

**TERMINAL EVALUATION OF THE UNEP/GEF PROJECT:
“Demonstration of Sustainable Management of Coral Reef
Resources in the Coastal Waters of Ninh Hai District, Ninh
Thuan Province, Viet Nam”
(GEF ID. 3187)**

Final Report

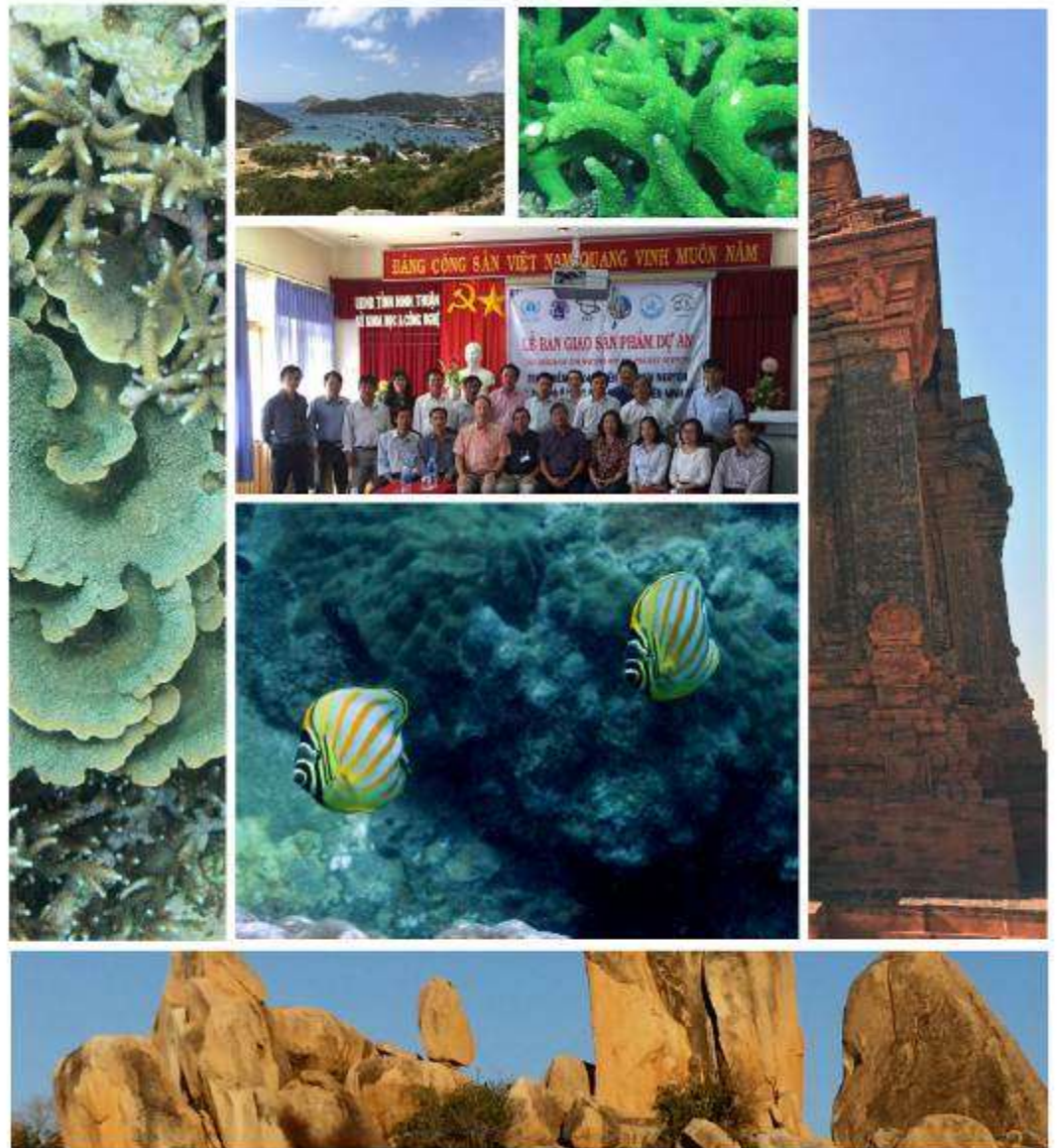
For:

**United Nations
Environment
Programme (UNEP)
Evaluation Office,
Nairobi, Kenya**

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Cover photographs taken by James T. Berdach in and around the project area, during the field mission to Ninh Hai, Vietnam, in March 2015.

Disclaimer: The views and opinions expressed in this report are solely those of the authors, and do not reflect official positions of the Government of Viet Nam, the United Nations Environment Programme, or the Global Environment Facility.

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List of Abbreviations and Acronyms

A	Assumption (in ToC/ROtI)
BSP	Bali Strategic Plan
CBD	Convention on Biological Diversity
DCPI	Division of Communication and Public Information
DEPI	Division of Environmental Policy Implementation
EO	Evaluation Office
GEF	Global Environment Facility
ID	Impact Driver (in ToC/ROtI)
IEC	Information, Education and Communication
IGO	Income-generating option
IO	Institute of Oceanography
IS	Intermediate State (in ToC/ROtI)
LME	Large marine ecosystem
M&E	Monitoring and evaluation
MPA	Marine Protected Area
MSP	Medium-size Project
POW	Programme of Work
PPC	Provincial People's Committee
ROtI	Review of Outcomes to Impacts
SCS	South China Sea
SMART	Specific, Measurable, Achievable, Relevant, Time-bound
TE	Terminal Evaluation
TER	Terminal Evaluation Report
ToC	Theory of Change
TOR	Terms of Reference
UNEP	United Nations Environment Programme
VAST	Vietnam Academy of Science and Technology

Project Identification Table

GEF project ID:	3187	IMIS number:	GFL/2328-2731-4B39
Focal Area(s):	Multi-focal Areas	GEF OP #:	8
GEF Strategic Priority/Objective:	IW-1/SO-2/SP-1	GEF approval date:	5 June 2008
UNEP approval date:	6 th July 2010	Date of first Disbursement:	3 August 2010
Actual start date:	August 2010	Planned duration:	35 months
Intended completion date:	June 2013	Actual or Expected completion date:	December 2014
Project Type:	Medium-Sized Project (MSP)	GEF Allocation:	US\$ 406,900
MSP/FSP Co-financing:	US\$528,286 (estimated) US\$1,113,387 (actual)	Total Cost:	US\$935,186 (estimated) US\$1,520,287 (actual)
Mid-term review/eval. (planned date):	December 2011	Terminal Evaluation:	August 2014
Mid-term review/eval. (actual date):	Jan 2013 (mid-term review meeting)	No. of revisions:	2
Date of last Steering Committee meeting:	30 January 2013	Date of last Revision:	11 April 2013
Disbursement as of 30 June 2013:	US\$ 318,488	Actual expenditures entered in IMIS as of 30 June 2013:	US\$ \$ 279,091.24
Total co-financing realized as of 30 June 2013:	US\$ 806,500.74	Leveraged financing:	\$ 1,113,387 ¹

¹ Taken from the Project final report. This is 111% higher than the target of \$ 528,286. This includes \$109,810 worth of in-kind contributions from other local and national agencies, as well as contributions from the local communities.

Executive Summary

Background

1. In June 2008, the Global Environment Facility (GEF) approved a Medium-Sized Project (MSP) entitled “Demonstration of Sustainable Management of Coral Reef Resources in the Coastal Waters of Ninh Hai District, Ninh Thuan Province, Viet Nam”² (GEF ID. 3187), under the framework of the United Nations Environment Programme (UNEP)/GEF regional project, “Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand” (the “SCS Project”). The overall goals of the SCS Project were

“to create an environment at the regional level, in which collaboration and partnership in addressing environmental problems of the South China Sea, between all stakeholders, and at all levels is fostered and encouraged; and to enhance the capacity of the participating governments to integrate environmental consideration into national development planning.”

2. In support of the SCS, the main goal of the Ninh Hai Project was

“to reduce environmental stress on the transboundary water body of the South China Sea and Gulf of Thailand, through the further elaboration of the draft Strategic Action Programme and the implementation of a network of demonstration activities at sites of regional and global significance.”

3. The Project endeavoured to meet this goal by establishing Ninh Hai as a marine protected area (MPA) to effectively manage 1,070 hectares (ha) of coral reef, including a total of 40 ha of seagrass through an integrated management plan based on cross-sectorial and participatory management and demarcation.

4. The Project was divided into three components. The first component focused ***on improving area management*** through cross-sectorial and participatory approaches, that included the establishment of institutional arrangements for cross-sectorial management; development and adoption of an Integrated Management Plan including zoning plan; establishment of demarcation and enforcement of relevant regulations, rehabilitation of some damaged environmental components; and establishment of a monitoring system for coral reef and seagrass bed habitats, with annual monitoring. The second component focused on implementation of pilot projects for diverse sustainable ***Income-Generation Options*** (IGOs) and development of a ***Sustainable Financial Strategy***. The third component focused on ***building capacity and awareness*** at national, local, and community levels.

5. The Ninh Hai Project officially commenced in July 2010 and was technically completed in June 2014, after two revisions and extensions. As presented in the UNEP/GEF Project Document, the total project financing was **US\$ 935,185**.

Scope and Objectives of the Terminal Evaluation

6. This terminal evaluation (TE) has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, governments, international and national executing agencies. Therefore, the evaluation assesses the Project’s performance vis-à-vis its objectives and targets. It also identifies the lessons of operational relevance for future project formulation and implementation.

7. The TE focuses on answering the following key questions, based on the Project’s intended goal, objective, and outcomes:

- (i) How successful has the Project been in demonstrating methods of reducing environmental stress on regionally significant coral reef resources and seagrass habitats connected to the South China Sea through promoting sustainable utilization of marine and coastal resources of Ninh Hai waters?
- (ii) Has the demonstration Project sufficiently exhibited (i) ecosystem benefits: protection of coral reef and associated habitats; (ii) transboundary benefits: conservation of spawning and nursery grounds for fish and other marine animals of transboundary significance; and (iii) local benefits:

² This Project is referred to simply as “Ninh Hai Project” or “the Project” throughout this document.

increased alternative opportunities for sustainable income-generation?

- (iii) Has the Project been effective in establishing Ninh Hai as a Marine Protected Area (MPA) and implementing an integrated management plan that is based on cross-sectorial and participatory approaches?
- (iv) What is the likelihood that the MPA established in Ninh Hai will contribute to national and regional biodiversity conservation goals, and act as a model for the development of a network of similar community-based MPAs in Viet Nam and elsewhere?
- (v) To what extent did the Project succeed in demonstrating alternative livelihood options that are designed and implemented to improve the economic situation of the coastal communities while reducing pressure on the ecosystem of Ninh Hai waters?
- (vi) How successful has the Project been in strengthening local capacities in coastal and marine conservation, biodiversity and socio-economic monitoring, and management of coral reef habitats?
- (vii) What were the most effective strategies used by the Project and what were the key drivers and assumptions required to influence the achievement of project's objectives and results?

8. In addition, the TE seeks to present:

- lessons learned from the project, not only in terms of its successes and accomplishments, but also, regarding any persistent challenges that remained unresolved, and that might require different approaches to be more effectively addressed; and
- based on lessons learned, any opportunities for replication or scaling-up in future initiatives of UNEP or other partner agencies.

Methodology

9. The methodology used to conduct the evaluation was straightforward. Information was gathered by carrying out a desk study; consultations and communications with key informants; a visit to the field site in Vietnam by the senior author; and use of a questionnaire to obtain detailed comments and feedback from stakeholders about the relative effectiveness of the project in achieving its stated objectives.

10. In addition, during the Inception Phase of the evaluation, a Theory of Change (ToC) analysis was conducted, using the Review of Outcome to Impact (ROtI) approach. The reconstructed ToC and ROtI analysis were revised and refined following further information-gathering during the course of the evaluation. The ToC/ROtI was employed in order to get an idea of whether this Project would be likely to meet, or contribute to, the stated project goal. The results of the ROtI analysis are presented within this report.

The Evaluation

11. Following procedures presented in the UNEP and GEF evaluation guidelines, a set of minimum evaluation criteria were used as the main yardstick in assessing the Project. The criteria were: (i) Assessment of Project Objectives and Planned Results; (ii) Assessment of Sustainability and Catalytic Role; (iii) Assessment of Processes Affecting Attainment of Project Results; and (iv) Complementarities with UNEP Strategies and Programs. The criteria/indicators used were rated according to a standard six-point scale rating system.

Results

12. Overall, the project was rated **SATISFACTORY (S)**. A summary of the evaluation findings that led to this rating, by assessing the prescribed evaluation parameters, is presented in the table below (Table ES-1).

Table ES-1. Evaluation Summary Table

Criterion	Summary Assessment	Rating
A. Strategic relevance	Project is In line with objective for Subprogramme 3, Ecosystem Management, in UNEP's Programme of Work 2014-2015; and consistent with GEF's Strategic Objective IW-2 and IW Strategic Programme 1 and Strategic Objectives 1 and 3	HS

Criterion	Summary Assessment	Rating
B. Achievement of outputs	All the project outputs were accomplished either in large part, or in full	S
C. Effectiveness: Attainment of project objectives and results		S
1. Achievement of direct outcomes	Project was able to meet its medium-term outcome of establishing an MPA in the Ninh Hai District. This is supported by achieving four direct outcomes.	S
2. Likelihood of impact	In the ToC/ROtI analysis, the conditions and elements required for attainment of the desired project impact (Assumptions, Impact Drivers, and Intermediate States) were defined. The analysis also ascertained that by the end of project, these conditions and elements existed or were coming into place, and thus it is likely that the desired project impact could be achieved, given adequate time and sustained efforts by stakeholders. The establishment of the MPA, covering the Nui Chua National Park, is a significant accomplishment in the area of coral reef and seagrass conservation and management in the Ninh Hai district. This will help pave the way for increasing the area coverage of these important marine habitats.	L
3. Achievement of project goal and planned objectives	The ROtI analysis and results score sheet produced a score of BB, corresponding to LIKELY, indicating that the goal and objectives of the project are achievable.	S
D. Sustainability and replication		L
1. Financial	Project did not fully meet its sustainable financing objectives through development of livelihood activities, but was very successful in leveraging substantial government co-financing	ML
2. Socio-political	Key Government institutions were and still are directly involved in the implementation of the Project's interventions	L
3. Institutional framework	Management Plan Framework on the Sustainable Use of Coastal and Marine was approved by the PPC; government agency representatives continue to be involved	L
4. Environmental	MPA has been legally established; infrastructure and facilities requirements have been put up; and capability building of technical staff has been accomplished; coral rehabilitation efforts undertaken	L
5. Catalytic role and replication	High level of awareness about the Project; stakeholders generally have had a positive attitude towards its activities; dedicated website established; support by government, NGOs and local communities has continued after the closure of the project.	L
E. Efficiency	Long delays, slow utilization of funds experienced; two project extensions requested; incomplete financial documentation	MU
F. Factors affecting project performance		
1. Preparation and readiness	Several weaknesses in project design included inadequate timeframe to accomplish numerous project objectives; weaknesses in baseline data; and deficiencies in M&E framework	MS
2. Project implementation and management	PSC and AG helped to facilitate implementation and management; socioeconomic interventions and participatory approach were effective	S

Criterion	Summary Assessment	Rating
3. Stakeholders participation and public awareness	Project was successful in engaging stakeholders at provincial and local level; no effort observed for promoting gender sensitivity	MS
4. Country ownership and driven-ness	Project well-aligned with key policies on marine conservation and sustainable development in Vietnam e.g., Environmental and Fisheries Resources Protection Laws (2003), Sustainable Development Strategies (2001-2010), National Biodiversity Action Plan (1995) National and Provincial governments have assumed responsibility and ownership for the Project's outcomes, by issuance of targeted policy directives and provision of budgetary support Local authorities like the People's Committee, as well as the local communities, are actively involved in many law enforcement and marine rehabilitation works in the District.	S
5. Financial planning and management	Utilization of the funds allocated by GEF was slow; at the end of the project, a surplus of GEF funds still remained; but project was highly successful in leveraging additional co-financing.	MU³
6. UNEP supervision and backstopping	Guidance and technical backstopping from UNEP was effective	S
7. Monitoring and evaluation		MU
a. M&E Design	M&E design as presented in ProDoc Project Framework was of a high standard; shortfalls in budgeting for M&E, and deficiencies in financial monitoring and reporting were identified	MU
b. M&E Plan Implementation	Inadequate attention and resources given for implementation of M&E; some documents needed for evaluation were not provided or were not accessible	MU
Overall project rating		S

Conclusions

13. The project for Demonstration of Sustainable Management of Coral Reef Resources in the Coastal Waters of Ninh Hai District, Ninh Thuan Province, Viet Nam was very successful in implementing a broad range of activities:

- To promote improved area management of a nationally-, regionally-, and globally-significant site containing valuable coral reef and seagrass resources;
- to develop sustainable livelihoods that could help to reduce pressure on fisheries and other marine resources; and
- to build awareness of the importance of marine and coastal ecosystems and their attendant biodiversity, and to promote greater capability on the part of resource managers to more effectively protect and manage these ecosystems.

14. This was accomplished through a participatory approach that effectively engaged the members of the local community as active partners in these three important components of the Project.

Lessons Learned

15. Presented here are the key lessons learned from this TE:

- Creating a strong institutional foundation (e.g., through the formation of the Project Steering Committee [PSC], Advisory Group [AG], etc.) is a critical pre-requisite to successful project implementation, and can also provide a basis for longer-term sustainability beyond the life of the project (see Sections IV.C.3, IV.F.1, and IV.F.3). Ensuring that such institutions are multi-

³ The financial information required for the project's terminal evaluation was not provided by the Funds Management Officer at UNEP.

sectorial can improve their efficiency and effectiveness by providing equitable representation to various interest groups.

- ii. The information and data used for development of area management plans, and similar plans for natural resources or ecosystem management, need to be accurate, up-to-date, and science-based. The leadership personnel of the Executing Organization successfully applied this principle in the Ninh Hai project (see Section IV.B.).
- iii. Participation and strong involvement of the local community is an important element for project success. Provision of sustainable livelihood options as income-generating opportunities is one way in which community members can be given an incentive to take ownership of the project. At the same time, developing sustainable livelihoods for community beneficiaries can also provide a basis for sustainable financing for MPAs and other conservation initiatives (see Sections IV.D.4, and IV.F.2).
- iv. Applying the Theory of Change (ToC) and Review of Outcomes to Impacts (ROtI) is a useful approach to determining the likelihood of achieving project impacts. The method is especially helpful for predicting impacts for environmental management or improvement projects, wherein such impacts may not be realized or measurable within a relatively short project timeframe (see Section III.F).
- v. Many stakeholders voiced the opinion that the Ninh Hai project timeframe was too short to accomplish all intended objectives. Selection of an appropriate timeframe is a critical aspect of project design. Selecting a timeframe which is not in line with the scope or magnitude of the tasks to be accomplished, or which does not match up well with projected time-bound costs, can result in delays, poor utilization of funds, and non-accomplishment of targets (see Section IV.F.).
- vi. Appropriate selection of the executing agency is also essential to project success. Since the Project was science- and research-oriented (as opposed to being a more conventional economic development project), the selection of Vietnam Academy of Science and Technology (VAST)/Institute of Oceanography (IO) as the executing agency was very fitting. Furthermore, VNIO demonstrated strong capacity in the technical disciplines required for this project, and as a result, a successful outcome was possible (see Sections IV.D.2 and IV.F.1).

Recommendations

16. Recommendations are formulated as actionable proposals to be used in the project being evaluated, either in the remaining timeframe or during a follow-on phase with the same/similar intentionality. A follow-on regional implementation project for the South China Sea, currently being developed, creates an opportunity to apply the recommendations that have emerged from the Ninh Hai project. Similar opportunities for applying recommendations from this Project may also be available through other activities being implemented by the UNEP Coral Reef Management Unit in Bangkok. In general, because these recommendations are aimed at improving the design of new, related projects that may be developed in the future, they will need to be applied by project designers at UNEP and GEF

17. The following are the key recommendations that have emerged from this TE:

- i. Due to start-up delays in the Ninh Hai project, intended opportunities for knowledge exchange and other linkages with the related South China Sea project and other GEF/MSPs that were part of the program, were considerably curtailed. Nonetheless, the Ninh Hai project was very successful in developing effective institutional arrangements—the establishment of strong multi-lateral advisory bodies to guide the project, such as the PSC and AG, was a major pillar that supported the successful implementation of the project (see sections IV.C.3, F.1, and F.3). The willingness of the provincial government, through the Provincial People's Committee, to lend its support to achieving the project objectives, was also noted. **Therefore it is recommended that the institutional and implementation arrangements developed in the Ninh Hai project should be used as a model for design and implementation of similar interventions in Vietnam. This could be facilitated by organizing workshops and cross-visits in which Ninh Hai stakeholders could share their knowledge and experience with the prospective planners and implementers of new projects.**
- ii. Discussed in the TE is the fact that the management of the Ninh Hai MPA is within the responsibility of the NCNP, a nationally-designated protected area that has both terrestrial

and marine components (see Sections IV.C.1 and IV.C.2). Because of this, the Project provides a rare opportunity to model approaches for integrated management of a marine ecosystem and its adjacent terrestrial watershed. It has long been recognized that many of the impacts to marine and coastal ecosystems (e.g., erosion and siltation, runoff of agricultural chemicals, urban and industrial pollution, etc.) originate on land rather than in the aquatic area. Therefore, providing an effective model for integrated coastal zone management, wherein the activities on land are considered in the context of the potential impacts that may result in marine and coastal ecosystems, could lead to innovative solutions for addressing these impacts. **It is therefore recommended that future efforts within the regional South China Sea implementation project include a focus on designing activities that are intended to address marine-terrestrial interactions in an integrated manner.**

- iii. The evaluation found that there were a number of deficiencies in the M&E framework and in how it was implemented. **M&E standards for follow-on projects need to be applied more stringently. This should include: (i) full compliance with GEF requirements, including the use of tracking tools; (ii) closer oversight of M&E by UNEP, including filling of gaps in M&E reporting in PIRs and other periodic progress reports; and (iii) provision of sufficient budgetary resources to enable the collection of essential information needed for comprehensive M&E. In so doing, the M&E system will be part of a feedback loop that be used to identify weaknesses and then make necessary adjustments to improve project performance.**
- iv. The Project produced dozens—if not hundreds—of research reports and documents on a variety of subjects that included biological surveys, management plans, training manuals, socioeconomic analyses, livelihood development guides, and awareness raising activities. Of these, only a few were translated into English, and thus it was not possible for the evaluators to review many of the reports in the project file, because most of them were only available in Vietnamese. **To enhance information-sharing, particularly in the upcoming regional project, it is recommended that the most relevant key documents and technical reports are translated into a common medium of understanding, preferably English. Accessibility to the complete project files (or at least, to a greater proportion of the documents produced) will also facilitate future project evaluation.**
- v. The UNEP Evaluation Office further recommends that **the Executive Summary of this Terminal Evaluation Report be translated into Vietnamese language in order that the findings can be disseminated to a wider stakeholder base by the project team and the UNEP Task Manager.**

I. Introduction

1. In June 2008, the Global Environment Facility (GEF) approved a Medium-Sized Project (MSP) entitled “Demonstration of Sustainable Management of Coral Reef Resources in the Coastal Waters of Ninh Hai District, Ninh Thuan Province, Viet Nam”⁴ (GEF ID. 3187), under the framework of the United Nations Environment Programme (UNEP)/GEF regional project, “Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand” (the “SCS Project”). The overall goals of the SCS Project were:

“to create an environment at the regional level, in which collaboration and partnership in addressing environmental problems of the South China Sea, between all stakeholders, and at all levels is fostered and encouraged; and to enhance the capacity of the participating governments to integrate environmental consideration into national development planning.”

2. In support of the SCS, the main goal of the Ninh Hai Project was:

“to reduce environmental stress on the transboundary water body of the South China Sea and Gulf of Thailand, through the further elaboration of the draft Strategic Action Programme and the implementation of a network of demonstration activities at sites of regional and global significance.”

3. The Project endeavoured to meet this goal by establishing Ninh Hai as a marine protected area (MPA) to effectively manage 1,070 hectares (ha) of coral reef, including a total of 40 ha of seagrass through an integrated management plan based on cross-sectorial and participatory management and demarcation.
4. The Project was divided into three components. The first component focused ***on improving integrated area management*** through cross-sectorial and participatory approaches, that include the establishment of institutional arrangements for cross-sectorial management, development and adoption of an Integrated Management Plan including zoning plan; establishment of demarcation and enforcement of relevant regulations, rehabilitation of some damaged environmental components; and establishment of a monitoring system for coral reef and seagrass bed habitats, with annual monitoring. The second component focused on implementation of pilot projects for diverse sustainable ***Income-Generation Options*** (IGOs) and development of a ***Sustainable Financial Strategy***. The third component focused on ***building capacity and raising awareness*** at national, local, and community levels.
5. The Ninh Hai Project officially commenced in July 2010 and was completed in June 2014, after two revisions and extensions. The total GEF contribution to the project was US\$406,900, with an estimated co-financing contribution (including in-kind) of US\$528,286, for a total estimated project cost of US\$935,186.

II. The Evaluation

A. Scope and objectives of the evaluation

6. In December 2014, the Evaluation Office (EO) of UNEP contracted an independent Evaluation Specialist⁵ to conduct the Terminal Evaluation (TE) of this Project.

⁴ This Project is referred to simply as “Ninh Hai Project” or “the Project” throughout this document.

⁵ UNEP contracted Mr. James T. Berdach to undertake the evaluation. With the agreement of UNEP, Mr. Berdach

7. The TE has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, governments, international and national executing agencies. Therefore, the evaluation assesses the Project's performance vis-à-vis its objectives and targets. It also identifies the lessons of operational relevance for future project formulation and implementation.
8. The TE focuses on answering the following key questions, based on the Project's intended goal, objective, and outcomes:
 - (i) How successful has the Project been in demonstrating methods of reducing environmental stress on regionally significant coral reef resources and seagrass habitats connected to the South China Sea through promoting sustainable utilization of marine and coastal resources of Ninh Hai waters?
 - (ii) Has the demonstration Project sufficiently exhibited (i) ecosystem benefits: protection of coral reef and associated habitats; (ii) transboundary benefits: conservation of spawning and nursery grounds for fish and other marine animals of transboundary significance; and (iii) local benefits: increased alternative opportunities for sustainable income-generation?
 - (iii) Has the Project been effective in establishing Ninh Hai as a Marine Protected Area (MPA) and implementing an integrated management plan that is based on cross-sectorial and participatory approaches?
 - (iv) What is the likelihood that the MPA established in Ninh Hai will contribute to national and regional biodiversity conservation goals, and act as a model for the development of a network of similar community-based MPAs in Viet Nam and elsewhere?
 - (v) To what extent did the Project succeed in demonstrating alternative livelihood options that are designed and implemented to improve the economic situation of the coastal communities while reducing pressure on the ecosystem of Ninh Hai waters?
 - (vi) How successful has the Project been in strengthening local capacities in coastal and marine conservation, biodiversity and socio-economic monitoring, and management of coral reef habitats?
 - (vii) What were the most effective strategies used by the Project and what were the key drivers and assumptions required to influence the achievement of project's objectives and results?
9. In addition, the TE seeks to present:
 - lessons learned from the project, not only in terms of its successes and accomplishments, but also, regarding any persistent challenges that remained unresolved, and that might require different approaches to be more effectively addressed; and
 - based on lessons learned, any opportunities for replication or scaling-up in future initiatives of UNEP or other partner agencies.

10. The Terms of Reference (TOR) for conducting the terminal evaluation are presented in Annex 1.

B. Methodology

11. This TE was carried out in close coordination with, and under the supervision and direction of, the UNEP Evaluation Office in Nairobi, Kenya. The methodology used to conduct the evaluation was

subcontracted the services of Dr. Lope A. Calanog to provide assistance with the evaluation and as a co-author. Mr. Berdach and Dr. Calanog have worked collaboratively in the preparation of the evaluation report. Mr. Berdach retains final authority and responsibility for the technical content and quality of the evaluation.

straightforward. Information was gathered by carrying out the following activities:

(i) A desk study was conducted, that included review of key project documents, and research based on internet online resources. Key project documents reviewed were (among others): (a) the Project Document (ProDoc); (b) the GEF Request for Funding; (c) the Project Cooperation Agreement (PCA) that outlines the general framework on how the Project will be implemented; (d) Project Implementation Reports (PIR); and (e) Project Final Report (PFR). Online research was also conducted to meet secondary data- and information-gathering needs. Principle documents and references utilized in the course of the evaluation are listed in Annex 2.

(ii) Consultations and communications with key informants were conducted through telephone (and Skype) calls and e-mail. The names of persons contacted are found in Annex 3.

(iii) A visit to the field site in Vietnam was conducted by the principal evaluator, during which consultations were held with project implementers, beneficiaries, and other key stakeholders, and direct observations of biophysical and socioeconomic conditions relevant to the project were made. An annex that presents the evaluation programme during the site visit, consisting of a schedule of the activities carried out during the mission, is found in Annex 4.

(iv) A questionnaire was prepared in English, translated to Vietnamese, and distributed to stakeholders. In the questionnaire, stakeholders were requested to provide comments and feedback about the relative effectiveness of the project in achieving its stated objectives. Of the 33 questionnaires distributed, 17 were completed and returned. The data and information generated were compiled, tabulated and graphed using the software, "Statistical Packages for Social Sciences," or SPSS. Simple descriptive statistics (i.e., frequencies and percentage) were employed in analysing and interpreting the data and information generated. The English and Vietnamese versions of the questionnaire are attached in Annex 5, and a detailed discussion of the statistical analysis is presented in Annex 6.

12. In addition, during the Inception Phase of the evaluation, the Theory of Change (ToC) of the project was reconstructed, and a Results of Outcomes to Impact (ROtI) analysis was conducted, in order to get an idea of how this Project was intended to meet, or contribute to, the desired goal:

“to reduce environmental stress on the transboundary water body of the South China Sea and Gulf of Thailand, through the further elaboration of the draft Strategic Action Programme and the implementation of a network of demonstration activities at sites of regional and global significance.”

13. The reconstructed ToC and ROtI analysis were revised and refined following further information-gathering during the course of the evaluation. The results of the reconstructed ToC and ROtI analysis are presented within this report.

14. Following the procedures prescribed in the UNEP and GEF evaluation guidelines, a set of minimum evaluation criteria, grouped into the following four categories, were used as the main yardstick in assessing the Project:

- (i) Assessment of Project Objectives and Planned Results;
 - (ii) Assessment of Sustainability and Catalytic Role;
 - (iii) Assessment of Processes Affecting Attainment of Project Results; and
 - (iv) Complementarities with UNEP Strategies and Programs.
-
-

15. The criteria/indicators used were rated according to a standard six-point scale rating system.⁶
16. In addition to Annexes 1-6 mentioned above, several other required annexes are attached to this report. These are: Annex 7: Summary of Co-Finance Information and Statement of Project Expenditures; Annex 8: Matrix for the Assessment of the Quality of Project Design; and Annex 9: Brief CVs of the Consultants.

C. Limitations of the evaluation

17. There were several limiting factors that hampered efforts to acquire the information needed for a more complete and comprehensive evaluation. These included the following:
 - (a) Field mission: budget for the field mission was limited, and as a result, the amount of time available for the evaluator to spend in the field was also limited. The schedule for meetings and consultations was compressed. It was felt that, had additional budget and time been allocated for this part of the evaluation, it would have been possible to obtain more detailed information that would have added significant value, and made the analysis more robust.
 - (b) Language: Most of the outputs of the project, including technical and administrative reports, were produced in Vietnamese. For a few reports, executive summaries or abstracts were prepared in English. A far smaller number of reports were available in a full English-language version. The relatively small number of documents that were available in English made it quite difficult for the evaluators to access information from the project documents, review their content in an effective manner, and assess their quality. Similarly, during the field activity, much of the discussion taking place was in Vietnamese. While a staff person of the IO was assigned to help the evaluator to understand the discussion, there were still significant gaps that occurred in translation and interpretation. This also limited the transfer of information from the stakeholders to the evaluator.
 - (c) Communications with key personnel: In some cases, despite the conscientious efforts of the evaluators to communicate with and obtain data from key personnel, it was not possible to obtain the required information. This has resulted in some gaps in the evaluation, which cannot be filled without obtaining the necessary input from these stakeholders.

III. The Project

A. Context

18. The Ninh Hai Project was developed and implemented under the framework of the UNEP/GEF project entitled “Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand”. It aims to demonstrate a set of stress reduction measures effective at a regionally significant coral reef habitat in Ninh Hai District, Vietnam.
19. The overall goal of the Ninh Hai project is to reduce environmental stress on the transboundary water body of the South China Sea and Gulf of Thailand through the further elaboration of the draft Strategic Action Programme and the implementation of a network of demonstration activities at sites of regional and global significance.
20. Of several potential candidate sites considered for implementation of pilot and demonstration activities, the Ninh Hai site (see location map, Figure 1) was selected due to its unique biophysical

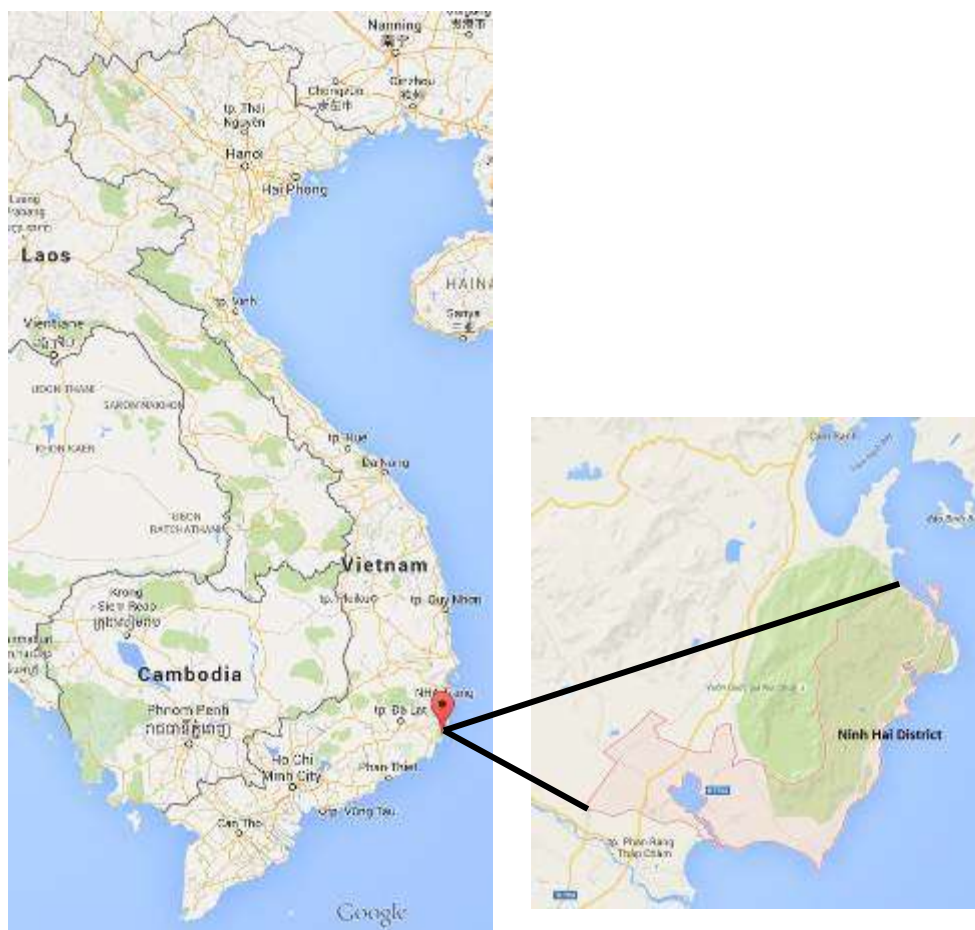
⁶ The six-point scale is used to evaluate various criteria according to the following scoring: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated on a similar six-point scale from Highly Likely (HL) to Highly Unlikely (HU).

features. Ninh Hai hosts extensive and diverse fringing coral reefs covering more than 2,300 ha, the result of favourable physico-chemical conditions of sea temperature, water clarity, and sediment levels. These well-developed fringing reefs are rare or absent in other parts of Vietnam, and hence provide a high degree of complementarity to the developing national MPA network. The fringing reefs of Ninh Hai are in relatively good condition (average live coral cover > 25%), comprised of some 310 species from 60 genera of reef-building coral, including 11 species and one genus (*Scapophyllia*) previously unknown from the western South China Sea. Coral community structure shows considerable differences with other reefs in Vietnam. In large part due to the efforts undertaken in the Project, these reefs are now protected within the Nui Chua National Park together with the adjacent dry coastal forest ecosystem—one of very few examples of integrated conservation management of a terrestrial–coastal marine ecosystem in Vietnam or indeed Southeast Asia. The regular presence of cool water upwelling during the summer months may provide some resiliency and protection against future reef degradation and extensive coral die-off from ‘bleaching’ due to extended episodes of elevated sea temperatures. These reefs may thus aid in replenishment of other reefs, via dispersal and recruitment of corals locally and regionally.⁷

21. Prior to the initiation of the project, mechanisms for the management of the area’s natural resources were complicated. While Nui Chua National Park, upgraded from a national reserve to National Park in 2003, incorporates a marine component of 7,352 ha, due to a lack of management capacity, management previously focused mainly on the terrestrial area of the park. The marine component had been managed by the Sub-department of Fisheries Protection under the Ninh Thuan Department of Fisheries. Due to staff shortages and a low operational budget, the sub-department had insufficient capacity to manage the area.
22. In addition, prior to the project, local fishing pressure, especially due to such harmful practices as illegal dynamite fishing, was causing resource depletion and ecological damage within the coral reef ecosystem of Ninh Hai. It was the objective of the project to address this threat by improving the economic conditions within local communities through sustainable alternative livelihoods such as aquaculture and ecotourism. Such alternative livelihood options were designed and implemented to improve the economic situation of the coastal communities while reducing pressure on ecosystems.
23. Thus the coral reefs and associated seagrasses within the Ninh Hai area constitute an important biodiversity resource, at an appropriate site for trial and demonstration of a range of interventions to promote their protection and improved management.

⁷ Si Tuan Vo, Lyndon DeVantier, Hua Thai Tuyen and Phan Kim Hoang. 18 July 2014. Ninh Hai waters (south Vietnam): a hotspot of reef corals in the western South China Sea. *Raffles Bulletin Of Zoology* 62: 513–520: <http://zoobank.org/urn:isid:zoobank.org:pub:9303FC78-2581-432A-A367-0143336CCF49>

Figure 1. Map of the Project Area



B. Project objectives and components

24. The Project aims to demonstrate integrated management of regionally significant coral reef and seagrass habitat in a district in Vietnam that is connected to the South China Sea for the prevention of future ecosystem degradation and promotion of sustainable utilization of coastal resources at the site. In so doing, it establishes a marine protected area (MPA) for the effective management of 1,070 ha of coral reef, including a total 40 ha of seagrass at Ninh Hai District, through the application of a cross-sectorial and participatory management scheme, integrated management plan, and demarcation.
25. The Project has three (3) components:
 - Component 1 focuses on “improving area management through cross-sectorial and participatory approaches;”
 - Component 2 implements “pilot projects on diverse sustainable income-generation options;” and
 - Component 3 deals with “capacity building and awareness raising.”

26. Each project component has a specific targeted outcome, as well as outputs which are to be achieved through the implementation of a defined set of activities.

C. Implementation arrangements

27. The Ninh Hai Project was designed in accordance with the agreement made by the Inter-governmental Steering Committee of the UNEP/GEF SCS Project and the Government of Vietnam, particularly the Vietnam Environment Protection Agency (VEPA) under the Ministry of Natural Resources and Environment (MoNRE).
28. The Institute of Oceanography (IO) served as the Project Executing Organization, and worked closely with UNEP, the designated GEF Implementing Agency. The IO took charge of the overall execution of the Project, and prepared and submitted progress and financial reports to UNEP. It coordinated the activities of the various management groups, such as the Project Steering Committee (PSC), Advisory Group (AG) and the Demonstration Site Coordinating Unit (DSCU). The PSC, composed of eleven (11) members from various government offices, was created to ensure that a cross-sectorial and participatory management approach was applied in the implementation of the Project. The DSCU on the other hand coordinated the site-level, day-to-day operations of the Project. The Project AG, also with 11 members from a range of scientific and technical institutions, provided technical advice to the DSCU.
29. As the Specialized Executive Agency of Coral Reefs (SEA-CR) sub-component of the SCS Project, the IO was also responsible for ensuring the close communication and collaboration between the Project and key elements of the SCS Program.
30. Government institutions that were (or still are) directly involved in implementation are: Institute of Oceanography (IO); Ninh Thuan Province – Department of Agriculture and Rural Development (DARD), Department of Science and Technology (DOST), Sub-Department of Fisheries Protection (Sub-DOFP), Department of Culture, Sports and Tourism (DCST), Department of Natural Resources and Environment (DoNRE), and Aquatic Resources Protection and Development of the Department of Capture Fisheries and Resources Protection; Ninh Hai District's People's Committee; Command Board of Ninh Thuan Border Guard; Nui Chua National Park (NCNP); Center for Eco-tourism and Environmental Education – NCNP; Khanh Hoa Association of Marine Science and Technique (KAMST), Center for Education and Communication of Environment (CEACE) – Ministry of Natural Resource and Environment (MoNRE); and Ninh Thuan Directorate of Border Army.
31. With regard to other institutions, the Project partners were: Khanh Hoa Environmental Protection Association; World Wildlife Fund (WWF); Nha Trang Bay MPA Management Board; and People's Committee of Vinh Hai Commune, Ninh Hai District.

D. Project financing

32. The Project had a total cost of **US\$ 935,185**. Forty four percent (44%) of the total came from the GEF Trust Fund (US\$406,900), while the Government of Vietnam put up some 45%, or US\$417,591. The remaining 11 per cent (US\$110,695) came from in-kind contributions of national and provincial government agencies and local community contributions. See Table 1 below for the details.

Table 1 Project Costs

Costs	US \$	%
1. Cost to the GEF Trust Fund	406,900	44
2. Co-Financing		

<i>Cash</i>		
Nui Chua National Park	376,009	40
Ninh Thuan Department of Science and Technology	19,430	2
Ninh Thuan Sub-Dept. of Fisheries Protection	22,152	3
Sub-total	417,591	45
<i>In-kind</i>		
Various National and Provincial Agencies and Local Communities	110,695	11
Sub-total	110,695	11
Total	935,185	100

E. Milestones in project design and implementation

33. Key timelines and milestones for the project were scheduled during the initial planning phase. These were relatively broad (see Table 2), and while the project logframe is detailed in its articulation of outputs, outcomes, indicators and assumptions, specific milestone dates tended to be incorporated into annual plans at the component level. As noted in the Mid-Term Review of the project, specific targets and milestones largely appeared as end-of-project targets in the Logframe.

Table 2 Key Dates in Project Design and Implementation

Milestone	Planned Date	Actual Date
GEF Approval Date	05 June 2008	05 June 2008
Implementation Start	2005*	2010*
Mid-term Review	December 2011	January 2013
Completion Date	31 December 2012	December 2014

* Actual dates need to be verified by UNEP

F. Reconstructed Theory of Change (ToC) of the Project

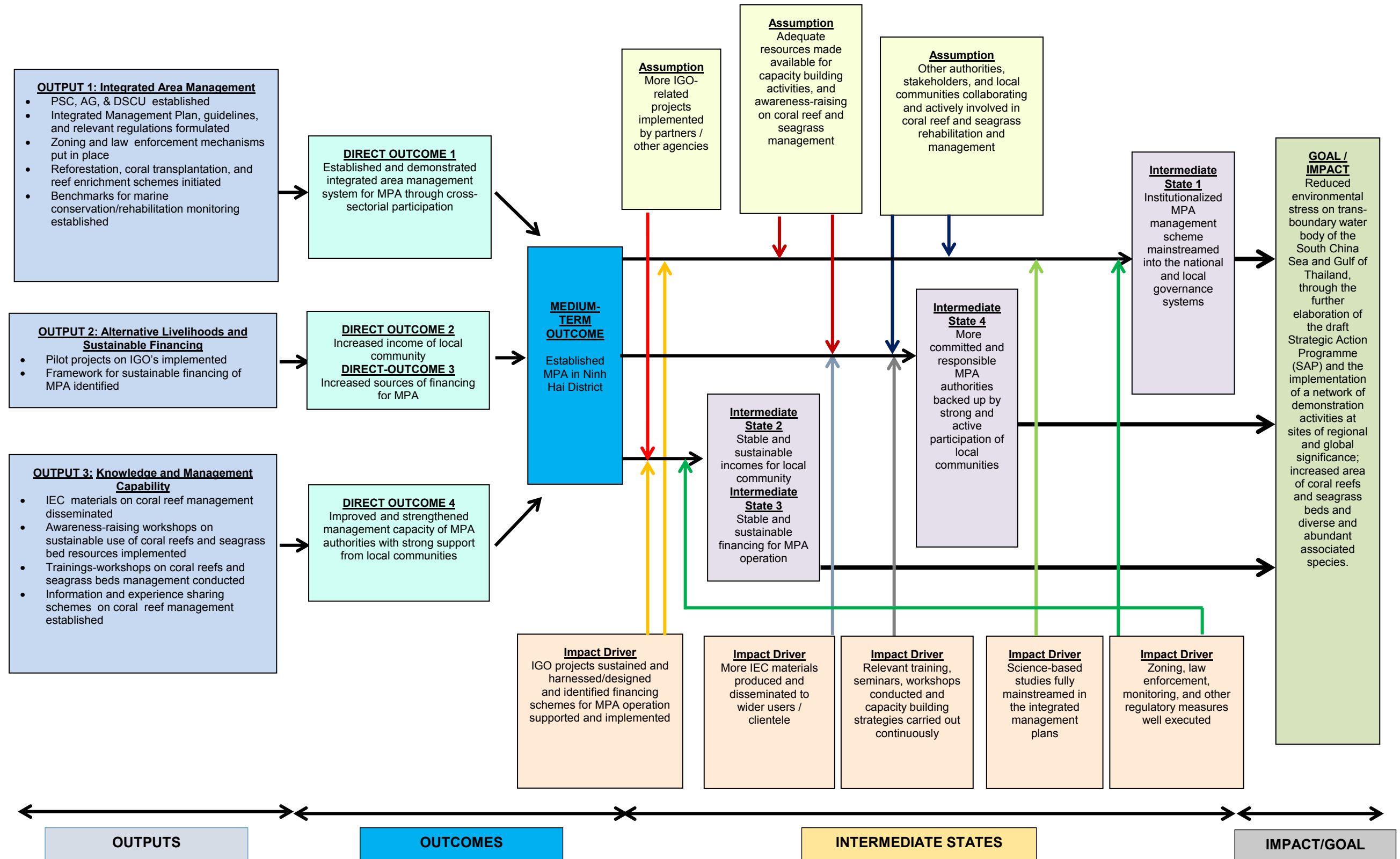
34. The Project's overarching goal is to "reduce environmental stress on the transboundary water body of the South China Sea and Gulf of Thailand, through the further elaboration of the draft Strategic Action Programme and the implementation of a network of demonstration activities at sites of regional and global significance" The desired project impact is "increased area of coral reefs and seagrass beds and diverse and abundant associated species." The achievement of the goal and impact will take time to realize and cannot be measured within the life of the Project.
35. Figure 2 shows the visual model or pathway on how the goal/desired impact of the Project can be achieved taking into consideration the conditions of various elements, such as activities and outputs, outcomes, assumptions, impact drivers, and intermediate states.
36. For the reconstructed ToC, four direct outcomes and one medium-term outcome were identified from the implementation of various activities and delivery of outputs by the Project. The activities and outputs are grouped according to the three main components of the Project:
37. For Output 1: Integrated Area Management, the activities/accomplishments are:
- Project Steering Committee (PSC), Advisory Group (AG), and Demonstration Site Coordinating Unit (DSCU) established

- Integrated Management Plan, guidelines, and relevant regulations formulated
 - Zoning and law enforcement mechanisms put in place
 - Reforestation, coral transplantation, and reef enrichment schemes initiated
 - Benchmarks for marine conservation/rehabilitation monitoring established
38. For Output 2: Alternative Livelihoods and Sustainable Financing, the activities implemented are:
- Pilot projects on IGOs implemented
 - Framework for sustainable financing of MPA identified
39. Finally, for Output 3: Knowledge and Management Capability, the accomplished activities are:
- IEC (Information, Education and Communication) materials on coral reef management disseminated
 - Awareness raising workshops on sustainable use of coral reefs and seagrass bed resources implemented
 - Training and workshops on coral reef and seagrass bed management conducted
 - Information- and experience-sharing schemes on coral reef management established
40. From the above, four direct outcomes would result. These are:
1. Integrated area management system for MPA established and demonstrated through cross-sectorial participation;
 2. Income of local community increased;
 3. Financing for MPA increased; and
 4. Management capacity of MPA authorities improved and strengthened, with strong support from local communities.
41. The intended medium-term outcome of the project is an established MPA in Ninh Hai District.
42. These **OUTPUTS** and **OUTCOMES** will not guarantee, however, the realization of the desired impact/goal of the Project over time, since other changes might need to happen in between outcomes and impact (called intermediate states) and several external factors and conditions need to be in place as well (called impact drivers and assumptions).
43. Four (4) transitional conditions (Intermediate States, or IS) are identified as necessary to achieve the desired impact and goal of the Project:
- IS 1. The MPA management scheme must be institutionalized⁸ and mainstreamed into the national and local governance systems;
 - IS 2. There should be stable and sustainable sources of income for the local community;
 - IS 3. There should be stable and sustainable financing for MPA operation; and
 - IS 4. The number of MPA authorities increased; should be made committed and responsible and they should also be backed up by strong and active participation of local communities.

⁸ Institutionalized means the MPA management scheme is well-entrenched in the cultural, social and political make-up of the Ninh Hai district.

44. Several external factors are needed to put in place these transitional conditions or intermediate states. These factors (Impact Drivers [ID], and Assumptions [A]) are identified according to the different Project outcomes discussed above. As shown in Figure 1, some of these ID and A are shared, and a combination of them would be necessary to achieve a particular IS. These are presented in detail below.
45. For IS 1, three (3) impact drivers (ID) and two assumptions (A) are necessary:
- ID: Zoning, law enforcement, monitoring, and other regulatory measures are well executed
 - ID: Science-based studies fully mainstreamed in the integrated management plans
 - ID: IGO projects sustained and harnessed/designed and identified financing schemes for MPA operation supported and implemented
 - A: Other authorities, stakeholders, and local communities collaborated and actively involved in coral reef and seagrass rehabilitation and management
 - A: Adequate resources made available for capacity building activities, and awareness raising on coral reef and seagrass management
46. For IS 2, the following impact drivers (ID) and assumptions (A) are identified:
- ID: IGO projects sustained and harnessed/designed and identified financing schemes for MPA operation supported and implemented
 - ID: Zoning, law enforcement, monitoring, and other regulatory measures well executed
 - A: More IGO-related projects implemented by partners / other agencies
47. Finally, for IS 3, the two important impact drivers (ID) and two assumptions (A) necessary for the IS conditions to be put in place are:
- ID: More IEC materials produced and disseminated to wider users / clientele
 - ID: Relevant training, seminars, workshops conducted and capacity building strategies carried out continuously
 - A: Other authorities, stakeholders, and local communities collaborated and actively involved in coral reef and seagrass rehabilitation and management
 - A: Adequate resources made available for capacity building activities, and awareness raising on coral reef and seagrass management
-

Figure 2. Theory of Change diagram showing linkages of various elements in achieving the Project impact and desired goal



IV. Evaluation Findings

48. This section presents the findings of the terminal evaluation, which was conducted according to the guidance provided in Section II.4 of the TORs. The underlying and fundamental requirement for the evaluation is that it be based on factual evidence relevant to the questions asked, and sound analysis and interpretations of such evidence.
49. For this evaluation, the overall rating assigned for the Ninh Hai project is **SATISFACTORY (S)**. The paragraphs that follow present the specific criteria that were evaluated and the individual ratings that were given for each. Collectively, the ratings for these criteria provide the basis for the overall evaluation rating.

A. Strategic relevance

50. Facing the South China Sea and Gulf of Thailand, the coastal waters of Vietnam are considered of global significance as a reservoir of tropical marine biodiversity. They serve as habitats and nesting sites of globally and regionally important endangered sea turtles such as *Chelonia mydas*, *Eretmochelys imbicata*, and *Caretta caretta*, as well as several species of giant clams, including *Tridacna squamosa* and *Tridacna crocea*. These areas are also home to economically-important fish species such as mackerel (*Scomberomorus* sp.) and tuna (*Auxis* sp.). Because of this ecological importance, the Project's demonstration site in Ninh Hai District was ranked second among the demonstration sites assessed under the framework of the UNEP-GEF South China Sea (SCS) Project.
51. Despite this importance, however, the coastal waters of Ninh Hai District have not been spared from pressures exerted by a burgeoning human population, many of whom are dependent on fisheries and other aquatic resources for their livelihood. This Project, therefore, is particularly relevant in showcasing workable management strategies and income generating projects that will both address the need to properly manage a globally significant marine area, and at the same time, provide livelihood opportunities to coastal communities that are heavily dependent on coastal and marine resources.
52. The objective for Sub-programme 3, Ecosystem Management, as articulated in UNEP's Medium-term Strategy 2010-2013 is as follows:
"Countries utilise the ecosystem approach to enhance human well-being."
53. For this objective, the strategy places emphasis on stakeholder participation and application of an ecosystem-based approach. The Project was intended to help improve the management of the coastal waters of the Ninh Hai District through cross-sectorial and participatory approaches; to reduce the pressure on the coral ecosystems through sustainable livelihood projects; and to increase the knowledge and skills on the management of coral reef habitats. These aims are very much within the defined outputs of UNEP's Sub-programme 3, specifically under expected accomplishments: (a) capacity of the countries and the regions to integrate an ecosystem management approach into development and planning processes increasingly enhanced; and (b) countries and regions have the capacity to utilize ecosystem management tools.
54. In addition, the Ninh Hai Project was also perceived as very consistent with GEF's Strategic Objective IW-2 "to catalyse transboundary action addressing water concerns" and IW Strategic Programme 1 "Restoring and sustaining coastal and marine fish stocks and associated biological diversity" during the Project conceptualization period. At present, under the GEF 6, the Project remains very relevant, particularly in GEF's International Waters (IW) Strategic Objectives 1 and 3, i.e., to "catalyse sustainable management of transboundary water systems..." by supporting multi-state cooperation through foundational capacity building, targeted research, and portfolio learning", and to "enhance multi-state cooperation and catalyse investments to foster sustainable fisheries, restore and protect coastal habitats, and reduce

pollution of coasts and LMEs,” respectively. The project was to develop one of the demonstration sites of integrated management of a regionally significant coastal ecosystem within the transboundary water body of the South China Sea and Gulf of Thailand. The Project also addresses two of the IW’s seven Strategic Programmes, namely: (No.1) Foster cooperation for sustainable use of transboundary water system and economic growth; and (No. 6) Prevent the loss and degradation of coastal habitat.

55. In light of these factors, the Ninh Hai Project has been, and continues to be, of high strategic relevance. Therefore, this criterion is accorded a positive rating of **HIGHLY SATISFACTORY (HS)**.

B. Achievement of outputs

56. As mentioned in the Project final report, eleven (11) outputs were identified, that are targeted as part of the Project results framework. These outputs (by Component) were as follows:

Component 1: Improving Area Management Through Cross-Sectorial and Participatory Approaches

- Output 1.1. Institutional arrangements for cross-sectorial management
- Output 1.2. Development of Integrated Management Plan with involvement of local communities: 1.2.1. Surveys on biodiversity, fisheries production and socio-economic conditions and 1.2.2. Preparation and adoption of Integrated Management Plan
- Output 1.3. Demarcation, enforcement and surveillance at the project site with involvement of local communities
- Output 1.4. Rehabilitation of some damaged environment implemented with community participation
- Output 1.5. Monitoring of habitats and resources of coral reefs and seagrass beds established

Component 2: Pilot Projects on Sustainable Income Generation Options

- Output 2.1. Pilot projects on diverse sustainable income-generation options (IGO) developed and demonstrated
- Output 2.2. Development of Sustainable Financial Strategy for MPA

Component 3: Capacity Building and Awareness Raising

- Output 3.1. General public awareness raising materials are prepared and disseminated
- Output 3.2. Training workshops on awareness raising on sustainable use of coral reefs and seagrass beds resources targeting policy-makers, government officials and community representatives are convened
- Output 3.3. Training workshops on professional skills on coral reefs and seagrass bed management are convened
- Output 3.4. Exchange of information and experience with other relevant habitats management sites implemented

57. Review of the project documents indicates that the Ninh Hai Project generally accomplished all these outputs. During the course of the site visit conducted as part of the TE, discussions with local stakeholders reinforced this positive impression. Therefore, for this criterion, the Project is given a rating of **SATISFACTORY (S)**. The results for the eleven outputs, presented according

to the three components, are described below.

58. It should be noted that the majority of the reports and other documents listed below are in Vietnamese and due to language and time limitations it was not possible for the evaluators to review their content or assess their accuracy and quality. However, the large number of survey reports, plans, studies and guidelines prepared is in itself testament to the fact that the project was quite productive. Also given the fact that the leadership of the executing agency showed a high degree of dedication and adherence to scientific principles and best practices in conducting the project, it may be reasonably assumed that these reports and documents are of satisfactory quality.

Component 1: Improving Area Management Through Cross-Sectorial and Participatory Approaches

Output 1.1. Institutional arrangements for cross-sectorial management

59. Although delayed by about six months after signing of the Project Cooperation Agreement (PCA) on 6 July 2010, the Project Steering Committee (PSC) was established with 11 members from various government agencies. The Director of the IO served as the Chairman. The PSC met as scheduled and was able to effectively perform its mandated tasks. Among others, the major output of the PSC was the formulation of the “Management Plan Framework on the Sustainable Use of Coastal and Marine Resources in Ninh Hai and Thuan Bac Districts, Ninh Thuan Province 2020,” which has been formally adopted by the Provincial People’s Committee (PPC) through the Decision 358/QD-UBND of 23/10/2014. The management plan will be used as the blueprint in continuing the implementation of various activities established by the Project.
60. Similarly, a Project Advisory Group (AG) was established, also with 11 members coming from a range of institutions and government agencies. The AG met at least three times and was able to provide advice on the formulation of various management plans and alternative livelihoods particularly for the Project’s four sub-sites.
61. A Demonstration Site Coordinating Unit (DSCU) was also created to help ensure that activities at the sub-site level would be properly coordinated.

Output 1.2. Development of Integrated Management Plan with involvement of local communities: 1.2.1. Surveys on biodiversity, fisheries production and socio-economic conditions and 1.2.2. Preparation and adoption of Integrated Management Plan

62. The Project commissioned the implementation of various biological, physical, and socio-economic assessments and related scientific studies that were used in the formulation of several integrated management plans for the Ninh Hai District and related management plans for the sub-sites. Among others, these studies include the following: (a) biodiversity assessment conducted in 2012; (b) assessment of socio-economic & fisheries production conducted in 2012; (c) assessment of coastal water quality conducted at 10 stations in September, 2011 and February, 2014; (d) assessment of water quality discharged to the sea: rivers and streams (4 sites), underground waters (6 sites); wastewater (7 sites at market, fishing posts, and resident places); and (e) detailed survey for sub-sites (Hon Chong, Bai Thit, Vinh Hy & Bai Thung) conducted in 2012 & 2013. All the data and information generated were stored in a GIS database, which is continuously being populated and updated. This specific output was also fully accomplished.

Output 1.3. Demarcation, enforcement and surveillance at the project site with involvement of local communities

63. This output was successfully achieved by the Project. Specific accomplishments are as follows: (a) zoning and regulation for fisheries management and restoration at sub-sites developed at

Hon Chong (June 2012), Bai Thit (August 2012); (b) zoning & guideline for sustainable tourism⁹ for Vinh Hy sub-site (March 2014); (c) rezoning of and relevant regulation for marine component of Nui Chua NP finalized in Nov. 2014; (d) enforcement & surveillance conducted regularly using co-finance by Fisheries Sub-Department at the district level; (e) daily enforcement & surveillance conducted by local volunteer groups at the sub-sites; and (f) setting up of a community-based network of violence reporting (hotline), being coordinated by NCNP for Bai Thit since 2012 & by Sub-DOFP for Hon Chong in 2012.

Output 1.4. Rehabilitation of some damaged environment implemented with community participation

64. Under the Project, reforestation of 110 ha and maintenance of 223.5 ha of 2-3 year old forests was accomplished. A total of 88 fragments of 7 hard coral species were transplanted at Bai Coc & Bai Cau sites, and a total of 1,140 fragments of 8 hard coral species were transplanted in a 350-sq m marine area in Hon Chong, and in a 100-sq m marine area in Vinh Hy. Some 30 sea anemones and 150 anemone fishes were released on reefs for enrichment of reef area. For practically all these activities, local stakeholders were actively involved, particularly through Information, Education and Communication (IEC) campaigns. One minor weakness was the failure to report specifically, in project documents, how each of these various activities would contribute to the improved management of 1,070 ha of coral reefs and 40 ha of seagrass beds.

Output 1.5. Monitoring of habitats and resources of coral reefs and seagrass beds established

65. For habitat and resource monitoring, seven monitoring activities were completed from 2012 to 2013, including 2 for corals, 2 for seagrass bed ecosystems, 1 for fishery production, and 2 for socio-economic assessments. Monitoring systems were put in place to record changes in coral cover, fish biomass in the protected sites, and occurrence of target species in the benthic fishery. In addition, monitoring of socio-economic conditions, including changes in fishing effort, use of diversified gear, and benefits of new livelihood opportunities such as ecotourism, were also undertaken. Based on results of the monitoring activities, seven recommendations were submitted to the PSC and NCNP to improve management and sustainable use of coral reefs.
66. During the implementation of the Project, monitoring activities were carried out via subcontracts with Project partners. For coral reefs, monitoring was implemented at permanent monitoring sites that had been previously established in 2006 with funding from the provincial government. In addition, under the Project, coral reef monitoring was also conducted at three newly-established permanent sites, including Bai Thit, Hang Rai and Hon Chong. For coastal water quality, monitoring was undertaken at 11 new permanent monitoring sites that were established for Ninh Hai coastal waters. The monitoring sites are at sensitive locations where receiving waters are subject to potential impacts from the mainland, such as near outlets of Lo O, Nuoc Ngot stream, agricultural areas of Thai An, My Hoa, and My Tan Pier. Socioeconomic monitoring was done at 7 hamlets of Vinh Hai and Thanh Hai province. Basic socioeconomic indicators and fisheries (harvesting) data were recorded for the years 2013 and 2014.
67. As can be gathered from the description provided here, many of the monitoring activities were performed directly by the project through subcontractors. However, in a number of cases, permanent monitoring sites were set up (some even without the support of the project, and preceding it). This gives some level of confidence that monitoring of these sites could more readily be institutionalized and continued in the future.

⁹ The "Guideline for Sustainable Tourism", included in the Joint Sustainable Tourism Management Plan for Vinh Hy Subsite, 2013 – 2015, was published in Vietnamese. It was distributed to local communities and all relevant sectors that are involved in activities in Vinh Hy Bay (i.e., NCNP, Forest Protection Station, 404 Border Guard Station, Hamlet Management Boards, tourism operators). The guideline is being well utilized. NCNP has also delivered a plan for tourism management at 3 sites in the park,

Component 2: Pilot Projects on Sustainable Income Generation Options**Output 2.1. Pilot projects on diverse sustainable income-generation options (IGO) developed and demonstrated**

68. Several pilot projects on diverse sustainable income-generation options (IGO) were developed and demonstrated in the sub-sites, following a series of consultation workshops held with local communities. These IGO projects include: (a) culture of sand lizards; (b) sheep culture; (c) restocking fishery resources; (d) artificial reproduction of mud crab (*Scylla paramamosain*); (e) breeding of conch shell (*Strombus* sp.); (f) protection and exploitation of tree latex; (g) production of bee honey and fruits from forests; and (h) production of jam from red algae.
69. Several training activities were also conducted with the aim of providing alternative sources of income. These were in the areas of community-based ecotourism, souvenir manufacture, and restaurant service skills training. One major accomplishment under this output is the formulation of the “Sustainable Alternative Livelihood Development Plan for Communities in Ninh Hai Coastal Areas.”
70. Under the Project, income-generating activities were implemented according to the following considerations:
- Community IGOs were not undertaken primarily for the goal of hunger eradication and poverty reduction—these were regarded largely as responsibilities that belong to the government.
 - Rather, the primary purpose of the IGOs under the Project was to support community members who took part in protecting coral reefs directly or indirectly.
 - Selected activities were diverse and environmentally friendly, and helped to reduce pressure on the area’s marine ecosystems, while improving the livelihoods of local people.
 - Selected livelihoods were consistent with the General Plan for Ninh Hai Socio-economic Development Through 2020 (Decision No. 2205/QĐ-UBND of Oct.30, 2012, Ninh Thuan PPC) and appropriate to communities’ capacity (both in terms of skill level and funding). Emphasis was placed on livelihoods supporting tourism development.
71. Income-generating activities were put in place according to the following steps:
- Project coordinators, consultants, local managers, and NCNP staff cooperated to consult with community members and AG members on existing or new potential environmentally friendly livelihoods, communities’ demand for alternative livelihoods, and on suitable sites for implementation.
 - Consultants and project coordinators cooperated to draft proposals of livelihood projects based on the above.
 - Vinh Hai and Thanh Hai PPCs, and NCNP management board rated and made decisions for selecting the livelihood projects. The selected livelihood list was submitted to the PSC for approval.
 - IO signed subcontracts with project partners for implementation of the selected livelihood projects. Subsidies from the project varied depending on requirements for each activity, including facilities, technology transfer, and material inputs.
 - Based on agreed criteria, Thanh Hai and Vinh Hai PPCs cooperated with NCNP management board to select households that would be eligible to participate in the projects.
 - Thanh Hai and Vinh Hai PPCs issued legal documents for official approval of alternative livelihoods, including decisions to establish teams and regulations on operation.
 - IO assigned consultants to monitor operation of alternative livelihoods and rate efficiency and effectiveness.
72. The following procedures were used to select households for IGO activities:

- Thanh Hai and Vinh Hai PPCs cooperated with the NCNP management board to choose eligible households according to agreed priority criteria: Community members volunteered to change their livelihood from harvest of coral reef fishes to suggested alternative livelihoods. They also volunteered to protect coral reefs from destructive activities.
 - Some people previously practicing mariculture in coastal areas lost access to their growing area due to new zoning regulations for coral reef conservation, and these people took up alternative livelihoods.
 - Members of farmer, youth, and women's associations were also prioritized.
73. Members of the Bai Thit Volunteer Team (who received support for rearing sheep) and the My Hoa Volunteer Team (who received support for culturing sand lizard) had previously harvested coastal fishery resources. Currently, in addition to the livelihood activities that were supported by the Project, they also engaged in land-based agriculture for production of grapes, green apple, onions, and garlic. These products from Ninh Thuan are well-known throughout Vietnam. Fishermen are now farming these traditional products to meet the demand for goods from nearby Nha Trang, which is a major growing tourism centre.
- The members of these two volunteer groups have ceased fishing in the protected zones of the MPA, and they are supporting the restoration of commercial fish stocks in the MPA.
 - Members of another volunteer team from Hon Chong were also given support to learn the culturing of sand lizards. This group voiced strong concern and opposition to fishing violations occurring at Hon Chong, and they are actively guarding this site. They still conduct fishing there, but they do so using appropriate gear and in permitted use zones of the MPA
 - Another team, participating in the production of dry red seaweed jam were eight active members of the Thai An Women's Association. They volunteered and were officially assigned responsibility for advocating and replicating this model livelihood activity, and supporting protection of coastal fishery resources by Vinh Hai PPC. They have acquired new skills for practicing this livelihood.
 - A team of six youths from Vinh Hai and Thanh Hai communes was also trained for careers in restaurant and hospitality services. They are now serving in local resorts.
 - Finally, six more active members of the My Hiep Women's Association (Thanh Hai commune) were trained for careers in sand lizard processing and in the restaurant and hospitality industry.
74. Households participating in livelihood models all received project subsidies in various forms:
- the My Hoa Volunteer Team was supported with construction of a pond, provision of seed stock, and technology transfer for culturing of sand lizards
 - the Hon Chong Volunteer Team was supported with construction of a guard station, provision of seed stock, feed, and technology transfer for culturing of sand lizards)
 - the Bai Thit volunteer team was supported with a sheep barn, and livestock for sheep rearing
 - the Thai An Women's Team was supported with provision of a steam boiler, drying oven, electrical supplies, technology transfer, and various start-up materials for production of red seaweed jam. The My Hiep women's team being trained for sand lizard processing and hospitality services, and the youth team being trained for the hospitality industry, were supported with tuition fees and daily subsistence allowances provided during their training. The final evaluation of livelihood activities showed that culturing of sand lizard, and sheep rearing have high potential for replication
75. In fact, culturing of sand lizard has spread to other districts, such as Tuy Phong, Ninh Phuoc, and Cam Ranh. Six households or groups had been practicing this activity in Ninh Hai prior to commencement of the Project, and two additional groups were supported to test this activity under the Project, one for My Hoa and another for Hon Chong. The Hon Chong pilot activity was

successful; however, the one attempted in My Hoa failed due to predation problems and theft. Nets to guard against predation by birds, and a guard hut are required for successful operation of sites for sand lizard culture. If proper techniques are applied so that such problems are overcome, the prospects for replication are enhanced.

76. Ninh Thuan was the first and is the largest centre for sheep rearing in Vietnam, and the interventions of the project have strengthened this activity. - Careers in the hospitality industry, including jobs as waiters, guards, butlers, gardeners etc., are now sustaining community members' income. Several resorts and restaurants have recently opened in Vinh Hy (e.g., Vinh Hy Resort, and the five-star Amanoi Ninh Thuan)
77. It was reported by stakeholders that it is often the poorest households that rely on exploitation of resources from the coral reef ecosystem for livelihood and subsistence. They went on to say that there is an expectation that these households would likely approach the government for loans so that they could adopt alternative livelihoods that have been successfully implemented by their neighbours.
78. While many of the piloted livelihood activities were successful, a number faced critical obstacles. For production of red seaweed jam, uncertainties were encountered in availability of raw materials. Also, product quality suffered because of difficulties in improving shelf life, which was only on the order of 1.5 months. In addition, the very small number of participants involved in trials for this activity (8 community members) was not sufficient to adequately test its viability.
79. In the case of conch shell culturing, the activity suffered due to difficulties in spawning of breeders. This problem was in turn attributed to the low quality of breeding individuals that were collected during the off-season, rather than during the peak reproductive season.
80. In the evaluation of livelihood activities, it was concluded that:
- Culturing of sand lizard in Hon Chong produced a return of about 45% annually, above the costs of seed and feed. This activity is now being sustainably run without any subsidy and is being monitored by Thanh Hai PPC. – However, trials for culturing sand lizard in My Hoa showed a loss of about 78% of the seed stock. The seeds were lost due to predation and theft. This trial has now been suspended, and NCNP management board is seeking a supplier to install bird exclusion nets, and to build a small wood hut for monitoring of the lizards
 - Sheep rearing was found to yield a return of about 4% per year and it is now being sustainably run without any subsidy and being monitored by NCNP management board.
81. The pilot activity for producing dry red seaweed jam showed potential for high returns. However problems in accessing raw materials, and lack of experience in marketing the product, were major obstacles that were encountered. This activity has been temporarily halted but it is expected that piloting will resume with further support under the (IFAD-funded) Agriculture, Farmer and Rural Area Support Project.
82. Additional noteworthy factors relating to the livelihood activities were as follows:
- Most inputs for the livelihood activities that were selected are readily available in the Ninh Hai area. Seed stock and feeds for sheep and for sand lizards are abundant. However, red seaweed is only abundant during the harvesting season from January to April every year. Fortunately, dried seaweed can be used as input material for producing jam. Buying dry seaweed from January to April, in order to ensure an even supply throughout the year, is thought to be a reasonable solution.
 - Demand for sheep and sand lizards comes mainly from markets within Vietnam. While sand lizards are supplied to local restaurants, sheep are transported to more distant external markets (e.g. Ho Chi Minh City, Dong Nai, Khanh Hoa, etc.
 - There are plans for developing Ninh Hai as a key tourism centre of northern Ninh Thuan Province (Decision No. 2205/QĐ-UBND of Oct.30, 2012 by Ninh Thuan PPC). The Thai An

grape farming area and Vinh Hy Bay of NCNP were chosen as two key tourism sites to be developed as part of the Ninh Thuan tourism route (Decision No. 2617/QD-UBND of 25/12/2012 of Ninh Thuan PPC). The development of the tourism industry in Ninh Hai will lead to a greater demand for trained employees. Training of community members, including fisher households, for careers in tourism, can provide these families with alternative livelihoods and can meet the increased demand for skilled labour.

83. All in all, this specific output was fully accomplished, although the corresponding impact on improving socioeconomic conditions within local communities could not be determined at the time of the evaluation.
84. Also, it is worth noting that in the evaluation questionnaires, the majority of respondents pointed out that effective livelihood activities such as those initiated by the Project helped to raise awareness in the community, resulting in reduced use of dynamite in fishing areas, and overall, reduced the pressure on coral reef ecosystems in Ninh Hai District by engaging the local people in alternative sustainable livelihood activities.

Output 2.2. Development of Sustainable Financial Strategy for MPA

85. The Project was not entirely successful in achieving this output. However, at the time of final reporting for the project, one significant step toward sustainable financing was achieved—through the formulation and passage of a regulation for charging an ecotourism fee in NCNP, as contained in the PPC Decision No. 63/2012/QD- UBND. 25 Oct., 2012. Potentially, this regulation may establish a fee system that could provide a steady, if not substantial, flow of funds to support the operation of the MPA. Implementation of several other activities, including establishment of trust funds, payment for ecosystem services (PES) schemes, etc. could offer further support for sustainable financing of the MPA.

Component 3: Capacity Building and Awareness Raising

Output 3.1. General public awareness raising materials are prepared and disseminated

86. The Project had substantial achievements in preparing and distributing awareness raising materials to the general public. Among others, materials produced were: three (3) billboards (5-7m²) and 13 banderols (0.4x3m²) installed in strategic public places; several hundred calendars (CY 2012, 2013, 2014) distributed to stakeholders; and 200 conservation leaflets, also distributed to relevant organizations and offices.
87. Aside from this, the Project also produced one TV program on sustainable use of marine resources, which was regularly shown on a local TV station, and produced a video clip on conservation of Nui Chua National Park.
88. Two training courses on environment and coral reef resources were held for youth of Thanh Hai commune and secondary school pupils of Vinh Hai commune. A “Conversation on Environment and Coral Reef Resources” was also held for youth of Ninh Hai District Youth Union and IO. Improvement of knowledge of legal matters relating to MPAs and use of coastal and marine resources was achieved through 11 training courses offered to 565 participants.

Output 3.2. Training workshops on awareness raising on sustainable use of coral reefs and seagrass beds resources targeting policy-makers, government officials and community representatives are convened

89. Several training activities and workshops were conducted¹⁰ on sustainable use of coral reefs and seagrass bed resources, intended for policy-makers, government officials and community

¹⁰ For the various training activities that were conducted as part of the Project, due to limitations of the evaluation (presented in Section II.C., above), it was not possible to assess the quality of the training workshops and materials, quality of workshop facilitation, and the number of participants who attended the various trainings.

members. Among the significant ones were: (a) the Training-Workshop on “Sustainable Utilization of Natural Resources of Ninh Thuan Coastal Zone for Stable Development” held specifically for Ninh Thuan governmental officers and governmental policy makers; (b) Two training courses on environment and coral reef resources held for youth of Thanh Hai commune and secondary-school pupils of Vinh Hai commune; and (c) training workshops on (i) regulation of protection of the four sub-sites including the core zone of NCNP, and (ii) new sanctions imposed for fisheries violations. Thirty boat operators/captains participated in the latter training.

Output 3.3. Training workshops on professional skills on coral reefs and seagrass bed management are convened

90. Training to professionalize the skills on management of coral reefs and seagrass beds was held. Some fifteen staff of NCNP, DOST, IO, and a sub-office of the Fishery Protection bureau took an open-water SCUBA¹¹ diver training course, which they completed successfully. Dive certifications were issued by PADI.¹² The training provided knowledge on scuba diving, coral reef monitoring, and rehabilitation. Training seminars on marine conservation were also attended by various staff of the provincial government.

Output 3.4. Exchange of information and experience with other relevant habitats management sites implemented

91. The Project demonstrated significant achievements in terms of information exchange and sharing of experiences on habitat protection and conservation and coastal management. Progress and updates on Project activities were uploaded to the project website at <http://www.vnio.org.vn/duanninhhai/>. The website is also connected to the International Waters website, <http://iwlearn.net> for wider reach. The Project website is bilingual (English and Vietnamese) to provide wider coverage, especially among local people.
92. In addition to promoting information exchange through its presence on the internet, the Project sponsored a National Conference on “Vietnam MPA Network – Opportunities and Challenges” in 2012, with a total of 40 participants in attendance coming from various government offices and NGOs. Presentations of the Project’s accomplishments and milestones were made in local and international fora (5th Vietnam Marine Trademark Forum, international IWC7 in Barbados in Oct. 2013, respectively).
93. Finally, a study tour to Mu Ko Chang National Park (MKCNP) in Thailand was funded through the Project. Ten (10) Ninh Thuan provincial managers participated in the tour. It has been reported by IO that the study tour was extremely valuable to the participants, who came away with increased awareness and knowledge about best practices for MPA management. Of particular importance was participants’ recognition for the need to implement legally-adopted management tools. This motivated them to immediately begin work to develop an integrated management plan and to draft a formal regulation for the management of the NCNP MPA. Key participants included the Deputy director of the Department of Agriculture and Rural Development (DARD), Director of the Department of Culture, Sports and Tourism (DOCST), Director of Department of Science and Technology (DOST), and Director of NCNP management board. These personnel were able to share information and knowledge that they gained during the course of the study tour, with other personnel involved in the management of the NCNP MPA.
94. A comprehensive listing of training and awareness-raising activities conducted as part of the Ninh Hai project is presented in Annex 10. Collectively, these activities amply demonstrate that this output has been accomplished.

¹¹ Self-Contained Underwater Breathing Apparatus

¹² Professional Association of Diving Instructors

C. Effectiveness: attainment of Project objectives and results

95. In light of the fact that the project was successful in attaining its objectives and desired results, the Project effectiveness was found to be **SATISFACTORY (S)**. The evaluation of effectiveness is described here.

1. Achievement of direct outcomes

96. The Project was able to achieve one medium-term outcome and four direct outcomes as an immediate result of project outputs. The medium-term outcome is the **establishment of an MPA in the Ninh Hai District**, particularly those areas within the Nui Chua National Park. The four direct outcomes are: (1) Established and demonstrated integrated area management system for MPA through cross-sectorial participation; (2) Increased income of local community; (3) Increased sources of financing for MPA; and (4) Improved and strengthened management capacity of MPA authorities with strong support from local communities. The achievement of direct outcomes is rated as **SATISFACTORY (S)**.

97. Previous discussion on “Achievement of Outputs” (Section IV.B.) showed that the Project has put in place a management framework (and structure) that is now fully operationalized through the PPC and incorporated in the activities and plan of work of concerned government agencies (Outcome No. 1 for Integrated Area Management). During interviews with government officials who were involved in Project implementation, and in responses provided on questionnaires, it was indicated that they believed that the necessary institutional framework and integrated management system, including accompanying regulations and plans, have been set up (see Figures 1 to 4 of Annex 6).

98. Because of effective law enforcement and strong participation of local communities, coral mining in the project sites has been stopped and cases of dynamite fishing have been reduced. Reported dynamite fishing occurred only in offshore areas, being committed by large-scale commercial operators. This was confirmed by the responses given by officials interviewed on this subject (Figure 10 of Annex 6). Similarly, with assistance provided by the local people in rehabilitation and protection measures, the condition of coral and seagrass ecosystems has improved, as perceived by the respondents (Figures 5 to 7 of Annex 6).

99. Alternative IGOs that were demonstrated within the local communities, through the implementation of at least eight livelihood projects and livelihood training programs, helped to increase income of participating households, and to raise awareness within the broader community about the importance of conserving marine resources. These accomplishments helped to reduce pressures on the coral reef ecosystem. (Outcome No. 2 for Sustainable Livelihood). Achievement in establishing a sustainable financing mechanism for the MPA was somewhat less—in this instance, only a regulation requiring an entrance fee has been established (see related discussions in Figures 8 to 12 of Annex 6). Nonetheless, this is still a positive development.

100. With regard to raising awareness and capacity-building (Outcome No.3), the Project made a substantial effort and had significant accomplishments in this area. Informational materials were produced and disseminated to target audience/users, and relevant training activities, seminars, and workshops were conducted to capacitate government officials, policy makers, and local communities on marine resource conservation, protection and management. A website was created to reach a wider audience and share information about Project accomplishments. Participation in local and international fora enabled knowledge gained through project activities to be further shared and disseminated. While weaknesses in the M&E system made it difficult to assess the effectiveness of these initiatives directly (see also Section IV.F.7., below), government officials who participated in these activities, and who were interviewed for the evaluation, have attested to these accomplishments (Figures 13 to 22 of Annex 6). In addition,

reductions in illegal and destructive fishing practices are tangible improvements that may attest to improved MPA management, or strong support from local communities, or both.

2. Likelihood of impact

101. The Project was successful in applying cross-sectorial and participatory approaches in managing marine resources, specifically, the coral reefs and seagrass bed areas of Ninh Hai District. The planned MPA was officially established through a declaration of the central government.¹³ A new NCNP Office Building at Thai An Helmet was completed in 2012 (through Vietnam self-funding). Also, two new sub-bodies of the NCNP Management Board were established at the Department of Marine Conservation and at the Centre of Eco-tourism & Environmental Education. Management Councils for Hon Chong and Bai Thit sub-sites were likewise set up. Several research assessments were undertaken and results were used in crafting relevant management plans, at the sub-site and district level. Because of the above efforts, rehabilitation activities in the marine ecosystem have been strengthened.
102. For long-term monitoring, benchmarks for the biophysical condition of coral reefs in the Project area were established. The benchmarks were also used in development of the monitoring protocol for the Project. The map of coral reef distribution in coastal waters of Ninh Hai was revised and updated. Coral reef protection volunteer teams were created and strengthened. Necessary equipment and facilities were provided. With the above-mentioned human and material resources in place, biophysical and socioeconomic profiling was conducted for sustainable management planning in the sub-sites of Hon Chong, Bai Thit, Bai Thung, Vinh Hy, and Hang Rai. Reports were prepared on the assessment of current status of socio-economic conditions, livelihoods, and ecosystems.
103. Another significant activity was the rehabilitations of damaged coral reefs. A total of 1,140 fragments of 8 hard coral species were transplanted in an area of 350m². Monitoring of survival of transplanted corals and substratum cover was initiated and is continuing. According to some of the local authorities and people interviewed, they observed that the condition of the environment has improved. Others noted that biodiversity was increasing. In addition, some mentioned that the coral cover has increased, resources were rehabilitated, waste and over-exploit decreased, and some marine animals were recovering. Another respondent noted that the quality of habitat and the density of some coral reef resources improved especially at demonstration sites (Figure 7 of Annex 6).
104. Table 3 below shows the ROTI score sheet for the Project. The attainment of the project outcomes is given a rating of **B** because they were practically delivered, except for the limited accomplishment on Sustainable Financing activity in Output 2. The Project was only able to identify a potential Sustainable Financing scheme and passed regulation to support this. Efforts must be exerted to ensure that such scheme be tested and implemented on the ground. Otherwise, MPA operation will suffer from lack of financing, which made other MPAs struggle.
105. The necessary elements and conditions (Assumptions, Impact Drivers, and Intermediate States) are present to lead to the conclusion that a “ a reduction in environmental stress in the transboundary water of South China Sea and Gulf of Thailand”, and an “increased area of coral reefs and seagrass beds and diverse and abundant associated species” are indeed attainable. The different conditions that can move the outcomes to the intermediate states have been identified. Similarly for the rating on progress towards meeting the Intermediate States, the same score of **B** was given that the different conditions designed to move the outcomes to the intermediate states have been identified. However, there is a need to exert further efforts in ensuring that these conditions (assumption and impact drivers) are put in place. Right now, there is no strong assurance that these conditions will be met. The rating of **BB** corresponds to

¹³ The MPA was formally established through Decision of Prime Minister No. 134/2003/QĐ-TTg dated: 09/7/2003), and Decision of Prime Minister No. 742/QĐ-TTg (dated 26/5/2010).

LIKELY IMPACT according to the ROTI analysis. Thus, the likelihood of the Project attaining its intended impact is rated **LIKELY (L)**.

Table 3. ROtI Results Score sheet for the Ninh Hai Project

Result rating for the project entitled:		Demonstration of Sustainable Management of Coral Reef Resources in the Coastal Waters of Ninh Hai District, Ninh Thuan Province, Viet Nam					
Outputs	Outcomes	Rating (D – A)	Intermediate states	Rating (D – A)	Goal/Impact (GEB)	Rating (+)	Overall
	Medium-term Outcome: Established MPA in Ninh Hai District	B		B	<p><u>Goal:</u> Reduced environmental stress on trans-boundary water body of the South China Sea and Gulf of Thailand, through the further elaboration of the draft Strategic Action Programme (SAP) and the implementation of a network of demonstration activities at sites of regional and global significance</p> <p><u>Impact:</u> increased area of coral reefs and seagrass beds and diverse and abundant associated species.</p>		Likely
	Direct Outcomes:						
1. Integrated Area Management	1. Established and demonstrated integrated area management system for MPA through cross-sectorial participation		1. Institutionalized and mainstreamed MPA management scheme into the national and local governance systems				
2. Alternative Livelihoods and Sustainable Financing	2. Increased income of local community and 3. Increased sources of financing for MPA		2. Stable and sustainable sources of income for local community 3. Stable and sustainable financing for MPA operation				
3. Knowledge and Management Capability	4. Improved and strengthened management capacity of MPA authorities with strong support from local communities		4. More committed and responsible MPA authorities backed up by strong and active participation of local communities				
	<p>Rating justification:</p> <p>The Project's intended outcomes were delivered, particularly the establishment of the MPA, and they were fed into the continuing process. While sustainable financing and alternative livelihood objectives were only partially achieved, they were at least successfully initiated, and there is potential that they could be continued and expanded in the future.</p>		<p>Rating justification:</p> <p>The different conditions designed to move the outcomes to the intermediate states have been identified, however, there is a need to exert more efforts in ensuring that these conditions (assumption and impact drivers) are put in place. Right now, there is no strong assurance that these conditions will be met.</p>		<p>Rating justification:</p> <p>The BB rating corresponds to a LIKELY rating. The Project is not expected to achieve the desired goal and impact immediately. However, given proper time and the attainment of the conditions set, there is a relatively high level of confidence that this goal and impact will be achieved.</p>		

3. Achievement of Project goal and planned objectives

106. The ROtI analysis showed that the conditions and elements necessary to achieve the three Intermediate States (IS) that will pave the way for the realization of the Project's goal and objectives are not that difficult to reach. For the IS 1 "Institutionalized and mainstreamed MPA management scheme into the national and local governance systems", the Impact Drivers (ID) on zoning, law enforcement, monitoring, mainstreaming of science-based studies, and sustained and harnessed IGO livelihood projects and supported financing schemes for MPA operations have already been introduced. The assumption (A) of continuing involvement and collaboration among government authorities, local communities, and other stakeholders in coral reef and seagrass rehabilitation and management is based on the fact that a foundation for such interactions has already been established through the active information, education, and communications (IEC) campaigns conducted through the Project, and by the example of the local communities who have been involved with the Project. It is also assumed that given continued efforts of present authorities involved in the Ninh Hai project, adequate resources would be made available for capacity building and awareness-raising activities and more IGO-related projects would be implemented by other partner organizations and agencies.
107. While there were some reservations expressed by some government personnel regarding sustainability of income of the communities involved in the Project (Figure 9, Annex 6), attainment of the IS 2 "Stable and sustainable sources of income for local community and financing for MPA operation" is still possible. The Impact Drivers (ID) of sustaining, harnessing, and designing IGO projects and supporting identified sustainable financing schemes were at least partially established. Likewise, the zonation analyses conducted could provide specific locations where IGO projects can be implemented. Further, results of science-based studies on livelihood opportunities are available and can be utilized to guide the development of new sustainable livelihood opportunities.¹⁴ Similarly, the assumption (A) that more IGO-related projects will be implemented by other partners, is made more likely by the significant number of linkages that have already been established by the Project (e.g., through its PSC and AG, and with other partners). As examples, linkages have been established with local tour operators in developing the community-based tour in Stone Park Hang Rai Thai An; with local colleges training students for careers in the tourism industry; and also with WWF in developing other ecotourism activities in the Nui Chua National Park and other areas of the Ninh Hai district.
108. Finally, efforts to capacitate local officials have been initiated, and if such efforts can be maintained (as part of regular staff development and training activities within the respective government agencies), it should be possible to achieve the IS for more committed and responsible MPA authorities backed up by strong and active participation of local communities. The Impact Drivers supporting this (i.e., continuing training programs, production and distribution of IEC materials, etc.) have already been started. With increasing awareness of many partner agencies concerning the economic and ecological importance of coral reef and seagrass ecosystems in Ninh Hai district, it would be expected that more resources would be committed to support improved management of these areas and other authorities, stakeholders, and local communities would collaborate more actively in coral reef and seagrass rehabilitation and management. In fact, material evidence for exactly this type of support is found in the recent commitment of the PPC to provide funding for

¹⁴ Numerous references on sustainable alternative livelihood are available in the scientific literature, these include (among others): Ireland, Claire. 2004. *Alternative Sustainable Livelihoods for Coastal Communities – a review of experience and guide to best practice.* (IUCN); and Pomeroy, Robert S. 2013. *Sustainable Livelihoods and an Ecosystem Approach to Fisheries Management.* CTI-CFF (USAID).

marine resources management in NCNP.¹⁵

109. As already discussed, the reconstructed ToC and ROTl analysis (Section F above) were employed because it is anticipated that the impact of the project will take time to be realized, and in fact this could not occur within the life of the project. However, the ROTl analysis predicts with some level confidence that the desired goal and planned objective of the Project can be achieved. As of its completion date, the Project generally realized its outcomes through the nearly complete delivery of its various outputs and activities.¹⁶ If these efforts can be maintained, the Project can make a meaningful contribution to the stated goal of “reduced environmental stress on the transboundary water body of the South China Sea and Gulf of Thailand.” In light of this consideration, the criterion for achievement of the project goal and objectives is rated **SATISFACTORY (S)**.

D. Sustainability and replication

110. Overall rating for this criterion is **LIKELY (L)**, given the specific analysis of sub-criteria discussed below.

1. Financial sustainability

111. The Project supported development of a number of viable¹⁷ livelihood projects that could meet some of the economic needs of the local community. Such alternatives to extractive activities such as fishing and coral mining can help to reduce pressures exerted on marine resources. The Project successfully initiated these IGOs through planning and discussion with local business entrepreneurs—what remains is for further support and encouragement to be provided, so that these activities can be maintained and expanded.
112. Under new regulations, a system was established whereby a share of the revenues generated through park entrance fees would be allocated for marine conservation. Such fees certainly contribute to financial sustainability in the management of the MPA. Additional revenues could be generated through other tourism-related and marine-based enterprises; such initiatives were started under the project, but were not sufficiently developed that they resulted in generation of revenues. Eventually, these activities could serve to strengthen financial sustainability further.
113. While the Project did not fully meet its sustainable financing objectives through development of livelihood activities, it was very successful in leveraging a substantial amount of government co-financing, which demonstrated the seriousness of the Vietnamese government in its commitment to improving marine and coastal conservation and resources management. As originally agreed, the government was expected to put up co-financing of US\$ 528,286. However, more than double this amount—US\$1,113,387, or 110.75 percent of the original target—was ultimately provided as counterpart funding. Also, the provincial government has shown signs (e.g., through recent funding commitment of the PPC) that it intends to continue to offer its support for marine and coastal resource conservation and management efforts.
114. Taken collectively, the efforts of the government, and the contribution by local people and communities, demonstrate that it is **MODERATELY LIKELY (ML)** that the Project may prove to be sustainable as far as financing is concerned.

¹⁵ The PPC has drafted a document declaring that the province will provide funding for 2014-2015 of VND 600 million (around US\$ 27,000) for management of the marine component of the national park, to be used for conservation of seagrass and coral reef areas; sea turtle conservation; patrolling; awareness raising; and biodiversity monitoring.

¹⁶ Except on the aspect of Sustainable Financing for MPA.

¹⁷ Establishing viability can be difficult. However, in interviews with beneficiaries, it was indicated that the pilot livelihood activities (e.g., raising sand lizards) contributed significantly to household income and that they intended to continue with them and expand operations. Thus it is hoped and expected that the activities will be self-sustaining, and that other households may adopt them.

2. Socio-political sustainability

115. As many government offices were involved in the implementation of the Project, not to mention the active participation of local communities in the sub-sites, the socio-political element needed to make the Project workable and sustainable is present.¹⁸
116. Some of the key Government institutions that were (or still are) directly involved in the implementation of the Project are the following: Institute of Oceanography (IO); Ninh Thuan Province – Department of Agriculture and Rural Development (DARD), Department of Science and Technology (DOST), Sub-Department of Fisheries Protection (Sub-DOFP), Department of Culture, Sports and Tourism (DOCST), Department of Natural Resources and Environment (DoNRE), and Aquatic Resources Protection and Development of the Department of Capture Fisheries and Resources Protection; Ninh Hai District's People's Committee; Command Board of Ninh Thuan Border Guard; Nui Chua National Park (NCNP); Center for Eco-tourism and Environmental Education – NCNP; Khanh Hoa Association of Marine Science and Technique (KAMST), Center for Education and Communication of Environment (CEACE) – Ministry of Natural Resource and Environment (MoNRE); and Ninh Thuan Directorate of Border Army.
117. Other non-governmental partners include: Khanh Hoa Environmental Protection Association; World Wildlife Fund (WWF); Nha Trang Bay MPA Management Board; and People's Committee of Vinh Hai Commune, Ninh Hai District.
118. At the local level, there were two People Committees of two communes (Thanh Hai and Vinh Hai) that engaged local participation in various Project activities, particularly in establishing and operating volunteer community groups. Other local sectors (border army station, commune policemen, etc.) were likewise involved in implementing integrated plans for site management.
119. There were some eight livelihood income-generating opportunities (IGO) implemented, and in all these IGOs, the local people/communities played major roles. They spoke highly of these livelihood opportunities and anticipated that they will bring them a better future. It is also important to mention that some of the local volunteers played a key role in law enforcement, particularly in curbing coral mining and reducing the incidence of dynamite fishing.
120. The results of the Project are directed toward proper management of marine and coastal resources in the Ninh Hai district, particularly in the established MPA. In addition, the Project promotes the active involvement of local communities in rehabilitation and conservation efforts, and discourages destructive practices and over-exploitation of marine resources for their livelihood. Especially within the boundaries of the MPA, the officials and staff of the Nui Chua National Park are expected to be the actors who are most involved in pursuing the initiatives and activities initiated by the Project. It is also expected that other agencies and local NGOs will also participate in these efforts. Given these conditions, it is considered **LIKELY (L)** that the socio-political aspects of the Project's efforts and activities can be sustained and replicated.

3. Institutional framework

121. One of the major outputs of the Project is the "Management Plan Framework on the Sustainable Use of Coastal and Marine Resources in Ninh Hai and Thuan Bac Districts, Ninh Thuan Province (2020)," which was approved by the PPC through the Decision 358/QD-UBND of 23/10/2014. The management framework has outlined various activities and institutional mechanisms to make these

¹⁸ Socio-political engagement was made apparent before, during, and after the project implementation period, through the actions and initiatives taken by the IO and other actors, which have been reported in various sections of this document. The leadership of the IO are in a good position to function as "champions" who are motivated to lead efforts for coral reef conservation now and in the future. They are furthermore, mentors who are preparing the next generation of conservation leaders in Vietnam. These indications bode well for the sustainability of engagement of key stakeholders for the long-term.

activities work in order to meet the desired goal of reducing the stress on the transboundary waters of the South China Sea and Gulf of Thailand, thus contributing to reversing the trend of degradation in this regionally-important water body.

122. It is also important to note that the implementers of the Project, particularly those who constitute the PSC and AG, are active government officials who are still connected with their respective offices. Most of them are holding office at the provincial and district level. The activities listed in the management framework are being mainstreamed (if not already mainstreamed) in the plans and programs of these offices.
123. As zoning and demarcation markers have been installed in strategic areas of the district, law enforcement in coastal areas, which involved the active participation of the local communities has been strengthened. Local enforcement teams have been organized and are now active in minimizing, if not totally preventing, dynamite fishing in the area although destructive fishing is still reported in offshore areas. But what is important here is the active participation of the local people in patrol and law enforcement work.
124. For these reasons, it is judged that sustainability as far as the institutional requirements are concerned is **LIKELY (L)**.

4. Environmental sustainability

125. Rehabilitation of marine areas, particularly restoration of coral and seagrass ecosystems, takes time. However, there are already substantial efforts that the Project has put in place for environmental sustainability to work. Institutionally, the MPA has been legally established; some infrastructure and facilities requirements have been put up; and capability building of technical staff has been undertaken.
126. In terms of actions taken that would more directly have environmental impact, thousands of coral fragments were transplanted for reef restoration, and selected coral reef fish and invertebrate species (anemone fish and sea anemones) were restocked for enrichment purposes. Law enforcement in coastal areas has been strengthened, resulting in the complete cessation of coral mining, and a significant reduction in dynamite fishing. Various individuals and groups within the local community (e.g., former fishermen, tourism and hospitality students, conservation volunteers, and others) are now focused on pursuing alternative livelihood projects, particularly culturing of sand lizard and community-based ecotourism, which helps to draw them away from capture fisheries and reduce fishing pressure. Likewise, awareness-raising and information dissemination campaigns have also been strengthened, and IEC materials on marine conservation and protection have been widely distributed to various stakeholders.
127. With the commitment shown by the government in pursuing all these concerted efforts, and the active participation of local communities, environmental sustainability is **LIKELY (L)**.

5. Catalytic role and replication

128. The Project played an important role in catalysing stronger coral reef conservation and marine protected area management at the project site. Possibly, such changes could eventually become more widespread at a national or regional scale as well. Evidence for the catalytic effect of the project includes the following:
- new management regulations for the MPA and sub-sites were promulgated, including zoning plans for three sub-sites and rezoning plan of the MPA (accomplished January 2015 after the closure of the project), and installation of boundary-marking buoys
-

- extensive surveys were conducted for biodiversity, socio-economic factors, fisheries production, and quality. The results of these surveys have been incorporated into a scientific database, which is used as a basis for informed decision-making for management of the area
 - sustainable livelihoods pilot projects on diverse sustainable income-generation options were developed and implemented
 - a program of environment communication and education for increasing knowledge and skills on the management of coral reef habitats was implemented
 - robust cross-sectorial institutions for management of the NCNP MPA, including the PSC, AG, management boards of sub-sites, and NCNP MPA management board were established
 - local “champions” emerged, who continue to support and carry on work in conservation, sustainable livelihoods, and awareness-raising. They are:
 - (a) Mr. Nguyen Duc Thanh–Chairman of Ninh Thuan PPC. he promoted development of project proposal and commitment of co-finance from local governmental sources.
 - (b) Mrs. Bui ThiAnh Van – Deputy director of Ninh Thuan DARD, Vice-chairman of PSC. Has shown strong commitment in coordinating the PSC and consulting on coastal fisheries development in Ninh Thuan
 - (c) Mr. Le Kim Hung – Director of Ninh Thuan DOST, member of PSC, has provided support to coordinate PSC activities, and been involved in development of MPA management plan
 - (d) Mr. Dang Kim Cuong – Director of NCNP. collaborated with communities and all stakeholders to promote Project activities, helped to develop MPA management regulation, monitored all conservation activities carried on in NCNP MPA
129. The necessary foundation for the replication and scaling up of the Project has been laid out. There is now a relatively high level of awareness about the Project, and stakeholders generally have had a positive impression and attitude towards its activities, especially those relating to income generation and environmental conservation. In general, government officials interviewed in the course of this evaluation have provided positive feedback about the performance of the Project. A dedicated website has been established, and support by government, NGOs and local communities has continued after the closure of the project (as evidenced by financial contributions for conservation from the PPC, continuing volunteer activities for turtle conservation, and similar initiatives). The (national) Vietnam Department of Fisheries Protection sent their staff to NCNP to learn from the results and lessons of the Project, and to compile guidebooks and handbooks. All these factors can contribute to ensuring that the Project may catalyze other similar interventions in the future.
130. Perhaps most significantly, GEF has recently approved¹⁹ a proposal for \$15 million in financing for a follow-on project to the earlier SCS regional project. This proposal is for a new regional Strategic Action Program (SAP) for the South China Sea. The intention of the project is to facilitate the regional implementation of the “plan of action” for the SCS. With a regional framework for implementation to be established under this program, there will be a greater probability that the recommendations and examples piloted in the Ninh Hai project can now have a much wider impact on a regional scale.
131. In addition, based in its Bangkok office, UNEP has a unit that oversees a regional coral reef management program. The UNEP task manager for the Ninh Hai project is the supervisor of this

¹⁹ The Project Identification Form (PIF) for this project has been submitted and approved for entry into the GEF funding pipeline.

unit. The fact that the UNEP task manager has had direct involvement and familiarity with the Ninh Hai project provides additional advantages and opportunities to replicate the lessons and models of the Ninh Hai project, within other projects and at other sites that are included within the coral reef management program.

132. Taken collectively, these factors strongly support the prospects for further replication and scaling-up, both nationally and regionally. This criterion is therefore rated **LIKELY (L)**.

E. Efficiency

133. There are several factors that were analysed as part of this evaluation, which suggest that in some respects the planning and implementation of the Project was not efficient. The Project commenced in December 2010, fully five years later than intended, due to the late signing and approval of the legal instrument.²⁰ This long delay resulted in the loss of essential technical supports from the mother project (UNEP/GEF-SCS project) that ended in January 2009: The creation of the Project Steering Committee and the Project Advisory Committee were likewise delayed.²¹ This led to a failure to implement various activities on time, which in turn caused the utilization of funds to be slow (discussed further in Section IV.F.1., below). In order to accommodate the slow pace of activities and spending, the Project was also extended twice (first in April 2011 adding five months, and again in April 2013 adding another 13 months). In March 2014, near the end of the project, a large cash advance (\$89,112) was requested. Tapping a relatively large sum toward the conclusion of the project appears to reflect poor planning and project inefficiency.
134. Utilization of funds was slow. The failure to implement various activities on time, in turn caused the utilization of funds to be slow. This regularly resulted in fairly large balances within the allocated budget being underutilized.
135. The assessment of Project efficiency was hampered by limitations in the financial accounting information available, especially, the absence of annual Audited Financial Reports, which are important in coming up with a more rational and informed evaluation.
136. Because of this level of performance, Project efficiency is rated **MODERATELY UNSATISFACTORY (MU)**.

F. Factors affecting performance

137. A range of diverse factors are grouped under the heading of “affecting performance,” and the ratings for these criteria varied as well. The ratings for each of these criteria are explained below.

1. Preparation and readiness

138. The inherent strengths of good project design are a key determinant for successful project preparation and readiness.

a) Project Framework:

139. Overall, the Project design, as articulated in the UNEP/GEF Project Document (ProDoc), is thoroughly researched, logical, detailed, and well organized. The Project Results Framework provides a comprehensive roadmap intended to guide the effective implementation of the project. Specific strengths of the framework include (i) application of integrated, cross-sectorial and participatory approaches in project management; (ii) incorporation of activities (livelihood and community-based monitoring) that promote strong participation of local communities; (iii) inclusion of

²⁰ Personnel from UNEP and IO reported that the delay was caused by changes in GEF Secretariat management, and changes in rules for MSP approval that occurred during this period.

²¹ Due to the limitations of the evaluation (presented in Section II.C., above), it was not possible to determine the specific causes of the reported delays.

sustainable financing as one of the project activities; and (iv) giving attention to capacity building and awareness raising. Also, for each of the three Project components, the Framework includes SMART²² indicators for all of the defined targets and outcomes. These indicators, along with the key deliverables and benchmarks, are defined as the main tools for assessing project implementation progress and whether project results are being achieved.

140. However, some of the identified weaknesses in project design also affected readiness for the Project to have been implemented more effectively. Among the factors to consider in this regard are the following:

b) No TOC and ROTl analysis.

141. One weakness of the project design is its failure to have TOC and ROTl analyses that could have provided a clear description of causal pathways, i.e., description of how project outputs [goods and services] led to outcomes [changes in stakeholder behaviour] that later resulted in the attainment of impacts. Having no TOC, the project design also lacks discussions on impact drivers, assumptions, and necessary conditions/elements that could lead to the realization of the project's desired goal or impact.

c) Inadequate timeframe.

142. One major weakness in Project design was the timeframe of only 35 months that was allotted to the Project, which was considered inadequate by respondents during the evaluation. The Project had a large and challenging goal and objective to meet, so it was not surprising that the Project's timeline was extended twice: first in April 2011, when the Project was extended for 5 months, (from the original termination date of December 2012, to May 2013), and a second time in April 2013, when the Project timeline was extended another 13 months, until June 2014.

d) Limited baseline data and information.

143. The Project had limited baseline data and information reflected in its Results Framework, with baselines which were in many cases vague or imprecise, thus making it difficult to measure changes over time attributable to the Project.
144. In addition to the design-related factors mentioned above, another aspect to consider with respect to preparation and readiness is the fact that the Project start-up was delayed. According to the original GEF application, the Project should have begun around 2005, but did not start until 2010.²³ By then the regional umbrella Project—the SCS—was already completed.²⁴ Nonetheless, to the credit of the principal stakeholders, some Project activities were initiated even before the formal start of Project. For example, regional SCS workshops and training seminars involving Ninh Hai representatives were conducted before the Project formally began. Also the MPA was set up in Ninh Hai before the start of the Project. However, continuing technical guidance and support was required for the MPA, and these activities were continued after the Project was launched.
145. For the reasons mentioned here, preparation and readiness is rated **MODERATELY SATISFACTORY (MS)**.

2. Project implementation and management

146. The Project had elements that were both technical and socioeconomic in nature. In addition, it included an element that involved extension and outreach work within the community. The multi-

²² SMART indicators are **S**pecific, **M**easureable, **A**chievable, **R**elevant and **T**ime-bound.

²³ Personal communications from IO staff

²⁴ During interviews, key personnel indicated that the delay in start-up may have been due largely to external factors beyond the control of UNEP. Specifically, changes in GEF Secretariat management, and changes in rules for MSP approval that occurred during this period most probably contributed to this problem.

sectorial composition of the PSC and AG, therefore, helped to facilitate the implementation and management of the Project.

147. The Project was technical in many of its aspects that required comprehensive science-based investigations in formulating integrated management plans and in implementing interventions such as coral transplanting and rehabilitation, fish production, tracking of biological change, etc. PSC and AG members from the IO, DOST, Sub-DOFP, DoNRE, NCNP, KAMST, and WWF were effective in providing technical direction in pursuing these tasks. This is substantiated by the support, dedication and commitment demonstrated by these agencies and institutions through their continuing participation in the PSC and AG, as well as the large number of technical reports produced under the project to disseminate findings of surveys and other activities in the field.
148. The Project was also social in nature because it implemented many socioeconomic interventions, including livelihood projects, law enforcement, capability building, and awareness raising activities. The involvement of partners from the Center for Eco-tourism and Environmental Education – NCNP; Center for Education and Communication of Environment (CEACE) – Ministry of Natural Resources and Environment (MoNRE); and Ninh Thuan Directorate of Border Army; Khanh Hoa Environmental Protection Association; World Wildlife Fund (WWF); Nha Trang Bay MPA Management Board; and People’s Committee of Vinh Hai Commune, Ninh Hai District was instrumental in making such socioeconomic interventions successful.
149. By applying a participatory approach in implementation, and by offering livelihood-based incentives, which promoted greater receptivity of local residents to accept the project and its conservation initiatives, it was possible to gain the trust and confidence of local stakeholders, which facilitated work within the community.
150. A final and key factor to be considered in evaluating the implementation and management of the project was the selection of the Project Executing Agency itself. Apart from some weaknesses in financial management (Section IV.D.1., above) and efficiency (Section IV.E., above) that have already been discussed, the leadership of the IO performed well in carrying out and supervising the diverse functions that included marine biophysical surveys, training activities, livelihood program development, liaison with multiple agencies, and much more. The following illustrate this aspect of project implementation and management:
- VAST and the Ninh Thuan PPC supported the implementation of the project and endorsed the assignment of management responsibility to IO. These agencies also provided co-financing that exceeded the estimates.
 - The Ninh Thuan PPC agreed on establishment of the PSC, and played an active role in coordinating PSC activities and in monitoring the project’s progress.
 - Local communities became strong project supporters. Realization of the importance of protection of coral reef resources was achieved as a result of the Project’s awareness-raising activities. The project’s livelihood interventions helped to reinforce the commitment of local communities to support the project, and capacity for the effective management of coral reef resources was strengthened. These positive accomplishments helped to build a sense of trust and cooperation between the IO and other relevant sectors for implementation of project activities.
151. Another key factor that contributed to improved project effectiveness was having a strong Project Director. The Director of the Ninh Hai project networked very effectively with provincial leaders and PSC members, gaining their support and strengthening collaboration. The Project Director was also effective in strengthening ties between the project agencies and entities such as VAST, UNEP, IUCN and WWF, among others.
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152. The overall rating applied for project implementation and management is **SATISFACTORY(S)**.

3. Stakeholder participation and public awareness

153. There were some eight livelihood IGOs implemented, and in all of these, local communities played major roles. The beneficiaries spoke highly of these livelihood opportunities and anticipated that they will bring them better future. It is also important to mention that some of the local volunteers figured well in law enforcement, particularly in curbing coral mining and reducing the incidence of dynamite fishing.

154. The awareness-raising and training activities that were implemented under the Project have already been described in Section IV.B., and other parts of this report. While it is clear that these activities reached a fairly wide audience, it is less obvious what their impact was, because there was no mechanism applied to monitor the results of the outreach efforts. However, anecdotal accounts suggest that the Project helped to improve the awareness and appreciation of community members, students, and other local stakeholders regarding the importance of marine resources and their preservation.

155. There is no available data and information to suggest that any effort was made specifically toward gender sensitivity in planning or implementing the project. The lack of specific information on gender suggests that this important issue on local participation might have been neglected.

156. Overall, the effect of the project on the participation of stakeholders, and their level of awareness, can be rated as **MODERATELY SATISFACTORY (MS)**.

4. Country ownership and driven-ness

157. The Project was successful in engaging stakeholders at various levels to actively participate. Support at the provincial level was strong—the province has demonstrated its commitment to the project, and to marine conservation in Ninh Hai, by endorsing the formal establishment of the MPA, providing provincial-level representation on the PSC and AG, and by agreeing to give continuing funding and support to various conservation and resource management initiatives begun under the project.

158. At the local level, two People's Committees of two communes (Thanh Hai and Vinh Hai) were engaged to participate in various Project activities, particularly in establishing and operating volunteer community groups. Personnel from other local sectors (border army station, commune policemen, etc.) were likewise involved in implementing integrated plans for site management.

159. At the national level, the Project is well-aligned with key policies on marine conservation and sustainable development in Vietnam. To the extent that the project activities were intended to have beneficial impacts to marine ecosystems within a national park, there is some opportunity to mainstream its results and lessons within the marine and biodiversity conservation plans and programs of the government, at least as they apply within the national park system.²⁵ Among the key applicable, laws, strategies and plans are the following:

- Environmental and Fisheries Resources Protection Laws (2003)
- Sustainable Development Strategies (2001-2010)
- National Biodiversity Action Plan (1995).

²⁵ However, as pointed out by informants who were interviewed during the evaluation, this project was funded through a relatively small grant, was of small scale, and primarily geared toward implementation at the local level. While some of its accomplishments and impacts might attract the notice of national-level policy-makers, It was not designed to directly influence or bring about national-level reforms in environmental policy or governance.

160. In addition, both the National and Provincial governments have assumed responsibility and ownership for the Project's outcomes, by issuance of targeted policy directives and provision of direct support. In terms of policies and governmental directives and decrees are the following:
- Decision No. 742/QD-TTg of May 26, 2010 issued by the Prime Minister officially recognizing NCNP as one of Vietnam's 16 marine protected areas;
 - Ministry of Agriculture and Rural Development Circular No. 29/2013/TT-BNNPTNT of June 4, 2013, on establishment and management of provincial-level MPA
 - The above circular is one of bases for Ninh Thuan PPC Decision No. 07/2015/DD-UBND of 23/01/2015 on promulgating the Regulation of Management of MPA in NCNP Ninh Thuan Province
 - Ninh Thuan PPC issued Decision No. 358/QD-UBND on 23/10/2014 on promulgating the Management Plan Framework on sustainable use of coastal and marine resources in Ninh Hai and Thuan Bac districts, Ninh Thuan province till 2020
161. Direct support from government for the Project has included the completion of a new office complex for NCNP in 2014, which houses facilities and equipment dedicated to the management of the MPA.
162. Now that the Project site has been formally established as an MPA, its protection and management, as originally advocated by the Project, is likely to be further strengthened. Nui Chua National Park is an important marine biodiversity site, which has been recognized not only by the government, but also by international organizations such as WWF and the World Bank.
163. It is also worth mentioning that local communities have continued to follow examples presented through the pilot livelihood projects initiated by the Project. One such effort was for ecotourism development. If properly implemented, ecotourism could generate revenue streams that could be used as a funding source for the continued management of the marine area, as well as supplying income-generation opportunities for members of the local community.
164. Because these initiatives are consistent with the government's own environmental and economic development programmes and priorities, the criterion for country driven-ness and ownership is rated as **SATISFACTORY (S)**.

5. Financial planning and management

165. Based on the Project's quarterly expenditure statements provided to the evaluators, it was noted that utilization of the funds allocated by GEF was slow. In fact, at the end of the project, a surplus of GEF funds still remained. Table 4, below, shows the unspent balances, by period.
166. The slow utilization of funds²⁶ is one of the likely reasons that the executing organization requested an extension of the Project twice, first in 2011, and again in 2013. While the Project revision documents offer no explanation of why utilization of funds was not more efficient, in personal communications, IO has explained to the evaluators that the slow utilization was caused by several factors, among them: (i) administrative constraints, especially relating to the start-up of the project; (ii) periods of bad weather during which some activities had to be curtailed; and (iii) conflicting priorities of some partner agencies and organizations.
167. Furthermore, the lack of complete financial reports has added to the difficulties in assessing the financial performance of the project for the terminal evaluation. No independently-audited financial reports were provided to the evaluators. However, IO has indicated that one independent financial audit was conducted at the mid-term of the Project (dated 6 February 2013) by Southern Auditing

²⁶ Due to the limitations of the evaluation (presented in Section II.C., above), it was not possible to ascertain the specific reasons why fund utilization was slow.

and Accounting Financial Consulting Services Company, Ltd. More complete financial reports, including periodic audited reports, could have provided a sounder basis for the evaluation of financial performance.

Table 4. Project Unspent Balances

Project Start (total GEF contribution)	\$406,900
Period Ending	Cumulative Unspent Balance
March 2011	\$349,999
September 2011	\$324,551
June 2012	\$273,477
September 2012	\$252,732
December 2012	\$220,983
June 2013	\$168,801
December 2013	\$127,882
March 2014 (final)	\$105,112

Source: Project quarterly expenditure statements

168. According to IO, by 31 December 2014, of \$390,900 approved by GEF for use by the Project executing partner, \$384,318 had been utilized. This seems to indicate that as the Project was nearing its conclusion, fund utilization accelerated and nearly all funds were utilized.
169. In contrast to the relatively poor performance in financial utilization and reporting, the Project was highly successful in leveraging additional financial resources. According to the Project Final Report, additional funding support of US\$585,101 was procured from the Sub-Department of Fisheries Protection (Sub DoFP), Department of Science & Technology (DOST), and Nui Chua National Park (NCNP). Leveraged co-financing was in excess of the original co-financing commitment of \$528,286, bringing the total to US\$1,113,387. While it is assumed that all reported funding was used to support project activities, there is no breakdown provided in the final report to indicate for what specific purposes these additional funds were used.
170. While overall the required Project tasks and activities were accomplished within the budget that was available, performance in financial planning and management was inconsistent. Also, it has not been possible to obtain important financial information from the UNEP FMO, without which significant gaps remain in the evaluation. Therefore, the financial planning and management criterion is given an overall rating of **MODERATELY UNSATISFACTORY (MU)**.
- 6. Supervision, guidance and technical backstopping**
171. Supervision, guidance and backstopping were provided through a Task Manager assigned from UNEP's Bangkok office. The original Task Manager²⁷ left the project in 2013, and was replaced.²⁸ According to interviewees, the transition from one Task Manager to another was considered to be quite smooth, and each of the Task Managers was considered to be quite capable and performed their assigned functions well. The final Task Manager had the added advantage of coming from a technical background in coral reef biology and management, and so was ideally suited to this position. The Ninh Hai Project Director expressed a high level of satisfaction with the support provided by UNEP, and especially, by the second task manager. Because the mandate and

²⁷ The original task manager was Ms. Empai Aranuka.

²⁸ Mr. Jerker Tamelander took over as UNEP task manager.

expertise of the IO is specifically in technical areas closely in line with those covered by the Project, there was actually not very much need for technical backstopping by UNEP. Nonetheless, apparently the relationship between IO and the last UNEP Task Manager was highly collaborative, and the Task Manager could add further value and offer helpful support and suggestions regarding technical issues that arose.

172. In addition to the Bangkok-based Task Manager, other UNEP personnel in Nairobi and in Washington, D.C. provided further support for financial management, technical oversight, administrative matters, and coordination with GEF.²⁹
173. The overall supervision, guidance, and technical backstopping provided by UNEP for the Project is rated **SATISFACTORY (S)**.

7. Monitoring and evaluation

174. Monitoring and evaluation (M&E) is rated based on assessment of two sub-criteria: (i) M&E design, and (ii) M&E implementation. The detailed evaluations for each of the three sub-criteria are presented below.

a. M&E design

175. According to the ProDoc, the project was to follow UNEP standard monitoring, reporting and evaluation processes and procedures. It was further stated that the project M&E plan is consistent with the GEF Monitoring and Evaluation policy. The Project Results Framework in the ProDoc includes SMART indicators for each expected outcome as well as mid-term and end-of-project targets. These indicators along with the key deliverables and benchmarks were defined as the main tools for assessing project implementation progress and whether project results were being achieved. Appropriate means of verification and the costs associated with obtaining the information to track the indicators are also presented in the ProDoc. The design for the M&E program was logical, well thought-out and detailed.
176. While the structure for M&E laid out in the ProDoc is quite good, a number of weaknesses related to M&E budgeting were noted. In the PIR for 2013, in a table in Section 4, "Rating Monitoring and Evaluation," the Task Manager provides an assessment of the overall quality of the M&E plan and its implementation. As part of this, questions are answered about M&E budgeting. In part 4.2 of this table, it is indicated that no budget was provided for mid-term review/evaluation, or for the costs associated with collecting and analysing indicators' related information. The IO has further explained that, after consulting with PSC members, it was decided that the mid-term evaluation would be conducted by Project partners, including representatives of communities, local managers, project consultants and other experts, with the work being paid for out of the regular project budget and in-kind financing valued at \$1,470. The lack of a more substantial budget for these functions apparently prevented the hiring of an independent evaluator (which is the usual accepted practice), and this adversely affected M&E implementation. For this TE, 17,000 US\$ was made available from the project budget and a 5,000 US\$ top-up was requested from the corporate GEF fee.
177. While funding was allocated for a visit to the site in Vietnam for information-gathering and consultations, the budget for this trip was extremely limited. As a result, the time available for carrying out activities that were essential to the evaluation was necessarily quite compressed. A more generous budget allocation might have enabled more time for the gathering of additional data that could have added significantly to the depth and detail of the evaluation. Finally, during a phone

²⁹ Among the other key personnel providing additional backstopping were Ms. Isabelle Van Der Beck, UNEP GEF IW and Mr. Rodney Vorley, FMO, UNEP.

interview, the UNEP-GEF liaison officer,³⁰ who was involved in backstopping for the Project, stated that the GEF fee provided to UNEP for the Project was quite small.

178. Taken collectively, these budgetary weaknesses led to weaknesses in the effectiveness of the M&E program as well. Therefore, overall, M&E design is rated **MODERATELY UNSATISFACTORY (MU)**.

b. M&E plan implementation

179. It is important to note that practically all the 11 courses of action or recommended redirection of project implementation priorities, as reported in the meeting notes for the mid-term project review³¹ were significantly accomplished (although some [Recommendations Nos. 4, 5, 6 & 10] were still in the process of being completed during the final, concluding stages of the Project). This is a good example of how monitoring and evaluation, if properly implemented, can provide an effective feedback loop that is useful in improving project performance.
180. However, in most other respects, the evidence suggests that, despite the care that was taken in its design, the Project M&E system was not well-implemented. For example, in the report of the meeting for the Mid-Term project review, the treatment given for monitoring and evaluation is only cursory, and covers only the monitoring of biological and socioeconomic conditions and quality of coastal waters in the five project sub sites (Recommendation No. 7).
181. Also, in Part 3.1 of the 2013 PIR, a table is included to present “Progress toward achieving the Project objective(s).” While indicators are provided for the objectives and outcomes, the progress toward mid-term and end-of-project targets for many of the listed objectives and outcomes are left blank. This appears to illustrate that insufficient effort was made to carefully monitor the results or targets that would demonstrate accomplishment of these objectives. The budgetary deficiencies mentioned in the preceding section 6.a. most likely also contributed to problems during M&E implementation.
182. Another problem that was encountered was that the evaluators were not provided with several key documents that relate directly to M&E. Among the missing documents were the very important ProDoc Appendices on M&E - Appendix 6, 7 and 15. The last of these is the Appendix containing the Tracking Tool which was used to establish a baseline for biophysical and management effectiveness monitoring as required by GEF. Furthermore, according to the ProDoc, the Tracking Tool analysis was supposed to be repeated at mid-term and at project conclusion and made available to GEF as part of the PIR, but no such reports were available. Without these important documents it is quite difficult to conduct a well-substantiated evaluation about the implementation of M&E—and in some respects, this has implications for the evaluation of the accomplishments of the Project itself.
183. One further concern with respect to M&E implementation bears brief mention. The Project produced dozens—if not hundreds—of research reports and important documents on a variety of subjects that included biological surveys, management plans, training manuals, socio-economic analyses, livelihood development guides, and publications related to awareness raising activities. The sheer

³⁰ Ms. Isabelle Van der Beck.

³¹ The eleven courses of action that were recommended during the Project Mid Term Meeting were: (1) implementing effective management at Hon Chong sub-site; (2) implementing effective management at Bai Thit sub-site; (3) rehabilitating coral reefs and restocking fishery resources; (4) developing sustainable tourism management plan for the Vin Hy sub-site and applying cross-sectoral management; (5) supporting establishment of eco-tourism at Hang Rai-Tai An; (6) supporting a livelihood demonstration producing jam from Ninh Hai macro algae; (7) monitoring biology and socio-economic conditions; (8) supporting demonstration of sand lizard breeding at Hon Chong Phase 2; (9) developing a management plan at Bai Thung sub-site; (10) producing strombus snail seeds; and (11) conducting training for alternative livelihood skills.

volume of documents attests to the productivity of the Project. However, as already mentioned in Section II.C., the majority of project documents were in Vietnamese, with only very few documents translated into English.³² To enable a comprehensive review and evaluation of the Project's outputs, it would have been necessary to at least have a greater proportion of the documents in the Project file translated into English and available for review.

184. These weaknesses in the implementation of the M&E system are considered significant. For this reason, this sub-criterion is rated **MODERATELY UNSATISFACTORY (MU)**.
185. In summary, while the design of the M&E system was sound, the shortfalls in the budget for M&E likely compromised the performance of M&E functions. And in further reviewing M&E implementation, it was noted that there were numerous gaps and weaknesses. Because of poor performance in these areas, the overall rating for M&E is **MODERATELY UNSATISFACTORY (MU)**.

G. Complementarity with UNEP strategies and programmes

1. Relationship to and links with UNEP's expected accomplishments and Programme of Work

186. In UNEP's *Medium-term Strategy 2010-2013*, ecosystem management is identified as one of six cross-cutting thematic priorities (sub-programmes). The goal of the Project is to reduce environmental stress on a regionally important trans-boundary body of water in South China Sea and Gulf of Thailand and its objective is to demonstrate an integrated management approach in marine rehabilitation through the establishment of an MPA. It must be noted also that the Project generally applied a participatory, cross-sectorial approach, coupled with livelihood and sustainable financing, as supporting elements that could help to address the issue of marine degradation and destruction in Ninh Hai district. The marine resources in this area are considered the second most important in Vietnam, and their protection and conservation are critical.
187. Within the ecosystem management thematic priority described in *MTS 2010-2013*, the following expected accomplishments are identified:
- a) That countries and regions increasingly integrate an ecosystem management approach into development and planning processes;
 - b) That countries and regions have capacity to utilize ecosystem management tools; and
 - c) That countries and regions begin to realign their environmental programmes and financing to address degradation of selected priority ecosystem services
188. By prioritizing coral reef and seagrass conservation initiatives, the Project features an ecosystem-based management approach. Furthermore, capacity-building for MPA management was a central pillar of the project. Also, the Project focused attention on improving management of the marine and coastal ecosystems of the Ninh Hai area, a unique and fragile site with rich biodiversity values.
189. For the reasons mentioned, the Project is clearly well-aligned with the stated UNEP thematic priorities as well as the expected accomplishments for ecosystem management, as described in the *MTS 2010-2013*.

2. Alignment with Bali Strategic Plan and engagement in South-South Cooperation

190. The Bali Strategic Plan (BSP), adopted by the UNEP Governing Council in February 2005, is an inter-governmental agreement and framework for strengthening the capacity of governments in developing countries and countries with economies in transition, to coherently address their needs,

³² For some documents, an abstract or executive summary was provided in English, but the main document was only available in Vietnamese.

priorities and obligations in the field of the environment. The general purpose of the Ninh Hai Project was two-fold, i.e., to conserve and protect the marine resources of Ninh Hai District and at the same time, to provide a sustainable source of income to local communities. Addressing these twin objectives would help in reducing the stress to the trans-boundary water of South China Sea and Gulf of Thailand, which is the ultimate goal of this Project.

191. At the same time, in order to realize its objectives, activities were undertaken within the Project that helped to build the capacity of government institutions for improved management of the marine ecosystem. As such, the Project demonstrates full alignment with the BSP.
192. As part of the BSP initiative, South-South Cooperation was established as a key mechanism for the implementation of capacity building and technological support activities for the purpose of responding to well defined country priorities and needs.³³ South-South Cooperation stresses the need to intensify efforts directed towards institutional capacity-building, which includes the exchange of expertise, experiences, information and documentation.
193. The Ninh Hai project undertook a number of activities, such as participation in international seminars and symposia, and regional cross-visit study tours, which were aimed at exchange of information, knowledge, and skills, and could be considered as contributing towards South-South Cooperation. Originally, the Ninh Hai Project was one of the coral reef demonstration site projects of the mother project “UNEP/GEF South China Sea Project” (SCS) that included participation of 7 countries in the region. While there were delays in start-up that had prevented full coordination between the SCS and the mother project and projects at the other demonstration sites, certain planned activities of the Ninh Hai project were implemented for supporting SSC, including the following:
 - Ninh Thuan provincial managers and the project coordinator joined in yearly Majors’ Roundtable meetings (MRT) held by the UNEP/GEF-SCS Project Coordinating Unit for exchanging information and sharing management knowledge and experience (during period of 2005-2008, while waiting for GEF approval of the Ninh Hai project proposal). Reports of outputs and experience of Ninh Hai site were reported and sharing in each MRT.
 - The Ninh Hai Site Coordinator was sent to Bolinas (Philippines) to attend the UNEP/GEF South China Sea Project’s Regional Training Workshop on Management Models and Strategies for Coral Reef and Seagrass Ecosystems from 29th October – 10th November 2008. This training workshop was organized by the Marine Science Institute of the University of the Philippines, and was led by the regional coral reef and seagrass experts Drs. Miguel Fortes and Porfirio Alino. Lectures were delivered by scientists and experts from Philippines, Thailand, Natural Geography in Shore Areas (NaGISA) Project
 - Participants of the 4th MRT and 2nd NGO Forum (around 50 persons from 6 member countries, and foreign professionals) visited NCNP MPA in December 2008. A fieldtrip and a seminar were conducted by IO and NCNP management board for sharing experiences.
 - The Ninh Hai project website was developed as a portal for exchanging information and lessons learned with other demonstration site projects, within the regional framework of the UNEP/GEF-SCS Project.
 - Implemented the study tour to Mu Ko Chang National Park, Thailand, one of the coral reef demonstration site projects under the UNEP/GEF-SCS Project (November 2013) for exchanging

³³ In response to UNEP Governing Council decisions 24/12 and 25/9, UNEP has developed the South-South Cooperation Exchange Mechanism (<http://www.unep.org/south-south-cooperation>) as a critical component of efforts to advance the role of South-South Cooperation in UNEP’s programmes of work.

information and experiences between the two demo-sites. MKC National Park was chosen as a destination because of the fact that it includes two conservation components, forest and coral reefs, similar to those of NCNP. Information about the two national parks, experiences on management approach, priority activities and results, eco-tourism development, and financing mechanisms were shared during the visit

- The Ninh Hai Project Coordinator (Dr. Vo Si Tuan) attended national, regional, and international conferences, symposia and workshops to share and exchange information, accomplishments, and lessons from the Ninh Hai Project with researchers and managers from other sites, both regionally and globally.

194. Furthermore, as part of the regional SCS program, and in light of anticipated continuation of support for regional activities, the activities piloted under the Project may lead to further engagement for South-South Cooperation in the future.

3. Consideration of gender (in Project design, implementation and monitoring)

195. The Project documents are generally silent on the issue of gender. There is no gender-disaggregated data available for this project. There is no documentation to suggest that any effort was made specifically toward gender sensitivity in planning or implementing the project. Due to the lack of specific information on gender, it is not possible for further comment or evaluation to be made on this subject.

V. Conclusions, Lessons Learned, and Recommendations

A. Conclusions

196. The project for Demonstration of Sustainable Management of Coral Reef Resources in the Coastal Waters of Ninh Hai District, Ninh Thuan Province, Viet Nam was very successful in implementing a broad range of activities:

- to promote improved area management of a nationally-, regionally-, and globally-significant site containing valuable coral reef and seagrass resources;
- to develop a basis for more sustainable livelihoods that could help to reduce pressure on fisheries and other marine resources,³⁴ and
- to build awareness of the importance of marine and coastal ecosystems and their attendant biodiversity, and to promote greater capability on the part of resource managers to more effectively protect and manage these ecosystems.

This was accomplished through a participatory approach that effectively engaged the members of the local community as active partners in these three important and interrelated components of the Project.

197. It cannot be overemphasized that the well-conceived project design contributed greatly to this success. While not all aspects of the Project were successfully implemented, by and large, the clear roadmap that was established in the Project Results Framework laid a solid foundation for the implementation of the main elements of the Project, ensuring that the intended outputs were accomplished, and the desired outcomes achieved.

198. A second factor that contributed to the overall success of the Project was the fact that the implementation arrangements for the Project were also quite strong. As the Project Executing Organization, the IO provided strong leadership and excellent technical capabilities. The various management groups that were formed, including the PSC, the AG and the DSCU, all drew their membership from across many sectors, which contributed to strong “buy-in” by multiple

³⁴ As described in Section IV., B., and further illustrated in Figure 10 of Annex 6.

- stakeholders and interest groups, with the IO skilfully coordinating their activities.
199. Finally, the engagement with the local community was a third determining factor that helped the Project to be successful. The community was given opportunities to learn new skills and livelihoods that could contribute to increased income generation. This provided an incentive for their support. In combination with awareness-raising activities that were specifically targeted toward community members, a greater sense of appreciation for the importance of the marine environment was fostered. The three factors mentioned here—good design, strong leadership, and community participation, were synergistic, so that their beneficial effects in terms of achieving Project results were amplified.
200. While the Project demonstrated success in many aspects overall, it also showed weaknesses in several important areas, that prevented it from reaching an even higher level of accomplishment. While the design of the M&E system was sound, weaknesses were observed in how the M&E system was implemented. Some difficulties were also noted in the financial planning and management of the Project. Fortunately, these problems were not so serious as to make it impossible for the Project to remain effective in most other respects.
201. As stated at the beginning of this section, the overall rating given for the Project is **SATISFACTORY (S)**. The ratings for the individual criteria that formed the basis for this evaluation are summarized in Table 5 below.

Table 5. Summary Evaluation Table

<i>Criterion</i>	<i>Summary Assessment</i>	<i>Rating</i>
A. Strategic relevance	Project is In line with objective for Subprogramme 3, Ecosystem Management, in UNEP's Programme of Work 2014-2015; and consistent with GEF's Strategic Objective IW-2 and IW Strategic Programme 1 and Strategic Objectives 1 and 3	HS
B. Achievement of outputs	All the project outputs were accomplished either in large part, or in full	S
C. Effectiveness: Attainment of project objectives and results		S
1. Achievement of direct outcomes	Project was able to meet its medium-term outcome of establishing an MPA in the Ninh Hai District. This is supported by achieving four direct outcomes.	S
2. Likelihood of impact	In the ToC/ROtI analysis, the conditions and elements required for attainment of the desired project impact (Assumptions, Impact Drivers, and Intermediate States) were defined. The analysis also ascertained that by the end of project, these conditions and elements existed or were coming into place, and thus it is likely that the desired project impact could be achieved, given adequate time and sustained efforts by stakeholders. The establishment of the MPA, covering the Nui Chua National Park, is a significant accomplishment in the area of coral reef and seagrass conservation and management in the Ninh Hai district. This will help pave the way for increasing the area coverage of these important marine habitats.	L

<i>Criterion</i>	<i>Summary Assessment</i>	<i>Rating</i>
3. Achievement of project goal and planned objectives	The ROtI analysis and results score sheet produced a score of BB, corresponding to LIKELY, indicating that the goal and objectives of the project are achievable.	S
D. Sustainability and replication		L
1. Financial	Project did not fully meet its sustainable financing objectives through development of livelihood activities, but was very successful in leveraging substantial government co-financing	ML
2. Socio-political	Key Government institutions were and still are directly involved in the implementation of the Project's interventions	L
3. Institutional framework	Management Plan Framework on the Sustainable Use of Coastal and Marine was approved by the PPC; government agency representatives continue to be involved	L
4. Environmental	MPA has been legally established; infrastructure and facilities requirements have been put up; and capability building of technical staff has been accomplished; coral rehabilitation efforts undertaken	L
5. Catalytic role and replication	High level of awareness about the Project; stakeholders generally have had a positive attitude towards its activities; dedicated website established; support by government, NGOs and local communities has continued after the closure of the project.	L
E. Efficiency	Long delays, slow utilization of funds experienced; two project extensions requested; incomplete financial documentation	MU
F. Factors affecting project performance		
1. Preparation and readiness	Several weaknesses in project design included inadequate timeframe to accomplish numerous project objectives; weaknesses in baseline data; and deficiencies in M&E framework	MS
2. Project implementation and management	PSC and AG helped to facilitate implementation and management; socioeconomic interventions and participatory approach were effective	S
3. Stakeholders participation and public awareness	Project was successful in engaging stakeholders at provincial and local level; no effort observed for promoting gender sensitivity	MS
4. Country ownership and driven-ness	<p>Project well-aligned with key policies on marine conservation and sustainable development in Vietnam e.g., Environmental and Fisheries Resources Protection Laws (2003), Sustainable Development Strategies (2001-2010), National Biodiversity Action Plan (1995)</p> <p>National and Provincial governments have assumed responsibility and ownership for the Project's outcomes, by issuance of targeted policy directives and provision of budgetary support</p> <p>Local authorities like the People's Committee, as well as the</p>	S

<i>Criterion</i>	<i>Summary Assessment</i>	<i>Rating</i>
	local communities, are actively involved in many law enforcement and marine rehabilitation works in the District.	
5. Financial planning and management	Utilization of the funds allocated by GEF was slow; at the end of the project, a surplus of GEF funds still remained; but project was highly successful in leveraging additional co-financing.	MU ³⁵
6. UNEP supervision and backstopping	Guidance and technical backstopping from UNEP was effective	S
7. Monitoring and evaluation		MU
a. M&E Design	M&E design as presented in ProDoc Project Framework was of a high standard; shortfalls in budgeting for M&E, and deficiencies in financial monitoring and reporting were identified	MU
b. M&E Plan Implementation	Inadequate attention and resources given for implementation of M&E; some documents needed for evaluation were not provided or were not accessible	MU
Overall project rating		S

B. Lessons Learned

202. Many lessons that emerged from the experience of implementing this complex and comprehensive project can be more widely disseminated. Such lessons can be used to inform the planning, design, and implementation of other projects that deal with the issues and challenges of conservation and natural resources management, regardless of their specific sectorial or geographic context.
203. The key lessons learned from the Project are briefly described below:
- i. Creating a strong institutional foundation (e.g., through the formation of the PSC, AG, etc.) is a critical pre-requisite to successful project implementation, and can also provide a basis for longer-term sustainability beyond the life of the project (see Sections IV.C.3, IV.F.1, and IV.F.3). Ensuring that such institutions are multi-sectorial can improve their efficiency and effectiveness by providing equitable representation to various interest groups.
 - ii. The information and data used for development of area management plans, and similar plans for natural resources or ecosystem management, need to be accurate, up-to-date, and science-based. The leadership of the IO successfully applied this principle in the Ninh Hai project (see Section IV.B.).
 - iii. Participation and strong involvement of the local community is an important element for project success. Provision of sustainable livelihood options as income-generating opportunities is one way in which community members can be given an incentive to take ownership of the project. At the same time, developing sustainable livelihoods for community beneficiaries can also provide a basis for sustainable financing for MPAs and other conservation initiatives (see Sections IV.D.4, and IV.F.2).
 - iv. Applying the Theory of Change (ToC) and Review of Outcomes to Impacts (ROtI) is a useful approach to determining the likelihood of achieving project impacts. The method is especially helpful for predicting impacts for environmental management or improvement projects, wherein

³⁵ The financial information required for the project's terminal evaluation was not provided by the Funds Management Officer at UNEP.

such impacts may not be realized or measurable within a relatively short project timeframe (see Section III.F).

- v. Many stakeholders voiced the opinion that the Ninh Hai project timeframe was too short to accomplish all intended objectives. Selection of an appropriate timeframe is a critical aspect of project design. Selecting a timeframe which is not in line with the scope or magnitude of the tasks to be accomplished, or which does not match up well with projected time bound costs, can result in delays, poor utilization of funds, and non-accomplishment of targets (see Section IV.F.).
- vi. Appropriate selection of the executing agency is also essential to project success. Since the Project was science- and research-oriented (as opposed to being a more conventional economic development project), the selection of Vietnam Academy of Science and Technology (VAST)/Institute of Oceanography (IO) as the executing agency was very fitting. Furthermore, IO demonstrated strong capacity in the technical disciplines required for this project, and as a result, a successful outcome was possible (see Sections IV.D.2 and IV.F.1).

C. Recommendations

- 204. Unlike lessons, recommendations are only useful if they are formulated as actionable proposals, i.e., to be used in the project being evaluated, either in the remaining timeframe or during a follow-on phase with the same/similar intentionality.
- 205. As already mentioned in this TE Report, there is currently a proposal which has been accepted into the GEF funding pipeline for a follow-on to the earlier SCS regional project (see Section IV.D.5). This proposal is for a new regional Strategic Action Program (SAP) for the South China Sea. The intention of the project is to facilitate the regional implementation of the “plan of action” for the SCS. The development of this project creates an opportunity to apply the recommendations that have emerged from the Ninh Hai project within the new regional implementation framework that will be established. Similar opportunities for applying recommendations from this Project may also be available through other activities being implemented by the UNEP Coral Reef Management Unit in Bangkok. Because the recommendations presented here are intended to apply to similar follow-on projects, having objectives similar to those of the Ninh Hai project, key actors in implementing the recommendations will primarily be decision-makers and project planners within UNEP and GEF.
- 206. With this background in mind, the following are the key recommendations that have emerged from this TE:
- 207. Due to start-up delays in the Ninh Hai project, intended opportunities for knowledge exchange and other linkages with the related South China Sea project and other GEF/MSPs that were part of the program, were considerably curtailed. Nonetheless, the Ninh Hai project was very successful in developing effective institutional arrangements—the establishment of strong multi-lateral advisory bodies to guide the project, such as the PSC and AG, was a major pillar that supported the successful implementation of the project (see sections IV.C.3, F.1, and F.3). The willingness of the provincial government, through the Provincial People’s Committee, to lend its support to achieving the project objectives, was also noted. **Therefore it is recommended that the institutional and implementation arrangements developed in the Ninh Hai project should be used as a model for design and implementation of similar interventions in Vietnam. This could be facilitated by organizing workshops and cross-visits in which Ninh Hai stakeholders could share their knowledge and experience with the prospective planners and implementers of new projects.**
- 208. Discussed in the TE is the fact that the management of the Ninh Hai MPA is within the responsibility of the NCNP, a nationally-designated protected area that has both terrestrial and marine

components (see Sections IV.C.1 and IV.C.2). Because of this, the Project provides a rare opportunity to model approaches for integrated management of a marine ecosystem and its adjacent terrestrial watershed. It has long been recognized that many of the impacts to marine and coastal ecosystems (e.g., erosion and siltation, runoff of agricultural chemicals, urban and industrial pollution, etc.) originate on land rather than in the aquatic area. Therefore, providing an effective model for integrated coastal zone management, wherein the activities on land are considered in the context of the potential impacts that may result in marine and coastal ecosystems, could lead to innovative solutions for addressing these impacts. **It is therefore recommended that future efforts within the regional South China Sea implementation project include a focus on designing activities that are intended to address marine-terrestrial interactions in an integrated manner.**

209. The evaluation found that there were a number of deficiencies in the M&E framework and in how it was implemented. **M&E standards for follow-on projects need to be applied more stringently. This should include: (i) full compliance with GEF requirements, including the use of tracking tools; (ii) closer oversight of M&E by UNEP, including filling of gaps in M&E reporting in PIRs and other periodic progress reports; and (iii) provision of sufficient budgetary resources to enable the collection of essential information needed for comprehensive M&E. In so doing, the M&E system will be part of a feedback loop that be used to identify weaknesses and then make necessary adjustments to improve project performance.**
210. The Project produced dozens—if not hundreds—of research reports and documents on a variety of subjects that included biological surveys, management plans, training manuals, socioeconomic analyses, livelihood development guides, and awareness raising activities. Of these, only a few were translated into English, and thus it was not possible for the evaluators to review many of the reports in the project file, because most of them were only available in Vietnamese. **To enhance information-sharing, particularly in the upcoming regional project, it is recommended that the most relevant key documents and technical reports are translated into a common medium of understanding, preferably English. Accessibility to the complete project files (or at least, to a greater proportion of the documents produced) will also facilitate future project evaluation.**
211. The UNEP Evaluation Office further recommends that **the Executive Summary of this Terminal Evaluation Report be translated into Vietnamese language in order that the findings can be disseminated to a wider stakeholder base by the project team and the UNEP Task Manager.**
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Annexes

Annex 1: Evaluation TORs (without annexes)

Annex 2: References

Annex 3: Persons Contacted

Annex 4: Evaluation Program: Schedule of Activities Conducted During Field Mission

Annex 5: Evaluation Questionnaire

Annex 6: Statistical Analysis of Stakeholder Feedback

Annex 7: Summary of Co-Finance Information and Statement of Project Expenditures

Annex 8: Matrix for the Assessment of the Quality of Project Design

Annex 9: Brief CVs of the Consultants

Annex 10: Project Training and Awareness-Raising Activities

Annex 1: Evaluation TORs (without annexes)**TERMS OF REFERENCE³⁶****Terminal Evaluation of the UNEP GEF project****Demonstration of Sustainable Management of Coral Reef Resources in the Coastal Waters of Ninh Hai District, Ninh Thuan Province, Viet Nam (GEF ID. 3187)****1. Objective and Scope of the Evaluation**

1. In line with the UNEP Evaluation Policy³⁷ and the UNEP Evaluation Manual³⁸, the Terminal Evaluation of the Project "Demonstration of Sustainable Management of Coral Reef Resources in the Coastal Waters of Ninh Hai District, Ninh Thuan Province, Viet Nam" is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability.

2. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, governments, international and national executing agencies. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.

3. The evaluation will focus on the following sets of **key questions**, based on the project's intended outcome and results, **which may be expanded by the consultant as deemed appropriate**:

- a. How successful has the project been in demonstrating methods of reducing environmental stress on regionally significant coral reef resources and seagrass habitats connected to the South China Sea through promoting sustainable utilisation of marine and coastal resources of Ninh Hai waters.?
- b. Has the demonstration project sufficiently exhibited (i) ecosystem benefits: protection of coral reef and associated habitats; (ii) transboundary benefits: conservation of spawning and nursery grounds for fish and other marine animals of transboundary significance; and (iii) local benefits: increased alternative opportunities for sustainable income-generation?
- c. Has the project been effective in establishing Ninh Hai as a Marine Protected Area (MPA) and implementing an integrated management plan that is based on cross-sectorial and participatory approaches?
- d. What is the likelihood that the MPA established in Ninh Hai will contribute to national and regional biodiversity conservation goals, and act as a model for the development of a network of similar community-based MPAs in Viet Nam and elsewhere?
- e. To what extent did the project succeed in demonstrating alternative livelihood options that are designed and implemented to improve the economic situation of the coastal communities while reducing pressure on the ecosystem of Ninh Hai waters?
- f. How successful has the project been in strengthening local capacities in coastal and marine conservation, biodiversity and socio-economic monitoring, and management of coral reef habitats?
- g. What were the most effective strategies used by the project and what were the key drivers and assumptions required to influence the achievement of project's objectives and results?

2. Key Evaluation principles

4. Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification is not possible, the single source will be mentioned. Analysis leading to evaluative judgements should always be clearly spelled out.

5. The evaluation will assess the project with respect to **a minimum set of evaluation criteria** grouped into six categories: (1) Strategic Relevance; (2) Attainment of objectives and planned result, which comprises the assessment of outputs achieved, effectiveness and likelihood of impact; (3) Sustainability and replication; (4) Efficiency; (5) Factors and processes affecting project performance, including preparation and readiness, implementation and management, stakeholder participation and public awareness, country ownership and driven-ness, financial planning and management, UNEP supervision and backstopping, and

³⁶ TOR version of Sep-13

³⁷ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

³⁸ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

project monitoring and evaluation; and (6) Complementarity with the UNEP strategies and programmes. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

6. **Ratings.** All evaluation criteria will be rated on a six-point scale. However, complementarity of the project with the UNEP strategies and programmes, including other relevant partners' strategies and programmes is **not** rated. Annex 2 provides guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation categories.

7. In attempting to attribute any outcomes and impacts to the project, the evaluator should consider the difference between "*what has happened with*" and "*what would have happened without*" the project. This implies that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator make informed judgements about project performance.

8. The "*Why?*" question should be at the front of the evaluator's mind all through the evaluation exercise. This means that the consultant needs to go beyond the assessment of "*what*" the project performance was, and make a serious effort to provide a deeper understanding of "*why*" the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category F – see below). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultant to explain "*why things happened*" as they happened and are likely to evolve in this or that direction - which goes well beyond the mere review of "*where things stand*" at the time of evaluation.

3. Overall Approach and Methods

9. The Terminal Evaluation for this project will be conducted by an independent consultant under the overall responsibility and management of the UNEP Evaluation Office (EO) in Nairobi, and in consultation with the UNEP Coral Reef Unit (Bangkok, Thailand).

10. It will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts. Site visits will be an integral component of the evaluation exercise and will include travel to the project sites in Ninh Hai, Viet Nam. The consultant will liaise with the UNEP EO, the Task Manager and the Executing Agency on any logistic and/or methodological issues to properly conduct the evaluation as independently as possible. The EA shall provide the consultant with logistical support for in-country travel to the project sites.

11. The findings of the evaluation will be based on the following:

- (a) A desk review of:
 - Relevant background documentation, inter alia UNEP Medium-term Strategy 2010-2013 and Programmes of Work, relevant policies and legislation, including project background information available online;
 - Project design documents and their revisions,
 - Project logical framework;
 - Annual work plans and budgets or equivalent;
 - Project reports such as progress implementation reports, financial reports, project reviews;
 - Minutes of relevant meetings, as well as relevant correspondences, workshop reports, ;
 - Documentation related to project outputs and outcomes, relevant materials published on the project, web-site(s), monitoring/assessment tools, public awareness materials, etc.; and
 - Any other relevant material on the project design and its implementation.
- (b) **Interviews**³⁹ with, but not limited to:
 - The head of the UNEP Coral Reef Unit, Freshwater and Marine Ecosystems Branch (Task Manager);
 - Relevant staff in the UNEP/ GEF Coordination Office (International Waters) and Division of Environmental Policy Implementation (DEPI);
 - Relevant staff in the Institute of Oceanography (Executing Agency);
 - Former SCS project staff;
 - Representatives from the project's Advisory Group, Project Management Board, and Project Steering Committee;

³⁹ Face-to-face or through any other appropriate means of communication

- Representatives from key project partners in government, private sector, local communities and research institutions involved in the project; and
- The project's Fund Management Officer.

12. The SCS project implementation phase⁴⁰ stands to benefit from the findings of this evaluation; attention should be drawn to the formulation of lessons based on good practice and successes that have the potential for wider application and use – describing the context from which they are derived and specifying the contexts in which they may be useful. Of particular interest, are lessons on the project's catalytic role (nationally, regionally), stakeholder engagement and project ownership.

4. **Evaluation criteria**

a. Strategic relevance

13. The evaluation will assess, in retrospect, to what extent the project's objectives and implementation strategies were consistent with national and regional environmental issues and needs; ii) the UNEP mandate and policies at the time of design and implementation; and iii) the relevant GEF focal areas, strategic priorities and operational programme(s).

14. It will also assess whether the project was aligned with UNEP's Medium-term Strategy (MTS) 2010-2013 and Programmes of Work (PoW) 2010-2011 and 2012-2013. UNEP MTS 2010-2013 specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. This project was located under the Ecosystems Management Sub-programme. The evaluation should comment on whether the project makes a tangible contribution to the Expected Accomplishments specified in the UNEP MTS 2010-13. The magnitude and extent of any contributions and the causal linkages should be fully described.

15. The evaluation will also assess whether the project objectives were realistic, given the time and budget allocated to the project, the baseline situation and the institutional context in which the project was to operate.

b. Achievement of Outputs

16. The evaluation will assess the project's success in producing the programmed activities and outputs presented in Table 2 above, both in quantity and quality, as well as their usefulness and timeliness.

17. Briefly explain the reasons behind the success (or failure) of the project in achieving its different outputs and meeting expected quality standards, cross-referencing as needed to more detailed explanations provided under Section F (which covers the processes affecting attainment of project results).

c. Effectiveness: Attainment of Objectives and Planned Results

18. The evaluation will assess the extent to which the project's objectives were effectively achieved or are expected to be achieved.

19. The evaluation will reconstruct the Theory of Change (ToC) of the project based on a review of project documentation and stakeholder interviews. The ToC of a project depicts the causal pathways from project **outputs** (goods and services delivered by the project) over **outcomes** (changes resulting from the use made by key stakeholders of project outputs) towards **impact** (changes in environmental benefits and living conditions). The ToC will also depict any intermediate changes required between project outcomes and impact, called "**intermediate states**". The ToC further defines the external factors that influence change along the pathways, whether one result can lead to the next. These external factors are either **drivers** (when the project has a certain level of control) or **assumptions** (when the project has no control).

20. The assessment of effectiveness will be structured in three sub-sections:

- (a) Evaluation of the **achievement of outcomes as defined in the reconstructed ToC**. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. For this project, the main questions will be to what extent the project has demonstrated measures to reduce the stress on regionally significant coral reef and seagrass habitats connected to the South China Sea through conserving critical marine biodiversity, preventing ecosystem degradation and promoting sustainable utilisation of marine and coastal resources of Ninh Hai waters.
- (b) Assessment of the **likelihood of impact** using a Review of Outcomes to Impacts (ROtI) approach as summarized in Annex 6 of the TORs. The evaluation will appreciate to what extent the project has to date contributed, and is likely in the future to further contribute to reducing environmental stress on transboundary water body of the South China Sea and Gulf of Thailand.
- (c) Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the project's own results statements as presented in the Project Document (including revisions). This sub-section will refer back where applicable to the preceding sub-sections (a) and (b) above to avoid repetition

⁴⁰ Still in the conceptualization stage

in the report. To measure achievement, the evaluation will use as much as appropriate the indicators for achievement proposed in the Logical Framework (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F.

d. Sustainability and replication

21. **Sustainability** is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the project while others will include contextual circumstances or developments that are not under control of the project but that may condition sustainability of benefits. The evaluation should ascertain to what extent follow-up work has been initiated and how project results will be sustained and enhanced over time. The reconstructed ToC will assist in the evaluation of sustainability, as the drivers and assumptions required to achieve higher-level results are often similar to the factors affecting sustainability of these changes.

22. Four aspects of sustainability will be addressed:

- (a) *Socio-political sustainability.* Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared or agreed upon under the project?
- (b) *Financial resources.* To what extent are the continuation of project results and the eventual impact of the project dependent on financial resources? What is the likelihood that adequate financial resources⁴¹ will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact? How financially sustainable are the community-based projects?
- (c) *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources?
- (d) *Environmental sustainability.* Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? Are there any foreseeable negative environmental impacts that may occur as the project results are being up-scaled?

23. **Catalytic role and replication.** The *catalytic role* of UNEP interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNEP also aims to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by this project, namely to what extent the project has:

- (a) catalysed behavioural changes in terms of use and application by the relevant stakeholders, at a national (and possibly sub-regional) level, of: (i) cross-sectorial and participatory approaches to rehabilitation and sustainable management of coral reef ecosystems; (ii) increased local institutional capacity to implement existing legislation relevant to coral reef and sea grass habitats; (iii) community-based projects supporting local livelihoods through sustainable income generation activities; and (iv) built technical capacity in coral reef ecosystem management and monitoring -attained through training workshops.
- (b) provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalysing changes in stakeholder behaviour;
- (c) contributed to institutional changes, for instance institutional uptake of project-demonstrated ICM and mangrove ecosystem management approaches;
- (d) contributed to policy changes (on paper and in implementation of policy);
- (e) contributed to sustained follow-on financing (catalytic financing) from governments, private sector, donors etc.;
- (f) created opportunities for particular individuals or institutions ("champions") to catalyse change (without which the project would not have achieved all of its results).

⁴¹ Those resources can be from multiple sources, such as the public and private sectors, income generating activities, other development projects etc.

24. *Replication*, in the context of UNEP projects, is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources). The evaluation will assess the approach adopted by the project to promote replication effects and appreciate to what extent actual replication has already occurred or is likely to occur in the near future. What are the factors that may influence replication and scaling up of project experiences and lessons?

e. Efficiency

25. The evaluation will assess the cost-effectiveness and timeliness of project execution. It will describe any cost- or time-saving measures put in place in attempting to bring the project as far as possible in achieving its results within its programmed budget and (extended) time. It will also analyse how delays have affected project execution, costs and effectiveness. Wherever possible, costs and time over results ratios of the project will be compared with that of other similar interventions.

26. The evaluation will give special attention to efforts by the project teams to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other similar initiatives, programmes and projects etc. to increase project efficiency.

f. Factors and processes affecting project performance

27. **Preparation and readiness.** This criterion focusses on the quality of project design and preparation. Were project stakeholders adequately identified? Were the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of the Executing Agency properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.?

28. **Project implementation and management.** This includes an analysis of implementation approaches used by the project, its management framework, the project's adaptation to changing conditions (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:

- (a) Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project milestones, outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
- (b) Evaluate the effectiveness and efficiency of project management and how well the management was able to adapt to changes during the life of the project.
- (c) Assess the role and performance of the project management and administration, including the project executing arrangements at all levels.
- (d) Assess the extent to which project management responded to direction and guidance provided by the project's Advisory Group and UNEP supervision recommendations.
- (e) Identify administrative, operational, technical, institutional and/or political problems and constraints that influenced the effective implementation of the project, and how the project partners tried to overcome these problems. How did the relationship between the project management team and the collaborating partners develop?

29. **Stakeholder⁴² participation and public awareness.** The TOC analysis should assist the evaluator in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathway from activities to achievement of outputs and outcomes to impact. The assessment will look at three related and often overlapping processes: (1) information dissemination to and between stakeholders, (2) consultation with and between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

- (a) The approach(es) used to identify and engage stakeholders (within and outside UNEP) in project design and implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities? What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during design and implementation of the project?

⁴² The term stakeholder should be considered in the broadest sense, encompassing are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the project. The term also applies to those potentially adversely affected by the project.

- (b) The degree and effectiveness of any public awareness activities that were undertaken during the course of implementation of the project; or that are built into the assessment methods so that public awareness can be raised at the time the assessments will be conducted;
- (c) How the results of the project promote participation of stakeholders, including users, in decision making.
30. **Country ownership and driven-ness.** This is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements. The evaluation will assess:
- (a) The level of country ownership. How well did the project stimulate country ownership of the management of regionally significant coral reef and seagrass habitats connected to the South China Sea, national or regional level policies to reduce environmental stress on the trans-boundary water body of the South China Sea and Gulf of Thailand, including commitments and partnerships for implementation?
- (b) Specifically, the evaluator should assess how far the government has assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various government and private institutions involved in the project.
- (c) Whether the demonstration project was effective in catalysing action to improve decision-making on conserving critical marine biodiversity, preventing ecosystem degradation and promoting sustainable utilisation of marine and coastal resources of Ninh Hai waters.
31. **Financial planning and management.** Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime. The assessment will look at actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing. The evaluation will, **to the extent possible**:
- (a) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;
- (b) The evaluation will seek to provide a breakdown of final actual costs for the different project components (see template in Annex 3).
- (c) Describe the resources the project has leveraged⁴³ since inception and indicate how these resources are contributing to the project's ultimate objective.
- (d) If applicable, analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken by UNEP to prevent such irregularities in the future. Appreciate whether the measures taken were adequate.
32. **Supervision, guidance and technical backstopping.** The purpose of supervision is to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs, in order to identify and recommend ways to deal with problems which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UNEP has a major contribution to make. The evaluator should assess the effectiveness of supervision, administrative, financial and technical support provided by UNEP including:
- (a) The adequacy of project supervision plans, inputs and processes;
- (b) The realism and candour of project reporting and the emphasis given to outcome monitoring (results-based project management);
- (c) How well did the guidance and backstopping mechanisms work? What were the strengths in guidance and backstopping and what were the limiting factors?
33. **Monitoring and evaluation.** The evaluation will include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The evaluation will appreciate how information generated by the M&E system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on three levels:
- (a) *M&E Design.* The evaluator should use the following questions to help assess the M&E design aspects:
- Did the project have a sound M&E plan to monitor results and track progress towards achieving project objectives?
 - How well was the project logical framework (original and updates) designed as a planning and monitoring instrument?

⁴³ Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.

- SMART⁴⁴-ness of indicators: Are there specific indicators in the Logframe for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
 - Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable? For instance, was there adequate baseline information on pre-existing accessible information on environmental status and trends in the sub-region? Was there sufficient information about the capacity of participating governments and collaborating partners etc. to determine their administrative and technical support needs?
 - Arrangements for monitoring: Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the time frame for various M&E activities specified? Was the frequency of various monitoring activities specified and adequate? To what extent were project users involved in monitoring?
 - Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions binding project partners to fully collaborate in evaluations?
 - Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.
- (b) *M&E Plan Implementation*. The evaluation will verify that:
- the M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
 - Progress reports & financial reports were complete and accurate;
 - the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs;
 - the M&E system had in place proper training, instruments and resources for parties responsible for M&E.

g. Complementarity with UNEP policies and strategies

34. **Alignment with the Bali Strategic Plan (BSP)**⁴⁵. The linkage between the project's outcomes and achievements to the objectives of the UNEP BSP should be briefly discussed (as applicable).

35. **Gender**. Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over resources; (ii) specific vulnerabilities of women and children to economic, social and environmental crises; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in coral reef ecosystem and sea grass habitat management. Appreciate whether the intervention is likely to have any lasting differential impacts on gender equality and the relationship between women and the environment. To what extent do unresolved gender inequalities affect sustainability of project benefits?

36. **South-South Cooperation**. This is regarded as the exchange of resources, technology, and knowledge between developing countries and countries with economies in transition. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation. How did the project promote and benefit from the exchange of resources, technology, and knowledge?

5. The Consultant

37. For this evaluation, the Consultant should have extensive experience in the evaluation of environmental projects/programmes. S/he should have at least 5 years of work experience and practical knowledge in the general area of transboundary ecosystems management, and more specifically in marine and coastal biodiversity. Professional experience in marine protected areas, coral reefs, sea grass habitats, ecosystem management tools, related policies and implementation mechanisms is advantageous.

38. In addition to these professional skills, a university degree in environmental sciences, particularly marine and coastal zone management or relevant discipline, is required. Fluency in oral and written English is required⁴⁶.

⁴⁴ SMART stands for: specific, measurable, achievable, relevant and time-bound.

⁴⁵ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

⁴⁶ In the event that the Consultant is not conversant with the language(s) spoken in the project country, the services of a local interpreter may be sought during field missions.

39. Good interpersonal and communication skills are required to be able to convey information in a concise and understandable way. Candidates should also have an analytical mind, be organized and structured and have excellent oral and written communications skills.

40. The Consultant will coordinate data collection and analysis, and the preparation of the main report for the evaluation. S/He will ensure that all evaluation criteria and questions are adequately covered.

41. By undersigning the service contract with UNEP/UNON, the Consultant certifies that s/he has not been associated with the design and implementation of the project being evaluated in any way that may jeopardize their independence and impartiality towards project achievements and performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units.

6. Evaluation Deliverables and Review Procedures

42. The Consultant will, after an **initial telephone briefing** about the TOR with the UNEP Evaluation Office, and the UNEP Task Manager, conduct an initial desk review and submit an **inception report** to the UNEP Evaluation Office. This inception report shall contain a thorough review of the project context, project design quality, a draft reconstructed Theory of Change of the project, the evaluation framework and a tentative evaluation schedule (see report outline in Annex 1A of these TOR).

43. The review of design quality will cover the following aspects (see Annex 7 for the detailed project design assessment matrix):

- Strategic relevance of the project;
- Preparation and readiness;
- Financial planning;
- M&E design;
- Complementarity with UNEP strategies and programmes;
- Sustainability considerations and measures planned to promote replication and up-scaling.

44. The inception report will also present a draft, desk-based reconstructed Theory of Change of the project. It is vital to reconstruct the ToC **before** most of the data collection (review of reports, in-depth interviews, surveys etc.) is done, because the ToC will define which direct outcomes, drivers and assumptions of the project need to be assessed and measured – based on indicators – to allow adequate data collection for the evaluation of project effectiveness, likelihood of impact and sustainability.

45. The evaluation framework will present in further detail the evaluation questions under each criterion with their respective indicators and data sources. The evaluation framework should summarize the information available from project documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified. The inception report will also present a tentative schedule for the overall evaluation process including, a tentative list of people/institutions to be interviewed, and a draft programme for site visits. The inception report will then be submitted for review and approval by the Evaluation Office before the implementation phase of the assignment.

46. **The main evaluation report** should be brief (no longer than 40 pages – excluding the executive summary and annexes), precise, and written in plain **English**. The report will follow the annotated Table of Contents outlined in Annex 1B. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the author will use numbered paragraphs and make cross-references where possible.

47. **Review of the draft evaluation report.** The Consultant will submit what shall be referred to as a **zero draft report**⁴⁷ to the UNEP EO and revise this draft following the comments and suggestions made by the EO. Once a draft of adequate quality has been accepted, the EO will share this as a **first draft report** with the UNEP Task Manager, who will alert the EO in case the report contains any factual errors. The Task manager will then forward the first draft report to the other project stakeholders, in particular the UNEP RSO, Regional Officers in ROLAC, representatives from the national stakeholder committees and other key project partners, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. These comments would be expected within two weeks after the draft report has

⁴⁷ The zero draft refers to the earliest report version that we receive from the consultant(s). In essence, this version should be as complete as possible and in line with the guidelines provided in the TOR and annotated table of contents presented in Annex 1. A good quality zero report will likely need minimal revision before it can be released as a First Draft report that is of an acceptable standard for circulation to stakeholders for their review and feedback.

been shared. Any comments or responses to the draft report will be sent directly to the UNEP EO for collation. The EO will provide these review comments to the Consultant for consideration in preparing the **final draft report**.

48. The Consultant will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The Consultant will prepare a **response to comments**, listing those comments not or only partially accepted that could therefore not or only partially be accommodated into the final report. The Consultant will explain why those comments have not or only partially been accepted, providing evidence/justification as required. This response to comments will be shared by the EO with the interested stakeholders to ensure full transparency.

49. **Submission of the final Terminal Evaluation report.** The final report shall be submitted by email to the Head of the Evaluation Office. The Evaluation Office will finalize the report and share it with the Executing Agency, and the interested Divisions and Sub-programme Coordinators in UNEP. The final evaluation report will also be published on the UNEP Evaluation Office website⁴⁸ and accessible by the public.

50. As per usual practice, the UNEP EO will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to evaluation consultants. The quality of the report will be assessed and rated against the criteria specified in Annex 4.

51. The UNEP Evaluation Office will assess the ratings in the final evaluation report based on a careful review of the evidence collated by the Consultant and the internal consistency of the report. Where there are differences of opinion between the evaluator and UNEP Evaluation Office on project ratings, both viewpoints will be clearly presented in the final report. The UNEP Evaluation Office ratings will be considered the final ratings for the project.

7. Logistical arrangements

52. This Terminal Evaluation will be undertaken by an independent evaluation consultant contracted by the UNEP Evaluation Office. The consultant will work under the overall responsibility of the UNEP Evaluation Office and will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the consultant's individual responsibility to arrange for their travel, visa, obtain documentary evidence, plan meetings with stakeholders, organize online surveys, and any other logistical matters related to the assignment. The Project management team will, where possible, provide logistical support (introductions, meetings, etc.) allowing the consultant to conduct the evaluation as efficiently and independently as possible.

8. Schedule of the Terminal Evaluation

53. Table 6 below presents the **tentative** schedule for the evaluation.

Table 6. Tentative evaluation schedule

Milestone	Estimated dates
Consultants identified and contractual process initiated	October 2014
Consultant contracts signed	November 2014
Inception Report	Mid - Late January 2015
Evaluation Mission to Ninh Hai, Viet Nam (7 days inclusive return travel)	Early February 2015
Zero Draft Report submitted to EO by consultant	Late February 2015
First Draft Report submitted to EO by consultant	Mid-March 2015
First Draft Report shared with UNEP Task Manager for onward circulation and review	Late March 2015
Submission of review comments to consultant	Early - Mid April 2015
Final Report submitted to EO by consultant	Mid - Late April 2015
End of assignment	30 April 2015

9. Contractual arrangements

54. The Consultant will be hired under an individual Special Service Agreement (SSA) with "**fee only**" payment option. The fee is payable under the individual SSA of the evaluator and is **not inclusive** of travel, accommodation and incidental expenses. Air tickets will be purchased by UNEP and 75% of the DSA for each authorised travel mission will be paid up front. Local in-country travel and communication costs will be reimbursed on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion. The Executing Agency (Institute of Oceanography) is expected to provide the consultant with the logistical support to visit the project demonstration site in Ninh Hai District.

⁴⁸ www.unep.org/eou

55. The payment schedule for both arrangements will be linked to the acceptance by the Evaluation Office of the key evaluation deliverables:

- Final inception report: 35 percent of agreed total fee
- First draft main evaluation report: 45 percent of agreed total fee
- Final main evaluation report: 20 percent of agreed total fee

56. In case the Consultant is not able to provide the deliverables in accordance with these TOR, and in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Head of the Evaluation Office until the Consultant has improved the deliverables to meet UNEP's quality standards.

57. If the Consultant fails to submit a satisfactory final product to UNEP in a timely manner, i.e. before the end date of the contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the Consultant's fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.

Annex 2: References

Reports and Publications

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Joint Management Plan for Hon Chong Fisheries Resource Restoration Sub-site (Thanh Hai, Ninh Hai, Ninh Thuan) period 2012-2015

Joint Sustainable Tourism Management Plan for Vinh Hy Sub-site Period 2013 – 2015

Marine Biodiversity and Resource Utilization of Coral Reefs at Bai Thung

Marine Biodiversity and Resource Utilization of Coral Reefs at Bai Thung, Vinh Hy

Marine Biodiversity and Resource Utilization of Coral Reefs at Vinh Hy

Minutes of meeting of the PSC (2011, 2012, 2013, 2014)

Minutes of The final project meeting 11/11/2004

Monitoring Coral Reefs at Locations Planned for Setting Up Fisheries Resource Restoration Sub-sites in 2011

Monitoring Coral Reefs in Coastal Waters of Ninh Hai – Ninh Thuan in 2011, 2012, 2013, 2014

Monitoring Coral Reefs in Coastal Waters of Ninh Hai – Ninh Thuan in 2012, 2013, 2014

Monitoring Environmental Coastal Water Quality of Ninh Hai District – Ninh Thuan, in 2011, 2014

Monitoring Social-economic Condition of Ninh Hai 2013 and 2014 [inclusive fisheries production]

Overview of Natural Resources, Socio-economic and Environment Status of Hon Chong Fisheries Resource Restoration Sub-site

Project mid-term meeting, 29th Jan., 2013, 05 pages.

Re-assessment of status of loaded pilot livelihood activities in Ninh Hai: Sand-lizard culture, sheep culture, production of red algae dried jam

Socio-Economical Condition, Conflicts in The Coastal Zone of Ninh Hai – Ninh Thuan, Vietnam

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Websites

<http://projects.inweh.unu.edu/inweh/display.php?ID=3903>

<http://projects.inweh.unu.edu/inweh/inweh/content/3187/e-mail/Coral-Reef-Demonstration-Sites-South-China-Seas.html>

<http://vietnamnews.vn/sunday/features/232159/old-guard-breathes-new-life-into-coral-reef.html>

<http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

<http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

<http://www.unepscs.org>

<http://www.vnio.org.vn/duanninhhai/Home/tabid/344/language/en-US/Default.aspx>

Annex 3: Persons Contacted

I. Persons Met During Field Mission

No.	Full name	Position/ Designation	Organization	Address (or e-mail)	Questionnaire Completed?
1	Mr. Huynh Hong Tien	Member	Volunteer Team of Bai Thit Subsite	Thai An - Vinh Hai	
2	Mr. Nguyen Hoang Phu	Trainee	Tourism student	Thai An – Vinh Hai	
3	Mr. Pham Tran Huu Chi	Trainee	Tourism student	Thai An – Vinh Hai	
4	Mr. Nguyen Tan Danh	Leader	Volunteer Team of Bai Thit Subsite	Thai An – Vinh Hai	
5	Mr. Nguyen Tan Tai	Member	Volunteer Team of Bai Thit Subsite	Thai An Helmet, Vinh Hai	
6	Mr. Nguyen Van Dao	Member	Volunteer Team of Bai Thit Subsite	Thai An Helmet, Vinh Hai Commune	
7	Mr. Nguyen Ti	Member	Volunteer Team of Bai Thit Subsite	Vinh Hai	
8	Miss. Nguyen Thi Mai	Trainee	Tourism student	Vinh Hy – Vinh Hai	
9	Miss. Huynh Thi Ngoc Quyen	Trainee	Tourism student	Vinh Hy – Vinh Hai	
10	Mr. Nguyen Van Nam (- replace Mr. Nguyen van Tien)	Chairman/ member	Vinh Hai Commune People Committee/ AG	Vinh Hy – Vinh Hai	
11	Mr Tran Khoi	Sand Lizard Farmer	Hon Chong Island, Ninh Hai District, Ninh Thuan Province	Hon Chong Island, Ninh Hai District	
12	Mr. Nguyen An Khang	Staff/ Site coordinator	IO/ Project Coordinating Unit	Ankhang10@gmail.com	yes
13	Mr. Mai Van Bi	Staff	Dept. of Marine Conservation / NCNP	bivqgnc@gmail.com	yes
14	Dr. Bui Hong Long	Former director/ Chairman	IO/ Project Steering Committee (PSC)	buihonglongion@gmail.com	yes
15	Mr. Pham Anh Dung	Staff	Dept. of Marine Conservation / NCNP	dungnuichua@gmail.com	yes
16	Mr. Nguyen Tuong Giao	Vice director/ member	NCNP/ Advisory Group (AG)	giaont1968@gmail.com	yes
17	Dr. Huynh Minh Sang	Head	Dept. of Aquaculture Biotechnology - IO	hmsang2000@yahoo.com	
18	Dr. Hoang Xuan Ben	Staff/ Translator	IO	hxuanben@yahoo.com	
19	Mr. Nguyen Khac Hoa	Secretary (chair)/ member	Communist Party in Thanh Hai Commune/ - AG	khachoa36@yahoo.com	yes
20	Mr. Dang Kim Cuong	Director/ member	NCNP/ Project Steering Committee (PSC)	kimcuong171@gmail.com	
21	Ms. Le Thi Vinh	Head	Dept. of Marine hydrogeochemistry - IO	levinh62@gmail.com	
22	Dr. Nguyen Van Long	Head/ Secretary	Dept. of Living Marine Resources , IO/ PSC	longhdh@gmail.com	yes
23	Mr. Mai Van Thang	Vice director/ Member	Department of Natural Resources and Environment of Khanh Hoa Province/ AG	mvthang06@gmail.com	yes
24	Miss Truong Thi Ngoc Suong	Head	Dept. of Services / CEES / NCNP	ngocsuongdinc@gmail.com	yes
25	Mr. Nguyen Tan Tung	Vice Director/ member	Dept. of Natural Resources and Emnt. of Ninh Thuan/ PSC	ngtantung@gmail.com	yes
26	Mr. Nguyen Phi Long (representative of Mr. Le Kim Hung)	Vice director/ member	Ninh Thuan Dept. of Science and Technology/ PSC	nguyenphilong@ninhthuan.gov.com	
27	Mr. Nguyen Phi Phat	Staff	- IO/ PCU	nguyenphiphat@gmail.com	

No.	Full name	Position/ Designation	Organization	Address (or e-mail)	Questionnaire Completed?
28	Mr. Nguyen Si Hung	Head	Dept. of Marine Conservation / NCNP	nguyensihungnc@gmail.com	yes
29	Mr. Ngo Manh Tien	Vice head	Dept. Marine Data - IO	nmtien@vnio.org.vn	
30	Mr. Nguyen Quang Huynh	Chief of staff/ member	Directorate of Border Defense Force of Ninh Thuan/ PSC	nqhuynh1965@gmail.com	
31	Mr. Pham Thanh Hung	Staff	Thuan Dept. of Science and Technology/ PCU	ntdost@gmail.com	yes
32	Mr. Pham Van Thom	Chairman/ Chairman	Association of Environment Protection of Khanh Hoa/ Project Advisory Group (AG)	phamvthom@gmail.com	yes
33	Ms. Phan Thi Kim Hong	Staff	IO	phn_kimhong@yahoo.com	
34	Mr. Tran Huu Nhan	Head/ Member	Dept. of Agriculture and Rural development Ninh Hai/ AG	phongninh@gmail.com	yes
35	Mr. Nguyen Quang Dao	Staff	Ninh Thuan Dept. of Science and Technology	quangdao2706@gmail.com	
36	Mr. Pham Thi Thu	Staff	Financial Session - IO	thuvctv@yahoo.com.vn	
37	Mr. Nguyen Van Huynh (representative of Mr. Dang Van Tin)	Vice director/ member	Ninh Thuan Sub-dept. of Fisheries Protection/ PSC	vanhuynhsts@gmail.com	yes
38	Ms. Bui Thi Thanh Van	Vice director/ Vice chairman	Dept. Agriculture Rural Development Ninh Thuan/ PSC	vansts@yahoo.com	yes
39	Dr. Vo Si Tuan	Director/ Project Focal Point	IO/ Project Coordinating Unit	vosituan@gmail.com	
40	Mr. Vo Tran Tuan Linh	Staff	Institute of Oceanography (IO)	votranduanlinh@gmail.com	
41	Mr. Pham Van Xiem	Director; member	Center of Environmental Education and Services (CEES) / NCNP	xiemkt@gmail.com	
42	Mr. Nguyen Xuan Hoa	Head/ Member	Marine Botanic Department – IO/ AG	xuanhoahdh@gmail.com	yes
43	Ms Diep Tham Ngoc	Marine coordinator	WWF Hanoi	diep.thamngoc@wwfgreatermekong.org	
44	Dr. Nguyen Chu Hoi	Director, Vietnam Institute of Fisheries Economic and Planning	MARD (agriculture)	nchoi52@gmail.com	

II. Other Contacts

IA and EA	Contacts (email, phone)	Notes
Pauline Marima, Evaluation Manager, UNEP EO	Pauline.Marima@unep.org	
Jerker Tamelander, Project Task Manager	tamelander@un.org +66 22 88 1099	
Isabelle Van Der Beck, UNEP GEF IW	UNEPRep@oas.org + 1-202-725-4201	
Rodney Vorley, FMO, UNEP	rodney.vorley@unep.org +254 20 762 3595	not yet interviewed
Takehiro Nakamura, Coordinator, Marine and Coastal Ecosystems Unit, UNEP	takehiro.nakamura@unep.org +254 20 7623902	

Annex 4: Evaluation Program: Schedule of Activities Conducted During Field Mission

NINH HAI CORAL REEF MANAGEMENT PROJECT: TERMINAL EVALUATION MISSION (March 2015)						
SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
15	16	17	18	19	20	21
						12:50 depart IAD/Dulles USA for Vietnam--Ho Chi Minh City (HCMC)
22	23	24	25	26	27	28
22:35 arrive HCMC	10:30 fly HCMC to Nha Trang (Cam Ranh International Airport-CXR) arrive 11:30; pickup at airport by Mr. Khang 14:30 introduction and orientation meetings with IO/VAST, PMB, other Nha Trang-based personnel; distribution of questionnaires short tour of IO/VAST facilities--aquarium, museum, taxonomic research collection	morning: drive to Ninh Hai meeting with management board of Nui Chua NP, distribution of questionnaires afternoon meeting: PSC and AG members (1) presentation of project outputs (2) discussion for terminal evaluation of project, distribution of questionnaires observe sheep farming livelihood site	morning--Ninh Hai project area/Nui Chua NP: meet sand lizard farmer short SCUBA dive on coral reef flat in NP lunch meet with park staff: general discussion and public awareness activities; distribute questionnaires meet turtle volunteer group and tourism trainees	visit Vinh Hy Bay coastal tourism area drive to return to Nha Trang afternoon: Nha Trang: wrap-up meeting with Director, IO/VAST	10:10 fly Nha Trang (Cam Ranh airport) to Hanoi arrive 11:55 afternoon: consultations, Hanoi personnel: meet with Ms. Tham Ngoc Diep (WWF) at 15:00	continue Hanoi consultations: meet with Dr. Ng Chu Hoi at 14:00 at hotel (phone 0936186366)
overnight HCMC	Overnight Nha Trang	Overnight Ninh Hai	Overnight Ninh Hai	overnight Nha Trang	overnight Hanoi	overnight Hanoi
29	30	31				
10:25 depart Hanoi, arrive Seoul Incheon 16:35	10:30 depart Seoul, arrive 11:15 IAD/Dulles-USA					
overnight Seoul Incheon						

Annex 5: Evaluation Questionnaire

To facilitate more effective and efficient information-gathering during the planned field mission to Vietnam, a questionnaire was prepared for distribution to key stakeholders. The questionnaire was organized into sections that emphasized various aspects of the project, for example, one section dealt with technical aspects, while another addressed logistical and administrative concerns. The questions that were included were intended to solicit responses both from project implementors and managers, and from project beneficiaries. The questionnaire was initially prepared in English, and then translated to Vietnamese for dissemination to local stakeholders. The responses to the questionnaires, which were completed in Vietnamese, were again translated back into English for further analysis by the evaluators.

Of a total of 33 questionnaires that were distributed, 17 were completed and returned, representing a response rate of 52%. This number of responses, though somewhat less than hoped for, was nonetheless adequate for obtaining a reasonably representative sampling of stakeholder opinion concerning the project.

This annex contains the questionnaire template in both English and Vietnamese. Annex 6 presents a detailed discussion of the analysis of stakeholder feedback, which is based primarily on the questionnaires.

QUESTIONNAIRE FOR TERMINAL EVALUATION OF THE UNEP/GEF PROJECT:

“Demonstration of Sustainable Management of Coral Reef Resources in the Coastal Waters of Ninh Hai District, Ninh Thuan Province, Viet Nam”

(GEF ID. 3187)

Dear Respondent:

As part of the Terminal Evaluation for the UNEP/GEF project, “Demonstration of Sustainable Management of Coral Reef Resources in the Coastal Waters of Ninh Hai District, Ninh Thuan Province, Viet Nam” information is being gathered from various sources. One of the most important sources of information comes from the people who were directly involved in, or affected by, the project. For this reason, your responses to the questions that follow are greatly appreciated.

Any inquiries regarding this questionnaire, or the evaluation process, may be directed to the Evaluation Consultant, Mr. James Berdach, at jayberd123@gmail.com.

Thank you for your cooperation!

James Berdach, Evaluation Consultant

February, 2015

Respondent Name:	
Organization/Affiliation:	
Title/Position:	
e-mail:	
telephone:	

For each statement in Table 1 below, please indicate the response that best describes your opinion, by marking an “x” in the appropriate column to the right.

Table 1.		Rating						
		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Don't Know	Not Applicable
1a.	The Project successfully established appropriate institutional structures (for example, Project Steering Committee, Advisory Group, etc.) for more effective cross-sectoral management of coral reef and seagrass areas in Ninh Hai District and the Nui Chua National Park.							
1b.	The integrated area management system that was established is fully operational and functioning effectively .							
2a.	An integrated management plan, guidelines, and relevant regulations were prepared, to guide more effective management of coral reef and seagrass areas in Ninh Hai District and the Nui Chua National Park.							
2b.	Management plan, guidelines, and regulations are being followed and enforced.							
3a.	As a result of the project, the local community was mobilized to participate in zoning, and implementation of enforcement measures to protect coral reef and seagrass areas in Ninh Hai District and the Nui Chua National Park.							
3b.	As a result of the project, monitoring of corals and seagrass beds is now established and working well.							
4.	As a result of the project, areas of the marine environment in Ninh Hai District and the Nui Chua National Park, which had been damaged previously, were successfully rehabilitated , and are improving.							
5a.	Through the project, different groups of people, households, and individuals in the community gained experience in new sustainable livelihoods and income-generating options.							
5b.	Through new sustainable livelihood activities, the income of the local people has now increased.							

		Rating						
		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Don't Know	Not Applicable
5c.	The pressure on coral reef ecosystems is reduced in the Ninh Hai District due to more sustainable livelihood projects that the local people are engaged in.							
6a.	In the project, one or more different financing schemes were developed and put into effect to ensure continuing management and operation of the marine protected area.							
6b.	The management of the marine protected area is now financially sustainable , and it should be able to continue to operate for the foreseeable future.							
7a.	During the project, a number of activities were conducted (e.g., lectures and training, production of educational materials, flyers and posters, etc.) that helped to raise awareness of the general public (i.e., village residents, community groups, school children, etc.) about the importance of protecting the marine environment and the coral and seagrass resources.							
7b.	The understanding and awareness of the general public about marine conservation, is much better now, than it was before the project.							
8a.	During the project, a number of activities were conducted that helped to improve the awareness of policy-makers, government officials, and community leaders , about sustainable use of coral reefs and seagrass beds.							
8b.	The understanding and awareness of policy-makers, government officials, and community leaders about marine conservation, is much better now, than it was before the project.							
8c.	Overall, the capacity of local agencies and communities for more effective management of coral reef and seagrass areas has increased.							
9a.	During the project, training workshops were conducted that helped to develop skills and knowledge of protected area managers , for improved management of coral reefs and seagrasses.							

Table 1.		Rating						
		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Don't Know	Not Applicable
9b.	As a result of the training workshops conducted, coral reef and seagrass areas are being <i>much better managed now, than before</i> the project.							
10a.	During the project, managers and operating personnel of Nui Chua Park and Ninh Hai District <i>exchanged knowledge and information</i> with managers and personnel from other natural habitat areas in Vietnam and other countries of the South China Sea and Gulf of Thailand (SCS/GT) region.							
10b.	The understanding and awareness of site managers and other personnel, <i>is greatly improved</i> , as a result of the knowledge and information exchange programs that were conducted.							
10c.	As a result of the knowledge and information exchange programs that were conducted, some <i>best practices were transferred from Ninh Hai to other sites</i> , either within Vietnam or within the greater SCS/GT region.							

For the questions below, please provide answers that are as complete as possible. Please include **specific examples**, if appropriate. If you need more space, please increase the number of lines in the response boxes, or add more pages.

The numbers in Table 2, below, correspond to the questions in Table 1, above. For each of these, please give more detailed information to explain and support your answers in Table 1.

Table 2.	
No.	Detailed Response
1a.	Institutional structures established:
1b.	Integrated area management functioning/operational
2a.	Management plan, guidelines, regulations prepared:
2b.	Plan, regulations being followed and enforced:
3a.	Community participation for zoning, enforcement:
3b.	Coral/seagrass monitoring:

Table 2.	
No.	Detailed Response
4.	Environmental rehabilitation and improvement:
5a.	Livelihoods and income generation activities conducted:
5b.	Household incomes increased:
5c.	Livelihood activities causing less pressure on ecosystems:
6a.	Financing mechanisms introduced:
6b.	Financing sustainable:
7a.	Public awareness activities conducted:
7b.	Public awareness improved:
8a.	Awareness-raising conducted for policy-makers, officials, leaders:
8b.	Awareness of policy-makers, officials, leaders improved:
8c.	Capacity of local agencies and community members for more effective management improved:
9a.	Training for managers conducted:
9b.	Area management improved:
10a.	Knowledge and information exchange activities conducted:
10b.	Understanding improved as a result of exchange programs:
10c.	Best practices transferred to other sites:

The questions in Table 3 only need to be answered by personnel involved with implementation or management of the GEF/UNEP project. These questions are intended to discuss possible challenges or problems that may have been encountered during the course of the project. Please provide as complete answers as possible (if you are not a project implementor or manager, please skip to Table 4).

Table 3.	
11.	Was the timeframe for the project too short, or too long? Please explain.
12.	Was the funding provided for implementing the project sufficient, and was it effectively disbursed? Please explain.
13.	Was the technical support provided during the project appropriate and adequate, to ensure that the project activities could be carried out successfully? Please explain.
14.	Were there mechanisms in place to ensure effective monitoring and evaluation of the progress and performance of the project? Specifically what methods were used to measure (i) any improvements in integrated management of the Ninh Hai area; (ii) the impact of new livelihood activities; and (iii) the effectiveness of training and capacity building conducted as part of the project? Please explain.
15.	Can the results/achievements of the project be scaled up, or replicated at other sites (in Vietnam or regionally)? Why or why not?

Please answer the additional questions in Table 4, to provide further ideas and suggestions about the strengths and weaknesses of the project.

Table 4.	
16.	Do you feel that the project generally achieved its objectives ? What made it successful or

Table 4.
unsuccessful?
17. Do you feel that the achievements of the project will be sustainable in the future? Why or why not?
18. What are some of the major problems or constraints that confronted the smooth (or successful) implementation of the project?
19. What do you think are the other factors that may have affected the overall performance of the project (e.g., in terms of design, implementation approach, community participation, etc.?)
20. What are some of the key lessons that could be learned from this project? How could these lessons be applied to other similar projects in the future?
21. Please provide any other suggestions or comments you may have about the project, which you feel might have made it more effective or successful.

Thank you very much!

BỘ CÂU HỎI PHỤC VỤ ĐÁNH GIÁ CUỐI KỲ DỰ ÁN UNEP/GEF:
“Trình diễn quản lý bền vững tài nguyên rạn san hô ở vùng biển ven bờ
huyện Ninh Hải, tỉnh Ninh Thuận, Việt Nam”
(Mã số dự án GEF. 3187)

Quý ông bà kính mến!

Một phần của công tác đánh giá cuối kỳ Dự án UNEP/GEF “Trình diễn quản lý bền vững tài nguyên rạn san hô ở vùng biển ven bờ huyện Ninh Hải, tỉnh Ninh Thuận, Việt Nam” là thu thập thông tin từ nhiều nguồn khác nhau. Một trong những nguồn quan trọng nhất là từ các thành viên đã trực tiếp tham gia hoặc chịu ảnh hưởng bởi dự án. Vì lí do này, việc trả lời các câu hỏi sau đây của quý ông bà là rất quý báu.

Mọi thắc mắc về các câu hỏi hoặc về quy trình đánh giá xin ông bà liên hệ trực tiếp với chuyên gia tư vấn đánh giá, ông James Berdach qua email: jayberd123@gmail.com

Cảm ơn sự hợp tác của quý ông bà!

James Berdach, chuyên gia tư vấn đánh giá
Tháng 2 năm 2015

Họ và tên người trả lời:	
Tổ chức / cơ quan công tác:	
Chức danh / chức vụ:	
E-mail:	
Số điện thoại:	

Đối với mỗi phát biểu trong Bảng 1 dưới đây, xin vui lòng cho biết ý kiến của ông bà bằng cách đánh dấu "X" vào cột thể hiện đúng ý kiến của ông bà

Bảng 1.		Đánh giá						
		Hoàn toàn đ	Đ	Phản văn	Không đ	Hoàn toàn không đ	Không có ý ki	Không phù h
1a.	Dự án đã thiết lập thành công cơ cấu thể chế phù hợp (như Ban chỉ đạo dự án, Nhóm tư vấn...) nhằm quản lý liên ngành các rạn san hô (RSH) và thảm cỏ biển ở Ninh Hải và VQG Núi Chúa hiệu quả hơn.							
1b.	Hệ thống quản lý tổng hợp vùng đã thiết lập đang hoạt động đầy đủ và hiệu quả .							
2a.	Kế hoạch quản lý tổng hợp, các hướng dẫn, và các quy chế liên quan đã được xây dựng để hướng dẫn quản lý RSH và thảm cỏ biển ở Ninh Hải và VQG Núi Chúa hiệu quả hơn.							
2b.	Kế hoạch quản lý, các hướng dẫn, và quy chế đang được áp dụng và thực thi							
3a.	Một kết quả của dự án là, cộng đồng địa phương đã được vận động tham gia vào việc phân vùng, triển khai các biện pháp thực thi pháp luật để bảo vệ các RSH và thảm cỏ biển ở Ninh Hải và VQG Núi Chúa.							
3b.	Một kết quả của dự án là, hệ thống giám sát RSH và thảm cỏ biển hiện đã được thiết lập và hoạt động tốt.							
4.	Một kết quả của dự án là, các vùng biển của huyện Ninh Hải và VQG Núi Chúa có môi trường trước đây đã bị hư hại nay đã được phục hồi thành công và đang cải thiện.							
5a.	Thông qua dự án, các nhóm người khác nhau, hộ gia đình, và các cá nhân trong cộng đồng đã học hỏi được kinh nghiệm về các sinh kế bền vững mới và các lựa chọn tạo nguồn thu.							
5b.	Thông qua các hoạt động sinh kế bền vững mới, thu nhập của người dân địa phương hiện đã tăng.							
5c.	Sức ép lên hệ sinh thái RSH huyện Ninh Hải đã giảm nhờ triển khai nhiều hơn các dự án sinh kế bền vững với dự tham gia của người dân địa phương							
6a.	Trong dự án, một hoặc vài cơ chế tài chính khác nhau đã được xây dựng và áp dụng để đảm bảo duy trì các hoạt động quản lý khu bảo tồn biển VQGNC							
6b.	Việc quản lý Khu bảo tồn biển VQGNC hiện bền vững về mặt tài chính và có thể tiếp tục vận hành trong tương lai gần							

Bảng 1.		Đánh giá						
		Hoàn toàn đ	Đ	Phân vân	Không đ	Hoàn toàn không đ	Không có ý ki	Không phù h
7a.	Trong suốt dự án, một loạt các hoạt động đã được triển khai (như biên soạn bài giảng và tập huấn, sản xuất các vật liệu giáo dục, tờ rơi và các pano...) đã giúp nâng cao nhận thức của quần chúng (như người dân địa phương, các nhóm cộng đồng, học sinh...) về tầm quan trọng của việc bảo vệ môi trường biển và tài nguyên RSH và thảm cỏ biển.							
7b.	Hiểu biết và nhận thức của quần chúng về bảo tồn biển hiện tốt hơn nhiều so với thời điểm trước dự án							
8a.	Trong suốt dự án, một loạt các hoạt động đã được triển khai để giúp cải thiện nhận thức của các cán bộ lập chính sách và quản lý, cán bộ phụ trách thôn xã về sử dụng bền vững RSH và thảm cỏ biển							
8b.	Hiểu biết và nhận thức của cán bộ lập chính sách và quản lý, các cán bộ phụ trách thôn xã về bảo tồn biển tốt hơn nhiều so với thời điểm trước dự án							
8c.	Nhìn chung, năng lực của các ban ngành địa phương và cộng đồng về quản lý hiệu quả hơn RSH và thảm cỏ biển đã tăng lên.							
9a.	Trong suốt dự án, các hội thảo tập huấn đã được triển khai để giúp phát triển kỹ năng và kiến thức cho các cán bộ quản lý Khu bảo tồn biển nhằm cải thiện việc quản lý các RSH và thảm cỏ biển.							
9b.	Một kết quả của các hội thảo tập huấn là, các RSH và thảm cỏ biển hiện đang được quản lý tốt hơn nhiều so với thời điểm trước dự án.							
10a.	Trong suốt dự án, các cán bộ quản lý và nhân viên VQGNC và huyện Ninh Hải đã trao đổi kiến thức và thông tin với các cán bộ quản lý và nhân viên của các khu bảo tồn khác của Việt Nam và của các nước khác trong khu vực Biển Đông và vịnh Thái Lan (BĐ/VTL).							
10b.	Hiểu biết và nhận thức của các cán bộ quản lý và nhân viên được cải thiện nhiều nhờ các chương trình trao đổi kiến thức và thông tin đã thực hiện							
10c.	Một kết quả của các chương trình trao đổi kiến thức và thông tin là, một số thực hành tốt nhất đã được chuyển giao từ Ninh Hải cho các điểm khác của Việt Nam hoặc của các nước trong khu vực BĐ/VTL.							

Đối với các câu hỏi dưới đây, vui lòng điền các câu trả lời càng đầy đủ càng tốt.
Vui lòng cho ví dụ cụ thể, nếu thấy phù hợp. Nếu ông bà cần thêm khoảng trống, xin vui lòng tăng số dòng trong các ô trả lời, hoặc thêm giấy.

Số thứ tự các câu hỏi trong Bảng 2 dưới đây tương ứng với các câu hỏi ở Bảng 1 bên trên. Đối với mỗi câu hỏi, vui lòng cung cấp thêm thông tin chi tiết để giải thích và hỗ trợ cho các câu trả lời ở Bảng 1.

Bảng 2.	
TT.	Trả lời chi tiết
1a.	Cơ cấu thể chế đã được thiết lập:
1b.	Quản lý tổng hợp vùng đã hoạt động/vận hành:
2a.	Kế hoạch quản lý, các hướng dẫn, quy chế đã được xây dựng:
2b.	Kế hoạch, quy chế đang được áp dụng và thực thi:
3a.	Cộng đồng tham gia vào việc phân vùng và thực thi pháp luật:
3b.	Giám sát RSH / thăm cỏ biển:
4.	Phục hồi và cải thiện môi trường:
5a.	Các sinh kế và các hoạt động tạo thu nhập đã được triển khai:
5b.	Thu nhập của hộ gia đình đã tăng:
5c.	Hoạt động sinh kế hiện gây ít áp lực hơn lên hệ sinh thái:

Bảng 2.	
TT.	Trả lời chi tiết
6a.	Các cơ chế tài chính đã được giới thiệu:
6b.	Nguồn tài chính bền vững:
7a.	Các hoạt động nâng cao nhận thức quần chúng đã được thực hiện:
7b.	Nhận thức của quần chúng đã được cải thiện:
8a.	Nâng cao nhận thức cho cán bộ lập chính sách, nhân viên, và lãnh đạo đã được thực hiện:
8b.	Nhận thức của cán bộ lập chính sách, nhân viên, và lãnh đạo đã được cải thiện:
8c.	Năng lực của các ban ngành và các thành viên cộng đồng địa phương về quản lý hiệu quả hơn đã được cải thiện:
9a.	Tập huấn cho cán bộ quản lý đã được triển khai:
9b.	Quản lý vùng đã được cải thiện:
10a.	Hoạt động trao đổi kiến thức và thông tin đã được thực hiện:
10b.	Hiểu biết đã được cải thiện nhờ các chương trình trao đổi kiến thức và thông tin:
10c.	Các thực hành tốt nhất đã chuyển giao cho các điểm khác:

Bảng 2.	
TT.	Trả lời chi tiết
6a.	Các cơ chế tài chính đã được giới thiệu:
6b.	Nguồn tài chính bền vững:
7a.	Các hoạt động nâng cao nhận thức quần chúng đã được thực hiện:
7b.	Nhận thức của quần chúng đã được cải thiện:
8a.	Nâng cao nhận thức cho cán bộ lập chính sách, nhân viên, và lãnh đạo đã được thực hiện:
8b.	Nhận thức của cán bộ lập chính sách, nhân viên, và lãnh đạo đã được cải thiện:
8c.	Năng lực của các ban ngành và các thành viên cộng đồng địa phương về quản lý hiệu quả hơn đã được cải thiện:
9a.	Tập huấn cho cán bộ quản lý đã được triển khai:
9b.	Quản lý vùng đã được cải thiện:
10a.	Hoạt động trao đổi kiến thức và thông tin đã được thực hiện:
10b.	Hiểu biết đã được cải thiện nhờ các chương trình trao đổi kiến thức và thông tin:
10c.	Các thực hành tốt nhất đã chuyển giao cho các điểm khác:

Các câu hỏi trong Bảng 3 chỉ dành cho các cá nhân tham gia thực hiện hoặc quản lý dự án GEF/UNEP. Các câu hỏi này nhằm thảo luận về các thách thức / vấn đề đã xảy ra trong quá trình triển khai dự án. Vui lòng trả lời càng đầy đủ càng tốt (nếu ông bà không phải người thực hiện hoặc quản lý dự án, vui lòng chuyển đến Bảng 4).

Bảng 3.	
11.	Có phải thời gian dự án quá ngắn, hoặc quá dài không? Vui lòng giải thích.
12.	Nguồn kinh phí cấp để thực hiện dự án có đủ không, và có được giải ngân hiệu quả không? Vui lòng giải thích.
13.	Các hỗ trợ kỹ thuật được cung cấp trong suốt dự án nhằm đảm bảo các hoạt động dự án thực hiện thành công có phù hợp và đầy đủ không? Vui lòng giải thích.
14.	Có đặt ra các cơ chế để đảm bảo việc giám sát và đánh giá hiệu quả tiến độ và thực hiện dự án không? Cụ thể, phương pháp nào đã được sử dụng để đo lường: (i) các cải thiện trong quản lý tổng hợp vùng Ninh Hải; (ii) tác động của các hoạt động sinh kế mới; và (iii) hiệu quả tập huấn và xây dựng năng lực đã được triển khai? Vui lòng giải thích.
15.	Các kết quả / thành quả của dự án có thể được nhân rộng hoặc lặp lại cho các điểm khác được hay không (ở Việt Nam hoặc khu vực)? Vì sao có thể hoặc vì sao không thể?

Xin vui lòng trả lời các câu hỏi bổ sung thêm trong Bảng 4 để cung cấp thêm ý kiến và đề xuất về các điểm mạnh và điểm yếu của dự án.

Bảng 4.	
16.	Ông bà có nghĩ rằng nhìn chung dự án đã đạt được các mục tiêu đề ra ? Điều gì đã làm cho dự án thành công hoặc không thành công?
17.	Ông bà có nghĩ rằng các thành quả của dự án sẽ bền vững trong tương lai? Vì sao có hoặc vì sao không?

Bảng 4.

18. Một số **vấn đề hoặc khó khăn** chính đã cản trở thực hiện dự án thông suốt (hoặc thành công) là gì?
19. Ông bà nghĩ điều gì là các nhân tố khác có thể đã ảnh hưởng đến **hiệu quả tổng thể** của dự án (như thiết kế dự án, phương pháp triển khai, sự tham gia của cộng đồng...)?
20. Một số **bài học kinh nghiệm chính** thu được từ dự án là gì? Các bài học này có thể áp dụng cho các dự án tương tự khác trong tương lai như thế nào?
21. Vui lòng cho biết các **đề xuất hoặc bình luận khác** về dự án mà ông bà thấy sẽ giúp dự án hiệu quả hoặc thành công hơn.

Xin chân thành cảm ơn!

Annex 6: Statistical Analysis of Stakeholder Feedback

A SURVEY ON THE PERCEIVED PERFORMANCE OF THE NINH HAI PROJECT

In the effective evaluation of the UNEP/GEF Project “Demonstration of Sustainable Management of Coral Reef Resources in the Coastal Waters of Ninh Hai District, Ninh Thuan Province, Vietnam”, a survey of key officials directly involved in the Ninh Hai Project was undertaken to provide insights on the Project’s overall performance and success.

The survey respondents were affiliated with various government organizations such as Institute of Oceanography, Department of Agriculture and Rural Development (Ninh Thuan province), Department of Natural Resource and Environment (Ninh Thuan and Khanh Hoa province), Ninh Hai Committee, Nui Chua National Park (Ninh Thuan province), Nui Chua National Park, Department of Science and Technology (Ninh Thuan province), Association of Marine Science and Technology, Division of Agriculture and Rural Development (Ninh Hai District), and Center of Environmental Education and Service. The respondents were composed mainly of research workers, chief, vice director, director, and head of their respective offices.

Establishment of institutional structures

The survey result showed a generally positive feedback from among the respondents who were involved in the UNEP/ GEF Project.

Majority of the respondents (12 out of 17) strongly agreed that the Project successfully established appropriate institutional structures for more effective cross-sectoral management of the coral reef and seagrass areas in Ninh Hai District, Ninh Thuan Province, Vietnam. The remaining survey respondents likewise agreed on the success of the Project on establishing institutional structures in the Project site (Figure 1). Respondents attributed the role of Project Steering Committee (PSC) and Project Advisory Group (AG) that capacitated various experts, government agencies, and communities in implementing the Project. One (1) respondent mentioned that “the co-management between the agencies and the people was very suitable, effective, and successful”.

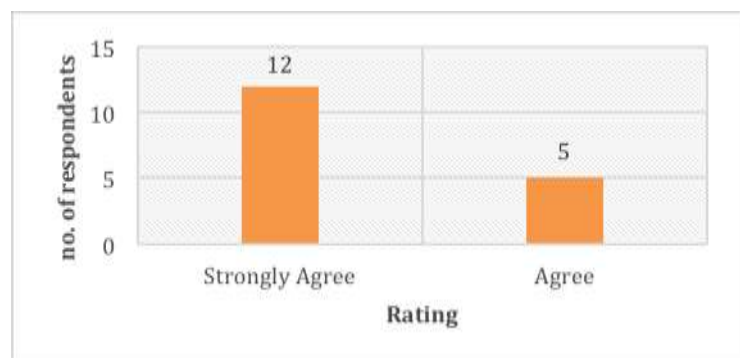


Figure 1. Survey respondents' perception on the success of the Project in establishing appropriate institutional structures.

Integrated area management functioning/ operational

About 5 out of every 7 survey respondents agreed that integrated area management system established in the Project site was fully operational and effectively functioning (Figure 2). Respondents cited the presence of an Integrated Management Plan Framework on sustainable use of coastal and marine resources in Ninh Hai, Thuan Bac districts, and Ninh Thuan province applicable until 2020.

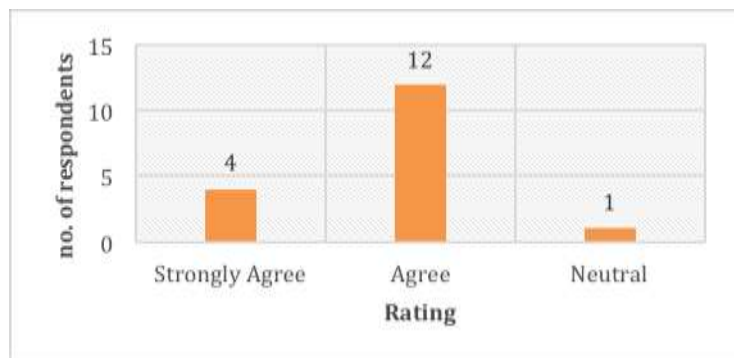


Figure 2. Survey respondents' perception on the success of the Project in establishing a fully operational and functioning integrated area management

Project implementation include: regulation management of Nui Chua National Park, joint planning restoration of fisheries resources at Hon Chong, joint planning restoration of fisheries resources and turtle conservation at Bai Thit, and joint planning for sustainable management tourism at Vinh Hy.

Plan, regulations being followed and enforced

Fourteen out of 17 survey respondents gave positive feedbacks in terms of the implementation of the management plan, guidelines, and regulations in the area. Four (4) respondents strongly agreed that the plans and regulations were being enforced and followed (Figure 4).

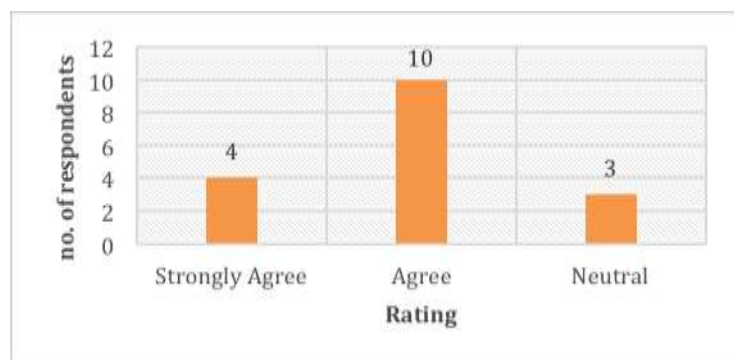


Figure 4. Survey respondents' perception that the management plan, guidelines and regulations imposed by the implementers are being followed and enforced.

Management plan, guidelines, regulations prepared

As shown in Figure 3, all of the respondents were in agreement that an integrated management plan, guidelines, and relevant regulations were prepared to guide a more effective management of coral reef and sea grass areas in Ninh Hai District and the Nui Chua National Park.

Respondents cited that a detailed planning framework for management and sustainable use of marine and coastal resources was adapted in Ninh Hai district, and Thuan Bac district. Guidelines and regulation that were organized in the span of the

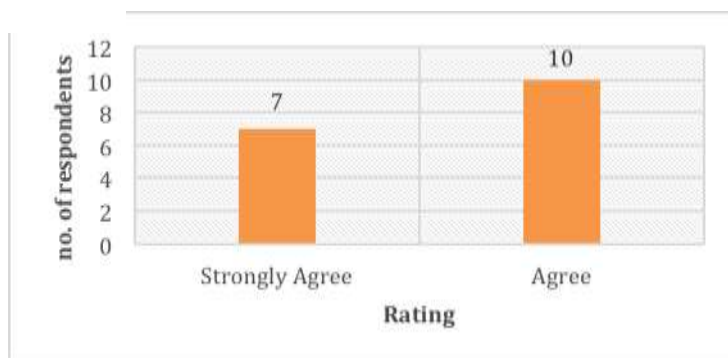


Figure 3. Survey respondents' perception on the success of the program in preparing management plan, guidelines, and regulations.

One (1) respondent regarded the importance of the imposed regulations, which were widely disseminated and implemented in the field that provided “tools and support for management units to perform more efficiently.”

Another respondent mentioned that the integration of different sectors such as Ninh Hai district communes, Nui Chua National Park, Agriculture, and Sports and Tourism sectors guided the local government to manage the resources more efficiently. Three (3) respondents opted an impartial opinion regarding this issue.

Community participation for zoning, enforcement

Large portion (10 out of 17 respondents) strongly agreed that the local community was successfully mobilized to participate in zoning and implementation of enforcement measures to protect coral reef and seagrass areas in Ninh Hai District and the Nui Chua National Park (Figure 5). In particular, respondents considered the local community as one of the most important stakeholders of the Project, which were involved in zoning planning, enforcement and surveillance.

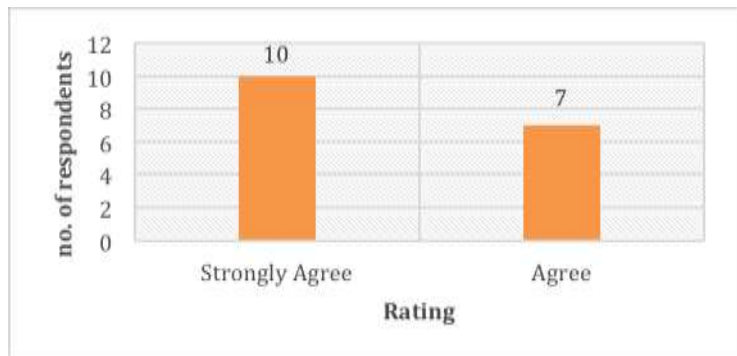


Figure 5. Survey respondents' perception on the community participation of the Project.

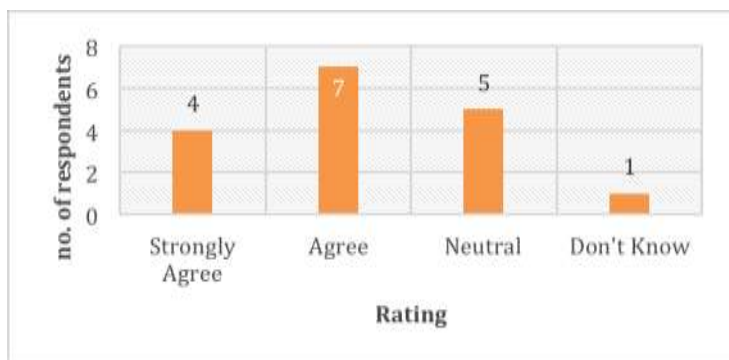


Figure 6. Survey respondents' perception on the monitoring of corals and seagrass.

Coral and seagrass monitoring

In terms of the effect of the Project in the monitoring of corals and sea grass beds, opinions of the survey respondents were divided (Figure 6). About 7 respondents fairly agreed that the monitoring of corals and seagrass beds is now established and working well. One (1) respondent argued that the monitoring system developed by the Project was only established for the surveillance of coral reefs but not for seagrass. Another respondent mentioned difficulty in accessing the monitoring data.

Environmental rehabilitation and improvement

More than half of the survey respondents agreed that the areas of the marine environment in Ninh Hai District and the Nui Chua National Park, which had been damaged previously, are successfully rehabilitated, and are improving as a result of the Project (Figure 7).

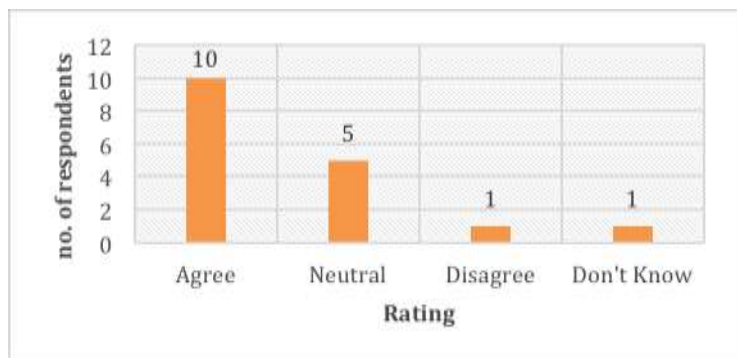


Figure 7. Survey respondents' perception on the effect of the Project in the rehabilitation and improvement of marine environment in the Project area.

Survey respondents observed that the environmental condition has likewise improved. Others noted that biodiversity was increasing. In addition, some mentioned that the coral cover has increased, resources were rehabilitated, waste and over-exploit decreased, and some marine animals were recovering. Another respondent noted that the quality of habitat and the density of some coral reef resources improved especially at demonstration sites. Those who were hesitant to provide insights felt that the environmental condition improved but not certain because the timeframe of the Project was short. On the contrary, one (1)

respondent disagreed. The said respondent pointed out that there is still not enough proof to conclude that environmental rehabilitation was successful because of the short timeframe of the Project.

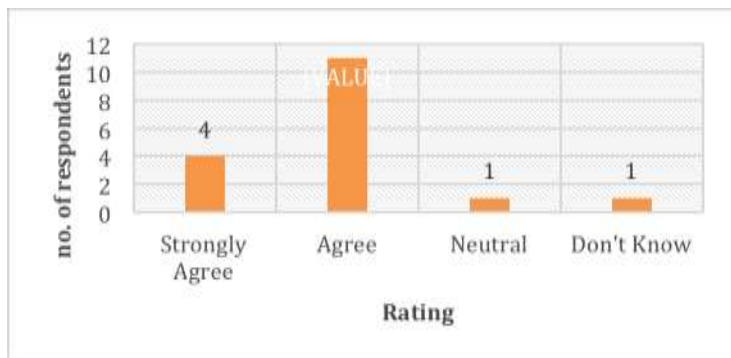


Figure 8. Survey respondents' perception on the success of the Project in imparting experience in new sustainable livelihoods and income-generating options.

culture at Bai Thit, dry red algae jam artificial production at Thai An village and sand lizard culture and processing skill at My Hoa, Hon Chong and Bai Thit. Artificial reproduction of *Scylla paramamosain* crabs in Nin Thuan which was co-financed by the Project and community-based eco-tour in Stone Park Hang Rai Thai An was also mentioned by the respondents. It is important to note that the survey respondents were overwhelmed by the livelihood activities that were conducted thru the Project, which according to them have provided more opportunities to the numerous members of the local communities.

Increase in household income

Most survey respondents (8 out of 17 respondents) were neutral on assessing the success of the Project in increasing the income of the local people through new sustainable livelihood activities (Figure 9). According to the respondents, although the household income increased, the sustainability of the livelihood activities falls short of expectation. Others believed that the productive activities might stop when the Project comes to an end.

Those respondents who were in favor of the success of the Project in increasing the income of the local people reported that the monthly income of the volunteers has increased through livelihood activities such as sand lizard farming and sheep culturing. One respondent estimated that more than 130 households maintained sustainable income generation options based on co-finance support of the Project. Likewise, one respondent detailed that the livelihood of communities has improved, income from sustainable exploitation of marine resources and payment of environmental tourist services have increased. Another respondent described that more children from the community acquired more jobs and additional income after completing training undertaken by the Project.

Livelihoods and income generation activities

Majority of the survey respondents (15 out of 17 respondents) were in favor that thru the Project, different groups of people, households, and individuals in the community gained experience in new sustainable livelihoods and income-generating options (Figure 8).

A long list of livelihood Projects and income generating activities provided by the Project were cited by the respondents. These includes protection and exploitation of free latex, handicraft production from tree seeds, management and utilization of honey from bees and fruits from the forest, sheep

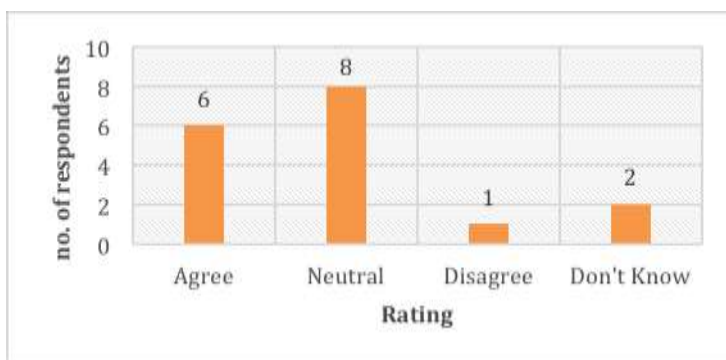


Figure 9. Survey respondents' perception on the success of the Project in increasing the income of the local people through new sustainable livelihood activities.

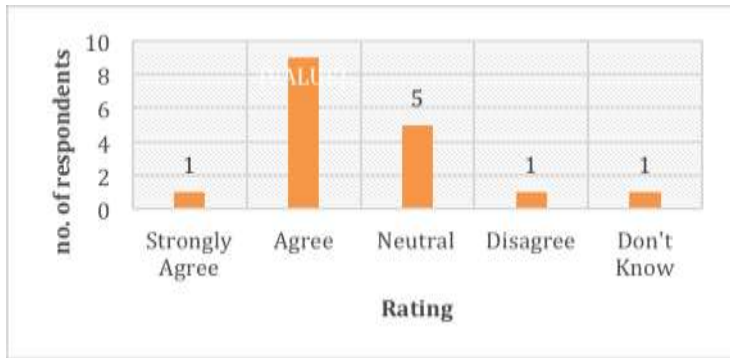


Figure 10. Survey respondents' perception on the success of the Project in reducing the pressure on coral reef ecosystems in Ninh Hai District by engaging the local people in sustainable livelihood Projects.

Livelihood activities causing less pressure on ecosystems

Perceptions of the survey respondents on the effect of livelihood undertakings on the reduction of the pressure on coral reef ecosystems in the Ninh Hai District varied from “strongly agree” to a “don’t know” response (Figure 10). Positive feedbacks from the survey respondents pointed out that effective livelihood activities such as those initiated by the Project were able to raise awareness in the community that discouraged the use of dynamite in fishing areas. However, few cases of dynamite fishing are still being carried out by bigger fishing boats according to some respondents.

Financing mechanisms introduced

Survey results showed that all of the respondents agreed that the Project was able to develop and implement financing schemes to ensure continuing management and operation of the marine area. About five (5) of the total survey respondents firmly agreed on the efforts of the Project in implementing financing schemes (Figure 11). Respondents specified financing mechanisms like entrance fee in Nui Chua National Park and regulated conservation fee implemented in Vinh Hy were crafted thru the Project.

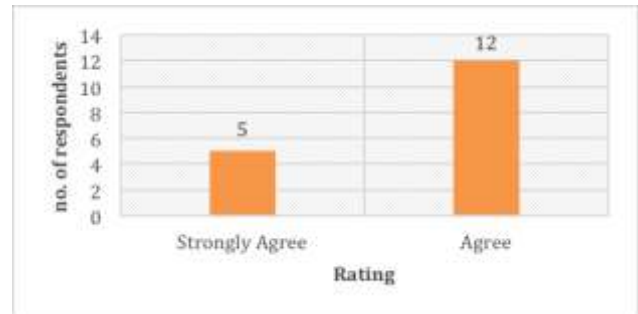


Figure 11. Survey respondents' perception on the success of the Project developing and implementing financing schemes in the Project site.

Sustainable financing

Figure 12 showed that 13 out of total survey respondents believed that the management of marine protected area is now financially sustainable and is expected to continue for the foreseeable future. According to the respondents, collection and usage of eco-tourism fees in Nui Chua National Park in Ninh Thuan has fully been regulated.

Although the eco-tourism fees have already been established, one respondent opined that the financing mechanism is only deemed workable in the pilot-testing site; its sustainability remains unknown.



Figure 12. Survey respondents' perception on financial sustainability of marine protected area management.

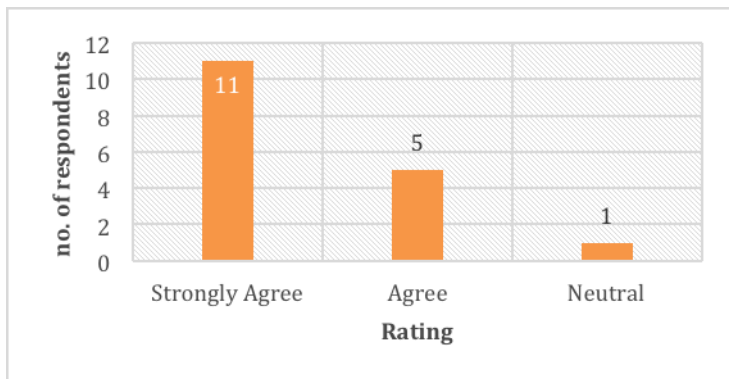


Figure 13. Survey respondents' perception on success of the Project on raising awareness in the importance of protecting the marine environment and the coral and seagrass resources through a number of activities it has conducted.

Public awareness activities conducted

Survey respondents (11 out of 17 respondents) highly favored a “strongly agree” response when asked about their insights if the Project was able to conduct a number of activities that helped raise awareness of the general public about the importance of protecting the marine environment and the coral and seagrass resources (Figure 13). In particular, respondents enumerated awareness activities such as hanging of banners, distributing of leaflets to target areas, and organizing training courses at local communities involving students, youth and fishermen. Public awareness activities, which were conducted focused on environmental protection, the role of coral reef and seagrass bed in the marine ecosystem, coral reef monitoring and management.

Public awareness improved

An equal number of survey respondents who gave remarks of “strongly agree” and “agree” were observed in the Project’s perception of success in improving the understanding and awareness of the general public about marine conservation, relative to the start of the Project (Figure 14). A significant number of respondents took note of the enthusiasm of the local people who took part in the conservation activities during the public awareness activities. One respondent pointed out that the Project was able to improve the general knowledge of public on marine conservation. According to the respondent, this was evident when representatives from Thanh Hai and Vinh Hai volunteered to protect coral reefs at Hon Chong, Bai Thit and Vinh Hy during awareness activities. Another respondent was optimistic that public awareness and treatment on coral reef resources at Ninh Hai positively changed significantly.



Figure 14. Survey respondents' perception on success of the Project on improving general public's awareness on marine conservation.

Conduct of awareness-raising activities for policy-makers, officials and leaders

All the respondents gave positive response on the Projects’ success in conducting a number of activities that helped improve the awareness of policy-makers, government officials, and community leaders on sustainable use of coral reefs and seagrass beds. Figure 15 shows that 3 out of every 5 respondents strongly agreed on the said inquiry. Study tour equipped with training course and workshop for conservation and management of coral reef resources in Mu Ko Chang, Thailand was one of the most mentioned trainings conducted for policy-makers, government officials, and community leaders according to the respondents.

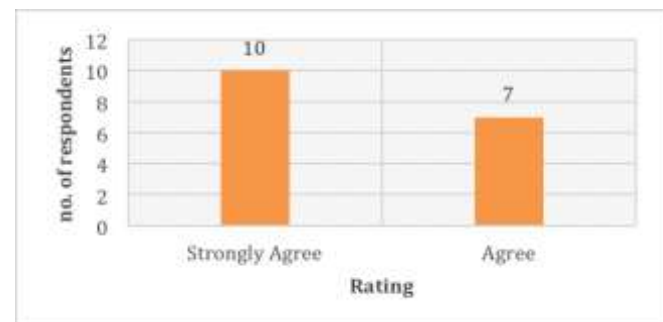
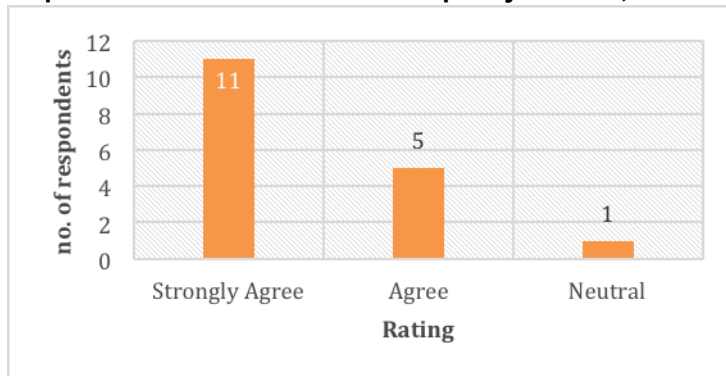


Figure 15. Survey respondents' perception on success of the Project in conducting a number of activities that helped improve the awareness of policy-makers, government officials, and community leaders on sustainable use of coral reefs and seagrass beds.

Improvement in the awareness of policy-makers, officials and leaders

In comparison with the awareness of policy-makers, government officials, and community leaders about marine conservation before the Project, majority of the survey respondents strongly agreed that there was a good and positive improvement during the implementation of the Project (Figure 16). Respondents regarded the significant improvement in the awareness of policy-makers, government officials, and community leaders on marine conservation eventually resulted in the approved management plans for Hon Chong, Bai Thit, and Vinh Hy subsites.

Figure 16. Survey respondents' perception on success of the Project in improving the awareness of policy-makers, government officials, and community leaders on sustainable use of coral reefs and seagrass beds.

Improvement on the effective management capacity of local agencies and community members

Overall, majority of the respondents remarked a “strongly agree” (8) and “agree” (7) ratings in terms of the increase of the effective management capacity of local agencies and communities in managing coral reef and seagrass areas (Figure 17). Respondents mentioned that the “capacity of local agencies and community members for more effective management improved following each stage of the Project which created strong links between members”.

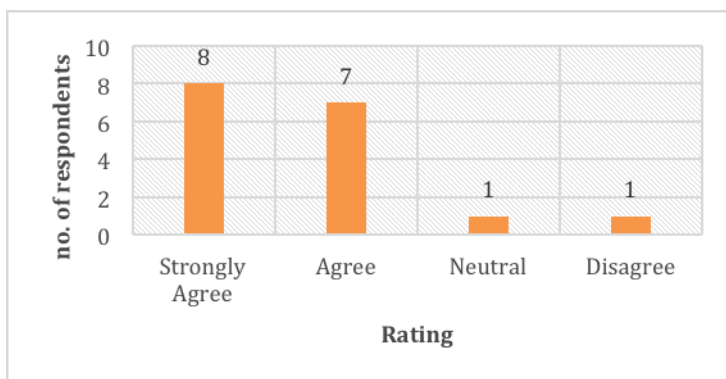


Figure 17. Survey respondents' perception on the improvement on the effective management capacity of local agencies and community members.

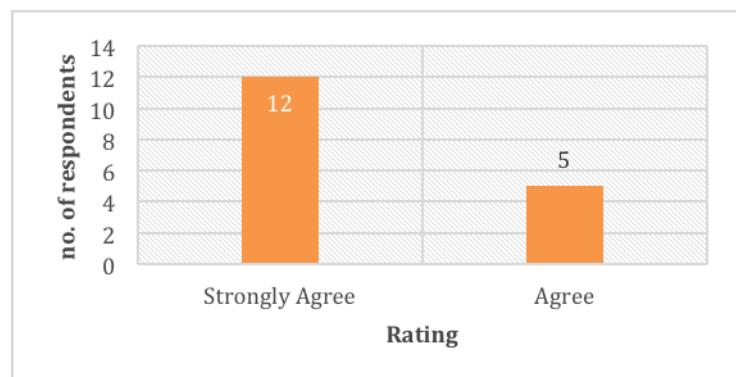


Figure 18. Survey respondents' perception on the success of the Project in capacitating trainings for managers.

Conduct of trainings for managers

Some 12 respondents strongly agreed that training workshops for protected area managers were carried out successfully during the Project (Figure 18). The trainings were able to help develop skills and knowledge of protected area managers, for improved management of coral reefs and seagrasses. As mentioned by the respondents, protected area managers were equipped with training knowledge on marine resources and conservation, scuba diving, monitoring and rehabilitation of coral reefs, environmental communication, and patrolling.

Improvement of area management

Most of the respondents (11 out of 17) agreed that an improved area management was evident as a result of the training workshops conducted thru the Project (Figure 19). Four (4) respondents strongly agreed that coral reef and seagrass areas are being managed much better now than before the

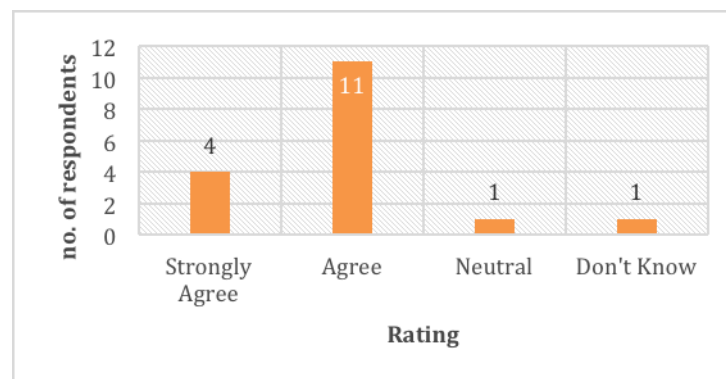


Figure 19. Survey respondents' perception on the improvement of area management brought about by the training workshops conducted thru the Project.

Project. One (1) respondent cited that there was a “temporary increased” in the cover of hard corals in all of the three (3) areas for the period of 2011 to 2014. It was noted that an increase of 18.5% and 1.6 times in the cover of hard corals was observed in the protected area while an increase of 15.5% (equivalent with 1.5 times) was recorded in the restoration area. A lesser increment in the unprotected area (5.6% and 1.2 times) was documented.

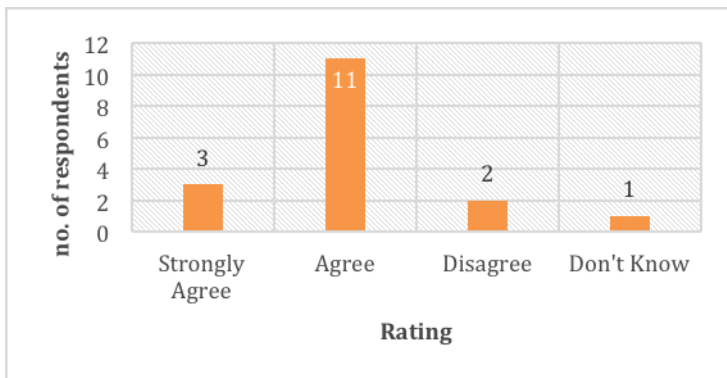


Figure 20. Survey respondents' perception on the conduct of knowledge and information exchange activities during the Project.

Conduct of knowledge and information exchange activities

Large portion of the survey respondents (11 of 17 respondents) agreed that during the Project, managers and operating personnel of Nui Chua Park and Ninh Hai District exchanged knowledge and information with managers and personnel from other natural habitat areas in Vietnam and other countries of the South China Sea and Gulf of Thailand (SCS/GT) region (Figure 20). Respondents specified study tour to Mu Ko Chang National Park in Thailand and National Conference in

Vietnam as highlight activities that enabled managers and officers to exchange of knowledge and information with other marine protected areas.

Understanding improved as a result of exchanged programs

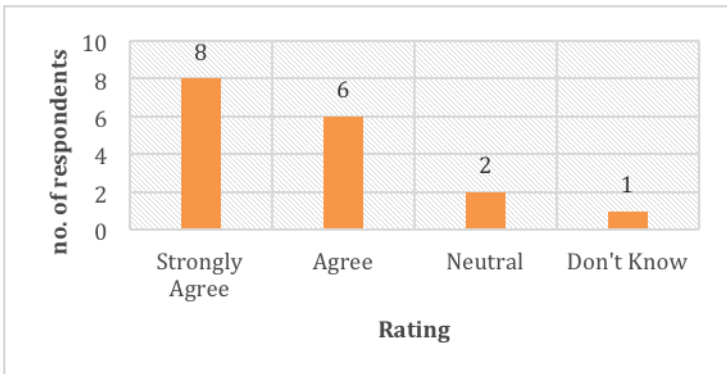


Figure 21. Survey respondents' perception on the result of exchanged programs that capacitated understanding and awareness of site managers.

Shown in Figure 21, a significant number of respondents remarked (14 respondents) a positive outlook that thru exchange programs conducted by the Project, understanding and awareness of site managers and other personnel has greatly improved.

Best practices transferred to other sites

In terms of the best practices transferred to other sites thru exchange programs, opinions of the survey respondents were divided (Figure 22). Respondents noted that the lessons learned from the Project were shared to domestic and international forum. Although a significant percentage of the respondents seemed mum on this.

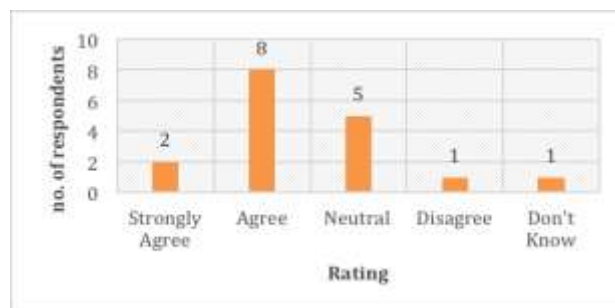


Figure 22. Survey respondents' perception on the best practices transferred to other sites thru exchanged

Possible challenges or problems encountered

Additional questions were posed to the respondents. The inquiries intended to explore the possible challenges or problems that may have been encountered during the course of Project implementation.

Timeframe

All the Project implementors and managers who participated in the survey felt that the timeframe for the Project was too short. According to Project implementors, suitable timeframe for the Project should have been 4 to 6 years since coral reef and marine ecosystem need longer time to recover.

Because of the relative short span of the Project, one implementor noted that the community was not well-trained and maintained regularly.

Funding

While the funding is limited, Project implementors recognized that it was effectively used and disbursed. The planned objectives and outputs of the Project were achieved with the funds provided, including those that were leveraged. However, some implementors noted that the funding of the Project was not enough to formulate major policies. Others felt that additional funds should have been allocated for livelihood activities in the Project area.

Technical support

Project implementors and managers perceived that the technical support provided during the Project was appropriate, adequate and timely. One respondent remarked that "there was no technical problem that emerged during Project life time". On the contrary, one respondent reiterated that the technical support provided during the Project was not enough because of the lack of support tools, equipment research, and fieldwork.

Monitoring and evaluation

According to the Project implementors, mechanisms to ensure effective monitoring and evaluation of the progress and performance of the Project were already in place. Respondents also noted that the criteria for monitoring each activity of the Project were already set.

Scaling up/ Replication of the Project

The Project implementors and managers were very optimistic that the results and achievements of the Project can be scaled up or replicated in other protected areas in Vietnam and the region. One respondent mentioned that replication to other areas in Vietnam and other region was possible since socio-economic conditions to other areas in the region are likely similar.

Strength and weaknesses of the Project

Success of the program

Overall, the respondents were convinced that the Project achieved its objectives. The effective management mechanism and the participation of stakeholders and the community largely contributed in the success of the Project. Others attributed the professionalism of the executing agency, enthusiastic participation of different sectors, responsible stakeholders, relevant management of the local community contributed to the perceived success of the Project.

Sustainability of the Project

Sustainability of the Project is feasible according to the respondents. Respondents regarded the engagement of government on implementing concrete policies to strengthen the management and sustainability of marine and coastal resources in the area as an important step to sustainability. In addition, integrated management plan, regulations of management resources in Nui Chua National Park, mechanisms to collect and use tourist fee in Ninh Thuan province were already in place.

One respondent noted that the Project will either be sustainable or not in the future depending on the implementation of the "Planning framework for management and sustainable use of marine and coastal resource of Ninh Hai district, Thuan Bac district, Ninh Thuan Province to 2020." Likewise, the government sincerity to continue the implementation of the activities laid out by the Project would also affect its sustainability.

Problems or constraints

Problems or constraints that confronted the successful implementation of the Project as perceived by the respondents are as follows:

1. The timeframe of Project is short. Specifically, the time for internal (national) procedures (financial management, Project registration) was not taken into account in the Project schedule.
2. Few cases of use of dynamite and chemical anesthesia to kill a marine species resource are still observed
3. Cost norms of some expenditure items of the Project should be included in the Project document to facilitate the use of fund.
4. Low capacity of local partners.
5. Management issues and policies overlap.

Factors that affected the overall performance of the Project

Respondents described implementation approach and community participation as factors that greatly affected the overall performance of the Project. According to some respondents, implementation approach of the Project was not synchronized. Others took note that the funding of the Project was not

suitable to some of its activities, which affected the overall performance of the Project. Some were also vocal that several local managers were not paid properly.

Key lessons

Some of the key lessons gained by the people who were directly involved in the Project are as follows:

1. The expertise and experience, not to mention the capacity of project coordinator and executing agency was crucial in the successful implementation of the Project. Their level of commitment and understanding of the value of conserving and protecting coral reef resources also work in making the Project a success.
2. Livelihood projects that are designed according to local conditions and needs of local community also helped in the successful implementation of Project. Livelihood activities and effective management reduced pressure on coral reef.
3. Sound science is necessary in formulating integrated management plans for the district and at the sub-site level.
4. The participation and active involvement of community and local governments are extremely important in the implementation of Project activities
5. Awareness of community on coral reef resource management done through proper communication strategies, help gain community's support and participation

Suggestions or comments

Long list of suggestions were provided by the respondents. This includes:

1. The Project needs extension of time and budget to continue implementing the activities that were set in place, and thus help sustain the needs of the local coastal communities.
 2. The pilot livelihood projects need to attract business companies for sustainable implementation and management.
 3. Strengthen the communication and awareness raising strategies to gain more support from other stakeholders.
 4. Enhance the protection of the site by frequent patrols
-

Annex 7 Planned⁴⁹ Project costs and Co-financing

Planned Project Cost

<i>Project Components</i>	<i>Expected Outcomes</i>	<i>Expected Outputs</i>	<i>GEF Financing</i>		<i>Co-financing</i>		<i>Total(\$)</i>
			<i>(\$)</i>	<i>%</i>	<i>(\$)</i>	<i>%</i>	
Improving area management through cross-sectorial and participatory approaches	Management framework established and the management capacity improved	Institutional arrangement for cross-sectorial management, integrated management plan, demarcation, enforcement and surveillance of regulations and legislation, rehabilitation of damaged habitats through the participatory approach, habitat monitoring system	218,565	43	292,842	57	511,407
Pilot project on alternative measures for sustainable income-generation for the local community	Unsustainable exploitation of natural resources reduced Sustainable livelihoods of local people developed	Alternative measures for sustainable income-generation ex. eco-tourism, aquaculture	87,200	30	201,824	70	289,024
Capacity Building and awareness raising	Knowledge and skills for the management of coral reef habitats increased	Awareness raising materials, training workshop on sustainable use and professional skills, exchange of information and experience	60,445	92	5,395	8	65,840
Project management			40,690	58	28,225	42	68,915
Total Project Costs			406,900		528,286		935,186

Planned Sources of Co-financing

Name of co-financier (source)	Classification	Type	Amount (\$)	%*
Nui Chua National Park	Provincial government	Cash	376,009	71%
Ninh Thuan Department of Science & Technology	Provincial government	Cash	19,430	4%
Ninh Thuan Sub-department of Fisheries Protection	Provincial government	Cash	22,152	4%
Various national and provincial agencies and local communities	Government and NGOs	In-kind	110,695	21%
Total Co-financing			528,286	100%

⁴⁹ Up-to-date project costs and co-financing data was not provided to the Evaluator.

Annex 8: Matrix for the Assessment of the Quality of Project Design

Relevance		Evaluation Comments	Source / Reference
Are the intended results likely to contribute to UNEP's Expected Accomplishments and programmatic objectives?		The Ninh Hai Project is very relevant and is likely to contribute to UNEP's Expected Accomplishment, specifically under the Ecosystem Management thematic priority. The results of this project could provide the framework for Vietnam and the SCS Project in general, to help integrate a sustainable coral reef ecosystem management approach into their marine and coastal conservation and development programs and planning processes; thus promoting the strong linkages between the state of marine ecosystem and human well-being. HS	UNEP Medium Term Strategy 2010-2013
Does the project form a coherent part of a UNEP-approved programme framework?		Yes, again particularly under the sub programme 3, Ecosystem Management. The Project expects to: enhance and improve the management of the coastal waters of the Ninh Hai District through cross sectoral and participatory approaches; reduce the pressure on the coral ecosystem through sustainable livelihood projects; and increase the knowledge and skills on the management of coral reef habitats. These target outcomes are very much within the defined outputs of the sub programme that are planned under expected accomplishments (a) and (b). HS	UNEP Programme of Work 2010-2011
Is there complementarity with other UNEP projects, planned and ongoing, including those implemented under the GEF?		Yes, many. To name a few: a. Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand (where this Project is anchored) b. Demonstration of Community-based Mgt of Seagrass Habitats in Trikora Beach East Bintan, Riau Archipelago Province, Indonesia c. Formulation of a Strategic Action Program for the Integrated Management of Water Resources and the Sustainable Development of the San Juan River Basin and its Coastal Zone d. Promoting Ecosystem-based Approaches to Fisheries Conservation and LMEs e. A Transboundary Waters Assessment Programme: Aquifers, Lake/Reservoir Basins, River Basins, Large Marine Ecosystems, and Open Ocean to Catalyze Sound Environmental Management HS	The GEF website http://www.thegef.org
Are the project's objectives and implementation strategies consistent with:	i) Sub-regional environmental issues and needs?	The Ninh Hai Project is designed and implemented in accordance with the strategy of the UNEP/GEF <i>Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand</i> (SCS Project) and the Strategic Action Programme, whose main goal is to foster and encourage, at a regional level, collaboration and partnership in addressing transboundary environmental problems of the South China Sea, and enhance the capacity of the participating governments to integrate environmental considerations into national development planning processes. HS	Project Document
	ii) the UNEP mandate and policies at the time of design and implementation?	Yes. The Project was conceived under the Ecosystem Management thematic priority, whose strategy and expected accomplishments are still very much relevant and consistent with promoting an integrated and participatory type of coastal and marine resources management, even up to the present time.	UNEP Medium Term Strategy 2010-2013 UNEP Programme of Work 2010-2011

Relevance	Evaluation Comments	Source / Reference
iii) the relevant GEF focal areas, strategic priorities and operational programme(s)? (if appropriate) iv) Stakeholder priorities and needs?	HS The Ninh Hai Project is consistent with strategic objective IW-2, "to catalyze transboundary action addressing water concerns." Its implementation served as a contribution to the IW strategic programme 1: Restoring and sustaining coastal and marine fish stocks and associated biological diversity, where an increased coverage of marine protected areas was expected. HS	The GEF website http://www.thegef.org Project Document
	The Ninh Hai Project is one of the priority projects for nature conservation in Vietnam. Given the national and regional importance of the coastal waters of the Ninh Hai district which form part of the Nui Chua National Park, the Government of Vietnam has listed this area as a priority site in the National Biodiversity Action Plan approved by Vietnamese Prime Minister in 1995.	Project Document
Overall rating for Relevance	HS	
Intended Results and Causality		
Are the objectives realistic?	The Project's objective to demonstrate an integrated management of regionally significant coral reef and seagrass habitats and establish a marine protected area (MPA) of 1,070 ha of coral reef, including a total 40 ha of seagrass is a tall order given the short period of time of only 34 months; although this was extended to 48 months. Hence, with only 4 years, the objective would be difficult to realize. MS	Project Document
Are the causal pathways from project outputs [goods and services] through outcomes [changes in stakeholder behavior] towards impacts clearly and convincingly described? Is there a clearly presented Theory of Change or intervention logic for the project?	There is no Theory of Change (ToC) analysis and discussion on Review of Outcome to Impact (ROtI)U	Project Document
Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?	As mentioned earlier, the time allotted to the Project is relatively short and therefore the project outcomes would likely not be achieved within its timeframe. MS	Project Document
Are the activities designed within the project likely to produce their intended results?	Yes. There are 33 activities listed in the Project Document and if these are accomplished as planned, there is a strong likelihood that the intended results could be attained. S	Project Document
Are activities appropriate to produce outputs?	Yes. It's the timing of their delivery that is put into question. S	Project Document
Are activities appropriate to drive change along the intended causal pathway(s)?	Yes, although there are impact drivers and assumptions that must be considered to result into scenarios (intermediate states) that are necessary to produce the target goal and impact of the Project. S	Project Document
Are impact drivers, assumptions and the roles and capacities of key actors and stakeholders clearly described for each key causal pathway?	Since the ToC and ROtI approach was not in use at the time of Project design, it is difficult to arrive at a definitive conclusion on this. However, the Project's Results Framework does show indications of causal pathways, where the attainment of activities, outputs and outcomes would lead to the target objective and goal. MS	Project Document
Overall rating for Intended Results and	MS	

Relevance	Evaluation Comments	Source / Reference
causality		
Efficiency		
Are any cost- or time-saving measures proposed to bring the project to a successful conclusion within its programmed budget and timeframe?	No mention of this aspect in the Project Document. MS	Project Document
Does the project intend to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	Yes. The Project is developed and implemented under the umbrella of the SCS Project. There are about 24 demonstration projects under the SCS, including the ones under the Ninh Hai Project. These demonstration projects are directly linked with each other. This design is expected to result in a synergistic effect; and thus seen to contribute in increasing the Ninh Hai Project's overall efficiency. HS	Project Document
Overall rating for Efficiency	S	
Sustainability / Replication and Catalytic effects		
Does the project design present a strategy / approach to sustaining outcomes / benefits?	Yes. The Project's three main components or outcomes, when properly implemented and instituted, are so designed to provide the necessary platform to lay the foundation in demonstrating an integrated strategy that will help reduce stress on a regionally significant transboundary body of water. S	Project Document GEF CEO Endorsement Document
Does the design identify the social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Does the design foresee sufficient activities to promote government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?	Yes. The component or outcome on improving "area management" through cross sectoral and participatory approaches is a clear indication that the Project Design is sensitive to socio-political factors that may influence, positively or negatively, the sustenance of Project results. With the establishment of institutions like the PSC, AG and PTG sends a clear signal that government's and other stakeholders' (political and economic) support are necessary to pursue and sustain the Project's programs, plans, activities, and monitoring systems. S	Project Document GEF CEO Endorsement Document
If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?	Yes. One of the components of the Project is on pilot testing sustainable Income Generating Options (IGO), which could provide a steady source of income to communities that will lessen their dependence and destructive use of the coastal/marine resources. Also, the Project will engage Sustainable Financing Strategy for MPA management. Collaboration with key stakeholders (provincial government, local communities, private sector) to prepare a fund generation scheme (ex. tourism user fee) for the MPA will be explored. Other schemes are also to be tested. S	Project Document GEF CEO Endorsement Document
Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?	Yes. If the funding invested for income generation (IGO) are not properly monitored may turn out to be used for other destructive means of coastal and marine resources exploitation. MS	Project Document GEF CEO Endorsement Document
Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?	Yes. As briefly described above under the area management component, as well as in the Capacity Building and Awareness Raising component of the Project. S	Project Document GEF CEO Endorsement Document

Relevance	Evaluation Comments	Source / Reference
<p>Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?</p>	<p>Yes, a lot of them, which when not addressed will continue to jeopardize whatever the Project has established. These environmental factors are overfishing, use of destructive and illegal harvesting techniques, illegal mining and collection of live corals, siltation, and predation by crown-of-thorns (COTS). Pollution from the mainland and shrimp farming areas are other threats to coral reefs and the marine environment.</p> <p>As to Project output, one that may negatively influence the environment is ecotourism, which when not properly regulated could result in abuse of natural and cultural resources.</p> <p>S</p>	<p>Project Document GEF CEO Endorsement Document</p>
<p>Does the project design foresee adequate measures to catalyze behavioral changes in terms of use and application by the relevant stakeholders of (e.g.):</p>	<p>i) technologies and approaches show-cased by the demonstration projects;</p> <p>Yes. The establishment of Marine Protected Area (MPA), zoning, demarcation, and rehabilitation of damaged reef areas, and collection of destructive crown of thorn starfish are but some of the measures and strategies that hopefully will lead to a change in behavior of key stakeholders, resulting in an improved management capacity of the officials of the Nui Chua National Park office and positive perception of the local communities on coastal and marine resources conservation. In parallel, activities such as reforestation and solid waste management are expected to minimize negative impacts from the land-based activities to marine habitats.</p> <p>S</p> <p>ii) strategic programmes and plans developed</p> <p>Yes. The Project aims to develop integrated area management plan, zoning plan, guidelines, sustainable livelihood development plan, and other programmes that when fully implemented will surely catalyze behavioral change among relevant stakeholders.</p> <p>S</p> <p>iii) assessment, monitoring and management systems established at a national and sub-regional level</p> <p>Yes. The Project will establish an M&E system that shall follow the UNEP standard monitoring, reporting and evaluation processes and procedures, as well those prescribed in the GEF Monitoring and Evaluation policy.</p> <p>At the Project Level, the Project will establish a monitoring system that will involve local communities in tracking the status and condition of coral reefs and seagrass beds and application of other rehabilitation and conservation measures.</p> <p>S</p>	<p>Project Document GEF CEO Endorsement Document</p> <p>Project Document GEF CEO Endorsement Document</p> <p>Project Document GEF CEO Endorsement Document</p>
<p>Does the project design foresee adequate measures to contribute to institutional changes? [An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in any regional or national demonstration projects]</p>	<p>Yes, the capability building of officials (from IO, the Department of Science and Technology, and other government institutions) community leaders and the raising of awareness of other stakeholders; and the introduction and pilot testing of livelihood projects are expected to result in strengthening local and regionally-related undertakings on coastal and marine conservation.</p> <p>S</p>	<p>Project Document GEF CEO Endorsement Document</p>
<p>Does the project design foresee adequate measures to contribute to policy changes (on paper and in implementation of policy)?</p>	<p>Yes. Series of training-workshops shall be conducted for local policy-makers and government officials and community representatives to enhance their understanding of integrated natural resource management. These trainings are expected to result in the formulation of changes in policies and their subsequent implementation on the ground.</p> <p>S</p>	<p>Project Document GEF CEO Endorsement Document</p>
<p>Does the project design foresee adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?</p>	<p>Yes. An important component of the Project is the establishment of Sustainable Financing Scheme specifically to fund the MPA activities. This is envisioned to be carried out by establishing a community-based ecotourism project in the</p>	<p>Project Document GEF CEO Endorsement Document</p>

Relevance	Evaluation Comments	Source / Reference
	district. S	
Does the project design foresee adequate measures to create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?	No specific mention of this in the Project Document. However, there are references to training and improving the capacity of the local leaders and communities in natural resources management. These local leaders, when properly trained and capacitated can become in effect "champions" in coastal and marine conservation. MS	Project Document
Are the planned activities likely to generate the level of ownership by the main national and regional stakeholders necessary to allow for the project results to be sustained?	Under Component 1 " <i>improved area management</i> " mention was made of the leading role that local stakeholders will play to ensure their ownership of and commitment to project implementation. Essentially, this may also mean that ownership of the project results at the national level could be generated. MS	Project Document GEF CEO Endorsement Document
Overall rating for Sustainability / Replication and Catalytic effects	S	
Risk identification and Social Safeguards		
Are critical risks appropriately addressed?	Three risks are identified: (1) Economic concerns may intervene or even overwrite conservation efforts during and after the life of the project as Ninh Hai is in the state of rapid development; (2) lacks of sustainable funding for effectively maintaining its conservation effort; and (3) impact of natural disasters such as typhoon or bleaching, and outbreak of crown thorn. Measures are laid out on how to properly address these risks. S	Project Document GEF CEO Endorsement Document
Are assumptions properly specified as factors affecting achievement of project results that are beyond the control of the project?	Yes. These assumptions are enumerated in the Project Results Framework matrix. S	Project Document GEF CEO Endorsement Document
Are potentially negative environmental, economic and social impacts of projects identified?	Yes. For instance, the negative impacts of land-based activities on marine habitats could be addressed by reforestation and proper solid waste management. Other negative impacts identified are: outbreak of crown of thorns, destructive livelihood activities, building of fishing ports, etc. S	Project Document GEF CEO Endorsement Document
Overall rating for Risk identification and Social Safeguards	S	
Governance and Supervision Arrangements		
Is the project governance model comprehensive, clear and appropriate?	The Project Management Framework (cum governance) clearly defines the government institutions and agencies involved and responsible in the implementation of the Project. Their functions, roles and responsibilities are clearly outlined. S	Project Document GEF CEO Endorsement Document
Are roles and responsibilities clearly defined?	See above. S	Project Document GEF CEO Endorsement Document
Are supervision / oversight arrangements clear and appropriate?	Yes. The supervisory and oversight functions assigned to UNEP were clearly stated in the project cooperation agreement. S	Project Document GEF CEO Endorsement Document
Overall rating for Governance and Supervision Arrangements	S	

Relevance	Evaluation Comments	Source / Reference
Management, Execution and Partnership Arrangements		
Have the capacities of partners been adequately assessed?	Significant sections of relevant project documents mention generally about the limited capacity of local resource managers and lack of tools required to make informed decisions on coral reef conservation and management. Thus, one important component of the Project is the provision of necessary capacity-building training on natural resources management. While there was no explicit mention of assessing the partners' capacity, implicitly the activities listed in the project documents suggest that there was an indirect assessment done, qualitatively or quantitatively. MS	Project Document GEF CEO Endorsement Document
Are the execution arrangements clear?	Yes. The Project Document has a clear discussion on this aspect. S	Project Document GEF CEO Endorsement Document
Are the roles and responsibilities of internal and external partners properly specified?	For Internal Partners yes, but not explicitly specified for External partners. MS	Project Document GEF CEO Endorsement Document
Overall rating for Management, Execution and Partnership Arrangements	MS	
Financial Planning / budgeting		
Are there any obvious deficiencies in the budgets / financial planning?	Apparently Yes because the Project had to be extended and revised twice (originally from 35, then 41, 1 st revision, then to 54 months, 2 nd revision) principally due to relatively small amount of budget utilization and disbursement. MU	Revisions to Project Document Project TE TOR
Is the resource utilization cost effective? Is the project viable in respect of resource mobilization potential?	The Project Document was revised twice because of the small amount of budget expenditures. Hence, there could be some problems encountered in fund utilization, such as slow start up due to problem encountered in establishing a cross-sectoral management body. MU	Revisions to Project Document
Are the financial and administrative arrangements including flows of funds clearly described?	The Project Cooperation Agreement (PCA) Clearly states the obligations of UNEP and the Executing Agency in the administration of Project Funds, including its flows, auditing, and related fund arrangement/management procedures. MS	Project Document Project Cooperation Agreement
Overall rating for Financial Planning / budgeting	MU	
Monitoring		
Does the logical framework: <ul style="list-style-type: none"> capture the key elements of the Theory of Change for the project? have 'SMART' indicators for outcomes and objectives? have appropriate 'means of verification'? identify assumptions in an adequate manner? 	There is a Logical Framework (Project Results Framework) in the Project Document. The document, however, lacks the Theory of Change (TOC) analysis as earlier pointed out, hence the key elements in the TOC are not captured. Nonetheless, there is a long list of indicators for outputs, outcomes and objectives that are drawn using the 'SMART' requirement. The ways to verify these indicators are likewise clearly stated, including the statements of some assumptions. S	Project Document GEF CEO Endorsement Document
Are the milestones and performance indicators appropriate and sufficient to foster management towards outcomes and higher level objectives?	Yes, these performance indicators and milestones are sufficient to meet the desired outcome and objectives of the Project. However, in the context of meeting the target goal and impact, there are key elements that need to be identified, which should have been identified in the first place had a	Project Document GEF CEO Endorsement Document

Relevance	Evaluation Comments	Source / Reference
	TOC been done. S	
Is there baseline information in relation to key performance indicators?	Not all key performance indicators are supported by baseline data and information. In fact, baseline information is somewhat limited. MU	Project Document GEF CEO Endorsement Document PIR
Has the method for the baseline data collection been explained?	No mention of this U	Project Document GEF CEO Endorsement Document
Has the desired level of achievement (targets) been specified for indicators of outcomes and are targets based on a reasoned estimate of baseline?	With regard to the desired level of achievement (targets) being supported by the indicators, the answer is Yes. However, for the targets being based on reasonable estimate of baselines, no conclusive statement in this can be provided in view of limited baseline data and information provided in the Project Results Framework. MU	Project Document GEF CEO Endorsement Document PIR
Has the time frame for monitoring activities been specified?	Yes. This is clearly outlined in the M & E plan. S	Project Document GEF CEO Endorsement Document
Are the organisational arrangements for project level progress monitoring clearly specified?	Yes. S	Project Document GEF CEO Endorsement Document
Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?	Yes. The amount of US \$ 84,505 has been set aside. S	Project Document GEF CEO Endorsement Document
Overall, is the approach to monitoring progress and performance within the project adequate?	Yes, as pointed out above, M & E indicators are listed, responsible offices are identified and fund requirements are set aside. MS	Project Document GEF CEO Endorsement Document
Overall rating for Monitoring	MS	
Evaluation		
Is there an adequate plan for evaluation?	Yes. This is included in the overall M & E Plan. S	
Has the time frame for evaluation activities been specified?	Yes, also as indicated in the M & E Plan S	
Is there an explicit budget provision for mid-term review and terminal evaluation?	Yes. For mid-term review, it's about US \$ 2,000 and for terminal evaluation it's about US \$ 7,500 (however note no mid-term review conducted) MS	
Is the budget sufficient?	These amounts are relatively small compared to other GEF-funded projects. MS	
Overall rating for Evaluation	MS	

Annex 9: Brief CVs of the Consultants**JAMES T. BERDACH****Principal Evaluator**

James T. Berdach, M. Sc., is an international development consultant with over 20 years of experience in coastal and marine resources management; protected area planning and management; biodiversity conservation; integrated water resources management; environmental policy; ecotourism planning; environmental assessment; environmental awareness-raising; and climate change. Mr. Berdach has worked extensively on community-based resources management and environmental evaluation projects in countries throughout Asia and the Indo-Pacific region including, among others, Philippines, Indonesia, China, Vietnam, Malaysia, Sri Lanka, Maldives, Papua New Guinea, Solomon Islands, Fiji, Tuvalu, Federated States of Micronesia, Mariana Islands, and the United States. Mr. Berdach's applied technical knowledge is based on a strong foundation of academic training and field studies in the biological and botanical sciences. His extensive international experience has facilitated the accomplishment of challenging assignments within a variety of cultural settings, each with its own unique constraints and opportunities. Mr. Berdach has authored or contributed to dozens of technical reports and publications on topics in marine and coastal resources management, biodiversity conservation, and related subject areas.

Date of Birth: 22 September 1950

Citizenship: United States of America

Degrees:

M.S., Botany, 1976, University of Minnesota, St. Paul, MN USA

B.A., General Science (Biology), 1972, University of Rochester, Rochester NY, USA

Other Academic Coursework:

Post-Graduate Coursework in Botany, 1982-1983, University of Hawaii, Honolulu HI, USA

Field Studies in Marine Biology, 1975, Friday Harbor Laboratories, University of Washington, WA, USA

Undergraduate Coursework in Biology 1971-1972, University of California, Santa Barbara CA, USA

Other Training:

United Nations Basic and Advanced Security in the Field, 2010, FAO, Manila

Global Environment Facility (GEF) Orientation Seminar, 2007, Asian Development Bank, Manila

Environmental and Social Safeguards Orientation Seminar, 2006, Asian Development Bank, Manila

Management Skills Training Workshops, 1997, Belt Collins Hawaii, Honolulu, HI USA

Cross-cultural Training, U.S. Peace Corps 1978, San Leonardo, Nueva Ecija, Philippines

Languages:

English (mother tongue); Tagalog (professional fluency); Cebuano (good speaking/comprehension); Spanish (good speaking/comprehension); German (good speaking/comprehension); Bahasa Indonesia (basic conversation)

Countries of Work Experience:

Philippines, Indonesia, China (PRC), Viet Nam, Myanmar, Malaysia, Japan, Sri Lanka, Bhutan, Maldives, British Indian Ocean Territory, Papua New Guinea, Solomon Islands, Fiji, Federated States of Micronesia, Tuvalu, Palau, Commonwealth of Northern Mariana Islands, Wake Island (U.S.), Guam (U.S. Territory), South Africa, United States

Clients and Project Funding Sources:

Asian Development Bank (ADB), Global Environment Facility (GEF), World Bank, International Fund for Agricultural Development (IFAD), United Nations Environment Programme (UNEP), Food and Agriculture Organization (FAO), United Nations Educational, Scientific, and Cultural Organization (UNESCO), United States Agency for International Development (USAID), non-government organizations (NGOs), foundations, and private sector.

LOPE A. CALANOG
Evaluation Specialist

Lope A. Calanog, Ph.D., is an environment consultant/researcher who has extensive experience in managing environment and community-based natural resources related projects for more than 30 years in the Philippines. He has supervised and managed a research unit in the government tasked to formulate, implement, monitor and evaluate integrated research and development (R & D) programs on community/social forestry, tenurial arrangements, community-based natural resource management, agroforestry, and other natural resources-based livelihood projects. Foremost of the projects he handled was the “National Integrated Protected Areas Programme” (NIPAP), a European Union-assisted project implemented by the Philippine Department of Environment Natural Resources (DENR), where he served as the National Director for five years. For a brief period, he also directed the implementation of the World Bank-funded “Conservation of Priority Protected Areas Project”, also by the DENR. He has worked with the Asian Development Bank for more than 5 years on an intermittent basis, as environmental staff consultant. He has coordinated the implementation of two environment-related projects in the Pacific Region under the Pacific Department of ADB, and has served as ADB’s GEF Portfolio Management Officer. Presently, Dr. Calanog is also serving as the Sustainable Financing Specialist for the ADB Coral Triangle Initiative, Southeast Asia.

Dr. Calanog has published several articles on upland development, biodiversity conservation and protected area management. He has also presented several papers on various aspects of environmental management, both locally and internationally.

Aside from project management, he also has expertise in the following fields: Social Science Research and Development; Natural Resources Policy Research; Anthropology/Ancestral Domain Issues; Land Tenure; Institutional Analysis/Strengthening; Rapid Rural Appraisal/Participatory Resource Assessment; Community-Based Enterprise Development; Community Development/People Empowerment; Environmental Impact Assessment/ Social Impact Assessment; Environmental Extension; and Case Study Analysis.

Dr. Calanog was the recipient of the 2009 Forests and Natural Resources Research Society of the Philippines, Inc. (FORESPI) Most Outstanding Scientist Award under the category of Socio-Economics and Policy Research in Forestry and Natural Resources. He holds a Master of Arts degree in Anthropology and a Ph.D. in Community Development from the University of the Philippines at

Los Baños.

Annex 10: Project Training and Awareness Raising Activities

I. TRAINING

Num .	Name of Training Activity, Workshop, etc.	Date and Location Conducted	Description of Topics Covered	Target Trainees or Participants	Number of Persons Trained/ Participating	Description of Training Materials	Description of Results of Training (degree of success, impact)	How was Training/Workshop Monitored or Evaluated?
1	Training workshop: "Sea and human beings"	- Oct. 15, 2011 - Hall of Thanh Hai CPC - Oct. 15, 2011 - Vinh Hai Secondary School	- Marine organism - Roles of sea to Nature and human beings - Anthropogenic threats to sea - Mgt. solutions	- Youths of Thanh Hai commune - At Secondary-school pupils of Vinh Hai commune.	35 50	- Power-point presentation - Printed guideline hand-out sheets	Trainees expressed appreciation for improved knowledge of the subject matter	Quizzes on trained lessons
2	Seminar: <i>Environment and Coral Reef (CR) Resources in Ninh Hai</i>	- Oct. 16, 2011 - Thanh Hai Community Meeting Place	- Ninh Hai CRs, related resources - Ninh Hai coastal marine environment - Threats and priority solutions	Youths of Ninh Hai District	40	Oral discussion	Participants expressed appreciation for improved knowledge of the subject matter	- Quizzes on discussed topics
3	Training course: <i>SCUBA diving skills</i>	- Sep. 20–23, 2011 - Sep. 7-12, 2014 By: Ltd. Co. Trung Hai Vietnam Explorer	- Open-water PADI level skills	- NCNP staffs - Ninh Thuan DOST - Ninh Thuan Sub-DOPF - IO staffs	15	Indoor	15 diving licenses issued	- Supervised participants - Certificates
4	Training course: "Communication for conservation" (held by BCD and BIOFORSK)	- Mar. 6-8, 2012 in Cao Lanh City - Oct. 11–12, 2013 in HCM city	- Importance - Key rules - Types of media and protocols for	- Ninh Hai Proj. Site Coordinator - Ninh Hai Proj. Assistant - NCNP staff (01)	3	- Power-point presentation - Printed guideline hand-out sheet		- Being issued certificates of completion

Num .	Name of Training Activity, Workshop, etc.	Date and Location Conducted	Description of Topics Covered	Target Trainees or Participants	Number of Persons Trained/ Participating	Description of Training Materials	Description of Results of Training (degree of success, impact)	How was Training/Workshop Monitored or Evaluated?
			environment communication - Develop Content of handbook of environment communication for Vietnam environment protected areas					
5	Workshop: "Assessment of Natural Resources, Socio-economic, and Environment in Ninh Hai"	- Jun. 5 th 2012 - Hall of Ninh Thuan DOST	- Socio-economic condition, conflicts in the CZ of Ninh Hai – Ninh Thuan, Vietnam - Status condition and context of planning for Resource Utilization of CR ecosystem in coastal waters of Ninh Hai - Orientations for Dev. of IMP for Ninh Hai	- Managers - Scientist - Environmentalist - Border guards	16	- Power-point presentation - Printed guideline hand-out sheet	Participants expressed appreciation for organization	

Num .	Name of Training Activity, Workshop, etc.	Date and Location Conducted	Description of Topics Covered	Target Trainees or Participants	Number of Persons Trained/ Participating	Description of Training Materials	Description of Results of Training (degree of success, impact)	How was Training/Workshop Monitored or Evaluated?
6	Training course: <i>"Coral reef rehabilitation and monitoring"</i>	- Jul. 27–30, 2012	<ul style="list-style-type: none"> - Importance - Scientific bases - Principal rules - Techniques - Case study - Field practice - Withdrawing lessons learned 	<ul style="list-style-type: none"> - Communitymembers - NCNP staffs 	13	<ul style="list-style-type: none"> - In-door class: Power-point presentation - Printed guideline hand-out sheet - Out-door class: practice 	Certifications	<ul style="list-style-type: none"> - Level of completion of assignment - Certificates
7	Training workshop <i>"Reasonable Utilization of Natural Resources of Ninh Thuan CZ for Sustainable Development"</i>	<ul style="list-style-type: none"> - Sep. 10, 2012 - Hall of Ninh Thuan DOST 	<ul style="list-style-type: none"> - Valuation of coastal habitats and the use of cost benefit analysis in deciding on options for intervention - Orientation of development of socio-economic: limitations, challenges, and opportunities - Sustainable fishery mgt. - Application of ICZM for mgt. of Ninh Hai coastal natural resources 	<ul style="list-style-type: none"> - Policy makers - Gov. officials 	24	<ul style="list-style-type: none"> - Power-point presentations - Printed guideline hand-out sheet 	Trainees expressed appreciation for improved knowledge of the subject matter	Quizzes of trained lessons
8	National	- Sep.14, 2012	- Current status	- Managers	40	- Power-point	Participants	

Num .	Name of Training Activity, Workshop, etc.	Date and Location Conducted	Description of Topics Covered	Target Trainees or Participants	Number of Persons Trained/ Participating	Description of Training Materials	Description of Results of Training (degree of success, impact)	How was Training/Workshop Monitored or Evaluated?
	Conference: "Vietnam MPA network – opportunities and challenges"	- At Institute of Oceanography	<ul style="list-style-type: none"> - of Vietnam MPA network - Achievements of Nha Trang Bay MPA from 11-year operation - Community involvement and sustainable finance scheme in Cham Island MPA - Roles of WWF in marine conservation in Vietnam - Negative changes of CRs due to natural catastrophes recorded recently in Vietnam - The East Asia Regional MPA network 	<ul style="list-style-type: none"> - Scientists - Community representative - Environmentalists - Student - Correspondents 		<ul style="list-style-type: none"> - presentations - Printed guideline hand-out sheet 	expressed appreciation for holding the conference	

Num	Name of Training Activity, Workshop, etc.	Date and Location Conducted	Description of Topics Covered	Target Trainees or Participants	Number of Persons Trained/ Participating	Description of Training Materials	Description of Results of Training (degree of success, impact)	How was Training/Workshop Monitored or Evaluated?
9	Studying tour to Mu Ko Chang National Park in Thailand	- Nov. 19-23, 2013 - Mu Ko Chang National Park (Trat province)	- Introduction of MKCNP, and NCNP: - History - Provision, mission, goals - Organization - Threats and solutions, - Achievements - Lessons learned - Discussion on concerned issues: MPA mgt., tourism development	- Provincial managers and - Policy makers (7) - Commune managers (2) - NCNP managers (1)	10	- Power-point presentations - Printed guideline hand-out sheet - Fieldtrips	Participants expressed appreciation for improved knowledge of MPA mgt.	Open discussion
10	Training course: "Mgt. Regulations of sub-sites Vinh Hy, Bai Thit, Hang Rai, Hon Chong, and Strictly Protected Zones of NCNP MPA & Decree No.103/2013/ND-CP"	- Feb. 21, 2014 - At hall of Thanh Hai CPC	- Regulations of protection of sub-sites Vinh Hy, Bai Thit, Hang Rai, Hon Chong - Regulation of protection core zone of Nui Chua - Disperse Decree No.103/2013/ND-CP	- Community members (fishing boat drivers)	30	- Power-point presentations - Printed guideline hand-out sheet	Trainees expressed appreciation for improved knowledge of the subject matter	- Quizzes of trained lessons - Supervised the class
11	Training course: "Awareness of"	- Oct. 9, 2014 - Hall of NCNP	- Main coastal ecosystems and	- Community members	29	- Power-point presentations	Trainees expressed	Quizzes of trained lessons

Num .	Name of Training Activity, Workshop, etc.	Date and Location Conducted	Description of Topics Covered	Target Trainees or Participants	Number of Persons Trained/ Participating	Description of Training Materials	Description of Results of Training (degree of success, impact)	How was Training/Worksh op Monitored or Evaluated?
	<i>marine natural resources, conservation and sustainable development"</i>		related reources - Biodiversity of Ninh Hai CZ: Threats & mgt. solutions - Mgt. of Ninh Hai coastal CRs	- NCNP staffs		- Printed guideline hand-out sheet	appreciation for improved knowledge of the subject matter	
12	From co-financeSources: - Workshops: "Advocacy on law and national policy of fishery capture, fishery resource and environment protection"	- Year 2010 - Year 2011 - Year 2012 - Year 2013 At halls of headquarters of Commune People's Committee	05 courses 11 courses 11 courses 03 courses	Community members (fishermen)	235 540 565 150	Power-point presentations		

II. AWARENESS-RAISING ACTIVITIES

Num.	Type of Event, Informational Material, Other Product	Topics Covered	Target Audience (e.g., general public, students, conservation professionals)	Number of People Reached	Description of Results of Activity (degree of success, impact)
1	Project website (in Vietnamese and English)	- Introduction of project - Info:PSC, AG, DSCU - News and events - Gallery	- Managers - Scientists - Professionals - General public	1.000 (estimated)	moderate degree of viewer recognition and uptake of message

Num.	Type of Event, Informational Material, Other Product	Topics Covered	Target Audience (e.g., general public, students, conservation professionals)	Number of People Reached	Description of Results of Activity (degree of success, impact)
2	Banners hanged in public sites (13)	- Messages on CR& marine natural resource conservation	- General public - Managers	10.000 (estimated)	moderate degree of viewer recognition and uptake of message
3	Concrete/metal panels (9)	- NCNP MPA zoning map (1) - Sub-site signs of Hon Chong, Bai Thit (2) - Sub-site zoning maps of Hon Chong (3), Bai Thit (2) - MPA conservation message (1)	- General public	10.000 (estimated)	High degree of viewer recognition and uptake of message
4	Leaflets	- Brief introduction of project (objectives, activity components) - Corresponding info.	- Community - Related sectors	200 (estimated)	moderate degree of viewer recognition and uptake of message
5	Wall calendars for years 2012, 2013 & 2014	- Themes: Photos of marine ecosystem, and related resources, developed tourism in CZ - Message: Ninh Hai coastal CR conservation	- Community - Related sectors	1.000 (estimated)	moderate degree of viewer recognition and uptake of message
6	TV commercial	- Sustainable use of marine resources	- General public	1.000 (estimated)	moderate degree of viewer recognition and uptake of message
7	Video on CD	Conservation of Nui Chua National Park	- General public - Tourists	500 (estimated)	moderate degree of viewer recognition and uptake of message
8	Posters for off-line forums, workshop and conferences (6)	- Poster 1: Intro. of Ninh Hai CR Demo-site Project - Poster 2: f Ninh Hai CR Demo-site Project - Activities and Outputs & Outlook - Poster 3: Ninh Hai CR Demo-site Project Sound Science in Integrated Mgt. Planning - Poster 4: Ninh Hai CR Demo-site Project -	- Scientists - Environmentalists - Managers	500 (estimated)	moderate degree of viewer recognition and uptake of message

Num.	Type of Event, Informational Material, Other Product	Topics Covered	Target Audience (e.g., general public, students, conservation professionals)	Number of People Reached	Description of Results of Activity (degree of success, impact)
		Stakeholder Involvement In Implementing - Poster 5: Conservation of Ninh Hai CRs Based on Cross-sectorial Mgt. Approach - Poster 6: CR Related Fisheries Resources in Coastal Waters of Ninh Hai District, Vietnam			
9	Scientific article published on <i>Raffles Bulletin Of Zoology</i> Vol. 62: (2014) 513–520	<i>Ninh Hai waters (south Vietnam): a hotspot of reef corals in the western South China Sea</i>	- Scientists	200 (estimate)	moderate degree of viewer recognition and uptake of message

Annex 11: Quality Assessment of the Evaluation Report

Terminal Evaluation of the UNEP GEF project: Demonstration of Sustainable Management of Coral Reef Resources in the Coastal Waters of Ninh Hai District, Ninh Thuan Province, Viet Nam (GEF ID. 3187)

All UNEP evaluation reports are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants. The quality of the draft evaluation report is assessed and rated against the following criteria:

Substantive report quality criteria	UNEP EO Comments	Zero Draft Report Rating	Final Report Rating
A. Strategic relevance: Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention?	Draft report: This section has been discussed in sufficient detail, with relevant examples included. The strategic relevance to national/regional environmental priorities is missing and needs to be included in order to complete the justification for a 'HS' rating Final report: This section is covered comprehensively in the final draft	5	6
B. Achievement of outputs: Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?	Draft report: The section is reported in sufficient detail. It gives an account of quantitative aspects, and to a smaller extent, qualitative aspects of the outputs accomplished by the project. To the extent possible, this section can be improved further by giving more attention to the quality of the outputs highlighted Final report: The quality of outputs has been covered in greater detail and sufficiently supports the ratings provided	5	6
C. Presentation Theory of Change: Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?	Draft report: The TOC is presented as a schematic and explained in detailed narrative. Causal pathways in the TOC diagram show clear results chains. Final report: Same comment as above	6	6
D. Effectiveness - Attainment of project objectives and results: Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?	Draft report: The report describes the ROTI analysis for the project; however, there is an opportunity to further strengthen the assessment by including a ROTI scoring table to measure the indicators for likelihood of impact achievement. Final report: The ROTI scoring table has been included and provides a suitable summary of the assessment of likelihood for impact achievement	4.5	5.5
E. Sustainability and replication: Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?	Draft report: The report gives adequate information including examples to describe project's performance under all the sustainability criteria. More examples are however needed to substantiate the findings presented under 'Catalytic role and replication'. Suggestions on how to further improve the assessment of the project's sustainability and catalytic role have been proposed to the consultant and hopefully this will be noted in the final draft Final report: The final report provides more information about the project's performance in attaining a catalytic effect. There is sufficient evidence provided to support the	4.5	5.5

<p>F. Efficiency: Does the report present a well-reasoned, complete and evidence-based assessment of efficiency?</p>	<p>assessment.</p> <p>Draft report: The report does not provide a robust assessment on cost/time saving by the project. The section provides an account of delays, etc. but no clear explanation is given as to why these occurred, how project execution was affected, and what was done to overcome such shortcomings.</p> <p>Final report: An effort has been made to describe the causes and effects of project delays to the extent possible. Limitations due to unavailability of financial remain an obstacle in the assessment of this criterion</p>	4	5.5
<p>G. Factors affecting project performance: Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&E system and its use for project management?</p>	<p>Draft report: This section needs improvement to make complete. With the exception of the assessment of the project's M&E component, there is insufficient evidence to support the evaluative statements presented and some of the ratings rendered.</p> <p>Final report: The respective chapters under this section have been further improved with supporting information following additional consultations and data gathering</p>	4.5	5
<p>H. Quality and utility of the recommendations: Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented?</p>	<p>Draft report: The recommendations are based on actual findings and constitute actionable proposals that can be undertaken during the implementation of the follow-on project. The consultant has been asked to be more specific about the agent ('who') of the proposed actions.</p> <p>Final report: Some improvement noted in the quality of recommendations provided</p>	5	5
<p>I. Quality and utility of the lessons: Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?</p>	<p>Draft report: The lessons are based on the findings but because the context of the lesson is missing, this linkage can only be assumed. It is also not explicitly clear how they are applicable in other contexts. Some improvement can be made to enhance their quality and utility.</p> <p>Final report: Improvement noted in that: the report cross references to the respective report sections where the context of the lesson is presented.</p>	4.5	5
Other report quality criteria			
<p>J. Structure and clarity of the report: Does the report structure follow EO guidelines? Are all requested Annexes included?</p>	<p>Draft report: Yes, the consultant has followed the guidelines provided in the TOR and by the Evaluation Manager. (The older version (pre-2015) of TOR guidelines were used)</p> <p>Final report: Same applies</p>	6	6
<p>K. Evaluation methods and information sources: Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described?</p>	<p>Draft report: The information sources are described. The consultant consulted widely. Primary data were enumerated through interviews, meetings, consultations and interviews at national and demo site levels. Secondary data was extracted from existing documentation. Results of the primary and secondary data analysis were triangulated. Limitations are adequately described.</p> <p>Final report: Same applies</p>	6	6

<p>L. Quality of writing: Was the report well written? (clear English language and grammar)</p>	<p>Draft report: The report is well written, comprehensible, and logical. Suggestions for some improvements have been made and are likely to be easily incorporated in subsequent drafts</p> <p>Final report: The final report is well written.</p>	5.5	6
<p>M. Report formatting: Does the report follow EO guidelines using headings, numbered paragraphs etc.</p>	<p>Draft report: the report is well formatted and easy to navigate. Cross referencing can be improved.</p> <p>Final report: The final report is well formatted</p>	5.5	6
<p>OVERALL REPORT QUALITY RATING</p>		5.1	5.6
		S	HS

A number rating between 1 and 6 is used for each criterion:

Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1.