elastocoast, the access to coastal areas when local people may cultivate agriculture. See Access and Equity category in the table</p>	<p>Community co-management with rules ensuring that equal access is guaranteed The People's Process operational tools ensures equal access and will be established from the project inception through due community participation including vulnerable groups</p>

<i>Human Rights</i>		<p>Human rights breaches can arise from denying access to water and other basic services, or from land conflicts, for example</p> <p>Construction work to upgrade sea dykes may be given to strong and skilled workers, women and unskilled workers may not be able to participate in the construction work.</p> <p>See Access and Equity category in the table</p>	<p>In line with UN-Habitat's Project Management Cycle and Work Flow policy, the project screened for its adherence to three cross-cutting issues which are: gender, human rights and climate change. The Human Rights Officer of UN-Habitat will ensure that the project actions are implemented to respect and adhere to the requirements of all relevant conventions on human rights.</p>
<i>Gender Equity and Women's Empowerment</i>		<p>Women could be denied access to infrastructure, or excluded from making critical decisions</p> <p>Women and children are in charge of collecting water in prolonged drought seasons in rural areas which put an extra burden into their shoulder. There will be low risk that women could be denied to access to water infrastructure. However, if it is the case the impact will be significant</p>	<p>The project design will ensure that gender considerations are included in all project interventions, with a specific focus on capacity building on the all levels as well as activities on the ground. The Gender Officer of UN-Habitat will monitor to ensure that the project follows best-practice guidelines.</p> <ul style="list-style-type: none"> - Involving women and Local Women Union along process and especially after project finish - The activities under Component 3 will create employment enabling some marginalized and vulnerable groups including unemployed youth and women to access employment.
<i>Core Labor Rights</i>		<p>Labour rights may not be respected when contracting communities</p> <p>Despite the fact that the chemical for elastocoast does not have any harmful components, Labour can be affected by chemicals.</p>	<p>All community contracts must be scrutinized to ensure they comply with both Vietnamese law and international standards. The relevant national labour laws guided by the ILO labour standards will be followed throughout project implementation. The safety manual and instruction will be provided.</p>

<i>Indigenous Peoples</i>		<p>The certain minority group can be denied access to infrastructures and excluded from the process of decision making</p> <ul style="list-style-type: none"> - In both Tra Vinh and Bac Lieu, a major percentage is Kinh people, followed by the Khmer and Chinese ethnic (e.g in Tra Vinh, over 29% of the population is ethnic Khmer, 5-6% is ethnic Chinese and a small Cham population). There is a possible risk that the minorities are excluded from consultation process and might have limited access to infrastructure. That can cause social conflict if no measure puts in place to manage risk 	<p>Community management (UN Habitat' Peoples Process ensures) with rules ensuring that equal access is guaranteed and participating in the process of decision making</p> <ul style="list-style-type: none"> - Identify how many percent of project beneficial is minorities - Involving the minorities in the consultation process especially gate keepers from minority communes and in the management of hard infrastructure constructed by projects or infrastructure existing in the region.
<i>Involuntary Resettlement</i>		Possible eviction arising from conflicts over land ownership	There will be no involuntary resettlement, because the land for target intervention areas are owned by public and governments
<i>Protection of Natural Habitats</i>	X	N/A	N/A
<i>Conservation of Biological Diversity</i>		<p>While damage to natural habitats and threats to biological diversity are unlikely, there is a possibility that construction work undertaken or reforestation measures may adversely impact on local biodiversity</p> <p>Mangrove reforestation is a good measure not only conserving the biodiversity loss due to aquaculture activities but also protecting community from soil erosion. However, there are potential risks:</p> <ul style="list-style-type: none"> - The plantation areas are not suitable for mangrove - The planted mangrove species are not indigenous ones which might decrease the survivor rate of new planted. 	<p>Community consultation and involvement in identifying the plantation areas and originated mangrove species</p> <p>Community co-management mechanism is in place to ensure the survivor of new planted.</p> <p>Site location shall be aligned with the local land use and development plan, in consultation with the local government and other relevant authorities in Vietnam such as Engagement with Department of Natural Resources and Environmental for land use and Department of Construction for approval (if required) for construction works</p>
<i>Climate Change</i>	X	N/A	<p>This project is inherently an adaptation project and as such no maladaptation is foreseen. The project will not provide or install infrastructure or appliances that result in increased emissions</p> <p>Solar power will be used as a part electric source to operate the water purification system which reducing cost and emission.</p>

<p><i>Pollution Prevention and Resource Efficiency</i></p>		<p>Construction of infrastructure generates waste There are potential chemical substances used in elastocoast materials can be released into the water which might affect the aquatic and mangroves</p>	<p>Incorporating waste management and disposal into design. Strictly follow the handling procedure when mixing chemicals with gravels. Chemical residues must be collected and stored in safe places before transferring to hazard/chemical waste treatment facilities. The environmental effects of chemicals used in elastocoast (bio-coast) are analyzed by private sectors, mentioning the compounds pose no threat to the aquaculture environment and the components are non-toxic and naturally degradable.</p>
<p><i>Public Health</i></p>		<p>The technology for water treatment system in this project is membrane processes. which is for removal of bacteria, microorganisms, particulates, and natural organic material, and inorganic contaminants from water. There is a low risk in term of human health effects due to contamination. However, the test for the effectiveness of RO in removing organic and non-organic materials have done in other places. Since there is potential risk of releasing chemical substance in Elastocoast.</p>	<p>No public health issues are foreseen, and improving public health is a secondary impact area of this project. - To mitigate the possible risk even though it is low, the test of effectiveness of water treatment system should be done at the project sites to show the evidence to local authorities who are in charge of local public health. - In order to mitigate the potential risks to public health, user guideline/procedure provided by supplier company should be followed and onsite environmental management plan is deployed during the construction phase.</p>
<p><i>Physical and Cultural Heritage</i></p>	<p>X</p>	<p>N/A</p>	<p>No physical or cultural heritage impacts are foreseen</p>

<p><i>Lands and Soil Conservation</i></p>		<p>The physical demarcation of areas at risk for limiting urban development will seek to protect risk areas and critical natural habitats from urban development. Since project will not be able to cover all the vulnerable areas of soil erosion there is potential risk that the change of water dynamic and flow may affect other areas which are not protected by Elastocoast. (e.g. 136 households in Con Phung village – Long Hoa commune needs resettlements due to tide destroyed the shore of 69 shrimp ponds, and 650m of dyke is in risk of land erosion). Elastocoast will cover limited number of dykes.</p>	<p>Soil conservation will be enhanced through afforestation components as protective measures for land erosion control.</p> <ul style="list-style-type: none"> - Careful calculation and anticipated impacts of Elastocoast intervention to find best place to introduce the intervention - Monitoring erosion rate of the upgraded area and the surrounding locations.
---	--	--	---

V. Environmental and Social Management and Monitoring Plan

1. Risks management arrangements

The management arrangements are based on management structure of the Project which aims to provide assigned responsibilities for related actors. The main arrangements are below:

- In the execution of the project, UN-Habitat and PMU will be responsible for the implementation of the environmental and social risk measures through their contractors. Therefore, under the PMU there is a staff who supervises the implementation of the environmental and social risk measures and reporting to the PMU and UN-Habitat
- The UN-Habitat and PMU in collaboration with their technical counterparts will have overall responsibilities for implementing the environmental and social measures requirements and compliance with the National regulation and Standards and AF principles as well.
- The site supervision and monitoring of the ESMP implementation will be carried out by PMU, local Project offices (PO), who will also be supported by technical contractors.
- In addition, the contractor shall employ an ESM staff responsible for implementation of social/environmental requirements. This person will maintain regular contact with PMU, local PO. The contractors have responsibility to ensure that the proposed mitigation measures are properly implemented during the construction phase, particularly the application of elasto-seal solution and gravels to make elastocoast or biocoast.
- UN-Habitat and PMU will make sure that all project staff and counterpart who are involve in project implementation receive both initial and ongoing environmental and social safeguard awareness and training sufficient to ensure they are familiar with their environmental and social safeguard responsibilities under the ESMP.
- Direct management responsibility of the ESMP will be under the Project Manager. The Project Manager will have oversight/final compliance responsibility. Any changes or additional activities that are required during the project implementation, and that fall within allowable limits set by the Adaptation Fund, will need to be approved by the project team leader and presented to the Project Steering Committee, depending on the scale of the activity. This plan, as well as any changes in the risk landscape, will also be presented to the PSC.

- Management and implementation of the investments: All project activities have been screened against the AF 15 environmental and social risks areas during project preparation phase. Outcomes will be presented during the project inception to all stakeholders to confirm the management and monitoring arrangements and to agree on the detailed steps required to develop management plans for each activity covering detailed studies, but also risks mitigation measures to comply with national technical standards in line with Part II, Section E.

2. General environmental and social risks management reduction measures

In addition to the risk management measures identified above, the following elements will be put in place to ensure the compliance with the Environmental and Social Plan:

- 1) All Memories of Understanding (MoUs) and Agreements of Cooperation with the Executing Entity will include detailed reference to this ESMP and in particular the 15 ESP Principles.
- 2) The Term of References (ToR) of Committees and Working Groups, project personnel and focal points will include detailed reference to this ESMP and in particular the 15 ESP Principles.
- 3) All key Executing Entity Partners will receive training/capacity development to understand the 15 Principles, the ESMP and in particular their responsibilities. This will include members of the Project Steering Committee, Project Management Unit, local Project Offices the Working Groups and the Communities.
- 4) A Monitoring and Evaluation Framework, including monitoring of risks and mitigation measures, will be developed by the PMU and presented for approval to the Project Steering Committee and UN-Habitat Team Leader (HQ: Monitoring and Evaluation).
- 5) The UN-Habitat Human rights officers and PAG will check project compliance with the AF ESP and the Environmental and Social Safeguard System of UN-Habitat during the project (besides the project manager).

3. Grievance Mechanism

- 1) The grievance mechanism will apply to all the project's target areas and will be open to beneficiaries and non-beneficiaries alike. It will allow them accessible, transparent, fair and effective means to communicate with the project management (UN-Habitat and Project Steering Committee) if there are any concerns regarding the project design and implementation. All employees, executing entities and contractors and people in the target areas will be made aware of the grievance mechanism to lodge any complaint, criticism, concern or query regarding the project's implementation
- 2) The mechanism considers the particular needs of different groups in the target communities. It combines anonymous mailboxes at community level, a trained local facilitator in each community who can listen to grievances while assuring anonymity and a telephone number that enables people to call anonymously. These options allow people to make their grievance in whichever language they choose, offer options for illiterate people or people with low levels of literacy, and recognize that internet penetration is still low in the target area.
- 3) Project staff will also be trained to recognize grievances from community members and how to deal with grievance reports. The local facilitators in each community will also be trained on to recognize dissatisfaction and on how to report grievances. In

addition, monitoring activities will also provide an opportunity for beneficiary communities to voice their opinions as they wish.

- 4) All grievances will be anonymized and presented to the Project Steering Committee.
- 5) The address and email address of the Adaptation Fund will be made public (i.e. project website, Facebook and mailbox) for anyone to raise concerns regarding the project:

Adaptation Fund Board secretariat
Mail stop: MSN P-4-400
1818 H Street NW
Washington DC
20433 USA
Tel: 001-202-478-7347

VI. Gender Action Plan for Monitoring and Evaluation

The project's design and implementation approach are gender responsive because the project development team considered gender equality and women's empowerment in data collection, consultations, activity prioritization, objective setting and the identification of gender related or gender specific risks and impacts.

This action plan has been developed to clarify how the project will ensure compliance with the Adaptation Fund Gender Policy and, by doing so, act in compliance with national laws and international treaties, norms and standards. It also describes how the analysis of Annex 7 has been incorporated into the implementation and monitoring. In sum, the purpose of this is to demonstrate that men and women will have an equal opportunity to build resilience, address their differentiated vulnerabilities and increase their capability to adapt to climate change impacts through project implementation, and monitoring and evaluation. The Gender Action Plan, below, will be incorporated into the overall monitoring and evaluation of the project, including the indicators and link to initial gender assessment. The monitoring of the Gender Action Plan will be done through participatory means with key stakeholders at all level.

Appendix 9. Knowledge Management, Advocacy & Communication Strategy

1. Introduction

Project Component 4 explicitly aims to ensure project compliance with AF and UN-Habitat standards for knowledge management and advocacy. Drawing on the aims, objectives and best practices of both organizations regarding knowledge management (KM), advocacy and communications, this chapter outlines the strategic framework for the KM, Advocacy & Communication Strategy (KMAS) specific to this project. Furthermore, the second section of this chapter provides a comprehensive work plan which is to be adopted by all project team members and implementing partners throughout the project to achieve the overarching project objective and expected accomplishments as well as those sub-expected accomplishments specific to KM, advocacy and communications.

Data	are discrete, objective facts about events, including numbers, letters, and images without context.
Information	is data with some level of meaning. It is usually presented to describe a situation or condition and, therefore, has added value over data.
Knowledge	is built on data and information and created within the individual [or the organizational unit]. It is the understanding of a reality based on people's experience, analysis, and exchange.
Knowledge Management	is a participative process involving deliberate and systematic coordination of the people, technology, processes and structure of an organization to add value through knowledge reuse and innovation. This is achieved through promoting the creation, sharing and application of knowledge as well as through the feeding back of valuable lessons learned and best practices to various levels of organization.
Advocacy	is defined as a set of targeted actions directed at policy and decision makers in support of a specific issue in order to influence decision-making at the local, national and international level to create positive change for people and their environment.
Communication	refers to the specific tools and platforms utilized to efficiently and effectively disseminate knowledge and information so that it reaches target audiences and the public

Reference: Joint Inspection Unit (2016) Knowledge Management in the United Nations System, Geneva: United Nations

2. Rationale

Knowledge Management, Advocacy and Communications at the Organizational Level

Both UN-Habitat and the Adaptation Fund firmly adhere to the principles of strategic KM, advocacy and communications. Embedded in the principles of Results Based Management (RBM) in both organisations, strategic and coordinated KM, advocacy and communications are considered imperative for ensuring effective, results oriented project management and implementation. Beyond specific projects, this leads to increased capacity for knowledge sharing and learning at various levels: individual, community, national, international & organisational.

Knowledge Management is achieved through the development of appropriate actions (gathering data; analysing processes, results, and personal experiences; generating and disseminating knowledge products and lessons learned, etc.) so that the knowledge captured and generated at the individual and project level is systematized and shared to reach the largest number of beneficiaries as quickly as possible.

Advocacy and Communications This project aims to achieve full transparency in all project activities and results. A strong and actionable work plan allows for this. Moreover, for effective knowledge sharing, advocacy and communications provide the next logical phase for a results-oriented KM approach. Once knowledge products and lessons learned have been generated and developed, it is necessary to effectively communicate and share these with specific target groups and audiences as well as the public.

The core benefits of a successful KMAS within this project are outlined below:

- Improves visibility of project activities and results to raise awareness on climate change impacts and adaptation
- Enhances capacity for knowledge retention and reuse (at community, national and international level)
- Enhances knowledge sharing and increases collaboration (within and across communities, relevant institutions, and organizations)
- Improves learning (Organizationally, locally and globally)
- Strengthens accountability vis-à-vis project delivery and compliance with environmental, social gender, youth, and human rights standards.
- Increases project impact through learning and access to information
- Avoids duplication
- Facilitates modification of current and future projects based on lessons learned
- Strengthens stakeholder/knowledge networks
- Contributes to normative work of the Government of Viet Nam, and other Viet Nam-based stakeholders, and of the Adaptation Fund & UN-Habitat.

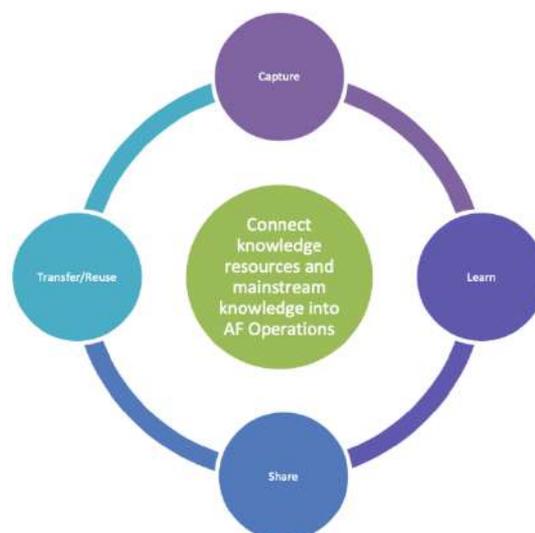


Figure 1 Adaptation Fund's Knowledge Process (Reference: Adaptation Fund: Knowledge Management Strategy and Action Plan)

3. Framework

Throughout this project, an abundance of data, information, and valuable knowledge concerning community vulnerabilities and resilience to climate change will be generated at the community level. Additionally, useful lessons will be learned and concrete experiences gained in the area of climate adaptation. To ensure that this knowledge is successfully captured, retained, utilized, and shared, it is necessary to outline a clear strategic framework and an accompanying actionable work plan as a point of reference for all project staff and implementing partners. Adhering to this strategic framework and work plan will facilitate the effective coordination of resources and efforts at all stages of the project implementation, monitoring, and evaluation.

4. Target Audiences via stakeholder analysis

For this KMAS to prove effective, it is vital to consider all target audiences and beneficiaries from the outset and throughout.

Local communities	To raise awareness and generate support for addressing the issues pertaining to community vulnerabilities to climate change and adaptive capacity. Thus, targeting stakeholders at local will directly support the implementation and the sustainability of the project activities.
Women and Youth Associations	Integrating action plans is a key project knowledge product which will inform community decision making
Provincial government officials	The knowledge generated at local level is to inform provincial and national planning and programming
National government officials	<p>Various national government entities and their officials are involved in this project as designated authority, executing entity, project management committee members or are other stakeholders in the project.</p> <p>Raising the awareness of officers involved on issues of informal settlement vulnerabilities, community resilience, community action, partnership approaches etc. can generate support for addressing these issues. Such engagement will also pave the way for policy review to ensure the project's sustainability and the development of a conducive policy environment.</p>
Project stakeholders	The Technical Advisory Committee (comprising of national government agencies and technical bodies, urban and community stakeholders, academia and development partners) are

	expected to have similar KMAC needs as above-mentioned groups.
Project Steering Committee (PSC)	The PSC is comprised of representatives from National government: The Ministry of Natural Resources and Environment. Vice Minister will chair the PSC. The different departments of the ministry will be engaged as well as provinces. UN-Habitat serves as the Secretariat. Key project stakeholders are also represented on the PSC. The PSC is responsible for overseeing efficient project management and implementation; it is vital that its members are familiar with all elements of this KMAS and that Knowledge Products are shared effectively.
UN Country Team	All elements of this KMAS should be shared with the UN Country Team in Viet Nam. All Knowledge Products and lessons learned/experiences derived from the project implementation have the potential to inform operations
NGOs and CSOs	Local NGOs and CSOs in the project area can potentially benefit from the data, information and knowledge products collected and produced throughout the project. Effective dissemination of such products with these NGOs is therefore necessary.
International development agencies (donors)	All elements of this KMAS should be shared with international donors in Viet Nam. All Knowledge Products and lessons learned/experiences derived from the project implementation have the potential to inform operation and scale up.
UN-Habitat (ROAP and HQ)	UN-Habitat, in particular the Climate Change Planning Unit, Human Settlement Officer and other experts have a stake in this project. In line with the agency's knowledge management strategy processes outputs and outcomes will inform the development of regional and global capacity development tools and normative products such as standards for informal settlements upgrading or the development of climate change action plans.
Adaptation Fund and International Community	To enhance knowledge and inform normative operations and decision making in the area of community vulnerability and adaptation to the impacts of climate change, it is vital that feedback channels are established for the dissemination of knowledge (products) generated through the project to both the Adaptation Fund and UN-Habitat.

5. Outputs

Expected Accomplishment 1 – Knowledge Management

Knowledge Products

Actions Plans (APs), guideline documents, and reports produced throughout this project constitute knowledge products (KPs). These documents are produced as a result of the collection, processing, and consolidation of data, information, and knowledge through various project activities. Once generated, these knowledge products can be published and shared on multiple platforms such as social media, on associated and relevant websites, and via the press to efficiently reach the maximum number of beneficiaries, contributing to the visibility of the project. Moreover, it is also likely that specific KPs will be shared directly with target audiences, facilitating the effective use and reuse of the knowledge within. As well as the primary benefits of these KPs, their production and dissemination will also enhance capacity for more efficient and reliable project reporting, thus contributing to the monitoring and evaluation element of project implementation.

Reporting

Project reporting will be conducted in compliance with formal guidelines issued by the Adaptation Fund, UN-Habitat and the government of Viet Nam. To monitor and evaluate project activities and progress, reporting will be carried out against the project results framework. Whilst project reports (annual, mid-term, terminal evaluation) constitute substantive outputs, they can also be utilized to allow for the more efficient development of other knowledge products.

Data Management

Data collection, collation and processing constitutes a significant element of this project and developing APs. As data differs in nature from information and knowledge, it requires different methods of collection and dissemination. To be classified as an output, it will be necessary to develop an appropriate means of interpreting and presenting data. An online, geotagged database will facilitate the effective dissemination of project data. As an output, data is a prerequisite and informs many other outputs in terms of both KM and advocacy and communication, particularly the development of knowledge products.

Special Events

Lessons learned, experiences and best practices from this project have the potential to inform future efforts toward building adaptive capacity in communities vulnerable to the impacts of climate change internationally. One of the means of ensuring this is to consolidate the knowledge generated from the project and present findings/results to the international community (related organisations, academics, funding bodies, national governments etc). Conference papers, presentations and participation in international events are all potential platforms for the sharing this relevant knowledge and information. In addition to academic events, World Urban Forum, etc. are to be considered for process and outcome sharing. This output directly contributes to the advocacy element of this knowledge management, advocacy and communications strategy.

Expected Accomplishment 2 – Advocacy and Communications

Print Material

Traditional project information in the form of project brochures and project updates remain relevant – yet to a degree well below that preceding social media days. However, it is expected that only a relatively small number of such materials will be printed for specific events (such as inception

meetings, selected stakeholder consultations and to have some material available in the project office). Such materials are very important for the project's online presence.

Social Media

Social media is an effective means of communicating the knowledge generated by the project to the largest number of beneficiaries. For this project, Facebook and YouTube provides a useful platform to share project results, progress and important information with local communities in Viet Nam, thus making knowledge and information more accessible to those directly impacted by the project. Social media provides a means of sharing those outputs generated in the knowledge management component of the project.

Online

Webpages of the Adaptation Fund, UN-Habitat, and associated networks provide appropriate platforms for the sharing of project results and relevant knowledge products with both target audiences and the wider public. This is also an effective means of ensuring branding of the project is correctly achieved.

Branding

Effective project branding has multiple intertwining benefits for the KMACS. In ensuring transparent implementation in accurately reporting project activities, progress and results, branding directly strengthens accountability of all organizations involved. Moreover, effective branding of the project ensures that knowledge products produced can reach a wider audience.

Press, Media & Communications

Throughout project implementation, press releases, journalist engagement, videography and sharing project stories present effective mechanisms for both advocacy and communications in terms of reaching the largest number of beneficiaries in sharing project related information and knowledge.

Implementation

Knowledge management, advocacy and communication are an integral part of all activities and as such all task managers must contribute to the successful roll-out of this strategy.

The PSC will receive updates on KMAC at every meeting.

UN-Habitat (ROAP and HQ) will liaise with the Adaptation Fund to ensure compliance and maximum benefit of the strategy.

6. Knowledge Management related activities and workplan

In compliance with government of Viet Nam, Adaptation Fund & UN-Habitat guidelines, protocols and standards, effective KM, advocacy and communication requires the strategic use of a diverse range of data sources, methods, frequencies of collection and assignment of responsibilities. Therefore, this work plan sets out a logical framework of activities and outputs identifying how, when and by whom data is to be collected, information processed, knowledge (products) generated, lessons learned recorded and reported, and knowledge disseminated throughout the project. The work plan below aims to achieve the objective of ensuring enhanced knowledge and understanding on climate change impacts and adaptation at the community, national, international level.

Expected Concrete Outputs / Intervention	Learning Objectives (LO) And Indicators (I)	Knowledge Products	Completion
1.1.1. National Induction Workshop / Project team (facilitators) training enabling facilitation of eco-human settlement strategy and action plan development	(LO): Improved awareness and local vulnerability and strategies sharing (I): Number of participating government officials, Number of strategies shared Number of local plans reflecting climate change adaptation/resilience	<i>Workshop report and documentation (Concept note, Agenda and List of Participants)</i>	October/November 2020
1.1.2. Guidance and training materials development for vulnerability and risk assessment at the local level	(LO) Develop the guidance and training materials for mainstreaming climate change adaptation into the planning (I) Number of guidance and training materials Quality of participants on the development of materials Pilot workshop with practitioners	<i>Training materials, guidelines for vulnerability and risk assessment at the local level</i>	March 2021
1.1.3. Planning toolkits and training materials development for planning approach, strategy and action plan development on climate change resilience	(LO) Develop the planning tools and training materials for planning approach, strategy, and action plan for comprehensive and holistic climate change adaptation (I) Number of guidance and training materials Quality of participants on the development of materials	<i>Planning toolkits and training materials, comprising of planning approach, resilient infrastructure, and technical standards, environmental and social safeguards</i>	May 2021
1.1.4. Project team (facilitators) training enabling facilitation of eco-human settlement strategy and action plan development (for supporting component 2.1.1. and 2.2.2)	(LO): Improved Climate Change awareness and enhanced knowledge of government officials at all levels and trainers for development of action plan and strategy (I): Number of trainers/ participants Project tools for planning approach and guidance Number of workshops	<i>Training report and training materials Guidelines comprising of assessment and planning approach, resilient infrastructure, and technical standards, environmental and social safeguards and community action planning</i>	August 2021
1.2.1. Training workshops enabling national/provincial/district/commune to set up eco-human settlement strategy and action plan development for climate change adaptation	(LO): Improved Climate Change awareness and enhanced knowledge of government officials at all levels and trainers for development of action plan and strategy (I): Number of participating national and local government officials Project tools for planning approach and guidance Number of workshops	<i>Training report and training materials Guidelines comprising of assessment and planning approach, resilient infrastructure, and technical standards, environmental and social safeguards and community action planning</i>	December 2021

<p>2.1.1. Action plan and strategy development for eco-human settlement (Provincial, district, and commune level)</p>	<p>(LO) Develop community based eco-human settlement planning and strategy Revise the climate change adaptation action plan through the workshop (I) Number of action plan and strategy development work shop Number of revised eco-human settlement strategies and action plans Number of developed eco-human settlement strategies and action plans</p>	<p><i>Community based eco-human settlement strategy and planning</i> <i>Revised action plan and strategies for climate change adaptation</i> <i>Revised action plan and strategy for climate change adaptation</i> <i>Revised community planning for climate change adaptation</i></p>	<p>January 2023</p>
<p>2.2.1. Policy framework development for integrating local people's action plans and strategies for eco-human settlement into planning (provincial level)</p>	<p>(LO) Integrated planning with eco-human settlement action plan and strategy for climate change adaptation (I) Number of integrated planning Number of workshop and meeting at local levels (LO): Improve local action for climate change adaptation and planning Integrate climate change action plan and strategy into community planning (I): Number of local action workshop Number of local plans reflecting climate change adaptation / resilience</p>	<p><i>Integrated planning with eco-human settlement action plan and strategy for climate change adaptation</i> <i>Provincial SEDP that included climate change action plan and strategy from local levels</i></p>	<p>January 2023</p>
<p>2.2.2. Integrating developed/revised action plan and strategy into the relevant/existing planning and policy (Provincial level)</p>	<p>(LO): Develop the policy framework for integrating of planning Revise policy framework for integrating Develop policy for climate change adaptation with the action plan and strategy at local levels (I): Number of dialogue event Number of meeting with local government Guidance for revising policy framework Number of integrated planning with eco-human settlement for climate change adaptation</p>	<p><i>Guidance for revising policy framework</i> <i>Revised policy framework for integrating action plan and strategy into planning</i> <i>Integrated planning with eco-human settlement for climate change adaptation</i></p>	<p>December 2023</p>
<p>3.1.1. Prevention of the saltwater intrusion and protection of the ground water through water resource management</p>	<p>(LO) Improve the physical infrastructure for water management</p>	<p><i>Technology for water management system</i> <i>Implementation plan and report</i></p>	<p>December 2023</p>

system: water purification and rainwater harvesting	(I) Number of hard infrastructures in communities Feedback report		
3.1.2. Prevention of coastal erosion with green (eco-friendly) erosion rehabilitation and control system: elastocoast	(LO) Improve the green (eco-friendly) erosion rehabilitation and control system (I) Number of hard infrastructures in communities/ feedback report	<i>Technology for green (eco-friendly) erosion rehabilitation and control system Implementation plan and report</i>	December 2023
3.2.1. Capacity building to a working group for the sustainable operation and management of provided hard intervention	(LO) Improve locals' capacity of operation and maintenance/ Enhance implementation arrangement and governance (I) Number of manuals and video clips for operation and maintenance Number of training workshop Number of meeting with working group and appointed agencies	<i>Workshop feedback report Manual and video clips for operation and maintenance Governance for operation and maintenance Monitoring plans</i>	December 2023
4.1.1. Lesson learned and best practices regarding resilient urban community development/housing are generated, captured and distributed to other communities, civil society, and policy-makers in government appropriate mechanisms	(LO): Sharing of lessons learned and best practices for other regions in Mekong Delta (I): Number of platforms used for sharing Number of workshops for sharing experience and best practices	<i>Dissemination through regional organisations and websites Sharing experience and best practice materials Workshop and feedback report</i>	January 2024
4.1.2. Regional advocacy and replication for developing the effective policy framework	(LO): Scaling up the good practices to the policy level and other funds (I) Number of knowledges sharing workshop at local level Number of further investment and cooperation meeting	<i>Reports of dialogue and knowledge sharing workshop Meeting minutes and partnership documents for further investments</i>	January 2024



Contacts for

“Enhancing the resilience inclusive and sustainable eco-human settlement development through small scale infrastructure interventions in the coastal regions of the Mekong Delta in Viet Nam”

UN-Habitat Regional Office for Asia and the Pacific

Mr. Laxman Perera

Human Settlements Officer

ACROS Fukuoka Building, 8th Floor, 1-1-1 Tenjin, Chuo-ku, Fukuoka 810, Japan

Tel: (81-92) 724-7121

laxman.perera@un.org

UN-Habitat Office in Viet Nam

Dr. Nguyen Quang

Habitat Programme Manager

Room 203-204, A2 Building, Van Phuc Diplomatic Compound, 298 Kim Ma, Ba Dinh, Hanoi, Vietnam

Tel: (+84) 24 3 823 7232 (ext. 116)

n.quang@un.org

UN HABITAT
FOR A BETTER URBAN FUTURE