Independent Review of the One Plan (2012-2016) between the Government of the Socialist Republic of Viet Nam and the United Nations in Viet Nam

Final Report

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Abbreviations and acronyms

AA	Administrative Agent
ACDC	Action to the Community Development Center
ADR	Assessment of Development Results
AIDS	Acquired Immune Deficiency Syndrome
AMR	Antimicrobial Resistance
ARV	Antiretroviral
C4D	Communication for Development
CATS	Community Approaches to Total Sanitation
CBDRM	Community-Based Disaster Risk Management
CBO	Community-Based Organization
CCA	Common Country Assessment
CECODES	Centre for Community Support Development Studies
CEDAW	Convention on the Elimination of All Forms of Discrimination Against Women
CEM	Committee for Ethnic Minorities
CEMA	Committee on Ethnic Minority Affairs
CP8	Eighth Country Programme
CRPD	Convention on the Rights of Persons with Disabilities
CSO	Civil Society Organization
DaO	Delivering as One
DaO SC	Delivering as One Steering Committee
DFID	Department for International Development
DPO	Disabled People's Organization
DPO	Detailed Project Outline
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
DRT-F	Delivering Results Together Fund
EENC	Early Essential Newborn Care
EFW	Expanded Delivering as One Funding Window
EmOC	Emergency Obstetric Care
ESD	Education for Sustainable Development
FA	Focus Area
FACG	Focus Area Coordination Group
FAO	Food and Agriculture Organization
FGD	Focus Group Discussion
GBV	Gender-Based Violence
GGGI	Global Green Growth Institute
GHG	Greenhouse Gas
GSO	General Statistics Office
HIV	Human Immunodeficiency Virus
HMIS	Health Management Information System
HPG	Health Partnership Group
HRBAP	Human Rights-Based Approach to Programming
HWTS	Household Water Treatment and Storage
ICT	Information and Communication Technology

ILO	International Labour Organization
ILS	Institute of Legislative Studies
IMAM	Integrated Management of Acute Malnutrition
INGO	International Non-Governmental Organization
IOM	International Organization for Migration
IP	Implementing Partner
iSEE	Institute for Studies of Society, Economics and Environment
ITC	International Trade Centre
IWRAW	International Women's Rights Action Watch Asia Pacific
JPG	Joint Programming Group
KAP	Knowledge, Attitude and Practice
LGBTI	Lesbian, Gay, Bisexual, Transgender, Intersex
M&E	Monitoring and Evaluation
MAF	Millennium Development Goal Acceleration Framework
MAP-EM	Action Plan to Accelerate MDGs Achievement in Ethnic Minority Areas
MARD	Ministry of Agriculture and Rural Development
MDG	Millennium Development Goal
MDGF	Millennium Development Goals Fund
MICS	Multiple Indicator Cluster Survey
MIP	Minimum Intervention Package
MOET	Ministry of Education and Training
MOF	Ministry of Finance
MOFA	Ministry of Foreign Affairs
MOH	Ministry of Health
MOHA	Ministry of Home Affairs
MOIT	Ministry of Industry and Trade
MOJ	Ministry of Justice
MOLISA	Ministry of Labour, Invalids and Social Affairs
MONRE	Ministry of Natural Resources and Environment
MoU	Memorandum of Understanding
MPI	Ministry of Planning and Investment
MPS	Ministry of Public Security
MPSAR	Master Plan for Social Assistance Reform
MPTF	Multi-Partner Trust Fund
MTBBE	Mother Tongue-Based Bilingual Education
MTR	Mid-Term Review
NAMA	Nationally Appropriate Mitigation Action
NBRS	National Business Registration System
NBSAP	National Biodiversity Strategy and Action Plan
NCCD	National Coordinating Council on Disability
NEHAP	National Environment Health Action Plan
NGO	Non-Governmental Organization
NTP	National Target Programme
ODA	Official Development Assistance
ODF	Open Defecation-Free
OECD	Organisation for Economic Co-operation and Development

OPF	One Plan Fund
OPFMAC	One Plan Fund Mobilization and Allocation Committee
OPSC	One Plan Steering Committee
OR	Other Resources
PAPI	Provincial Governance and Public Administration Performance Index
PAR	Public Administration Reform
PER	Public Expenditure Review
PETS	Public Expenditure Tracking Survey
PLHIV	People Living with HIV
POP	Persistant Organic Pollution
PPC	Provincial People's Council/Committee
PRAP	Provincial REDD Action Plan
PSPMOs	Political, Social, Professional and Mass Organizations
PUNO	Participating UN Organization
RBM	Results-Based Management
RC	Resident Coordinator
RCO	Resident Coordinator's Office
REDD	Reduced Emissions from Deforestation and Forest Degradation
R-MNCH	Reproductive-Maternal Neonatal and Child Health
RR	Regular Resources
RQ	Review Question
SDC	Swiss Agency for Development and Cooperation
SDG	Sustainable Development Goal
SEDP	Socio-Economic Development Plan
SEDS	Socio-Economic Development Strategy
SitAn	Situation Analysis
SMEs	Small and Medium Enterprises
SRB	Sex Ratio at Birth
ToR	Terms of Reference
TWG	Technical Working Group
UFT	Utilization Focused Theory
UHC	Universal Health Coverage
UK	United Kingdom
UN	United Nations
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCAC	UN Convention Against Corruption
UNCRC	UN Convention on the Rights of the Child
UNCT	UN Country Team
UNCTAD	UN Conference on Trade and Development
UNDAF	UN Development Assistance Framework
UNDG	UN Development Group
UNDP	UN Development Programme
UNEG	UN Evaluation Group
UNEP	UN Environment Programme
UNESCO	UN Educational, Scientific and Cultural Organization
UNFPA	UN Population Fund

UNIAP	UN Inter-Agency Trafficking Project
UNICEF	UN Children's Fund
UNIDO	UN Industrial Development Organization
UNODC	UN Office on Drugs and Crime
UNPRPD	UN Partnership to Promote the Rights of Persons with Disabilities
UNTOC	UN Convention Against Transnational Organized Crime
UNV	UN Volunteers
UN Women	United Nations entity for gender equality and the empowerment of women
UPR	Universal Periodic Review
VHLSS	Viet Nam Household Living Standards Survey
WHO	World Health Organization
VHPD	Viet Nam Health Partnership Document
VLA	Vietnamese Lawyers' Association
WASH	Water, Sanitation and Hygiene

Preface

The review team consisted of Team Leader Angélica Arbulú, Pham Quang Nam, Le Thi Mai Huong and Johanna Lindström.

The review team would like to thank Alf Persson for insightful peer review comments, Roo Griffiths for excellent editorial support, Patricia Fernandez-Pacheco Estrada and the rest of the members of the Evaluation Management Group for guidance during the review process as well as the UN Country Team, the Government of Viet Nam and donors for detailed comments on the draft report. Further, we would like to thank all the stakeholders whom we interviewed and surveyed in Viet Nam for their time and insights, which lent the report findings considerable richness.

Preface

Executive summary

Scope, approach and methodology

The One Plan (2012-2016) was co-signed between the Government of Viet Nam and 17 UN agencies in March 2012 and is meant to act as the main programmatic and operational framework for delivering UN support to the Government of Viet Nam.

This review was commissioned by the One Plan Steering Committee (OPSC) in Viet Nam and planned for the second half of 2015, with over one full year left for implementation, to allow for lessons learned to feed into the planning and design of the new One Plan. Its intended users include members of the One Plan tripartite structure, mainly the Government of Viet Nam, the UN Country Team (UNCT) and donors that have supported or are interested in supporting the One Plan initiative in the country.

The unit of analysis is the One Plan and not the agency-level implementation. This means that, with few exceptions such as agency level evaluations, the team looked at One Plan documentation only. As this unit was still too broad for the time and resources available, a case study approach was proposed as a means to ensure the exercise was both realistic and manageable. The four case studies selected by the UNCT were seen as having the potential to inform the new One Plan and of relevance to many of the One Plan partners. At the same time, these case studies allowed the team to bridge the gap between outcome and outputs through the collection of primary data. More than 100 stakeholders were consulted throughout the review process in the form of interviews, focus group discussions (FGDs) or remote interviews.

Seven evaluative learning-oriented questions (review questions) served as the underlying structure and guided the exercise. The first two (which include results, financials and a section describing the way the UN works to deliver the One Plan 'the way we work') are descriptive and build on secondary data provided, whereas the latter five were addressed through the four case studies and build on both secondary data provided and primary data collected by the team. The review questions are based on the UN's comparative advantages as identified in the One Plan document, which the UN sought to maximize over the period of the One Plan 2012-2016.

The team encountered significant limitations throughout the undertaking of this exercise. There are evaluability challenges linked to the nature of the One Plan and the limited evaluative evidence available. Delays and changes to the original terms of reference, together with a strong incentive to have at least preliminary findings available to feed into the new One Plan design process, placed significant pressure on the review team. The selection of initiatives to inform the case studies proposed by the UNCT does not always respond to clear methodological or conceptual criteria, making it hard to arrive at comprehensive coherent findings and leading to some overlap and repetition in the report. Lastly, the review took place on the heels of a series of similar exercises, so some degree of stakeholder fatigue led to difficulty securing some important meetings and up-to-date information in a timely manner. The objectives of this exercise have been adjusted to reflect the complex nature of the One Plan and the limitations encountered by the team. The recommendations proposed suggest some mechanisms to address these challenges in the future.

As a reflection of thes limitations, this exercise is now a review rather than the originally envisaged evaluation. The agreed evaluation criteria guiding this exercise are effectiveness and efficiency. This review is of both a summative and a formative nature and eminently to be viewed as a tool to support learning.

Findings and conclusions

As of the time of the exercise, 83 per cent of planned activities/outputs were reported as achieved. Given that much of the data provided is from the end of 2014 with two years left of implementation remaining, there is every reason to assume the UN will be able to deliver most of the activities/outputs of the One Plan within the expected timeframe. However, the monitoring and reporting system currently in place does not allow for assessment of if or how completion of activities translates into the achievement of outcomes. This is due to a weak M&E system with mostly output level indicators and the lack of an underlying theory of change that could help measure progress. The team also observed the system in place lacks means for reflection on lessons learned and challenges to better understand the underlying factors that explain what did work and why, which would enable it to replicate and scale successful experiences. The team found these weaknesses were well known to the UN and the source of much frustration to key stakeholders. Significant efforts have been made to address these shortcomings, including the creation of a new monitoring system

which was put in place in 2014 as well as the strengthening of annual reporting. Efforts to address these weaknesses show progress and were commended by stakeholders, however resources allocated for monitoring and reporting on the One Plan remain inadequate and the current system is unable to perform its intended function, mainly to reflect progress towards stated goals in a regular and timely manner, to assess quality of results and to allow for learning and inform decision-making at management level. Limited accountability from the agency delivery level to the One Plan has further hampered these efforts and had a negative impact on how the One Plan is perceived.

As of the date of this exercise, the UN expects to receive 72 per cent of the original estimated budget by the end of the One Plan implementation period, with the bulk of the expected 'funding gap' coming from the One Plan Fund's (OPF) original estimates. There is, however, a general sense that the initial OPF budget was a 'best case scenario' and that actual planning was done on a yearly basis with more realistic estimates. Documentation reviewed supports this theory, with the expected funding gap mentioned as a major cause for non-achievement only in a handful of cases.

A changing environment owing to Viet Nam's middle-income country status is largely seen as at the root cause for this expected funding gap in the OPF. However the team concludes that, given the current set-up, there is a lack of incentives for donors and UN agencies to prioritize the OPF over more traditional bilateral funding. On the part of the donors there is an important level of disillusionment on the One Plan's ability to deliver on the promise that it would provide donors with an outlet for more substantive and strategic participation. Limited detail in the One Plan reporting, particularly at financial level, was also cited as a source of frustration. Additional costs for the OPF act as further disincentive. All these factors are likely to have negatively affected the UN's ability to secure more funding for the OPF. On the part of the agencies, the team observed no incentives for an agency to prioritize OPF funding over bilateral funding.

Under the 'The way we work' section the review team sought to understand the mechanisms put in place for the coordinated delivery of the One Plan. The team concludes the current governance set up of the One Plan does not correspond with the one initially agreed, and the *de-facto* governance structure is not fit for purpose. Focus Area Coordination Groups (FACGs) have not met since 2013 and the OPSC has not met since October 2014. When they did meet, annual OPSC meetings seem formal and lacking substantive discussion. As a result, oversight of the One Plan seems to have reverted to traditional agency-led management and bilateral coordination. New mechanisms for oversight and guidance, which are inclusive of the key stakeholders and accountable to the One Plan will be needed, especially as a means to regain confidence from key stakeholders on the UN's ability to Deliver as One (DaO) in Viet Nam.

Significant potential was observed with regard to the internal coordination mechanisms in the form of the Joint Programming Groups (JPGs), which are seen as having significantly promoted DaO and coherence within the UN, increasing inter-agency collaboration and the ability to respond in a coordinated, cross-sectoral and effective manner, although their impact seems to be stronger at the technical level. As highlighted in other assessments, accountability remains a challenge, with staff working under triple theoretical accountability (to the One Plan, to their agency and to the government through the Detailed Project Outlines). In practice agency accountability seems to supersede other types. With little progress observed in aligning agency and One Plan mechanisms, commitment to the One Plan and DaO seems very much linked to the value given to these by each agency and/or personal commitment.

The five review questions identified sought to assess the UN's ability to use its comparative advantages, as identified in the One Plan document, when delivering assistance in Viet Nam.

The team found the UN in Viet Nam is perceived as a trusted advisor by both the Government of Viet Nam and civil society partners, based on its long-standing collaboration, technical expertise and perceived neutrality. As a result of this recognized 'brand', the UN has been able to play an active convening role and to promote widespread participation in a broad range of issues at both technical and high policy-oriented level, including on a wide range of sensitive issues such as HIV, governance and gender.

Evidence provided by the UN helped raise awareness, highlight gaps and identify barriers to achieving a more comprehensive response for the benefit of the most vulnerable groups in Viet Nam. The UN helped look into impact and efficiency of policies, and how they play out in different geographic areas, providing inputs for decision-makers to build on. Stakeholders highlighted the importance of the UN's role in supporting not just data collection but also the process of ensuring quality analysis, in helping to promote distribution and discussion of the findings, in search of ownership and ultimately broad use of the evidence gathered. When adequately used, the Delivering as One modality

has shown its potential to strengthen the UN's standing by improving internal coherence when providing evidence-based advice and strengthening its ability to respond in a comprehensive multi-sectoral manner. This helps highlight the complex nature of underlying challenges and promotes a more effective response that benefits from the wide-range of expertise the UN has to offer.

Focus on vulnerable populations is at the core of the UN's work and inherent to both its mandate and legitimacy. Expertise of the agencies together with in-depth understanding of the local reality built over time allows the UN in Viet Nam to advocate for the vulnerable and disadvantaged in an effective manner. Through the use of evidenced-based advocacy and building on international best practice in line with international standards, the UN has helped strengthen the government's ability to address complex issues in a manner that takes into account the underlying complexities while promoting a culturally sensitive, inclusive, human rights-based response in line with the government's international commitments. The role of the UN as a bridge in support of a greater meaningful participation of civil society and the private sector is seen as particularly relevant in the context of Viet Nam, given its relatively incipient civil society, and one that should be strengthened in a more structured manner.

The UNCT's work in Viet Nam is rooted in internationally agreed normative standards including conventions, such as the Convention on the Elimination of All Forms of Discrimination Against Women and the UN Convention on the Rights of the Child. Being the official representatives of these is at the heart of the UN's legitimacy and perceived neutrality, with its aims rooted in a 'higher common good" as opposed to a political agenda. This is a unique added value the UN is able to build on in Viet Nam. This is supported by each agency's technical expertise and its ability to use international best practice adapted to the Vietnamese context. The UN in Viet Nam has been able to support its work through the use of its global expertise through various mechanisms, such as the use of methodologies tested elsewhere, study tours and the promotion of cooperation between national and international institutions.

The review concludes there are clear signs that the coordinated One Plan approach, with the use of the UN's comparative advantages, has the potential to significantly strengthen the work of the UN's in Viet Nam. Given the changes to the development landscape, not only in Viet Nam but globally, the UN in Viet Nam will need to better pinpoint its unique advantages and how these can best be applied taking into consideration needs and the strengths of other actors in the country. Increased focus on learning and knowledge sharing will help the UN in Viet Nam continue to adapt and remain relevant. While this exercise did not allow for comprehensive analysis of the UN's advantages beyond those already identified, the team concludes the UN in Viet Nam is uniquely positioned to advocate for evidence-based policy changes that conform to Viet Nam's international commitments, providing both duty-bearers and right-holders with the evidence, tools and forums to advocate for the benefit of the most vulnerable.

Recommendations

Recommendation 1: Develop a theory of change and identify medium term indicators that allow assessment of progress towards outcomes. The team recommends the new One Plan develops a theory that explains how the activities to be undertaken will lead to the desired high-level outcomes. This theory of change will facilitate the process of identifying medium-term progress indicators that will help management assess the validity of the original theory and adapt when necessary.

Recommendation 2: Identify an inclusive governance structure able to provide guidance and quality assurance.
There is a need to identify an adequate fit-for-purpose and participatory governance structure that is able to provide oversight, guidance and quality assurance, as well as a means for coordination and substantive exchange with key stakeholders. This structure will require a clearer accountability structure as well as incentives towards the One Plan.

Recommendation 3: Continue to strengthen internal coordination mechanisms as a means to increase coherence and effectiveness. The UN should continue to strengthen the role of the JPGs as an effective mechanism to promote DaO. This will require the system adequately incentivizes and recognize staff for their coordination efforts and seek ways to ensure benefits from JPGs trickle up into high-level management. JPGs could be the drivers of policy prioritization, ensuring transfer of knowledge between agencies.

Recommendation 4: Continue to strengthen the role of the UN as a bridge between government and other actors, in particular civil society. Greater participation of civil society is seen as particularly relevant in the context of Viet Nam given its relatively incipient civil society, and for this reason should continue to be sought in a more structured manner, for example including work with civil society as a cross-cutting issue that is monitored in both reporting and appraisal. UN agencies should promote interaction between their existing networks and other UN agencies for relevant themes.

Recommendation 5: Strengthen monitoring and accountability of the One Plan. The team recommends the UN in Viet Nam seek ways to promote better alignment between agency level and One Plan level for monitoring, reporting and evaluation to help avoid duplication of work but also as a means to ensure more up-to-date information is available to feed into management decision-making. This will provide the basis for more evidence-based decision-making in the management of the One Plan. The team believes this will also help the UN in Viet Nam in the process of securing resources, particularly if this is done to ensure more detailed and up-to-date relevant information, both substantive and financial, is made available to potential donors. Future One Plan evaluations should be coordinated to build on and maximize agency level programme evaluations.

The UNCT in Viet Nam will need to secure adequate resources, either by increasing capacity at central level (in the Resident Coordinator's Office (RCO) or ensuring more substantive support from the agencies to the RCO and the One Plan process.

Recommendation 6: Strengthen the financial structure of the One Plan. The UN needs to identify incentives for the UN agencies and donors to prioritize the One Plan budget over bilateral funding, or a mechanism for bilateral funding to be accountable to the One Plan. To address concerns raised the new One Plan design and reporting system should incorporate all in-country financials, including agency level spending. Regular (quarterly) updates on spending etc should be made available to the RCO for management meetings. Updates on spending at country level (One Plan and agency) should be made available to donors and government, as per recommendations in the 2014 Guide to the Common Budgetary Framework.

Recommendation 7: Increased and more targeted focus on learning and on knowledge sharing
Overall, the team concludes the new One Plan would significantly benefit from a more reflective and learning-oriented approach, which will help identify not just progress of activities but also underlying factors for success (the *what* and the *how*), and find ways to ensure these findings feed back in to the management process.

The One Plan should regularly undertake strategic assessments to better understand its comparative advantages within the country context as well as effectiveness of the different modalities in use.

Chapter 1: Introduction

This is the Final Report for the Independent Review of the One Plan (2012-2016), which acts as the main programmatic and operational framework for delivering UN support to the Government of Viet Nam. The One Plan was co-signed between the Government of Vietnam and 17 UN agencies on March 2012.

1.1 Objective, purpose and scope of the exercise

This review of the One Plan was commissioned by the One Plan Steering Committee (OPSC) in Viet Nam and forms part of the One Plan original design and was envisioned as a means to support greater accountability and greater learning about what works, what doesn't and why.[1]

The One Plan was signed on March 2012 between the Government of Vietnam and 17 UN agencies and is the second of its kind since the inception of the DaO initiative in Vietnam and as such it represents the sole programmatic and operational framework for delivering UN support to the Government of Vietnam. The Plan is being implemented under the tripartite leadership between the Government of Vietnam, the UN and donor organizations, with a view to "bringing together the comparative advantages of the Participating UN System Agencies within one planning, implementation and monitoring and evaluation framework". The One Plan seeks to contribute to the national agenda for development such as the Socio-Economic Development strategy (SEDS) 2011-2020 and the Socio-Economic Development Plan (SEDP) 2011-2015, as well as support the Government of Vietnam in the achievement of the Millennium Development Goals (MDGs) and its other international commitments. The One Plan has three focus areas, twelve outcomes and 43 outputs (see Table 1).

Table 1: The One Plan

Outcomes
FOCUS AREA 1: INCLUSIVE, EQUITABLE AND SUSTAINABLE GROWTH
Outcome 1.1: By 2016, key national institutions formulate and monitor people-centred, green and evidence-based socio- economic development policies to ensure quality of growth as a middle- income country
Outcome 1.2: Institutions create opportunities for decent work for people of working age, particularly the most vulnerable and disadvantaged, to benefit in the process of socioeconomic transformation
Outcome 1.3: By 2016, key national and sub- national Agencies, in partnership with the private sector and communities, have established and monitor multi-sectoral strategies, mechanisms and resources to support implementation of relevant multilateral agreements and effectively address climate change adaptation, mitigation and disaster risk management
Outcome 1.4: By 2016, key national and sub- national Agencies, in partnership with the private sector and communities, implement and monitor laws, policies and programmes for more efficient use of natural resources and environmental management, and implement commitments under international conventions
FOCUS AREA 2: ACCESS TO QUALITY ESSENTIAL SERVICES AND SOCIAL PROTECTION
Outcome 2.1: A more effective national social protection system provides increased coverage, quality, and equitable access for the most vulnerable and disadvantaged groups
Outcome 2.2: Increased quality and effective management of a comprehensive national health system, including health promotion and health protection, with a focus on ensuring more equitable access for the most vulnerable and disadvantaged groups;
Outcome 2.3: Increased quality and effective management of education and training systems, and increased access to pre- primary, primary, and continuing education, particularly for the most vulnerable and disadvantaged groups
Outcome 2.4: National and sub-national institutions, in partnership with communities, more actively address inequalities through implementation and monitoring of laws, policies and programmes that promote gender equality and women's empowerment, and an effective and sustainable response to HIV, reducing stigma and discrimination.
FOCUS AREA 3: ENHANCING GOVERNANCE AND PARTICIPATION
Outcome 3.1: Elected bodies are better able to formulate laws and oversee the performance of State agencies and represent the aspirations of the Vietnamese people, especially women, ethnic minorities and other vulnerable and disadvantaged groups;
Outcome 3.2: All citizens, particularly the most vulnerable and disadvantaged groups, benefit from strengthened legal and judicial reform and increased access to justice, enhanced capacity of legal and judicial professionals, and strengthened national legal frameworks to support the implementation of international conventions ratified by Viet Nam
Outcome 3.3: Improved performance of the public sector institutions at national and sub-national levels, through enhanced coordination, accountability, transparency and anti- corruption efforts, will reduce disparities and ensure access to public services for the most vulnerable and disadvantaged groups;
Outcome 3.4: Political, social, professional and mass organizations participate effectively in policy discussion and decision-making processes for the benefit of the most vulnerable and disadvantaged groups.

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[1] Terms of Reference (ToR) for One Plan Evaluation. See Annex 9.

In this sense, the review looks at the One Plan as the key object of assessment through the lens of the comparative advantages identified (as described in the One Plan document) which also form the basis for the review questions. The review is structured around four areas of analysis, mainly: results and financials (descriptive and as reported), analysis of the structure put together for the implementation and management of the One Plan (way we work), and four case studies.

The unit of analysis is the One Plan[2] and the period under review goes from the One Plan's inception in March 2012 up to and including November 2015. The review was scheduled with over 15 months of implementation remaining, to allow for lessons learned to feed into the planning and design of the new One Plan.

The scope of this exercise has been guided by the nature of the *evaluand* and is in line with UN Evaluation Group (UNEG) guidelines, which highlight the importance of a timely exercise that is both realistic and achievable.[3] This required the identification of units for analysis (the case studies) that could be subject to review within the time and resources allocated. Key criteria for the selection of the scope included the desire to identify interventions that had the potential to inform the new One Plan and could be of relevance to many of the One Plan partners.[1] The objectives of the exercise have also been adjusted to reflect the complex nature of the One Plan and the limitations facing the review team to ensure the exercise is both realistic and manageable.

Initially envisioned as an evaluation, questions regarding the evaluability of the One Plan, mainly its inherent nature more akin to an implementation map or framework than a programme design; its lack of reliable and verifiable information sources, as One Plan results are mostly self-reported with very few independent evaluations to build from; its lack of measurable indicators, especially at outcome level, and baselines for comparison; and its lack of an underlying theory of change. In addition, there were concerns regarding cost-effectiveness of trying to evaluate the entire One Plan. The proposed narrowed-down scope attempts to address this, but a result of this is that the areas this exercise covers may not be considered sufficiently representative to talk about the whole. Given our increased understanding of the One Plan and the challenges in evaluating it, and responding to UN Country Team (UNCT) concerns along these same lines,[4] it was agreed with the UN to emphasize the formative nature of this exercise and acknowledge its limitations, essentially turning it into a formative review of the One Plan. That is, a review understood as *an ad hoc*, often rapid, assessment of the performance of an undertaking that does not require the same extent of due process an evaluation would.[7] The overall purposes of this exercise remain as per the technical proposal – summative and formative:

- Summative: Through the desk review, and supported by the case studies, the review aims to document results achieved and the UN contribution to the goals set out in the One Plan.
- Formative: The review will seek to provide evidence and promote learning about what works, what doesn't and why in the context of preparing and planning the next One Plan cycle (2017-2021), with an aim of improving effectiveness and efficiency at the country level. This will be done primarily through the case studies identified.

However,[1] the objectives of the exercise have been adjusted to reflect the complex nature of the One Plan and the limitations facing the review team to ensure the exercise is both realistic and manageable.

This proposed approach is in line with the recommendations of the 'Equity-focused systematic review of Viet Nam's One Plan',[5] an evaluability assessment undertaken in 2014 in preparation for the One Plan evaluation, which recommended the evaluation:

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[2] Due to resource and time limitations it was pre agreed that the review team would review on One Plan documentation and not agency level documentation, with the exception of relevant and available evaluations (see limitations)

[3] UNEG. 2005. Standards for Evaluations, p.12.

[4] Resident Coordinator's Office (RCO) email, 12 September 2015: 'in view of the limitations indicated in the current inception report in terms of the One Plan's overall evaluability, the UNCT considers that the nature of this exercise should be revised to reflect these limitations and lowering its ambitions (perhaps calling it assessment or review) while strengthening its formative aspect.'

[5] Gonzalez, C. & Dung Dang Ngoc. 2014. Equity-focused systematic review of Viet Nam's One Plan. The systematic review was an evaluability assessment under taken in 2014 in preparation for the One Plan Evaluation. As per the TORs, this review builds on the systematic review, in terms of drawing on its synthesis of results and its recommendations for the methodological approach.

- Provide a comprehensive picture of the results of UN work in Viet Nam, although not necessarily at the outcome level;
- Include impartial case studies that would allow for collection of primary data on results related to specific vulnerable populations groups, as a mechanism to bridge the gap between outcome and output levels and allowing for an assessment of the UN's contribution to the reduction of disparities.

The intended users of this review include the OPSC as well as the UNCT and the One Plan national counterparts, mainly the Ministry of Planning and Investment (MPI). The review aims to reach conclusions and provide actionable recommendations that will provide insights into ways to improve the UN's contribution in Viet Nam.

1.3 Methodology

This section describes the methodology used for this exercise. Seven evaluative learning-oriented questions (review questions) identified by the UNCT served as the underlying structure. The first two (results and financials; 'the way we work') were addressed mostly through secondary data, with some triangulation with primary data. The remaining five were addressed mainly through the case studies, which included extensive interviews as well as document review. The review questions (RQs) were as follows:

1. What were the UN's main results achieved under the One Plan to date? Include assessment of financial aspects.
2. How did the UN work together to achieve cross-sectoral results more effectively and efficiently? What role did the Joint Programming Groups (JPGs) and other *ad hoc* collaboration mechanisms play?
3. To what extent did the UN in Viet Nam use its convening power to bring together various stakeholders and provide external and internal coordination (including on critical crosscutting issues such as gender equality, HIV, climate change, culturally appropriate programming and rights-based approaches to development)?
4. To what extent did the UN provide evidence-based policy advice in particular on sensitive issues and unfinished agenda in line with international norms and standards in the transitional middle-income country context of Viet Nam (including support to integrate these norms and standards into national legislative and policy frameworks and monitor their implementation and impact on beneficiaries)?
5. To what extent did the UN advocate for and facilitate that the voices of the most vulnerable and disadvantaged are heard, and issues of inequality are addressed in national policy processes?
6. To what extent did the UN draw on the collective global assets of the system and global expertise and best practice to provide technical expertise, exchange of knowledge and capacity development, based on international best practice, and support innovative approaches to equity, human and social development issues and implementation of global normative standards?
7. To what extent did the UN facilitate a multi-sectoral approach and support the government to coordinate its response to complex issues such as climate change, social protection, sustainable development, a multi-dimensional approach to poverty reduction, HIV, governance and gender equality, all of which require a cross-agency approach?

These questions are based on the UN's comparative advantages, as set out in the One Plan documents, which were identified through 'discussions with Government, development partners and political, social, professional and mass organizations during the strategic prioritisation process' and which the UN sought 'to maximise over the period of the One Plan 2012-2016'.[6]

In terms of evaluation criteria guiding this exercise,[7] the review looked at effectiveness and efficiency.

- **Effectiveness:** The extent to which the UN in Viet Nam was able to use its competitive advantages to advance the goals set out in the One Plan.
- **Efficiency:** The extent to which outcomes are achieved with the best use of available resources.

Given the limited scope of this review, it was agreed that relevance would not be a major focus of the exercise. This is because there is natural alignment between the One Plan and national development plans, specifically the Socio-

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[6] UN. 2012. One Plan 2012-2016, p.32
[7] In line with UNEG standards.

Economic Development Strategy (SEDS) and the Socio-Economic Development Plan (SEDP), as it was developed in close consultation with the government. Alignment with international standards is ensured through the conventions upheld by the various UN agencies (e.g. the UN Children's Fund (UNICEF) with the UN Convention on the Rights of the Child (CRC), UN Women with the Convention on the Elimination of All Forms of <u>Discrimination Against Women</u> (CEDAW), etc.).

It was also concluded that the team did not have the capacity to assess the sustainability of the results achieved and of the different interventions reviewed, because of (1) the wide breadth of initiatives covered by the One Plan and (2) the lack of independent evaluations to build on (in line with the conclusions of the systematic review). Sustainability was also a criterion that some of the UN agencies felt uncomfortable including, given the nature of the One Plan and the different interpretations sustainability could be given (e.g. financial sustainability) depending on the nature of the intervention, etc. In response to these concerns from the UNCT and in line with UNEG's statement, that 'not all criteria are applicable to every evaluation',[8] this review did not attempt to assess sustainability. Annex 1 includes the evaluation matrix for the review.

1.4 Key features of the methodological approach

The review builds on **utilization-focused theory** (UFT), developed by Michael Quinn Patton, whereby an evaluative exercise is judged on how useful its results are to its intended users: 'Intended users are more likely to use evaluations if they understand and feel ownership of the evaluation process and findings [and that] [t]hey are more likely to understand and feel ownership if they've been actively involved.'[9] As such, the team sought to promote participation of the key stakeholders at each step of the process, promoting information exchange and reflection of lessons learned whenever possible.

As a means to make the UFT operational, and in line as well as with UNEG standards and a human rights-based approach to programming (HRBAP), the review team will make use of the **participatory approach**[10] whenever possible.

The process for the inception report, selection of case studies and scoping mission has sought to include key stakeholders and incorporate their views to guarantee alignment with this approach. An additional two presentations with preliminary findings (an internal one during the UNCT retreat and another in a multi-stakeholder prioritization retreat) were shared to promote discussion, buy-in and opportunity to feed into the process. Nearly 100 interviews (in the form of interviews, focus groups discussions (FGDs) or remote interviews) took place throughout the process as a means to seek out meaningful information from a wide range of stakeholders.

1.5 Case study selection

The Terms of Reference (ToR) for the One Plan evaluation envisaged the inclusion of a limited number of case studies as a means to generate strategic data on the contributions of the UN towards the One Plan outcomes.[11] In line with UFT, which stresses the importance of securing a focus of study that is of relevance to the users, selection of the case studies was led by the evaluation users, in particular the UNCT.

The four case studies identified and refined through the review team's desk review and the scoping mission, including the UNCT meeting and technical -level discussion, are as follows:

- **Case study 1:** UN support to ethnic minorities, including through integrated policy advice, as an example of work with vulnerable and disadvantaged groups
- **Case study 2:** The UN's role helping create a space for civil society and citizens to participate in policy dialogue (including aligning national legislation and policy to Viet Nam's international commitmen**s)**
- **Case study 3:** Promoting evidence-based advocacy to increase the government's ability to address the needs of vulnerable and disadvantaged groups (including generation, HIV investment case, advocacy on socialization)
- **Case study 4:** Supporting capacity-building to promote resilience and reduce risks and vulnerabilities (including disasters, pandemics, climate change-related)

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[8] UNEG. 2005. Standards, p.13.
[9] Patton, M.Q. 2008. *Utilization-focused evaluation*, 4th edition. Thousand Oaks, CA: Sage, Chapter 3.
[10] Guijt, I. 2014. Participatory approaches. *Methodological Briefs: Impact Evaluation 5*. Florence: UNICEF.
[11] This was in line with the recommendations of the 2014 One Plan systematic review.

1.6 Data collection and analysis

This exercise used a **mixed-methods approach** to enhance validity and reliability, drawing on both quantitative and qualitative data. A desk review and a survey were used to provide a comprehensive overview of the One Plan. Other, more qualitative, tools, such as FGDs and semi-structured interviews were used to obtain more nuanced data on the review questions and through the case studies. A summarized description of methods used is below:

Document review

Over 160 documents (see Annex 4) were reviewed for this exercise, including thorough review of a number of other evaluations and reviews, the equity-focused systematic review, the UN Population Fund (UNFPA) country programme mid-term review (MTR) and draft final evaluation, the UNICEF country programme MTR and the draft UN Development Programme (UNDP) Assessment of Development Results (ADR) in order to:

- Provide a descriptive summary of progress and results achieved against the One Plan's results monitoring framework, as reported through the One Plan since its inception in 2012;
- Provide an analysis of the One Plan's budget, including disbursement, funds raised and estimated funding gap;
- Analyse coordination mechanisms, in particular the JPGs;
- Help triangulate primary data collection for the case studies for the review questions.

Semi-structured interviews and focus group discussions

122 people were consulted through semi-structured interviews (see Annex 2 for the interview tool), FGDs or remote interviews (see Annex 3 for a full list of people consulted), 55% of which were female. Table 1 shows the interview breakdown.

Table 2: Interview breakdown

	Sex	UN	Government	Civil society	Donor	Academic	Total
Case study 1	Female	8	2	2			12
	Male	5	5	2			12
Case study 2	Female	12	10	5		1	28
	Male	2	5	2		2	11
Case study 3	Female	11		1		1	13
	Male	6	2	1	1	2	12
Case study 4	Female	6		3		1	10
	Male	3	1			1	5
General	Female	18	3	2	5		28
	Male	7	1		2		10
Total		**78**	**29**	**18**	**8**	**8**	141

Note: Some of the interviewees were consulted for more than one case study, thus explaining the discrepancy with the total number of people consulted.

1. **Semi-structured interviews** were used to provide context and a more holistic picture of what worked, what didn't and why and to obtain primary data with regard to the five review questions following a common format, allowing for transversal analysis across the different case studies. The interviews reflected the review questions, but remained semi-structured to allow for learning and new areas of analysis to arise organically. Semi-structured interviews were held with a selected number of key representatives from:
   - Key government counterparts and national implementing partners (IPs), including academia and civil society stakeholders linked to the specific target groups and interventions under review;
   - UN staff at different levels to ensure both a high-level political understanding as well as a more nuanced practical implementation-level understanding;
   - Donors, including supporters of the One Plan as well as other like-minded donors.

2. **Focus group discussions** were a key tool for understanding the perspectives of a target audience on an issue, idea or event, and what drives that audience. Facilitated effectively, FGDs are able to provide more nuanced and richer information than a survey, and can help assess attitudes and perceptions about contribution. Group discussions also generate knowledge exchange, reflection and learning among participants. FGDs were used mainly used within the UN but also to some degree with donors and civil society.

Survey

Given the broad number of participating agencies and IPs, a survey was seen as an effective tool to reach and obtain feedback from a wider audience. A brief and tailored electronic web survey was developed and administered to key stakeholders. There were 154 responses to the survey. The survey was made up of closed ranked questions that enabled the review team to gather quantitative data that were subsequently triangulated with qualitative data from interviews and FGDs. Annex 2 presents the survey tool and Annex 8 the full survey analysis.

1.7 Limitations of the review

The team encountered significant limitations throughout the undertaking of this exercise, including:

Evaluability

Initial document screening highlighted a number of clear challenges to evaluability. Specifically, the One Plan results matrix does not consistently link UN activities and outputs with the desired outcomes at the national level. The links between all the aspects of the overall results framework are not clear, which presents a challenge for this exercise. This relates to the Delivering as One (DaO) Results Monitoring Framework, which is more focused on the role of the pillars; the One Plan 2012-2016 Results Matrix, which is aligned with the SEDP; and the JPGs' annual work plans and monitoring tables. There is no integrated document that shows the complete results chain, including the complex links between UN activities and ultimate impacts at the level of vulnerable groups. This is one of the reasons for the renaming of this assignment to a review of the One Plan. There are also evaluability challenges linked to the nature of the One Plan, essentially its breadth.

Limited time

Delays during the initial recruitment process in addition to the scoping mission, not initially envisaged, resulted in a change of the evaluation questions (into review questions) together with a strong incentive to have at least preliminary findings available for the UNCT retreat and the stakeholder meeting. This placed significantly time constraints and pressure on the review team. The most relevant impact was a data collection mission for the team leader shortened from ten to five working days.

Limited resources

The budget originally submitted in the technical proposal, already below the recommended minimum amount for a UN Development Assistance Framework (UNDAF) evaluation,[12] had to be reduced by 25%. In addition, a scoping mission had to be added, which led to a repositioning of the exercise, new review questions and a new broadening of the scope. This in effect meant delays and wastage of resources that already invested in areas no longer relevant[13]. Additional resources to guarantee adequate quality of the exercise were agreed but kept to a minimum, placing limitations on the team. For example, there were no funds available for travel outside of Hanoi, the data collection mission for the team leader was reduced and no funds for a presentation of findings by the team leader were available.

Scope and expectations

It was agreed that the unit of analysis for the review would be the One Plan, and that the team would only review agency level evaluations. This means that the team's detail is contingent on the level of detail and quality assessment of the One Plan level documentation. Equally, RQ1 and RQ2 were agreed to be descriptive and only based on secondary documentation. Lastly, the case study approach allows for a more in-depth analysis but for a much narrower scope. This means important work will inevitably be left out of the case studies' scope and not all agencies/partners/areas of work will be equally represented. Inevitably, some stakeholders would have preferred greater breadth and less depth, or a different case study selection, but these reductions in scope were agreed in order to align scope and resources.

Case study selection

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[12] UNEG. 2011. Frequent Questions for UNDAF Evaluations, p. 9: 'The Common Country Assessment (CCA)/UNDAF Guidelines (2009) indicate that most UNDAF evaluations require at least a minimum of US$100,000 for conducting a high quality evaluation process in line with UNEG Norms, Standards and Ethical Guidelines. However, the situation will vary depending on the country context and the scope and complexity of the evaluation. In most cases, a budget range of US$100,000 - $500,000 is more realistic and warranted to produce a quality assessment that will be useful for stakeholders.'

[13] These include team time invested in analysis and document review for the identification of case studies that were ultimately not used; time spent drafting the initial inception report which had to be redrafted after the changes to the case studies and evaluation questions as well as costs and resources used for the scoping mission, initially envisaged as a data collection mission.

The selection of case studies and the initiatives to inform the case studies were put together by the UNCT and it is not always apparent how the initiatives link to one another. No clear criteria were used for inclusion, leading to some initiatives being repetitive (e.g. case study 2 covers UN support to laws but there is also support to laws in case study 4). There are also outliers, (e.g. case study 1 on ethnic minorities includes the Green Growth project, which does not have a focus on ethnic minorities, although it is implemented in an area with high proportion of ethnic minority population). It seems sometimes inclusion responded to formal criteria, for example representation, rather than to alignment in content. This means in some instances stand-alone cases will repeat findings (as there are similar initiatives). There was also great imbalance in the number of initiatives included in each case study (e.g. case study 3 includes four, one of which is internal to the UN and incipient, whereas case study 2 included reference to nine initiatives). All these limitations together affect the level of detail and depth of the conclusions for the different case studies, making comparisons between them difficult.

Stakeholder participation and fatigue
The review took place on the heels of the UNFPA and UNDP evaluation exercises, and at the same time as the Common Country Assessment (CCA), Options Paper and audit were taking place. Some degree of stakeholder fatigue was observed during the interviews. In addition, some meetings initially scheduled were cancelled and others we were not able to secure. Most significantly, a workshop with the heads of agencies initially scheduled did not take place, and some of the case studies (in particular 2 and 4) are very heavily based on UN insights, with very limited inputs from civil society, donors or government counterparts. Overall, it must be noted that more than half (55% per cent) of all the interviews undertaken during the exercise were with UN staff. It is important to bear this in mind when interpreting findings, especially given that most of the documentation it is also self-reporting and that many findings were not triangulated. Adequate coordination of exercises between agencies and with the One Plan should be considered when designing the new One Plan to avoid various exercises taking place in parallel or very close together, and when this is unavoidable, synergies should be sought through joint or coordinated evaluation designs.

Limited access to data
As the Resident Coordinator's Office (RCO) does not have access to actual financial information at the agency level, it was not possible for the team to access more up-to-date information for the whole One Plan budget and to undertake the originally envisaged analysis of the funding gap. Additionally, activity and results monitoring is done at the end of the year, so the team was able to analyse data only up to end-2014. Some of the information requested did not arrive in time for inclusion in this report.

Quality of sources
While the team collected primary data, much of the analysis, in particular in relation to RQs 1 and 2, is based on secondary data provided by the UNCT. As such, the quality of the analysis is dependent on the quality of secondary data provided, which includes data without strong evaluative evidence (see systematic review).

Financial analysis
This analysis is based on financial reporting on the Multi-Partner Trust Fund (MPTF) web portal. Regular Resources (RR) and Other Resources (OR) figures provided date back to early 2014; only One Plan Fund (OPF) figures were updated for November 2015. The funding gap analysis is based on the 2014 annual results report and management expectations. These data were compiled in early 2014 and do not represent verified financial figures. Although the team did some triangulation with One Plan Fund Mobilization and Allocation Committee (OPFMAC) minutes, we fully rely on the management team's underlying assumptions to reach our conclusions. The team did not have access to any other sources that would further verification or triangulation. As such, it must be treated with caution (see analysis of expected funding gaps in Section 2.2 Budget analysis).

Electronic survey
- It was agreed the UN would send out the survey on the team's behalf, given the difficulties of collating a list of respondents. This meant we were unable to track respondents and cannot assess the survey response rate correctly. We have a list of stakeholders that were made aware of the survey, but these may have sent the survey to others to complete. We are thus not able to say whether responses are representative of the group of stakeholders.
- As we were not able to control the list of respondents, the survey also lacks a significant outside perspective. There are very few responses from donors, civil society and research partners.

- With limited resources for survey analysis and in order to ensure a high response rate, the survey was designed primarily as closed, ranked questions. This limited the richness of the data, as responses were not explained with comments from respondents.

As such, the survey data have been used with caution and primarily to triangulate other data.

Chapter 2: Progress on results

2.1 Systematization of progress and results up to date (RQ1)

This section is a descriptive synthesis of the results achieved through the One Plan. The One Plan's Results Matrix has three focus areas, 12 outcomes, 43 outputs and 119 indicators (41 at outcome level and 78 at output level). We draw on the UN in Viet Nam's glossary of monitoring and evaluation (M&E) and results-based management (RBM) terms[14] and take results to mean any output, outcome or impact from the One Plan.

The synthesis builds on results detailed in the following:

- JPGs' own assessment of results, as detailed in JPG monitoring tables (2013, 2014), JPG annual reports (2013, 2014), the DaO annual results reports (2012, 2013, 2014) and the One Plan database, which includes tracking against outcome and output indicators. From this, our assessment includes (1) the extent to which the UN has delivered planned activities and outputs and (2) whether the UN has achieved annual targets on output indicators.[15]
- Evaluative evidence detailed in (1) the equity-focused systematic review, which details evidence from a number of relevant evaluations, conducted of joint programmes or individual agency initiatives.[16] Some of the evaluations in this review were for activities that took place before 2012 but were finalised in the current One Plan period (2012 or 2013). As we have not had access to detailed monitoring tables for 2012, these results are less relevant for our assessment, but we have used them where we can identify where they strengthen our assessment of results. See Table 1, Annex 5, for all the evaluations; (2) other key country programme evaluations – namely, the UNICEF MTR, a draft report of the on-going UNDP ADR and the mid-term and final evaluation of the UNFPA country programme[17].

As such our assessment is based primarily on self-assessment (see Section 1.7 on limitations).

Although we aimed to aggregate achievement of outputs to the outcome level, this proved difficult owing to the varying nature of the outputs, even within one outcome. The full assessment tables by output can be found in Annex 5. We have tried to make an objective assessment of the self-reported results, rather than just taking them as a given, attempting to assess the accuracy of reporting and analysing some of the possible assumptions made by the UN in its self-assessment. However, lack of evaluative evidence means the data are based mostly on the JPGs' own traffic light system.

The examples of results we provide are only for those where we had additional evaluative evidence to draw on. Note: some of the detailed outcome analysis can be found in the case study section under the appropriate case study. For outcomes not covered by any of the case studies, we include the detail in this section.

We also triangulate with the expected funding gap analysis (combined potential shortfall of RR, OR and OPF resources as estimated by the RCO in 2014) to try to assess where non-achievement may owe to a funding gap. However, there is still more than one year of operation of the One Plan, and these data were compiled in early 2014 and do not represent verified financial figures. As such, they must be treated with caution (see further discussion in Section 2.2). Additionally, this information is not available at output level for the One Plan, so we present it only at outcome level.

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[14] Results are changes in a state or condition that derive from a cause-and-effect relationship. A result can be an output, outcome or impact that is set in motion by a development intervention.

[15] Note that there are overlaps between these two categories, depending on the definition of the output indicator. One or two indicators are defined for each output, and often the indicators match the planned outputs in the JPG annual work plans, e.g. number of studies produced. In other instances, indicators are defined as a higher-level result to be assessed separately from planned activities or outputs produced, e.g. extent of consideration of studies/recommendations in national legislation.

[16] Apart from in one instance (Keller, D.P. 2013. Final evaluation: green production and trade to increase income and employment opportunities for the rural poor. MDG Achievement Fund.), we have not had access to these evaluations ourselves, but have had to rely on the systematic review's assessment of them (see limitations and scope)

[17] Mailloux, L., Nguyen My Linh and Nguyen Thu Giang. 2014. Independent mid-term review of the 8th Country Programme (CP8) Viet Nam (2012-2016) (UNFPA); Kaybryn, K., Phan Bich Thuy, Nguyen Thi Huong Thao, Bui Thi Thu Huong, Wedgwood, E. and Young, B. 2015. Evaluation of the UNFPA 8th Country Programme of Assistance (CP8) to the Government of Viet Nam (2012-2016) – Draft Evaluation Report; UNICEF. 2015. Mid-term review – Government of Viet Nam and UNICEF country programme cooperation; UNDP. 2015. Draft UNDP ADR.

At a general level, self-assessment shows the UN is making significant progress toward achieving the goals set out in the One Plan document, with 50 and 32 per cent of **output indicator targets** achieved in 2013 and 2014, respectively, and a further 17 and 8 per cent showing partial achievement (see Table 3).

Table 3: Assessment of achievement of output indicator targets 2013 and 2014

	2014		2013	
	Number	Proportion	Number	Proportion
Number of indicators	**78**		**78**	
Targets reached	25	32%	39	50%
Partial achievement of targets	6	8%	13	17%
Indicator not reported on or target not identified	35	45%	16	21%
Not achieved	12	12%	7	9%
N/A (e.g. no activities related to indicator)	0	0%	3	4%

Source: Team's synthesis of self-assessed results.

With regard to activities and outputs planned, for both 2013 and 2014 **83 per cent of activities and outputs** have been conducted as planned (Table 4). A further 14 per cent in 2014 and 5 per cent in 2013 show partial achievement, mostly because of some kind of delay or changes in priorities, either by the UN or by the government. However, in 2013, 12 per cent of activities and outputs were simply not reported on, without any explanations given for why an activity had not been conducted or an output not achieved. Table 4 also shows the split between joint (more than one agency) and individual activities: no significant difference is observed between the two in terms of the level of achievement.

Table 4: Number and proportion of self-reported achievement of individual and joint activities/outputs

	2014			2013		
	Number	Proportion		Number	Proportion	
Total (individual and joint)						
Total activities/outputs	335	100%		281	100%	
Fully achieved	278	83%		232	83%	
Partially achieved	46	14%		15	5%	
Not achieved	11	3%		34	12%	
Individual		Proportion individual	Proportion of total		Proportion individual	Proportion of total
Total activities/outputs	192	100%	57%	139	100%	49%
Fully achieved	157	82%	56%	107	77%	46%
Partially achieved	29	15%	63%	6	4%	40%
Not achieved	6	3%	55%	26	19%	76%
Joint		Proportion of joint	Proportion of total		Proportion of joint	Proportion of total
Total activities/outputs	143	100%	43%	142	100%	51%
Fully achieved	121	85%	44%	125	88%	54%
Partially achieved	17	12%	37%	9	6%	60%
Not achieved	5	3%	45%	8	6%	24%

Source: Team's synthesis of JPG monitoring reports.

However, weaknesses or inconsistencies in reporting were observed, for example for 2013 and 2014 21 and 45 percent (respectively) of indicators are not reported on or have no annual targets attached, even though the narrative for both these years[18] provides detail on progress against these indicators. In some instances, relatively straightforward output indicators are not reported on whereas more complex indicators are, pointing to reasons other than technical barriers for non-reporting.

The following sections summarize our assessment of all self-reported results by output, organized by the 12 outcome and three focus areas.

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[18] in JPG monitoring tables and annual reports

FOCUS AREA 1: INCLUSIVE, EQUITABLE AND SUSTAINABLE GROWTH

Outcome 1.1: By 2016, key national institutions formulate and monitor people-centred, green and evidence-based socio-economic development policies to ensure quality of growth as a middle-income country
Output 1.1.1: Strengthened capacities of data producers, providers and users for evidence-based socio-economic development planning and decision-making
Output 1.1.2: Strategic options for development policies defined and considered by policy-makers to promote inclusive, people-centred and equitable development
Output 1.1.3: A multi-dimensional and human development approach is adopted in the poverty reduction components of SEDPs at national and sub-national level to effectively address chronic and emerging forms of poverty

As noted in Annex 5 Table 2, the UN has made substantial contributions to Outcome 1.1, in terms of support to key national institutions in their formulation and monitoring of people-centred, green and evidence-based socio-economic development policies to ensure quality of growth as a middle-income country. According to JPG monitoring tables and annual reports, the targets on output indicators in this area have largely been reached,[19] although they are not consistently reported on in the One Plan database or the JPG monitoring tables. For both years, 60 per cent of planned activities and outputs were delivered.

Where output indicators are not reported on, this may owe to a general weakness in the implementation of the reporting system, acknowledged by the JPG annual report in 2014. Overall, the reporting gives a largely positive picture but rarely makes reference to challenges and lessons learned, which are key for management but not included in reporting formats. The expected **funding shortfall**, although significant for this outcome (-37 per cent of the original budget), is not mentioned as a reason for non-achievement of activities or outputs.

For the most part, the UN assessment of results under this outcome is sufficiently detailed, particularly in terms of specific policies influenced and/or supported by evaluative evidence to provide confidence that the assessment is sound.[20] However, the detailed link between the UN output and the change in behaviour is rarely described in any depth, making assessment of actual contributions difficult, which raises questions over the progress in capacity development and awareness-raising. This is reflected better through the example given from the annual results reports as contributions stories, but these may not provide an accurate picture of overall results, as they are most likely examples of best practice.

Progress for Outcome 1.1 can be seen under case study 1 (Chapter 3).

Outcome 1.2: Institutions create opportunities for decent work for people of working age, particularly the most vulnerable and disadvantaged, to benefit in the process of socioeconomic transformation
Output 1.2.1: Inclusive policies and support programmes for sustainable enterprise development are formulated and implemented with particular focus on micro and small enterprises, for decent job creation and progressive formalization of the informal sector
Output 1.2.2: Vocational training and specialized skills development policies and support programmes of a high standard are formulated in response to market needs and accessible in particular to vulnerable groups and the informal economy
Output 1.2.3: Targeted micro and small businesses more competitive with greater market shares
Output 1.2.4: Employment policies are strengthened to prevent and address discrimination and exploitation of internal and external migrant workers, and other disadvantaged groups in the labour market due to their sex, HIV status or disability

As can be observed in Table 3 Annex 5, progress in this area is hard to assess. While the UN output indicators for this area shows partial achievement, some targets have not been reached and data are missing for three output indicators. Although a number of activities are not reported on in 2013, most planned activities and outputs were fully achieved or completed in 2013 and 2014; in total 85 per cent of activities and outputs. For Outputs 1.2.1 and 1.2.3, targets have been reached to a sufficient degree or even exceeded, but for Outputs 1.2.2 and 1.2.4 targets have not been reached or data are missing. In the case of Output 1.2.2, this seems largely to do with the indicator not being able to capture the work conducted, with activities related to training rather than national skills standards issued or guidelines for skills.

Although the expected funding shortfall (21 per cent of the original budget, as of 2014) is less pronounced under this outcome in comparison with other outcomes, the funding gap is presented as the reason for the discontinuation of a few activities under Output 1.2.2, such as the development of an information and communication technology (ICT)-

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[19] Although a number of activities are not reported on in 2013, in 2014 most were fully achieved, with two partially achieved and one postponed.
[20] UNICEF. 2014; UNDP. 2015; Mailloux et al. 2014.

based communication system for an employment and training-related information service and some activities related to the Know about Business plan, with some explanation provided for lack of full achievement of results. This is also highlighted in the 2014 JPG annual report as a prevailing risk factor going forward, along with continued concerns about the Detailed Project Outline (DPO) approval process with the government; lack of collaboration and cooperation among government partners; and limited capacity of government institutions in evidence-based planning, implementation and M&E at both national and local levels. In comparison with other outcomes, there is overall less detail on results achieved and the UN contribution is harder to assess from the narrative. This may be related to the fact that, under this outcome, there is a mixture of direct support to beneficiaries and more upstream support to government entities. However, there is quite a lot of evaluative evidence to support the self-assessment of results. See details for Output 1.2.2 under case study 1, Chapter 3.

The UN has supported **(1.2.1) the formulation and implementation of inclusive policies and support programmes for sustainable enterprise development with particular focus on micro and small enterprises,** for decent job creation and progressive formalization of the informal sector. This can be exemplified through UN support to a new National Business Registration System, which helps cut red tape and reduce the costs and risks of doing business in Viet Nam[21] (see case study 2 for more details). In addition, evaluative evidence shows the UN has supported the creation of an enabling labour policy and programmatic framework for vulnerable and disadvantaged groups. This includes supporting the government:

- In the development of value chains providing increased job opportunities;
- In the development of the 2013 disability annual plan;
- In the adoption of a proposal for the amendment and development of new technical standards for preventing accidents and injuries caused by chemical substances;
- In the development of the intensive inspection plan in quarrying sector.[22]

Lastly, the UN has provided direct support to increased access to decent work, better opportunities for higher income and improved food security, for instance through the Joint Programme on Green Production and Trade in central Quang Nam province, which includes programmes to create employment opportunities and reduce poverty through culturally oriented tourism ventures. The evaluation shows positive results, although notes that all changes cannot be attributed to UN support[23] (further detail on this project can be found in case study 1).

Under **Output 1.2.3,** the UN has **supported targeted micro and small businesses to become more competitive with greater market shares.** For instance, this has been done through support to agriculture-based livelihoods, in the area of rice cultivation,[24] and cultivating agricultural competitiveness, by providing solutions for post-harvest technology to increase supply capacity and competitiveness in vegetable and fruit value chains.[25]

Although there are mixed results for **Output 1.2.4, on strengthening employment policies to prevent and address discrimination and exploitation of internal and external migrant workers, and other disadvantaged groups in the labour market, owing to their sex, HIV status or disability,** there is evaluative evidence supporting some self-reported results. The UN (International Labour Organization (ILO), International Organization for Migration (IOM), UN Women) has supported recruitment agencies that work with the up to half a million Vietnamese migrants working overseas, to promote respect of ethical standards and better protect vulnerable migrants from risks of exploitation, including through government inspections of the agencies. Evaluative evidence points to this support having played an important role in the development of the code of conduct on labour protection for migrants, which the vast majority of recruitment agencies are now following. Stakeholders have benefited from training and potential migrant workers have received counselling on safe labour migration. Information shared with potential migrants was found to be useful and provided more confidence to workers planning to work abroad.[26]

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[21] UN. 2013. DaO annual results report.
[22] Gonzalez and Dung.2014
[23] Keller. 2013
[24] 2013 annual report.
[25] UN. 2014. DaO annual results report.
[26] Gonzalez and Dung.2014

Outcome 1.3: By 2016, key national and sub-national Agencies, in partnership with the private sector and communities, have established and monitor multi-sectoral strategies, mechanisms and resources to support implementation of relevant multilateral agreements and effectively address climate change adaptation, mitigation and disaster risk management
Output 1.3.1: Planning and investment processes are climate proofed and specific programmes have been formulated and operationalized for long term adaptation to reduce climate change vulnerabilities
Output 1.3.2: Resilience of at-risk and vulnerable groups to natural hazards is enhanced, and nationally relevant aspects of international agreements on disaster risk management are implemented
Output 1.3.3: A national system for REDD and NAMAs for a number of strategically chosen sectors and localities are formulated and operationalized   with clear potential benefits
Output 1.3.4. National long-term climate change strategy operationalized that is based on the national development vision (SEDS), while building on the National Target Programme results

The output indicators for this area show progress towards reaching anticipated outputs, but there is still only partial achievement across the board. The majority of planned activities/outputs were fully achieved (or exceeded), with some partially achieved and not achieved or not reported on: in total, 72 per cent were delivered over both years. Note that most of these 'results' are actually activities, and targets on output indicators have not been reached or there are data missing. There is as such only partial achievement and some indicators without much progress (see Table 4 Annex 5).

The cause of partial achievement of expected results has been attributed to technical complexity and implementation challenges, and severe delays in project approval and establishment.[27] The expected funding shortfall, 11 per cent of the original budget, has not been mentioned as a reason for non-achievement. The JPG notes that, although the UN has conducted activities and produced the technical outputs as planned, this does not guarantee achieving the desired result on the government side, as nationally institutionalized processes may not be ready to adopt or formalize recommendations.[28] Non-achievement in this area may thus also be related to unrealistic expectations, particularly for Output 1.3.1. There also seems to be a problem with definition of indicators and reporting systems. For instance, Indicator 2 under Output 1.3.4 does not seem to refer to activities conducted; and the means of verification on Indicator 1 on Output 1.3.2 (a knowledge, attitude and practice (KAP) survey) does not seem to have taken place in 2013 or 2014. This lack of reporting on output indicators begs the question whether the JPG see them as relevant to measure progress.

Under this outcome, the draft UNDP ADR notes problems related to the assessment of enhanced capacity. Although this is a clear goal of activities, capacity development benchmarks are largely undefined relative to expected outcomes. Enhanced capacity is mostly measured according to legal and technical documents, strategies and action plans and numbers of training events and publications. Only two UNDP projects appear to have undertaken a capacity needs assessment, and the comprehensive UNDP approach to capacity development is not readily apparent.[29]

Despite these reporting problems, the UNDP ADR provides significant evaluative evidence on results, noting UNDP has produced an impressive list of achievements on policy, strategy, laws, action plans and guidelines and advanced the awareness, institutional capacities and skills of government on climate change, green growth, disaster risk management (DRM) and the Reduced Emissions from Deforestation and Forest Degradation (REDD) programme. In addition, JPG reporting is detailed on activities conducted, and as such provides good confidence that it is accurate. There are, however, no verified results under Output 1.3.1. The following as key results should be noted (with progress on Outputs 1.3.2 and 1.3.4 detailed in Chapter 3 of this report):

UN support for **Output 1.3.3, whereby a national system for REDD and Nationally Appropriate Mitigation Actions (NAMAs) for a number of strategically chosen sectors and localities is formulated and operationalized with clear potential benefits,** shows mixed results. The UN (Food and Agriculture Organization (FAO), UNDP, UN Environment Programme (UNEP)) highlights that it has made major progress on building on momentum for the launch of Viet Nam's $30 million UN-REDD Phase II Programme. This is supported by findings in the draft UNDP ADR that note that the preparation of provincial REDD action plans (PRAPS) has been a key activity and progress is now being made on other components – measurement reporting and verification system, safeguards procedures, draft gender guidelines, beneficiaries pilot scheme, technical guidelines for site-level planning and pilot activities in six provinces. However,

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[27] Climate change and environment JPG annual report 2014.
[28] Climate change and environment JPG annual report 2014.
[29] UNDP. 2015.

REDD achievements to date have been limited by management constraints and severe delays, although progress acceleration has been addressed in recent months.[30]

Targets have been reached in relation to NAMAs, with the UN (UN Industrial Development Organization (UNIDO)) supporting businesses to take a more systematic approach to achieving industrial energy efficiency savings for a greener and more competitive Vietnamese economy, by supporting industries to adopt efficient energy management systems in line with international standards, including through awareness-raising, training and technical assistance.[31] This mitigation side support is verified by the draft UNDP ADR.[32]

Outcome 1.4: By 2016, key national and sub- national Agencies, in partnership with the private sector and communities, implement and monitor laws, policies and programmes for more efficient use of natural resources and environmental management, and implement commitments under international conventions
Output 1.4.1: Policies, regulations and fiscal tools for green economic development, natural resources management and cleaner production are formulated and applied
Output 1.4.2: A set of coherent policies and plans are prepared or updated to strengthen (1) management of protected areas and biodiversity conservation, and (2) environment management at national and community levels
Output 1.4.3: Policies, plans and technical skills are strengthened for the sound management of hazardous chemicals and persistent organic pollutants (POPs), in accordance with international conventions
Output 1.4.4: Regulations and fiscal tools formulated and operationalized to enhance rights of the land holders, improve land use and water resources management, and enhance access to decent and social housing by the poor and vulnerable groups

For this outcome, (see Table 5 in Annex 5), the majority of planned activities/outputs have been fully achieved, with the remaining partially achieved and a few not reported on. In total, 81 per cent were delivered over both years. However, most of the targets on output indicators show only partial achievement. These are many instances where the indicator does not truly evidence achievement of the output and target identification does not correspond to the indicators, with many of the targets relating to activities rather than outputs. This makes assessment of progress particularly difficult. In addition, the JPG does not report on indicators in the monitoring tables and the database, although results are detailed in the narrative. This might suggest problems with the implementation of reporting mechanisms and/or a lack of capacity within the JPG on RBM.

The cause of partial achievement of results is attributed to delays in project approval and implementation. The potential funding shortfall, although significant (43 per cent of the original budget), has not been mentioned as a reason for non-achievement. Again, as noted on Outcome 1.3, the JPG notes that, although the UN has conducted activities and produced the technical outputs as planned, many indicators depend on government implementation, which the UN does not control, suggesting this partial achievement owes to unrealistic expectations, perhaps specifically for Output 1.4.2, where most reporting is activity-based. The draft UNDP ADR also notes that expected programme end results are vague, and some project reports contain limited information, mostly on activities completed, making cumulative assessment of progress towards outcomes difficult.[33]

Despite these challenges, the results under Outcome 1.4 include some important outputs, verified by the draft UNDP ADR, which notes that the UN has contributed to low carbon development strategies, soil pollution management, agricultural chemicals management, biodiversity conservation and financial sustainability of protected areas. However, there are no verified results for Output 1.4.4. Results for Outputs 1.4.1 and 1.4.3 are detailed in Chapter 3.

For **Output 1.4.2, the preparation or updating of a set of coherent policies and plans to strengthen (1) management of protected areas and biodiversity conservation and (2) environment management at national and community levels,** targets until 2014 have also been reached. The UNDP ADR notes that UNDP assisted in the updating of the National Biodiversity Strategy by 2020, the Vision to 2030 and Action Plan and Fifth National Biodiversity Report submitted under the Convention on Biological Diversity, and prepared a Critical Issues Biodiversity Report and guidance on implementing the National Biodiversity Strategy and Action Plan (NBSAP) and biodiversity indicators. Biodiversity was incorporated into Decree 43 dealing with land law and a related circular produced on the formulation of land use plans, along with a report, 'Assessment of Mainstreaming Biodiversity Conservation into Land Use Planning'. The biodiversity conservation/protected areas projects also assisted a new Biodiversity Law and advanced the information

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[30] UNDP. 2015
[31] 2013, 2014 annual reports.
[32] UNDP. 2015
[33] UNDP. 2015

base on conservation values, risks and responses, piloted land use planning integration with biodiversity and identified financing options for protected areas. The effectiveness of these results in the long term may depend on resolving coordination issues between the Ministry of Natural Resources and Environment (MONRE) and the Ministry of Agriculture and Rural Development (MARD) on biodiversity conservation responsibilities and programmes.[34]

The draft UNDP ADR also notes that key factors that contributed to these results include strong commitment of the government to international environmental agreements and to the use of internationally accepted environmental management practices, the close working relationship UNDP has with senior levels of government and more than a decade of technical assistance and operational support to the key agencies, which has provided continuity to improve skills and practices within these agencies.[35]

FOCUS AREA 2: ACCESS TO QUALITY ESSENTIAL SERVICES AND SOCIAL PROTECTION

Outcome 2.1: A more effective national social protection system provides increased coverage, quality, and equitable access for the most vulnerable and disadvantaged groups
Output 2.1.1: High quality evidence is available for use by decision-makers to inform the formulation, monitoring and evaluation of social protection related legislation and policy
Output 2.1.2: Policy advice and technical support provided and considered by the Government to enhance the effectiveness of the social protection system, with a particular focus coherence between different pillars and with other relevant policy frameworks
Output 2.1.3: Alternative legal, policy, targeting and financing options are available and considered by the Government for the expansion of integrated and adequate social assistance, social insurance and social welfare and protection services
Output 2.1.4: Institutional and human resource capacity strengthened to design and deliver social assistance, social insurance, and social welfare and protection services

For this outcome (see Table 6 Annex 5), annual reporting against indicator targets shows only partial achievement, although it is clear there has been substantial progress towards reaching output objectives according to the reporting narrative. For 2013, it is a mixed picture, with several activities/outputs not reported on and no explanation provided for this omission. For 2014, most activities/outputs are achieved, with a few partially achieved. In total, 73 per cent of planned activities and outputs have been delivered. The primary reasons presented for partial is 'delays'. The problem here is that there is no actual target for indicators in 2014 and there is reporting only on a few of them. Under this outcome, the indicators have been revised to be more clearly related to ongoing UN activities. It is not clear why this has been done; it makes assessment of progress easier on an annual basis but has in at least one case (2.1.1) reduced the ambition of activities and changed the indicator so it is less able to reflect the objectives under the output, thus making assessment of progress towards the outcome more difficult.

The potential funding gap of 25 per cent is not mentioned as a cause for not achieving results in the JPG monitoring tables. In terms of lessons and challenges, the JPG considers the difficulties of assessing impact on the long-term nature of the changes sought: *While considerable reform-based support was delivered, the fruits of these efforts will only be seen in the medium to longer term. Interventions such as MPSAR [Master Plan for Social Assistance Reform] support, piloting activities and exploration of social pensions and public works remain work in progress and will be fully reported on next year, as the final year of the cycle.* The JPG also notes the need for a more strategic approach to policy influencing: *having the technical evidence for reform is not enough. UN agencies often overlook the target audience and the mechanics of the advocacy process. The JPG should therefore identify clearly which are the target partners from both the government and the National Assembly (e.g. the social affairs committee) to effectively advocate for the key issues raised. Translation of messages in both Vietnamese and English has proved a critical strategy which makes sure that messages are accessible to key stakeholders. Important to identify who the 'champions' who are able to push the same agenda, but need to consider interest groups and key stakeholders involved in policy process.*[36]

Some key results have been reported in relevant evaluations (progress on Output 2.1.2 is in Chapter 3):

For **Output 2.1.1, high-quality evidence is available for use by decision-makers to inform the formulation, monitoring and evaluation of social protection related legislation and policy,** there is a lack of defined targets and data are missing. However, as noted by the draft UNDP ADR, UNDP's reviews and studies that support awareness-raising and

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[34] UNDP. 2015.
[35] UNDP. 2015.
[36] Social Protection JPG annual report 2014.

mapping of social assistance policies and programmes have increased awareness about the fragmentation of the current national policies.[37]

For **Output 2.1.3, alternative legal, policy, targeting and financing options are available and considered by the government for the expansion of integrated and adequate social assistance, social insurance and social welfare and protection services,** there is a lack of defined targets and data are missing. The UNFPA MTR and draft evaluations reports provide evidence of some progress in this area. In 2013, an international workshop took place, 'Responding to Ageing: Workshop to Exchange International Experience', where the UN helped Viet Nam develop policy responses, giving policy-makers an opportunity to learn from the employment, health care and social protection successes of nations with similar demographic patterns. The workshop created momentum for urgent action to address these challenges, with the Ministry of Health (MOH) reporting workshop recommendations directly to the prime minister and the Ministry of Labour, Invalids and Social Affairs (MOLISA) set to initiate social pension reforms in 2014 with UN (ILO, UNFPA) support. In 2014, the UN continued this work with a number of policy briefs. This is verified by the UNFPA MTR. UNFPA also mentions UNFPA's National Action Programme on Elderly People, in which piloted intervention models seem relatively successful, but the purpose and future of the intervention models are not clear.[38]

For **Output 2.1.4, on institutional and human resource capacity-strengthening to design and deliver social assistance, social insurance and social welfare and protection services,** progress against indicator targets is not detailed, targets have not been reached or data are missing. Although there are a number of self-reported outputs, there is no evaluative evidence to verify these results.

Outcome 2.2: Increased quality and effective management of a comprehensive national health system, including health promotion and health protection, with a focus on ensuring more equitable access for the most vulnerable and disadvantaged groups
Output 2.2.1: Policy advice and technical support provided to strengthen the building blocks of human and animal health systems, including information systems and the generation of evidence, at national and sub-national levels
Output 2.2.2: Policy advice and technical support provided to improve evidence about, prevent and effectively manage non-communicable conditions at national and sub-national levels
Output 2.2.3: National and sub-national capacities enhanced to improve evidence about, prevent and control communicable diseases of humans and animals
Output 2.2.4: National and sub-national capacities enhanced to strengthen evidence, improve universal access to, and utilization of, a quality and gender-sensitive package of nutrition and sexual, reproductive, adolescent, maternal, neonatal, and child health care and services
Output 2.2.5: National and sub-national capacities enhanced to improve evidence and the equitable access to and demand for quality and sustainable water supply and hygienic sanitation

Note for this outcome, both the Health JPG and the HIV JPG report under Outputs 2.2.1, 2.2.3 and 2.2.4, although the HIV JPG does not report on indicators, just activities and outputs. We have added these activities and outputs here.

For this outcome, the majority of planned activities and outputs have been completed: all are achieved in 2013 and the majority in 2014, with a few partially achieved and three not reported on. In total, 86 per cent of planned activities and outputs have been achieved in 2013 and 2014. The level of detail for 2013 reporting is very weak in terms of the UN's contribution to results, with a clear improvement in reporting quality in 2014 (see Table 7 in Annex 5).

However, despite the fact that indicators are straightforward to report on – for example number of policy studies/options developed – there are no annual targets and no reporting against output indicators in 2014. Considering that the indicators are defined over the whole One Plan period (2012-2016), there may have been agreement not to report annually. However, there are no targets for the 2012-2016 period and there is an outcome indicator to report on at the end of the period, making it unclear why there is no regular reporting. With regard to definition of indicators, there is a mismatch between three of the outputs around development of capacity (2.2.3, 2.2.4 and 2.2.5) and the indicators – that is, number of policy studies and regulatory processes are not clearly linked to developed capacities, making assessment of progress towards the outcome difficult. This leads to an assessment of only partial achievement overall, in spite of substantial progress against outputs, according to the reporting narrative.

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[37] UNDP. 2015.
[38] Kaybryn et al. 2015; Mailloux et al. 2014.

As noted above, there are very few activities not conducted; in one instance, lack of funding is given as the reason for non-achievement (support to development of the National Environmental Action Plan to manage environmental health issues). The expected funding shortfall (32 per cent of the original budget, as of 2014) may still be seen as significant, as the annual report from 2014 includes questions around limitations in the development and consideration of new joint initiatives. This suggests the OPFMAC limits the development of new initiatives as the funding is committed primarily to the One Plan that was developed over a six-year period, and some of the activities initially included in the planned could not be carried out owing to changes in the priorities and policies of the government.[39]

There is evaluative evidence to support self-assessment in the UNFPA and UNICEF reviews and evaluations. However, we have not had access to any World Health Organization (WHO), FAO or Joint UN Programme on HIV/AIDS (UNAIDS) evaluation, thus limiting our ability to verify self-assessed results.

For **Output 2.2.1, policy advice and technical support provided to strengthen the building blocks of human and animal health systems, including information systems and the generation of evidence, at national and sub-national levels,** the detailed narrative in monitoring tables and annual reports provides many examples of policy advice and technical support. Examples of verified results (UNFPA, UNICEF MTRs) include:

- The UN (UNICEF, WHO) and MOH developed a framework 'Ending Preventable Early Neonatal Deaths Through Universal Access to Quality Early Essential Newborn, Labour, Delivery and Postpartum Care' to guide health managers and planners to address early neonatal mortality in Viet Nam. Based on this framework, the UN helped design a national action plan on scaling-up EENC for 2014-2020 and supported capacity development of early essential newborn care (EENC) through training.
- With support from UNICEF, a significant achievement of cross-sectoral efforts was the agreement of MOH to develop an integrated communication for development (C4D) framework to promote behaviour and social change for Reproductive-Maternal Neonatal and Child Health (R-MNCH) packages as part of the A Promise Renewed campaign.[40]
- Targeted UN (UNFPA, UNICEF) advocacy efforts enabled ethnic minority communities to better access maternal health care services, with MOH assembling a multi-ministry team to develop a national policy to address this. The policy will provide ethnic minority women with financial support to cover medical care and travel costs not included in the regular health insurance scheme. According to the UNFPA MTR, formalization of the policy illustrates the UN's ability to identify policy gaps and successfully advocate for effective change at an upstream policy level.[41]
- The UN (UNFPA) supported the strengthening of the health management information system (HMIS) and sex ration at birth (SRB) and gender-based violence (GBV) indicators are included in the HMIS for monitoring and planning processes at both national and sub-national levels.[42]

Although the UN provides many detailed examples of policy advice and technical support for **Outputs (2.2.2), policy advice and technical support provided to improve evidence about, prevent and effectively manage non-communicable conditions at national and sub-national levels,** and **2.2.3, national and sub-national capacities enhanced to improve evidence about, prevent and control communicable diseases of humans and animals**, no evaluative evidence to support self-assessment was provided.

For **Output 2.2.4, national and sub-national capacities enhanced to strengthen evidence, improve universal access to, and utilization of, a quality and gender-sensitive package of nutrition and sexual, reproductive, adolescent, maternal, neonatal and child health care and services**, there is sufficient detail in the narrative reporting to support the self-assessment, although the causal chain for capacity development is more complex than for the provision of policy advice and technical support. In this area, examples of verified results include:

- In the area of nutrition, in a further effort to protect breastfeeding, a new advertisement law was passed. The Labour Code was also passed, with extension of paid maternity leave from four to six months. The rate of exclusive breastfeeding has, after years of stagnation, increased by 40 per cent, from 17 per cent (Multiple Indicator Cluster Survey (MICS) 2010) to 24 per cent (MICS 2014). Sustained efforts in creating a more enabling

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[39] Health JPG annual report 2014.
[40] UNICEF 2015.
[41] Mailloux et al. 2014
[42] Mailloux et al. 2014

environment for mothers have no doubt contributed significantly to the increase in breastfeeding rates. Integrated Management of Acute Malnutrition (IMAM) services using locally produced therapeutic foods have been established in 11 provinces under the provincial nutrition action plans.[43]

- MOH developed a circular to control the quality of condoms and contraceptives in the free market to protect consumers from unwanted pregnancies and sexually transmitted infections, including HIV.[44]
- National data on cervical cancer were collected to be utilized to develop national responses to this emerging issue at both primary health care and tertiary levels.[45]

For **Output 2.2.5, on enhancing national and sub-national capacities to improve evidence and the equitable access to and demand for quality and sustainable water supply and hygienic sanitation,** there is partial achievement, with some activities not having been conducted and no explanation provided. Here, the activities do not relate to indicators, leading to an assessment of limited progress on targets. However, the UNICEF MTR notes there has been progress in water and sanitation with Community Approaches to Total Sanitation (CATS) and Household Water Treatment and Storage (HWTS) in focus provinces, and the government has committed to scale up these approaches in 25 low-performing provinces. In partnership with UNICEF, the government has introduced open defecation-free (ODF) verification and certification guidelines, which is expected to scale up sanitation nationwide.

Outcome 2.3: Increased quality and effective management of education and training systems, and increased access to pre-primary, primary, and continuing education, particularly for the most vulnerable and disadvantaged groups
Output 2.3.1: Improved evidence is available to ensure education policies are inclusive, relevant and learner-friendly with a special focus on vulnerable and disadvantaged groups
Output 2.3.2: Educational institutions have enhanced capacities to improve learning outcomes and literacy for all, in particular for vulnerable and disadvantaged groups
Output 2.3.3: Education institutions and managers at national, provincial and district levels have enhanced capacities to develop, implement and monitor evidence-based policies and programmes for improved quality of teaching and learning for all

The annual targets on output indicators for Outcome 2.3 have largely been reached, with a few instances of partial achievement. The annual reporting of activities and outputs shows full achievement for 2013 and 2014, with 100 per cent delivery (see Table 8 Annex 5). Our overall assessment is there is substantial progress towards outputs. With regard to definition of indicators, there is a simple underlying assumption that attendance at a training course means increased capacity or that the existence of better evidence and data will lead to increased capacities – there is, however, no assessment of learning outcomes. In reality, this means the assessment is confined to monitoring of the activity rather than the output. One of the indicators related to Output 2.3.3, around establishment of quality assurance and accreditations agencies, is only reported on in terms of seminar participants. We conclude that this indicator is not able to reflect the work of the JPG adequately.

The funding shortfall is not referred to as an issue (an expected 30 per cent of the original budget, as of 2014). In terms of lessons learned, the annual report notes the JPG needs to be more systematically involved to influence the education reform process, key aspects of curriculum renovation and teacher training and quality enhancement, as well as to continue pushing for equity and a quality focus in the government's five-year planning cycle in 2015 (SEDP and Education Sector Development Plan 2016-2020). This seems like a key aspect and it would have been interesting to read more on the different strategic approaches of the JPG and reflection on which ones have been more successful – such discussion is difficult to gain from documents. For this outcome, we were able to obtain evaluative evidence only from the UNICEF MTR (with examples under Outputs 2.3.1 and 2.3.3 in Chapter 3 of this report).

For **Output 2.3.2, educational institutions have enhanced capacities to improve learning outcomes and literacy for all, in particular for vulnerable and disadvantaged groups**, all targets have been reached or exceeded. One example mentioned here includes the UN work with the Ministry of Education and Training (MOET) to advocate for the realization of the rights of children with disabilities to education, aiming to influence the formulation of policy and ensure its effective enforcement. Changes in policy have led to teacher training in inclusive education, community awareness-raising for stigma reduction and monitoring and documentation for national dissemination. Key changes observed included more systematic measures to tracking of children with disabilities, timely certification of disabilities

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[43] UNICEF. 2015.
[44] Mailloux et al. 2014.
[45] Mailloux et al. 2014.

required for enrolment into mainstream schools and trained teachers demonstrating improved skills in working with children with learning difficulties.[46]

Outcome 2.4: National and sub-national institutions, in partnership with communities, more actively address inequalities through implementation and monitoring of laws, policies and programmes that promote gender equality and women's empowerment, and an effective and sustainable response to HIV, reducing stigma and discrimination.
Output 2.4.1: National HIV legal and policy frameworks strengthened to guide evidence- informed responses that effectively address stigma, discrimination, inequality and inequity
Output 2.4.2: Multi-sectoral coordination mechanisms strengthened to ensure full engagement and participation of key stakeholders to support a sustainable HIV response
Output 2.4.3: Gender-related legal and policy frameworks, programmes and practices strengthened to effectively address gender inequality and inequity, gender discrimination and gender-based violence
Output 2.4.4: Multi-sectoral coordination mechanisms effectively guide comprehensive evidence-based planning, budgeting, M&E for a sustainable response to gender inequality, inequity, discrimination and gender-based violence

As the reporting on this outcome is divided into two JPGs (HIV and gender), we present the results at the output level separately. At a general level, the targets on output indicators under this outcome are very close to full achievement. Over 2013 and 2014, 85 per cent of all activities and outputs have been delivered (see Table 9 in Annex 5).

For the JPG on HIV (Outputs 2.4.1 and 2.4.2), out of 49 planned activities/outputs in 2014, 41 were fully achieved and eight partially achieved; all were achieved in 2013. With regard to indicator targets, all have been achieved apart from a lack of target on one indicator. Reasons presented for partial achievement include delays, for instance because of lack of consensus on how to move forward on a national antiretroviral (ARV) supply sustainability plan, with activities expected to be continued in 2015. Reasons for non-achievement are detailed and do not include funding shortfall (an expected 26 per cent for Outcome 2.4, as of 2014). Note the HIV JPG also reports on Outputs 2.2.1, 2.2.3 and 2.2.4. These results are included under Outcome 2.2. Progress on Output 2.4.1 is included under case study 3 in Chapter 3.

For **Output 2.4.2, multi-sectoral coordination mechanisms to ensure full engagement and participation of key stakeholders to support a sustainable HIV response,** targets have been achieved and there is a detailed description of how the UN supported enhanced capacity and awareness, providing more information and support for claims that this support had been successful. For instance, *UNDOC [UN Office on Drugs and Crime] in collaboration with the MPS [Ministry of Public Security], conducted trainings for 60 prison based peer educators from the 2 prison compounds in [sic] communication skills and HIV prevention, care and treatment. After being trained, the trained peer educators rolled out communication related to HIV prevention and care for about 4000 prisoners living in their respective prisons. A communication manual was developed, printed and distributed to guide prison based peer educators while conducting education sessions in HIV prevention and care.* As detailed elsewhere, such description and analysis are rare in reporting.

For the Gender JPG, only a few activities have been delayed: 11 out of 14 planned activities/outputs for 2014 were fully achieved while three were partially achieved; in 2013, all were completed. Reasons for non-achievement are detailed and do not include expected funding shortfall (an expected 26 per cent for the whole 2.4 outcome, as of 2014). The Gender JPG is the only JPG that actually reports on the output indicators in its annual report. The JPG explains its success in terms of being *more active rallying its agencies to present the UN system's recommendations 'as one' to Government. This joint advocacy resulted in increased Government commitment around gender issues"*.

See details for **Output 2.4.3, gender-related legal and policy frameworks, programmes and practices strengthened to effectively address gender inequality and inequity, gender discrimination and gender-based violence** under case study 2.

For **Output 2.4.4, multi-sectoral coordination mechanisms effectively guide comprehensive evidence-based planning, budgeting, M&E for a sustainable response to gender inequality, inequity, discrimination and gender-based violence,** one of the targets for output indicator has not been reached, owing to lack of recruitment of consultants to support the process of development of the M&E framework on GBV. However, the draft UNFPA evaluation notes that capacity has been developed in this area, with ministries jointly preparing with UNFPA the monitoring tool set on domestic violence prevention and a situation and policy brief on SRB. Across numerous stakeholders from different sectors at provincial,

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[46] UNICEF. 2015.

district and commune levels, respondents reported that their understanding and awareness of domestic violence had increased.[47]

FOCUS AREA 3: ENHANCING GOVERNANCE AND PARTICIPATION

Outcome 3.1: Elected bodies are better able to formulate laws and oversee the performance of State agencies and represent the aspirations of the Vietnamese people, especially women, ethnic minorities and other vulnerable and disadvantaged groups
Output 3.1.1: Elected bodies benefit from enhanced knowledge generation and knowledge management to access high quality research and data to guide their legislative duties
Output 3.1.2: Elected officials and bodies have improved capacities to interact and consult with citizens, especially vulnerable and disadvantaged groups

For this outcome, most of the annual targets on outputs indicators have been reached, apart from one indicator where the target has not been defined and no data were reported (see Table 10 in Annex 5). For Output 3.1.2 Indicator 2, it is difficult to verify the achievement, as one of the laws consulted on is not mentioned in the narrative. A total of 88 per cent of activities and outputs have been delivered over 2013 and 2014. Out of 13 planned activities/outputs in 2014, 11 have been fully achieved, with one partial achievement and one cancelled activity owing to changes in plans by the government counterpart. The reporting provides good detail on the UN contribution to changes in laws and regulations. For this output, the analysis in 2014 suggested there could actually be more funding that anticipated (29 per cent) and, perhaps not surprisingly, funding is not mentioned as a reason for activities not going forward. Here again, the quality of data generated is not assessed, with the indicators not designed to allow measurement of quality.

In terms of lessons learned, the Governance JPG (for Outcomes 3.1-3.4) noted that rigid project implementation modalities made it difficult for the JPG to offer rapid responses to specific requests from stakeholders, with more flexible, results-based policy interventions preferred to maximize their existing partnership with different government and National Assembly agencies. This would support working more closely with partners at different levels, and enable early engagement in law-making and revision processes. The JPG notes that the UN needs to better track the law-making process to monitoring the effects of UN's advocacy efforts.

For this outcome, the draft UNDP ADR report, the UNICEF MTR, the systematic review and the UNFPA MTR provide ample evaluative evidence, noting key contributions in the efforts to support elected bodies and the legislative process (see case study 2 for more details).

Outcome 3.2: All citizens, particularly the most vulnerable and disadvantaged groups, benefit from strengthened legal and judicial reform and increased access to justice, enhanced capacity of legal and judicial professionals, and strengthened national legal frameworks to support the implementation of international conventions ratified by Viet Nam
Output 3.2.1: Policy, legal and regulatory framework strengthened to better reflect the rights of the most vulnerable groups and increase their access to justice
Output 3.2.2: Law enforcement and judicial institutions strengthened to better protect rights, and provide increased access to justice to all people, particularly the most vulnerable groups
Output 3.2.3: Legal, law enforcement and judicial personnel have enhanced knowledge and skills to carry out their obligations under Vietnam's Constitution and laws as well as ratified international conventions
Output 3.2.4: Awareness-raising programmes and legal support services developed and effectively implemented to enable all people, particularly vulnerable groups, to be aware of, and claim their rights

The UN output indicator targets in this area have largely been reached, but targets and data are missing on a few indicators, leading to an overall assessment of partial achievement (see Table 11 Annex 5). Over 2013 and 2014, 95 per cent of all planned activities and outputs for this outcome have been delivered. Of those not delivered, one was cancelled owing to a budget cut (training workshops to senior officials of justice institutions and members of Viet Nam Lawyers' Association (VLA) on selected themes). Another activity was delayed and carried over into 2015 (partial achievement). The potential funding shortfall is not referred to as an issue (an expected 30 per cent of the original budget, as of 2014).

For this outcome, the outputs are well defined and hold together as a more coherent picture providing all the necessary elements to support contribution to the outcome for the end of the period. However, the narrative does not

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[47] Kaybryn et al. 2015.

necessarily distinguish between, for instance, strengthened institutions (3.2.2) and individuals (3.2.3), and the indicators are not entirely supportive in allowing an assessment of outputs, for example number of training packages and number of child-friendly policies are meant to measure enhanced knowledge and skills, but it remains unclear why the focus is on child-friendly policies in particular when the output is meant to cover much more.

The reporting provides good details on verification of self-assessment, for instance: *70 (38 men, 32 women) key legal aid providers improved their knowledge and skills to provide legal assistance to victims of domestic violence/GBV as a result of training organized by UN. Participants were legal aid officers and pro-bono lawyers… An analysis of the pre- and post exercises shows that there was an overall increase of knowledge on providing legal aid related to domestic violence.*[48] As noted above, such detail is rare in reporting.

Under this output, the draft UNDP ADR provides evaluative evidence to support self-assessment (with the exception of Output 3.2.3). Chapter 3 details these results. However, the draft ADR also notes that UNDP's focus in this area has been moderate in terms of methods and issues, awareness-raising and provision of legal services to the poor. Despite preliminary achievements seen in the integration of human rights principles and a rights-based approach into key legal documents, so far there has been limited implementation in terms of a mechanism for programmes to safeguard legal rights and access to justice. Overall, how improvements in the areas of rule of law, access to justice and protection of rights will yield specific development results remains to be seen.[49]

Outcome 3.3: Improved performance of the public sector institutions at national and sub-national levels, through enhanced coordination, accountability, transparency and anti- corruption efforts, will reduce disparities and ensure access to public services for the most vulnerable and disadvantaged groups
Output 3.3.1: Government Agencies at the national and sub-national level are able to apply participatory, evidence-based and cross-sectoral approaches in planning, implementation of and monitoring the public services delivery for the most vulnerable and disadvantaged groups
Output 3.3.2: The public administration systems at national level and in selected provinces, have enhanced human resource management systems, a customer-oriented approach, and strengthened mechanisms for accountability and transparency
Output 3.3.3: Selected National Institutions have enhanced capacities to implement and monitor implementation of national legislation on anti-corruption and key provisions of the UN Convention Against Corruption (UNCAC)
Output 3.3.4: Systems to monitor the performance of government institutions and the delivery of basic public services are evidence-based and include mechanisms for citizen feedback

For this outcome, all targets on output indicators have been reached in 2013 and 2014, although there is lack of reporting and lack of a target for two indicators in 2013 (see Table 12 Annex 5). A total of 97 per cent of all planned activities and outputs have been delivered, with only one activity delayed and carried over into 2015. Although indicators are reported on in the JPG monitoring tables, data have not been added to the One Plan database, suggesting again a problem with reporting mechanisms. The expected funding shortfall (8 per cent of the original One Plan budget, as of 2014) is not mentioned as a barrier to achievement of results. In terms of how the UN contributed to specific changes, the reporting is not as detailed in comparison with other outputs under focus area (FA) 3. For one output (2.2), the indicators and the reporting narrative do not give details on how well new systems function. Ultimately, this means that, although the UN has supported the system, without being able to assess the content of how it operates, assessment of whether the support was suitable and useful cannot be inferred from JPG self-assessment. Progress on Outputs 3.3.2 and 3.3.4 are detailed in Chapter 3.

This outcome includes UN contribution to the **Output 3.3.1, government agencies at the national and sub-national level are able to apply participatory, evidence-based and cross-sectoral approaches in planning, implementation of and monitoring the public services delivery for the most vulnerable and disadvantaged groups.** In this area, key results include the UNDP contribution to improved accountability in the public administration reform (PAR) process at national and sub-national levels. For instance, the Ministry of Home Affairs (MOHA) has adopted some level of an evidence-based approach in planning and formulating PAR policy and legal frameworks and the draft UNDP ADR lists a number of policies that supported by the evidence-based inputs.[50] However, the report similarly lists a number of challenges in terms of overall effectiveness. UNDP's support to the PAR process focused on the civil service system and the civil servants and had a limited effect on the reform of the public service delivery system. Its support to the health

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[48] Governance JPG monitoring table 2014.
[49] UNDP. 2015.
[50] UNDP. 2015, p.30.

and education sectors was limited to preliminary studies on the approaches to developing financial autonomy and did not directly address the reform of human resources in public service delivery.

For **Output 3.3.3, selected national institutions have enhanced capacities to implement and monitor implementation of national legislation on anti-corruption and key provisions of the UN Convention Against Corruption (UNCAC),** key results include support f o r national institutions that implement and monitor national policies on anti-corruption and UNCAC. The key result here includes implementation of a self-review. The Government Inspectorate as well as relevant government officials were familiarized with the self-review process in line with required international practices. The process of self-review was systematic, involving consultations with key stakeholders from state and non-state sectors. It yielded a legal framework to enforce coordination among government agencies in implementation of UNCAC. Overall, UNDP support strengthened Viet Nam's capacity to review its own performance within international anti-corruption frameworks.

However, results were modest in terms of enhancing capacities of national institutions to implement and monitor corruption and anti-corruption work. So far, efforts to support the development of a monitoring system on corruption have contributed to a baseline and the quantification of corruption risks, but not a full-fledged system. [51]

Outcome 3.4: Political, social, professional and mass organizations participate effectively in policy discussion and decision-making processes for the benefit of the most vulnerable and disadvantaged groups.
Output 3.4.1: Enabling legal, policy and institutional frameworks and dialogue mechanisms available for PSPMOS to participate in policy discussion and decision-making processes
Output 3.4.2: PSPMOs' human resources and organisation capacities strengthened to provide significant contributions in the development of policies in the best interests of the most vulnerable groups

For this outcome, 100 per cent of all planned activities and outputs have been delivered (see Table 13 in Annex 5). For 2013, annual indicator targets have been achieved. However, for 2014 there are no targets and no reporting on indicators. There are some results at indicator level, but without a target we cannot assess whether this progress is according to plan. It is unclear whether the indicators reflect what the UN wants to measure under this outcome. For instance, there is a detailed analysis of capacity-strengthening in the reporting: *one can see that the capacities of persons with disabilities and the CSO [civil society organization] in general has gradually improved. A few concrete examples are the submission of several reports by the organisations of persons with disabilities (DPOs) such as 1 report which has been submitted by DPOs to MOLISA on the improvement of the health insurance; 1 report has been submitted by DPOs to Ministry of Transportation to improve the means of transportation. Furthermore, with the support of the UN, more than 300 persons with disabilities have received legal services on their rights. With the support of the One UN, DPOs have organised themselves and strengthened their network to advocate for the ratification of the CRPD [Convention on the Rights of Persons with Disabilities] which has been ratified 28 November by the National Assembly.*

Such analysis is rare in reporting and the indicator does not reflect such reporting, with a focus on number of capacity development activities rather than the result of these activities. The expected funding shortfall (39 per cent of the original One Plan budget, as of 2014) is not mentioned as a barrier to achievement of results.

In terms of challenges and lessons learnt, the JPG notes that it has been increasingly looking for ways to engage civil society to the greatest extent possible in all workshops, consultations or other fora with Government, but that there is great potential for further increasing civil society engagement.[52] Specific results achieved are detailed in section 3.

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[51] UNDP. 2015.
[52] Governance JPG annual report 2014

2.2 Budget analysis (RQ1)

This section describes the financial aspects of the One Plan based on available documentation at the time of the exercise, focusing on the monetary resources raised and disbursed against initial plans, and includes an analysis of the expected funding gap. This analysis is based on financial reporting on the MPTF web portal. The funding gap analysis is based on the 2014 annual results report and management expectations, as well as minutes of the OPFMAC and other sources.

Introduction

The One Budget is a total estimated amount of resources needed to implement the One Plan. It consists of three types of resources:

- **Regular Resources (RR):** Core resources provided to UN agencies from their respective headquarters;
- **Other Resources (OR):** Non-core/extra-budgetary resources that were confirmed at the time of signing the One Plan in March 2012;
- **The One Plan Fund (OPF) II:** A pooled fund mechanism to mobilize and allocate new donor resources to support unfunded portions of the One Plan II and new initiatives responding to emerging needs within the context of the One Plan 2012-2016. In March 2012, with the endorsement of the revised OPF II ToR and the signing of a memorandum of understanding (MoU) between participating organizations, the OPF II was extended until 31 December 2016 in support of the One Plan 2012-2016.

At the start of the One Plan, there was an estimated total budget of $480,232,770 required for implementation, of which $173,504,200 or 36 per cent was secured. The OPF II was expected to mobilize $135,387,301 and the rest ($171,341,269) would be mobilized through other resources. The budget was based on best estimates, and, in line with similar Common Budgetary Frameworks, should be viewed as an indicative funding framework based on estimated funding requirements –not be used as certified financial figures. For Viet Nam, this is particularly relevant, with the UN operating in a highly unpredictable and rapidly changing context resulting from Viet Nam's relatively new middle-income status and changing donor priorities. Table 5 shows the One Budget by agency.

One Budget and One Plan Fund II

The aim of the fund is to facilitate realization of One Plan outcomes by strengthening the planning and coordination process, tying the funding allocation to the One Plan and channelling funds towards the highest priority needs.[53]

Table 5: One Budget by agency

UN agency	RR (secured)	OR (secured)	Resources to be mobilized (OPF)	Resources to be mobilized (non-OPF)	One Plan 2012-2016 budget
	(a)	(b)	(c)	(d)	(e)=(a)+(b)+(c)+(d)
FAO	3,300,000	7,550,000	11,060,000	14,980,000	36,890,000
IFAD	0	0	0	1,000,000	1,000,000
ILO	1,500,000	6,240,000	10,180,000	16,040,000	33,960,000
IOM	557,500	880,000	1,647,500	2,415,000	5,500,000
ITC	630,000	380,000	1,090,000	1,540,000	3,640,000
UN Women	3,150,000	1,450,000	2,480,000	1,250,000	8,330,000
UNAIDS	575,000	475,000	1,800,000	3,150,000	6,000,000
UNDP[54]	44,165,000	15,800,000	38,715,001	41,679,999	140,360,000
UNEP	311,000	8,290,000	705,000	7,500,000	16,806,000
UNESCO	1,290,000	400,000	3,149,000	5,658,070	10,497,070
UNFPA	22,500,000	0	9,930,000	670,000	33,100,000
UNHABITAT	1,621,000	500,000	2,524,800	3,770,200	8,416,000
UNICEF	18,050,000	7,000,000	24,015,000	30,985,000	80,050,000
UNIDO	600,000	6,016,000	8,300,000	14,800,000	29,716,000
UNODC	0	2,023,700	4,338,000	8,096,000	14,457,700
UNV	0	120,000	468,000	972,000	1,560,000
WHO	9,300,000	8,830,000	14,985,000	16,835,000	49,950,000
One Plan	**107,549,500**	**65,954,700**	**135,387,301**	**171,341,269**	**480,232,770**

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[53] MPTF web portal.

[54] In addition to the One Plan outcome areas, UNDP funds cross-cutting supporting activities to strengthen RBM and communications of UNDP programmes, as well as policy advisory services and advocacy.

budget				

Source: One Plan 2012-2016.

Summary of One Plan Fund

From 1 January 2012 until 2 November 2015,[55] the OPF had:

- Commitments from donors of $**37,587,166;**
- Deposits from donors of $**37,211,837;**
- A budget of $**33,648,753.** This represents the cumulative amount of allocations approved by the OPFMAC;
- Transfers of $**31,577,901** (net) to participating UN organizations (PUNOs). This does not include the administrative fee of 1 per cent taken by the MPTF, as administrative agent, but it does include a 'direct cost' of 2.5 per cent for One Plan coordination, and a indirect costs taken out by PUNOs (between 7-16 per cent);[56]
- Expenditures totaling $**35,759,056**. This is higher than transfers owing to projects still being implemented and with expenditures under the previous One Plan 2016-2011.

Figure 1 shows these figures distributed by year.

Figure 1: Summary of the One Plan Fund II (2012-2015)

	Commitments	Deposits	Budget	Transfers	Expenditures
2015	4 873 263	4 497 934	2 912 034	2 869 924	1 689 677
2014	7 454 349	7 454 349	6 182 623	6 075 393	8 788 057
2013	12 208 668	12 208 668	18 010 556	16 089 044	6 537 252
2012	13 050 886	13 050 886	6 543 540	6 543 540	18 744 070
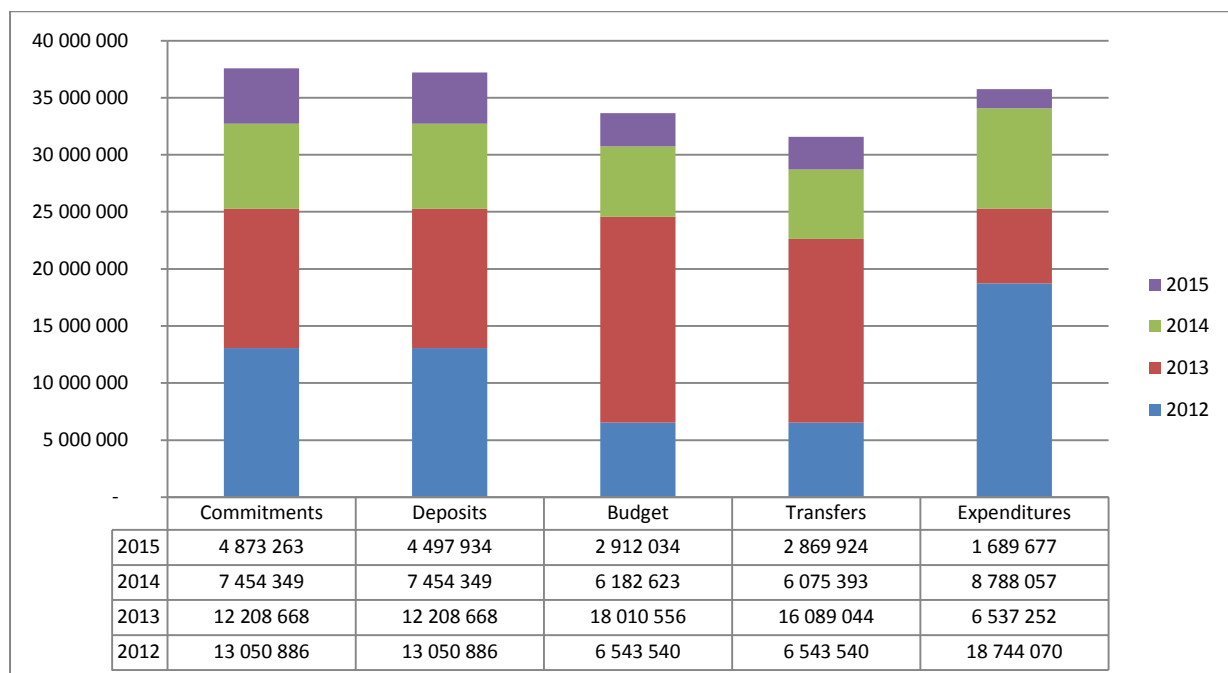
Note: This does not include the sixth round of allocation from the OPF in November 2015.
Source: MPTF, accessed 2 November 2015.

Donors

Table 6 shows donor contributions as of November 2015 to the OPF for the period 2012-2016 (organized according to the size of deposits.)

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[55] The data are updated in real time, with 2 November as a cut-off date. Although the One Plan 2012-2016 only started in March 2012, it is not entirely clear what date should be used for budget analysis.
[56] Viet Nam OPF II, ToR, revised 8 March 2012; interview with MPTF; minutes from the OPFMAC in April 2013.

Table 6: Donor contributions[57] (2012-2015)

Contributor/partner	2012	2013	2014	2015	2012-2015	%
Norway, Government of	3,619,313	273,304	1,243,588	935,454	6,071,659	16.32%
Irish Aid	1,492,490	1,305,100	1,305,100	862,480	4,965,170	13.34%
DFID	1,588,878	2,295,684	781,861		4,666,422	12.54%
Belgium, Government of	1,289,000	1,316,900	1,293,800		3,899,700	10.48%
Luxembourg, Government of	810 197	750,000	1,050,000	1,200,000	3,810,197	10.24%
SDC	2,003,309	1,200,000	300,000		3,503,309	9.41%
Delivering Results Together	-		1,480,000	1,500,000	2,980,000	8.01%
Finland, Government of	-	2,656,500	-	-	2,656,500	7.14%
AusAID	-	2,411,180	-	-	2,411,180	6.48%
Expanded DaO Funding Window	2,225,000	-	-	-	2,225,000	5.98%
Spain, Government of	7,879	-	-	-	7,879	0.02%
Netherlands, Government of	4,925	-	-	-	4,925	0.01%
CIDA	3,987	-	-	-	3 ,987	0.01%
New Zealand, Government of	3,940	-	-	-	3,940	0.01%
France, Government of	1,970	-	-	-	1,970	0.01%
Total	13,050,886	12,208,668	7,454,349	4,497,934	37,211,837	
Number of partners	12	8	7	4	15	
Average size of contribution	1,087,574	1,526,083	1,064,907	1,124,484	2,480,789	

Source: MPTF, accessed 2 December 2015.

The major donors are Norway, Irish Aid, the UK Department for International Development (DFID), Belgium, Luxemburg and the Swiss Agency for Development and Cooperation (SDC). There are also substantial contributions from the Delivering Results Together Fund and the expanded DaO Funding Window. Over the period, the total number of donors reduced from 12 in 2012 to seven in 2014 and so far just four in 2015. At the same time, soft earmarking of funds has increased, with over 50 per cent of donor funds earmarked at the One Plan outcome level. Additionally, some donors have moved from funding the OPF to individual agency funding in Viet Nam.[58] During interviews the reasons presented for this was that bilateral funding allows donors more substantive input into the use of the funds and better reporting on the use of funds, additional funds leveraged and results achieved with those funds. On the other hand, some stakeholders felt this went against the principle of DaO and removed the UN's ability to use funds more flexibly and according to need, with some areas (e.g. climate change, gender) favoured by donors.[59]

Allocation to participating UN agencies

As of November 2015, the OPF had allocated a total net funded amount of $**31,577,900** to PUNOs.[60] Table 7 shows net funded amount by agency.

Table 7: Total allocation to PUNOs (2012-2015)

Organization	Total net funded amount by agency (2012-2015)	Proportion
FAO	1,591,683	5.04%
ILO	1,855,228	5.88%
IOM	338,591	1.07%
UNAIDS	914,018	2.89%
UNDP	9,528,028	30.17%
UNDP (UNV)	179,952	0.57%
UNEP	84,500	0.27%
UNESCO	879,369	2.78%
UNFPA	2,212,323	7.01%
UNHABITAT	810,648	2.57%

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[57] This includes the interest from donor contributions.
[58] Annual results report 2014, OPFMAC minutes 2012, interview with RCO.
[59] Stakeholder interviews; we have not had access to data that allow us to see what has been ear-marked.
[60] This is the total transfers less any refunds transferred back to the MPTF. Refunds are funds that have not been used and transferred back to the MPTF. In some cases, the OPFMAC has given dispensation to transfer these unspent funds on other projects.

UNICEF	6,071,737	19.23%
UNIDO	1,041,530	3.30%
UNODC	1,625,585	5.15%
UNWOMEN	1,444,819	4.58%
WHO	2,999,891	9.50%
Grand total	**31,577,900**	

Source: MPTF, accessed 2 November 2015. Note: This includes some funds allocated in 2015 (related to outcomes 1.1, 3.2, 3.4[61]), but not the sixth round of the OPF allocation, which took place in November 2015.

As can be seen from this table, the largest receivers of OPF resources are UNDP and UNICEF (30 and 19 per cent, respectively); IOM, UNEP (non-resident agencies) and UN Volunteers (UNV) (UNDP) received relatively small funds. See Annex 6 for a detailed table showing approved budgets, net funded amount, transfers, refunds and expenditure by year and by agency.

Table 8 shows the transfers by the rounds of allocation by the OPFMAC.[62] This does not include any transfers related to the previous One Plan 2006-2011, or for funds transferred in 2015, thus explaining the discrepancy with Table 7.

Table 8: Allocation to PUNOs by allocation round

	Round 1 (May 2012)	Round 2 (Oct. 2012)	Round 3 (Apr. 2013)	Round 4 (Oct. 2013)	Round 5 (Oct. 2014)	Total	Proportion
FAO	0	317,900	189,867	330,200	463,000	1,300,967	4.7%
ILO	286,000	327,367	533,203	565,960	178,182	1,890,712	6.8%
IOM	0	47,430	102,610	114,965	73,586	338,591	1.2%
UN Habitat	150,000	72,675	165,000	166,690	87,134	641,499	2.3%
UN Women	225,000	84,000	137,390	383,524	167,366	997,280	3.6%
UNAIDS	174,303	51,387	117,005	277,600	119,300	739,595	2.7%
UNDP	296,836	1,181,360	2,099,823	3,139,000	1,468,224	8,185,243	29.6%
UNDP (UNV)	0	59,500	50,452	50,000	20,000	179,952	0.7%
UNEP	0	20,000	40,500	24,000	0	84,500	0.3%
UNESCO	30,000	90,660	172,767	232,955	141,221	667,603	2.4%
UNFPA	0	0	627,809	1,011,871	576,340	2,216,020	8.0%
UNICEF	0	691,397	1,475,547	1,931,418	1,022,592	5,120,954	18.5%
UNIDO	0	197,500	294,000	323,230	196,800	1,011,530	3.7%
UNODC	255,987	58,420	277,766	572,417	228,372	1,392,962	5.0%
WHO	145,000	470,500	531,424	1,013,689	694,566	2 ,55,179	10.3%
Total	**1,563,126**	**3,670,096**	**6,815,163**	**10,137,519**	**5,436,682**	**27,622,585**	

Allocation by focus area and outcome
As shown in Table 9, the focus area with the largest portion of funding for the One Plan 2012-2016 is FA2: Access to Quality Essential Services and Social Protection, with 46 per cent of One Plan funding. Within FA2, Outcome 2.2 has received the largest amount of funding (18 per cent). Other outcomes with large proportions of funding are Outcomes 1.1., with 12 per cent of funding, and 3.3, with 16 per cent. There are relatively small amounts allocated to Outcomes 1.2 (1 per cent). There have also been further allocations in 2015 not shown in this table, but included in the overview above (by 2 November, $2,874,804 for Outcomes 1.1, 3.1 and 3.4, not included in the total from the five rounds of allocation and relating to other global funds).

[61] $2,874,804 for Outcomes 1.1, 3.1 and 3.4, not included in the total from the five rounds of allocation and relating to other global funds.
[62] There has been a further round in November 2015, which was after our cut-off date for analysis.
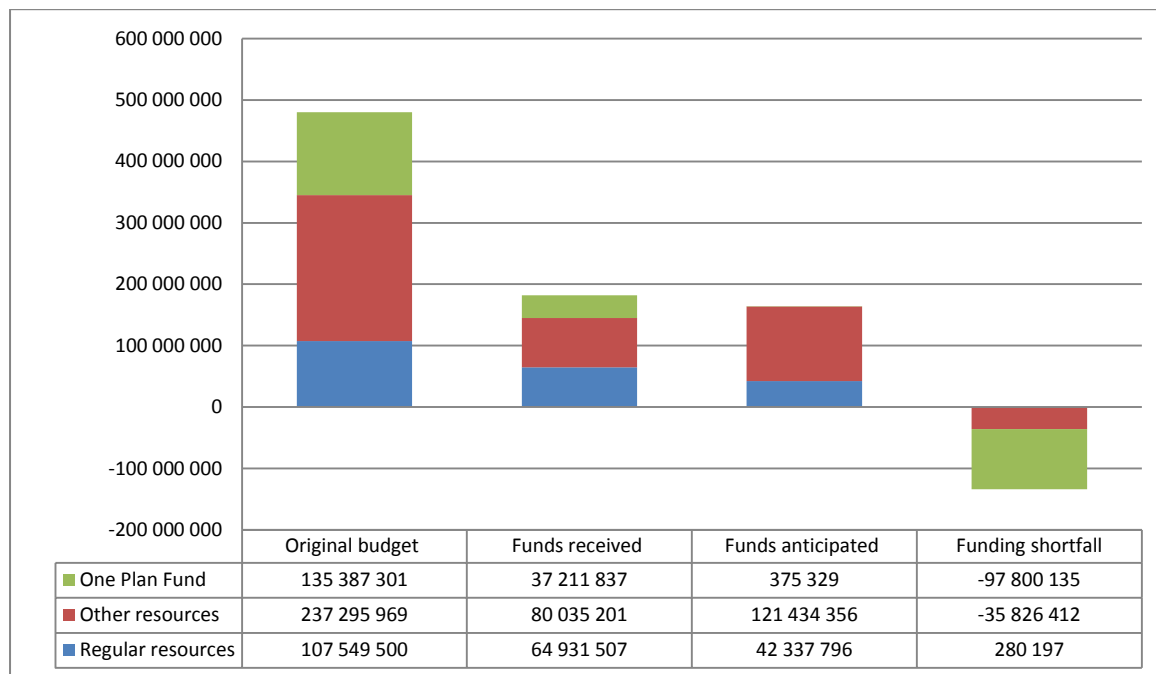
Table 9: Allocation by round and focus area

	Round 1 (May 2012)	Round 2 (Oct. 2012)	Round 3 (Apr. 2013)	Round 4 (Oct. 2013)	Round 5 (Oct. 2014)	Total	Proportion of total allocation
FA1	**-**	**1,297,965**	**1,634,961**	**2,963,711**	**1,158,741**	**7,055,378**	**26%**
1.1	-	355,175	1,239,661	743,801	965,941	3,304,578	12%
1.2	-	123,930	64,800	639,910	52,800	881,440	3%
1.3	-	756,360	290,000	1,580,000	140,000	2,766,360	10%
1.4	-	62,500	40,500	-	-	103,000	0%
FA2	**746,050**	**1,866,211**	**2,623,954**	**4,488,392**	**2,950,753**	**12,675,360**	**46%**
2.1	-	691,514	464,674	804,403	641,218	260, 809	9%
2.2	-	928,650	1,245,296	1,623,815	1,206,908	5,004,669	18%
2.3	-	90,660	368,417	302,375	426,182	1,187,634	4%
2.4	746,050	155,387	545,567	1,757,799	676,446	3,881,249	14%
FA3	**817,076**	**505,920**	**2,556,248**	**2,685,416**	**1,327,188**	**7,891,848**	**29%**
3.1	-	-	53,224	676,674	441,152	1,651,050	6%
3.2	84,240	505,920	400,264	405,371	170,000	1,565,795	6%
3.3	446,836	-	1,622,760	1,603,371	716,036	4,389,003	16%
3.4	286,000	-	-	-	-	286,000	1%
Total	**1 563 126**	**3 670 096**	**6 815 163**	**10 137 519**	**5 436 682**	**27,622,585**	

Source: OPF 2012-2016/ Transfers to PUNOs update with Round 5 shared by EMG.

Analysis of expected funding gap

At the start of the One Plan, the portion of unsecured resources was substantial, with more than $300 million (63 per cent of the total budget) to be mobilized for implementation of the One Plan 2012-2016.[63] As of January 2014, there was a shortfall for OR $35,826,412 and RR had mobilized $280,197 more than anticipated. The team was not provided data to update these figures, but the shortfall of the OPF as of 2 November 2015 was $97,800,135.[64] This represents two-thirds of the total amount anticipated and approximately one-third of the $95.4 million raised for the period 2007-2011.[65] This leaves a potential shortfall of $133,906,744 for the whole One Budget, with less than a year of operation left (27.8 per cent of the original budget) (see Figure 2).

Figure 2: Resources mobilized for the One Plan

	Original budget	Funds received	Funds anticipated	Funding shortfall
■ One Plan Fund	135 387 301	37 211 837	375 329	-97 800 135
■ Other resources	237 295 969	80 035 201	121 434 356	-35 826 412
■ Regular resources	107 549 500	64 931 507	42 337 796	280 197

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[63] Based on the best estimates of requirements in 2011.
[64] MPTF web portal.
[65] Annual results report 2014.

Source: Progress report on implementation of DaO in Viet Nam, DaO steering committee meeting, 30 October 2014 for RR and OR, with figures from January 2014. MFTP for OPF received and anticipated, accessed 2 November 2015.

Resource constraints have been at the forefront of discussion of the One Plan 2012-2016 since its inception and the UN has tried to find ways of mobilizing additional resources. The challenges can be linked to a number of potential causes: (1) Viet Nam has reached middle-income status, which means many donors are pulling out; (2) there is an increased tendency by donors to earmark funds[66] or revert to bilateral funding; (3) UN global funding mechanisms have either been discontinued (Millennium Development Goals Fund (MDGF)) or not yet been replaced (Expanded DaO Funding Window (EFW)). In the past, global funding mechanisms have contributed as much as 30 per cent of the overall OPF;[67] and (4) frustration on the part of donors about the limited detailed reporting and substantive access provided for activities under the OPF.

The UN undertook a funding gap analysis exercise in 2014, which included a detailed review of the status of each of the 43 outputs of the One Plan, with a specific focus on those most affected by the funding gap. This analysis showed regular resources and other resources were relatively well estimated in the original budget, whereas resource mobilization potential through the One Plan Fund was overestimated, with a potential shortfall of more than 70 per cent of the original budget.

Table 10 shows the potential funding gap at outcome level. Note that this was a best estimate from 2014, based on agencies' own reporting on RR and OR, and estimates of further contributions to the OPF. To some extent, these figures are already outdated, as it was finalized in early 2014, and now the OPF already shows further contributions, as can be seen above.[68] Further, agency reporting was not based on verified figures and does not match the ones at the overall level (see Figure 2 above). Notwithstanding these limitations, as can be seen there are a number of outcomes where there is a very large potential funding shortfall. For instance, Outcomes 1.1 and 2.4 had a potential shortfall of close to 40 per cent (or $33 million). However, on closer investigation, agencies did not report many problems with planned activities. As noted in the section on results (2.1) above, lack of resources is not used as an explanation for non-achievement of results or for not going ahead with an activity, including for Outcomes 1.1. and 2.4. There are a handful of instances where some activities have been cancelled or delayed, but this does not seem to be related to the particular expected financial shortfall at outcome level. Box 1 shows a number of examples of planned activities that will not be undertaken as a result of lack of funds.[69]

Box 1: Examples of activities that have been dropped as a result of resource constraints

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Output 1.1.2 Options for people centered development

Support for Investment Promotion through Investment Monitoring and Supplier Development in Viet Nam

Output 1.2.2 Vocational training and specialized skills development policies and support programmes of high standard are formulated in response to market needs and accessible in particular to vulnerable groups and the informal economy

- Development of an ICT-based communication system
- Certain aspects of Know About Business capacity development were not implemented

Output 1.3.3 National systems for REDD and NAMA

Enhancing NAMA Readiness: Building Capacity in Integrated Food and Energy System in Viet Nam

Output 2.2.2 Policy advice and technical support provided to improve evidence about, prevent and effectively manage non-communicable conditions at national and sub-national levels

Development of NEHAP was postponed to 2015 owing to the lack of a defined strong leading ministry between MOH and MONRE and lack of funding

Output 2.2.3 Communicable diseases

Development of M&E framework on programme to address dengue fever

Output 3.2.3 Legal, law enforcement and judicial personnel have enhanced knowledge and skills to carry out their obligations under Viet Nam's Constitution and laws as well as ratified international convention

Training workshops to senior officials of justice institutions and members of VLA on selected themes, including human rights-based approach, democratization, rule of law and justice sector reform, social critics (*phan bien xa hoi*) and regulatory impact assessment

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[66] Annual results report 2014.
[67] Presentation: DaO Steering Committee (DaO SC) meeting, 22 November 2013.
[68] We have not added the updated amounts for the OPF here as we do not have the necessary detail to match the updated amounts to the categories in the table.
[69] Presentation: progress report on implementation of DaO in Viet Nam, DaO SC meeting, 30 October 2014; JPG monitoring tables 2014.

Output 3.4.2 Political, social, professional and mass organizations' (PSPMOs') human resources and organization capacity
• Capacity of people living with HIV (PLHIV) and key population groups strengthened to advocate against stigma and discrimination and for access to affordable treatment
• Women living with disabilities better represented in law review and CEDAW advocacy

Source: RCO reporting and JPG monitoring tables.

As a result of this funding gap analysis undertaken by the RCO in 2013, the DaO Steering Committee agreed that, for the remainder of the One Plan, available resources should be prioritized towards ongoing One Plan projects based on approved DPOs, and that project activities should be prioritized and down-scaled, without affecting project objectives, in line with available funding[70]. The UN was also asked by the government to review how it would be possible to increase the implementation capacities of its Vietnamese counterparts and how UN overhead and personnel costs could be reduced. The government agreed to continue to help mobilize resources to implement the One Plan 2012-2016 and to encourage donors to make additional funding available to the One Plan.[71] However, when looking at this more closely, most activities were being implemented under existing government-approved DPOs and as such it was not possible to drop any outputs.

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[70] Delivering as One Steering Committee Meeting Minutes, 22 November 2013
[71] OPSC Meeting Minutes, 30 October 2014.

Table 10: Potential funding shortfall at outcome level (October 2013/January 2014)

Outcome	RR				Non-OPF OR				OPF				Total difference from budget	Percentage
	Original RR budget as per One Plan 2012-2016	RR received as at January 2014	Anticipated RR for remaining years of One Plan 2012-2016	Difference	Original OR budget as per One Plan 2012-2016	OR received as at January 2014	Anticipated OR for remaining years of One Plan 2012-2016	Difference	Original OPF as per One Plan 2012-2016	OPF received as at October 2013 (by outcome)	Anticipated OPF for remaining years	Difference from original OPF budget		
1.1	18,055,000	12,714,221	4,951,140	-389,639	19,570,935	6,882,275	8,861,459	-3,827,201	20,504,105	2,338,637	1,083,068	-17,082,401	-21,299,240	-37%
1.2	1,892,500	1,318,223	444,468	-129,809	26,893,500	21,476,299	5,305,200	-112,001	8,970,000	828,640	581,921	-7,559,440	-7,801,250	-21%
1.3	5,897,500	4,144,658	1,569,696	-183,146	37,633,095	16,203,837	24,803,115	3,373,857	13,234,405	2,626,360	1,269,180	-9,338,865	-6,148,154	-11%
1.4	3,766,000	2,028,000	450,000	-1,288,000	32,624,441	13,144,032	9,906,170	-9,574,240	8,975,559	103,000	30,250	-8,842,309	-19,704,549	-43%
2.1	7,962,500	6,196,005	3,497,023	1,730,528	17,549,646	9,132,600	5,618,413	-2,798,633	11,152,854	1,960,591	957,389	-8,234,874	-9,302,979	-25%
2.2	22,621,000	15,584,193	6,995,005	-41,802	52,710,200	19,431,927	23,592,688	-9,685,585	29,760,500	3,797,761	1,930,941	-24,031,799	-33,759,185	-32%
2.3	3,400,000	2,190,522	1,220,000	10,522	9,360,480	5,105,127	3,324,000	-931,353	5,761,520	761,452	372,320	-4,627,749	-5,548,580	-30%
2.4	9,840,000	5,299,202	4,222,659	-318,139	7,682,900	3,531,408	2,172,326	-1,979,166	9,521,100	3,204,803	1,582,468	-4,733,829	-7,031,134	-26%
3.1	3,480,000	3,355,213	489,017	364,230	2,814,574	4,495,854	1,158,000	2,839,280	2,410,426	1,209,898	513,908	-1,184,420	2,516,890	29%
3.2	12,445,000	3,266,305	9,398,890	220,195	16,269,478	6,315,588	7,011,407	-2,942,483	11,770,522	1,395,795	690,863	-9,600,864	-12,406,152	-31%
3.3	17,680,000	13,950,130	4,178,858	448,988	8,999,381	5,708,565	3,525,200	234,384	9,035,649	3,672,967	1,854,549	-3,093,334	-2,824,762	-8%
3.4	570,000	1,844,974	469,135	1,744,109	5,579,339	1,159,027	2,432,102	-1,988,210	4,290,661	286,000	143,000	-3,861,661	-4,105,761	-39%
	(a)	(b)	(c)	(d)=(b)+(c)-(a)	(a)	(b)	(c)	(d)=(b)+(c)-(a)	(a)	(b)	(c)	(d)=(b)+(c)-(a)	e=(d)+(d)+(d)	f=(e)/(a)
	107,609,500	71,891,645	37,885,892	2,168,037	237,687,969	112,586,538	97,710,081	-27,391,350	135,387,301	22,185,904	11,009,855	-102,191,543	-127,414,855	-27%

Note: These figures are not based on verified financial figures, but represent a best estimate made by the RCO in October 2013 and then updated in January 2014.

The UN and the government have undertaken various resource mobilization activities and various analyses on alternative funding sources. This included:

- Breakthrough proposals were developed, based on the UN's comparative advantages. JPGs developed ten joint fundraising proposals, which the UNCT approved. By the end of 2014, two of these had been funded outside the OPF.
- In 2014, the UNCT explored the possibility of cost-sharing with the government. This study concluded, based on experience from other countries, that this was an option for Viet Nam, but further analysis of how this might be done was required.
- Also in 2014, an independent study assessed official development assistance (ODA) disbursements rates in Viet Nam. This showed a significant amount of undisbursed grants and loans in Viet Nam in areas related to the One Plan's focus areas. This suggested the UN could work with the government to support the disbursement and absorption of ODA, if the legal barriers to this can be dealt with.[72]

Governance and fund allocation process

The OPF II is administered by the MPTF Office of UNDP in accordance with its financial rules and regulations, and the UNDG Administrative Agent (AA) Protocol.[73] The UN resident coordinator (RC), based on consultations with the OPFMAC, has the authority to approve and allocate funds from the OPF II based on priorities identified by the OPSC. The OPF II is utilized for the purpose of meeting the unfunded costs of initiatives, including new initiatives and responding to emerging needs under the One Plan. The OPFMAC consists of the UN RC and the country directors/heads of PUNOs. It is chaired by the UN RC, with the AA (MPTF) as an *ex-officio* member.

The OPFMAC is responsible for developing a joint resource mobilization strategy, for prioritizing the allocation of funds from the OPF II and for providing oversight of the management and operations of the OPF II. The prioritization is guided by recommendations from One Plan annual reviews undertaken by the OPSC, and by key documents, including the One Plan.[74] The OPFMAC is supported by an independent review panel of external experts that assesses funding submissions based on the criteria developed by the OPFMAC and approved by the OPSC.[75] The independent review panel is selected through a tendering process, using experts external to the government and the UN. Over the five rounds of fund allocation, the independent review panel membership has changed, but there are always three members. These members assess proposals submitted to the OPF and score them according to pre-agreed criteria. At allocation meetings, the OPFMAC then makes a decision to fund proposals over a certain rating (e.g. for Round 1 it funded all the proposals over a 77 per cent rating, although to a limited extent). Most agencies are represented at the OPFMAC fund allocation meetings, apart from non-resident agencies, but the head of the agency is not always present (see Annex 6, Table 2 for data on meeting participation).

The allocation of OPF funds is done on a competitive basis. The criteria have developed over the period, in terms of how they are weighted based on (1) programme alignment with identified priority, including UN joint programming and implementation; (2) ability to mainstream cross-cutting issues; and (3) delivery rate for previous year. As noted above, the OPFMAC also has to consider soft-earmarking of funds, whereby donors may attach conditions that their funds should go to specific outcomes. In addition, agencies are entitled to apply for a maximum amount equivalent to the proportion shared of the One Plan Budget. However, this policy is not stated in any of the guidance documents for the OPFMAC, but was communicated separately to the review team.

Although the government should be involved in fund allocation (as detailed in the OPSC ToR – see Section 2.3 for details),[76] this was not done in 2012 and 2013, when the decision around allocation of funds was done in the OPFMAC meeting and the government was not consulted.[77] However, allocation in 2014 was carried out jointly with the government. This reportedly included a joint review of the criteria for the allocation of funds and a joint decision on the composition of the independent review panel and the final OPF allocation. However, the government was not

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[72] See annual results report 2014. There are currently legal barriers to transferring funds from the government to the UN to support with disbursements.

[73] The Protocol is an understanding of the roles and responsibilities of the AA for UNDG Multi Donor Trust Funds, Joint Programmes and One UN Funds and is based on the standard MoU and Standard Administrative Arrangement or equivalent UNDG-approved contribution agreements and other documents.

[74] ToR: independent review of 2012 OPF submissions under DaO initiative in Viet Nam.

[75] OPSC ToR.

[76] See ToR for the OPSC under Section 2.3.

[77] OPSC minutes; OPFMAC minutes October 2013.

represented in the OPFMAC meeting, but rather approved the proposed fund allocation in writing before the decision was taken in the OPFMAC.[78]

2.3 How did the UN work together to achieve cross-sectoral results more effectively and efficiently? (RQ2)

This section of the desk review will focus on the question: How did the UN work together to achieve cross-sectoral results more effectively and efficiently? It will include looking at formal and informal collaboration mechanisms that have supported DaO, with a focus on the following questions:

- What role did the JPGs and other *ad hoc* collaboration mechanisms play in promoting a more cross-sectoral response?
- Did the coordination mechanisms have an effect on the UN's ability to deliver results (effectiveness)?
- Did the coordination mechanisms have an effect on the UN's effective use of resources (efficiency)?

Introduction

There are six core Delivering as One pillars in Vietnam: One Plan, OPF, One Leader, One Set of Management Practices, One Voice, One House. Under these pillars there are several formal and informal collaborating mechanisms meant to support the UN achieve a better cross-sectoral response and to deliver more effectively and efficiently.

Governance

Figure 3 shows the de-facto governance structure as it was observed by the review team, (the formal structure of the DaO initiative in Viet Nam is shown in Annex 11 of this report).

Figure 3: De- facto governance structure of the One Plan
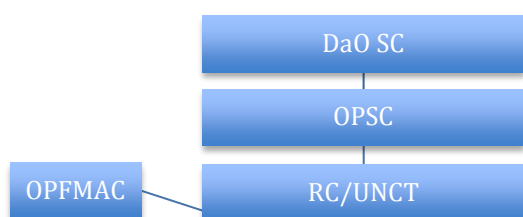
Source: Review Team. Note: the formal structure of the DaO initiative in Viet N

At a higher level, there are three key mechanisms tied to governance of the One Plan: the DaO Steering Committee (DaO SC), the One Plan Steering Committee (OPSC) and the Focus Area Coordination Groups (FACGs).

The **DaO SC** is a tripartite mechanism that guides, monitors and evaluates the implementation of all aspects of the DaO initiative in Viet Nam – that is, all the six pillars. It is co-chaired by the RC, the vice-minister of MPI and the Ambassador representing the Informal One UN Donor Group, and includes the government aid-coordinating agencies (MPI, Ministry of Foreign Affairs (MOFA), Ministry of Finance (MOF) and Office of the Government), representatives of the donor community and PUNOs (apart from the RC, three agency representatives (heads of agencies) participate on a rotating basis).

The DaO SC has a mandate to review and assess progress against all the six pillars. According to the ToR, the DaO SC should meet once annually during the first quarter, although at the request of primarily the government in 2014, meetings are meant to have increased in frequency to two per year.[79]

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[78] OPFMAC minutes 2014; interview with RCO.
[79] Second DaO SC meeting, 30 October 2014.

The **OPSC** consists of the UN and the government. It is the key mechanism for governing implementation of the One Plan 2012-2016 and is responsible for implementation of the One Plan at a programme/project level. It is co-chaired by the RC and the vice-minister of MPI. Other members include government agencies (MOFA, MOF, Office of the Government and the three line ministries representing the co-chairs of the FACGs) and the UN (three rotating heads of agencies). Observers can be invited for particular discussions.

The OPSC has two principal mandates:

1. Guide and oversee implementation of the One Plan, with a focus on assessing results in the results matrix. This is meant to be done by annual review, where the FACGs feed in with detailed data. The review should lead to guidance and support for FACGs in their coordination of the delivery of the One Plan.
2. Provide guidance, supervision and decision on the allocation of resources from the OPF. This includes assessing the results of joint mobilization efforts and making recommendations for securing resources for the OPF, approving criteria for allocation of OPF resources, providing guidance on the OPF Independent Review Panel and reviewing and approving OPF allocations.[80] The latter is meant to happen seven days after the OPF allocation proposal, suggesting it is probably done outside of a formal meeting.

For both the DaO SC and the OPSC meetings are meant to be held at least once per year in the first quarter to review implementation of the One Plan and in order to help plan for the following year. Further meetings can be held on an *ad hoc* basis. In 2014 there was a request to increase meetings to twice a year. However, meetings continue to take place at the end of the year, and the increased frequency of meetings has not happened, with no minuted or scheduled meetings for either the DAOSC or the OPSC since October 2014. This raises questions around when and how key stakeholders, mainly the government and donors, can input into the One Plan. Further, the team was informed that the Informal Donor Group, which participated of the DaO SC, was no longer operational, which raises the as to how the tripartite nature of the one plan will be retained.

Table 11: Tripartite Governance Structure with meeting frequency

	2013	**2014**
DaO SC	November 2013	October 2014
OPSC	November 2013*	October 2014*
FACGs	One per group in Autumn of 2013	None

Note: *DaO SC and OPSC meetings took place back to back.

Minutes for both the DaO SC and the OPSC suggest quite formal meetings with a set agenda, dominated by pre-prepared presentations and comments more focused on reporting, resource mobilization and broad DaO discussions than on strategic oversight, with little room for substantive discussion. There is limited discussion on results and none in any detail, which makes it hard for the OPSC in particular to achieve its mandate 'to guide and oversee the implementation of the One Plan'. There is also a question as to how the second mandate of the OPSC is carried out (as described in the ToR.) As noted in the DaO SC minutes from 2013, at the request of government, there is a decision to *ensure that the Government's involvement in the One Plan Fund allocation process is carried out in accordance with the provisions in the TOR for the OPSC*. However, documentation review indicates the government was not involved in fund allocation until 2014, when it provided written comments to the allocation proposal (see RQ1 for further details).

These findings were supported by interviews. The team was unable to meet with the vice-minister, but most donors expressed frustration around the lack of a forum for substantive discussion and the lack of clear follow-up mechanisms to decisions made during the DaO SC and OPSC meetings. For example, concerns over the expected funding gap were addressed through a proposed process of prioritizing outputs in order to ensure key areas were fully funded. In October 2013, a meeting for May 2014 was suggested to review selected priorities in the One Plan and discuss so called 'breakthrough projects' which would help the UN prioritize. There was no evidence to indicate this meeting took place [81] and stakeholders interviewed expressed frustration about the lack of formal mechanisms for follow up.

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[80] ToR: DaO SC: 2012-2016 (final).
[81] Minutes were requested for all OPSC meetings, but for this meeting none were provided.

Breakthrough projects were approved by the UNCT,[82] but it is unclear from the documentation reviewed how this took place or if the government was involved.

The **FACGs** are a mechanism between the government and the UN created to support effective coordination and implementation within and between the three focus areas.[83] Each FACG meeting is co-chaired by a vice-minister of a specialized ministry and a representative of a UN agency. The FACGs focus is to ensure the programmatic links between the results of the UN agencies' programmes remain aligned with the expected results of the One Plan. Meetings should be held in the first quarter of every year and feed into the OPSC meeting, for assessment and planning purposes. The meeting should also provide a platform for policy dialogue on key policy issues, results of studies and evaluations, as well as emerging development challenges. An additional mid mid-year meeting to review and plan for the coming six months was envisioned.

In 2014, the OPSC concluded the following in relation to the FACGs: *It was observed that the current mechanism for the joint review of One Plan 2012-16 Results through the Focus Area Coordination Groups is not fit for purpose, partly due to the vast range of programmatic areas within the One Plan Focus Areas.*[84] The minutes, however, do not actually include a decision regarding the FACGs, but at any rate this seems to have led to cancelling future meetings. Other reasons cited as to why the FACGs were not fit for purpose include (1) the involvement of the government in the FACGs is at the macro level and as such of limited use. This assessment is supported by the minutes of the meetings, which focused at a very general level (some JPG members thought government involvement was more meaningful when they were part of the previous programme coordination groups (precursors to the JPGs), although transaction costs were high).[85] (2) FACGs, and in particular FACG 2, cover very broad areas, hindering a more productive and detailed discussion. (3) The coordination required to organize FACGs meetings creates substantial transaction costs.

The FACG seems to have been envisioned as the key joint mechanism for oversight of both progress and quality. Without the FACGs, this is now lacking, which could explain the frustration most stakeholders expressed with the limited ability to assess progress of the One Plan at any level of detail, especially financial, or even the ability to understand how each agency was contributing to the outcome. It should be noted that, although the meetings have been discontinued since 2013, it was still presented as part of the One Plan structure, since it is included in the presentation on DaO in Vietnam (dated July 2015). This raises questions around the progression of the partnership with government: if this structure is not functioning and the DaO SC and OPSC are mostly formal meetings without much room for substantive discussions, where does coordination with government actually take place? Where are the strategic analysis and guidance taking place? From the interviews held, it would appear that, when it comes to coordination and oversight without these structures in place, the UN team in Vietnam has reverted to traditional bilateral coordination between the agency and its counterparts, undermining the One Plan.

Internal coordination

JPGs: The JPGs were not part of the One Plan initial design but emerged as an internal mechanism for the UN, initially intended to promote 'joint' programming.[86] There are eight JPGs, most of which have working groups within them (see Table 9). JPGs meet monthly or quarterly (see Annex 7 for number of minuted meetings held) and function much like UNDAF results groups. Initial generic ToR were replaced by more practical 'principles of engagement' developed in 2014, which identified the key responsibilities of the JPGs as:

1. **Carving a policy agenda for the UN support to national priorities.** Jointly develop a common vision statement and policy agenda in their area of work and set long-term goals and milestones until the end of the cycle.[87] See below for the how this function developed.
2. **Joint planning, monitoring and reporting:**
- *Joint planning:* Annual work plan for the operationalization of the vision and policy agenda identifying three to five key results.
- *Joint monitoring:* Real-time monitoring, recognizing that dynamic circumstances require adjustments to the strategy to reach desired goals.

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[82] Annual results report 2014.
[83] FA1: Inclusive, Equitable and Sustainable Growth; FA2: Access to Quality Essential Services and Social Protection; FA3: Governance and Participation.
[84] OPSC meeting minutes, October 2014.
[85] Freese, A. 2014. Report on UN joint programming in Viet Nam.
[86] Freese. 2014.
[87] This is the new principle, not as explicitly expressed in the original ToR.

- *Joint reporting:* JPGs jointly report three to five evidence-based result stories.
Previously, the mandate had also included 'joint delivery' and 'joint programmes and initiatives'. It would appear this responsibility now lies with the agencies.
3. **Joint resource mobilization:** JPGs should contribute to resource mobilization for implementation of the One Plan, including funding required from the OPF, for which JPGs are to develop innovative and compelling breakthrough proposals. The OPF supports implementation of the JPGs' work plan based on joint proposals.

Beyond this, the old ToR also include responsibilities around ensuring cross-cutting principles are applied, seeking guidance from the specialist groups (e.g. Gender JPG, Human Rights Technical Working Group) and knowledge management and sharing of information and lessons learned.

JPGs are be accountable to the UNCT,[88] which is in charge of providing guidance and oversight,[89] and ensure collaboration across JPGs with conveners and co-conveners in charge of providing intellectual leadership. The Results-Based Management Working Group and the UN Communications Team are expected to provide ongoing support to the work of the JPGs as needed.

Table 12: JPGs and their working groups

JPG	One Plan outcomes 2012-2016	Working groups
Economic Growth and Decent Work	Outcome 1.1: Evidence-Based Development Policies in a Middle-income Country Outcome 1.2: Opportunities for Decent Work	1) Data for Development, 1.1.1 (UNFPA) 2) Livelihood and Poverty Reduction, 1.1.2, 1.1.3 (UNDP) 3) Enterprise Development and Skills Development, 1.2.1, 1.2.2, 1.2.3 (UNIDO) 4) Migration, 1.2.4 (IOM)
Climate Change and Environment	Outcome 1.3: Climate Change and DRM Outcome 1.4: Natural Resources and Environmental Management	1) DRM Working Group (UNDP)
Social Protection	Outcome 2.1: Social Protection	1) Social assistance 2) Insurance 3) Human trafficking
Health	Outcome 2.2: Health	1) Health Systems, 2.2.1 (WHO) 2) Non-Communicable Diseases, 2.2.2 (WHO) 3) Communicable Diseases, 2.2.3 (FAO) 4) Sexual, Reproductive, Maternal and Child Health and Nutrition, 2.2.4 (UNFPA) 5) WASH, 2.2.5 (UNICEF)
Education	Outcome 2.3: Education and Training	0
HIV	Outcome 2.4:Gender Equality and HIV	Task forces when needed
Gender	Outcome 2.4: Gender Equality and HIV	1) GBV (UNFPA) 2) Gender Equality and Mainstreaming (UN Women) 3) Taskforce on Women's Economic Empowerment (IOM)[90]
Governance and Rule of Law	Outcome 3.1: Elected Bodies and the Legislative Process Outcome 3.2: Legal and Judicial Reform and Access to Justice Outcome 3.3: PAR Outcome 3.4: PSPMOs	1) Elected Bodies and the Legislative Process (UNDP) 2) Legal and Judicial Reform and Access to Justice (UNODC) 3) PAR (UNDP) 4) PSPMOs (UNDP)

The team identified both strengths and weaknesses for the JPGs, with documentation reviewed overall showing a much more negative picture than the one encountered during FGDs and case study interviews undertaken during the data collection phase.

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[88] Initial ToR also make them accountable to FACGs; the latest principles of engagement do not mention the FACGs.
[89] Principles of engagement state that JPG members are appointed by their agencies to contribute substantively to the joint work and their contribution should be adequately reflected in their performance appraisal.
[90] This was an ad-hoc task force created for the preparation of a breakthrough proposal

Previous UNCT discussion identified the following challenges of JPGs:[91]: (1) limited 'common vision' and 'strategic leadership'; (2) 'mechanical' manner of functioning; (3) 'inward-looking' and not seen as relevant by government; (4) not connected to each other or to the UNCT; and (5) effectiveness (or lack of) a reflection of the overall functioning of the UNCT. As such, they are not seen as fully serving the intended purpose of promoting internal and external policy discussions or as bodies that can drive coherence. They had, however, helped develop professional and personal relationships among staff across agencies.

However, discussions held with staff during the course of the exercise showed a more positive perception: JPGs are seen as able to foster more effective and efficient collaboration across agencies, leading to more robust and comprehensive products. JPG members reiterated the view that JPGs led to a better understanding of other agencies' work and a more comprehensive understanding of the issues, as seen from each agency's perspective (expertise), in addition to helping develop professional relationships across agencies, which facilitates information/expertise exchange, very much in line with DaO principles. This leads to the ability to respond in a more timely and coordinated manner.

One possible explanation for these different perspectives is that, since some time had passed between the UNCT discussion and the exercise, the functioning of JPGs may have improved and/or the positive effects become more evident. It is also possible that the benefits are more evident at the technical/working level than at the management level. The review team was not able to meet with the UNCT as initially envisaged and as such was not able to prove or disprove this theory. Another possible explanation could be linked to initial effects of the functional clustering.

Participation: According to the JPGs themselves, their value derives primarily from creating a platform for discussions around substantive issues. For this, membership needs to include experts. At the moment, many members are junior staff with limited ability to contribute to higher-level policy formulation for their respective agencies.[92] However, some staff saw the JPGs as a source for internal UN capacity-building for these staff. Since the FACGs are not providing this function, it was suggested through the principles of engagement that the JPGs do this instead[93].

The frequency of meetings varies greatly.[94] The HIV JPG reportedly meets monthly; other groups (e.g. Climate Change, Education) meet only annually – but both report positive coordination. The documentation does not provide a clear picture as to the impact of this on frequency of meetings, although during the FGDs participants felt regular participation had a positive impact on successful JPG functioning.

Coordination: The ability to internally collaborate and coordinate seems to vary between groups. Some JPGs are too broadly defined (e.g. Health) and report difficulties in undertaking meaningful joint planning, monitoring and reporting on results. Some JPGs addressed this issue by moving the focus from the JPG level to the working group level, allowing for easier and more targeted coordination.[95] Documentation indicates there has been a successful learning process for some JPGs[96] but there has been no attempt to document lessons learned to be shared with for other groups.[97] This perception was confirmed through our interviews.

Joint planning vs. joint delivery
At a general level, joint planning seems to work and coordination in the JPGs is seen to lead to less duplication of efforts. It is clear the process of combining agency plans under the JPG annual work plans helps ensure a level of coordination not previously possible. However, it is less clear whether it has led to synergies, as only a few JPGs mentioned this. The evaluation of one joint programme noted how clear separation of tasks at design stage helped prevent overlaps but did not necessarily encourage joint activities.[98]

With regard to **joint submissions to the OPFMAC** the number of joint submissions has steadily increased. (See Table 13)

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[91] Presentation by UNFPA Representative Arthur Erken on conclusions reached by the UNCT Working Group on JPGs at UNCT session on JPGs, April 2014, http://prezi.com/qddlgseqwmiv/?utm_campaign=share&utm_medium=copy&rc=ex0share

[92] Freese. 2014.

[93] UNCT April 2014 session on JPGs; Freese. 2014.

[94] Attendance at meetings is difficult to assess as many meeting minutes do not include lists of participants.

[95] Freese. 2014.

[96] Lessons learned from Climate Change JPG and Gender JPG.

[97] Draft compilation of lessons learned from JPGs.

[98] Keller, D.P. 2013. Final evaluation: green production and trade to increase income and employment opportunities for the rural poor. MDG Achievement Fund.

However, for 2014, the majority of activities and outputs are still individual agencies' efforts, and the proportion has decreased since 2013, when the majority of activities had more than one responsible agency (see detail in section 2.1, Table 4 of this report).

When it comes to joint delivery, however, it is very difficult to assess from the reporting formats the level of engagement of the different agencies. Assessments of results are largely very positive, but the role of joint programming and delivery is not assessed or commented on as either positive or negative.[99] A number of agencies are mentioned in the JPG monitoring tables, but it is never very clear which agency has led and how the collaboration has worked in practice. In actuality, it seems many results derive from individual agency. Where there are multiple agencies, the level and type of engagement between agencies is not clear. Similarly, joint initiatives assessed through the case studies showed mostly parallel work, in some instances joint programmes were composed of work that was unrelated and had been ongoing previous to the approval of the proposal (see case study 1 below).

Advocacy work through the JPGs, for example joint recommendations, were a clear example of how the One Plan structure could lead to effective joint delivery. Section 2.1 and Chapter 3 highlights some such examples, with a number of good results achieved from jointly delivered programmes. One area where this is evidenced is reflected in the over 30 joint recommendations presented to the government and 43 inter-agency deliverables and initiatives implemented in 2014,[100] which build on relationships created through the JPGs and further strengthened through the One House.

Table 13: Number of joint submissions to the OPF

Round	Number of proposals	Joint submissions
1	17	No information
2	31	1 joint programme
3	43	4 joint submissions
4	39	5 joint submissions
5	25	6 joint submissions

The documentation reviewed seems to indicate joint delivery is more effective in the case of **joint programmes,** with available evaluations pointing towards a more coordinated, systematic and cost-effective way to achieve common results (e.g. passage of legislations, integration of food security and nutrition, value chains). [101] However, in some instances, even with a joint programme, parallel delivery had continued and costs savings were somewhat offset by increased coordination costs.[102]

Cross/inter-sectoral collaboration (across JPGs)
JPGs have identified information-sharing across JPGs as a challenge that needs to be addressed.[103] This is likely to have been compounded by the non-functioning of the FACGs, which are meant to be responsible for this. As such, efficiency issues remain (e.g. possible duplication between Health and HIV and between Governance and Gender JPGs was mentioned in JPG annual reports for 2014). Participation in more than one JPG is so far seen as the most effective mechanism for cross-pollination.

Collaboration with government
JPGs are generally seen as 'inward-looking' and not relevant for the government.[104] However, a number of JPGs (Climate Change, Social Protection) suggest they have good collaborations with government and that government appreciate their role. Several documents highlight that, without the FACGs, there is no formal mechanism for interaction with the government and this gap needs to be addressed.[105] JPGs can partially address this issue by helping

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[99] The systematic review, which synthesizes results of a number of agency evaluations, does not include much in the form of conclusions related to the effectiveness of joint programming approaches. It is not clear whether this owes to the systematic review ToR or whether this is lacking in the evaluations themselves. Such conclusions are only presented for actual joint programmes (three out of 13); for the rest it is quite difficult to assess (without going back to the evaluations themselves) the extent to which they involve more than one agency.
[100] DaO matrix questionnaire responses 2014.
[101] Gonzalez & Dung. 2014
[102] Keller. 2013.
[103] Draft compilation of lessons learned from JPGs.
[104] http://prezi.com/qddlgseqwmiv/?utm_campaign=share&utm_medium=copy&rc=ex0share
[105] Draft compilation of lessons learned from JPGs.

coordinate the UN's position *vis-à-vis* the government, ensuring there is no overlap and providing an opportunity to address or at least identify gaps.

Timing of work

The timing of planning, monitoring and reporting could be improved:

- In previous years, the OPF allocation came too late to inform annual work planning at the beginning of the year, with decisions sometimes coming as late as June. However, from 2014, there seems to be only one round in the autumn.
- Previous, One Plan work planning took place after agency work planning based on DPOs, meaning not much flexibility in terms of programming jointly. However, our understanding is this has changed. It is seen as positive that the JPG annual review is now conducted prior to the following year's planning exercise.

A series of barriers were identified in the documentation reviewed:[106]

- As previously highlighted in the country-led evaluation, the main problem is still accountability.[107] At the moment, the JPGs (and UN staff in general) are subject to triple accountabilities: (1) to the agency the JPG member belongs to, for standard annual reporting to headquarters; (2) for the delivery of the One Plan and as such the UNCT and the FACGs, involving joint monitoring and reporting in the DaO annual results report; and (3) to the government through DPOs that must be approved. After the interviews, the team believes that, in practice, agency accountability seems to supersede others, which means participation and commitment to JPGs is linked to the importance attributed to them by the agency. We are unaware if contributions to the JPGs are included in the performance assessments (as per the JPG ToR).
- Transaction costs have actually increased, as JPGs constitute an additional layer of planning, monitoring and reporting added. No efforts to align agency and One Plan monitoring and reporting systems were reported. This was reflected in survey findings (see Figure 1 in Annex 8) with only 28 per cent of respondents stating the One Plan had only significant progress in this area (for the UN cohort this number goes down to 22 per cent); 11 per cent stated they simply did not know if there had been any progress, which points perhaps to the lack of mechanisms to measure progress in this area.

Monitoring and reporting

Monitoring and reporting of the One Plan is supported by the RBM Working Group and the Communications Team.

RBM Working Group: The RBM Working Group consists of the M&E agency focal points from all One Plan agencies in addition to a database manager with 25 per cent time allocated to the One Plan database. The working group is chaired by the RBM expert in the RCO. It was observed that agency staff allocated to the team vary significantly in level of experience, with some senior members and many UNVs. Another challenge is that and not all members are fulltime M&E officers (only UNDP, UNICEF and UNFPA). In addition high turnover and only 5-10 per cent time allocation to One Plan activities was reported.

An RBM strategy was developed in 2012. Responsibilities of the RBM Working Group include:

- Provide RBM guidance and technical assistance to the UNCT and JPGs;
- Develop tools to enhance joint planning, monitoring, reporting and evaluation;
- Develop RBM capacity of UN staff and national counterparts.

Communications team: The One UN Communications Team is seen as a unique feature for Viet Nam and one that ensures a stronger and more coherent common advocacy voice and clear UN position on issues relevant for the country. Even before the move to the Green One UN House, the team was co-located and includes members from UNICEF, UNDP, UNAIDS, UNFPA, UN Women and UNV. Responsibilities of the team include strategic external communication; media outreach; internal communication; events; and reports. The objectives, as identified in the presentation for the UNCT exercise in November 2015,[108] include:

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[106] Freese. 2014.
[107] 'Only if the governance structures of UN funds and programmes are reformed will the pilot experience with joint programming fully yield its intended benefits in terms of simplified reporting and programme implementation' (Poate et al. 2010 p.49).
[108] 2012-2016 Framework for UN Communications.

- Communication for results;
- Communication about results; and
- Communicating change.

The exercise did not look at this function beyond desk review.[109] As this analysis is mainly based on desk review and the team's progress is not reflected in the annual report, it is difficult to make any assessments or arrive at any conclusions.[110]

Monitoring of results is done based on the One Plan results matrix, reported annually in the JPG monitoring tables and then reflected in the One Plan database. Each year, targets should be defined for the existing output indicators (one to two per output). In addition, a number of key 'results' are identified (maximum ten per output), with a single or multiple agency responsible (in 2014 half were single half were multiple). At the end of the year, JPGs are expected to report on these indicators and 'results' through a traffic light system, although it is not clear who is responsible for reporting.

The JPG monitoring tables provide a good summary of all activities conducted and outputs delivered, but it is not clear *how* results are assessed. Means of verification are rarely included and, even if it is based on evaluative evidence, this is not described. As noted in greater detail under RQ1, there are inconsistencies in how indicators are reported on and targets are not always defined; many 'results' are actually activities, such as number of training seminars held.

It was reported that, owing to the limited capacity, there is a trend towards including increasingly less information in the database. This is also a result of the indicators being seen as less relevant over time.

In theory JPGs are meant to have a mid-term review but this does not always happen. The team was informed that the monitoring tables were developed in this way, as the One Plan indicators were not sufficient for monitoring. The monitoring tables include a narrative section, and the RBM Working Group does some clarification to questions asked, but it does not have capacity to triangulate monitoring data. At agency level there are few evaluations and not all are shared with the RCO.

In addition to the monitoring of results, in December 2014 the UNCT adopted the DaO results framework, which monitors all six pillars. This was only populated with a baseline in 2014.

Reporting is done mainly through the annual report. This presents a narrative of results achieved by outputs and context-level analysis for outcomes. It is all-encompassing, which means, in order for it to be manageable, it is lacking in detail. The contribution stories introduced in 2012 were an attempt to provide more substance, but the reporting is still at a very high level. Financial reporting only includes progress on the use of OPF funds, which does not provide donors and the government with enough detail to obtain a clear picture of progress. This is particularly an issue for the OPF resources, which are accounted for only through the One Plan annual report.

Some suggestions to strengthen reporting presented to the team during the exercise include having a thematic focus for the annual report (do less but more depth) or have the RBM focus on the OPF only, and do this in more detail (again, do less but more in depth). Underlying this is the recognition by staff, very much in line with the perceptions of the stakeholders interviewed, that current reporting is not adequate.

The objective of Chapter 2 of the annual DaO results report was to demonstrate achievement of the One Plan 2012-2016. However, the team found that the reporting is at such a high level, there is no indication of achievements against targets set for outputs indicators as defined in the One Plan 2012-2106. Also, there is no holistic indication of actual resources effected to those outputs by participating agencies. Therefore, it is difficult to articulate the overall achievement of the One Plan 2012-2016 based on the annual DaO results report. These findings were supported by interviews, where most stakeholders interviewed expressed frustration with the inability to assess progress based on the available reporting.

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[109] A brief exchange took place with the communications officers, but other commitments meant a proper interview was not possible.
[110] Meetings scheduled with the Communications Team had to be rescheduled until it was no longer possible to meet.

As detailed in the 2012 DaO annual results report, the RBM Working Group has taken on a larger role in providing support for RBM, including developing a new results framework for DaO. However, the systematic review states, *The RBM working group has not played this role [in terms of providing technical advice about methods and tools to measure the results of UN-supported work] and tools, such as the ToR template included in the annexes of the RBM strategy, do not contain particular reference or guidance on how to consider equity issues for the evaluations[111].* It is the view of the review team that this owes to insufficient capacity and weak mechanisms to ensure adequate data (including appropriate identification of indicators, targets, etc. as well as financial data) flows from the agencies to the RCO in a timely manner.

The **RBM Working Group** consists of staff assigned from all UN agencies. However, the level of experience varies significantly between agencies, as does the level of experience in M&E (only UNDP, UNICEF and UNFPA have full time M&E officers). More importantly, it does not seem to function as an RBM unit working across agencies but it was reported that staff provide punctual support (an estimate of 5-10 per cent of total staff time was reportedly used for the One Plan), with the bulk of the work undertaken by the RBM expert in the RCO with support from the Communications Team. The team identified the monitoring and reporting of the One Plan as a significant weakness that needs to be address in order to ensure adequate accountability. Stakeholders recognized that the annual reports had been considerably strengthened in recent years, but still felt there was insufficient detail provided:

- To understand what each agency is doing;
- To understand use of funding (donor funding as well as what kind of resources this had helped leveraged from other donors and/or agencies);
- To understand progress of the One Plan both in financial terms and in substance (see RQ1).

In addition, a lack of consistency in the level and quality of reporting, with no ability to undertake direct monitoring, means the RBM Working Group relies on self-reported data it is unable to triangulate.

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[111] Gonzalez & Dung. 2014, p. 27

Chapter 3: Case Study Findings

In line with the ToR and the recommendations of the 2014 systematic review, through a process described in section 1.5 and with more detail in Annex 4 and 5 of the inception report, these case studies aim to focus the exercise in a strategic manner, allowing for increased focus on areas considered to be of particular relevance for the country team at this particular junction. Through more in-depth secondary data analysis, in addition to direct interviews, the team was able to gain a better understanding of certain areas and modalities of work, while helping bridge the gap between outcome and output levels.

This section presents the findings per case study. It should be reiterated that the review did not seek to assess the technical validity of these interventions, but rather to gain an understanding of their impact (or perceived impact), their potential and the enabling factors (in particular UN-identified comparative advantages as reflected in the review questions) that played a role in achieving these results (the how).

Key criteria for the selection of the scope included the desire to identify interventions that had potential to inform the new One Plan and could be of relevance to many of the One Plan partners.

Case study 1: UN support to ethnic minorities, including through integrated policy advice, as an example of work with vulnerable and disadvantaged groups

Overview

This case study looked at the UN's support to ethnic minorities, including through integrated policy advice, as an example of work with vulnerable and disadvantaged group. The initiatives reviewed include the following:

The policy initiatives supported by the **Delivering Results Together Fund (DRT-F)** [112]: This aims to increase the government's awareness on the fact that ethnic minority areas are lagging behind in achieving all the Millennium Development Goals (MDGs). It involves five UN Agencies (UNDP, FAO, UN Educational, Scientific and Cultural Organization (UNESCO), UN Women, UNICEF), was funded by the OPF and has built on the different agencies' ongoing work in the area of ethnic minorities' rights.

This initiative is closely aligned to One Plan Outcome 1.1: By 2016, key national institutions formulate and monitor people-centred, green and evidence-based socio-economic development policies to ensure quality of growth as a middle-income country and Outputs 1.1.1 and 1.1.2.

The DRT-F includes two policy initiatives. The first, led by UNDP and FAO, sought to support the formulation of an Action Plan to Accelerate MDG Achievement in Ethnic Minority areas (MAP-EM). This was developed as a planning tool and analytical framework to identify (1) gaps between ethnic minorities and the national average in poverty and access to social services; (2) bottlenecks and innovative solutions; (3) feasible and minority-disaggregated targets; (4) quality of services provided to ethnic minorities and monitoring frameworks; (5) relevance of policies; (6) and policy implementation mechanism formulated using data generation and recommendations from policy research supported by the UN.

Since approval of MAP-EM, the UN has been advocating for this plan to be rolled out and mainstreamed. The second policy initiative aims to contribute to generating relevant, timely and quality disaggregated evidence on selected areas for ethnic minority groups, to serve as inputs for the development of SEDP 2016-2020, the 2015 MDG report and the National Human Development Report 2015, among others. UNDP and UNICEF act as key conveners and the initiative contributes to One Plan Output 1.1.*3 on adoption of a multi-dimensional and human development approach in the poverty reduction components of SEDPs at national and sub-national level to effectively address chronic and emerging forms of poverty*.

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[112] The source of funding is the global mechanism Delivering Results Together Fund. The funds are channeled through the One Plan Fund. There were 2 Policy Initiatives under DRT-F:
Policy Initiative 1. An Action Plan to accelerate MDGs achievement in Ethnic Minority areas (EM-MDGs AP) is formulated and adopted by GOV (OP Outputs 1.1.1, 1.1.2)
Policy Initiative 2. EM-MDGs Action Plan is rolled out and mainstreamed into formulation and implementation of 2016-2020 policies and programmes to accelerate multi-dimensional ethnic minority poverty reduction and MDGs/SDGs achievements in ethnic minority areas (OP Output 1.1.3)

Health equity and the UN's role in the Health Partnership Forum: The main goal of this initiative is to advocate for health equity and accelerate work on the health-related MDGs with a focus on reducing inequities in access to maternal health services for ethnic minorities. The initiative is aligned with One Plan Output 2.2.4 *on enhancing national and sub-national capacities to strengthen evidence, and improve universal access to and utilization of a quality and gender-sensitive package of nutrition and sexual, reproductive, adolescent, maternal, neonatal, and child health care and service*.

Viet Nam has made remarkable progress in reducing child mortality[113] (MDG4) and maternal health (MDG5), but child mortality in the most difficult regions (especially ethnic minority areas) remains hard to address and maternal mortality remains very high where ethnic minorities reside and socio-economic conditions are less developed, such as the Northern Midlands and Mountains and Central Highlands.

In order to promote high-level policy action, the Health JPG focused on promoting (1) universal health coverage (UHC); (2) acceleration of the MDGs; and (3) advocacy towards One Health.[114] These three actions were meant to help address the persistent inequities in health and the new health challenges in the context of Viet Nam as a rapidly developing middle-income country.

The Health Partnership Forum, the first of its kind, was created to promote co-operation between Viet Nam's health sector and international partners. The UN's role in the Health Partnership Forum involved participation of eight UN agencies (UNFPA, UNICEF, WHO, UNAIDS, FAO, IOM, ILO, UNODC) with WHO and UNFPA as the lead conveners.[115] In December 2013, MOH adopted the Viet Nam Health Partnership Document (VHPD) as a means to strengthen donors' commitment and to open new ways of cooperation. In support to the implementation of VHDP, UN agencies have played an active role within the Health Partnership Group (HPG) Secretariat, supported capacity-building of technical working groups[116] (TWGs) and the improvement of monitoring of progress in the health sector. Several fieldtrips and joint missions to provinces have been organized to advocate for the HPG and strengthen the linkages between the central and local level in international cooperation activities.

Joint Programme on Green Production and Trade to Increase Income and Employment Opportunities for the Rural Poor: This initiative, part of the Millennium Development Achievement Fund, was implemented between 2011 and 2013 and included participation of five UN agencies (International Trade Centre (ITC), UNIDO, ILO, FAO, UN Conference on Trade and Development (UNCTAD)). The Joint Programme aimed to increase income and employment opportunities of raw material growers/collectors and grassroots producers of handicrafts in the four northern provinces Thanh Hoa, Nghe An, Hoa Binh and Phu Tho, which have a high percentage of ethnic minority populations. It is closely aligned with the government's priorities, which identified development of the handicraft sector as a source of additional rural incomes[117] and to One Plan Output 1.2.3 on *improving competitiveness and market access of formal and informal sector businesses in compliance with recognized standards, based on advanced knowledge, approaches and supporting services in the areas of trade, investment and technology*.

The Joint Programme provides a good example of how UN agencies have worked together in the spirit of DaO, undertaking joint project design (2010); joint implementation, monitoring and management; and making use of each agency's core competencies (on market development, trade, small and medium enterprise (SME) promotion, cleaner production, empowering of grassroots producers and smallholder farmer development).

The key outcomes included (1) increased income for rural households; (2) improved working conditions; (3) sales and employment creation at company level; (4) environmental protection; and (5) policy support.[118]

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[113] MDG report 2015.

[114] Health of people linked to health of animals: 'One Health recognizes that the health of people is inextricably linked to the health of animals, both wild and domestic, as animal diseases can jump to humans if given the chance,' said UN Resident Coordinator in Viet Nam, Pratibha Metha. 'We need to develop effective policies, up-to-date regulatory approaches, enable good enforcement and raise public awareness to ensure our safety through disease prevention in humans, livestock and wild animals': www.vn.undp.org/content/vietnam/en/home/presscenter/articles/2014/02/13/un-supports-one-health-approach-for-better-coordination-on-avian-pandemics-and-emerging-threats.html

[115] www.vietnambreakingnews.com/tag/health-partnership-group/

[116] TWG on Human Resources for Health, on Health Information, on Pharmaceuticals, on Nutrition (presented by National Institute of Nutrition) and on Environmental Health (presented by Health Environment Management Administration (MOH) and Center for Environmental Consultancy and Technology (MONRE).

[117] This is reflected in several objectives of the Vietnamese National Target Programmes (NTPs), among others in particular in addressing issues on job creation and vocational training for rural labour and environmental pollution in handicraft villages.

[118] The joint programme assisted MARD to develop a circular that provides implementation guidance for Decision No. 11/2011/QD-TTg on incentive

At the time of this assessment and two years after finalization of the project, all five value chains[119] remained active and had been expanded to engage around 2,000 more people,[120] adding to the total of 4,000 people at project completion.

Income for producers and market linkages are also reportedly maintained.[121] The silk value chain has been furthest developed, with more people involved and higher income generation achieved.[122] The weakest value chain at the time of completion, the textile value chain, was able to leverage resources from Viet Craft.

Joint Project on Sustainable and Responsible Tourism Development in Central Viet Nam: Co-funded by the OPF and the Luxembourg government, this initiative was officially launched on 24 April 2014 and scheduled to end in December 2015. It was designed to align with One Plan Output 1.2.1 *on formulating and implementing Inclusive policies and support programmes for sustainable enterprise development, with particular focus on micro and small enterprises, for decent job creation and progressive formalization of the informal sector,* as well as Output 1.2.2 *on formulating policies and support programmes on high standard vocational training and specialized skills development in response to market needs and accessible in particular to vulnerable groups and the informal economy.*

UNESCO and ILO developed the Joint Project to promote 'improving the livelihoods of local communities, the creation of decent work opportunities while ensuring that the cultural resources and environment are sustainably exploited' for local people in central region building on previous UN work in Thua Thien Hue and Quang Nam provinces,[123] two provinces with high density of ethnic minorities, and on lessons learned from previous projects that identified 'connecting poor and isolated communities with tourism service activities through market linkages and building their capacity in handicraft production and tourism services' as an effective means to promote provincial economic growth, poverty reduction and job creation for the province's remote and poor areas.

The overall approach has been to support the diversification and quality improvement of the tourism product value chains, enhancing the tourism business environment and strengthening community capacity to engage in and manage local tourism development. Within the limited project timeframe, the project implementation strategy has been focusing on institutional support, building capacity for government officials and local communities and strengthening coordination among relevant agencies.

The project has been working with poor communities in rural and mountainous areas to develop linkages with existing tourism hubs and the two World Heritage sites in the coastal areas (Hoi An Ancient Town and My Son Sanctuary). The residents of selected communities in the project districts are different ethnic minority groups, but primarily Co Tu.

RQ1. What were the UN's main results achieved under the One Plan to date?
Analysis from the desk review identified the following results related to this case study:

Under **Output 1.1.1: Strengthened capacities of data producers, providers and users for evidence-based socio-economic development planning and decision-making** and **Output 1.1.2: Strategic options for development policies defined and considered by policy-makers to promote inclusive, green, people-centred and equitable development,** the UN has been providing technical support, research products and advocacy to raise awareness on behalf of ethnic minorities. In follow-up actions of the 2013 Vietnam Development Partners Forum, the government committed to closing existing gaps between ethnic minorities and other population groups of the country through development of MAP-EM.

The UN has supported **(Output 1.1.2) strategic options for development policies defined, which have been considered by policy-makers to promote inclusive, people-centred and equitable development.** This can be exemplified through the contribution story from the DaO annual results report in 2014[124] on the UN's support to tackling ethnic minority

policies for rattan and bamboo industry development.
[119] Silk, lacquer, do paper, textile and bamboo.
[120] Interview with representative from Viet Craft, 6 November 2015.
[121] Final report.
[122] 'In the sericulture/silk value chain, the income from surveyed products contributed 26.5% to the overall household income in 2012 (compared to 16.7% in 2009), while the control group's income from sericulture/silk only contributed only 8.2% to the overall household income in 2012' (project final narrative report 2013),
[123] The project on Strengthening of Inland Tourism in Quang Nam 2011-2013, ILO.
[124] 2014 DaO annual results report.

poverty. In 2009, the UN (UNDP, UNESCO, FAO) introduced the 'anthropological approach to development' to the Committee for Ethnic Minority Affairs (CEMA). This culturally appropriate approach can be integrated into the policy cycle, to help develop a better understanding of the local context, reinforce respect for diversity, acknowledge the importance of agency of local communities and maximize the use of cultural capital in development programmes. As part of this, the UN undertook a series of in-depth poverty assessments of ethnic minority groups and a review of poverty reduction policies in ethnic minority communities. It also trained CEMA and National Assembly staff in the approach, held a number of policy dialogues with officials to increase understanding of the new approach and promoted an 'actor-centred' perspective through meaningfully engagement of ethnic minority stakeholders in the discussions. Evidence of the impact of these multi-layered policy dialogues came from the strong and proactive statement of commitment made by senior CEMA officials at the 2013 Viet Nam Development Partners Forum and the approach was formally introduced into the CEMA system in 2014 as a follow-up action. These actions led to the government's formulation of the Ethnic Minority MDG Action Plan, which was adopted at the end of 2014, and which incorporates the need for local empowerment that embraces community strengths and diversity.

In the area of **vocational training and specialized skills development policies and support programmes of a high standard are formulated in response to market needs and accessible in particular to vulnerable groups and the informal economy (Output 1.2.2)**, evaluative evidence shows the UN has supported improved knowledge, skills and opportunities of vulnerable and disadvantaged groups to access the market:

- Grassroots crafts and furniture producers trained on business skills: a 'change of mindset', more confidence and stronger negotiation skills with buyers were observed.
- Support to enterprises to participate in trade fairs and matchmaking resulted in significant business opportunities.
- A consultation centre was officially established to help job seekers with disabilities to approach businesses by training staff in job placement skills and supporting companies to hire people with disabilities.[125]

For support to **Output 2.3.1: Improved evidence is available to ensure education policies are inclusive, relevant and learner-friendly with a special focus on vulnerable and disadvantaged groups,** annual targets have been reached or nearly reached. Verified examples of results include:

- The UN-backed Mother Tongue-Based Bilingual Education (MTBBE) programme. The UNICEF MTR notes the first cohort of 248 children (132 girls) has completed the MTBBE programme successfully. Results of the end of primary year assessments show better learning outcomes compared with other children not involved in the ethnic minority education programme. The MTBBE programme-related action research has been successful in establishing a strong evidence base to inform various government stakeholders in the further development of relevant policies promoting bilingual teaching methodologies to improve quality of teaching and learning outcomes. The UN (UNICEF, UNESCO) and MOET are working to expose more ethnic minority communities to the programme.
- The Out-of-School Children Study, which has generated significant impetus for equity in education in the country and evidence of plain disparities in access to education for disadvantaged groups such as ethnic minority children, children with disabilities and migrant children, has contributed greatly to a stronger equity focus in education sector planning. At the same time, MOET has institutionalized the indicators on out-of-school children in its routine data collection and management practices.[126]

Key achievements under this case study include the design and planning for adoption of the MAP-EM. The UN has supported the government in a highly participatory process for the formulation of multi-dimensional poverty measures, which helped increase consensus among government and National Assembly members, researchers, donors, and communities on how to move towards a multidimensional poverty approach. The master plan for application of these measures was finalized by the end of June 2015 and is currently being widely consulted on before being submitted to the government for approval. MAP-EM was submitted for approval by CEMA and MPI in June 2015 and was approved in September 2015. Indeed, support to the development and approval of MAP-EM included several desk studies/assessments, participatory consultations at different levels and the resulting concrete policy recommendations regarding SEDP, and led to a Statement on Mainstreaming Ethnic Minority Development in the 2016-2020 SEDP dated 24 February 2015 by the CEMA. And the second policy initiative of the DRT-F was envisioned as a means to continue UN

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[125] Gonzalez & dung. 2014
[126] UNICEF 2015.

support to the roll-out process of MAP-EM and its mainstreaming into the 2016-2020 SEDP. The agreed development targets proposed in MAP-EM and the evidence and findings on multi-dimensional ethnic minority and child poverty, disparities and inequities generated have fed into discussions on the multi-dimensional approach and policy options to address multi-dimensional poverty among ethnic minority men, women and children in the 2016-2020 poverty reduction policy framework, including the two national targeted programmes (on sustainable poverty reduction and new rural development). The process enables line ministries, led by MOLISA and CEMA, to materialize Decision 2324 to implement their assigned tasks to realize Resolution 76 of the National Assembly Supreme Oversight on Poverty Reduction.[127]

The equity analysis conducted by the joint MOH-UN group in August 2013 has fed into development of a resolution to accelerate the achievement of the health MDGs, which was approved by the prime minister on 13 January 2014. Among the key recommended actions are (1) better analysis and use of disaggregated data to better identify and understand hard-to-reach/vulnerable populations; (2) funding and agreement of an integrated package for women and children reproductive, maternal and child health, nutrition and water, sanitation and hygiene (WASH) as well as some aspects of HIV; (3) scaling up access to vulnerable populations using a Reach Every Community approach; (4) improving treatment and care and strengthening prevention and control for HIV/AIDS; and (5) interventions to prevent and control other non-communicable diseases.

This led towards UHC, which has been strongly advocated by the UN, with the government's adoption of UHC in Prime Minister's Decision 538/QD-TTG of March 2013 as its main agenda for health and as a mechanism to reach out to poor and vulnerable populations and to help achieve the MDGs. The prime minister also approved Decision 705/QD-TTg mandating a 100 per cent subsidy for the near poor living in the poorest districts. These policy directions have strengthened revision of the Health Insurance Law, which aims to expand health insurance coverage to the majority of the population.

The key results of the Joint Programme on Green Production was the established foundation for future development of the value chains under assistance as well as for replication of the implemented model to a broader scale in each locality. With the value chain approach, the Joint Programme has spread its intervention to all functions of the chains and creates impact not only for the rural poor, who take care of inputs/materials, primary processing and production, but also for enterprises and cooperatives, which remain a driver for sustaining jobs and incomes for the poor. Achievements also included inputs to the development of a circular issued by MARD to provide implementation guidance for Decision 11/2011/QD-TTg on incentive policies for rattan and bamboo industry development.

Key results achieved for Sustainable and Responsible Tourism Development in Central Viet Nam include development of new green tourism products associated with community-based tourism models as well as raising awareness of public and private stakeholders on responsible tourism, such as improved visitors' attitudes and public–private partnership for poverty reduction through tourism activities. Market access of local tourism products has been improved.

RQ3. To what extent did the UN in Viet Nam use its convening power to bring together various stakeholders and provide external and internal coordination?

Evidence of the UN's convening power in high-level actions can be observed with the Health JPG, and in particular within the **HPG**. In the HPG Forum, the UN played an active role co-leading together with MOH to set up the agenda and help mobilize participation of a wide range of stakeholders and development partners. However, in the health sector, the participation of civil society is still limited, and some stakeholders interviewed felt the UN had not been pushing for this engagement strongly, despite the VHPD clearly stating that *development partners commit to support the Government to expand partnerships with INGOs [international non-governmental organizations], the private sector, and triangular co-operation with other lower middle income countries* (Section 3.5).

Another example of the UN's convening power in Viet Nam is its support, in collaboration with the Embassy of Ireland, to the Ethnic Minorities Council of the National Assembly and CEMA by co-chairing the Forum on Mainstreaming Ethnic Minority Development (2016-2020 National Framework), which took place in January 2015. The Policy Forum attracted nearly 200 delegates representing ministries, central and provincial agencies, the National Assembly (deputies from ethnic minorities), academia, development partners and non-governmental organizations (NGOs) and representatives from ethnic minority communities in some northern mountainous provinces. Further, the UN played a key role in

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[127] DRT-F semi-annual update, June 2015.

setting up TWGs, which includes participation from various development partners and relevant line ministries and provinces to further integrate MAP-EM targets into SEDP 2016-2020 and its M&E indicators.

RQ4. To what extent did the UN provide evidence-based policy advice in particular on sensitive issues and unfinished agenda in line with international norms and standards in the transitional middle-income country context of Viet Nam?

The One UN modality has enabled a more coherent approach to channel information and perspectives into the policy process more effectively. Through the HPG, the UN has advocated for the inclusion of critical policy interventions at high level and multi-sectoral policy dialogues such as UHC, acceleration of the MDGs, grassroots health reform and the One Health initiative. UN support to and collaboration with MOH's Joint Annual Health Review helped identify key issues for cooperation and dialogue between the Vietnamese health sector and international partners, such as the sector situation review, progress towards achieving the health MDGs and analysis on UHC. The UN's participation included a speech from WHO [128] on 'Health Financing towards Universal Coverage', which included a policy recommendation to revise the Health Insurance Law and emphasise public investment in primary health care. Through MAP-EM and other studies, the UN has provided relevant evidence to raise national awareness and focus on ethnic minority poverty reduction, as well as recommendations on possible ways to address these gaps. For example, the UN Position Paper for Development of SEDP 2016-2020 and the multi-dimensional child poverty analysis in Viet Nam (see below) recommended use of ethnic minority-disaggregated targets proposed by MAP-EM to inform national, sectoral and provincial SEDPs.

The UN supported development of the national policy on integrated sexual reproductive maternal child health and nutrition services for vulnerable population (see next section). Formalization of the policy, which was approved by the prime minister in 2014, illustrates the UN's ability to identify policy gaps and successfully advocate for effective change at an upstream policy level.

Evidence generated by the UN also helped identify key barriers to fighting poverty. For example, UNICEF's collaboration with the General Statistics Office (GSO) to analyse and update the results of the multi-dimensional child poverty analysis in Viet Nam using the available Viet Nam Household Living Standards Survey (VHLSS) 2012 dataset was able to provide evidence on the barriers in access to services for children and primary caregivers from ethnic minority groups, and was able to inform implementation of government's policies on sustainable poverty reduction, with a particular focus on the access to services for children from ethnic minority groups. Another example is the Qualitative Anthropological Assessment on the Poverty Status of Ethnic Minorities in Vietnam facilitated by UNDP in 2014. This provided evidence on the disparities of specific ethnic groups using case studies of Ba-Na, Thai and Hmong communities. UNDP in collaboration with Irish Aid also supported CEMA to conduct the Ethnic Minority Poverty 2007-2012 Qualitative Analysis, which provided further evidence on disparities. UNDP has supported the Committee for Ethnic Minorities (CEM) (formerly CEMA) and MPI to conduct a situation analysis (SitAn) (May 2015) to recognize and identify existing bottlenecks [129] in the government's policies and mechanisms in relation to realization of the MDGs for ethnic regions and groups. The evidence is expected to help the government carry out specific activities to remove such bottlenecks.

Via high-level policy dialogues,[130] the UN has provided evidence and options on how to incorporate ethnic minority perspectives into poverty reduction policies and National Target Programmes (NTPs) on poverty reduction and new rural development, with a focus on poverty reduction, development, community empowerment and participation, highlighting the importance of cultural sensitivity and appropriateness of PR/livelihoods policies/programmes, resource mobilization and funding mechanisms of line ministries in poverty reduction, vulnerability and inequality, etc. [131]

The UN's support to the development and approval of MAP-EM included several desk studies/assessments, extended technical discussion and participatory consultations at different levels (such as the National Assembly, three ministries, ten provinces, various development partners and international and Vietnamese NGOs in the Ethnic Minorities Poverty Working Group). Discussions were also raised on building blocks for the pre-feasibility studies of the laws on ethnic

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[128] At the first HPG meeting of 2014.

[129] Five bottlenecks for all eight MDGs and 14 bottlenecks for each MDG, such *as The policy development in general and policies for ethnic minorities in particular almost work out only the outputs rather than the development results for ethnic minorities* or *Strategies, plans, programs, projects and related policies only quote that 'Give preferential to ethnic minorities' without concretize what are the development results and respective resources for ethnic minorities* (MPI-CEM-UNDP, May 2015).

[130] Dialogues to contribute to implementation of Resolution 80/NQ-CP on orientation of sustainable poverty reduction for 2012-2020, Resolution 15/NQ-TW on social policies for 2012-2020 and the Strategy for Ethnic Minority Activities to 2020.

[131] DRT-F semi-annual update, June 2015.

minorities and on non-discrimination to support Viet Nam to fulfil its commitments under the Universal Periodic Review (UPR). The increased awareness and attention of the government on ethnic minority issues is reflected in its investment in a national ethnic minority survey that covers all the 53 ethnic groups, with UNFPA acting as the UN focal point for this initiative.

The **Health JPG** has continued to generate evidence to ensure appropriate evidence-based interventions are developed in the area of sexual reproductive and maternal health.[132] The results of studies have contributed to the development of national policies, plans, guidelines and specific interventions on sexual and reproductive health and maternal health. An **HPG**-facilitated joint UN-government equity analysis has been used to advocate to address disparities affecting ethnic minority groups.[133] The data generated at sub-national level by the equity analysis of seven health indicators related to MGD4 also highlight some important inequities. Disparities were identified for almost all health indicators by region, urban/rural settings, provinces/districts, ethnicity, education and income where data are available for analysis.

Policy advocacy has also been conducted by various initiatives at sub-national level. The establishment of local economic development dialogue forums in four provinces of the Joint Programme on **Green Production** was the foundation to foster local dialogues and ownership on value chain improvement as well as to tackle constraints in the business environment. The evidence was provided to MARD to prepare a circular that operationalizes Prime Minister's Decision 11/2011/QD-TTg on incentive policies for rattan and bamboo industry development.

RQ5- To what extent did the UN advocate for and facilitate that the voices of the most vulnerable and disadvantaged are heard, and issues of inequality are addressed in national policy processes?

All the initiatives in this case study focus on ethnic minorities and as such on a specific vulnerable group. In some instance, they focus on vulnerable groups within ethnic minorities, such as women or children. For example, the UN played an important role in highlighting gender equality in MAP-EM. Some of the initiatives contribute directly towards achievement of MDG4 and MDG5, including targeted interventions and programmes for sexual maternal and child health in some of the poorest provinces in Viet Nam,[134] as well as at policy level, where the UN supported MOH towards adaptation of an Integrated Package of Services for Women and Children's Health[135] through development of the national policy on **integrated sexual reproductive maternal Child Health and Nutrition** services for vulnerable populations, which guarantees financial support for women from ethnic minorities for medical care as well as travel and other costs incurred as a result of seeking health services. This policy was developed by a UN-government group (UNFPA, UNICEF, UNAIDS, WHO; Department of Planning and Finance).

Another example of the UN advocating for vulnerable groups can be highlighted in the case of the Joint Project in Quang Nam province, where criteria to select beneficiaries included particularly vulnerable ethnic groups such as the Co Tu, ethnic minority women, persons in geographically remote areas, the poor or those at high risk of climate change. In addition, UN agencies provided a series of guidelines, tools and policy recommendations under this initiative to advocate for the policies that support the vulnerable and the disadvantaged (e.g. formulation of the Policy to Encourage Investment in Tourism in Mountains and Islands of Quang Nam Province issued by Quang Nam in 2015). ILO/UNESCO have used the joint project initiative on sustainable tourism as a means to verify and collect evidence for implementation and results of previous and current policies that support women (Policy on New Rural Development; Policy on Poverty Reduction), to verify if the burden on women has been addressed properly. Findings indicate increased participation of women and increased support from their husbands.

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[132] A number of reviews and studies were undertaken in 2013 including (1) a baseline assessment for maternal/emergency obstetric care (EmOC) interventions in Ninh Thuan and Kon Tum provinces; (2) a baseline on provision of sexual reproductive health services for young migrants in three industrialized zones in Long An, Nghe An and Nam Dinh provinces; (4) a national study on cervical cancer; (4) in-depth analysis on the obstetric facilities and OBGYN performance; (5) reviews on adolescent and youth health policies and programmes and youth law 2005 implementation (Health JPG annual report 2013 'Closing the gap and moving forward).

[133] *By 2012, maternal mortality ratio was twice the national average in the 225 difficult -to- reach districts and 5 times the national average in the 62 poorest districts by 2010, there are unmet needs for family planning, ethnic minority children are 3-4 times more likely to die in the first year of life, ethnic minority child mortality seems to be worsening overtime; stunting was approximately 3 times higher amongst children from the poorest households., and by 2011, only 37% and 55% rural population has access to hygienic water supply and hygienic sanitation respectively* (Health JPG annual report 2013).

[134] Including Ninh Thuan, Kon Tum, Quang Binh, Dong Thap, An Giang, Gia Lai, Lao Cai and Dien Bien provinces.

[135] The package includes reproductive, maternal and child health, nutrition and WASH as well as some aspects of HIV. In November 2012, the joint MOH-UN group was established to undertake MDG equity analysis and develop a resolution for accelerating the achievement of the health MDGs. The group is led by UNFPA, UNICEF, UNAIDS and WHO from the UN side and the Department of Planning and Finance from the government side. The equity analysis has led to the development of the Resolution for Accelerating the Health MDGs, which was approved by the prime minister on 13 January 2014.

During the consultation process supported by the UN in the context of the Forum on Mainstreaming Ethnic Minority Development, participants shared ethnic minority development priorities for integration into SEDP. A Statement on Mainstreaming Ethnic Minority Development in the 2016-2020 SEDP was endorsed by leaders of CEMA and the Ethnic Council/National Assembly in Decision 18/HDDT-UBDT dated 24 February 2015. Additional stakeholder consultation workshops for planning, budgeting, monitoring and oversight of the five-year SEDP (2016-2020) were organised at the sub-national level (Gia Lai, Kon Tum and Lao Cai), to advocate for increased awareness on disparities and inequity among ethnic minorities. These consultations actively engaged all relevant stakeholders and advocated for inclusion of ethnic minorities in the 2016-2020 SEDP with a focus on action plans. As a result of this initiative, more disaggregated evidence and data on the socio-economic situation related to ethnic minorities will be incorporated into planning, implementation, monitoring and evaluation of the five-year and annual SEDPs.

Lastly, the Joint Programme on Green Production advocated for smallholder farmers and the landless poor by helping them organize into formal entities (cooperatives, unions, groups, etc.) and as such protected them under the Law on Cooperatives. It also increased the income of an estimated 6,000 poor smallholder farmers and increased employment opportunities in rural areas.

RQ6. To what extent did the UN draw on the collective global assets of the system and global expertise and best practice to provide technical expertise, exchange of knowledge and capacity development, based on international best practice, and support innovative approaches to equity, human and social development issues and implementation of global normative standards?

There were many examples of the UN team in Viet Nam drawing on collective global assets and innovative approaches in support of strengthened national capacity. For example, the UN introduced the 'anthropological approach to development'[136] to the government's CEMA in 2009. Along with a series of in-depth assessments, the UN trained 60 CEMA and the Ethnic Council/National Assembly staff on this approach, enabling them to undertake multi-disciplinary and actor-centred analysis of ethnic minority poverty. As a result of the UN's continued efforts, the anthropology approach was formally incorporated into the CEMA system in 2014 using training materials developed with support from both national and international anthropologists. With support from the UN, the School of Ethnic Minority Cadre in collaboration with the UN and a CSO (the Institute for Studies of Society, Economics and Environment (iSEE)) is in the process of incorporating the training package on the anthropology approach into its formal curriculum. More importantly, a change in approach was reported in the way ethnic minority policy-makers and implementers review the current programme and policy support from top-down and one-size-fits-all policies towards a more human rights-based and culturally sensitive approach, supporting government efforts towards meeting the MDG targets and realization of its international commitments such as the UNCRC, the UPR, the International Convention on the Elimination of All Forms of Racial Discrimination, etc. for ethnic minorities.

MAP-EM aims to identify appropriate activities to address bottlenecks towards accelerating ethnic minority MDGs in Vietnam and is closely linked with the post-2015 Sustainable Development Goals (SDGs). It is the first of its kind in the country and is built on sustained support from the UN, specifically on the MDG Acceleration Framework (MAF) proposed by UNDP, which adapted the MDGs to Viet Nam's existing legislation and governance context. The prime minister officially approved MAP-EM in September 2015.

Government counterparts interviewed expressed that most government guidelines in the health sector refer to or have been adapted in line with UN guidelines. Stakeholders interviewed also indicated that the *GoV is very open to adopting global standards guidelines* for the sector. This is why various surveys, studies and policies formulated in the health sector have adopted or refer to international standard indicators. Resolution 05/NQ-CP dated 13 January 2014 on achieving the health-related MDGs is an example: *Continue training village-based midwives in ethnic minority regions with the aim to minimizing proportion of self-delivery without the attendance of trained health staff. Develop skilled birth attendants at all public and private health settings, according to the WHO guidelines.*

More specifically, the UN supported capacity-building for various TWGs under the HPG through a study developed by WHO on the status of TWGs and their linkages with the HPG (2015) to better understand current status, their roles and the factors affecting their work in order to identify recommendations on and improve their functions and linkages. In addition, UN has provided technical expertise and quality insurance in support of the government at financing

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[136] 'This culturally appropriate approach can be integrated right throughout the policy cycle, to develop a better understanding of the local context, reinforce a respect for diversity, acknowledge the agency of local communities and maximize the use of cultural capital in development programmes' (DRT-F semi-annual update 2015).

dialogues (ODA). WHO and UNICEF provided capacity building to MOH in the context of health insurance and health financing, highlighting emerging issues as they affect children and pregnant women.[137]

Through the Green Growth joint programme, five UN agencies brought together each agency's expertise to introduce the value links approach, whereby the value chains for a particular product are reconfigured in a way that ensures more value is generated. This model was unique in that it incorporated the entire value chain from raw material supply to exports, essentially creating a better integrated, pro-poor and environmentally sustainable 'green' value chain, enabling growers, collectors and producers to improve their skills and products and to link these to more profitable markets. This was achieved by bringing together innovative concepts originally developed for industrial production for rural producers,[138] making it a clear example of the potential benefits of joint work. In addition, the joint project drew from international experience such as innovative clean technical solutions (e.g. processing of natural lacquer, national dyeing of textiles and treatment of bamboo with linseed oil) transferred from universities in Austria, Japan and China, to companies in the five value chains. In the joint project in Quang Nam, UNESCO, ILO and UN-Habitat also brought Korean experts and interns to support the project.

RQ7. To what extent did the UN facilitate a multi-sectoral approach and support government to coordinate its response to complex issues?

The UN is uniquely positioned to provide a comprehensive cross-sectoral approach to complex issues. This has been promoted in almost all the work reviewed within this case study. In the health area, the development of MAP-EM, for example, has involved efforts by various sectors to identify appropriate and SMART indicators for specific ethnic minority targets and at later phase to mainstream them into sectoral plans. The process involved participation of all key sectors related to ethnic minority issues and successfully laid a foundation for the relevant agencies to integrate concrete actions into their sectoral plans in particular and into SEDP in general.

The Health JPG helped the government establish One Health,[139] a strategy and a multi-stakeholder action that will strengthen coordination in the fight against emerging and re-merging infectious diseases. In 2013, the Health JPG expanded its membership to include other agencies, and recognized the active participation of ILO on occupational health, IOM on migrant health and UNODC on the prevention of drug dependence. One example of the One Health activities was that UN agencies (WHO, FAO) have engaged MARD and MOH to eliminate rabies in Viet Nam, and the strengthened collaboration led to a joint statement (MOH, MARD, FAO, WHO) in 2014: *Different sectors in Viet Nam need to collaborate closely, and World Rabies Day is an opportunity to establish or strengthen these links*. Under a different joint advocacy effort, the UN undertook an equity analysis in selected provinces, including joint UNFPA-UNICEF projects in Ninh Thuan and Kon Tum in 2013, to help understand demand for delivery of health services at local level. This led to discussions on how the UN can work more effectively with government to strengthen local **health systems** and recommendations on how to improve the health system for local and central governments. The development of the National Environment Health Action Plan (NEHAP), supported by WHO, incorporates a number of different sectors, including natural resource management, agriculture and trade by direct collaboration among MARD, MONRE, the Ministry of Industry and Trade (MOIT) and MOH.

The initiative for Green Production brought together for the first time the entire value chain into one single comprehensive framework, with engagement at different points of diverse sectors such as agriculture, clean production, culture, trade and labour. These were supported by the different UN agencies building on their core competencies, including on market development, trade, SME promotion, cleaner production, empowering of grassroots producers and smallholder farmer development.[140]

In sustainable tourism, the handcrafting initiative required connection between markets, tourism, facilities and infrastructure. Within the framework of a joint project at provincial level, UN agencies (ILO, UNESCO) worked with different partners from both the public and the private sector, as well as with mass organizations (Women's Union,

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[137] ODI. 2013. Enhanced monitoring of development results: policy advice and advocacy in Viet Nam – case study: health financing and health insurance.

[138] Such as use of the Cleaner Production Methodology (UNIDO), entrepreneurship training and improvement of working conditions (ILO) and the training toolkits on business start-ups, management, hospitality and handicraft development of ILO that have been applied in seven countries, including Viet Nam.

[139] The One Health initiative has created linkages between animal and human health sectors through a four-way linking programme that coordinates action for the prevention and control of and response to communicable disease. It links information from four streams – epidemiological and virological, from animal and human health.

[140] Joint Programme final assessment narrative report, August 2013.

Cooperative Alliance) and provincial and district governments to bring stakeholders in the tourism industry and cultural areas together (tourism, hospitality, ticket offices, etc.).

Case study 2: The UN's role helping create a space for civil society and citizens to participate in policy dialogue

Overview

This case study looked at the UN's role helping to create a space for civil society and citizens to participate in policy dialogue (including aligning national legislation and policy to Vietnam's international commitments:

Law on Administrative Sanctions: In 2008, the Government of Viet Nam decided to develop a new law to replace the Ordinance on Administrative Sanctions. The UN saw the revision of this piece of legislation as a strategic opportunity for the UN team to engage as one in supporting Viet Nam to strengthen the rule of law in line with Viet Nam's obligations under core UN human rights instruments.

The UN in Viet Nam established an *ad hoc* working group, which included a UN head of agency (UNAIDS) as well as policy advisors and programme officers from various agencies (UNAIDS, UNDP, UNFPA, UNICEF, UNODC, WHO). This was a flexible working mechanism, drawing UN staff members from different official collaboration structures to collaborate in its support towards aligning this law with Viet Nam's international commitments.

The Enterprise Law: This is a single agency (UNIDO) project. The project provides Technical Assistance to Business Registration Reform in Viet Nam, with MPI as counterpart. Its aim is to provide policy and technical advice towards achieving nationwide business registration reform. As a result, enterprises will be able to register for business, a tax code, statistics and seals through a single point, using a consolidated form, and obtain a unique enterprise ID. National capacities will be developed to simplify the legal framework, processes and procedures and to set up and operate a computerized National Business Registration System (NBRS). Switzerland and Norway granted a total of $11.2 million to the project, $0.5 million came from the OPF, $1 million from UNIDO's own resources and $2 million (in kind) from the government. The project was managed by UNIDO, not through a national execution modality.

The main output of the project has been the establishment and implementation of the computerized NBRS, in operation since 2010. This system has harmonized and integrated business registration, which in the past was carried out independently by the business registration offices in Vietnam's 63 provinces, mostly manually. The basis for the system is the implementation of a single ID for the enterprises used by the business registration, the taxation system and the statistics office, and delivered at a single point geographically. The NBRS not only has simplified business registration procedures for enterprises but also provides nationwide legally valid data for enterprises to the business community, government and the public at large.[141] As a result, it becomes cheaper and quicker for businesses to register and start their operations. The project contributed to the New Enterprise Law 2014, which mandates the maximum time needed for business registration to three days.

Strengthening the role of DPOs to advance disability rights in Vietnam: This joint project aims to strengthen the role of DPOs to advance disability rights. The UN Partnership to Promote the Rights of Persons with Disabilities (UNPRPD) selected the project for funding in February 2013 and three UN agencies in Vietnam (ILO, UNDP, UNICEF) received funds in March 2013. The project runs until December 2015. The strategic focus is on strengthening the capacities and role of DPOs in the advocacy, development, implementation and monitoring of legal frameworks and policies, and to help ensure the current momentum around ratification of CRPD results in the empowerment of people with disabilities and enables them to claim their rights. In late 2014, the Government of Viet Nam ratified the CRPD.

Three UN agencies work closely together and with a number of government and CSOs on two proposed outcomes:

1. *DPOs actively engaged in ratification, implementation and monitoring of CRPD through strengthened policy and legal frameworks;*
2. *Build capacity of DPOs and other organizations to empower people with disabilities to claim their rights.*[142]

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[141] UNIDO Evaluation Group, independent evaluation – Technical Assistance to Business Registration Reform in Viet Nam 2008-2013.
[142] Annual progress report 2014 – strengthening the role of DPOs to advance disability rights in Vietnam.

On the government side, the UN agencies work with the National Coordinating Council on Disability (NCCD) under MOLISA. On the CSO side, they partner with the Vietnam Federation of Disability, Action to the Community Development Center (ACDC) and Da Nang Association for Victims of Agent Orange.

The joint project supported the NCCD to review implementation of the Law on Disability, with the aim to revise it in line with the CRPD, and to develop a framework for implementation of the CRPD in Viet Nam. Consultation, policy dialogues and a TV talk show were organized between policy-makers and DPOs in the run-up to ratification of the CRPD in the National Assembly. Through training, the project enhanced awareness of disability rights, as well as capacity for policy advocacy and networking among DPOs, so they can better serve as an effective bridge to bring voices of people with disabilities to policy-makers.

Marriage and Family Law: Three UN agencies (UN Women, UNDP, UNAIDS) jointly developed UN key recommendations on the draft amended Law on Marriage and Family to ensure no group in society (women, LGBTI) is discriminated against in the law, targeting the drafting team and National Assembly deputies. Prior to that, the UN conducted a policy analysis on the law, focusing on the right to adoption of LGBTI in Vietnam. The UN also produced a policy brief called 'Inclusion of Diverse Gender and Sexuality to Achieve Freedom and Equality for All in Viet Nam'.

UN advocacy contributed to the removal of the gay marriage prohibition clause of the previous law. Now the state simply does not recognize marriages between people of the same sex, instead of outright banning them. The objective of full equality was partially achieved. Moreover, the UN used its convening power to facilitate CSOs representing LGBTI communities to bring their concerns and interests into policy dialogues with the government. This will be described in greater detail in the subsequent part of the report.

Population law: This initiative was led by UNFPA, with participation from UN Women, UNDP, UNICEF and IOM. Other agencies received information updates about the law and participated in specific events related to it. Among the participating UN agencies, UN Women focused on the imbalanced SRB and women's rights; UNDP on the rights of people with disabilities; UNICEF on children's rights; and IOM on the rights of migrant people. The UN worked with both the government and the National Assembly to align the law with Viet Nam's international human rights commitments. On the government side, the drafting agency was MOH, and on the National Assembly side the Committee for Social Affairs was in charge of appraising the draft law before submitting it to the National Assembly for deliberation. Besides, the UN also supported the Vietnam Fatherland Front to organize a workshop to gather experts' opinions and recommendations, including those from CSOs, on the law.

In this initiative, UNFPA supported the GSO to produce monographs on specific population issues based on results from the 2009 Population and Housing Census. These included age and gender structure, imbalanced sex ratio, youth, ethnic groups, ageing and the elderly. The UN supported the National Assembly Committee for Social Affairs to produce a number of booklets and policy briefs for deputies to gain deeper understanding of population issues.

The UN also promoted learning from experiences from population policies and lessons learned of other countries such as South Korea, Thailand, Taiwan, Singapore, Japan, Indonesia, China and Germany. The UN brought in international experts to share with the Vietnamese side international approaches to population policy. Government stakeholders interviewed described this support as the most valuable UN contribution to the work of the committee.

The population law is still in the development phase, and consultations with vulnerable groups who are impacted by the law, including women, children, elderly people, people with disabilities and adolescents, have not been carried out.

Addressing violence against women and girls: This initiative is a joint collaboration between seven UN agencies – UNFPA, UN Women, UNODC, UNESCO, ILO, WHO and IOM – to address violence against women and girls. Since the problem of violence against women and girls is a complex and multi-faceted phenomenon, addressing it requires a multi-sectoral and coordinated approach. The UN agencies are partnering with MOLISA, the agency in charge of gender equality, MPS), the Ministry of Culture, Sport and Tourism, the Ministry of Justice, the Farmers' Union, Women's Union as well as many NGOs.

To further examine GBV and identify gaps in the country's response, the UN in 2014 commissioned research to build an evidence base to help policy-makers address the issue. Six policy briefs were developed based on recent studies and surveys on GBV, domestic violence, SRB imbalance, human trafficking and women in justice. This evidence can now be

drawn on by the UN, the government and relevant partners for advocacy at different policy dialogues, workshops and meetings to move the GBV response from data to concrete action.

Besides support for policy development, the UN helped the government pilot a minimum intervention package (MIP) for GBV survivors in selected provinces (Hai Duong and Ben Tre), encompassing health, legal and referral services, which could be scaled up to nationwide availability in 2016.

Human right advocacy: In 2011, Viet Nam started the process to revise the country's constitution. The UN saw this as an opportunity for advocating international human right standards into the most basic legal document of the country. The UN produced a common commentary on human rights provisions in draft amendments to the 1992 Constitution. Within the UNDP Institute of Legislative Studies (ILS) project, UN agencies supported ILS in conducting researches, organizing workshops on many constitutional issues, such as freedom to do business, assumption of innocence, adversarial trials, etc. According to the ILS director, UN contributions to Chapter 2 on Human Rights were significant. ILS valued very much the international expertise and experience the UN brings. International experts were well selected, they understood well the issues concerned at the international level and also understood well Viet Nam.

The UN also supported MOFA in the process of Viet Nam's second UPR of Human Rights.[143] After the review, the UN provided comments on the draft National Action Plan for Implementation of the Accepted Recommendations.

CEDAW advocacy – CEDAW shadow report: UN Women helped connect Vietnamese CSOs to government officials and the regional network, facilitated training, sent in advisors and provided comments on technical reports.

UN Women facilitated a well-known and capable women's rights organization in the region (International Women's Rights Action Watch Asia Pacific (IWRAW-AP)) to work with Vietnamese CSOs. This organization provided technical support in developing the shadow report and presenting it to the CEDAW Committee. A total of 21 CSOs worked together to collect data and write a report in the timespan of 10 months. Three CSO representatives went to Geneva to present the report to the CEDAW Committee.

Youth Law: The UN has a working group on young people, comprising staff from UNICEF, WHO, UNDP, UNFPA, UN Women, ILO and IOM. The Working Group meets once every two months to discuss issues and provide updates on youth issues.

UNFPA leads UN works related to the development of a revised Youth Law. The counterparts are the Youth Department of MOHA, the agency in charge of drafting the law, and the National Assembly Committee for Culture, Education, Children and Adolescents, which will appraise the draft submitted by the government. UNFPA also partners with the Ho Chi Minh Communist League and CSOs working on youth issues. The agency is trying to connect CSOs and government agencies, but still has to overcome resistance from government officials.

The UN supported its Vietnamese counterparts to organize consultative workshops to collect opinions about development of the law. However, the development is still in early phase and not many activities have been implemented.

RQ1. What were the UN's main results achieved under the One Plan to date?
Analysis from the desk review has identified the following results related to this case study:

The UN has supported **the formulation and implementation of inclusive policies and support programmes for sustainable enterprise development with a particular focus on micro and small enterprises (Output 1.2.1)**, for decent job creation and progressive formalization of the informal sector. This can be exemplified through UN support to a new NBRS, which made its full nationwide debut in April 2013 after four years of UN-supported development (UNIDO) and phasing-in. The system helps cut red tape and reduce the costs and risks of doing business in Viet Nam.[144]

The UN has supported **gender-related legal and policy frameworks, programmes and practices strengthened to effectively address gender inequality and inequity, gender discrimination and gender-based violence (Output 2.4.3).**

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[143] The UPR is a state-driven process, under the auspices of the Human Rights Council, which provides the opportunity for each state to declare what actions it has taken to improve the human rights situations and to fulfil its human rights obligations.
[144] 2013 DaO annual results report.

The draft UNFPA independent evaluation found at least UNFPA had garnered significant support across influential stakeholders on GBV responses, particularly on domestic violence and gender equality, especially the SRB imbalance, and that this support had been evident in national commitments. One example of a verified result here is UN-commissioned research to build an evidence base to help policy-makers address the issue of gender equality. Six policy briefs were developed in 2014 based on recent studies and surveys on GBV, domestic violence, SRB imbalance, human trafficking and women in justice. Besides support to policy development, the UN helped the government pilot a minimum intervention package for GBV survivors in selected provinces, encompassing health, legal and referral services, which could be scaled up nationwide in 2016.[145] However, the draft UNFPA evaluation notes government partners' expressed concern about the level of effectiveness of the models and whether they would be appropriate for replication and scaling.[146]

Under **Output (3.1.1): Elected bodies benefit from enhanced knowledge generation and knowledge management to access high quality research and data to guide their legislative duties,** key results related to evidence-based law advocacy. The UN provided a series of recommendations to the National Assembly that specified where existing provisions of the Constitution and other legislation did not reflect human rights and other international obligations agreed to by the government and how to address this. For instance, UNICEF worked to ensure Viet Nam's legislation was in line with international norms and standards as regulated in the UNCRC. The UNICEF MTR shows extensive and coordinated advocacy efforts at the legislative level have significantly contributed to improved legal frameworks on child rights in Viet Nam, such as incorporation of a specific article on child rights in the final passage of the 2013 Constitution, the best interest of the child principle in the approved law on Environmental Protection and the reflection of several new UNCRC regulations in the draft amendment of the Child Law.[147]

In addition, the UNFPA MTR noted that key issues such as youth, GBV and population ageing were included in the draft outline of the new Population Law and the National Assembly adopted sexual and reproductive health among young people as thematic topics for regular monitoring missions and discussions in parliament.[148]

The UN helped deliver greater oversight of key Vietnamese legislation. The Parliamentary Committee for Social Affairs engaged the UN to help craft 'oversight tools' for elected officials and members of parliament to challenge provincial executives to ensure laws were better implemented at grassroots level. According to the UNFPA MTR, this included oversight tools for the Law on Older Persons and the Law on Domestic Violence Prevention and Control, which have been piloted by members of parliament.[149]

UNDP supported ILS to become better equipped to support the National Assembly's work on review and oversight. It conducted research on practical and theoretical issues related to organization and operation of the National Assembly and provided overview briefs to the committees. Jointly with UNDP, ILS organized forums for the National Assembly committees to consult with various stakeholders during the legal review process. However, the draft UNDP ADR notes ILS' role in providing parliamentary research services has been limited. The National Assembly committees, including the Committees on Law, Judicial Affairs and Finance and Budgetary Appropriation, have continued to carry out their own research.[150]

Under **Output 3.1.2: Elected officials and bodies have improved capacities to interact and consult with citizens, especially vulnerable and disadvantaged groups,** the systematic review provides several examples of how public consultations supported by the UN have led to an improved legal and policy framework and oversight. One particular example refers to a better enabling framework for public consultations in parliamentary committees and the Ethnic Council: Resolution 27 of 21 June 2012 explicitly mentions the importance of the *accountability hearing sessions ('public hearings') of the Ethnic Council and the Committees of the NA*". It is stipulated that "*the NA Standing Committee shall be assigned the task to develop a Regulation on processes and procedures of questioning sessions at the NA Standing Committee meeting, and of accountability hearing sessions in the Ethnic Council and NA Committees*", and that these regulations shall be issued before 31 December 2012. Approval of these regulations is a major step forward towards the institutionalization of public consultations. The provincial people's committees/councils (PPCs) of six provinces – Ho Chi Minh City, Dong Thap, Binh Thuan, Nghe An, Bac Giang and Lao Cai – issued provincial regulations on public

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[145] 2014 DaO annual results report; UNFPA 2014
[146] Kaybryn et. al. 2015.
[147] UNICEF 2015.
[148] Mailloux et al. 2014.
[149] Mailloux et al. 2014.
[150] UNDP 2015.

consultations, thus supporting introduction of public consultation tools in a more sustainable way. All interviewed provinces, and other provinces participating in the project, confirmed their intention and commitment to continue applying public consultation tools in the coming years.[151]

For **Output 3.2.1 on policy, legal and regulatory framework strengthened to better reflect the rights of the most vulnerable groups and increase their access to justice,** the UNDP ADR provides evidence UNDP contributed to the development of legal and regulatory frameworks through its Access to Justice and Protection of Rights project with the Ministry of Justice (MOJ). The two key achievements were the integration of human rights principles into the revised Constitution (2013) and the concrete enumeration of human rights in some pieces of legislation. UNDP successfully advocated for due process, for lifting the detention of drug users and sex workers and for enhancing tolerance of same-sex relationships in the Law on Marriage and Family. MOJ developed a tool to integrate gender into legal documents, focusing on the assessment and reporting of impacts on gender. This was later applied in the draft laws on civil status, marriage, dissemination of legal education and promulgation of legal documents. From 2012 to the present, at least 50 policy-oriented research projects were carried out and 65 consultation meetings organized. This considerably enhanced evidence-based policy-making and public space for consultation within the framework of Viet Nam's Law on the Promulgation of Legal Documents. Overall, UNDP support for legal and judicial reform was reinforced by its support to MOJ-organized partnership forums.[152]

In the area of women's access to justice, UNODC and UN Women released the first-ever 'Assessment of the Situation of Women in the Criminal Justice System in Viet Nam'. This made a number of important recommendations. This result is verified by the systematic review.[153]

For **Outputs 3.2.2: Law enforcement and judicial institutions strengthened to better protect rights, and provide increased access to justice to all people, particularly the most vulnerable groups** and **3.2.3: Legal, law enforcement and judicial personnel have enhanced knowledge and skills to carry out their obligations under Viet Nam's Constitution and laws as well as ratified international conventions,** the UNDP ADR provides some examples of results but notes contributions were limited in scale. Most activities were one-off and contributions to the training of legal, law enforcement and judicial personnel were limited to MOJ's development of training materials on data collection and analysis for work planning of the justice sector and its conduct of training for agencies implementing court orders. The main highlight was from the UNDP Human Rights Project, which supported a pilot teaching about human rights with the Academy for Foreign Relations and a pilot training on the Convention against Torture. [154]

For **Output 3.2.4: Awareness-raising programmes and legal support services developed and effectively implemented to enable all people, particularly vulnerable groups, to be aware of, and claim their rights,** there is evidence in the systematic review around results achieved in the area of human trafficking, where the UN has:

- Supported an enabling framework to prevent and control human trafficking: ratification of the UN Convention Against Transnational Organized Crime (UNTOC) and the Protocol on Human Trafficking by the government in June 2012. UN legislative support has been instrumental in preparing the country for ratification. The government will consider accession to the Protocol against Smuggling of Migrants by Land, Sea and Air, supplementing UNTOC. The UN intervention also at least indirectly contributed to approval of the NTP on Crime Prevention and Suppression for 2012-2015, signed 31 August 2012; adoption of the National Plan of Action on Anti-Human Trafficking for 2011-2015; and adoption of the National Strategy on Crime Prevention and Suppression to 2020 with a vision to 2030, on which it was at least of indirect influence.
- Strengthened capacities to detect human trafficking cases: 203 officers received training on illegal immigration and internal law. Commanders of border stations feel their understanding of procedures has improved and the provided equipment strengthens their capacities. There is a consensus that detection in general has slightly increased, although this may owe to a higher number of violations as well. In all, it is felt there is a general better understanding of procedures.
- Enhanced partnerships on human trafficking: partnerships established with other development partners through the Human Trafficking Working Group, which included representatives of Embassies as well

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[151] Gonzalez & Dung. 2014.
[152] UNDP 2015, Gonzalez & Dung. 2014.
[153] Gonzalez & Dung. 2014
[154] UNDP. 2015.

international organizations, and utilized its existing strong network with fellow UN organizations including UNDP, IOM, ILO and the UN Inter-Agency Trafficking Project (UNIAP).

In terms of key results, for **Output 3.4.1 on enabling legal, policy and institutional frameworks and dialogue mechanisms available for PSPMOs to participate in policy discussion and decision-making processes,** the UN has been an active supporter for LGBTI people's rights and visibility, consistently highlighting equal rights for LGBTI people in its recommendations to government on the revision of the Law on Marriage and Family. UNDP support to the MOJ department responsible for drafting same-sex marriage and change-of-gender content through the Access to Justice and Protection of Rights Project contributed to amendment of the Law on Marriage and Family and the Civil Code, and the lifting of administrative fines on same-sex cohabitation.[155]

For **Output 3.4.2: PSPMOs' human resources and organization capacities strengthened to provide significant contributions in the development of policies in the best interests of the most vulnerable groups,** a number of UN agencies (UNAIDS, UNDP, UNICEF, UNODC, UN Women) worked together in 2014 with CSOs to examine their roles and legal frameworks governing their participation in law-making processes and lessons learned and to develop recommendations for increased participation. This included support to the Network for Empowerment of Women and the Centre for Women and Development to engage drafters of the Penal and Criminal Procedure Codes to heighten awareness of GBV as well as prosecution and victim protection challenges; support to ACDC through the UN disability rights project to engage DPOs in advocacy and policy-making; provision of in-depth technical support in highlighting inequity issues by drawing out CSO experiences and lessons learned from participation in the formulation and monitoring of implementation of laws and policies to support vulnerable population groups;[156] and, as evidenced by the systematic review,[157] fostering coordination with civil society on women and children´s rights, through a network of 100 members from across public and civil society sectors, which were supported to share priorities on women and children's rights, agree on initiatives, disseminate information to the regional level and share information on key issues.

With regard to the UNDP support for VLA, this was able to participate more effectively in policy processes as well as to better support its branches in providing legal services to the poor and vulnerable; better equipped to provide inputs to the justice sector reform process; and started a collaboration scheme with CSOs to expand its legal aid networks. However, support to legal consultancy by VLA is still limited and its partnering with CSOs has progressed slowly, affecting the scale of effectiveness in providing legal services at the local level. In addition, efforts have not yet systematically involved key government agencies.[158]

RQ3. To what extent did the UN in Viet Nam use its convening power to bring together various stakeholders and provide external and internal coordination?

Throughout extensive interviews the team found the UN brand was widely respected in Viet Nam, both in the government and in civil society circles. For the government, the UN brand is associated with neutrality and impartiality. Coupled with the UN's legitimate role (mandate), quality of support and international expertise, these characteristics generate trust. We were able to observe this trust in many different ways:

1. Stakeholders at ILS said state and National Assembly leaders considered UN support an official and trusted channel. ILS did not need to ask for permission to work with the UN. Publications with the ILS and UN logo can be circulated to deputies without any reservation.
2. UNFPA was asked to participate in the drafting of the Population Law from the very beginning of the process – the only agency outside the government system that participated so early.

Trust leverages power that enables the UN to introduce new ways of working to government agencies. Viet Nam started its reform nearly 30 years ago, but most government officials are still wary of involving independent[159] CSOs in policy-making processes. UN staff members usually have to make specific requests for government agencies to invite NGOs to workshops, conferences or policy dialogues. More often than not, they have to monitor actual implementation

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[155] UNDP 2015, Gonzalez & Dung. 2014.

[156] 2014 DaO annual results report, UNDP 2015.

[157] Gonzalez & Dung. 2014.

[158] UNDP 2015

[159] In Viet Nam, social organizations can be divided into two groups, those sponsored by the state, like the Women's Union, Farmers' Union, Communist Youth League and Labour Confederation, and more financially and administratively independent CSOs like NGOs or community-based organizations (CBOs).

of their requests. *Generally speaking, people working in the government do not like and regard it as unimportant to work with CSOs* (UN staff member).

In many cases, UN staff members are conscious about involving CSOs in policy-making. They know CSOs better than people working in government counterpart agencies. Thus the UN can successfully convene two groups of people at the policy table: government officials who have the power to decide policies and CSOs that represent, assumingly, the needs and interests of vulnerable groups. Sometimes, this convening results in lasting cooperation between a government agency and a CSO. Sometimes, the UN has yet to convince its counterpart of the value of engaging CSOs.

Box 2: UNDP convening MOJ and iSEE on the Marriage and Family Law

The Institute for Studies of Society, Economics and Environment (iSEE) is an independent NGO that promotes humanity value and non-discrimination of minority groups, which include ethnic minorities and LGBTI groups. Through a UNDP policy advisor, iSEE was introduced to the drafting team of the Marriage and Family Law to present the interests and voices of the LGBTI community related to the law. The partnership between the two agencies was established. iSEE was invited to internal meetings of the drafting team. Then iSEE facilitated intensive consultations with LGBTI communities over the draft law.

The UN enjoys a good reputation and respect among CSOs. Many CSO respondents said they needed the UN as a bridge to facilitate their access to policy-makers. On their own, they can reach only a certain level within the government; with UN help they can take their messages higher level. However, the majority of CSO respondents felt the UN had failed to meet their expectations. Interviews brought up three issues:

First is the perception that the UN's support to CSOs, both financial and non-financial, depends more on individual champions than on institutional values and structure for working. For example, the UN has a plan for working with the government in Viet Nam but does not have a separate programme or an explicit mission to support CSOs. The support CSOs receive from the UN, many of them say, is *ad hoc*, on a case-by-case basis and out of individual goodwill. For example, one NGO interviewed reported it had undertaken many policy advocacy activities over the Land Law and Constitution Revision with UNDP, but, after the relevant staff member left, the NGO's requests to meet his successor were unsuccessful. The nature of its relationship with the UN has changed, as the NGO respondent stated: *Now we are invited only for concrete issues and we come only to present some small technical things.* A UN staff member interviewed told the review team working with or supporting CSOs was not part of his performance objectives and reviews.

Second, CSO respondents perceived the UN as not leveraging enough its legitimate mandate to promote and protect the enjoyment and full realization, by all people, of all rights established in the Charter of the UN and international human rights laws and treaties. They have high expectations of the UN and want to see it take a stronger position in working with the government. For example, when the drafting team of the Disaster Risk Reduction (DRR) Law used the term 'natural disasters', CSOs looked to the UN to use the international DRR framework (the Hyogo Framework) to persuade the team to adopt the term 'disasters' instead. They felt the UN did not take a strong stance and the law was passed with 'natural disasters'.

The team noted similar opinions in other areas as well. *The UN needs to exercise greater pressures on the government on issues related to human rights (in the context of reproductive rights). We would like to see the UN insist more on normative international standards. At present, the UN is going on a line of being polite to secure the cooperation of the government* (NGO representative).

RQ4. To what extent did the UN provide evidence-based policy advice in particular on sensitive issues and unfinished agenda in line with international norms and standards in the transitional middle-income country context of Viet Nam?

In all initiatives under case study 2, the UN assisted government counterparts to generate insights into a problem and evidence needed for policy-making. Examples include:

1. UNFPA supported the GSO to produce monographs on specific population issues based on the results from the 2009 Population and Housing Census. These included age and gender structure, imbalanced SRB, youth, ethnic groups, ageing and the elderly. Those analyses helped the drafting team of the Population Law and deputies understand better the issues and deliberate law stipulations accordingly.
2. The Working Group on GBV produced a policy kit that included issue papers on (1) Redefining Masculinity; (2) Trafficking in Boys in Viet Nam; (3) Sexual Harassment at the Workplace in Viet Nam; (4) Assessment of the

      Situation of Women in the Criminal Justice System in Viet Nam; and (5) Cost of Domestic Violence Against Women in Viet Nam. Each paper presents key facts on the issues, policy implications and recommendations.

3. The UN did significant work to advocate for a human rights-based approach to the Law on the Handling of Administrative Violations, which was passed on 20 June 2012. The law includes elements that mark an important step forward in bringing Viet Nam's legal and policy framework into line with its international human rights commitments. It ends the practice of detaining sex workers in administrative detention centres and will lead to the closure of these. It includes provisions to ensure people who use drugs who are sent to 'compulsory treatment centres' will be entitled to see the case against them, and to have legal representation, and remand decisions will be taken by judges. Furthermore, the law introduces a number of reforms to the juvenile justice system, including that the best interests of the child should be of paramount consideration and that reform schools should only be used as a measure of last resort. Again, the decision to remand to reform schools will be taken by the courts, and those subject to such a measure will be entitled to know the case they have to meet and to have legal representation.[160]

4. After the law was approved, the UN continued its support for the development of sub-law documents to implement the law, although the intensity of advocacy works has decreased. UNDP, UNICEF, UNODC and UNAIDS assisted the process of making an ordinance on court procedures for administrative detention. UNAIDS supported MPS to draft Decree 167 on administrative violations in the area of public safety, security, social evils, firefighting and domestic violence. In this decree, administrative fines for sex workers had to be decided. UNAIDS brought members of the drafting team from MPS to talk to sex workers. This was the first precedent of the police consulting sex workers on policies that affect them. After learning about their vulnerabilities, the members of the drafting team decided not to increase the amount of fines, as previously they planned to do to scare away sex workers from practising sex work.

5. With support from the UN, ILS successfully advocated the National Assembly to issue a resolution to broaden the scope and give more time for public consultations over the Constitution revision. This created more opportunities for citizens and CSOs to bring concerns and voices the process.

RQ5. To what extent did the UN advocate for and facilitate that the voices of the most vulnerable and disadvantaged are heard, and issues of inequality are addressed in national policy processes?

While many stakeholders shared the perceived limitations with regard to the UN's work with CSO, many examples of the UN working towards reaching greater inclusion of CSOs were also reported. For example, the UN brought sex workers' representatives into different policy fora where they were able to share their experiences and propose concrete policy recommendations. UN Women also helped connect Vietnamese CSOs to government officials and facilitated capacity-building and experience exchange to strengthen women organization's participation in the shadow CEDAW report process. Altogether 21 CSOs collaborated to collect data and write the report over a 10-month timespan. Three CSO representatives went to Geneva to present the report to the CEDAW Committee.

UNFPA supported the Vietnam Fatherland Front to organize a workshop to gather experts' opinions and recommendations, including those from CSOs, in the context of the Population Law. It also facilitated the participation of CSOs in policy discussions with MOH and the National Assembly Committee. However, the law is still in development and no consultations with vulnerable groups directly impacted by the law, including women, children, the elderly, people with disabilities and adolescents, have been carried out.

There was a sense that the work of the UN had helped strengthen the role of DPOs in the process of review of the Law on Disability, with various consultations, policy dialogues and a TV talk show organized. Capacity-building for policy advocacy and networking among DPOs, so they can better serve as an effective bridge to bring voices of people with disabilities to policy-makers, was also reported.

RQ6. To what extent did the UN draw on the collective global assets of the system and global expertise and best practice to provide technical expertise, exchange of knowledge and capacity development, based on international best practice, and support innovative approaches to equity, human and social development issues and implementation of global normative standards?

All UN counterparts interviewed value highly the international expertise and experiences the UN brings to their work. The exposure to global best practices can take one of the following forms:

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[160] UN Case Study – Delivering as One: United Nations joint policy work in Viet Nam on the Law on the Handling of Administrative Violations.

1. Normative human right standards that played key roles in shaping the stipulations of the Law on Administrative Sanctions or Chapter 2 of the 2013 Constitution on Human Rights and Citizen's Rights.
2. International experts invited by the UN to help a government agency solve certain problems. For example, UNIDO brought international experts from Norway to help MPI reform its processes and procedures and design a computerized central system for business registration. As a result, they developed a good law to reduce the time needed for such task to a maximum of three days and combine the Business Registration Code and Tax Code into one.
3. Study tours to see best practices in other countries. For example, the UN brought high-level government officials from four ministries to Sweden to learn how to combat GBV there. As a result, MPS decided to pilot a model of quick response teams in Ben Tre province to address cases of domestic violence.
4. Connecting an international organization with national CSOs: UN Women brought in a capable regional women's rights organization (IWRAW) to provide technical assistance to Vietnamese CSOs in developing a CEDAW shadow report and presenting it to the CEDAW Committee.

The UN's support also helped strengthen national capacity, for example:

1. In the Population Law initiative, UNFPA supported the GSO to produce monographs on specific population issues based on the results from the 2009 Population and Housing Census. These issues included age and gender structure, imbalanced SBR, youth, ethnic groups, ageing and the elderly. The UN supported the National Assembly Committee for Social Affairs to produce a number of booklets and policy briefs for deputies to gain deeper understanding of population issues.
2. Vietnamese CSOs gained stronger capacity, in terms of knowledge, skills and coordination capacity, through the process of developing and presenting the CEDAW shadow report. We also have clear evidence the UN contributed to strengthening the networking of CSOs with government agencies, as the case of iSEE engaging with MOJ shows.

RQ7. To what extent did the UN facilitate a multi-sectoral approach and support government to coordinate its response to complex issues?

The UN successfully promotes multi-sectoral approaches to complex issues among government agencies in Viet Nam. Two clear examples illustrate this statement:

1. The UN promoted the minimum intervention package in addressing GBV, with three components of prevention, referral system and safety and protection. This is a national coordinated response involving different sectors: legal aid and medical aid for survivors and law enforcement for perpetrators. The MIP will not be well implemented without a strong coordination mechanism at both national and sub-national level, with clear roles and responsibilities of each relevant sector and stakeholder.
2. The Business Registration Reform Project has successfully taken on board two ministries, MPI, responsible for business registration, and MOF, on tax collection, to work together to make it easier for businesses to register and start operations. The cooperation was achieved to the computer system level: an enterprise only needs one code for both registration and tax purposes.
3. The UN agencies supported government agencies to organize an annual joint communication campaign to end violence against women and girls. The counterparts' capacity in coordination, partnership and communication has been improved. In 2014, more than 22 organizations, including the UN, organized more than 42 events, which attracted the participation of more than 20,000 young people, mainly men and boys, with national coverage from more than 230 media channels with 564 stories carried by newspapers, radio and TV.

Case study 3: Promoting evidence-based advocacy to increase government's ability to address the needs of vulnerable and disadvantaged groups

Overview

Case study 3 looked at the different mechanisms the UN in Viet Nam used to provide evidence-based advocacy in support of the government's initiative to address the needs of vulnerable and disadvantaged groups. Four initiatives were considered to inform this case study: (1) participatory monitoring tools as a mechanism to promote participation of rights-holders in policy decision-making, in particular the (1.1) Provincial Governance and Public Administration Performance Index (PAPI) and (1.2) UNICEF's social audits; (2) an 'HIV investment approach' that promotes targeted investment and better priority-setting based on a nuanced understanding of HIV epidemics; (3) the UN's evidence-

based support to defining the role of the government as a primary provider of equitable public services (socialization); and (4) support to the government in data generation for equitable and inclusive development.

This case study proved the most internally heterogeneous. All the initiatives aimed to provide evidence to strengthen the UN's evidence-based advocacy but they are very different in nature. The first two use tools developed by the UN or with the UN's support in order to incorporate inputs directly from stakeholders. The third and fourth, socialisation and support to data generation, build on the new coordination structures developed under the One Plan, mainly the Social Protection JPG and the Data for Development Working Group, to promote increased internal alignment and better inter-agency coordination allowing for stronger and more coherent UN support to advocating for vulnerable and disadvantaged groups.

While the level of inter-agency cooperation changes significantly from initiative to initiative, all stakeholders reported benefits from increased interaction, including increased understanding of the work of the UN as a whole, better understanding of the cross-sectoral nature of most problems, beyond own agencies' area of focus, and increased confidence in their work and especially in their advocacy work.

Nearly 50 persons were interviewed in the context of this case study, including donors, civil society, academics and UN staff, either face-to-face, through FGDs or remotely. The key limitation for this case study is that it is heavily UN-centric (over 30 interviews were with the UN) as we had significant difficulties securing interviews with government and civil society.

Under **Output 2.1.2: Policy advice and technical support provided and considered by the government to enhance effectiveness of the social protection system, with particular focus coherence between different pillars and with other relevant policy frameworks,** were participatory monitoring tools as a mechanism to promote participation of rights-holders into policy decision making in particular the following two tools:

The Viet Nam **PAPI** was developed by UNDP and is a joint collaboration between the Centre for Community Support Development Studies (CECODES), under the Viet Nam Union of Science and Technology Associations, and UNDP, as a tool to assess citizen experiences of governance. The PAPI focuses on the six dimensions of participation at the local level: (1) transparency, (2) vertical accountability, (3) control of corruption, (4) public administrative procedure (5) public service delivery, and (6) participation at local levels. Its key goal is to provide an independent measure of citizens' experiences nationwide and a comparative perspective of change over time.[161]

The PAPI survey was first piloted in 2009 in three provinces, expanded to 30 provinces in 2010. After some fine-tuning. The current version of the PAPI was administered in all 63 provinces in 2011, and every year ever since. Approximately 14,000 citizens are randomly surveyed every year (by the end of 2015 a total of close to 75,000 surveys had been conducted). As such, the PAPI constitutes the first and largest time series national governance and public administration performance monitoring tool in Viet Nam exclusively based on citizens' experiences. By targeting three mutually reinforcing processes specifically tailored to Viet Nam's national and local contexts, mainly policy-making, policy implementation and the monitoring of public service delivery, it provides a set of objective indicators that help assess performance in governance and public administration, while at the same time providing an incentive for provinces to improve their performance over the long term. A national advisory board and a group of international governance measurement experts support the PAPI substantively and technically.[162]

The PAPI is credited with having promoted a shift from where governance was focused on 'what is good for business' towards an approach where citizens are end users and rights-holders are able to inform action, opening a channel for citizens to provide feedback very much in line with Vietnamese core values embodied in the grassroots democracy ordinance: *people know, people discuss, people do, people verify.* Being the first large-scale annual survey, it allows for longitudinal as well as regional comparison. Stakeholders interviewed felt that by making results publicly available it was helping towards strengthening a culture of transparency and access to information, as well as promoting a more results-oriented approach to governance. The greatest risk reported was the temptation for authorities to *govern to the test* – that is, addressing areas included in the test as indicators as opposed to the underlying issues it intends to measure. The limitation (or risk) for the PAPI highlighted most was the need for it to be independent to guarantee both

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[161] UNDP 2015.

[162] PAPI website, accessed December 2015: http://papi.vn/en/about-papi.html

neutrality and the perception of neutrality for participants as well as for those using the results. Questions on how best to use the PAPI for policy planning moving forward have also been raised.[163]

Social audits are management tools and accountability mechanisms used to assess, understand, report on and improve social performance. This is an umbrella approach that encompasses a variety of participatory tools that aim to inform government officials and improve service delivery. Globally, they have been used to capture citizen feedback since the 1990s. In Viet Nam, UNICEF piloted four social audits (the child rights-based social audit, public expenditure survey, citizen report cards and gender audits) in four provinces in 2009.[164] The social audit approach was introduced together with capacity-building. As a result, local authorities were able to carry out social audit exercises able to capture citizen feedback at district level in three provinces and had committed to follow-up on recommendations.[165] It was reported that, as a result of these pilots, the government had expressed interest in rolling out the citizen report card for birth registration as a means to assess quality and relevance of these services. Public expenditure tracking surveys (PETS) to track education transfers for ethnic students took place in 2012 and again in 2013. And a public expenditure review (PER) aimed at informing key fiscal policy choices to help achieve inclusive growth was implemented jointly between the government and the World Bank.

Also under this output was the UN's evidence-based support towards defining the role of the government as a primary provider of equitable public services **(socialization).** This uses the Social Protection JPG as a mechanism to strengthen evidence-based advocacy and its ability to raise awareness and advocate for budget allocation for vulnerable populations that may fall between traditional measurement gaps, for example the 'missing middle' or 'life cycle vulnerabilities'. This initiative is very much in line with the spirit of the One Plan and DaO as it seeks to use the JPG, a coordination mechanism, as a means to align the UN's work in the area of socialization towards a unified policy position that identifies risks, priorities and key messages ensuring alignment and coherence across the different UN agencies. While it is early to talk about achievements or results, this initiative is very much in line with the role initially envisaged for the JPGs as a forum to strengthen internal coherence. This initiative has helped the UN in Viet Nam develop a clear and common understanding of what socialization means, as well as the risks and benefits that stem from it. A common policy position strengthens the UN's ability to advocate for more inclusive policies as well as for additional resources.

Under **Output 2.4.2: National HIV legal and policy frameworks strengthened to guide evidence-informed responses that effectively address stigma, discrimination, inequality and inequity,** is an **'HIV investment approach'** that promotes targeted investment and better priority-setting based on a nuanced understanding of HIV epidemics. In 2011, UNAIDS at global level joined a wide range of partners in developing a new investment approach that would serve as guidance for countries to develop an HIV investment case, which aims to help them generate a 'more strategic, prioritized, rights-based and sustainable response to HIV'.[166] In 2014, MOH developed a comprehensive investment case for the HIV response based on the UNAIDS methodology,[167] adapted to the context of Viet Nam. This identifies priorities and solutions to increase the effectiveness, efficiency and sustainability of the national response[168] through an intense participatory process that includes bilateral donors, government and civil society, including informal PLHIV groups.

Under **Output 1.1.1: Strengthened capacities of data producers and users for evidence-based socio-economic planning and decision-making,** the UN gave support to the government in **data generation for equitable and inclusive development.** The Data for Development Working Group is a subgroup under the Economic Growth JPG, which comes together to ensure alignment, coherence and a more comprehensive approach to data generation support of the various UN agencies. This group to a great degree embodies what the One Plan and DaO aim to achieve: a space where each UN agency can focus on its mandate with the support of other agencies' expertise to strengthen the quality of its products. Stakeholders felt this way of working responded to an existing demand both internal and external, as it helped the government access all the expertise the UN has to offer through one clear channel, while improving the quality of the data available to inform policy-making. Many achievements are listed in section 2.1 of this report. Some of the highlights include the group's joint support to the first ever ethnic minority survey; advice and support to multi-dimensional poverty measurement; the first ever co-funded by GSO MICS, which provides important information on the

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[163] UNDP 2015, p.33.

[164] Participatory Monitoring for Accountability in Viet Nam. Dialogue on 'means of implementation' for the post-2015 framework, July 2015.

[165] July 2015, UNICEF 2015.

[166] 24 January 2014, letter from UNAIDS to the new Viet Nam Administration of HIV/AIDS Control director.

[167] 2014 annual report.

[168] MOH. 2014. Optimizing Vietnam's response, and investment case.

situation of women and children;[169] the first ever inter-censal population and housing survey; the first ever national school to work transition survey; and provision of support for capacity-building and advocacy to increase awareness of the value of data.[170] It has also shown the ability of DaO to help highlight emerging issues, for example around the integration of migration into the population survey. It is also a clear example of building capacities in-country.

RQ1. What were the UN's main results achieved under the One Plan to date?

Analysis from the desk review has identified the following results related to this case study:

The UN has supported **(Output 1.1.1) strengthened capacities of data producers, providers and users for evidence-based socio-economic development planning and decision-making.** For instance, in 2013, UNICEF and UNFPA supported the roll-out of the nationwide Multiple Indicator Cluster Survey (MICS).[171] The survey allows policy-makers to gauge local progress against global development indicators and better inform future policy decisions. This fifth nationwide iteration of the MICS, an international household survey programme that delivers an accurate equity-focused snapshot of women and children's development progress, was also essential to fill in data gaps for post-MDG baseline-setting. The UN achieved significant government buy-in to MICS 5, with strong backing from line ministries and the GSO co-funding the survey for the first time.

Additionally, the UNFPA MTR supports claims that UNFPA contributed to a general level of improvement in the capacity of key national partners (GSO), line ministries and research institutions in data production, reflected in the good quality of national population survey designs including for the 2014 inter-censal population survey, as well as the revision of the statistics reporting system of line ministries. As a result of this, census and survey data were used for population projections of different sectors for development planning, and analysis was used in reports on population issues in 2012 and 2013.[172] Despite this progress, the draft UNFPA evaluation notes capacity of policy-makers to make use of data to inform policy decisions still requires substantial development.[173]

The draft UNDP ADR highlights UNDP's role in improved capacities of national statistical analysis and reporting systems in the GSO and MPI through the projects on the Statistical Development Strategy and MDG monitoring and reporting. For instance, the monitoring of the MDGs has been institutionalized into a monitoring framework of SEDP and policies.[174]

In addition, there is evaluative evidence from the UNICEF MTR, linking UNICEF's efforts in evidence-based advocacy towards making SEDP responsive to children's rights and introducing an equity focus through the improvement of planning and implementation at both national and sub-national levels. The UNICEF programme advocated data generation and dissemination emphasizing the use of evidence and statistical data related to children and other vulnerable groups for policy inputs. At sub-national level, the findings and recommendations of three provincial SitAns influenced the content of planning, monitoring and evaluation of provincial SEDPs and social policies. UNICEF is also strengthening its facilitation role in the dialogue between line ministries/departments and MPI/DPI to ensure sectoral priorities for children are well reflected in SEDPs.[175]

The UN has also supported **(Output 1.1.3) the adoption of a multi-dimensional and human development approach in the poverty reduction components of SEDPs at national and sub-national level to effectively address chronic and emerging forms of poverty.** This has entailed supporting the government in redefining poverty. Rather than one-dimensional and income-focused, poverty should be seen as a multi-dimensional phenomenon, which recognizes that deprivation from basic social welfare and services can lead to a vicious cycle of often-intergenerational poverty. Such approaches also have measurement benefits over income poverty, and provide a richer evidence base for policy formulation. Through research, advocacy and surveys, the UN's ability to demonstrate the value of looking at poverty from a multi-dimensional point of view resulted in two breakthroughs in 2013. The government endorsed the development of a Multi-Dimensional Poverty Master Plan and the National Assembly adopted multi-dimensional poverty into its poverty reduction oversight function. This will help formulate more inclusive poverty reduction policies that meet all Vietnamese people's development aspirations for access to decent work, education and health care. This

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[169] 2013 DaO annual report.
[170] 2014 DaO annual report.
[171] Mailloux et al. 2014. UNICEF 2015, 2013 DaO annual results report.
[172] Mailloux et al. 2014.
[173] Kaybryn et al. 2015
[174] UNDP 2015.
[175] UNICEF 2015

result is verified by the UNICEF MTR, which notes that UNICEF supported the further improvement and institutionalization of the multi-dimensional approach to child poverty. UNICEF also enhanced the government's efforts in the in-depth statistical analysis of patterns, trends and determinants of multi-dimensional poverty and vulnerability among ethnic minority children living in the most disadvantaged areas.[176] The draft ADR also notes UNDP's contribution to increased awareness about urban multi-dimensional poverty among policy-makers at local and central levels. [177]

The work on socialization comes to support efforts in relation to **Output 2.1.2: Policy advice and technical support provided and considered by the government to enhance the effectiveness of the social protection system, with a particular focus coherence between different pillars and with other relevant policy frameworks.** The UN can show clear achievement on annual targets on indicators, giving detailed description of outputs produced and instances where UN recommendations have made it into legislation and policies. The value of this initiative is verified by the UNICEF MTR, showing existing cash transfer programmes (which benefited from the social audits) were consolidated into a family package for students from poor and/or disadvantaged households. Further details on this output can be found under RQ1.

The UN has supported **(Output 2.4.1) strengthening of national HIV legal and policy frameworks to guide evidence-informed responses that effectively address stigma, discrimination, inequality and inequity,** with nearly full achievement of targets. The UN supported the HIV investment case in support of the health sector HIV programme review. The findings of the investment case were part of Viet Nam's successful submission to the Global Fund with a total of $107 million for the 2014-2017 response to HIV and tuberculosis. UNFPA, UNICEF and WHO supported MOH to integrate HIV into other health services.

Detail for **Output 3.1.2: Elected officials and bodies have improved capacities to interact and consult with citizens, especially vulnerable and disadvantaged groups**, the systematic review provides several examples of how public consultations supported by the UN have led to an improved legal and policy framework; oversight can be found under case study 2.

For **Output 3.3.2: the public administration systems at national level and in selected provinces, have enhanced human resource management systems, a customer-oriented approach and strengthened mechanisms for accountability and transparency,** and despite the lack of a clearly defined indicator,[178] evaluative evidence suggests the UN has contributed to the strengthening the public service infrastructure and citizen feedback mechanisms. This includes development of an online users' feedback mechanism to collect approximately 30,000 responses from public administrative service users' conduct of a social audit tool, the citizen report card, in two provinces to capture the feedback of more than 600 service users. This was to support the health sector to remove bottlenecks for delivery of better health outcomes to disadvantaged women and children. This result is supported by the UNICEF MTR, which shows local governments actively carried out social audit exercises to capture citizen feedback on commune and district health services in three provinces and committed to follow-up on recommendations of these to further improve health services for women and children.[179] However, as noted by the draft UNDP ADR, there is a question whether use of online citizen feedback by commune-level administrations will be replicable to rural Viet Nam where citizen familiarity with such tools remains limited.[180]

Output 3.3.4, on **systems to monitor the performance of government institutions and the delivery of basic public services are evidence-based and include mechanisms for citizen feedback,** includes the work on the PAPI, which in 2013 and 2014 was implemented in 63 provinces, capturing citizens' experiences and delivering data for central policy intervention and provincial policy action. This allows public sector institutions to employ evidence-based approaches that enhance accountability, transparency and the fight against corruption. The past year alone saw nine provincial governments, including two of the poorest-performing provinces, issue specific proposals and undertake initiatives to better understand citizens' experiences and address PAPI-identified weaknesses in governance and public administration.

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[176] UNICEF 2015, DaO annual results report 2013.
[177] UNDP 2015.
[178] The draft UNDP ADR also notes that the PAR Index did not clearly establish linkages between PAR implementation and improved performance; assessing citizen satisfaction with administrative service delivery was only a small element of this objective, perhaps .
[179] UNICEF 2015.
[180] UNDP 2015.

RQ3. To what extent did the UN in Viet Nam use its convening power to bring together various stakeholders and provide external and internal coordination?

The UN in Vietnam is perceived as a credible and neutral convener. It has been able to build on these strengths to become a broker/convener. For example, for the HIV investment case, the UN reported having played an important role in ensuring participation of PLHIV groups in the process of analysis and development of the investment approach, where different donors and government partners came together to discuss and agree on common priorities, while UNICEF reported having promoted the participation of a wide range of stakeholders for its social audits at local level.

Similarly, the PAPI has been able to leverage the UN's recognition to ensure widespread participation of its report launches, with a reported 400-500 attendees including government, civil society and bilateral partners. As one donor put it, *Other than the World Bank I can't think of someone other [than the UN] that could do this in Viet Nam*. The UN has both the credibility and the means to bring a wide range of stakeholders together.

The Data for Development initiative had a different approach, using its ability to convene stakeholders to strengthen the GSO's partnerships: *We can bring participation from different sectors, with the ultimate aim of promoting coordination not just within the UN but also across the work by different donors* (UN stakeholder). The UN supports an annual multi-stakeholder meeting where the GSO is able to present its objectives, obtain feedback and mobilize both technical and financial resources, allowing donors a broad picture and the ability to decide what they want to support within that. This promotes transparency of who is doing what across the board as well as efficiency, helping donors avoid both overlaps and gaps. This in turn helps strengthen efficiency. As a result of these open discussions donors are better able to avoid overlaps.

RQ4. To what extent did the UN provide evidence-based policy advice in particular on sensitive issues and unfinished agenda in line with international norms and standards in the transitional middle-income country context of Viet Nam?

The main aim of this case study was to see how the UN had promoted the use of evidence-based advocacy to increase the government's ability to address the needs of the most vulnerable and disadvantaged groups. As such, all of the initiatives used to inform it had a strong element of seeking to provide quality evidence with which to advocate for and in name of the most vulnerable. For example, in the case of socialization, the UN is very much seeking to provide evidence on how these policies, which may have helped address gaps in basic services in the past, can have a disproportionate negative impact on the most vulnerable, especially the 'missing middle' who do not have access to protection and as such are particularly vulnerable to the negative effects of these policies. Equally, the Data for Development team highlighted how putting together evidence allowed the UN to highlight how some practices may go against international best practice, and provided learning around it to inform future government decisions.

Building on household data and agreement on costs and other sensitive elements among a range of key players, the HIV investment approach is able to provide concrete evidence on the impact of investment (or lack of) on the HIV epidemic with regard to infections, deaths and economic impact. As a result, some reported feeling better positioned to advocate to the government: *[The strength] comes from getting agreement about the data* (UN stakeholder). The investment case is a clear example of the creation of data with an aim to influence the new national strategy. It was reported that the government had proposed revising its investment target in line with the proposed 'ending AIDS scenario', and that an issue brief on HIV had been prepared by the UN to be distributed to National Assembly members.[181] The cases identified through the HIV investment case were used for the Global Fund submission.

Social audits, on the other hand, are more geared towards strengthening the implementation of existing programmes and policies, and as such work more as monitoring tools, but findings may also help inform new policies; for example, PETS helped identify important delays in cash transfers and informal payments, or the lack of waiting facilities for patients in hospitals. It was reported that follow-up by the UN showed some of the weaknesses identified had been addressed.

The PAPI is seen as both a research project and an advocacy tool. It provides data and functions as a tool for monitoring improvements over time. For example, the PAPI had reportedly been used to monitor if decentralization efforts were working. It was also a mechanism to look into implementation of the Land Law, where a dramatic reduction in the number of land seizures was reported; while this does not show a causal link, it does add evidence towards understanding the impact of the law across the country. Challenges related to lack of specificity to a locality and/or

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[181] This information has not been triangulated.

agency have been raised,[182] although it seems unlikely the PAPI could be brought down to this level of detail while retaining its overarching nature.

Reportedly, some UN agencies (e.g. UNICEF), donors/NGOs (e.g. Organisation for Economic Co-operation and Development (OECD), World Bank, Oxfam) and private sector companies (e.g. health insurance companies) use PAPI data to monitor the impact of their own projects. For example, one stakeholder said a recent World Bank report on decentralization was using PAPI for its three- to five-year economic plans.

PAPI also uses its data to promote forums for discussion, for example during the report launch already mentioned, but also through more informal channels such as brown bag discussions, which bring together different stakeholders to discuss a specific policy matter.

Data gathered through a strengthened GSO helps direct policy in the right direction based on the evidence instead of assumptions, for example the population law that was on the agenda of the National Assembly and MOH. In the previous period, the primary purpose of the population policy was to reduce fertility and promote population control. The data, however, showed fertility had not changed in Vietnam in over 10 years. Not only that, other population trends, such as imbalanced SRB or ageing population, became more evident through better data. Thus, policy-makers have better understanding of population issues to develop the law accordingly. The data obtained on ethnic minorities confirmed gaps between these groups and the general population. Evidence on poverty showed Ho Chi Minh City was poorer than Hanoi, which really surprised people and helped highlight that many dimensions to poverty that are important, affecting the thinking about how to measure poverty in the multi-dimensional approach. Data collected on migration in Ho Chi Minh City led to the development of new policies for migrants in the areas of housing and education. These different data-gathering initiatives have had an additional positive side-effect: increased forums for dialogue mean increased transparency and wider stakeholder participation.

Discussions with government confirmed that this support to data-gathering is highly valued and reported important benefits and increased capacity: *All government social and economic policy decisions rely on information reported by GSO and MPI* (government stakeholder). As evidence of the GSO's growing strength, government stakeholders reported that it had been invited by the prime minister to participate in all government sessions even when it is not an official member of that group.

RQ5. To what extent did the UN advocate for and facilitate that the voices of the most vulnerable and disadvantaged are heard, and issues of inequality are addressed in national policy processes?

In line with most of the work of the UN, the initiatives included in this case study seek to visualise the needs of the most vulnerable by showing gaps and difference, or by providing an avenue for their voices to be heard. For example, the PAPI provides 14,000 citizens a voice every year: *Until now we couldn't believe it could happen* (civil society stakeholder). Previous surveys were small samples that often missed minorities and the poor. Even though the PAPI is a random sample, because it is very comprehensive it is able to bring these in. A policy note released by the UN based on analysis of inequality with PAPI data showed distribution of access was heavily influenced by the share of minority in population, problems in rural areas and negative bias access for women. The UN is working with partners to identify other gaps and vulnerabilities: for example *the [PAPI] report notes discrepancies between the very high nationally reported turnout and PAPI data on election participation. It is argued that a large portion of this gap can be explained by the prevalence of proxy voting by family members, which is legal in village elections and overwhelmingly acts to disenfranchise women* (civil society stakeholder). The PAPI also allows us to see how national policies are working by comparing data across regions, something smaller surveys that did not continue over time were not able to do.

Through the various data collection exercises, the UN is able to provide data on emerging issues, for example to advocate for the elderly or social protection for the vulnerable middle class, the 'missing middle' who are vulnerable not in terms of income but in terms of social protection and access to public services.[183] The UN's data helps identify less evident vulnerable groups, for example the elderly, who some stakeholders believe are being left behind, or the young, who have specific vulnerabilities in terms of sexual and reproductive health.

Many UN stakeholders reported the UN had played an important role in ensuring participation of civil society groups in the different processes, including informal civil society groups representing small interest groups, in this way helping

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[182] UNDP 2015.
[183] Multi-dimensional poverty and socialization policy position paper.

bridge the gap. For example, the HIV investment case outcome document shows two civil society consultations (in Ho Chi Minh City with 26 participants including three CSO networks, community-based organizations (CBOs) from the south and local NGOs; and in Hanoi with 38 participants from NGOs, CBOs and networks as well as CBOs from other provinces). Some stakeholders highlighted the UN's role in promoting meaningful participation of the affected populations, built on the long-term nurturing of relationships with different networks that allowed it to reach beyond the more official mass organization. Similarly, the Data for Development Working Group highlighted how it had encouraged participation of data users in data production workshops, increasing GSO awareness of the different needs of the different sectors of society. This also helps promote access to and use of data by users. In the case of social audits, specific criteria are set to ensure inclusion of the most vulnerable, such as children or poor households, and are able to address specific barriers, such as assessment of the quality and efficiency of cash transfers to ethnic minority students to promote their school enrolment. The PETS on ethnic minority students report took a long time to validate; it could have been done in a shorter period independently by UNICEF but ensuring proper understanding and buy-in was considered a priority.

RQ6. To what extent did the UN draw on the collective global assets of the system and global expertise and best practice to provide technical expertise, exchange of knowledge and capacity development, based on international best practice, and support innovative approaches to equity, human and social development issues and implementation of global normative standards?

The UN has made use of its global expertise to strengthen its goals in Viet Nam through various mechanisms. Both the social audits and the HIV investment case methodologies were developed and tested previous to their application in Viet Nam and speak to the UN's efforts to strengthen effectiveness and efficiency through the use of innovative and participatory technology, while also seeking to promote ownership, which is especially relevant for middle-income countries. Building on a robust methodology, the UNCT in Viet Nam is able to contextualize and adapt it to the national context, helping widen perceptions and acknowledge underlying assumptions such as the role of stigma or the importance of soft skills in combating HIV. It was reported that other NGOs are now implementing similar tools (to the social audits) promoting different forums for discussion and strengthening transparency.

The PAPI, on the other hand, was fully developed in Viet Nam but with support of international experts able to incorporate some solid best practices such as sampling strategies, interview training and cutting-edge survey experiments, as well as to educate nationals on how to deal with sensitive issues and perform statistical analysis. Reportedly, countries such as Thailand, Malaysia and Myanmar are interested in learning from the experience, and many government officials have travelled abroad to share what they have learned through this exercise. Increased participation from CECODES has helped strengthen national capacity and technology transfer has taken place: a local software company is now contracted to transfer the survey from a paper base to tablets. While national capacity here increases over time, the UN is seen as playing an important role in ensuring neutrality as well as perceptions of neutrality in data collection.

There was widespread use of international experts to strengthen the UN's work in Viet Nam. For example, experts from the ILO Bangkok office supported the GSO's work on employment and labour. Similarly, UN-Habitat experts helped develop the housing survey and ensure indicators complied with international standards. UNICEF used the Overseas Development Institute to support its social audits learning process and UNDP used professors from Duke University and the University of Arizona to support the PAPI. South-South collaboration was also promoted: experts were brought in to inform preparation of the Population Law and discuss lessons learned, good practice and how to address population issues. Following the PAPI results, one-third of the provinces have developed provincial-level action plans.[184]

In 2014 alone, the UN reported more than 121 learning exchanges promoted by the different agencies. However, some stakeholders highlighted that access to funding was sometimes a barrier to incorporating recommendations stemming from these exercises.

RQ7. To what extent did the UN facilitate a multi-sectoral approach and support government to coordinate its response to complex issues?

The Data for Development Working Group is a good example of how, through joint collaboration, the UN is able to facilitate a multi-sectoral approach. The ability to ensure different agencies' expertise when designing a survey ensures a more comprehensive and cross-sectoral understanding of the issue. Examples already mentioned include the ethnic minority survey and the recent change adopted by the government from measuring income to the multi-dimensional

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[184] UNDP 2015, p.38.

poverty approach, where many stakeholders believe the UN's coordinated approach played an important role. Joint work within the Data for Development group had a knock-on effect. For example, it led to the ethnic minority survey, which provides a comprehensive view of key cross-cutting issues relevant to this vulnerable group.

The PAPI report launch and the annual GSO stakeholder meetings are further examples of UN support towards a multi-sectoral response.

The PAPI was seen as having the ability to promote a multi-sectoral approach at the local level, where, by providing a set of objective indicators, it creates incentives for provincial governments to improve their performance over the long term, while highlighting how this can be done only by addressing a broader spectrum of issues. In the case of social audits, the multi-sectoral approach is brought in through the design, which promotes participation from a wide range of stakeholders. Joint workshops, for example where UNICEF's social audits invited PAPI staff, helped further highlight these links. The HIV investment case was reported as an opportunity for stakeholders to align existing efforts, addressing delicate issues such as costing while promoting a more cohesive approach across the different stakeholders' work.

On a more conceptual level, the work towards creating a common stance on **socialization** was a clear attempt to integrate a multi-sectoral lens to address a barrier to equity and vulnerability.

Case study 4: Supporting capacity-building to promote resilience and reduce risks and vulnerabilities

Overview

Case study 4 sought to understand the ability of the UNCT in Vietnam to successfully promote resilience and reduce risks and vulnerabilities linked to climate change through capacity building. Seven initiatives were considered to inform this case study:

Women's leadership and gender sensitivity in disaster risk management: Viet Nam is prone to various hazards, storms and floods being the major ones. The country has made progress in DRM but women's potential role was untapped. To address the issue, the initiative of UNDP and UN Women, in partnership with Oxfam in Viet Nam, seeks to promote women leaders' participation in and contribution to the country's formal DRM system and to ensure women in general are effectively represented and their voices are heard at all levels of the same DRM system. Its specific objectives are:

- To build key DRR stakeholders' and Women's Union capacity on gender equality, to help mainstream gender equality into DRM legislation and promote gender leadership into the DRM institutional system;
- To ensure women's representation in the Central DRM Committee, which has a focal role in DRM;
- To develop women's voices and their representation capacity to promote gender mainstreaming into community-based DRM.

UN advocacy contributed to two important changes in the legal framework. First, the new DRM Law, approved in 2014, recognizes gender equality as a key principle in DRM. Second, the Central DRM Committee officially includes the Viet Nam Women's Union as its member. Local DRM committees now follow the pattern, with Women's Union representation in the whole DRM institutional system from central to local level. Women's contribution in preparedness and responding activities before and after disasters has been recognized. For the Women's Union to effectively fulfil its role in the DRM system, its DRM capacity needed to be strengthened. The UN continued to provide capacity-building support to it.

Education for Sustainable Development (ESD): UNESCO's ESD initiative aims to contribute to the development of a strategic relationship between schools, parents and communities and to building their resilience through joint efforts. It supports Viet Nam in shaping a more resilient and sustainable learning society by (1) developing and implementing e-learning primary teacher training courses to strengthen teachers' understanding of ESD and enhance their capacities to integrate it into primary classroom activities; (2) creating an enabling environment for ESD by raising awareness of the community, the media, authorities, parents and school principals on the challenges of climate change, disasters and biodiversity loss; and (3) empowering communities and schools to respond to climate change and biodiversity loss and to be better prepared for disasters through community action plans, school preparedness plans, World Heritage Site disaster management plans and local media communication plans. This holistic approach mobilizes schools and their

communities to comprehensively tackle challenges they have identified and to do it in a way that is most appropriate for their locality.

The pilot of the ESD initiative in Thua Thien Hue was implemented as a joint effort between MOET, the provincial Department of Education and Training and UNESCO. It consisted of eight components, with the first four funded by Samsung Global (private sector) and the last four by UNESCO:

1. Teacher capacity-building for integrating ESD into daily teaching practices;
2. Awareness-raising for school principals, parents and national and local authorities on ESD;
3. Awareness-raising for the media on ESD and supporting project visibility;
4. Project monitoring, evaluation and documentation for further replication;
5. Tools for school risk assessment and preparedness plan preparation;
6. Use of satellite imagery as a tool for evidence-based decision-making;
7. Awareness-raising on participatory community action plans.
8. Preparation of disaster risk management plans for World Heritage Sites.

The project ended in 2014 and the final report prepared by UNESCO, MOET and Samsung Global states that all objectives and components have been achieved.

Law on Environmental Protection: Advocacy on the Law on Environmental Protection was a collaborative effort of UNEP,[185] UNDP and UNICEF.

Viet Nam has demonstrated strong political commitment and determination to protect its natural resources and environment, developing a strong legal framework on sustainable development and green growth. However, key challenges remain, as the country is unlikely to fully achieve all targets under MDG7 on environmental sustainability. The 2014 Global Environmental Performance Index ranked Viet Nam 136th out of 178 countries across 20 indicators looking at ecosystems and human health, with declining trends in fisheries, forests and air quality. Meanwhile, industrial pollution and non-strategic exploitation of mineral resources have blighted the lives and livelihoods of people and sparked public concern about environmental damage. This environmental pollution and degradation, compounded by climate change and natural hazards, present numerous challenges and have negatively impacted vulnerable members of society, especially women and children. The situation has been exacerbated by weak enforcement of environmental regulation and the need to strengthen public participation in environmental dialogues and socialization of environmental protection activities. In addition, emerging issues such as climate change and green growth require integration into environmental protection management.

To address these pressing needs, work on amending the law to meet the realities of a rapidly developing Viet Nam accelerated in 2014. The UN provided manifold support to the drafting team at MONRE and the National Assembly Committee on Science, Technology and Environment that appraised the draft bill. The support included generating evidence for policy-making, bringing international expertise and inclusion of the voices from diverse members of society in the amended law.

Rapid government UN-backed response to emerging communicable disease threats, One Health Initiative: A joint effort of FAO and WHO, the One Health integrated approach calls for increased multi-disciplinary and inter-sectoral cooperation and communication to address diseases that emerge at the human-animal ecosystem interface and pose a threat to human and animal health. It embraces the inextricable links between the health of humans, animals (including livestock and wildlife) and the ecosystems they inhabit.

Viet Nam was one of the first countries in the region to adopt an integrated multi-sectoral approach in responding to Severe Acute Respiratory Syndrome and Avian Influenza from 2003 onwards. Recognition of the need for a One Health approach gained momentum in 2010 through endorsement in the Ha Noi Declaration at the International Ministerial Conference on Animal and Pandemic Influenza.

The UN's support for Viet Nam in One Health focuses on specific human and animal health threats, such as preventing the spread of the H7N9 virus among poultry and infecting people, control of rabies and combating antimicrobial resistance (AMR). In all these areas, close information-sharing and collaboration between animal health and public

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[185] UNEP is a non-resident UN agency with the regional office in Bangkok, Thailand.

health sectors are prerequisites for success. The UN agencies (FAO and WHO) facilitate this collaboration. In all activities, animal health specialists from MARD always work alongside public health specialists from MOH. Circular 16 formalizes this collaboration, providing guidelines for coordinated prevention and control of zoonotic diseases. The UN facilitated the adoption of an aide memoire on the multi-sectoral action to combat AMR in Viet Nam – among MOH, MARD, MOIT, MONRE and development partners.

UN's support to Viet Nam's green growth development: This is a collaborative effort between UNDP and UNIDO. In 2012, the UN assisted the government to develop a Green Growth Strategy. Three key studies were carried out, which served as the basis for policy-makers to develop orientation, strategic objectives and actions. After the strategy was approved, the UN helped the government formulate a National Green Growth Action Plan. This provides clear responsibilities for ministries and provinces to achieve national greenhouse gas (GHG) emission targets. More than 100 provincial officials were trained to analyse policy impacts to reduce GHG emissions. Funding models for sustainable industrial production were proposed to financial sector and service providers based on UNDP research and assessments.

The UN also fostered a high-level government commitment to green industry development. Three pilots have been carried out, from which lessons learned and best practices were brought together to form the basis for overall policy recommendations and quantified targets. The first was benchmarking the steel sector against good international practices, combined with a sectoral voluntary agreement and technology roadmap. This offered a highly innovative yet equally feasible approach for green industry development in resource- and energy-intensive sectors. The second was to support local government to develop an eco-city in Hoi An by 2030 that balances business and community development and employment creation with environmental protection. The third was an in-depth analysis of the recycling and production processes carried out in Binh Yen aluminum recycling village to identify the root causes of the endemic pollution of the village environment, with the aim of promoting replicable zero-emissions models.

The UN established a partnership with the Global Green Growth Institute (GGGI) in Korea, which provided international expertise on green growth. Other forms of international learning and cooperation included a study tour to the UK and Netherlands organized for officials from MPI and the Office of the National Assembly. The group visited some top centres on climate science and policy development in the two countries and received a lot of knowledge and practical experience in strategic environmental execution, sustainable development, green economic development and energy efficiency development.

Mainstreaming climate change adaptation into city development strategies: This initiative is a joint collaborative effort by UN-Habitat, UNIDO and UNEP. UN-Habitat and GGGI are collaborating with Da Nang city on the Green Growth-Led City Development Strategy, which focuses on designing an appropriate investment framework. The project involves a multi-sectoral consultation approach, strengthening the commitment of local leaders and the participation of relevant stakeholders in planning and implementing the project. Ultimately, it aims to enhance the implementation of multi-sectoral investment planning and to establish the basis for a green growth-led development investment framework. Quang Nam Green Growth Investment Forum, successfully organized in June 2013, created a platform for investors to understand more about Quang Nam province, its policy development and opportunities to invest.

Through this project, UN-Habitat has supported mainstreaming green growth principles and approaches into a city development strategy. This involves developing innovative solutions to effectively implement such a strategy, including policy instruments and knowledge management and via the development of multi-sectoral partnerships. UN-Habitat also has identified key investment strategies that respond to development challenges and enhance the institutionalization of multi-sectoral investment planning with the participation of key stakeholders, aiming to bring to life the Green Growth-Led City Development Strategies project. This has been reflected in the Da Nang City Development Strategy, which is the result of collaboration between UN-Habitat, GGGI and Da Nang Institute of Social-Economic Development.

Capacity-building and treatment of hazardous chemicals/POPs: The government of Viet Nam has faced serious constraints in dealing with stockpiles of POP pesticides, including constraints related to funding, access to appropriate technologies and coordination among multiple ministries and agencies. While some stockpiles are housed in sheds or buildings, in some communities with particularly large stockpiles POP pesticide stockpiles are buried, owing to a lack of suitable infrastructure. An estimated 1,140 tons of buried POP pesticides have been found in five sites; certainly there are many more such sites in the country. The buried stockpiles are of far greater concern than above-ground stockpiles, because of both their size and far less control over storage conditions, which results in much larger risk potentials and actual human health problems.

This initiative of FAO and UNDP helps eliminate all known stockpiles of POP pesticides in Viet Nam. The objective is 'to remove capacity barriers to the sustainable elimination of POP pesticides in Viet Nam'. This will contribute to the broader goal of 'support to sustainable development in Viet Nam through the elimination of POPs from the environment'. Three outcomes are (1) improved capacity facilitates elimination of POP pesticides stockpiles; (2) all known stockpiles are destroyed; and (3) improved chemicals management prevents importation and use of POP pesticides.

By achieving the above results, the project will help the government remove the barriers so it can effectively eliminate POP pesticide stockpiles and prevent importation and use of POP pesticides now and in the future. It also makes a significant contribution to implementation of the Stockholm and Basel Conventions, which were ratified in 2002 and 1995, respectively.

By the end of 2014, the project had destroyed 650 tons of POP pesticides collected from eight sites in Nghe An and Ha Tinh provinces. Technical guidelines and standards for safe destruction of POP pesticides have been developed. MONRE has issued national technical standards on the treatment thresholds of hazardous chemicals/POPs according to specific land use purposes (QCVN 54:2013/BTNMT). Technical capacities of relevant agencies and the database of POP pesticides contamination sites are stronger. Chemicals management regulations to prevent importation and use of POP pesticides have been improved.

RQ1. What were the UN's main results achieved under the One Plan to date?

Analysis from the desk review identified the following results related to this case study:

For **Output 1.3.2: Resilience of at-risk and vulnerable groups to natural hazards is enhanced, and nationally relevant aspects of international agreements on disaster risk management are implemented,** the draft UNDP ADR notes a number of achievements. The UN has provided substantial development of the legal, policy and technical framework and guidelines, established the community-based DRM (CBDRM) approach with other development partners and provided extensive training to over 1,000 stakeholders in the provinces. The approach has been demonstrated at the local level and the project assisted 54 communes in 20 provinces in preparing risk assessments and DRM plans. Assistance in drafting the Law on Disaster Management and the National Plan for Natural Disaster Prevention and Control, mainstreaming DRM into rural development programmes and establishing a National Platform for DRM and Climate Change Adaptation has led to a major CBDRM programme at a national scale.[186] Thanks to UN support, the Women's Union has been incorporated into the legislation as an official member of the Central Committee for Flood and Storm Control.

For **Output 1.3.4, National long-term climate change strategy operationalized that is based on the national development vision (SEDS), while building on the NTP results,** the UNDP ADR notes major achievements, in terms of the research, technical and legal inputs and consultations provided for the National Climate Change Strategy and Action Plan and the National Green Growth Strategy and Action Plan. Other key outputs mentioned here include the formulation of an NTP to respond to climate change, climate change impact studies and climate scenarios developed with UK Met Office, the *Climate Public Expenditure and Institutional Review* prepared with the World Bank, assessment of climate finance options, training of over 2,000 participants including Viet Nam representatives for Conference of the Parties negotiations, development of 'intended nationally determined contributions' under the UN Framework Convention on Climate Change and vulnerability and impact assessments in selected areas.[187]

In relation to the objective of supporting **Output 1.4.1): Formulation and application of policies, regulations and fiscal tools for green economic development, natural resources management and cleaner production**, the UN has achieved identified targets, in view of its support for the preparation of the amended Law on Environmental Protection.[188] In this process, the UN supported participatory stakeholder engagements. The law includes provisions on the roles and rights of communities and CSOs in environmental protection and also assures children's rights and gender equality as underlying principles of environmental protection action. This final aspect was verified through the UNICEF MTR.[189]

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[186] UNDP 2015
[187] UNDP 2015.
[188] UNDP 2015.
[189] UNICEF 2015.

In relation to **Output 1.4.3: Strengthening of policies, plans and technical skills for the sound management of hazardous chemicals and POPs, in accordance with international conventions**, there is partial achievement of indicator targets. However, the UN has provided important support noted by the UNDP ADR, for instance testing of various technologies for pollutant containment and treatment and/or excavation and disposal at 10 demonstration sites along with training communities and government officials. Government staff were trained on the inventory and assessment of pesticide-contaminated sites and safe handling of soils, and FAO assisted in promoting the safe application of pesticides and integrated pest management options.

There is partial achievement of **Output 2.3.3: Education institutions and managers at national, provincial and district levels have enhanced capacities to develop, implement and monitor evidence-based policies and programmes for improved quality of teaching and learning for all,** owing to lack of progress on quality assurance and accreditation agencies. One example of a verified result is UNICEF's technical assistance and support in the area of DRR and climate change education, which has helped make the education system more robust in handling the consequences of natural disasters.[190]

RQ3. To what extent did the UN in Viet Nam use its convening power to bring together various stakeholders and provide external and internal coordination?

The UN is widely perceived in Viet Nam, by both government and civil society stakeholders, as an impartial and respectable development partner. As such, it is uniquely positioned to convene stakeholders on an issue, especially when the spectrum of stakeholders goes beyond government agencies to include civil society actors, the private sector and Viet Nam's development partners.

The review team was able to observe many examples of the UN effectively exercising its convening power in the following initiatives. Under the One Health initiative, the UN facilitated the adoption of an aide memoire on multi-sectoral action to combat AMR in Viet Nam among MOH, MARD, MOIT, MARD and development partners. On ESD, UNESCO brought on board diverse stakeholders: MOET, provincial DOET, DRM Committee, teachers, students, school leadership, parents, local authorities and community members to make schools and communities more resilient and cope better with climate change and disasters.

RQ4. To what extent did the UN provide evidence-based policy advice in particular on sensitive issues and unfinished agenda in line with international norms and standards in the transitional middle-income country context of Viet Nam?

In the One Plan 2012-2016, the UN tasks itself to be able to provide 'the highest-quality policy advice on short notice', together with 'greater selectivity of programme priorities that are relevant in middle-income countries'. This mission necessitates strong capacity to generate solid evidence for policy-making. The review team was able to observe many instances of UN's capacity to generate evidence:

1. On the Law on Environmental Protection, a number of policy papers and reports articulated UN views and evidenced-based suggestions to improve the draft, shared with the National Assembly and MONRE. The UN actively advocated inclusion of critical elements to enhance the law's future enforcement, including legal status and roles of local communities and civil society, environmental protection in the context of climate change and green growth and gender equality and the rights of women and children. Seven thematic reports on key issues were published based on participatory and evidence-based policy reviews and analysis by a team of international legal and national experts engaged by the UN. In addition, a UN-supported publication, 'Legalizing a Greener Future', documented in-depth discussions between a diverse range of stakeholders, including the National Assembly, the government and community representatives, on the law's amendment and approval. This policy discussion was enhanced by national and international UN policy experts able to share insights on a number of critical and emerging issues.
2. On the Green Growth Initiative, the UN produced three key studies to inform development of the National Green Growth Strategy, which was approved by the prime minister in 2012. The strategy paves the way for Viet Nam to achieve a low-carbon economy, ensure sustainable economic development and reduce GHG emissions. The UN, in cooperation with the World Bank, supported the government to conduct the first Climate Public Expenditure and Investment Review to map resources and strengthen implementation of the Viet Nam Green Growth Strategy.

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[190] UNICEF 2015.

The evidence generated by the UN, as well as the international expertise it helps bring in, was assessed by Vietnamese counterparts (also the users of data) as very relevant. As one government respondent working on the Law on Environmental Protection stated, *We develop the ToR for researches and international experts. They contribute exactly what we need*.

RQ5. To what extent did the UN advocate for and facilitate that the voices of the most vulnerable and disadvantaged are heard, and issues of inequality are addressed in national policy processes?

In this case study, the review team was able to document two cases of the UN advocating for and facilitating the voices of the most vulnerable and disadvantaged to be heard in policy processes. The first case was in the Law on Environmental Protection initiative, where the voices of children resulted in a principle of the law that states, *Environmental protection must harmonize with […] assurance about the children's right*. The second case was the inclusion of women's representatives in the formal DRM system from central to local level. It should be noted that some initiatives, such as the treatment of POPs or One Health, are of a very technical nature and leave little space for involvement of the most vulnerable without prior expertise. Other initiatives, like Green Growth or mainstreaming climate change adaptation into city development strategies, are very broad and difficult to connect with the daily experiences and needs of the vulnerable groups affected by them.

RQ6. To what extent did the UN draw on the collective global assets of the system and global expertise and best practice to provide technical expertise, exchange of knowledge and capacity development, based on international best practice, and support innovative approaches to equity, human and social development issues and implementation of global normative standards?

The UN, as an international organization, is expected by government stakeholders to bring in international expertise and perspectives on issues that Viet Nam is facing. In every initiative under review in this case study, this aspect of work of the UN is present, for example:

1. In the ESD initiative, UNESCO brings in the internationally accepted Minimum Standards for Education: Preparedness, Response and Recovery. These provide inputs into the development of e-learning courses for teachers on climate change, biodiversity conservation and DRR, as well as the Assessment and Preparedness Toolkit. This has strengthened the capacity of the education sector in Viet Nam to integrate the issue of climate change, environmental protection and disaster preparedness into education curricula.
2. In the Law on Environmental Protection initiative, the UN brought in international experts to help the drafting team understand better new challenges, for example planning for environmental protection.
3. In One Health, FAO and WHO facilitated national and provincial specialists from the animal and public health sectors to learn from Indonesia's experiences in controlling rabies. Sixteen senior government officials from Thai Nguyen, Phu Tho, Yen Bai and Son La provinces, MARD and MOH participated in the tour, which exposed professionals and decision-makers to a successful rabies management programme. Participants learned how the animal and public health officials had collaborated closely to develop joint communication messages, detect rabies early in animals and people and conduct joint investigations. By observing and learning to apply One Health rabies control principles in Indonesia, participants gained confidence that they could incorporate lessons learned into their provincial rabies prevention and control plans. Four joint animal and human health rabies plans, one for each province, have been revised and upgraded with technical assistance provided by FAO to support a more effective national rabies eradication programme.
4. The UN brought in an international firm to assist Vietnamese agencies in developing technical guidelines amd standards and supervising the process of destroying POP pesticides.

The different initiatives have also helped strengthen national capacity. In the ESD initiative, UNESCO has contributed to strengthening the education sector in Viet Nam to better respond to disaster risks and climate change. The project has introduced the use of satellite imagery as tools for awareness-raising and decision-making. E-learning courses on climate change, biodiversity conservation and DRR have been produced and now they are ready and made available for nationwide implementation. The Assessment and Preparedness Toolkit, jointly developed with MOET, is now available for nationwide distribution in a printed edition and as an e-learning course.

In the Women's Leadership and Gender Sensitivity in DRM initiative, UN agencies (UNDP and UN Women) worked together to build capacity of the DRM system in community-based disaster management, with attention paid to gender mainstreaming. A total of 38 women leaders at provincial and district level in Binh Dinh province trained as trainers on gender and DRR and DRM. About 160 local authority leaders and women are now able to develop gender-sensitive

community action plans on DRR for their commune as a result of training received by these trainers.[191] UN Women also works with the Women's Union to strengthen the capacity of its representatives at the central and provincial levels, for them to work effectively and make genuine contributions in the DRM system.

RQ7. To what extent did the UN facilitate a multi-sectoral approach and support government to coordinate its response to complex issues?

Perhaps the clearest example of the multi-sectoral approach is the One Health initiative. Two UN agencies, FAO and WHO, are partnering with MARD and MOH in implementing the initiative.

Through the One Health initiative, the UN in Viet Nam has helped improve national coordination mechanisms between the animal health and human sectors. This has involved improving the capacity and skills of both MARD and MOH. FAO and WHO have highlighted the importance of developing Standard Operation Procedures for collecting and sharing information; conducting surveillance; and joint outbreak investigation between both animal and human health experts. This resulted in a joint circular between MARD and MOH (Circular 16) that provides guidelines for coordinated prevention and control of zoonotic diseases in four areas:

1. Surveillance of zoonotic diseases;
2. Investigation and management of zoonotic outbreaks;
3. Education and communication on the prevention and control of zoonotic diseases;
4. Training and academic research for the prevention and control of zoonotic diseases.

UNDP, FAO and WHO are supporting policy dialogues, multi-stakeholder coordination and consultation between national and international partners. UN efforts have already led to better preparedness and response capacity for zoonotic diseases such as Avian Influenza H5N1 and H7N9.

Within the One Health initiative, the UN is supporting Viet Nam to combat AMR. Combating AMR effectively requires collaboration of many stakeholders, such as doctors prescribing antibiotics responsibly, patients using antibiotics properly and the livestock sector managing and using antibiotics reasonably. The UN facilitated the adoption of an aide memoire on the multi-sectoral action to combat AMR in Viet Nam – among MOH, MARD, MOIT, MONRE and development partners.

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[191] 2013 DaO annual results report.

Chapter 4: General findings

RQ1. What were the UN's main results achieved under the One Plan to date?

Documentation reviewed shows the UN is making significant progress toward achieving the goals set out in the One Plan document, with 50 and 32 per cent of **output indicator targets** achieved in 2013 and 2014, respectively, and a further 17 and 8 per cent showing partial achievement (see Table 3). Additionally, 83 per cent of planned activities and outputs for 2013 and 2014 have been conducted as planned (Table 4), with a further 14 and 5 per cent partial achievement for 2014 and 2013 respectively. Given there are still two years for implementation (from when the last available data was collected,) and the natural project cycle whereby rate of implementation begins slow and continues to increase throughout the lifetime of the project, it is reasonable to expect that the One Plan activities will be for the most part accomplished by the end of the project, in spite of having leveraged less resources than expected through the OPF. This can be explained at least in part by the fact that the One Plan document is relatively general, allowing for annual planning to adapt to more achievable goals depending on available resources, which –given resources are not fully secured from the beginning, seems like a good strategy. However, this assessment is primarily based on the UN's self-assessment and weaknesses or inconsistencies in reporting observed and documented in section 2.1 of this report raise some questions as to the reliability of these findings.

More importantly, this self-assessment provides limited detail of how results achieved relate to the results chain (i.e. how do activities translate into impact on beneficiaries, which would normally be inferred from the TOC). This together with the limitations on evaluative evidence available (see below) makes it very difficult for the team to assess the level of contribution to outcomes at the overall level of the One Plan. Further, the application of RBM varies greatly across outcomes and JPGs, with a mixed bag of activities, outputs and even outcomes being reported as results at output level, as already highlighted by some of the documentation reviewed.[192]

While the UN RBM guidelines provide a clear definition of results, it is not clear whether this is utilized during annual work planning. The team identified the following possible issues to explain this: the JPGs do not see the indicators as useful for reporting on progress, (in other instances, indicators and targets are unrealistic given the complexity of attribution e.g. the UN may not influence the extent to which the government adopts policies or laws, although it may provide good technical input and guidance into such processes), this was highlighted as an underlying reason by many of the stakeholders interviewed; there is general weakness in the implementation of the reporting system owing to a lack of resources and incentives (accountability) for reporting to the One Plan; in the case of some indicators, it may be too early (which to some degree highlights their inadequacy for measuring progress); and some indicators rely on external sources that are not always available.[193] Finally, based on the documentation that was provided for this exercise, the evaluative evidence is patchy and available only for a few selected agencies, making a more general assessment of contribution towards the One Plan outcomes extremely challenging.

Despite these challenges, with the available evaluative evidence we have had access to, we can add that at least UNDP, UNICEF and UNFPA are making key contributions towards identified results areas, as detailed above. However, these evaluations also highlight the difficulty in assessing contribution towards outcomes given primarily output-based reporting,[194] and as such do not assess achievements against outcome indicator targets. Added to that, some of these evaluations are difficult to link directly to outputs and outcomes in the One Plan results matrix.[195]

We are also able to highlight examples of experiences where the UN team was able to advocate successfully for specific recommendations that ended up being incorporated into a particular policy or piece of legislation[196], but there is less discussion and analysis of the success factors, beyond explaining for example that a multi-stakeholder event led to mobilization of policy-makers. From the documentation examined, it seems staff raise the questions of how this could be done more strategically. As the Social Protection JPG puts it, *Having the technical evidence for reform is not enough. UN agencies often overlook the target audience and the mechanics of the advocacy process. The JPG should therefore identify clearly which are the target partners… to effectively advocate for the key issues raised. Translation of messages*

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[192] Economic growth and decent work JPG annual report 2014.

[193] This is less of problem for output indicators, which often do not rely on external means of verification.

[194] UNDP 2015; Gonzalez & Dung 2014; Kaybryn et al. 2015

[195] This is particularly the case for the UNFPA MTR and evaluation.

[196] This was triangulated through contribution stories highlighted in the DaO annual results reports, findings from the survey (see Figure 1 Annex 8), backed by evaluative evidence and shared during the FGDs with the review team
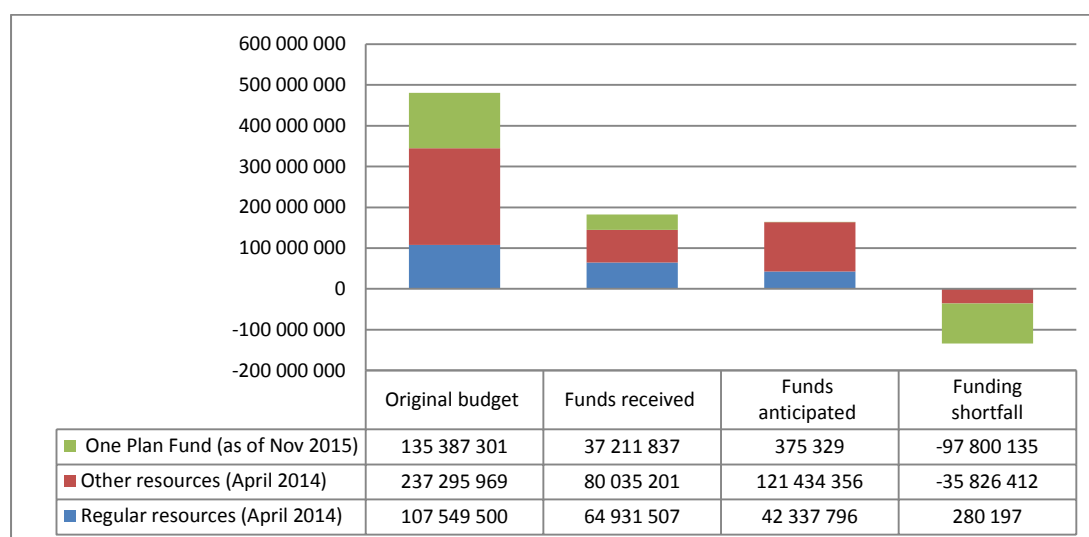
in both Vietnamese and English has proved a critical strategy which makes sure that messages are accessible to key stakeholders. Important to identify who the 'champions' who are able to push the same agenda, but need to consider interest groups and key stakeholders involved in policy process.[197]

The team also observed that reporting formats for the most part do not include analysis on challenges encountered and lessons learned within specific activities and interventions. While the JPG annual reports provide some description of lessons learned and challenges faced, this is always at a very general level, which allows little room for learning and changing the way things are done. There is limited reflection on activities not undertaken or on the impact of the potential funding shortfall, which is only mentioned as a major cause for non-achievement in a handful of cases. The ultimate effect is an overall positive picture with little room for insight and learning.

RQ1. Financial progress and One Plan Fund

Of the initial $480.2 million One Plan Budget, as of this exercise the One Plan had received $182.1 (this includes November 2015 figures for the OPF and January 2014 figures for RR and OR) – see Figure 4. This amounts to roughly 38 per cent of the total budget. The RCO anticipates an additional $164.1 million will be secured, leaving a reported estimated gap of $133.9 million from the initial budget, the bulk of which is coming from funds expected for the OPF (73 per cent of total expected funding gap comes OPF).

Figure 4: Expected funding gap

	Original budget	Funds received	Funds anticipated	Funding shortfall
One Plan Fund (as of Nov 2015)	135 387 301	37 211 837	375 329	-97 800 135
Other resources (April 2014)	237 295 969	80 035 201	121 434 356	-35 826 412
Regular resources (April 2014)	107 549 500	64 931 507	42 337 796	280 197

Source: RCO and review team.

Overall, this shows the UN team in Viet Nam had good ability to estimate RR and OR but was over-optimistic about the OPF's ability to attract funding. Some stakeholders interviewed highlight that initial estimates may in fact reflect not the need but the 'best case scenario', and that actual agency estimates might have been more conservative. This is supported by comments provided in the context of the survey where the One Plan is seen as 'too ambitious and had budget constraints from the very start'.

Viet Nam's upgrade to a middle-income country is often cited as a reason for this change in expectations. While this is possible, this change was already known during the design phase, although the impact was impossible to assess. General economic limitations of many donors were also impossible to predict. However, the team noted a high level of frustration from donors on the lack of accountability from the UN towards the One Plan, given that accountability structures continue to be mostly vertical within agencies. This means donors have little information with regard to how their funds are used in the OPF, what impact they have and what other resources are leveraged in support of their efforts – all information that would be available to them when funding bilaterally. Further, the One Plan does not provide them with fora for more strategic inputs (given the weaknesses described in the governance structures), nor does it allow them access to the UN's work through, for example, field monitoring visits. In practice donors interviewed

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[197] Social Protection JPG annual report 2014.

felt very strongly the One Plan had not delivered on its promise of diminishing administrative burden while increasing their ability to input at policy level, but had the opposite effect of distancing, going as far as stating that their presence in the country, when funding the OPF, was irrelevant. Further, OPF funding has additional costs for the donor. In addition, the team found no incentives for UN agencies to pursue funding for the OPF, given that they have no security on where these funds will be going once secured. As such, it is easy to understand why the OPF did not meet its expectations.

However, it is difficult to assess the whole budget, as agency-specific resources (RR and OR), which account for 72 per cent of the total budget of the One Plan, are not reported on a regular basis (e.g. the team could secure OR and RR figures up to January 2014). During the review both government and donor respondents expressed frustration with this lack of clarity on financial progress. This makes management of the One Plan difficult and reporting impossible, which has a negative impact on how donors and the government perceive it and limits the RBM working group's ability to understand and plan for funding challenges (e.g. it is possible the OR of some agencies has been able to offset gap in the OPF and this is why it is not identified as a limitation.) Ultimately, this goes against standard best practice and the Paris Declaration principles.

Given the above, it should be no surprise that the number of donors and overall contributions went down from 2012 to 2015 and in comparison with the previous One Plan, with donors increasing earmarking funds to specific outcomes. This owes partly to their ability to better control results, but could also be related to the additional costs of contributing to the OPF, where they pay an additional 3.5 per cent on top of whatever the agencies' indirect costs. This goes against the principles of DaO.

The **governance of the OPF** seems to be fit for purpose, although quite process-heavy for the relatively small amounts that it handles. The documentation indicates that the government was not involved in early rounds. This changed in 2014, and there is now joint agreement on allocation criteria and fund allocation. Going through the minutes and documentation over the different rounds of allocation, it seems the allocation criteria have been increasingly focused on joint programming, with increased weights for joint submissions, in line with DaO principles, although still only a minority of proposals are for 'joint submissions'. However, what 'joint' means remains unclear. The OPFMAC was also responsible for developing a joint resource mobilization strategy, but this did not materialize.

OPF allocation has at times comes too late to inform annual work planning at the start of the year, with decisions coming as late as June. However, since 2014, there has been only one round, in the autumn, which seems to suggest an adjustment of timing to ensure allocation is completed in time for planning. There has been some criticism that the current OPF design limits the development of new initiatives as the funding is committed primarily to the One Plan developed over a six-year period, with limited flexibility for rising needs. The fact that donors earmark funds for specific outcomes could exacerbate this situation.

UNDP and UNICEF have taken the lion's share of the OPF allocations, which makes sense given the fact that UN agencies are entitled to apply for a maximum amount equivalent to the proportion of the One Plan budget. This, however, could potentially act as further incentive for smaller agencies to secure bilateral funding over OPF funding. In addition, this policy is not evident from guidance documents on fund allocation. We cannot assess whether this distribution is reasonable in terms of the number and size of programmes these implement vs number of proposals submitted to the One Plan, as we did not have access to data on these aspects of fund allocation and it exceeded the scope of the exercise.

With the weakening funding situation, (reduction of available funds and increased earmarking of donor funds), agencies are increasingly doing their own fundraising rather than working on joint efforts. This is further compounded by the fact that, although the OPFMAC encourages joint submissions, the set-up limits the development of new initiatives, with funding committed to the One Plan developed over six years. There have been some other opportunities for joint mobilization of resources, such as the SDG Fund, but this is only limited. Overall, the team concludes there are no incentives for either the donors or the agencies to support the OPF and the new One Plan will need to find alternative ways of promoting a coordinated approach to funding agreed priorities.

RQ2. How did the UN work together to achieve cross-sectoral results more effectively and efficiently?

At the core of the One Plan is the tripartite (UN, government and donors) nature of the DaO initiative in Viet Nam. This is effectively reflected through the reestablished OPSC, which, according to the One Plan, included participation of all three. In practice donors reported participating only in the DaO SC and not in the OPSC structure. The team notes that the DaO SC and OPSC have met annually, in spite of both government and the UN having identified the need for a biannual meeting. At the time of writing neither had met since October 2014. Stakeholders interviewed confirm what is apparent in the documentation, that these meetings constitute a formal forum with little substantive discussion that does not allow 'for effective and systematic quality control' as foreseen in the One Plan document.

The One Plan also envisaged FACGs as the key coordination structure between the UN and government, organized in line with the focus areas. After one meeting, it was reported that these were deemed not fit for purpose and ceased to function, but were neither officially cancelled nor replaced[198]. As such, governance as envisaged in the One Plan is currently not serving its intended purpose of ensuring quality control, oversight and a forum in line with the Hanoi Core Statement. The team assumes oversight is provided through UN country heads, who are ultimately accountable to their executive heads and governing bodies, which leaves out government and donors and weakens accountability to the One Plan.

The UN developed eight JPGs as internal coordination mechanism. While these cannot substitute for the FACGs as a means for coordination with the government, the team observed that they have helped increase coherence and foster inter-agency collaboration and conceptual alignment. These findings are supported by the findings of the survey (Figure 2 Annex 8), which identifies the provision of a joint platform for discussion around substantive issues around comparative advantages in Viet Nam as one of the key results of the One Plan. Further, some respondents identified the JPGs as having enabled wider information-sharing between the UN, government and development partners. The team notes that documentation, stemming mainly from the head of agency level, had a much more negative perception of the JPGs than the one encountered by the team through this exercise, which was mostly at a working level. It is possible that, in the time between when the documentation was initially collected and this exercise, the effectiveness of JPGs has become more apparent. It is also possible that the benefits are more evident at the technical/working level than at the management (UNCT) level. The review team was not able to meet with the UNCT as initially envisaged and as such we were not able to prove or disprove this theory.

The team observed little progress in aligning One Plan structures with agency structures, especially with regard to planning, monitoring and reporting, which continue to coexist in parallel, duplicating the work needed to report on what should effectively be the same activities, leading to added transactions costs for staff, more intensive use of resources and confusion *vis-à-vis* stakeholders. These findings were supported by findings from the survey, which identified progress on reduced transactions and operating costs as the one lagging most. Ultimately, this is to the detriment of the One Plan, as agency reporting is prioritized, with One Plan monitoring and reporting relying on a very small structure unable to fully deliver. Again, the team observed a lack of incentives to promote joint work and very limited structural accountability to the One Plan.

RQ3. To what extent did the UN in Viet Nam use its convening power to bring together various stakeholders and provide external and internal coordination?

Evidence of the UN's convening power on the ground, at technical level and for high-level policy-oriented actions is widely observed in the different case studies. The UN played an active role leading or co-leading, as well as helping government convene and mobilize participation from a wide range of stakeholders and development partners. This ability to ensure such participation promotes a more effective, efficient and inclusive government response, for example, by helping align initiatives, providing a clearer picture of the actors involved in a specific area, highlighting multidisciplinary nature of a challenge and helping to create a common approach to understanding. Another benefit derived from multi-stakeholder participation is increased transparency among the different actors, helping to highlight gaps, overlaps and inconsistencies.

A concerted effort to include rights-holders in the process was reported for various initiatives reviewed, and the team was able to interview some of the participants, who spoke very highly of these opportunities. Many CSO respondents highlighted the importance of the UN as a bridge to facilitate their access to policy-makers and, specifically, to reach a

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[198] There is no documentation on this decision, but was reported by various stakeholders interviewed.

higher policy level. From our interviews, we can conclude that the UN brand enjoys a good reputation among CSOs. However, and in spite of the UN's clear attempts to ensure participation of rights-holders, many CSO interviewees felt the UN's main partner is the government, with civil society not holding the same standing. This is reflected in the fact that the guiding document that sets out agreed goals and priorities for the One Plan is designed and agreed between the government and the UN. This finding was supported by findings from the survey (Figure 7 Annex 8), where respondents see that government and development partners as consistently included in stakeholder discussions, with vulnerable groups, civil society and academics partners less frequently. From this derives an unequal relationship whereby the UN works with its partner, the government, and civil society is invited to participate depending on the appetite for this from the institutions and persons involved in a particular initiative. However, in spite of structural limitations that speak to the nature of the UN rather than the UNCT in Viet Nam, the role the UN plays in integrating CSOs into development should not be underestimated, especially as civil society (beyond the more official mass organization) is a relatively new force in the country. While more structural mechanisms for inclusion of CSOs can and should be sought, many felt some of the UN's achievements in this area would have been unthinkable before and impossible without a neutral trusted partner such as the UN.

RQ4. To what extent did the UN provide evidence-based policy advice in particular on sensitive issues and unfinished agenda in line with international norms and standards in the transitional middle-income country context of Viet Nam?

Evidence gathered helps direct policy based on the evidence instead of assumptions. The case studies provide various examples of how UN advocacy efforts, based on evidence and expertise, led to successful results. In some cases, this happened in a linear manner, leading to specific recommendations, approvals, guidance, etc.; in others attribution may not be feasible or only partial achievements were reported. In spite of this, even when full incorporation of a principle has not been achieved, progress is often identified. For example, same-sex marriage is not included in the marriage law but is no longer cited as a crime.

The UN's ability to provide evidence-based advice stems from its recognized technical expertise, coupled with its global knowledge and the ability to adapt international/global knowledge to the national context. As such, the UN as a whole is able to provide an important body of knowledge and expertise on a particular given subject the government needs to make a decision on, take relevant experiences from across the globe and adapt the lessons learned to the specific context and needs of Viet Nam. This finding is supported by the survey (Figure 17 Annex 8): respondents, especially NGOs and government, see the UN as basing its policy advice on the most current and best available. However, donors clearly see this as an area for improvement (Figure 21 Annex 8).

Evidence provided by the UN also helped identify key issues, raise awareness and facilitate focus on specific vulnerable groups. Evidence generated has also helped identify key barriers and inefficiencies of existing policies as well as the complexities of the different issues, moving away from a simplistic more silo-oriented response towards a more comprehensive and sustainable one. Results from the various studies have contributed to the development of national policies, plans, guidelines and specific interventions.

Many stakeholders interviewed highlighted the importance of the UN's role in supporting the process of analysis of data, as well as their role in promoting forums for discussion among key, promoting buy-in and a more comprehensive and coherent response. Further, the UN used this evidence, its expertise of the country context and its technical expertise to advocate for recommendations on how best to address issues with a human rights, culturally sensitive lens.

Discussions with government confirmed this role played by the UN is highly valued, and reported important benefits as well as increased capacity. As evidence, it was reported that the GSO is now invited by the prime minister to participate in all government sessions, even when it is not a member, highlighting how there is increasing recognition for the value of informed decision-making. The evidence generated was also used by other actors such as the OECD, the World Bank and Oxfam, as well as some private sector companies (e.g. health insurance companies).

The One UN modality has built on this unique expertise of the UN and enabled a more coherent approach to channelling information and perspectives into the policy process. Further, insights into how the Delivering as One modality could further strengthen the UN's work in this area were also evident, for example through a rapid coordinated response to proposed laws; a comprehensive approach to the UN's support to the GSO, securing a comprehensive approach that benefits from the different agencies' expertise; or helping highlight how some practices

may go against international best practice; to the more recent development of a common socialization response strategy, which helps ensure conceptual alignment as well as a clear prioritization strategy across the different agencies when advocating to the government.

RQ5. To what extent did the UN advocate for and facilitate that the voices of the most vulnerable and disadvantaged are heard, and issues of inequality are addressed in national policy processes?

Vulnerable groups and disadvantaged populations are at the core of the UN's mandate – sometimes explicitly, such as with UNICEF for children or UN Women for women, other times less so, for example ILO, whose core aim is to promote rights at work, encourage decent employment opportunities and enhance social protection, inherently focusing in on the most vulnerable.

The UN's ability to facilitate the voices of the vulnerable and disadvantaged is sometimes questioned, especially given its high-level governmental nature *vis-à-vis* a more traditional view that providing a voice necessarily means being 'on the ground'. The team was able to observe how – through the use of its other comparative advantages – the UN is able to advocate for the most vulnerable as well as to provide forums for the vulnerable to advocate for themselves. Some stakeholders highlighted the UN's role in promoting meaningful participation of affected populations, already highlighted under RQ3, building on trust developed though the nurturing of long-term relationships with different networks, allowing it to reach past the more official mass organization. Acting as broker/bridge, the UN was able provide vulnerable groups with the opportunity to input directly into the process (see RQ3). The UN's efforts are helping push the momentum of a budding civil society, which increasingly sees itself as a rights-holder able to hold the government accountable, in line with a human rights-based approach.

Many of the initiatives reviewed showed the UN 's ability to zero in on smaller sub-groups within groups, be it women and children from ethnic minorities; particularly vulnerable minorities within the general ethnic minority group; people with disabilities; children; the elderly; urban migrants; etc. Once again, the team observed that the UN's impact was strengthened by the bringing together of the agencies' diversity of mandates within the One Plan, which is helping visualize a more comprehensive and rich picture of the different issues at play. The survey very much confirms the team's findings with gender equality and rights-based approaches to development as the key areas where the UN was able to provide critical coordination on cross-cutting issues (Figure 12 Annex 8). This also aligns with respondents' views, many of which highlighted the Gender JPG as one of the most proactive[199].

In addition, through the use of its global expertise, the UN is able to show evidence on how socialization policies, initially intended to secure basic services for the most vulnerable, can in some instances put the most vulnerable at risk. Evidence provided is also able to identify emerging vulnerabilities, for example the missing middle or the new urban migrants, as well as less evident vulnerable groups, for example the elderly, who some stakeholders believe are being left behind, or the young, who have specific vulnerabilities in terms of sexual and reproductive health. In these cases, the UN's technical expertise, together with its global knowledge and ability to advocate at the highest levels, can have an impact on policies and laws that directly affect the lives of the most vulnerable. Where perhaps less activity was observed, possibly because of the interventions selected, is in monitoring what happens after. There is ample evidence that a first required step is a change in a law but that this does not always translate into implementation. Aside from the social audits and the PAPI, there were few examples of monitoring what happens after, not just as a way to report on progress and results but to see if and how changes in policies translate into actual changes on the ground. Some good examples of when the UN has done this include the integrated Package of Services for Women and Children's Health, which looked not only at quality of health services provided but also at adjacent barriers such as travel and food costs related to seeking health care.

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[199] We were not able to highlight this in the desk review and synthesis of results across outcomes due to the fact that monitoring tables do not reflect cross-cutting results and that cross-cutting themes do not have indicators attached to them.

RQ6. To what extent did the UN draw on the collective global assets of the system and global expertise and best practice to provide technical expertise, exchange of knowledge and capacity development, based on international best practice, and support innovative approaches to equity, human and social development issues and implementation of global normative standards?

Initially, the UNCT's work in Viet Nam is rooted in internationally agreed normative standards, including conventions (such as CEDAW or the UNCRC), as well as those of a more technical nature, such as WHO's medical standards, UNESCO's internationally accepted Minimum Standards for Education or ILO's International Labour Standards. Being the official representatives of these is at the heart of the UN's legitimacy, both from a technical perspective but also from a 'neutrality' perspective. Many stakeholders highlighted the importance of the UN being perceived as representing common agreed ethical standards, as opposed to political interests.

The UN is able to bring in international experts, introduce best international standards, support processes or build up national capacity. Its independence from a political agenda allows it to introduce new methodologies and ways of working with less resistance (e.g. the UN brought in international experts to help the drafting team of the Law on Environmental Protection understand new challenges, e.g. planning for environmental protection). The UN's global reach also allows it to provide the government with best practices and lessons learned, including methodologies and tools developed and tested elsewhere, which can be applied and contextualized to Viet Nam. (e.g. methodology for the HIV investment case, which was developed globally and adapted to build Viet Nam-specific scenarios).

Study tours, including south-south cooperation, to share best practices and benefit from lessons learned in other countries were also widely supported, some of which interviewees perceived as useful. For example, the UN brought high-level government officials from four ministries to Sweden to learn how to combat GBV. As a result, MOPS decided to pilot a model of quick response teams in Ben Tre province to address cases of domestic violence. The team was informed that overall at least 121 learning exchanges had been promoted during 2014, many specifically aiming to strengthen national capacity (e.g. IWRAW was brought in to strengthen capacity of national CSOs involved in drafting the CEDAW shadow report). The UN was also able to build on previous innovations (e.g. the social audit pilots) and promote innovation and change (e.g. through introduction of the PAPI or piloting the MIP for survivors of violence after evaluation of the outcomes intended to feed into policy options for nationwide application after 2016). Findings from the survey point towards climate change as the area where the UN is seen to use more innovative approaches (Figure 27 Annex 8). The survey also showed NGOs and research partners were particularly positive on the UN's use of innovative approaches (Figure 29 Annex 8). Generally, outside stakeholders are more positive on the UN's ability for innovation than the UN itself (Figure 30 Annex 8).

We are, however, not aware of any concerted effort to assess what has been done (e.g. this same analysis for other years to get a sense of the overall investment of the One Plan in this kind of activity). We are also not aware of any analysis of how these different modalities compare in terms of effectiveness, efficiency and sustainability – that is, the costs versus the investment and what kind of long-term impact can be expected from a short-lived exchange, which presumably differs with the type and nature of the exchange.

RQ7. UN's facilitating a multi-sectoral approach and supporting government to coordinate its response to complex issues

While many of the UN's comparative advantages identified in this chapter are strengthened by the coordinated response of the One Plan, it is here where the benefits of working together become more evident. A coordinated UN is uniquely positioned to provide comprehensive cross-sectoral support to complex issues which benefits from the wide range of expertise of its agencies. The survey supports this finding with respondents, in particular from government, finding the UN's support to a coordinated response, as well as that to a multi-dimensional approach to poverty reduction, most useful in terms of promoting sustainable development (Figures 32 and 34 Annex 8). Ample examples of how the UN is able to support the government to provide a coordinated response to complex issues were observed during the review. Some, such as that of the One Health initiative, brought together a couple of agencies; others were able to benefit from more comprehensive across-the-board support, for example the development of MAP-EM, which involved efforts by various agencies and sectors. This successfully laid a foundation for the relevant agencies to integrate concrete actions into their sectoral plans in particular, and into SEDP in general. The Green Production Joint Programme benefited from the expertise of five different agencies to develop one integrated value chain.

One of the weaknesses highlighted by many stakeholders was the lack of mechanisms for agencies to benefit from other agencies' existing relationships, be these within the government or with bilaterals and civil society. While the UN in Viet Nam has found a mechanism for internal coordination, the JPGs, collaboration with counterparts remains mostly bilateral. Current work towards developing a common stance on socialization is expected to help the UN provide a more comprehensive approach, and with it support a more comprehensive response as well was a clear attempt to integrate a multi-sectoral lens to address a barrier to equity and vulnerability and can be seen as an example of the potential of the JPGs.

The case of sustainable tourism is another success story. For the handcrafting initiative to be successful it required connection between markets, tourism, facilities and infrastructure. Within the framework of a joint project at provincial level, UN agencies (ILO and UNESCO) worked with different partners from both the public and the private sector, as well as with mass organizations (Womens' Union, Cooperative Alliance) plus provincial and district governments in order to bring stakeholders in the tourism industry and cultural areas together (e.g. tourism, hospitality, ticket offices). Another successful example can be found in the UN's support to government agencies for the 2014 campaign to end violence against women and girls, where over 22 organizations, including the UN, collaborated to organize more than 42 events, which attracted the participation of more than 20,000 young people, mainly men and boys, with national coverage from more than 230 media channels with 564 stories carried by newspapers, radio and TV.

Joint work within the Data for Development group had a knock-on effect. For example, it led to the ethnic minority survey, which provides a comprehensive view of key cross-cutting issues relevant to this vulnerable group.

The PAPI has the ability to promote a multi-sectoral approach response at local level by highlighting a broad spectrum of issues that need to be addressed to obtain a particular result. In the case of social audits, the multi-sectoral approach is brought in through the design, which promotes participation from a wide range of stakeholders. Joint workshops, for example where UNICEF's social audits invited PAPI staff, helped further highlight these links. The case of the HIV investment case is reported as an opportunity for stakeholders to align existing efforts, addressing delicate issues such as costing, while at the same time promoting a more cohesive approach across the different stakeholders' work.

Chapter 5: Conclusions and recommendations

5.1 Conclusions

Results

- Overall significant progress is observed in the delivery of the One Plan and given that the data provided it could be assumed the UN will be able to deliver most of the planned activities/outputs within the One Plan timeframe. This is in spite of the fact that, as of the date of this exercise, the UN expects to receive only 72 per cent of original estimated budget by the end of the OP implementation period. This is because i) the initial One Plan budget is seen as a 'best case scenario', with agencies adapting the annual planning to more realistic expectations and ii) outputs are described in a generic manner which allows agencies' to adapt considerably their activities.
- However, it should be taken into account that data provided for the purposes of this exercise is partial, mostly self-reported and financial data dates back to 2014. Weaknesses or inconsistencies in reporting (documented in section 2.1 of this report) also weaken the reliability of these findings and highlight the importance of a strengthened M&E system. While significant efforts to address these shortcomings have been reported, and are appreciated by the stakeholders, resources allocated for M&E of the One Plan, be it at RCO level or agency level, continue to be inadequate.
- Further, ability to deliver activities of the One Plan does not immediately translate into the achievement of its goals and outcomes, as the system in place for monitoring of results is good for assessing progress against outputs but does not allow assessment of cumulative progress against outcomes at a general level. The lack of an underlying theory of change further hampers the team's ability to come to any conclusions with regard to progress on outcomes. These shortcomings hamper the UN's ability to show progress to government and donors, both of which expressed frustration with the One Plan's limited ability to measure progress but, of equal importance, it hampers the UN's ability to assess quality and adequacy and to learn from its own efforts.
- At the moment, the primary focus is on monitoring of activities and outputs. With some exceptions indicators reflect the number of outputs (e.g. disseminated) rather than attempting to objectively assess their quality or their use (effectiveness). There is a need to identify indicators that link output to outcome and are able to reflect on quality, impact and ability to influence a process. Inclusion of qualitative indicators and a good narrative that describes the factors that led to good results could be added to strengthen the system.
- Considering the UN is moving towards a model of working on high-level policy advocacy, the results assessment shows a lack of explanation of how the UN's actions can influence policy. If this is the direction the UN wants to focus, there seems to be a need for deeper discussions on how the policy process works in Viet Nam. Reflection is needed on the key features of successful policy advocacy and how the UN has been able to contribute to the policy process.

Budget

- The UN expects to receive 72 per cent of original estimated budget by the end of the OP implementation period, with the bulk of the "funding gap" coming from the OPF estimates. The team concludes that there is currently a lack of incentives for donors or UN agencies to promote the OPF over bilateral funding. On the one hand, there is an important level of disillusionment from the side of the donors who feel the One Plan's failed to deliver on the promise that it would provide donors with an outlet for more substantive high-level participation in UN activity in Viet Nam with less administrative burden. Accountability structures coupled with weak monitoring and reporting limits donors' ability to hold the UN accountable to OPF funds. Lastly, there are added costs to the OPF. On the part of the agencies, there is little incentive to leverage funds for the OPF over bilateral funding, especially for those with lower percentage of the OP budget and as such less likely to benefit from additional OPF funds.
- The UN seems to be taking steps for further resource mobilization, with some success through global funds, but it is unclear whether the funding situation is sustainable in the long term considering the current apparent unwillingness of donors to use the OPF and the lack of incentives.

Governance

- The team concludes the agreed structure is not in place and de-facto governance structure of the One Plan is not fit for purpose. Annual OPSC meetings are widely described as formal and lacking substantive discussion. FACGs have not met since 2013 and the OPSC has not met since October 2014. Accountability to the One Plan needs to be strengthened in order to regain confidence from the donor community on the UN's ability to DaO

in Viet Nam. This can be done either through the implementation of the initially agreed governance structure or thorugh new mechanisms which are able to guarantee oversight, accountability and sustantive guidance in a manner that are inclusive of the key stakeholders,

- Governance of the OPF does seem fit for purpose, albeit quite process-heavy and initially lacking participation of the government. Sometimes, allocations have come too late to inform the planning process. A resource mobilization strategy originally envisaged for development by the OPFMAC was not developed.
- FACGs, seen as the One Plan core coordination mechanism between the UN and the Governent, were deemed not fit for purpose and discontinued in 2013. However, no alternate coordination structure has been developed to replace these. As such, management of the One Plan seems to have reverted to traditional agency-led oversight with bilateral coordination between agencies and their partners.
- Significant progress was observed with regard to the internal UN coordination mechanisms in the form of the JPGs, which are seen as having significantly promoted coordinated planning and increased coherence within the UN, however their impact seems to have remained mostly at technical level.
- Our view is that JPGs are an effective internal structure to promote UN coherence, and if sufficiently strengthened to ensure internal coherence and alignment, the current bilateral discussion between agencies and national counterparts together with more fit-for-purpose high-level meetings could be sufficient.

Review Questions

- The team concludes the UN has played an important **convening role** helping ensure widespread participation in a broad range of issues at both technical and high policy level, in this manner helping strengthen the government's ability to address complex issues in an effective manner while promoting a culturally sensitive inclusive human rights-based approach. The role of the UN as a bridge in support of greater participation of civil society is seen as particularly relevant in the context of Viet Nam, given its relatively incipient civil society. The team concludes the next One Plan would benefit from a more structural approach to the inclusion of civil society in the UN's work, possibly by reflecting it as a cross-cutting issue recognized in performance appraisals.
- The team concludes that the 'UN brand' as a neutral and qualified broker is a key factor for the UN to be able to play this convening role, and an important added value not many other development actors in Viet Nam are able to offer. This brand derives from a long-term relationship developed between the UN and its national partners, both the government and civil society. Its perceived neutrality stems from its non-political agenda but rather seen as following a mandate which corresponds with common 'higher principles', in addition to its technical expertise. The Delivering as One modality strengthens this standing by improving internal coherence and the UN's ability to respond in a comprehensive cross-sectoral manner. Limited analysis and reflection as to what are the best mechanisms for providing policy advice were observed and seen as an opportunity lost deriving from a weak M&E system that does not seem to promote self-reflection.
- A strong focus on vulnerable populations is inherent to the UN's mandate and legitimacy. Agency-specific expertise allows the UN in Viet Nam to advocate for vulnerable and disadvantaged groups across the board, through evidenced-based advocacy centred on tools and methodologies developed to ensure barriers, gaps and challenges are identified and policy decisions to address them are grounded in the best available evidence and best practice and in line with international standards. The initiatives reviewed in the case studies show the potential for the UN in Viet Nam to positively affect the lives of vulnerable populations at policy level and through on-the-ground support.
- The team observed widespread use of the UN's global expertise, including best practices and lessons learned to promote knowledge exchange and capacity-building, but there was no evidence of the UNCT in Vit Nam undertaking analysis of the underlying factors to ensure these interventions are of quality and have a sustainable impact in Viet Nam's specific context.
- The One Plan approach places the UN in a better position to provide the government with more comprehensive and coherent support. For the UN to reach its full potential in helping facilitate a multi-sectoral approach able to address complex issues in a sustainable manner, the traditional agency/silos way of working needs to give way to a more comprehensive approach.

5.2 Recommendations

Recommendation 1: Develop a theory of change and identify medium term indicators that allow the assessment of progress towards outcomes, with insights as to the quality of results, underlying factors and likelihood of sustainability.

Given diminishing resources and increased national capacity, the UN would benefit from a more strategic approach to its work. This will require moving away from assumptions of how activities/outputs will translate into outcomes (e.g. training without analysis as to the type, use and quality) and a more detailed reflection not only of what it does best but also of what is the most effective and efficient way to do it, given its particular strengths and those of other actors present in the country (e.g. what type of training is the UN uniquely positioned to deliver, what is the value added of the UN's on-the-ground interventions *vis-à-vis* other actors in the country). Many of the smaller activities observed could be undertaken by other actors, freeing limited resources to focus on actions it is uniquely positioned to undertake.

In order to remain relevant, the UN will need to do a better job of identifying its unique advantages. While this exercise does not allow for a comprehensive analysis of all the areas, the team observed some key unique advantages. For example, the team concludes the UN in Viet Nam is uniquely positioned to help adapt international standards and best practice to the specific context of Viet Nam in a participatory, culturally sensitive and inclusive manner that incorporates the voices of the most vulnerable as right-holders AND not just as recipients. Based on its perceived neutrality and expertise, it is uniquely positioned to address sensitive issues and promote greater collaboration between government and civil society.

The team recommends the new One Plan develops a theory that explains how the activities to be undertaken will lead to the desired high-level outcomes. This theory of change will help in the process of identifying medium-term progress indicators that will help management assess the validity of the original theory.

Recommendation 2: Identify an inclusive governance structure able to provide guidance and quality assurance

There is a need to identify an adequate fit-for-purpose and participatory governance structure that is able to provide oversight, guidance and quality assurance, as well as a means for coordination and substantive exchange with key stakeholders, mainly government and donors, to better reflect the tripartite nature of the DaO initiative. This structure will require a clearer accountability as well as incentive towards the One Plan.

Recommendation 3: Strengthen internal coordination mechanisms as a means to increase coherence and effectiveness

The UN should continue to strengthen the role of the JPGs as an effective mechanism to promote DaO, adequately incentivize and recognize staff coordination efforts and seek ways to help benefits from JPGs trickle up into high-level management. JPGs have the potential to be the drivers of policy coherence and prioritization as well as knowledge exchange between agencies. Some specific ways this could be achieved include:

- Use JPGs to drive policy-level dialogue and promote conceptual coherence (in partnership with other development partners, etc.) and derive joint delivery to JPG Working Groups as needed.
- Use JPGS as a mechanism to identify short- and medium-term key priorities and means to assess progress.[200] The team is of the opinion that development of a joint position paper with key strategic areas (as per the socialization paper) to help strengthen the UN's position in Viet Nam both programmatically and when leveraging resources.
- Strengthen the accountability of the JPGs towards the UNCT and emphasize the importance of the role of the JPG convener.[201] The team concludes it is crucial for the work at the JPG level to be an official part of staff responsibilities, and as such this should be adequately reflected in performance assessments; this would apply to both junior and senior staff (i.e. conveners, co-conveners).
- Ensure participation of well-informed and empowered staff in JPG meetings. The team acknowledges the potential value of having relatively junior staff attend JPG meetings as a means to increase their knowledge on certain subjects. Still, agency participation should be adequate to the task at hand. For example, discussions to agree key priority areas of focus or on common agreed definitions would benefit from more experienced staff to ensure the agency's position is fully reflected and considered, otherwise the outcome document might lack relevance for that particular agency.

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[200] Only one JPG reported having done this so far (JPG 1 2014 annual report), but the team was informed that the Gender and HIV JPGs have also developed some kind of position paper, while the Social Protection JPG has developed an extensive position paper on socialization that identifies key areas of focus.
[201] While this is mentioned in the new principles of engagement, it is not clear to the team if this has been done.

Recommendation 4: Continue to strengthen the role of the UN as a bridge between government and other actors, in particular civil society

The UN should use its competitive advantage as a trusted convener to promote substantive participation of relevant actors in relevant discussions, with particular focus on civil society and the private sector. The team observed that this is currently done, but, taking into account perceptions of the stakeholders' interviewed, the UN in Viet Nam would benefit from doing this in a more structured manner. The team acknowledges it is not possible for these groups to be part of the governance structure, but perhaps this could be incorporated as a cross-cutting theme, which is monitored through regular reporting mechanisms and appraisal forms, helping ensure it becomes a more intrinsic part of the UN's work in Viet Nam. Both the One Plan and the individual agencies would benefit from better and more strategic sharing of agencies' existing networks between the agencies.

Recommendation 5: Strengthen monitoring and reporting (accountability) of the One Plan

Many of the limitations of this review stem from an inadequate monitoring, reporting and evaluation set up. It will also require identification of better indicators, including qualitative indicators and narratives that are able to capture quality and underlying factors. The team acknowledges the progress already achieved, but believes to fully achieve this the UNCT in Viet Nam will need to secure additional resources and either increase capacity at central level for the RCO to be able to lead this effort, or ensure more substantive support (through allocation of skilled staff and staff time) from the agencies to the One Plan and under the guidance of the RCO (more in line with the structure of the communications team).

In addition to this the team recommends the UN in Viet Nam seeks ways to promote better alignment between agency level efforts and the One Plan, for example using the same indicators for both agency and One Plan level reporting. This would help avoid duplication of work and strengthen the quality of the M&E of the One Plan, providing better evaluative evidence for the mid-term and final evaluation of the One Plan to build on. A more strategic use of the IMEP, insuring agency level evaluations area shared and as much as possible aligned to feed into the One Plan evaluation time-table. These changes will increase the UN's ability to report to the government and donors, as well as provide the basis for more evidence-based decision-making in the management of the One Plan. The team believes sharing of more detailed and up-to-date relevant information, both substantive and financial, would be a strategic tol in the process of securing additional resources from donor.

Recommendation 6: Strengthen the financial structure of the One Plan
The UN needs to identify clear incentives for the UN agencies and donors to prioritize the One Plan budget over bilateral funding, or mechanisms for bilateral funding to be accountable to the One Plan. In order to address concerns raised by the donors these would need to include:
- More comprehensive reporting to allow donors to understand both use of resources (results/impact) and what other resources their support was able to leverage (from other donors, RR and OR). (as per recommendation 5)
- Increased participation of donors to thematic and strategic One Plan dialogue in the areas of investment (as per recommendation 3)
- Promote structural mechanisms for documentation, dissemination and sharing between JPGs of good practices and lessons learned between JPGs (as per recommendation 2)

To address concerns around transparency raised and in line with the DaO principles, the One Plan design and reporting should incorporate all in-country financials, including agency level spending. Regular (quarterly) updates on spending etc should be made available to the RCO for regular management meetings. Updates on spending at country level (One Plan and agency) should be made available to donors and government. Much of this is already recommended in the 2014 Guide to the Common Budgetary Framework[202], which the UNCT is reportedly working towards implementing.

Recommendation 7: Increased and more targeted focus on learning and on knowledge sharing

Overall, the team concludes the new One Plan would significantly benefit from a more reflective and learning-oriented approach, which will help identify not just progress of activities but also underlying factors for success.

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[202] UNDG 2014. Guide to the Common Budgetary Framework. Standard Operating Procedures for Countries Adopting the 'Delivering as One' Approach

The One Plan M&E system needs to incorporate learning in a more systematic manner to allow for analysis of challenges and lessons learned, and to ensure these findings feed back into the management decision-making process in a timely manner. Analysis of the different types of interventions should be undertaken to help focus resources and efforts (e.g. investment in high-level policy-making vs. on-the-ground delivery; effectiveness of the different types of capacity building methodologies (investment vs return); underlying factors for success of successful vs not successful policy advice). This analysis should take into consideration the UN's comparative advantages as well as those of other actors in the country. In addition, the new One Plan would benefit for a stronger knowledge management system between agencies and JPGs in particular of lessons learned, at both country level but also more broadly.

ANNEXES

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ANNEX 1: EVALUATION MATRIX

Evaluation criteria	Review question	Main areas of analysis	Data collection sources and methodologies
Effectiveness	1. What were the UN's main results achieved under the One Plan to date? Include assessment of financial aspects	• Summary of progress reported against initial goals • What have been the monetary resources raised and disbursed against initial plans	• Desk review and synthesis of findings from 2014 systematic review • Desk review findings from recent evaluation exercises (MTRs) UNICEF, UNFPA • 3 annual results reports • JPG monitoring tables • RCO documentation on financial gap • If available data from on-going evaluations (UNDP and UNFPA) • RCO budget data and financial gap analysis • Interviews and focus group discussions (limited)
Efficiency	2. How did the UN work together to achieve cross-sectoral results more effectively and efficient manner?	• What role did the Joint Programming Groups and other ad hoc collaboration mechanism play in promoting a more cross-sectoral response? • Did the coordination mechanisms have an effect on the UN's ability to deliver results? (effectiveness) • Did the coordination mechanisms have an effect on the UN's effective use of resources? (efficiency)	• Desk review • Survey • JPG focus group discussions
Effectiveness/ Efficiency	3. To what extent did the UN in Viet Nam use its **convening power** to bring together various stakeholders and provide external and internal coordination?	• What is the value of the UN's convening power? (what did it help to achieve) • Was the UN's convening power more useful internally (within the UN) or externally? • How did the UN's convening power help promote critical cross cutting issues? (including on critical cross-cutting issues such as gender equality, HIV, climate change, culturally appropriate programming and rights-based approaches to development) • Is this convening power more effective with/for some stakeholders than for others? (i.e. Government, civil society, etc)	• Focus group discussions with JPGs • Bilateral interviews with key stakeholders • Case study interviews, in particular 1 and 2 • Focus group discussion with donors • Bilateral discussions with civil society stakeholders from the case studies • Survey • Case specific desk review

Evaluation criteria	Review question	Main areas of analysis	Data collection sources and methodologies
Effectiveness	4 To what extent did the UN provide **evidence-based policy advice,** in particular on sensitive issues and the unfinished MDG agenda in line with international norms and standards in the transitional middle-income country context of Viet Nam	• What type of evidence-based policy advice has the UN provided? • Has the UN's policy advice had an impact on Vietnam's legislation or policy? Has it promoted alignment with international norms and standards (examples, also capture intangibles and process) • Does the UN have a competitive advantage to deal with sensitive issues in the context of Vietnam? • Has the UN helped to monitor the implementation and impact of legislative and policy frameworks?	• Case study related interviews • UNCT workshop • FGD with JPGs • Meeting with donors • Case specific desk review and study of evidence creation activities such as research and data systems, as well as any policy papers or recommendations submitted • Survey
Effectiveness	5 To what extent did the UN advocate so **that the voices of the most vulnerable and disadvantaged are heard**, and issues of inequality are addressed in national policy processes?	• What kind of activities did the UN undertake to help include the voices of the most vulnerable and disadvantaged in national policy processes? • How effective were these interventions? • What are the lessons learned from this type of intervention? (what works, what doesn't)	• Bilateral interviews case studies 1, 2 and 3 • Bilateral discussions with civil society stakeholders from the case studies • Case specific desk review • Survey
Efficiency	6 To what extent did the UN draw on the collective global assets to **provide technical expertise, exchange of knowledge and capacity development, based on international best practice**, and support innovative approaches to equity, human and social development issues and implementation of global normative standards?	• What have been some of the ways the UN has used to bring international best practices and global expertise to Viet Nam. (examples) • To what extent where these experiences done jointly to make the best use of each agency's expertise, networks and resources • To what extent did the UN in Vietnam support innovative approaches to promote equity, social development and the implementation of global normative standards? (examples)	• Desk review and discussions to understand the extent of knowledge exchange promoted by the country team • Bilateral interviews in the context of the case studies. • Desk review of innovative experiences piloted during implementation of the OP • Survey
Efficiency/ Effectiveness	7 To what extent did the UN facilitate a multi-sectoral approach and **support Government to coordinate its response to complex issues which require cross-sectoral approach**?	• In what ways did the UN support the Government to coordinate its response to multi-sectoral complex issues? (such as climate change, social protection, sustainable development, a multi-dimensional approach to poverty reduction, HIV, governance and gender equality)	• Workshops with JPGs • Desk review of JPG minutes and other documents produced • Bilateral interviews in the context of the case studies. • Survey

ANNEX 2: REVIEW TOOLS

SEMI-STRUCTURED INTERVIEW GUIDE

Introduction

As you may be aware, SIPU has been commissioned with undertaking a review of the One Plan. The aim of this exercise is to assess the extent to which the UN country team has been able to use its competitive advantages towards achieving its goals, as set out in the One Plan.

Ultimately, the exercise seeks to identify lessons learned and best practices and in order to provide recommendations for the new One Plan.

Confidentiality

In the presentation of the results **no references will be made to individual people or organizations** who provided the data and we will take care to minimize the possibility to link answers to a particular person or organization. The UN will not have access to our notes, which will be used by only a small number of SIPU staff during the preparation of the evaluation.

General information

1) **Name**: (note gender)

2) **Role**: (full title and organisation)

3) **Own background** / role within the organisation (length of time in post/ with institution, in Vietnam)

4) **Nature of engagement with OP:**

Core questions

1. *In your view, **What do you consider to be the key achievement/ results of the One Plan?***

2. To what extent and how did the UN in Viet Nam use its **convening power** to bring together various stakeholders and provide coordination
   2.1. How did the UN use its ability to act as a broker (convener) and what was it able to achieve through it?
   2.2. In your view, has the UN's convening ability more useful internally (within the UN) or externally?
   2.3. How did the UN's convening power help promote critical cross cutting issues? (such as gender equality, HIV, climate change, culturally appropriate programming and rights-based approaches to development)
   2.4. In your view, is this convening ability more effective with/for some stakeholders than for others? (i.e. Government, civil society, etc)

3. **To what extent did the UN provide evidence-based policy advice,** in particular on sensitive issues and the unfinished MDG agenda in line with international norms and standards in the transitional middle-income country context of Viet Nam (including support to integrate these norms and standards into national legislative and policy frameworks and monitor their implementation and impact on beneficiaries)?

   3.1. What type of evidence-based policy advice has the UN provided?
   3.2. Has the UN's policy advice had an impact on Vietnam's legislation or policy? Has it promoted alignment with international norms and standards (examples, also capture intangibles and process)

3.3. In your view, was the UN able to affect sensitive issues and/or the MDG agenda in Vietnam through its policy advice?

3.4. In your view, has the UN played a role in helping to monitor the implementation and impact of legislative and policy frameworks?

4. To what extent did the UN **advocate** for the **most vulnerable and disadvantaged** and for issues of **inequality** to be addressed in national policy processes?

   4.1. What kind of activities did the UN undertake to advocate for or promote inclusion of the most vulnerable and disadvantaged in national policy processes?

   4.2. In your view, to what extent did the UN advocate for inequality to be addressed in national policy processes?

   4.3. (How effective were these interventions?)

   4.4. (What are the lessons learned from this type of intervention? (what works, what doesn't))

5. **To what extent did the UN draw on the collective global assets** of the system and global expertise and best practice to provide technical expertise, exchange of knowledge and capacity development, based on international best practice, **and support innovative approaches** to equity, human and social development issues and implementation of global normative standards?

   5.1. Can you provide examples of some of the ways the UN has used to bring international best practices and global expertise to Viet Nam? (examples)

   5.2. (To what extent where these experiences done jointly to make the best use of each agency's expertise, networks and resources)

   5.3. To what extent did the UN in Vietnam support innovative approaches to promote equity, social development and the implementation of global normative standards? (examples)

6. **To what extent did the UN facilitate a multi-sectoral approach and support Government to coordinate its response to complex issues which require a cross-agency approach?**

   6.1. In your view, to what extent (and how) did the UN facilitate a multi-sectoral approach

   6.2. In what ways did the UN support the Government coordinate its response to multi-sectoral complex issues? (such as climate change, social protection, sustainable development, a multi-dimensional approach to poverty reduction, HIV, governance and gender equality)

GENERIC ELECTRONIC SURVEY

Introduction text

As you may be aware, SIPU has been commissioned with undertaking a review of the One Plan 2012-2016. The aim of this review is to i) document results achieved and the UN contribution to the goals set out in the One Plan, ii) provide evidence and promote learning about what works, what doesn't and why in the context of preparing and planning the next One Plan (2017-2021) with an aim to improving effectiveness and efficiency.

This electronic survey is part of this review. The data from this survey aims to provide a broad overview of the views of different stakeholders.

This survey goes to a broader sample than the in-depth case studies undertaken in Viet Nam that are the main focus of the review. The survey has been kept deliberately structured and there is only one open question. This is to ensure that it does not take too much of your time. A number of stakeholders will be given the opportunity to provide more depth to responses through the primary data collection that the Review Team will be undertaking.

As a [changed according to stakeholder cohort], your inputs into this review are very valuable to us and we hope that you will agree to complete this short survey.

The survey will take about 10-15 minutes to complete. Your answers will be saved if you should leave the survey at any point. Once completed and submitted, you cannot change your answers. Several people may be consulted when answering the survey, but you can only complete it once. Note that the text box for the open-ended question will expand automatically as you write.

In the presentation of the results of the survey no references will be made to individual people or organizations and we will take care to minimize the possibility to link answers to a particular person or organization. The UN will not have access to the questionnaires, which will be used by only a small number of SIPU staff during the preparation of the evaluation.

If you have any questions regarding this survey, please contact: Johanna Lindstrom (Johanna.lindstrom@sipu.se). Alternatively, you may contact Patricia Fernandez-Pacheco Estrada (patricia.fernandez-pacheco@one.un.org) at the UNRCO for any questions regarding this survey or the review.

We would be very grateful for your answers to the questions in this electronic survey by 10 November at the latest.

Many thanks for your participation!

At a general level, to what extent has the UN efforts to work together through the One Plan allowed for following expected changes (so called *Delivering as One transformations*)? (tick one for each expected change)

	To very great extent	To great extent	To some extent	To little extent	To very little extent	Not at all	Don't know
Strengthened joint programming and delivery of One Plan outputs							
Increased alignment with national priorities							
Improved leadership to manage for outcomes							
Strengthened resource mobilization							
Reduced transaction costs and operating costs							
Enhanced joint advocacy							

More specifically, to what extent have the Joint Programming Groups enabled the following efficiencies (tick one for each change) (only asked of UN agencies)

	To very great extent	To great extent	To some extent	To little extent	To very little extent	Not at all	Don't know
Wider information sharing between UN, government and development partners							
Coordination of efforts, reduction in duplication and improved synergies between agencies							
Consistency and continuity between UN agency results agreed in Detailed Project Outlines (DPOs) signed with the Government, and results in the Joint Programming Matrices (based on the One Plan Results Matrix) and annual JPG Work Plans							
Reduction of overall transaction costs							
Effective monitoring and reporting about the collective contribution towards One Plan outputs and outcomes							
Joint learning about success and failure around the role of the UN in Viet Nam							
Provision of a platform for joint discussion around substantive issues around comparative advantages and priorities of the UN in Viet Nam, i.e. human rights, equity-focused actions, climate change and a more inclusive approach to economic growth							
Joint resource mobilization							

How often does the UN in Viet Nam use its **convening power** to bring together various stakeholders, allowing them to participate in an active, meaningful and free manner? (tick one for each group)

	Always	Most of the time	Often	Sometimes	Rarely	Never	Don't know
Vulnerable and disadvantaged groups							
Government partners							
Development partners							
Civil society organisations							
Universities and research							

institutes							

To what extent does the UN in Viet Nam use its **convening power** to provide coordination on critical cross-cutting issues? (tick one for each issue)

	To very great extent	To great extent	To some extent	To little extent	To very little extent	Not at all	Don't know
Gender equality							
HIV							
Climate change							
Culturally appropriate programming							
Rights based approaches to development							

Is the UN's policy advice based on the most current and best available evidence? (tick one)

Always	
Most of the time	
Often	
Sometimes	
Rarely	
Never	
Don't know	

To what extent has the UN's policy advice had an impact on Viet Nam's legislation, in terms of bringing it closer in line with international norms and standards? (tick one)

To very great extent	
To great extent	
To some extent	
To little extent	
To very little extent	
Not at all	
Don't know	

To what extent does the UN advocate for and help to ensure that the voices of the most vulnerable and disadvantaged are heard in Vietnamese society? (tick one)

To very great extent	
To great extent	
To some extent	
To little extent	
To very little extent	
Not at all	
Don't know	

To what extent does the UN advocate for and help to ensure that issues of inequality are addressed in national policy processes? (tick one)

To very great extent	
To great extent	
To some extent	
To little extent	
To very little extent	

Not at all	
Don't know	

To what extent is the UN's provision of technical expertise, exchange of knowledge and capacity development based on **international best practice**? (tick one)

To very great extent	
To great extent	
To some extent	
To little extent	
To very little extent	
Not at all	
Don't know	

To what extent does the UN in Vietnam support **innovative approaches** to promote (tick one for each issue)

	To very great extent	To great extent	To some extent	To little extent	To very little extent	Not at all	Don't know
Equity							
Social development							
The implementation of global normative standards							

How useful has the UN been in its support to Government's efforts to coordinate its response to complex issues? (tick one for each complex issue)

	Very useful	Somewhat useful	Not very useful	Not at all useful	Don't know
Climate change					
Social protection					
Sustainable development					
A multi-dimensional approach to poverty reduction					
HIV					
Governance and gender equality					

To what extent is this support provided through a multi-sectoral, cross-agency approach? (tick one)

To very great extent	
To great extent	
To some extent	
To little extent	
To very little extent	
Not at all	
Don't know	

Please add any comment on the above questions or on the topic of the UN's contribution to the goals set out in the One Plan, in terms of supporting the Government to achieve inclusive, equitable and sustainable growth, access to quality essential services and social protection, and enhanced governance and participation (Open question)

ANNEX 3: LIST OF INTERVIEWS

Type	Name	Sex	Organisation	Title	Case study/general
UN	Ali Safarnejad	M	UNAIDS	Unknown	CS3
Donor	Annika	F	Finnish Embassy	Unknown	General
Academic	Assoc. Prof. Edmund Malesky	M	Duke University	Assistant Pofessor	CS3
Academic	Asst. Prof. Paul Schuler	M	Univesity of Arizona	Assistant Pofessor	CS3
Donor	Aurelie	F	Luxembourg Embassy	Unknown	General
Government	Be Thi Hong Mai	F	Dept of EM Policy, CEMA	Deputy Director	CS1
UN	Benedicte Galichet	F	WHO	Health System	CS1
UN	Bich Pham	F	UNHABITAT	Unknown	CS3
Donor	Bronwyn Cruden	F	Embassy of Canada	Senior Development Officer	General
Government	Bui Anh Tuan	M	Agency for Business Registration	Deputy Director General	CS2
UN	Bui Phuong Tra	F	UNDP	Programme Analyst	General
Academic	Bui Quang Huy	M	Disaster Management Center	Deputy Director	CS4
UN	Bui Thu Hien	F	UN HABITAT	Programme Coordinator	CS4
UN	Bui Viet Hien	F	UNDP	Programme Analyst, Disaster Risk Reduction and Climate Change	CS4
Government	Cao Thi Anh Hong	F	General Police Department	Head of Unit within the Department	CS2
Government	Chu Thanh Quang	M	Department of Legal Affair and Science Management	Deputy Director General	CS2
Civil society	Dang Huynh Mai	F	Vietnam Federation on Disability	Chairwoman	CS2
Civil society	Dang Ngoc Dinh	M	CECODES	Director	CS3
Government	Dang Van Nghi	M	MPI	Project Coordinator	CS3
Donor	Dao Ngoc Chau	M	SDC	Senior Programme Officer	CS3 and general
UN	Dao Xuan Lai	M	UNDP	Unknown	CS3 and 4
UN	Dennis Curry	M	UNDP	ACD, Governance	General
Civil society	Dinh Thi Thuy	F	National Coordinating Council on Disability	Member of NCCD, Head of NCCD Office	CS2
Academic	Dinh Xuan Thao	M	Institute of Legislative Studies	Director	CS2
Government	Do Thi Phuong	F	Department of Legal Affair and Science Management	Controller	CS2
Government	Do Thu Ha	F	Expansion of the National Business Registration System to New Business Entities	Programme Officer	CS2
UN	Duong Van Dat	M	UNFPA	SRH Team	CS1
UN	Escalante Socorro	F	WHO	Team Leader of Health System Development Team	CS1
Donor	Fiona	F	Irish Embassy	Unknown	General
UN	Fumika Ouchi	F	UNDP	Evaluation office	General
Civil society	Ho Anh Tung	M	Cooperation and Development Foundation	Staff	CS2
Government	Ho Tan Cuong	M	Department of Tourism, Sport and Culture, Quang Nam Province	Deputy Director	CS1
UN	Hoang Mai Van Anh	F	UNIDO	Programme Officer	General
UN	Hoang Thi Bang	F	WHO	MCH and Nutrition	CS1
Civil society	Hoang Thi Huong	F	Gencomnet / CEPEW	Coordinator	General
Government	Hoang Thi Thu Huyen	F	Department of Gender Equality, MOLISA	Deputy Director	CS2
UN	Igor Hirsch	M	UNICEF	Auditor DaO Vietnam	General
UN	Ingrid Fiztgerald	F	UN Women	Former gender specialist, RCO	General
UN	Jairo Acuña Alfaro	M	UNDP	former PAPI programme officer	CS3
UN	Jesper Moller	M	OIC Co-Convenor	Unknown	CS3

Type	Name	Sex	Organisation	Title	Case study/general
UN	Jo Kaybryn	F	IOD parc	Team Leder UNFPA evalaution	General
Donor	Joakim Parker	M	USAID	Unknown	General
UN	Juan Pablo Ramirez-Miranda	M	UNESCO	Monitoring and Reporting Officer	CS4
Academic	Khuat Thu Hong	F	Institute for Social Development Studies	Co-Director	CS2
UN	Lalit Patra	M	UNICEF	Team Leader, WASH	CS1
Civil society	Le Ba Ngoc	M	Vietnam Handicraft Exporters Association (VIETCRAFT)	Vice Chairman	CS1
Government	Le Kim Dung	F	Department of Criminal and Administrative Law, MOJ	Expert of the Criminal Law Unit	CS2
UN	Le Nam Huong	F	UNDP	Programme Analyst	General
Government	Le Ngoc Thang	M	Business Registration Agency - MPI	Programme Manager	CS2
UN	Le Phuong Mai	F	UNFPA	Unknown	CS3
Academic	Le Quang Binh	M	iSEE	Former Executive Director, member of Advisory Board	CS1 and CS2
UN	Le Thanh Thao	F	UNIDO	Unknown	CS3
Civil society	Le Thi My Dung	F	Oxfam	Advocacy Programme Officer for Building Resilience	CS4
Government	Le Thi Van Anh	F	Department of Criminal and Administrative Law, MOJ	Vice-director of the Criminal Law Unit	CS2
Civil society	Le Xuan Thinh	M	Vietnam Cleaner Production Centre (VNCPC)	Deputy Director - VNCPC	CS1
UN	Leika Aruga	F	UN Women	UNV Programme Specialist	General
UN	Mari Matsumo	F	MPTF	Senior Portfolio Manager	General
UN	Mariangela Linoci	F	UN Women	Unknown	CS3
UN	Mizuho Mokimoto	F	UNICEF	Unknown	CS3
UN	Mizuho Okimoto Kaewtathip	F	UNICEF	Social Policy and Economic Analysis Specialist, Secretariat of SP JPG	General
Government	Mr. Nghia	M	Dept of Cooperatives and Rural development, MARD	Chief of Division on Poverty Reduction and Social Protection	CS1
Government	Ms. Hanh	F	MPI	Head of FERD	General
Government	Ms. Nguyen Kim Thoa	F	Department of Criminal and Administrative Law, MOJ	Director	CS2
Civil society	Nghiem Hoa	F	Consultant advising CSOs in the process of developing CEDAW Shadow Report 2015	Research and Learning Facilitator for Right-based Development	CS2
Civil society	Ngo Thi Thu Ha	F	CEPEW	Deputy Director	General
UN	Nguyen Bich Hue	F	UNAIDS	Unknown	CS3
Government	Nguyen Bich Lam	M	GSO	GSO Director General	CS3
UN	Nguyen Bui Linh	F	UNDP	Decent Work and Inclusive Growth JPG	CS1
Government	Nguyen Duc Vinh	M	Maternal and Child Health Dept. MOH	Deputy Director	CS1
UN	Nguyen Hoang Linh	M	FAO	Programme Officer; Decent Work and Inclusive Growth JPG	CS1
Civil society	Nguyen Huong Lien	F	CraftLink	Program Officer	CS1
UN	Nguyen Ngo	F	UNFPA	Unknown	CS3
UN	Nguyen Ngoc Trieu	M	UNICEF	SP?/ME Officer; Decent Work and Inclusive Growth JPG	CS1 and 3
UN	Nguyen Thanh An	F	UNICEF	Unknown	CS3
UN	Nguyen Thanh Van	F	UNESCO	Programme Officer, Decent Work and Inclusive Growth JPG	CS1
Civil society	Nguyen Thi Hoa	F	Football For All Vietnam	Deputy Director	CS2
UN	Nguyen Thi Huyen	F	ILO	Project Officer, Handicrafting Initiative in Quang Nam Province	CS1
Civil society	Nguyen Thi Minh Huong	F	Education - Communication Department, Vietnam Women's Union	Head of Department	CS4
Government	Nguyen Thi Nga	F	Department of Gender Equality, MOLISA	Expert	CS2
UN	Nguyen Thi Nhu	F	RCO	Unknown	General

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Type	Name	Sex	Organisation	Title	Case study/ge neral
	Nguyet				
Academic	Nguyen Thi Thu Ha	F	Disaster Management Center	Acting Head of Training and Communication Division	CS4
UN	Nguyen Thi Thuy	F	UN Women	Programme Officer	General
Civil society	Nguyen Thi Thuy (Khanh)	F	National Network of sex workers	Chair	CS3
Government	Nguyen Thi Tu	M	Ethnic Minorities Department, CEMA	Director	CS1
Government	Nguyen Thu Trang	F	School of EM cardes	Trainer, in charge of development curriculum for Training Module on Anthropology Approach	CS1
Government	Nguyen Van Tan	M	P135, CEMA	Deputy Director, Vice Head of Office	CS1
Government	Nguyen Van Tien	M	Parliamentary Committee for Social Affairs	Vice-Chairman	CS2
UN	Nguyen Xuan Hong	M	UNFPA	RBM Team, Programme Officer	General
Government	Nhu Thi Minh Nguyet	F	General Police Department	Head of Department	CS2
Academic	Nicola Jones	F	ODI	Research Fellow	CS3
Government	Nong Thi Bich Lien	F	Foreign Economics Relations Department, International Organisations and INGOs Division, FERD, MPI	Senior Officer	General
Government	Nong Thi Hong Hanh	F	Foreign Economics Relations Department, International Organisations and INGOs Division, FERD, MPI	Head of Division	General
UN	Patricia Fernandez-Pacheco	F	RCO	RBM specialist	General
UN	Peter Reeh	M	UNRCO	Acting Head	General
UN	Pham Thi Lan	F	UNICEF	Parliamentary Governance Specialist	CS4
UN	Pham Thi Thanh Huong	F	UNESCO	Program Oficer, Handicrafting initiative in Quang Nam Province	CS1
Civil society	Pham Thuy Anh	F	Cooperation and Development Foundation	President	CS2
Government	Phan Van Hai	M	Department of Education and Training, Hue Province	Director of Primary Education Department	CS4
UN	Pratibha Mehta	F	RCO	RC	General
UN	Richard Mentall	M	UNDP	Unknown	CS3
UN	Roberta Tranquilli	F	FAO	Operation Coordinator	CS4
UN	Sarah Dix	F	UNDP	Unknown	CS3
UN	Scott Ciment	M	UNDP	Policy Advisor	General
UN	Scott Newman	M	FAO	Senior Technical Coordinator	CS4
UN	Shoko Ishikawa	F	UN women	Country Representative	General
UN	Susan McKay	F	RCO	Communications Manager	General
UN	Tran My Hanh	F	UNDP	M&E Programme Analyst	General
Government	Tran Thi Huyen Trang	F	Department of Legal Affair and Science Management	Controller	CS2
UN	Tran Thi Thuy Anh	F	UN Women	Programme Officer on Governance and Disaster Risk Reduction	CS4
Civil society	Tran Tien Duc	M	Partnership for Action in Health Equity - Coordination Office	Chairman	CS2
Civil society	Tran Tuyet Lan	F	CraftLink	Director	CS1
Government	Tran Xuan Huy	M	General Police Department	Staff	CS2
UN	Truong Thi Quynh Trang	F	UNDP	Project Development Officer	CS3 and 4
Donor	Unknown	F	Norwegian Embassy	Unknown	General
UN	Vo Hoang Nga	F	UNDP	Programme Officer	CS1
UN	Vu Hong Hanh	F	UNRCO	UNV One Plan Monitoring	General
UN	Vu Manh Hong	M	UNICEF	M&E Specialist, Chief of Monitoring and Evaluation	General
Civil society	Vu Minh Hai	F	Oxfam	Programme Manager - Building Resilience	CS4

Type	Name	Sex	Organisation	Title	Case study/general
UN	Vu Phuong Ly	F	UN Women	Programme Specialist	General
Government	Vu Thuong	M	Foreign Economics Relations Department, International Organisations and INGOs Division, FERD, MPI	Senior Officer	General
UN	Youssouf Abdel Jelil	M	UNICEF	Country Representative	General

ANNEX 4: LIST OF REFERENCES

Title	Author	Year
One Plan documentation		
Viet Nam One Plan document 2012 - 2016	The United Nations Viet Nam & The Government of the Socialist Republic of Viet Nam	2012
One Plan 2006-2010	The United Nations Viet Nam & The Government of the Socialist Republic of Viet Nam	2008
Delivering as One Annual Results Report 2012	The United Nations in Viet Nam	2013
Delivering as One Annual Results Report 2013	The United Nations in Viet Nam	2014
Delivering as One Annual Results Report 2014	The United Nations in Viet Nam	2015
UNCT Viet Nam Proposal for DOCO Innovation Facility	UNCT	2015
DaO Synthesis Report on Evaluability Assessment incl Viet Nam	UNEG	2008
Report on Country-led evaluation of the DaO Viet Nam	Derek Poate (ITAD Ltd), Dang Ngoc Dung, Nguyen Hang	2010
Joint Country Analysis Vietnam	Van Arkadie et al.	2010
Synthesis Analysis of Viet Nam's Development Situation and Medium-term Challenges in Preparation of the UN One Plan 2012-2016	The United Nations in Viet Nam	2010
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JPG overview		
JPG meeting minutes 2012-2015		2012-2015
Report on UN joint programming in Viet Nam	Alexander Freese	2014
Compilation of lessons learned from Annual Results Report 2014		
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Presentation: One Plan Lessons Learned		
Annotated Outline of Functional Clustering Report		
Minutes of UNCT Retreat		2015
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IMEP Integrated Monitoring and Evaluation Plan of OP updated Sept 2014	UN RBM WG	2014
Participatory Monitoring for Accountability in Viet Nam	The United Nations in Viet Nam	2014
Equity-focused Systematic Review of Viet Nam's One Plan	Carmen Gonzalez, Dung Dang Ngoc	2014
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UN OP Theories of Change_Focus area 2 2012 2016	Social Protection JPG	2012
UN OP Theories of Change_Focus area 3 2012 2016	Governance JPG	2012
Delivering as One Results Monitoring Framework	The United Nations in Viet Nam	2015
DaO matrix questionnaire responses 2014		2014
(Draft)Preparation of UN "Strategic Plan" Viet Nam 2017-2021	RCO	2015
Framework for Communications 2012-2016 (2014)		
TOR DaO Steering Committee, OPSC, FACGs		2012
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UNCT GENDER EQUALITY MAINSTREAMING STRATEGY 2012-16		
Framework for UN Communications 2012-2016		2012
Overall structure diagram for UN working (DaO, OPSC, JPGs and Working Groups)		
List of joint policy recommendations (2014)		2014
List of joint events and deliverables (2014)		2014
The Millennium Development Goals Report	The United Nations	2015
Glossary of Terms in Monitoring, Evaluation and Results-Based Management	The United Nations in Viet Nam	2011
Results-Based Management Handbook	United Nations Development Group	2011
Results-Based Management Handbook Translation into Vietnamese	United Nations Development Group	2011
One Plan Fund documentation		
Multi-Partner Trust Fund webportal One Plan Fund II		
Viet Nam One Plan Fund II, Terms of Reference, Revised 8 March 2012		2012
Minutes from the OPFMAC meetings 2012-2014		2012,2013,2014
TERMS OF REFERENCE - INDEPENDENT REVIEW OF 2012 ONE PLAN FUND (OPF) SUBMISSSIONS UNDER "DELIVERING AS ONE (DaO) INITIATIVE' IN VIET NAM.		
Guide to the Common Budgetary Framework. Standard Operating Procedures for Countries Adopting the 'Delivering as One' Approach	UNDG	2014
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Mid Term Review - Government of Viet Nam and UNICEF	UNICEF	2015

Country Programme Cooperation		
Draft UNDP Assessment of Development Results	UNDP	2015
Final Evaluation: Green Production and Trade to Increase Income and Employment Opportunities for the Rural Poor	Daniel Paul Keller	June 2013
Evaluation of the UNFPA 8th Country Programme of Assistance (CP8) to the Government of Viet Nam (2012-2016) – Draft Evaluation Report	Jo Kaybryn, Dr Phan Bich Thuy, Nguyen Thi Huong Thao, Bui Thi Thu Huong, Enrique Wedgwood Young	2015
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THE ECONOMIC DEVELOPMENT OF ETHNIC MINORITIES IN VIETNAM	Bob Baulch, Pham Thai Hung, Nguyen Thi Thu Phuong	2009
Explaining Ethnic Minority Poverty in Vietnam: a summary of recent trends and current challenges	Rob Swinkels and Carrie Turk, World Bank, Vietnam	2006
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Country Social Analysis - Ethnicity and Development in Vietnam	World Bank	2009
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Ethnic Minority 2007-2012 Poverty Summary Report	UNDP, CEMA, MOLISA, Irish Aid	2014
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Joint Annual Health Review 2013 towards Universal Health Care	MoH	2013
Viet Nam Health Partnership Document	Health Partnership Group	2013
Joint UN Government Mission on Health Systems Strengthening (Ninh Thuan, Viet Nam)	WHO, FAO, UNFPA, UNICEF, ILO, UNODC, USAID, IOM	2013
Final MDG-F Joint Programme Narrative Report	MDG-F	2013
Greening Value Chains For Sustainable Handicrafts Production in Viet Nam	UNIDO	2013
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ANNUAL PROGRESS REPORT 2014: Strengthening the role of DPOs to advance disability rights in Vietnam	The UN	2015
Independent Evaluation - Technical Assistance to Business Registration Reform in Viet Nam 2008-2013	UNIDO	2013
POLICY BRIEF: INCLUSION OF DIVERSE GENDER AND SEXUALITY TO ACHIEVE FREEDOM AND EQUALITY FOR ALL IN VIET NAM	UNDP	2014
Joint UN Key Recommendations on the Draft Amended Law on Marriage and Family (as of 20 October 2013)	The UN	2013
FROM DOMESTIC VIOLENCE TO GENDER-BASED VIOLENCE: CONNECTING THE DOTS IN VIET NAM - UN discussion paper	The UN	2014
COMMENTARY ON HUMAN RIGHTS PROVISIONS IN DRAFT AMENDMENTS TO 1992 CONSTITUTION (as published for consultation on 2 January 2013)	The UN	2013
Notes from the Policy Dialogue on Reproductive Rights and Reproductive Health in the draft Population Law (co-organized by the Vietnam Fatherland Front and UNFPA)	UNPFA	2015
REPORT: Implementing policies and laws on adolescent and youth sexual and reproductive health	CULTURE, EDUCATION, YOUTH, ADOLESCENT AND CHILD COMMITTEE OF THE NATIONAL ASSEMBLY	2014
MOET, UNESCO and Samsung ESD Initiative: Working together for a more resilient and sustainable society - Final Report	MOET, UNESCO and Samsung	2015
VIET NAM: Women's leading roles emerge in DRR system, draft legislation gendered	Oxfam, UN Women, MARD, VWU, UNDP	2015

Evaluation of the project "Strengthening Sustainable Development and Climate Planning"	Ministry of Planning and Investment, UNDP	2015
Low Carbon Development Options for Viet Nam: Initial Lessons from a Marginal Abatement Cost Curve Exercise	UNDP	2014
Legalizing a greener future	VIR, UNDP	2014
FAO ECTAD Viet Nam Newsletter Mar - Aug 2014	FAO	2014
JOINT CIRCULAR Guidelines for coordinated prevention and control of zoonotic diseases	MARD, MOH	2013
Aid Memoire - Multi-stakeholder Engagement to Combat Antimicrobial Resistance in Vietnam	MOH, MARD, MOIT, MONRE and development partners	2015
A summary report on the disposal and destruction of POP pesticide contaminated soil in Nghe An and Ha Tinh	Tauw bv	2014
Consolidated inputs from JPGs on SEDP		
SP-JPG input on SEDP	SP-JPG	
SP-JPG advocacy priorities	SP-JPG	
Article on socialization in the health sector		
UNCT publication on socialization	UNCT	
WHO publication on socialization in the health sector	WHO	
Presentations on the WB Public Expenditure Reviews		
Advocacy log (UNICEF)	UNICEF	
Documentation on the pilots of social audit tools		
Social Audit Toolkit and its associate manuals		
Public Expenditure Tracking Survey in Dien Bien		
Social Audit Report in Kon Tum		
Social Audit Report in Dien Bien		
Dong Thap Citizen Report Card		
Child Rights-based Social Audit in Dien Bien		
Citizen report card in An Giang		
PM decision on EM indicators/targets		
PM decision on EM survey		
PM decision on Multidimensional Poverty (MDP) Master plan and MDP poverty standards		
Viet Nam Statistical Development Strategy		
Baseline report on Viet Nam Statistical Development Strategy		
Draft revised Statistical Law		
Optimizing Vietnam's HIV Response: An Investment Case		
Joint letter by WHO, UNAIDS, PEPFAR		

ANNEX 5: EQ1 RESULTS

Table 1: Evaluations reviewed in systematic review

Related output	Agency	Programme or Programme component evaluated	Timeframe	Partners
1.2.1 & 1.2.3	ITC	MDG-F- funded Joint Programme on Green Trade and Production	February 2010-June 2013	FAO, ILO, UNIDO, UNTACD, MOIT
1.2.3	ILO	Occupational Safety and Health in Hazardous Work in Southeast Asia	Dec 2014	MOLISA
1.2.4	ILO	Project to Promote the Rights and Opportunities for Persons with Disabilities: Equality through Legislation (PROPEL)22	2012-2015	ILO
No info	ILO	Tripartite Action to Protect Migrants within and from the GMS from Labour Exploitation (TRIANGLE) project23	June 2010-June 2015	DOLISA (Bac Ninh, Ha Thin, Phu To, Thanh Hoa, Quang Ngai)
No info	UNICEF	MDG-F- funded Joint Programme on Integrated Nutrition and Food Security Strategies for Children and Vulnerable Groups in Viet Nam24	2010-2013	FAO, WHO
2.2.1	UNODC	VNM/J93 project, Support for developing effective amphetamine type stimulant prevention strategies and measures in East Asia: A pilot in Viet Nam	2009-June 2012	MOPS
2.4.1	UNAIDS and WHO	Treatment 2.0 Pilot Programmes in Can Tho and Dien Bien	July 2011-Ongoing	VAAC (MoH)
3.2.2	UNODC	Support to strengthening of immigration control capacity at the international border gates and international cooperation to prevent and control migrant smuggling and human trafficking	2010-2013	MPS, MOD
3.1.1 and 3.1.2	UNDP	Strengthening the Capacities for Budgetary Decision and Oversight of People's Elected Bodies in Viet Nam."	2008-2012	MoJ
3.1.1 and 3.1.2	UNDP	Strengthening the Capacity of Representative Bodies in Viet Nam" 25	2008-2012	MoJ
3.2.1, 3.2.2 and 3.2.3	UNDP	Strengthening access to justice and protection of rights in Viet Nam		MoJ
No info	UNWomen	CEDAW South East Asia Programme II	2011-2016	
No info	UNWomen	Evaluation of the ASEAN Regional Mechanisms Programme	2010-2014	

This annex includes our detailed assessment at output level, in the form of a traffic light dashboard of achievement in two areas, according to the following definitions

Delivery of planned activities and outputs: This is a synthesis of the progress on planned activities and outputs as reported in the JPG monitoring tables. Rather than use the more generic "result" used by the UN in these tables, we have clarified this by referring to the more appropriate "activities/outputs".

- Green: Full achievement: full achievement planned activities and outputs.
- Orange: Substantial achievement of planned activities/outputs, but with delays or aspects of partial achievement.
- Red: Limited or no achievement of activities/outputs

Achievement of annual outputs indicator targets: This is a synthesis of progress as reported in JPG monitoring tables and the One Plan database in terms of annual reporting on identified indicators:

- Green: Full achievement of annual indicator targets. Targets are identified and indicators reported on

- Orange: Partial achievement of annual indicator targets. Some achievement of results/some progress. Targets are identified and indicators reported on.
- Yellow: No target and/or no reporting on target. Where there is a lack of reporting on indicator targets or there is no identified target, this has caused a problem for our assessment. In these instances, the narrative shows that the target has been reached or that there has been progress in this area, but it has not been reported on the One Plan data base or in the JPG monitoring tables, or there has been substantial progress, but no target has been identified. In these cases we have cannot assess progress against indicators targets.
- Red: Limited or no achievement on annual indicator targets. In some instances, there is also no identified target or no reporting against indicators; in these instances, the assessment is based on the reporting narrative.

Note that there are overlaps between these two categories, depending on the definition of the output indicator. There are one or two indicators defined for each output, and often the indicators match the planned outputs in the JPG Annual Work Plans, e.g. number of studies produced. In other instances, indicators are defined as a higher level result to be assessed separately from planned activities or outputs produced, e.g. extent of consideration of studies/recommendations in national legislation.

Table 2: Self-reported results for Outcome 1.1

Agencies	Activities/ outputs 2013	Activities/ outputs 2014	Indicators	Indicator target reached 2013	Indicator target reached 2014	Funding mentioned as reason (Y/N)
1.1.1: Strengthened capacities of data producers, providers and users for evidence-based socio-economic development planning and decision-making						
UNICEF, UNDP, UNFPA, ILO, UNHABITAT, FAO, IFAD, UNESCO	5 achieved, 2 partially achieved 3 not reported on	4 achieved, 1 not achieved	Indicator1: VSDS M&E framework operational	Achieved	Achieved	N
			Indicator 2: Degree of users' satisfaction with the quality and timeliness of data provided by the National Statistical System	Partial achievement	No target, but progress reported	N
1.1.2: Strategic options for development policies defined and considered by policy-makers to promote inclusive, people-centred and equitable development						
UNDP, FAO, UNESCO, UNICEF, ILO, UNIDO	4 achieved 6 not reported on	5 achieved 1 partially achieved	Indicator 1: Degree to which research/policy papers are considered and utilized by national stakeholders in formulating development policies.	Exceeded	Target no reported on, but some progress	N
			Indicator 2: Degree to which a participatory and evidence-based approach is applied in SED and sectoral planning at central and local levels.	Achieved	Target no reported on, but some progress	N
1.1.3: A multi-dimensional and human development approach is adopted in the poverty reduction components of SEDPs at national and sub-national level to effectively address chronic and emerging forms of poverty						
UNDP, UNICEF, FAO, UNESCO	3 achieved 2 partially achieved 2 not reported on	3 achieved	Indicator 1: Degree to which GoV poverty reduction monitoring and targeting systems include multi-dimensional approach and methodologies	Achieved	Target no reported on, but some progress	N
			Indicator 2: Degree to which GoV poverty reduction policies are specifically designed to target chronic	Partial	Target not reported on, but achieved	N

Agencies	Activities/ outputs 2013	Activities/ outputs 2014	Indicators	Indicator target reached 2013	Indicator target reached 2014	Funding mentioned as reason (Y/N)
			and newly emerging forms of poverty			

Table 3: Self-reported results for Outcome 1.2

Agencies	Activities/ outputs 2013	Activities/ outputs 2014	Indicators	Indicator target reached 2013	Indicator target reached 2014	Funding mentioned as reason (Y/N)
Output 1.2.1: Inclusive policies and support programmes for sustainable enterprise development are formulated and implemented with particular focus on micro and small enterprises, for decent job creation and progressive formalization of the informal sector						
UNESCO, ILO, FAO, UNIDO, UNV, IOM, ICT, IFAD	7 achieved 1 not reported on	6 achieved	Indicator 1: Number of newly registered businesses in NBRS (National Business Registration System) in selected provinces	Exceeded	Partially achieved	N
Output 1.2.2: Vocational training and specialized skills development policies and support programmes of a high standard are formulated in response to market needs and accessible in particular to vulnerable groups and the informal economy						
ILO, FAO, UNESCO	5 achieved 1 not reported on	8 achieved 2 partially achieved	Indicator 1: Number of national skills standards issued	Not reported on – not achieved	Not reported on – not achieved	Y
			Indicator 2: Number of guidelines for life skills, education and counselling	Achieved	Not reported on – not achieved	
Output 1.2.3: Targeted micro and small businesses more competitive with greater market shares						
UNIDO, ILO, FAO, ITC, UNCTAD, UNESCO, WHO, UNEP	6 achieved 1 partially achieved 1 not reported on	7 achieved	Indicator 1: Number of value chains upgraded	Exceeded	Exceeded	N
Output 1.2.4: Employment policies are strengthened to prevent and address discrimination and exploitation of internal and external migrant workers, and other disadvantaged groups in the labour market due to their sex, HIV status or disability						
IOM, UN Women, ILO, UNESCO	5 achieved 1 partially achieved 1 not reported on	6 achieved 1 not reported on	Indicator 1: Number of legal documents developed and/or amended with stronger focus on anti-discrimination against disadvantaged and vulnerable groups	Partially achieved	Not reported on – some progress	N

Table 4: Self-reported results for Outcome 1.3

Agencies	Activities/ outputs 2013	Activities/ outputs 2014	Indicators	Indicator target reached 2013	Indicator target reached 2014	Funding mentioned as reason (Y/N)
Output 1.3.1: Planning and investment processes are climate proofed and specific programmes have been formulated and operationalized for long term adaptation to reduce climate change vulnerabilities						
UNDP, UN-Habitat, UNIDO	Achieved: 3 Not reported on:1	Achieved: 10	Indicator 1: Number of legal documents issued that effectively enable planners and policy makers to climate proof their development plans and investments	Exceeded	Not reported on – not achieved	N
			Indicator 2: Percentage of national and provincial plans, policies and strategies that are climate proofed under new guidelines	No target, some progress reported	Not reported on, but some progress described	

Output 1.3.2: Resilience of at-risk and vulnerable groups to natural hazards is enhanced, and nationally relevant aspects of international agreements on disaster risk management are implemented						
FAO, IOM, UNDP, UNESCO, UNICEF, UN Women, WHO	Achieved: 9 Partially achieved: 1	Achieved: 9	Indicator 1: Percentage of participation of vulnerable groups institutionalized in disaster-related decision making processes for sub-national level preparedness, response and early recovery activities (including gender sensitive risk assessments)	Not reported on	Not reported on, some progress described	N
			Indicator 2: Percentage of communities targeted, national and sub-national Government and Central Committee for Flood Storm and Control (CCSFC) members that show increased knowledge of CBDRM	No reported on, but target achieved in narrative	Not reported on, but progress described	
Output 1.3.3: A national system for REDD and NAMAs for a number of strategically chosen sectors and localities are formulated and operationalized with clear potential benefits						
FAO, UNDP, UNEP, UNODC, UNIDO	Achieved:6 Partially achieved: 4	Achieved: 6 Partially achieved: 5 Not achieved: 1	Indicator 1: Number of subsectors/ cities/ towns/provinces with NAMAs developed and submitted to an international registe	Achieved	Not reported on, but target has been reached from narrative	N
			Indicator 2: A national REDD+ architecture has been established and REDD+ is piloted in 5 provinces	Not reported on – not achieved	Not reported on, but some progress described	
Output 1.3.4. National long-term climate change strategy operationalized that is based on the national development vision (SEDS), while building on the National Target Programme results						
UNDP, UNV WHO	Achieved:1 Not reported on:2	Achieved: 4 Partially achieved: 4 Not achieved: 1	Indicator 1: A draft national climate change strategy and green development strategy are developed that are gender mainstreamed.	Partially achieved	Not reported on, but achieved acc. narrative.	N
			Indicator 2: Number of drafts underlying supporting legalization developed	Not reported on – no achieved	Not reported on – not achieved	

Table 5: Self-reported results for outcome 1.4

Agencies	Activities/ outputs 2013	Activities/ outputs 2014	Indicators	Indicator target reached 2013	Indicator target reached 2014	Funding mentioned as reason (Y/N)
Output 1.4.1: Policies, regulations and fiscal tools for green economic development, natural resources management and cleaner production are formulated and applied						
FAO, UNDP, UNV, UNEP, UN-Habitat, UNIDO	Achieved: 9 Partially achieved: 1	Achieved: 6 Partially achieved: 4	Indicator 1: A new law and a revised law to include provisions on resource efficiency, cleaner production, and sustainable consumption.	Partial achievement	Not reported on, but narrative shows some achievement	N
Output 1.4.2: A set of coherent policies and plans are prepared or updated to strengthen (1) management of protected areas and biodiversity conservation, and (2) environment management at national and community levels						
UNDP	Achieved: 4 Not reported on: 2	Achieved: 5	Indicator 1: A comprehensive financing mechanism to provide finance for national protected areas systems and biodiversity conservation.	Partial achievement	Not reported on, but narrative shows achievement	N
			Indicator 2: A government decision and related regulations on establishment of a wetland protected area system in Viet Nam.	Partial achievement	Not reported on, but narrative shows partial achievement	N
Output 1.4.3: Policies, plans and technical skills are strengthened for the sound management of hazardous chemicals and persistent						

Agencies	Activities/ outputs 2013	Activities/ outputs 2014	Indicators	Indicator target reached 2013	Indicator target reached 2014	Funding mentioned as reason (Y/N)
organic pollutants (POPs), in accordance with international conventions						
UNDP	Achieved: 5	Achieved: 7 Partially achieved: 2	Indicator 1: Number of tonnes of (POPs—obsolete pesticides, pesticide-contaminated soils and dioxin-contaminated soil— contained and remediated in accordance with international environmental requirements.	Partial achievement	Not reported on, but narrative shows partial achievement	N
Output 1.4.4: Regulations and fiscal tools formulated and operationalized to enhance rights of the land holders, improve land use and water resources management, and enhance access to decent and social housing by the poor and vulnerable groups						
UN-Habitat	Achieved: 2	Achieved: 1	Indicator 1: At least 10 policy analyses/ evidence-based studies on land management, water resources management, and housing development carried out to provide quality inputs for policy dialogues and policy development/revision.	Not reported on, but narrative shows limited achievement	Not reported on, but narrative shows partial achievement	N

Table 6: Self-reported results for Outcome 2.1

Agencies	Activities/ outputs 2013	Activities/ outputs 2014	Indicators	Indicator target reached 2013	Indicator target reached 2014	Funding mentioned as reason (Y/N)
Output 2.1.1: High quality evidence is available for use by decision-makers to inform the formulation, monitoring and evaluation of social protection related legislation and policy						
ILO, UNFPA, UNDP, UNICEF, UN Women, IOM	Achieved: 8 Partially achieved: 2	Achieved: 12	Indicator 1 (new): Number of major studies, research and surveys available that respond to social protection priorities in Resolution 15 (number)	Partial achievement	No target, but substantial progress reported	N
			Indicator 2 (revised): Availability of M&E framework for Social Assistance policy reform (in line with Resolution 70 and task distribution appendix)	Achieved	No target, no data	
Output 2.1.2: Policy advice and technical support provided and considered by the Government to enhance the effectiveness of the social protection system, with a particular focus coherence between different pillars and with other relevant policy frameworks						
UNDP, UNICEF, UN Women, ILO, IOM, UNFPA, FAO, UNODC, UNAIDS, UN-Habitat, UNESCO	Achieved: 7 Not reported on: 4	Achieved: 11	Indicator 1 (new): Number of draft policies/laws/decrees in the field of social protection that incorporate data from UN supported studies and studies/pieces of research/surveys (number)	Partial achievement	No target, but progress reported	N
			Indicator 2 (new): Number/type of advocacy documents studies which identify issues of coherence and overlap between different policies in the field of social protection disseminated to government partners (number)	Partial achievement	No target, but progress reported	
Output 2.1.3: Alternative legal, policy, targeting and financing options are available and considered by the Government for the expansion of integrated and adequate social assistance, social insurance and social welfare and protection services						
UNDP, UNICEF, IOM, ILO	Achieved: 7 Not reported on: 2	Achieved: 5 Partially achieved: 2	Indicator 1 (new): Number of draft policies/decrees/circulars that incorporated the recommended options (number)	Not reported, but narrative shows partial achievement	No target, but progress reported	N
			Indicator 2: Extent to which the	Achieved	No target,	

			recommendations for the enhanced and coherent legal framework for the protection of selected vulnerable groups are discussed in the appropriate fora		not reported on	

Output 2.1.4: Institutional and human resource capacity strengthened to design and deliver social assistance, social insurance, and social welfare and protection services

| IOM, UNICEF | Achieved: 2
 Partially achieved: 1
 Not reported on: 5 | Achieved: 3
 Partially achieved: 4 | Indicator 1 (new): Number of new systems, tools or processes developed to strengthen delivery of social protection services (number) | Exceeded | No target, but progress reported | N |
| | | | Indicator 2: Availability of a management and information system on human trafficking | No target, not reported on | No target, not reported on | |

Table 7: Self-reported results for Outcome 2.2

Agencies	Activities/ outputs 2013	Activities/ outputs 2014	Indicators	Indicator target reached 2013	Indicator target reached 2014	Funding mentioned as reason (Y/N)
Output 2.2.1: Policy advice and technical support provided to strengthen the building blocks of human and animal health systems, including information systems and the generation of evidence, at national and sub-national levels						
WHO, UNFPA, UNICEF, UN-Habitat, UNAIDS, IOM	Achieved: 5	Achieved: 6 Partially achieved: 1 Not reported on: 1 HIV: Achieved: 6 Partially achieved: 1	Indicator 1: Number of policy studies/options developed with UN support during 2012-2016 to strengthen the building blocks of human and animal health systems	No target, but progress reported	No target, no reporting, narrative shows progress	N
			Indicator 2: Number of regulatory, policy, planning, strategy and guideline development processes supported by the UN during 2012-2016 related to strengthening the building blocks of human and animal health systems (disaggregated by provision of normative standards/guidelines; provision of tech advice/review; number of consultations supported; promulgation; reviews of implementation)	No target, but progress reported	No target, no reporting, narrative shows progress	
Output 2.2.2: Policy advice and technical support provided to improve evidence about, prevent and effectively manage non-communicable conditions at national and sub-national levels						
WHO, UNODC, ILO, UNAIDS, UNICEF	Achieved: 4	Achieved: 5 Partially achieved: 2	Indicator 1: Number of policy studies/options developed with UN support during 2012-2016 on prevention, control and management of non-communicable conditions	No target, but progress reported	No target, no reporting, narrative shows progress	Y
			Indicator 2: Number of regulatory, policy, planning, strategy and guideline development processes supported by the UN during 2012-2016 related to the prevention, control and management of non-communicable conditions (disaggregated by provision of normative standards/guidelines; provision of tech advice/review; number of consultations supported; promulgation; reviews of implementation)	No target, no reporting, narrative shows progress	No target, no reporting, narrative shows progress	
Output 2.2.3: National and sub-national capacities enhanced to improve evidence about, prevent and control communicable diseases of humans and animals						
FAO, WHO, UNAIDS, UNICEF	Achieved: 10	Achieved: 6 HIV: Achieved:	Indicator 1: Number of policy studies/options developed with UN support during 2012-2016 on prevention and control of communicable diseases	No target, but progress reported	No target, no reporting, narrative shows progress	N

	3		Indicator 2: Number of regulatory, policy, planning, strategy and guideline development processes supported by the UN during 2012-2016 related to the prevention, control and management of communicable diseases (disaggregated by provision of normative standards/guidelines; provision of tech advice/reviews; number of consultations supported; promulgation; reviews of implementation)	No target, but progress reported	No target, no reporting, narrative shows progress

Output 2.2.4: National and sub-national capacities enhanced to strengthen evidence, improve universal access to, and utilization of, a quality and gender-sensitive package of nutrition and sexual, reproductive, adolescent, maternal, neonatal, and child health care and services

UNICEF, WHO, UNFPA, UNAIDS	Achieved: 5	Achieved: 6 HIV: Achieved: 5 Partially achieved: 1	Indicator 1: Number of policy studies/options developed with UN support during 2012-2016 on increasing access to and utilization of sexual, reproductive, adolescent, maternal and child health and nutrition identified and adapted for national implementation	No target, but progress reported	No target, no reporting, narrative shows progress	N
			Indicator 2: Number of regulatory, policy, planning, strategy and guideline development processes supported by the UN during 2012-2016 related to sexual, reproductive, adolescent, maternal and child health and nutrition (disaggregated by provision of normative standards/guidelines; provision of tech advice/review; number of consultations supported; promulgation; reviews of implementation)	No target, but progress reported	No target, no reporting, narrative shows progress	

Output 2.2.5: National and sub-national capacities enhanced to improve evidence and the equitable access to and demand for quality and sustainable water supply and hygienic sanitation

WHO, UNICEF, UN-Habitat	Achieved: 3	Partially achieved: 2 Not reported on: 2	Indicator 1: Number of policy studies/options developed with UN support during 2012-2016 in relation to water quality, sanitation and hygiene to support inequity/disparity reduction.	No target, no reporting	No target, no reporting	N
			Indicator 2: Percentage of rural households having access in selected localities to improved sanitation latrines	No target, no reporting	No target, no reporting	

Source: Health JPG monitoring tables 2013, 2014; HIV JPG Monitoring tables 2013, 2014

Table 8: Self-reported results for Outcome 2.3

Agencies	Activities/ outputs 2013	Activities/ outputs 2014	Indicators	Indicator target reached 2013	Indicator target reached 2014	Funding mentioned as reason (Y/N)
Output 2.3.1: Improved evidence is available to ensure education policies are inclusive, relevant and learner-friendly with a special focus on vulnerable and disadvantaged groups						
UNESCO, UNICEF	Achieved: 6	Achieved: 5	Indicator 1: Number of studies on inclusive learner-friendly educational approaches targeting disadvantaged learners, including ethnic minorities conducted and disseminated	Partial achievement	Partial achievement	N
			Indicator 2: Number of Government officials, policymakers and stakeholders with increased understanding on barriers on education for ethnic minority children (through participation in dissemination events and workshops).	Exceeded	Partial achievement	
Output 2.3.2: Educational institutions have enhanced capacities to improve learning outcomes and literacy for all, in particular for vulnerable and disadvantaged groups						
UNICEF, UNESCO, ILO	Achieved: 6	Achieved: 5	Indicator 1: Number of curriculum experts with enhanced capacity to implement tools and guides to integrate environmental sustainability, cultural diversity, reproductive health, HIV prevention and relevant life skills into the curriculum	Exceeded	Achieved	N
			Indicator 2: Number of education managers with enhanced capacity to use learning outcome assessment tools and instruments for improved planning and monitoring	Exceeded	Exceeded	
Output 2.3.3: Education institutions and managers at national, provincial and district levels have enhanced capacities to develop,						

			implement and monitor evidence-based policies and programmes for improved quality of teaching and learning for all			
UNESCO, UNICEF	Achieved: 5	Achieved: 6	Indicator 1: Number of provinces undertaking regular and systematic monitoring of the implementation of education policies for disadvantaged children	Achieved	Partial achievement	N
			Indicator 2: Number of quality assurances and accreditation (QAA) agencies established	Not achieved	Limited progress	

Table 9: Self-reported results under Outcome 2.4

Agencies	Activities/ outputs 2013	Activities/ outputs 2014	Indicators	Indicator target reached 2013	Indicator target reached 2014	Funding mentioned as reason (Y/N)
Output 2.4.1: National HIV legal and policy frameworks strengthened to guide evidence- informed responses that effectively address stigma, discrimination, inequality and inequity						
UNAIDS, UNODC, UN Women, UNDP, WHO, UNESCO, UNICEF, UNFPA, ILO	Achieved: 8	Achieved: 24 Partially achieved: 9	Indicator 1: Number of policy advice/options papers covering HIV-related: (a) stigma and discrimination, (b) inequality, (c) inequity and (d) feedback to improve policy implementation and policy effectiveness developed and submitted for consideration to Government of Viet Nam during 2012-2016	Achieved	No target, but some progress reported	N
			Indicator 2: Number of Viet Nam reports on progress towards the UN General Assembly commitments on HIV developed through a consultative process with key stakeholders , including PSPMOs	Achieved	Exceeded	
Output 2.4.2: Multi-sectoral coordination mechanisms strengthened to ensure full engagement and participation of key stakeholders to support a sustainable HIV response						
UN Women, UNDP, UNFPA, UNODC, UNAIDS, ILO, UNESCO, UNICEF	Achieved: 6	Achieved: 8	Indicator 1: Roadmap for a sustainable financial HIV response developed	Achieved	Achieved	N
			Output indicator 2: Number of PSPMOs participating in national HIV multi-sectoral coordination mechanisms	Achieved	Achieved	
Output 2.4.3: Gender-related legal and policy frameworks, programmes and practices strengthened to effectively address gender inequality and inequity, gender discrimination and gender-based violence						
ILO, UNDP, UN Women, WHO, IOM, UNFPA, UNODC, UNESCO, WHO, UNICEF, UNAIDS	Achieved: 6	Achieved: 6 Partially achieved: 2	Indicator 1: Number of policy advice papers/policy options covering: (a) gender equality and inequity, and (b) gender-based violence prepared and submitted for consideration to GoV during 2012-2016	Achieved	Exceeded	N
			Indicator 2: Availability of minimum comprehensive GBV package	Achieved	Partial achievement	
Output 2.4.4: Multi-sectoral coordination mechanisms effectively guide comprehensive evidence-based planning, budgeting, M&E for a sustainable response to gender inequality, inequity, discrimination and gender-based violence						
ILO, IOM, UNFPA, UNODC, UN Women, UNICEF, UNESCO, UNDP	Achieved: 4	Achieved: 5 Not achieved: 1	Indicator 1: Availability of a national planning and M&E Framework on gender-based violence as part of the multi-sectoral coordination mechanism	Partial achievement	Partial achievement	N
			Indicator 2 (revised): Extent to which the gender action partnership (GAP) is fully operational as a multi-sectoral dialogue mechanism for validating priorities of policies and programmes on gender equality	New indicator - not reported on in 2013	Achieved	

Table 10: Self-reported results for Outcome 3.1

Agencies	Activities/ outputs 2013	Activities/ outputs 2014	Indicators	Indicator target reached 2013	Indicator target reached 2014	Funding mentioned as reason (Y/N)
Output 3.1.1: Elected bodies benefit from enhanced knowledge generation and knowledge management to access high quality research and data to guide their legislative duties						
UNFPA, UN Women, UNICEF, UNDP , ILO, WHO	Achieved: 8	Achieved: 8	Indicator 1 (revised): Extent to which relevant research findings have been discussed and considered by elected bodies in adoption of laws, ordinances and development of oversight guidelines and tools	Achieved	Achieved	N
			Indicator 2 (revised): Number of new rights-based parliamentary oversight guidelines and tools developed for approval by NA	Achieved	Not achieved	
Output 3.1.2: Elected officials and bodies have improved capacities to interact and consult with citizens, especially vulnerable and disadvantaged groups						
UNDP, UNICEF, UNAIDS, UNWOMEN	Achieved: 2 Not reported on: 1	Achieved: 3 Partially achieved: 1 Not reported on: 1	Indicator 1 (revised): Percentage of legal documents published for consultation before approval by elected officials and bodies	Achieved	Achieved	N
			Indicator 2 (revised): Number of provinces and NA committees have conducted official interactions to consult with citizens	Achieved	Unclear	

Table 11: Self-reported results under Outcome 3.2

Agencies	Activities/ outputs 2013	Activities/ outputs 2014	Indicators	Indicator target reached 2013	Indicator target reached 2014	Funding mentioned as reason (Y/N)
Output 3.2.1: Policy, legal and regulatory framework strengthened to better reflect the rights of the most vulnerable groups and increase their access to justice						
UNODC, UN Women, UNDP, UNICEF, UNAIDS, ILO, IOM	Achieved: 10	Achieved: 10	Indicator 1 (new): Number of draft laws/policies and monitoring mechanism that addressed human rights concerns of vulnerable groups	Achieved	Achieved	N
			Indicator 2: Availability of good monitoring frameworks and mechanisms on implementation of national strategies and programmes related to protection of rights and access to justice.	Achieved	Achieved	
Output 3.2.2: Law enforcement and judicial institutions strengthened to better protect rights, and provide increased access to justice to all people, particularly the most vulnerable groups						
UNODC, UNFPA, UN Women, UNV, UNICEF, UNDP	Achieved: 7	Achieved: 4	Indicator 1 (new): Number of new guidelines/protocols and mechanism developed to strengthen human rights protection under the Justice/Courts/Police system	Not reported on, narrative shows partial achievement	Achieved	N
Output 3.2.3: Legal, law enforcement and judicial personnel have enhanced knowledge and skills to carry out their obligations under Vietnam's Constitution and laws as well as ratified international conventions						
IOM, UNODC, UNFPA, UN Women, UNDP, UNICEF, UNAIDS	Achieved: 7	Achieved: 3 Partially achieved: 1 Not achieved: 1	Indicator 1: Number of new training packages for law enforcement and judicial personnel on rule of law and protection of rights developed with UN support	Achieved	Achieved	Y
			Indicator 2: Number of new child friendly policies for investigation, prosecution and adjudication developed and adopted with UN support	Achieved	Achieved	
Output 3.2.4: Awareness-raising programmes and legal support services developed and effectively implemented to enable all						

people, particularly vulnerable groups, to be aware of, and claim their rights						
UNODC, UNFPA, UN Women, UNICEF, UNDP, UNAIDs, ILO	Achieved: 9	Achieved: 9 Not reported on: 1	Indicator 1: Number of groups of vulnerable people receiving free legal support services with UN support	Achieved	No target, data not yet available	N
			Indicator 2: Availability of new victim support services for children victims and witnesses developed with UN support	Achieved	Achieved	

Table 12: Self-reported results for Outcome 3.3

Agencies	Activities/ outputs 2013	Activities/ outputs 2014	Indicators	Indicator target reached 2013	Indicator target reached 2014	Funding mentioned as reason (Y/N)
Output 3.3.1: Government Agencies at the national and sub-national level are able to apply participatory, evidence-based and cross-sectoral approaches in planning, implementation of and monitoring the public services delivery for the most vulnerable and disadvantaged groups						
UNICEF, UN-Habitat, UNDP	Achieved: 2	Achieved: 4	Indicator 1: Annual Plan of Action for Children and other cross-sectoral plans on key social issues for vulnerable groups developed and being used by the provinces	Achieved	Achieved	N
			Indicator 2: Availability of system and tools in selected provinces for cross-sectoral planning, implementation and monitoring of basic public services	Achieved	Achieved	
Output 3.3.2: The public administration systems at national level and in selected provinces, have enhanced human resource management systems, a customer-oriented approach, and strengthened mechanisms for accountability and transparency						
UNICEF, UNDP, UN Women, UN-Habitat	Achieved: 9	Achieved: 5 Partially achieved: 1	Indicator 1: Number of provinces that monitor service provision and performance through the use of social audit tools.	Not reported on, but achieved acc. narrative	Achieved	N
			Indicator 2: Number of public administrative agencies with transparent and accountable human resource development procedures supported by UN agencies as per new Law on Public Officials and Civil Servants (LPOCS).	No target, but some progress acc. narrative	Achieved	
Output 3.3.3: Selected National Institutions have enhanced capacities to implement and monitor implementation of national legislation on anti-corruption and key provisions of the UN Convention Against Corruption (UNCAC)						
UNODC, UNDP	Achieved: 6	Achieved: 4	Indicator 1: Number of trainings on investigation, prosecution and adjudication on corruption and money laundering organized by the UN	No activities related to indicator in 2013	Achieved	N
			Indicator 2: Frequency of review of implementation of national legislation on anti-corruption and key provisions within the UN Convention Against Corruption (UNCAC)	No activities related to indicator in 2013	Achieved	
Output 3.3.4: Systems to monitor the performance of government institutions and the delivery of basic public services are evidence-based and include mechanisms for citizen feedback						
UNICEF, UNDP	Achieved: 1	Achieved: 2	Indicator 1: Availability of improved data and information in selected provinces for evidence-based assessment of government institutions and delivery of public services	Achieved	Achieved	
			Indicator 2: Number of provinces in which Viet Nam Provincial Governance and PAPI is undertaken	Achieved	Achieved	

Table 13: Self-reported results for Outcome 3.4

Agencies	Activities/ outputs 2013	Activities/ outputs 2014	Indicators	Indicator target reached 2013	Indicator target reached 2014	Funding mentioned as reason (Y/N)
Output 3.4.1: Enabling legal, policy and institutional frameworks and dialogue mechanisms available for PSPMOS to participate in policy discussion and decision-making processes						
UNDP, ILO, UNICEF	Achieved: 1	Achieved: 6	Indicator 1: Number of new and/or revised policies, legal documents and guidelines facilitating the participation of PSPMOs that are developed with UN support	Achieved	No data- not achieved	N
Output 3.4.2: PSPMOs' human resources and organisation capacities strengthened to provide significant contributions in the development of policies in the best interests of the most vulnerable groups						
UNAIDS, UN Women, UNDP, ILO, UNICEF	Achieved: 3	Achieved: 5	Indicator 1: Number of new reports with recommendations on laws and policies that are developed by PSPMOs and submitted to legislative or executive agencies	Achieved	No target or reporting, but some progress described	N
			Indicator 2: Number of new institutional capacity development activities targeting PSPMOs supported by the UN	Achieved	No target or reporting, but some progress described	

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ANNEX 6: EQ1 FINANCIAL RESOURCES

Table 1: Detailed OPF allocation data

Organization	Year	Approved budget	Net Funded Amount	Transfers	Total transfers by agency	Refunds	Expenditure
FAO	2015	250 000.00	250 000.00	250 000.00		0.00	240 521.31
	2014	463 000.00	463 000.00	463 000.00	1 591 683.00	0.00	283 759.90
	2013	575 267.00	520 067.00	520 067.00		0.00	172 712.95
	2012	358 616.00	358 616.00	358 616.00		0.00	1 105 350.65
ILO	2015	36 000.00	-1 230.00	0.00		-1 230.00	0.00
	2014	178 181.60	77 357.78	178 181.60	1 957 281.60	-100 823.82	825 967.01
	2013	1 099 163.00	1 099 163.00	1 099 163.00		0.00	233 103.18
	2012	679 937.00	679 937.00	679 937.00		0.00	1 269 884.00
IOM	2014	73 586.00	73 586.00	73 586.00		0.00	107 041.00
	2013	217 575.00	217 575.00	217 575.00	338 591.00	0.00	59 439.00
	2012	47 430.00	47 430.00	47 430.00		0.00	1 770.00
UNAIDS	2015	148 895.00	148 895.00	148 895.00		0.00	-1.77
	2014	119 300.00	119 300.00	119 300.00	914 018.00	0.00	-70 078.45
	2013	394 605.00	394 605.00	394 605.00		0.00	78 256.91
	2012	251 218.00	251 218.00	251 218.00		0.00	354 111.09
UNDP	2015	1 010 287.00	1 010 287.00	1 010 287.00		0.00	997 274.26
	2014	1 468 224.00	1 468 224.00	1 468 224.00	9 528 028.00	0.00	2 749 455.24
	2013	5 238 823.00	5 238 823.00	5 238 823.00		0.00	2 416 426.77
	2012	1 810 694.00	1 810 694.00	1 810 694.00		0.00	10 348 300.38
UNDP(UNV)	2015	0.00	0.00	0.00		0.00	55 063.94
	2014	20 000.00	20 000.00	20 000.00	179 952.00	0.00	0.00
	2013	100 452.00	100 452.00	100 452.00		0.00	13 324.61
	2012	59 500.00	59 500.00	59 500.00		0.00	0.00
UNEP	2015	0.00	0.00	0.00		0.00	58 035.00
	2014	0.00	0.00	0.00	84 500.00	0.00	58 035.00
	2013	64 500.00	64 500.00	64 500.00		0.00	0.00
	2012	20 000.00	20 000.00	20 000.00		0.00	0.00
UNESCO	2015	170 000.00	170 000.00	170 000.00		0.00	0.00
	2014	141 221.00	140 289.57	141 221.00	880 300.00	-931.43	207 585.03
	2013	405 722.00	405 721.98	405 722.00		-0.02	155 633.74
	2012	163 357.00	163 357.00	163 357.00		0.00	376 028.59
UNFPA	2015	0.00	0.00	0.00		0.00	58 625.90
	2014	816 340.00	816 340.00	816 340.00	2 330 020.00	0.00	671 806.00
	2013	1 794 256.00	1 281 982.94	1 399 680.00		-117 697.06	695 448.88
	2012	114 000.00	114 000.00	114 000.00		0.00	1 871.02
UNHABITAT	2015	154 029.00	154 029.00	154 029.00		0.00	0.00
	2014	87 134.00	87 134.00	87 134.00	810 648.00	0.00	292 322.13
	2013	331 690.00	331 690.00	331 690.00		0.00	129 141.08
	2012	237 795.00	237 795.00	237 795.00		0.00	351 470.32
UNICEF	2015	521 004.00	521 004.00	521 004.00		0.00	0.00
	2014	1 212 936.60	1 210 497.18	1 212 936.60	6 074 176.60	-2 439.42	1 614 977.17
	2013	3 636 965.00	3 216 620.00	3 216 620.00		0.00	1 401 585.34
	2012	1 123 616.00	1 123 616.00	1 123 616.00		0.00	1 600 467.12
UNIDO	2015	0.00	0.00	0.00		0.00	194 483.57
	2014	196 800.00	196 800.00	196 800.00	1 041 530.00	0.00	251 936.00
	2013	617 230.00	617 230.00	617 230.00		0.00	107 536.00
	2012	227 500.00	227 500.00	227 500.00		0.00	597 568.00
UNODC	2015	205 372.00	205 372.00	205 372.00		0.00	202.66
	2014	228 372.00	225 365.00	228 372.00	1 628 591.50	-3 007.00	364 459.70
	2013	935 183.00	850 183.00	850 183.00		0.00	287 335.20
	2012	344 664.50	344 664.50	344 664.50		0.00	793 114.75
UNWOMEN	2015	416 447.00	411 567.21	416 447.00		-4 879.79	85 472.41
	2014	167 366.00	167 337.58	167 366.00	1 449 727.00	-28.42	277 180.43
	2013	520 914.00	520 914.00	520 914.00		0.00	263 176.36
	2012	345 000.00	345 000.00	345 000.00		0.00	283 768.56
WHO	2014	1 010 161.52	1 010 161.52	1 010 161.52		0.00	1 153 610.69
	2013	2 078 211.00	1 229 517.00	1 229 517.00	2 999 890.52	0.00	524 131.53
	2012	760 212.00	760 212.00	760 212.00		0.00	1 660 365.75
Grand total		33 648 752.22	31 577 900.26	31 808 937.22	31 808 937.22	-231 036.96	35 759 055.91

Source: MFTP, accessed 2 November 2015. Note: Refunds are unspent funds that have been transferred back to the MPTF.

Table 2: Presence at OPFMAC fund allocation meetings

Organization	Round 1	Round 2	Round 3	Round 4	Round 5
FAO	1	1	1	1	1
IFAD	-	-	-	-	-
ILO	1	1	1	1	-
IOM	1	1	1	1	1
UNAIDS	1	1	1	1	1
UNDP	1	1	1	1	1
UNDP(UNV)	1	1	1	1	-
UNEP	-	-	-	-	-
UNESCO	1	1	1	1	1
UNFPA	1	1	1	1	-
UNHABITAT	-	1	1	1	-
UNICEF	-	1	1	1	1
UNIDO	1	1	-	1	1
UNODC	1	1	1	1	1
UNWOMEN	1	1	1	1	-
WHO	1	-	1	1	1
RCO	1	1	1	1	1

Source: OPFMAC meeting minutes

ANNEX 7: EQ2 THE WAY WE WORK

Table 1: Attendance by agencies in JPGs where they are not convenor or co-convenor

	Economic Growth and Decent Work	Climate Change and Environment	Social Protection	Health	Education	HIV	Gender	Governance and Rule of Law
Meeting frequency[1]	Quarterly	Quarterly	Quarterly	Bimonthly plus ad hoc	Ad hoc	Monthly	Monthly	Quarterly
Minuted meetings 2013-15[2]	2013: 0 2014: 3 2015: 0	2013: 1 2014: 2 2015: 1	2013: 0 2014: 4 2015: 3	2013: 0 2014: 4 2015: 5	2013: 0 2014: 3 2015: 1	2013: 0 2014: 11 2015: 5	2013: 0 2014: 5 2015: 4	2013: 2 2014: 1 2015: 0
Lists of participants	2 (of 3)	1 (out of 4)	3 (out of 7)	None	4 (out of 4)	11 (out of 11)	9 (out of 9)	1 (out of 3)
FAO	Convenor	2					1	
IFAD								
ILO	Co-convenor		Co-convenor		3	11	4	1
IOM	1	3	2				3	1
ITC								
UN Women		2	3			11	Convenor	1
UNAIDS						Convenor	4	1
UNDP	1	Convenor	4				4	Convenor
UNEP								
UNESCO		2			Convenor	7	1	
UNFPA	1	1	3	Co-convenor		11	Co-convenor	1
UNHABITAT	1	3						1
UNICEF	1	3	Convenor		Co-convenor	9	4	1
UNIDO	1	Co-convenor						
UNODC		2				Co-convenor	3	Co-convenor
UNV								
WHO		2	2	Convenor		10	1	

Source: JPG meeting minutes. Note that JPG membership is highlighted in green and the source is the JPG monitoring tables and whether they mention involvement by that agency. For the climate change JPG, there is attendance by agencies that do not have specific responsibilities for activities.

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[1] Document on JPG Overview
[2] Note that this is based on minutes sent to the ET. There may have been ad hoc meetings outside of this and minutes from 2013 (and 2012) may not have been shared.

ANNEX 8: SURVEY ANALYSIS

1 Introduction

Surveys can be used to gauge attitudes and perceptions of particular audiences. Given the broad number of participating agencies and implementing partners, an electronic web survey was developed and administered to key stakeholders in order to access a broader range of stakeholders on areas such as effectiveness and efficiency. This survey consisted of closed ranked questions that enabled the review team to gather some quantitative data to be triangulated with qualitative data from interviews and focus group discussions and used to compare findings across groups. The survey enabled the inclusion of a broader group of stakeholders than through the case studies. The survey allowed us to compare and contrast which aspects of the UN's work in Viet Nam is seen as particularly important and successful by different stakeholders.

Response rate

The response rate is difficult to assess that we were not able to send out the survey ourselves; rather the UN distributed the survey on behalf of the review team. The EMG did not have access to a list of survey respondents and instead asked individual UN agencies to distribute the survey to their key partners.

Although we do have a list of people and organizations that were made aware of the survey (see table at the bottom this report), we do not know the exact number how have received the survey. Some organizations may have shared with several of their staff. This may be the case with the government, NGO and research partners cohorts, considering that the potential response rate is very high for these cohorts. However, the survey was set up in such a way to ensure that no one would be able to complete it more than once.

For the UN, an 18% response rate is not very high, but considering that all staff were sent the survey, including administrative and support staff, it is sufficient to provide a good overview of UN perceptions.

For donors, while the overall number is lower, the percentage response rate is higher showing an interest in inputting their opinion.

	Sent out to	Responses	Response rate
UN staff	500	90	18%
Donors	15	4	27%
Government/	59[3]	40	88%
NGOs/ research institutions		12	

Limitations

- Difficultly in assessing the actual response, as above.
- Not all agencies shared the survey with their partners, only seven out of 17 partners, and not to the same number of counterparts.
- The survey lacks a significant outside perspective. There are very few responses from other donors and NGOs and research partners, meaning that overall positive results must be accepted with caution.

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[3] These are presented together as they were sent out to list of UN agency partners, which did not distinguish between types of partner and also represent who organizations, where several individual may have been sent the survey.

- The graphs where all combined data is presented must be treated with caution, as the UN staff category weighs highly comparison to the other cohorts due to the number of responses.
- When cleaning the data, a number of responses have been excluded. From the survey module in English for partners, 4 responses have been excluded and for the module in Vietnamese, 4 responses have been excluded. These affiliated in the "other" category, but most actually identified as UN and should have responded to the UN survey module. The team were unable to combine these data with the UN module responses due to time pressure and as such the whole other category was excluded from the analysis for these two modules.
- For presentation purposes the two of the scales has been combined, making the 7 point scales into 5 point scales:
  - 1:
    - To very great extent, to great extent
    - To some extent
    - To little extent, to very little extent
    - Not at all
    - Don't know
  - 2:
    - Always
    - Most of the time, often
    - Sometimes
    - Rarely, never
    - Don't know
- There was one comment on the survey itself: *It's rather hard to comment given the diffuse questions and non linear scale.*

2 Findings

Key headlines:
- The data is incredibly positive, with the government particularly so. The UN is more critical of itself than many partners.
- Although this must be treated with a little caution considering the lack of an outside perspective, the findings tally with our other data to a large extent, in terms of the aspects of the UN's work in Viet Nam is seen as particularly important and successful by different stakeholders or challenging.
- It is difficult to assess much from the perspective of donors, considering the few responses.

1. At a general level, to what extent have the UN efforts to work together through the One Plan allowed for the following expected changes (so called Delivering as One transformations)?

Headlines:

- Looking at the whole group of respondents, enhanced joint advocacy and alignment with national priorities are seen as the key results of the One Plan, with the majority of stakeholders answering that the One Plan has allowed this to very great extent or great extent.

- Only looking at the government and NGO/research cohorts, alignment to national priorities is seen as the key results, whereas the UN itself sees enhanced joint advocacy as the key result, but there is not that much different between different cohorts.
- Reduced transaction and operating costs is seen as less successful, together with improved leadership and strengthened resource mobilisation, although there are quite a few responses of 'don't know' for this category.
- This aligns with our other conclusions:
  - There are good examples of joint advocacy. The UN are probably more aware of these efforts from an internal perspective
  - We did not include alignment to national priorities as it was quite evident that the UN has accomplished with the One Plan that is aligned to the SEDP
  - There are still issues with reduced transaction and operating costs, but this is also an area where a lot of stakeholders reply that they do not know, which is understandable for stakeholders outside the UN

Figure 1: n=154 (all respondents)
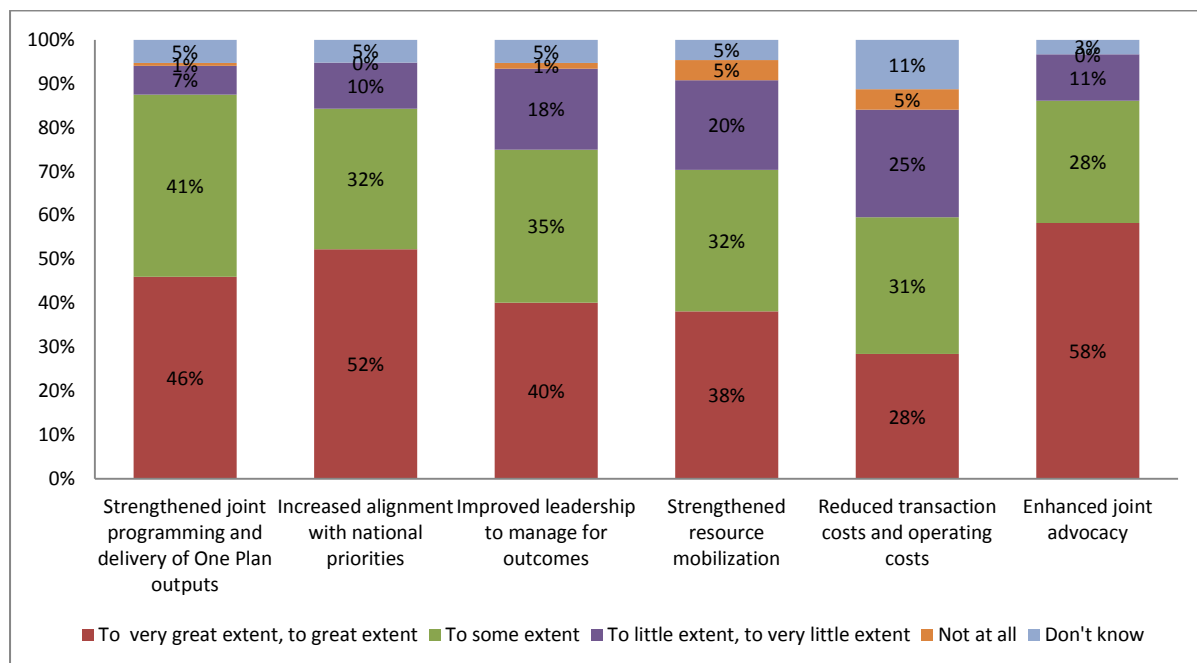
Figure 2: n=40 (ministry, government department or local government department)
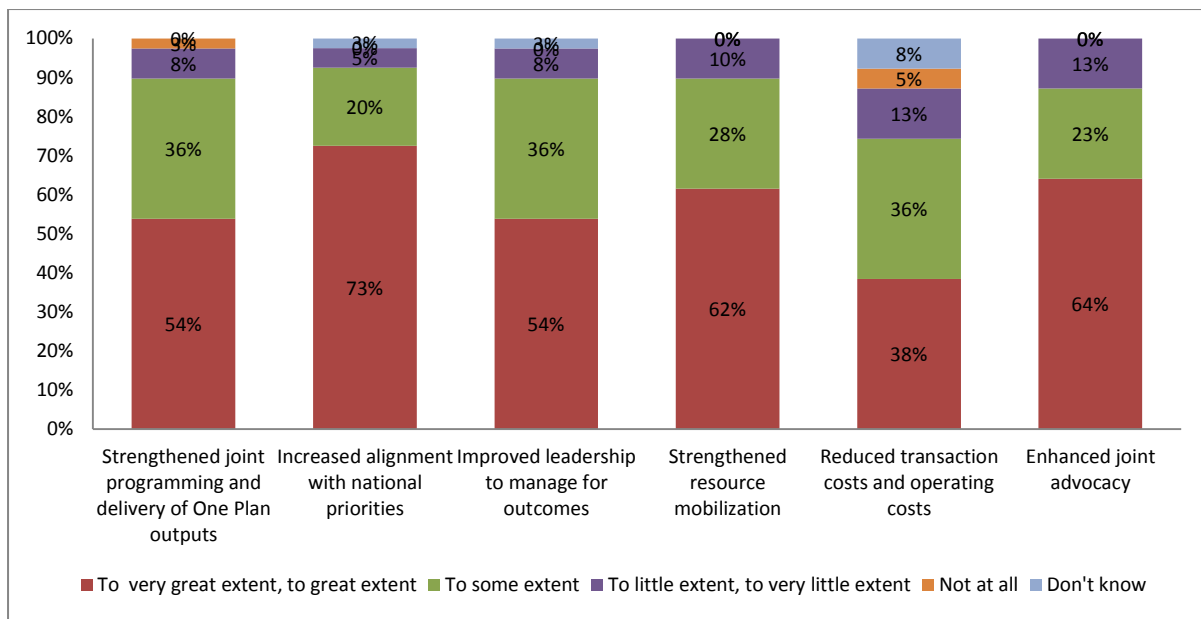
For the government, increased alignment with national priorities is the key result, together with enhanced joint advocacy and strengthened resource mobilisation.

Figure 3: n=12 (NGOs, research institutes)
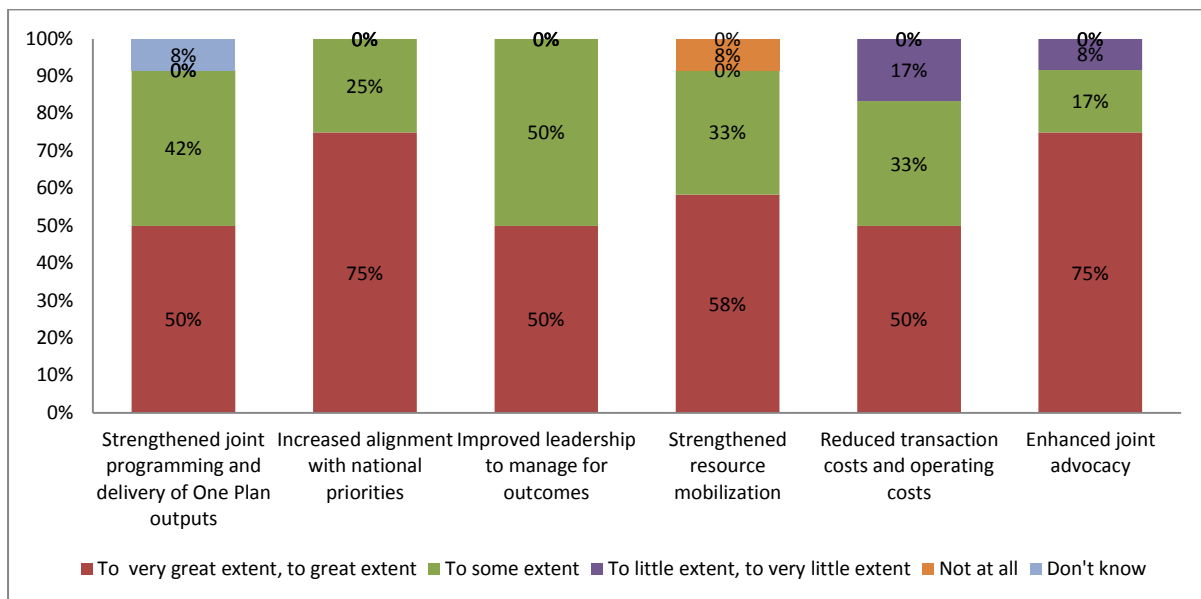
Increased alignment and enhanced advocacy is seen as key results for NGOs and research institutes.

Figure 4: n=98 (UN staff)
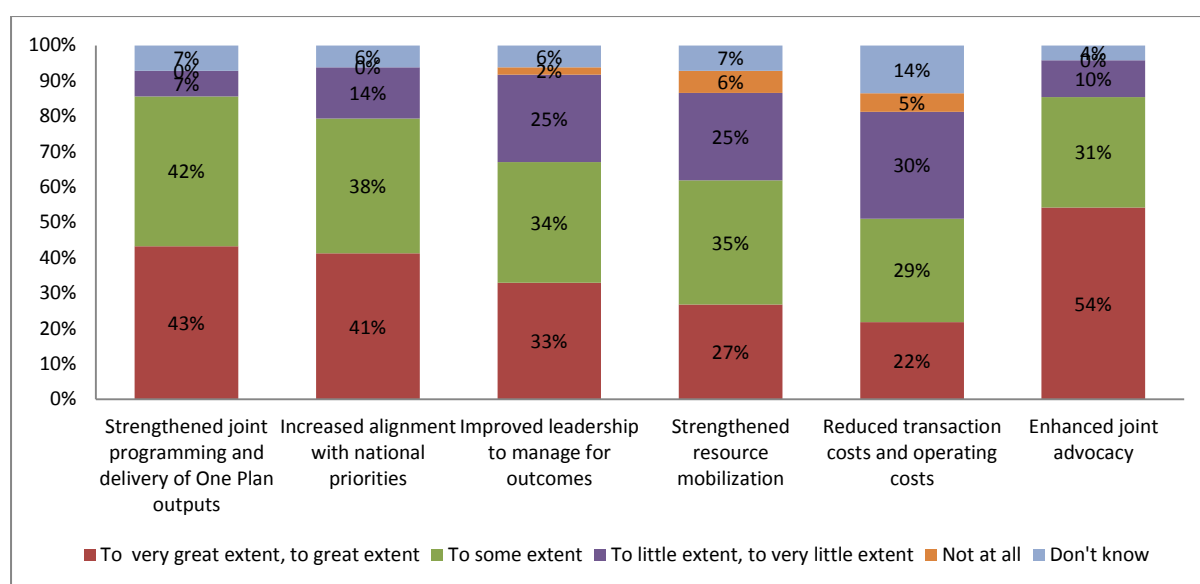
The UN has a more tempered and self-critical perspective, with acceptance of some achievement, but still showing room for improvement

Figure 5: n=4 (donors)
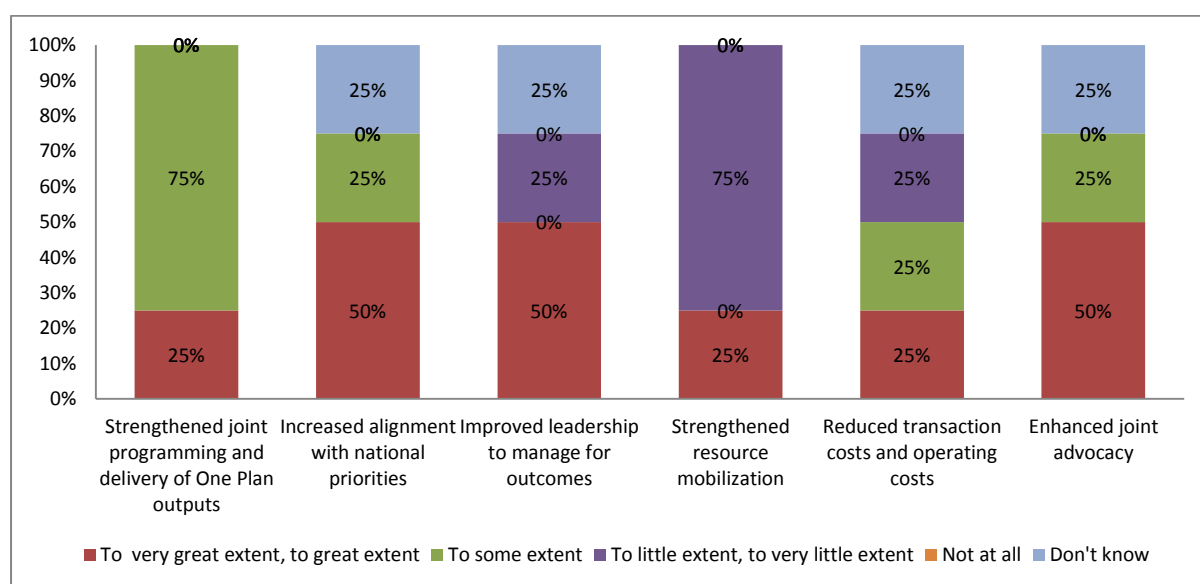
Also donors highlight increased alignment to national priorities and enhanced joint advocacy.

2. More specifically, to what extent have the Joint Programming Groups enabled the following efficiencies?

This question was asked only of UN staff.

- Provision of a platform for joint discussion about the UN's comparative advantages in Viet Nam is seen as one of the key results of the One Plan, as well as wider information sharing between the UN, the government and development partners. This aligns with findings in the desk review and primary data collection.

- Again, reduction of overall transaction costs and joint resource mobilisation are not seen as particularly successful

Figure 6: n=94 (UN staff)
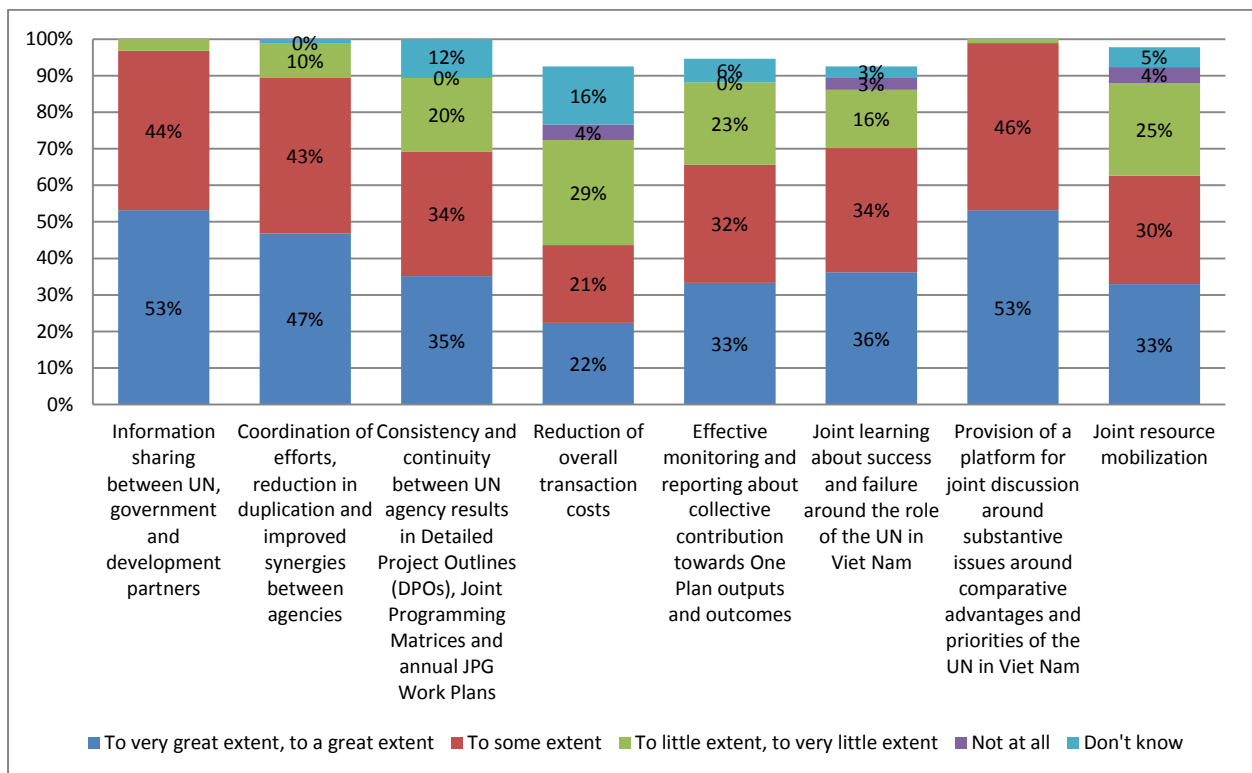
3. How often does the UN in Viet Nam use its convening power to bring together various stakeholders, allowing them to participate in an active, meaningful and free manner?

Headlines:

- Government and development partners are seen as consistently included in stakeholder discussions, with vulnerable groups slightly less so, and civil society and academic partners less frequently.
- There is not much variation between the different cohorts, although research partners and NGOs are generally more positive about inclusion of all groups. The survey is limited here in that it compiles the responses of both research partners and CSOs. However, this cohort is relatively small, so this data should be treated with caution.
- This is also aligns with findings from the desk review, with a few JPGs mentioning that there is room for improvement in this area.
- This is also a finding from the case studies and area where there is room for improvement.

Figure 7: All respondents (n=147)
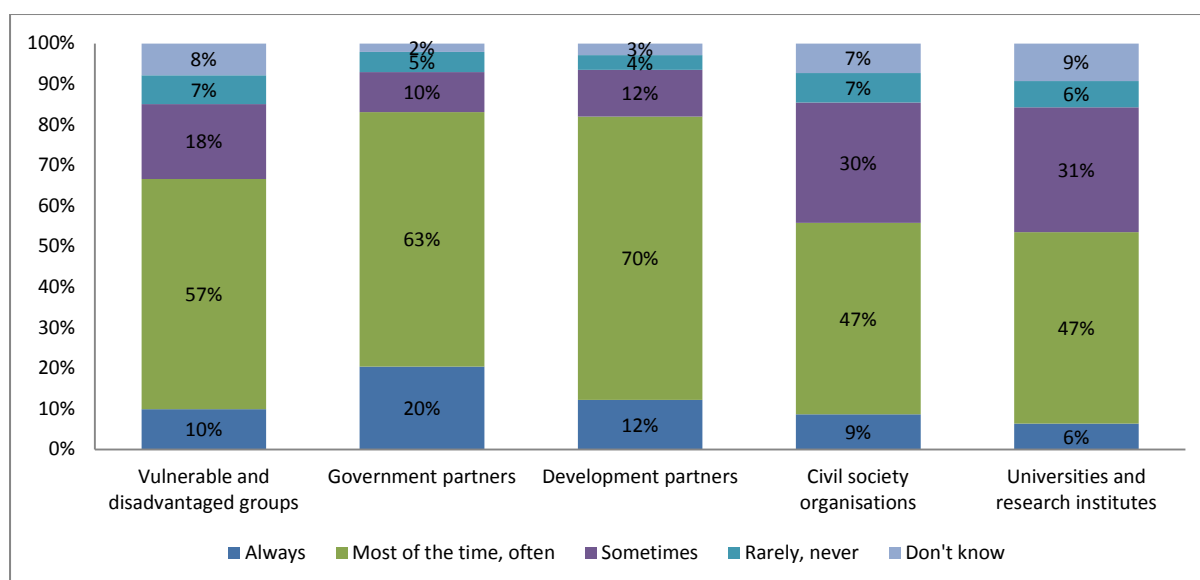

Figure 8: Government (n=41)
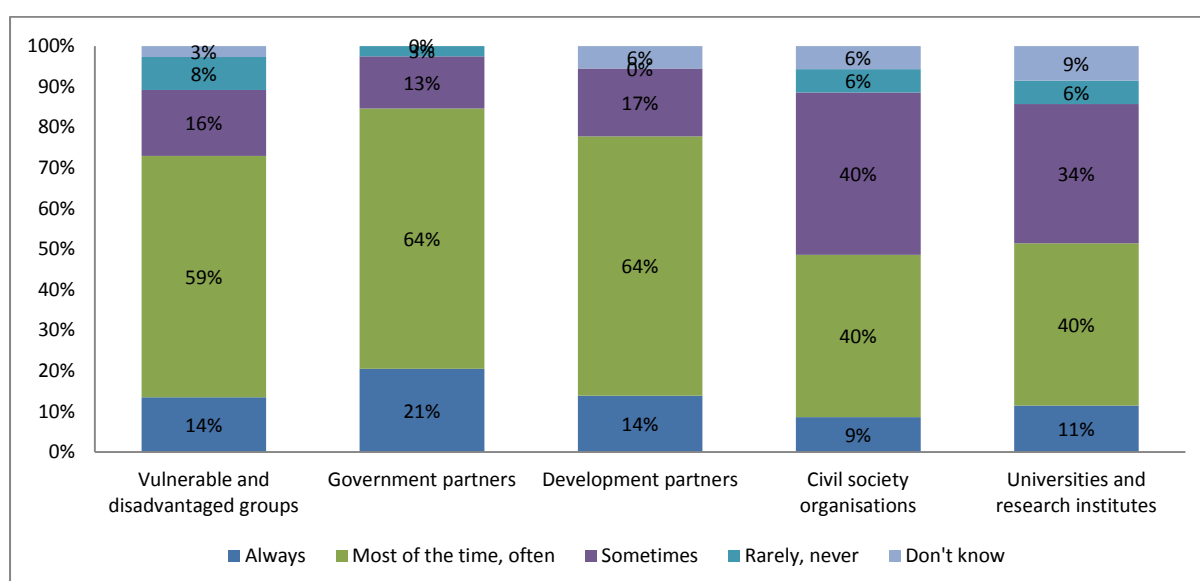
Figure 9: NGOs, research partners (n=12)
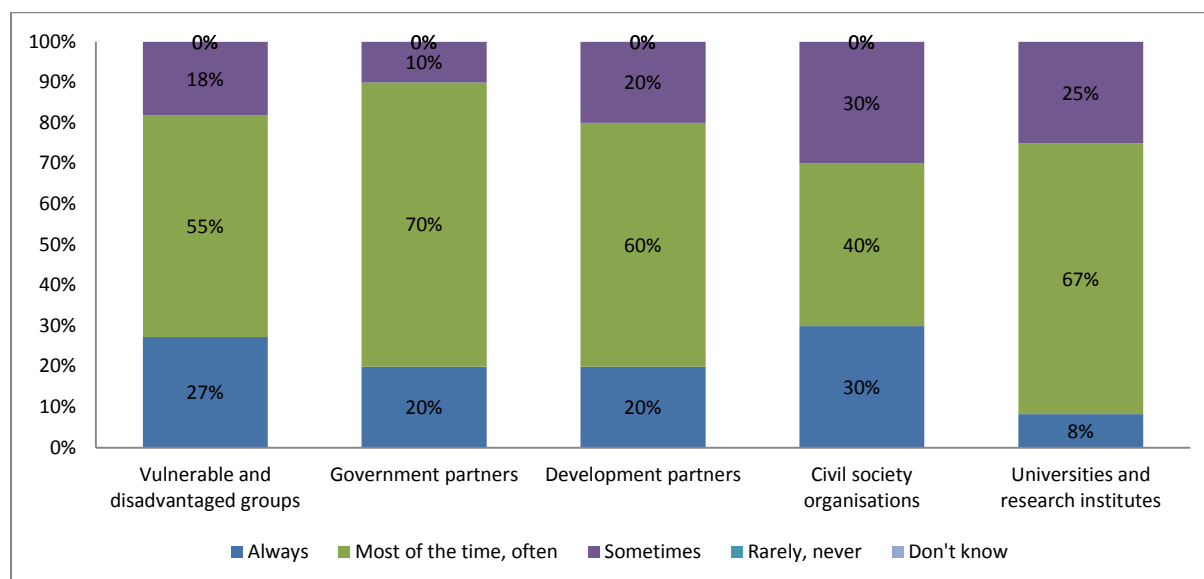
Figure 10: UN staff (n=90)
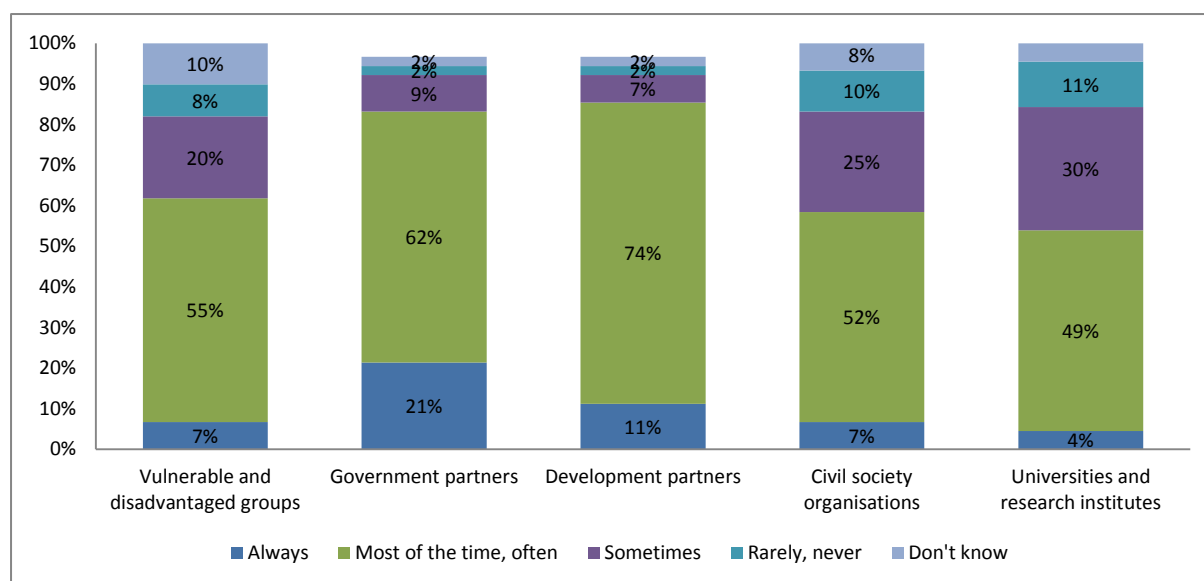
Figure 11: Donors (n=4)
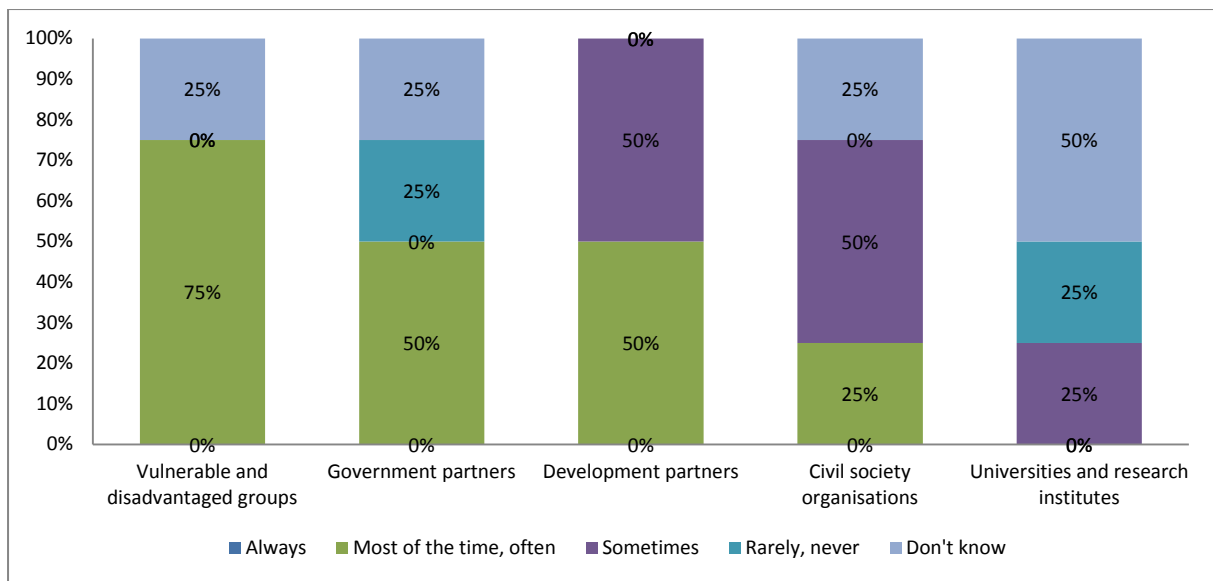
4. To what extent does the UN in Viet Nam use its convening power to provide coordination on critical cross-cutting issues?

Headlines:

- Gender equality and rights-based approaches to development are the key areas where UN is seen to provide critical coordination on cross-cutting issues.
- Culturally appropriate programming is less evident as an area
- There is no marked difference between the cohorts on this issue

Figure 12: All respondents (n=142)
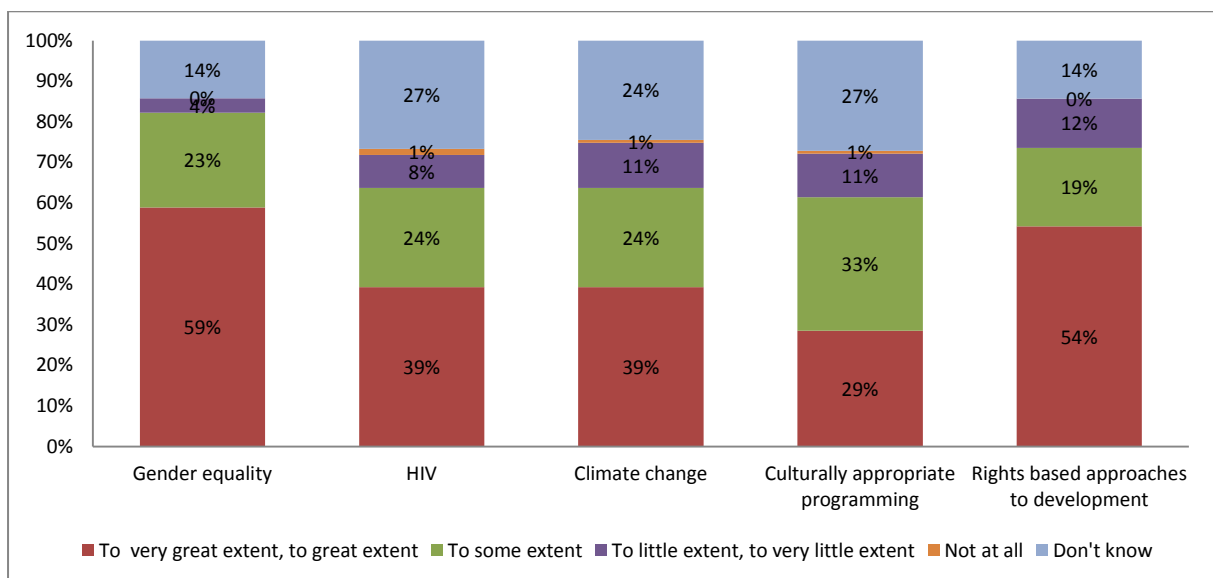
Figure 13: Government (n=36)
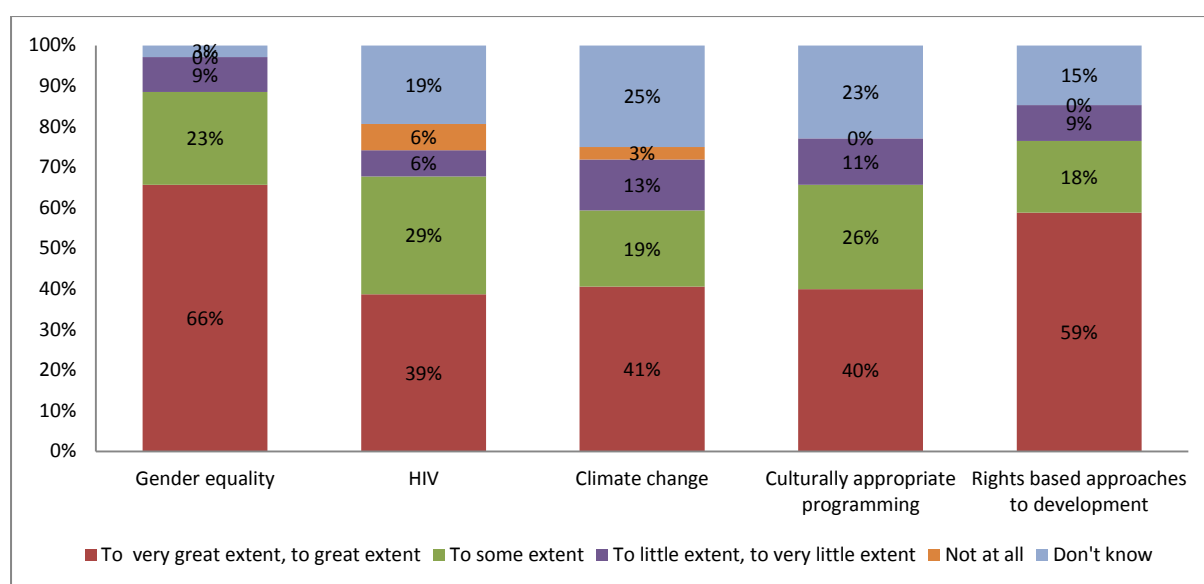
Figure 14: NGOs, research (n=12)
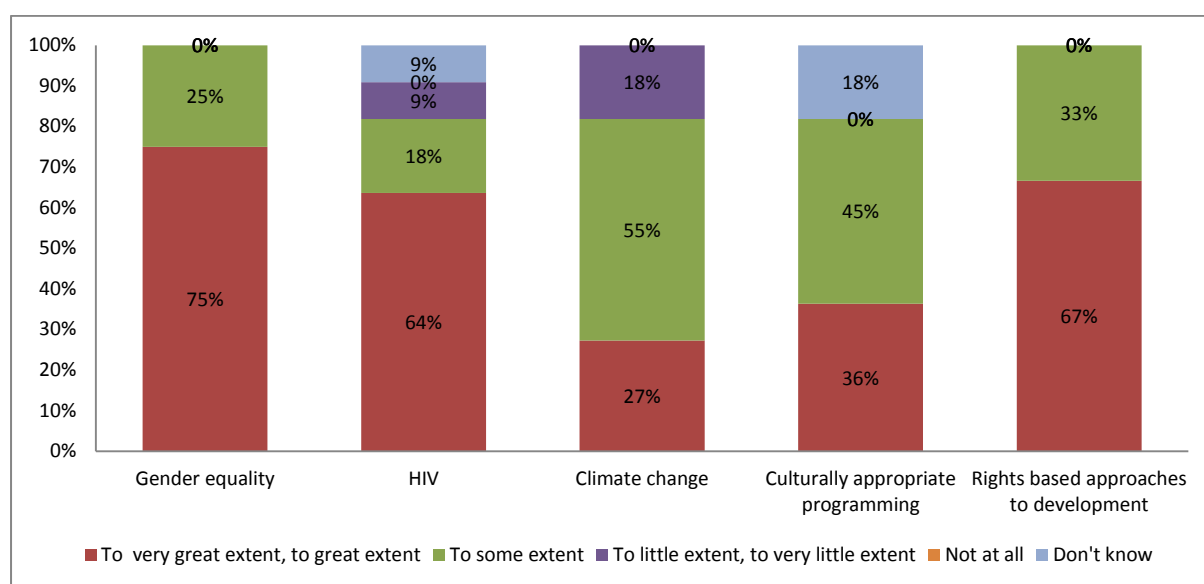
Figure 15: UN staff (n=90)
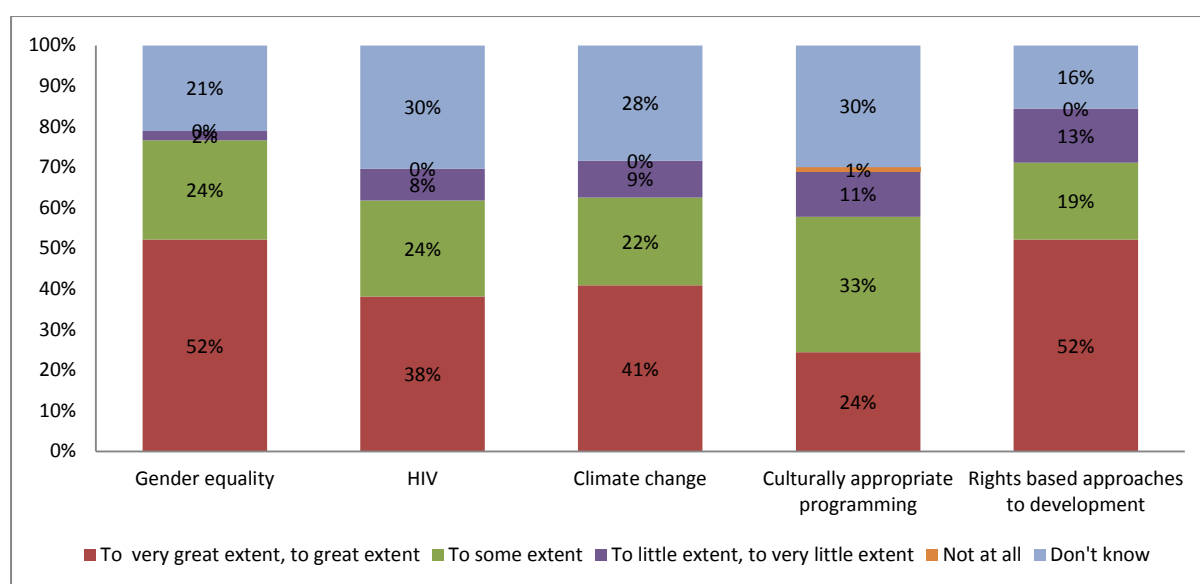
Figure 16: Donors (n=4)
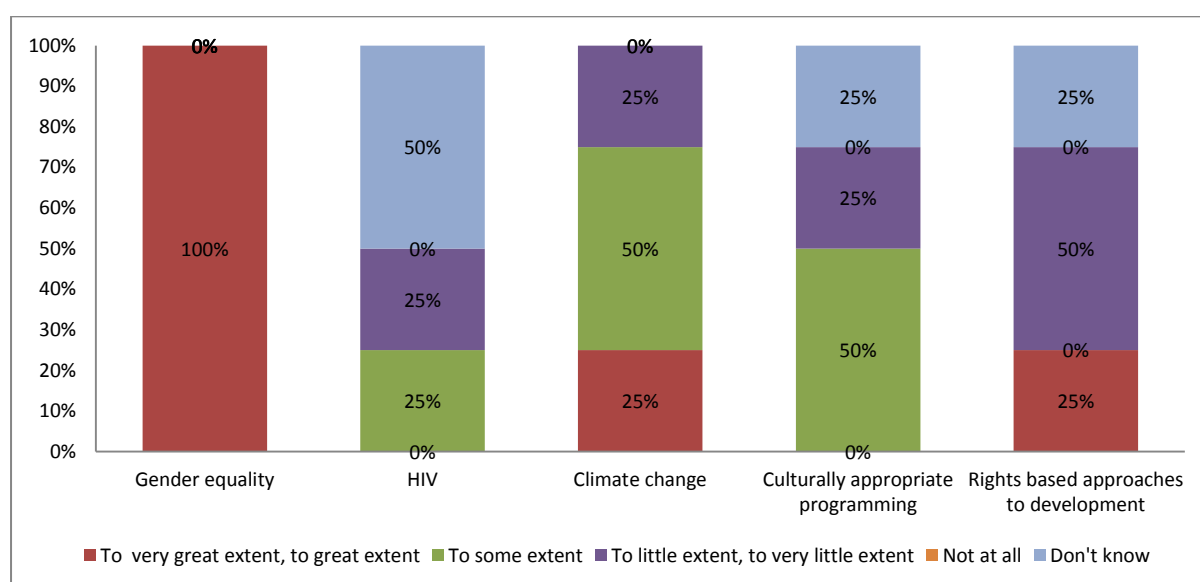
5. Is the UN's policy advice based on the most current and best available evidence?

Headlines:

- The UN is overwhelmingly seen as basing policy advice on the most current and best available evidence, with 32% of all respondents stating that it is always based on the most and best available evidence.

- The government is particularly supporting of this claim.

- However, since 60% say most of the time, there is still some room for improvement.

Figure 17: all respondents (n=142)

- Always — 32%
- Most of the time, often — 59%
- Sometimes — 6%
- Rarely, never — 2%
- Don't know — 1%
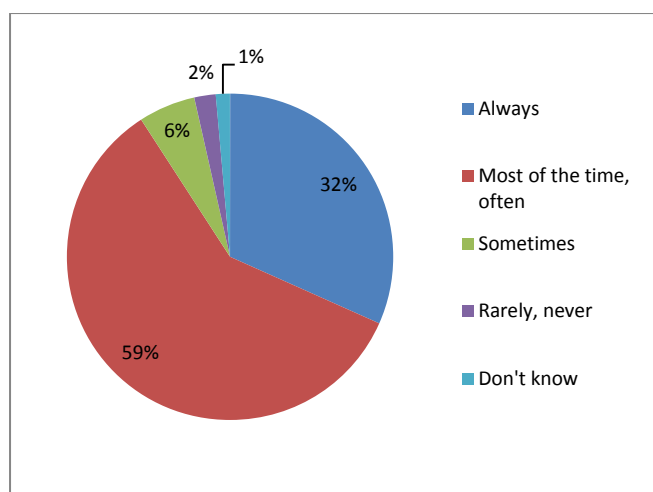
Figure 18: Government (n=36)

- Always — 47%
- Most of the time, often — 44%
- Sometimes — 3%
- Rarely, never — 6%
- Don't know — 0%
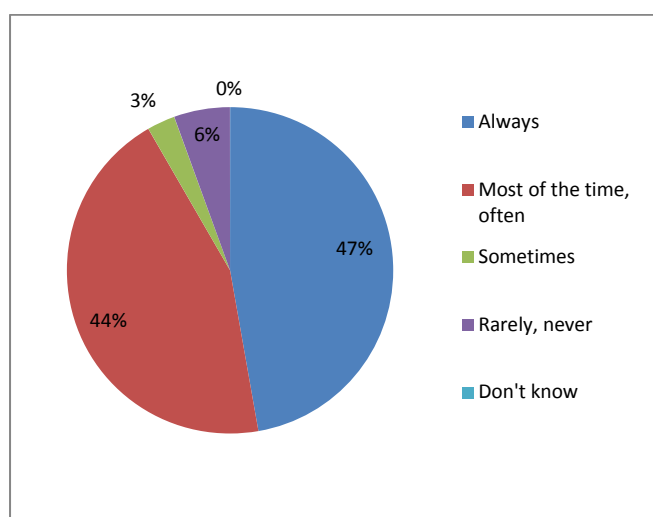
Figure 19: NGOs, research (n=12)

- Always — 33%
- Most of the time, often — 67%
- Sometimes — 0%
- Rarely, never — 0%
- Don't know — 0%

44
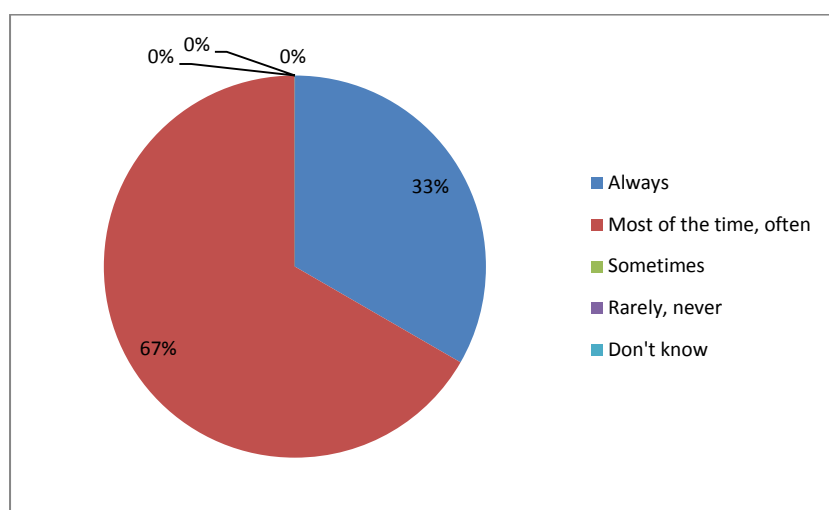
Figure 20: UN staff (n=90)
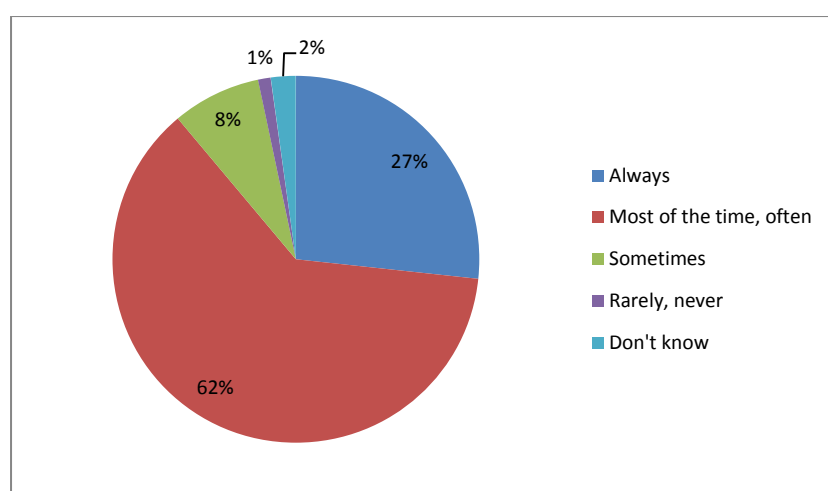
Figure 21: Donors (n=4)
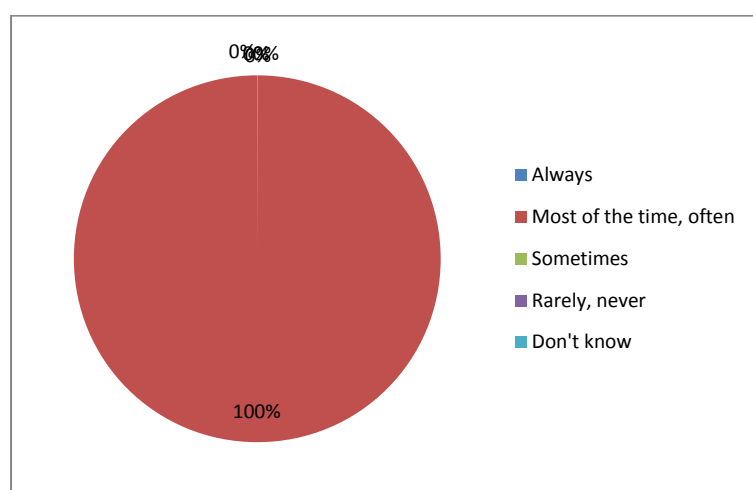
6. To what extent has the UN's policy advice had an impact on Viet Nam's legislation, in terms of bringing it closer in line with international norms and standards?

7. To what extent does the UN advocate for and help to ensure that the voices of the most vulnerable and disadvantaged are heard in Vietnamese society?

8. To what extent does the UN advocate for and help to ensure that issues of inequality are addressed in national policy processes?

9. To what extent is the UN's provision of technical expertise, exchange of knowledge and capacity development based on international best practice?

These four questions are presented together below.

Headlines:

- Provision of technical expertise is seen as based on international best practice in the overwhelmingly majority of instances
- The other three issues rated virtually the same by the respondents
- There is not much difference between the different cohorts on these questions

Figure 22: all respondents (n=137-141)
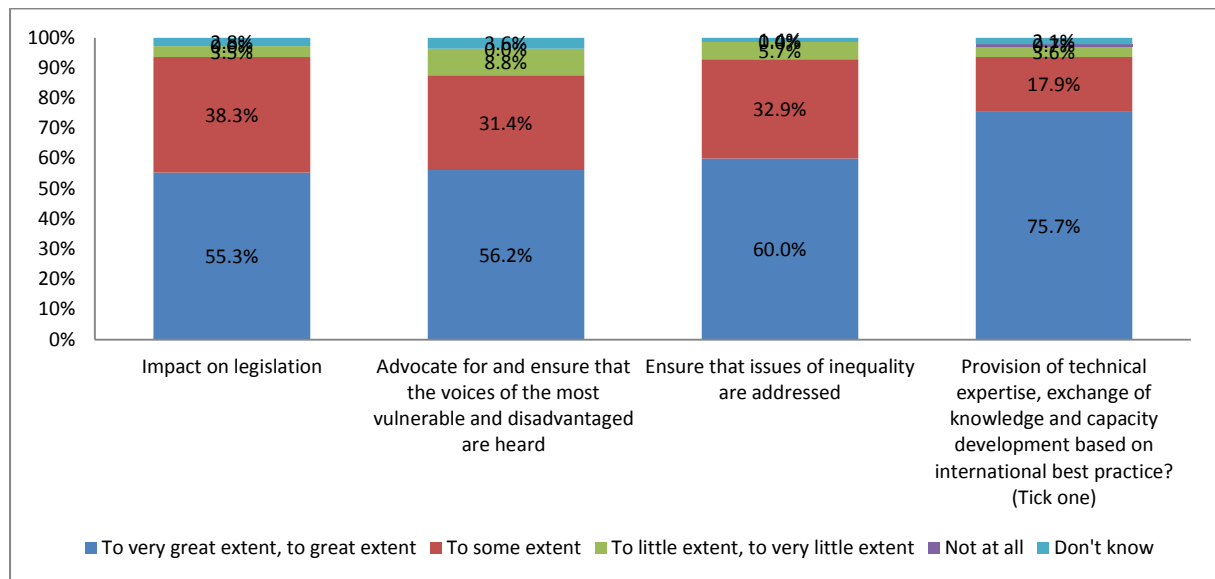
Figure 23: Government (n=35-37)
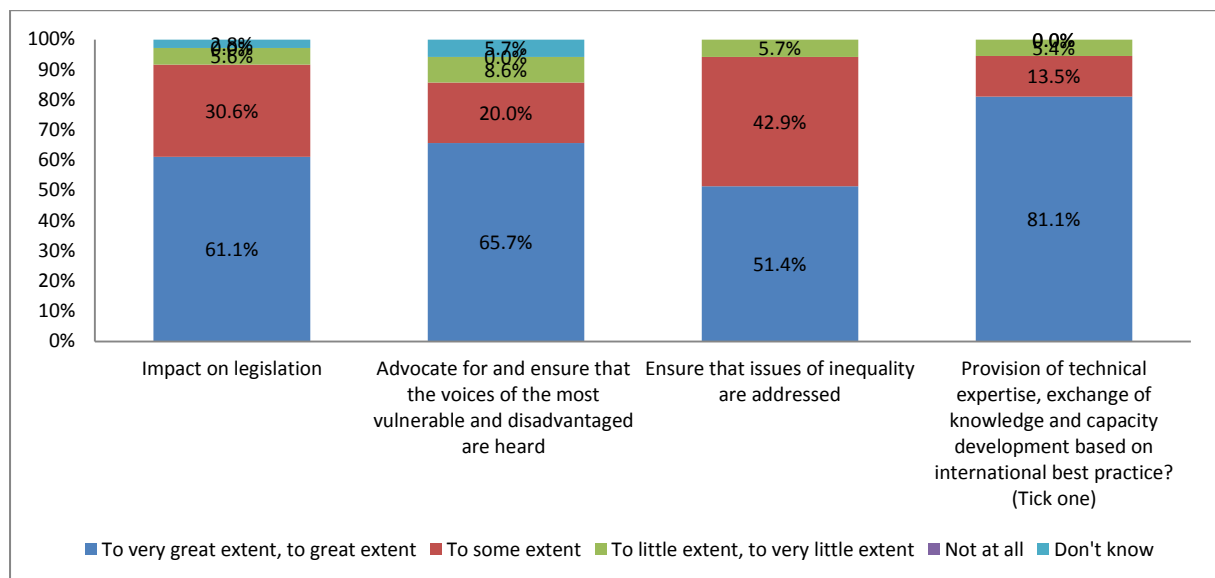
Figure 24: NGOs, research partners (n=12)
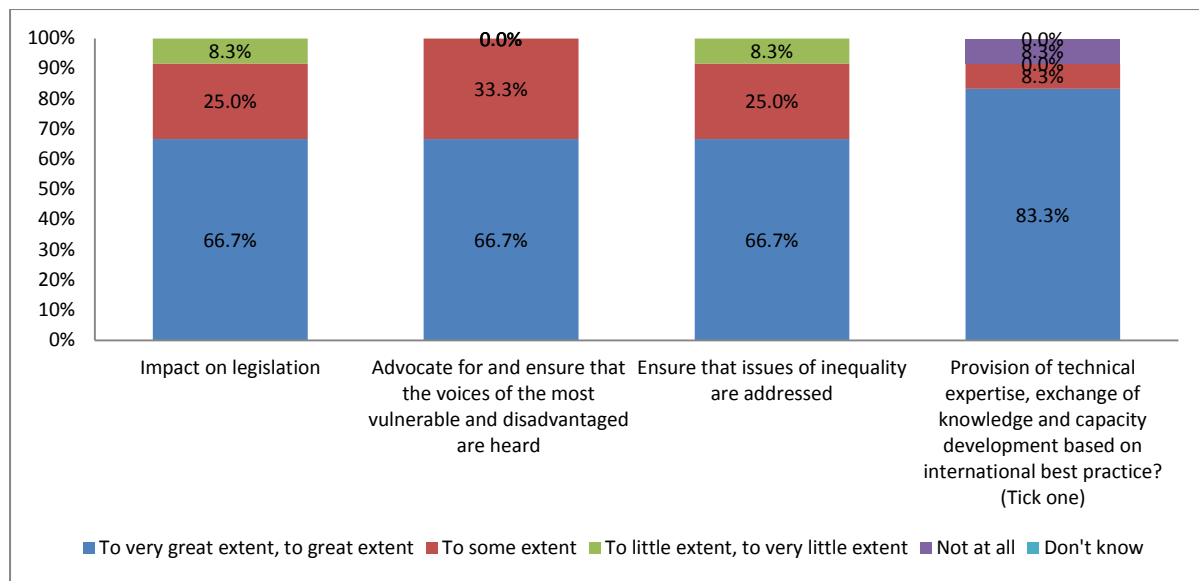
Figure 25: UN staff (n=89-90)
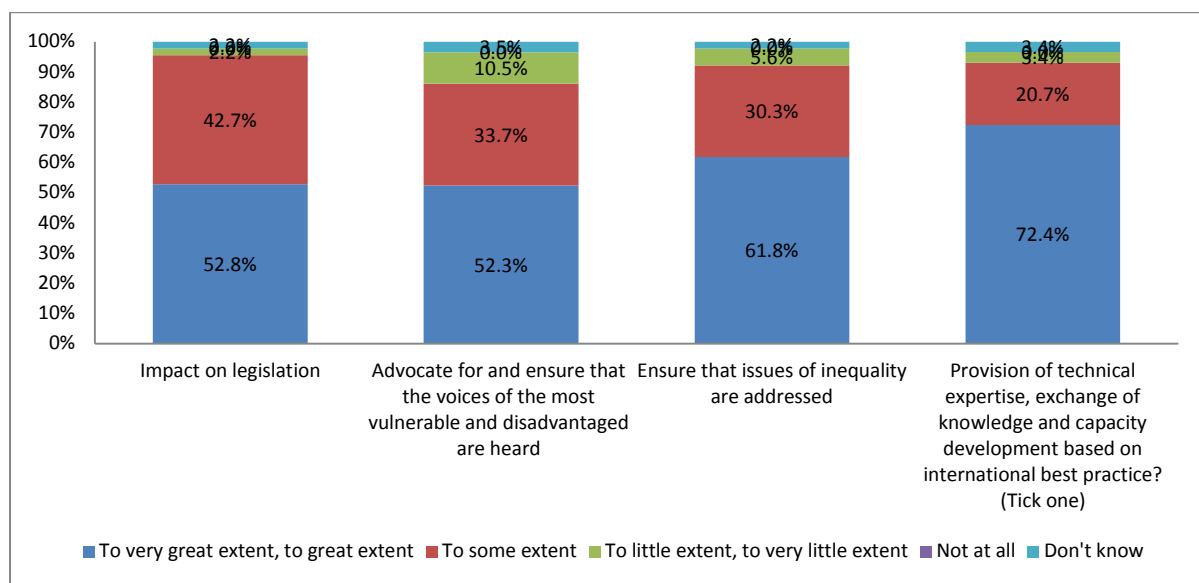
Figure 26: Donors (n=4)
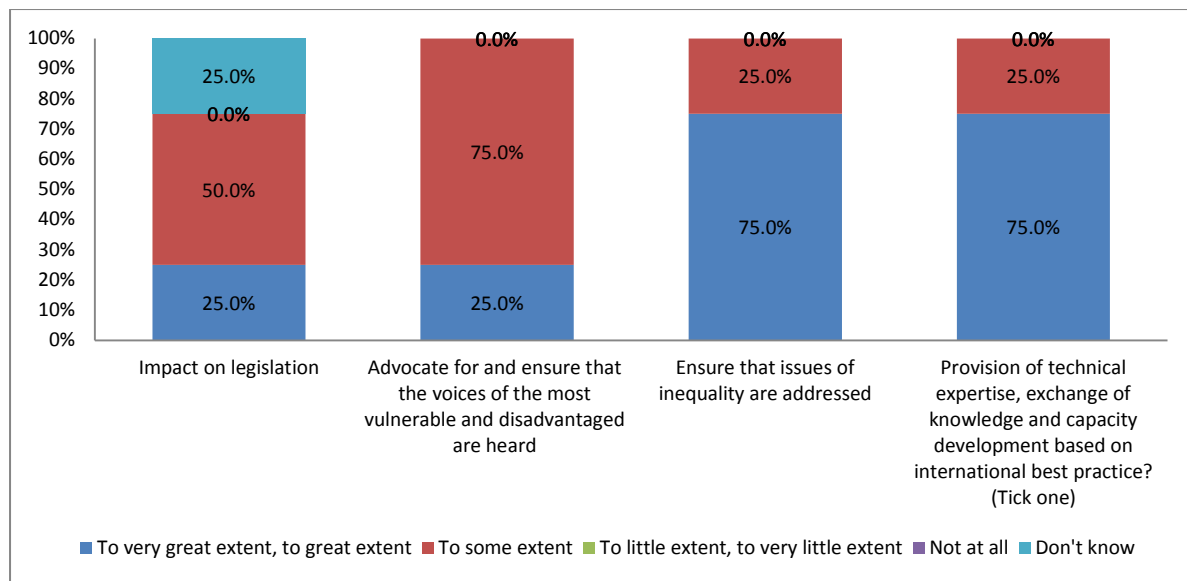
10. To what extent does the UN in Vietnam support innovative approaches to promote gender equality, HIV and climate change

Headlines:

- Particularly climate change is the area where the UN is seen to use innovative approaches
- NGOs and research partners are particularly positive on the use of innovative approaches.
- Outside stakeholders are more positive than the UN itself.

Figure 27: All respondents (n=140)
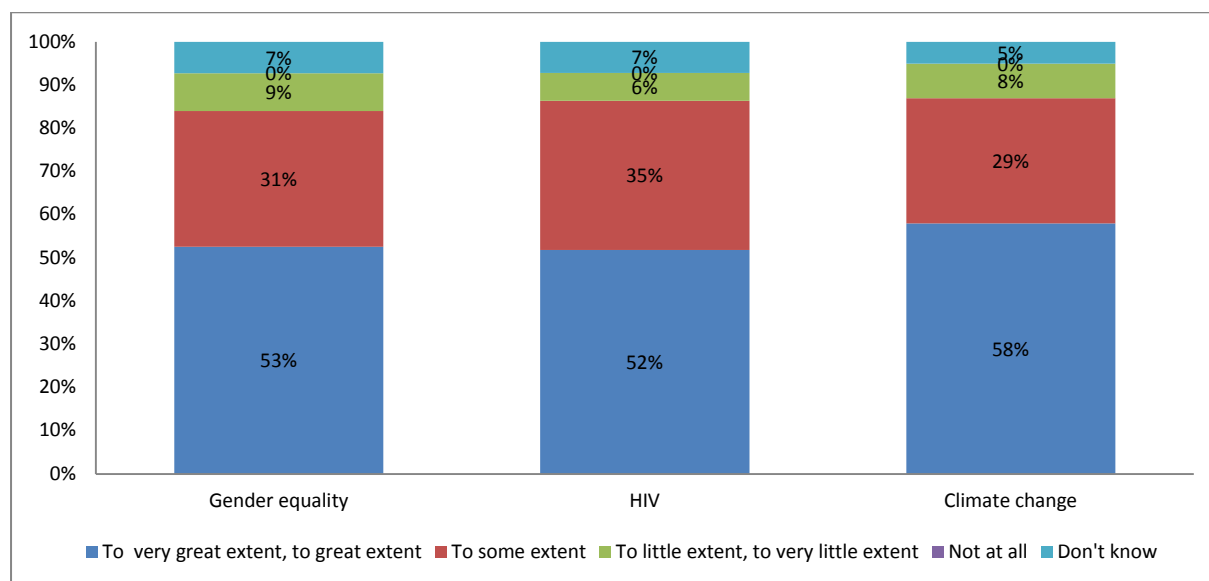
Figure 28: Government (n=37)
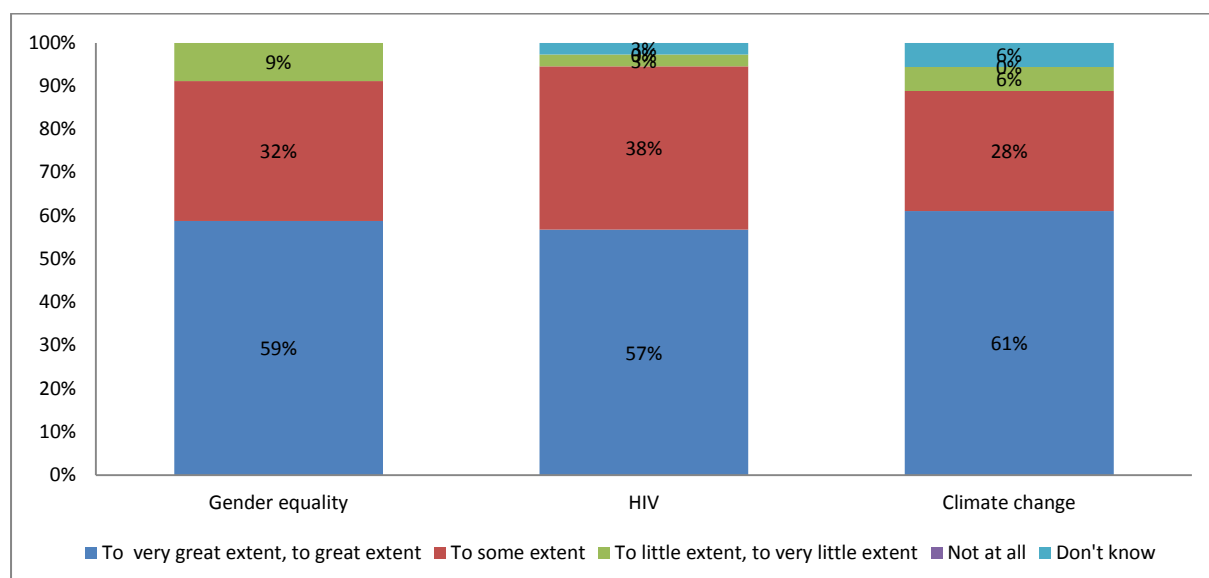
Figure 29: NGOs, research (n=12)
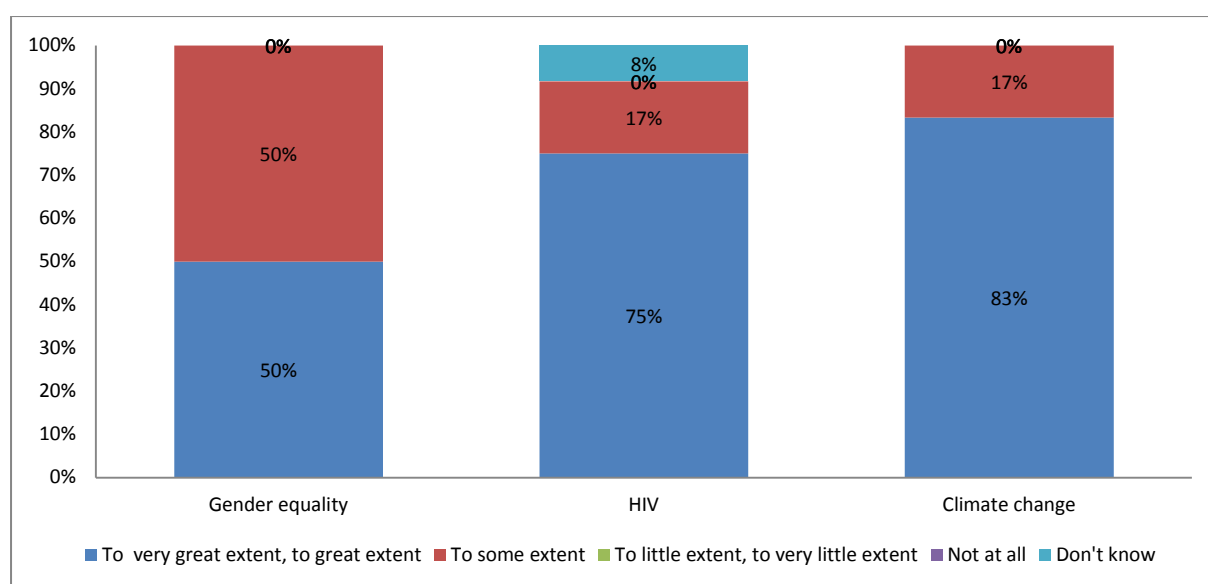
Figure 30: UN staff (n=87)
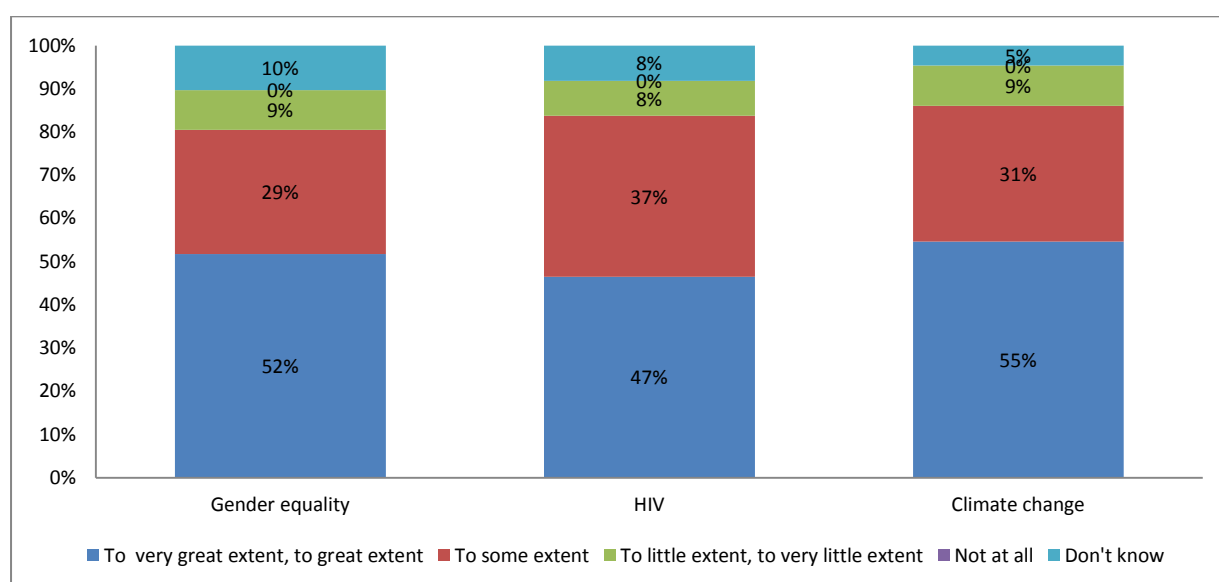
Figure 31: donors (n=4)
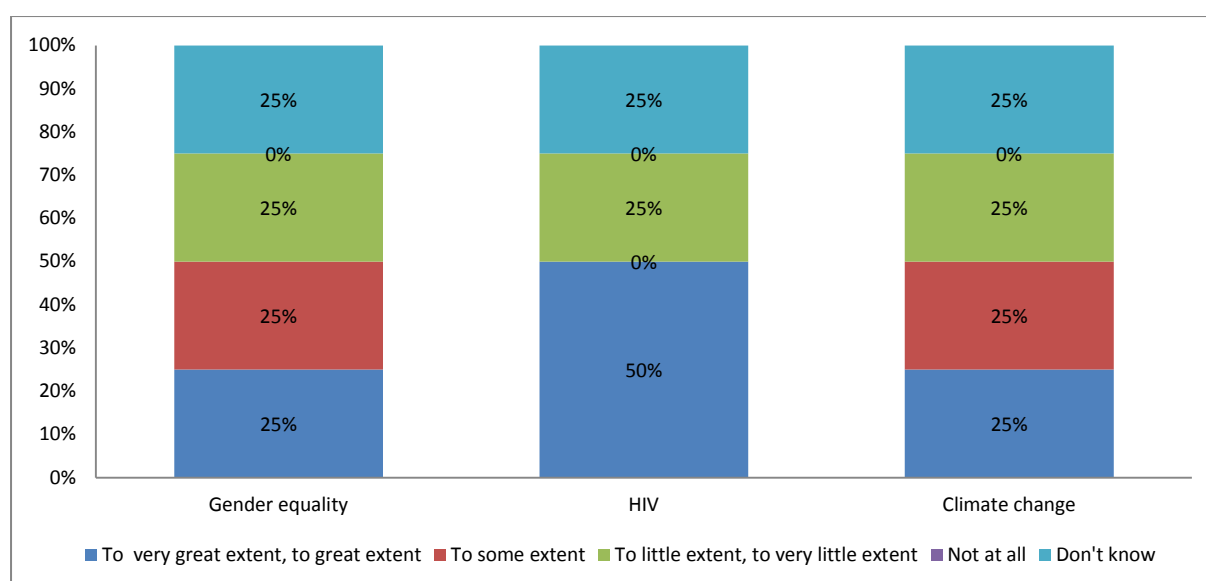
11. How useful has the UN been in its support to Government's efforts to coordinate its response to complex issues? Climate change, social protection, sustainable development, MDAPR, HIV, governance and gender equality

12. To what extent is this support provided through a multi-sectoral, cross-agency approach?

These two questions are presented together.

Headlines:

- Most useful is the advice on sustainable development for the whole group and also for the government. NGOs and research partners value the support on a multi-dimensions approach to poverty reduction
- Donors favour climate change and UN itself thinks that the support to sustainable development, multi-dimensional poverty, social protection and governance and gender equality is seen as particularly useful
- The cohorts are very positive in terms of this support being delivered through a multi-sectoral cross-agency approach, with the government particularly positive.

Figure 32: All respondents (n=141)
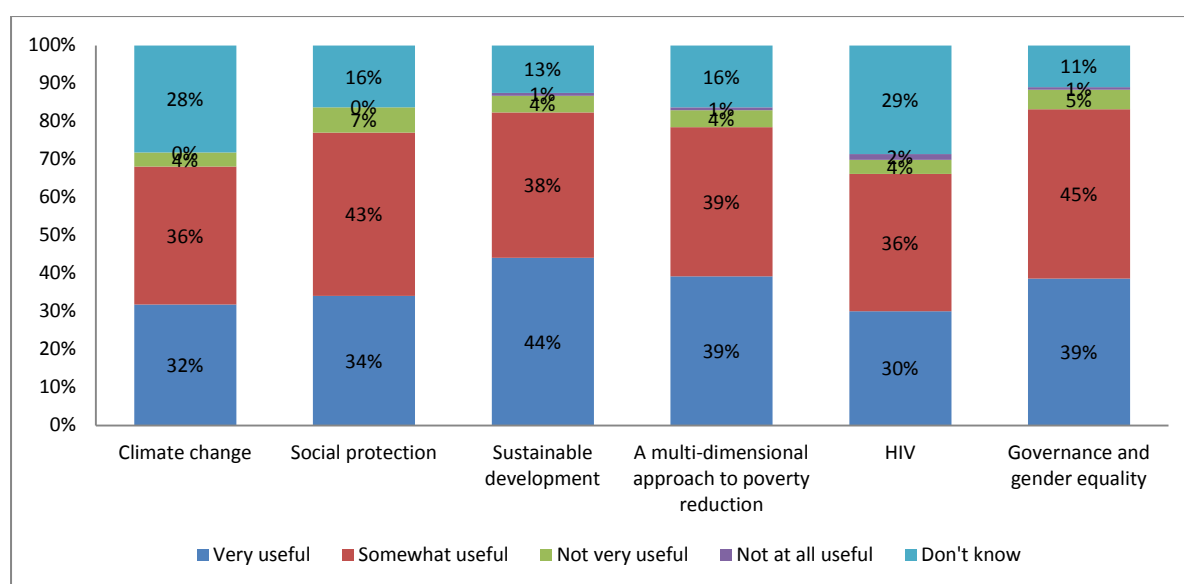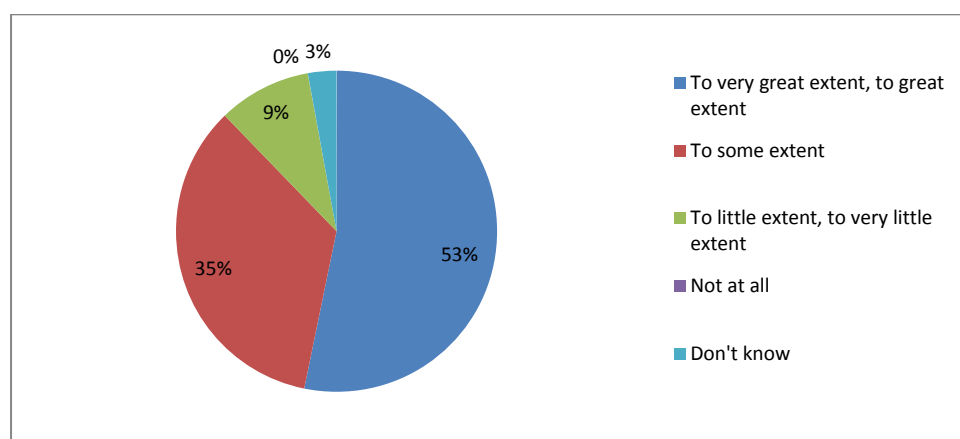

Figure 33: All respondents (n=139)
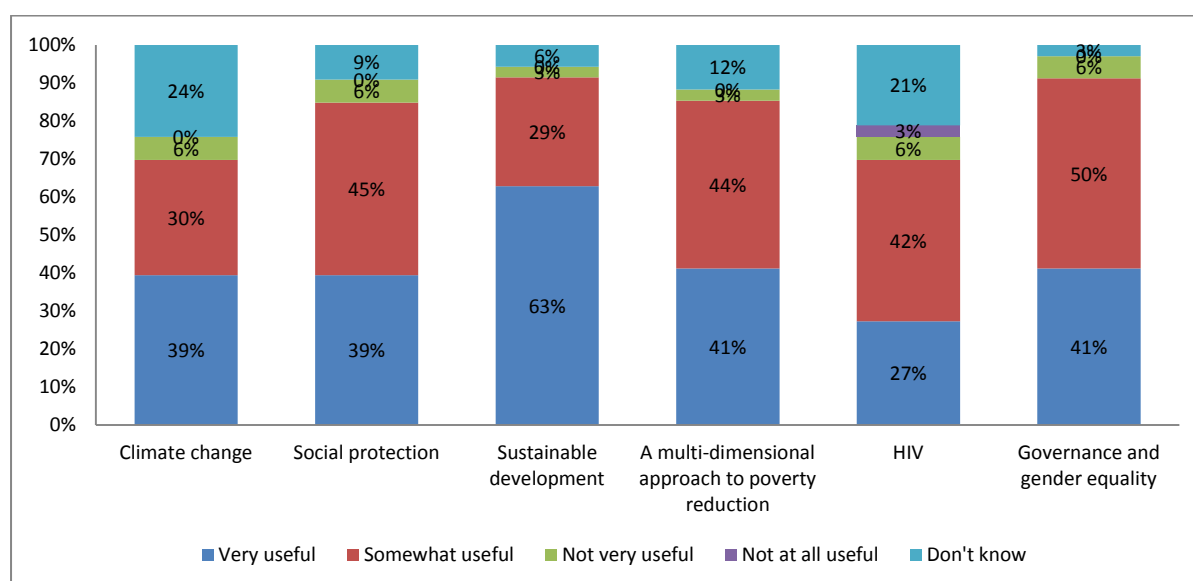

Figure 34: Government (n=37)

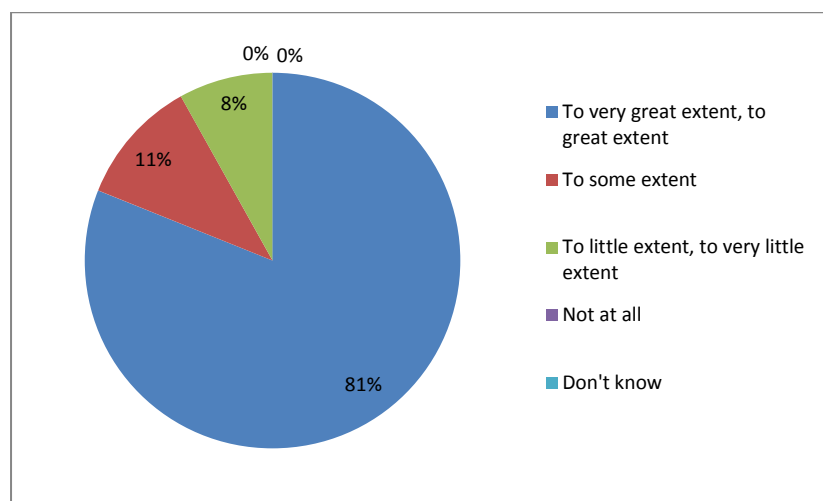**Figure 35: Government (n=37)**
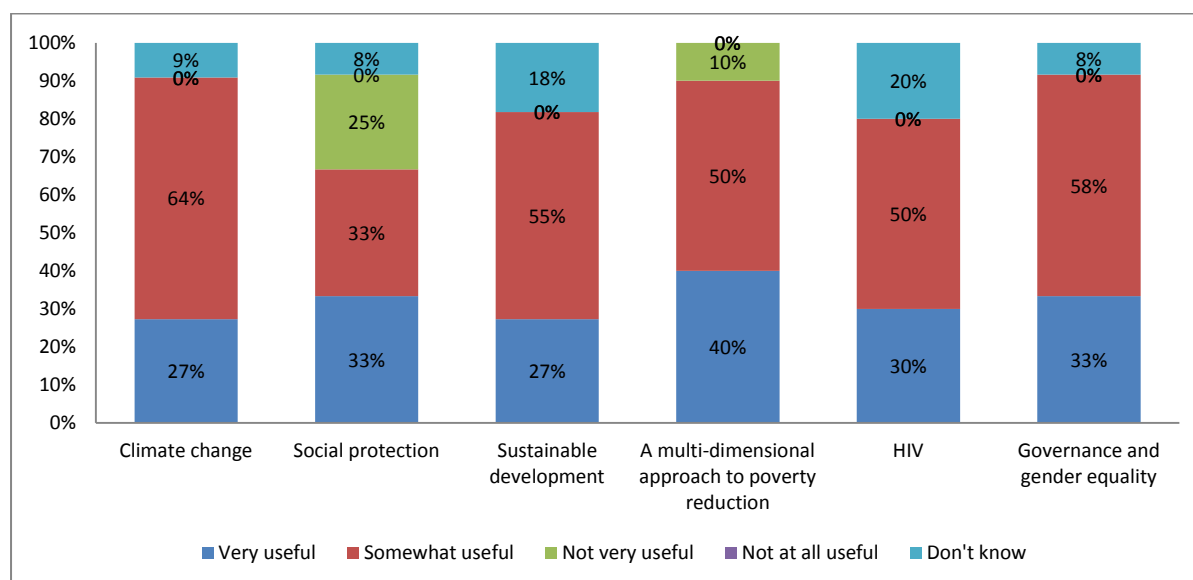

Figure 36: NGOs, research partners (n=12)

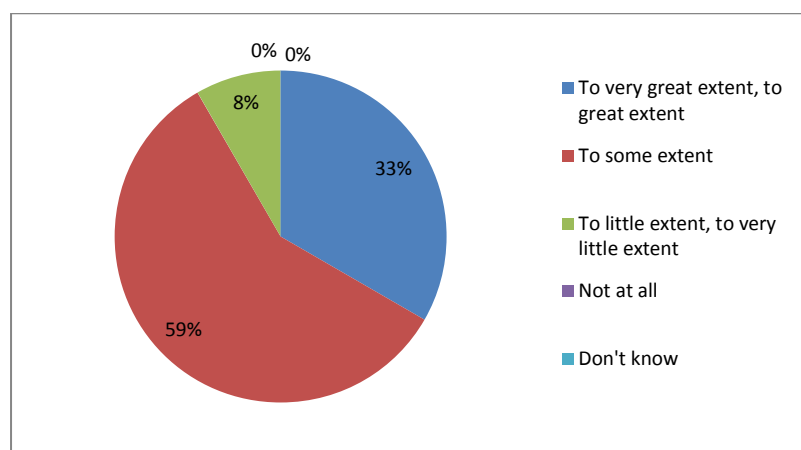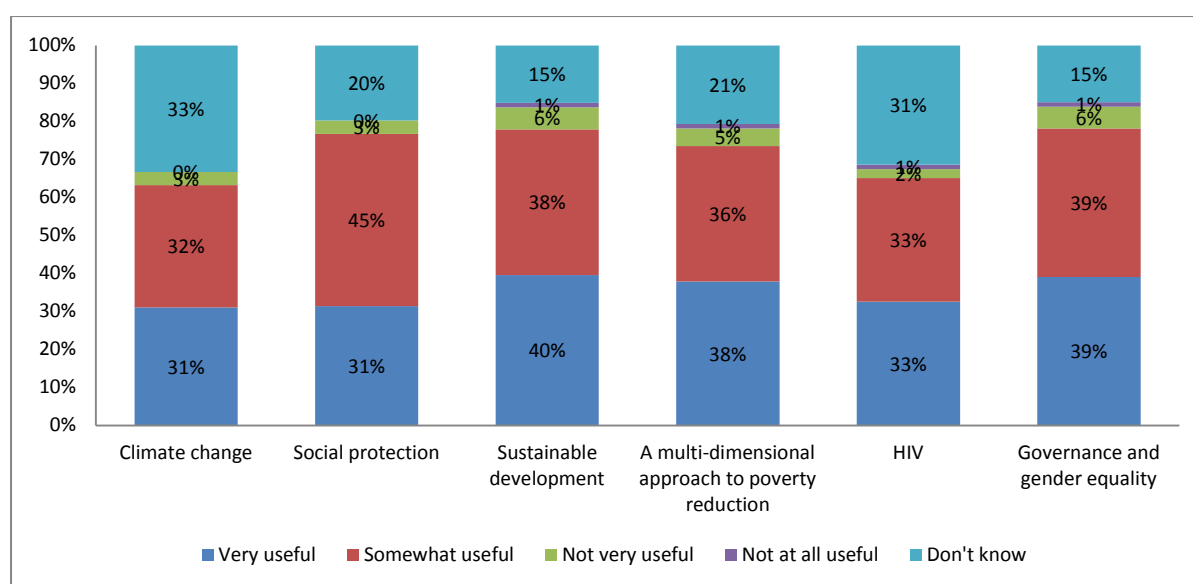**Figure 37: NGOs, research (n=12)**

Figure 38: UN staff (n=88)
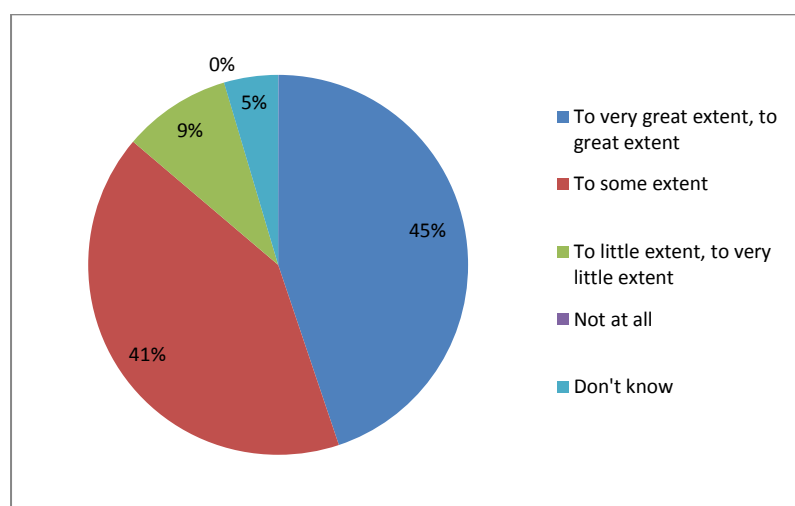

Figure 39: UN staff (n=87)
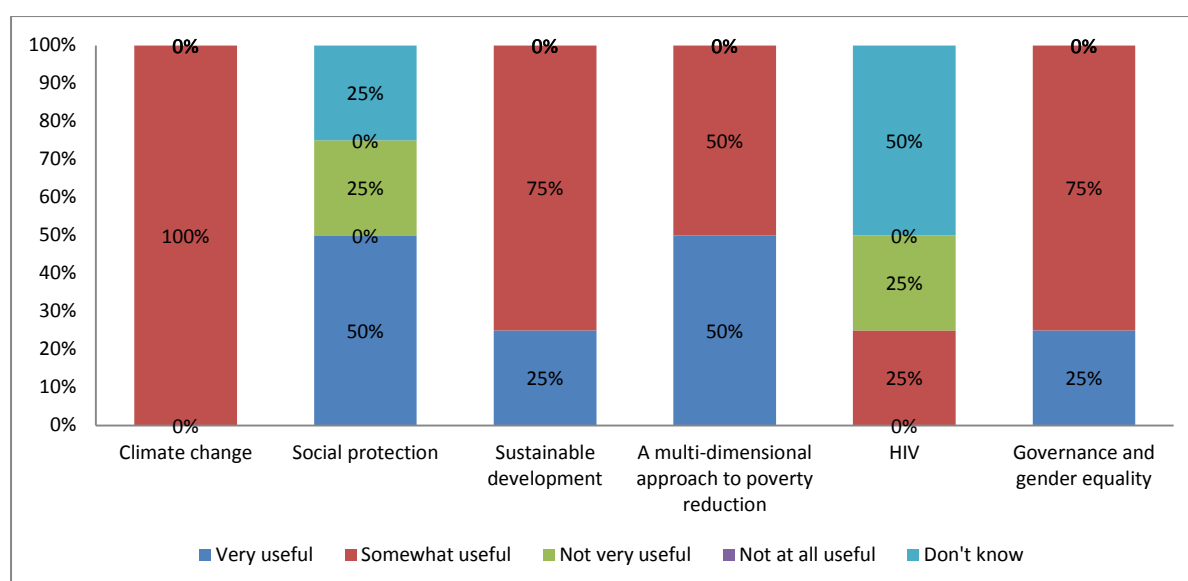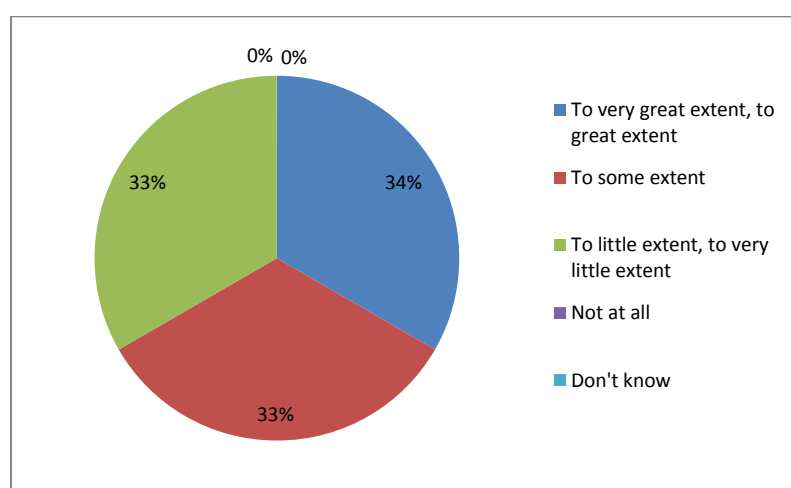
Figure 40: Donors (n=4)

Figure 41: Donors (n=4)

13. Please add any comment on the above questions or on the topic of the UN's contribution to the goals set out in the One Plan, in terms of supporting the Government to achieve inclusive, equitable and sustainable growth, access to quality essential services and social protection, and enhanced governance and participation (Open question)

There was one open question. Individual comments covered a number of different areas, mostly around particular areas of successes:

- Around the key role that the UN plays in Vietnam, in terms of supporting the implementation of government policies, supporting increased access to social services, strengthened governance and participation, working with disadvantaged groups,

But also challenges:

- The need for better coordination and the transaction costs involved in coordination

- The lack of flexibility in the One Plan, which limits the possibility of working with CSOs and the private section
- Barriers as a result of the institutional set up with separate agencies with their own accountabilities, making jointness challenging
- Budget constraints
- Language barriers

3 List of counterparts who were informed of the survey

No.	Organization
UNWOMEN Partners	
1	Gender Equality Department, MOLISA
2	International Cooperation Department, Viet Nam Women's Union
3	Center for women in politics and public administration, HCM Political Academy
4	Information, Education and Community Department, Viet Nam Women's Union
5	Viet Nam Women Entrepreneur Council, VCCI
6	Institute of Family and Gender Studies
7	Institute of Labor sciences and social issues
8	International Cooperation Department, Ministry of Justice
9	Department of Criminal and Administrative Legislation, Ministry of Justice
10	Department of Organization and Personnel, Ministry of Justice
11	Judicial Academy, Ministry of Justice
12	Centre for Education Promotion and Empowerment of Women (CEPEW)
13	Research Centre for Gender, Family and Environment in Development (CGFED)
UNIDO Partners	
14	General Directorate of Energy, Ministry of Industry and Trade
15	Vietnam Environmental Administration, MONRE
16	Department for Economic Zone Management, MPI
17	Science and Technology Department, MOIT
18	Agency for Business Registration, Ministry of Planning and Investment
19	Vietnam Chemical Agency, MOIT
UNODC Partners	
20	Inspectorate - Ministry of Police
21	Department of Political Police – Ministry of Public Security
22	Department of Political Police – Ministry of Public Security
23	Department of Health – Ministry of Public Security
24	SODC – Ministry of Public Security
25	C47 – Ministry of Public Security
26	Immigration Bureau
27	Border Gate – Border Military
28	Department of Border Gate
29	Supreme People's Court
30	Supreme People's Procuracy
31	VAAC – Ministry of Health
UNDP Partners	
32	Ministry of Justice
33	VLA
34	Action for Community Development Center (ACDC)
35	ICS
36	iSEE
37	VASS
38	CEMA

39	MOLISA
40	
41	
42	ISPONRE, MONRE
43	MONRE
44	Biodiversity Conservation Administration, MONRE
45	Partners of Green growth Project working at MPI
46	Partners of CBICS Project working at MARD and MONRE
47	Partners of CC resilient project working at MARD
UNFPA Partners	
48	Social Affairs Department, National Assembly
49	Department of Health, Quang Binh Province
50	Ben Tre People's Committee
51	Ninh Thuan Department of Planning and Investment
52	Ministry of Home Affairs
UNICEF Partners	
53	Ministry of Planning and Investment
54	Social and Environmental Statistics Dept of General Statistics Office
WHO Partners	
55	Viet Nam Tobacco Control Fund
56	Ha Noi Medical University
57	Viet Nam Public Health Association
58	HealthBridge Viet Nam
59	Community Research and Development Services (CDS)
DONORS	
60	Embassy of Ireland
61	Embassy of Canada
62	USAID
63	Finnish Embassy
64	DFID
65	DFID
66	Finnish Embassy
67	USAID
68	Royal Norwegian Embassy
69	Royal Norwegian Embassy
70	New Zealand embassy
71	Embassy of Luxemburg
72	USAID
73	Australian Embassy
74	Embassy of Switzerland

ANNEX 9: TERMS OF REFERENCE

TERMS OF REFERENCE

Evaluation of the One Plan 2012-2016

1. BACKGROUND

The One Plan 2012-2016 is the common programmatic framework for participating UN system agencies in Viet Nam. It is aligned with national planning cycles, in particular the 2011-2015 Socio- Economic Development Plan (SEDP). The One Plan 2012-2016 sets out a focused and coherent joint programme of work in support of national priorities and is based on the comparative advantages of participating UN entities. Importantly, the One Plan 2012-2016 represents a continuing shift towards high quality policy work to support the people and Government of Viet Nam. The One Plan 2012- 2016 also gives greater emphasis to provision of high quality technical assistance, capacity development at the national and sub-national level and the UN's role in convening different stakeholders and expanding partnerships.

The One Plan 2012-2016 was developed jointly from the outset by UN entities working in partnership with Government and development partners. Key stakeholders from Government, donors and political, social, professional and mass organizations (PSPMOs) were engaged at each step of developing the focus areas, outcomes, outputs and indicators. The One Plan 2012-2016 is based on robust analysis which identified the key development challenges Viet Nam has been expected to face over the period of the One Plan 2012-2016. The One Plan 2012-2016 identifies the key interventions of the UN system in Viet Nam over its five-year cycle. Programming documents of individual participating UN system agencies have been developed based on the One Plan 2012-2016. The One Plan 2012-2016 is signed between the Government of Viet Nam and the UN, including 14 resident and two non-resident UN entities.

The One Plan 2012-2016 is accompanied by a Results Monitoring and Evaluation Framework with three focus areas, 12 outcomes, 43 outputs and 122 indicators. Eight inter-agency Joint Programming Groups (JPGs) are the vehicles through which One Plan results are delivered, and these groups are responsible for overall planning, monitoring and reporting on annual contribution to One Plan results. The Results-Based Management Working Group provides advisory and technical support on PMRE of the One Plan to UNCT and JPGs. The Results- Based Management Strategy (2013-2016) provides the Resident Coordinator, the UN Country Team (RC/UNCT), UN staff, and national and international partners with the overall approach to manage for One Plan and other Delivering as One pillar outcomes.

2. EVALUATION CONTEXT

In late 2014, an Equity-focused Systematic Review (including evaluability assessment) of the One Plan was conducted. The Systematic Review identified a number of advantages and challenges of the One Plan in terms of demonstrating its contribution to reduction of inequalities and disparities with a focus on the most vulnerable groups.

Advantages:

- An outcomes and outputs chain based on a reasonable theory of change;
- a selection of 47 outcome and output indicators to measure the contribution of UN to build a level playing field; 13 evaluations have provided or 12 have the potential to provide independent evidence of UN contributions in the three focus areas regarding the UN work in benefit of most vulnerable and disadvantaged groups;
- Contribution stories from the UN annual reports that build the bridge between some equity- focused outputs and outcomes.

Challenges:

- The vulnerable and disadvantaged groups are only defined for some One Plan outcomes and outputs;

- For some outcomes, there is a gap between the concrete results at the output level and the higher level indicators at the outcome level, and therefore UN may struggle to justify a significant contribution to outcome changes;
- Information on indicators related to VHLSS may come from 2012 as VHLSS 2014 is likely not to be available at that time;
- the evaluative evidence on the contributions of UN to the One Plan outcomes and outputs is still scarce; there are only few additional evaluations planned to be conducted before mid-2015 and the independent cases studies at outcome level recommended by in the RBM strategy have not been carried out;
- the explanation of the effect of UN actions for vulnerable and disadvantaged groups is not always explicit in the available evaluations and contribution stories;
- Several evaluations are mostly based on secondary data without triangulation of information with different stakeholders, which reduces the robustness of the evidence collected.

Based on the above, for the One Plan Evaluation the Systematic Review thus recommended:

- using an approach that allows to show a comprehensive picture of UN work in Viet Nam and which does not necessarily require the level of data disaggregation that would be most suitable in using the equity approach;
- not conducting an outcome focused evaluation due to due to the risk of not having updated data from a key source such as VHLSS and the lack of clear indicators that bridge the gap between outputs and outcomes and that support the measurement of UN contribution to the different outcomes; and
- including impartial case studies, collecting opinions of several (external and internal) stakeholders to allow to bridge the gap between outcome and output level, while partially filling gaps in available evaluative evidence.

The One Plan Evaluation has been designed building on the Systematic Review's findings, conclusions and recommendations.

3. GUIDING PRINCIPLES, OBJECTIVES, PURPOSES AND SCOPE

The **guiding principles** of the evaluation are that it:

- is credible, independent, impartial and transparent;
- builds on the One Plan Systematic Review conclusions and recommendations;
- is meaningful and utilization-focused;
- is feasible in terms of scope and timeframe;
- is efficient in use of human and financial resources available; and
- meets UNEG Standards, Norms and Ethical Guidelines for Evaluation in the UN System;

The **objectives** of the evaluation are:

- to assess the contribution made by the UNCT in the framework of the One Plan to national development results through making judgments using evaluation criteria based on evidence (accountability).
- to identify the factors that have affected the UNCT's contribution, answering the question of why the performance is as it is and explaining the enabling factors and bottlenecks (learning).
- to reach conclusions concerning the UN's contribution across the scope being examined.
- to provide actionable recommendations for improving the UNCT's contribution, especially for incorporation into the new One Plan. These recommendations should be logically linked to the conclusions and draw upon lessons learned identified through the evaluation.

The overall **purposes** of the OP Evaluation are:

- To support greater learning about what works, what doesn't and why in the context of the One Plan. The evaluation will provide important information for strengthening programming and results at the country level, specifically informing the planning and decision-making for the next One Plan cycle (2017-2021) and

for improving United Nations coordination at the country level. The Government of Viet Nam, UNCT, donors, civil society and other key One Plan stakeholders can learn from the process of documenting good practices and lessons learned. These will also be shared with UN Regional Offices and HQ for potential benefit of other countries.

- <u>To support greater accountability of the UNCT to One Plan stakeholders</u>*.* By objectively verifying results achieved within the framework of the One Plan and assessing the effectiveness of the strategies and interventions used, the evaluation will enable the various stakeholders in the One Plan process, including national counterparts and donors, to hold the UNCT and other parties accountable for fulfilling their roles and commitments.

The **scope** covered by the evaluation includes examining the cross-cutting issues of the One Plan 2012-2016 and the global UNDAF programming principles (human rights-based approach, gender equality, environmental sustainability, culturally appropriate programming, HIV, results-based management, capacity development). The evaluation will examine overall strategies and outcome/output specific strategies included in the One Plan itself. The One Plan will be evaluated against the strategic intent laid out in the One Plan document and specifically its contribution to the national development results included in the One Plan results framework.

4. EVALUATION QUESTIONS AND METHODOLOGY

Overall approach: The One Plan Evaluation is a programmatic evaluation of the One Plan programmatic framework and its specified strategic intent and objectives. It assesses UNCT's contribution to national development outcomes contained in the One Plan's results framework. The overall approach is participatory and orientated towards learning and identifying lessons on how to jointly enhance development results at the national level.

In line with UNEG standards, the contribution of UNCT to development outcomes will be assessed according to the following evaluation criteria:

- **Relevance**. The extent to which the objectives of the One Plan are consistent with country needs, national priorities, the country's international and regional commitments, including on human rights (core human rights treaties, including ICCPR, ICESCR, ICERD, CEDAW, CPRD, CRC, etc.) and the recommendations of Human Rights mechanisms (including the treaty bodies, special procedures and UPR), sustainable development, environment, and the needs of women and men, girls and boys in the country.
- **Effectiveness**. The extent to which the UNCT contributed to, or is likely to contribute to, addressing target groups' vulnerabilities through the outcomes defined in the One Plan. The evaluation should also note how the unintended results, if any, have affected national development positively or negatively and to what extent have they been foreseen and managed.
- **Efficiency**. The extent to which outcomes are achieved with the appropriate amount of resources and maintenance of minimum transaction cost (e.g. funds, expertise, time and administrative costs).
- **Sustainability**. The extent to which the benefits from a development intervention have continued, or are likely to continue, after it has been completed.

To assess the above, the One Plan evaluation will look at two factors, general enabling/explanatory factors that can help to explain One Plan performance overall, and target group case studies that can help demonstrate contribution to addressing vulnerabilities in contribution to One Plan outcomes.

General enabling/explanatory factors: These can be assumed to affect performance, and assessing them in line with the above evaluation criteria can allow broader lessons to be learned about why the UNCT performed as it did. Examples that may be examined include:

- Did **UN coordination** reduce transaction costs and increase the efficiency of One Plan implementation? To what extent did the One Plan create synergies among agencies and involve concerted efforts to optimise results and avoid duplication?
- To what extent did other **Delivering as One pillars** (One House, One Leader, One Voice, One Plan Fund and Operating as One) serve as enablers to effectively and efficiently achieving One Plan results?
- How were the five **cross-cutting issues**/programming principles employed (human rights- based approach, gender equality, environmental sustainability, culturally appropriate programming, HIV, results-based

management, capacity building)? To what degree did they contribute to performance?

- How well did the UN use its **partnerships** (e.g. with civil society, private sector, local government, National Assembly, development partners) to improve its performance? To what extent was the "active, free, and meaningful" **participation** of all stakeholders (including non- resident agencies) ensured? What mechanisms were created throughout implementation to ensure participation?

Target group case studies: Building on the Systematic Review findings on challenges related to the current One Plan 2012-2016, in particular limited available evaluative data that can demonstrate contributions of UN's outputs towards One Plan outcomes, and directly responding to the Review recommendation to develop "impartial case studies that collect the opinion of several (external and internal stakeholders) on selected interventions" to allow to bridge this gap, the evaluation will assess, against the above evaluation criteria, UN's performance in addressing vulnerabilities of a limited number of target groups (approximately 4-6). Criteria for selection of target groups include:

1) a group that the UN jointly supports (more than one, but ideally not too many agencies);
2) a group that is supported through a number of UN interventions across a number of One Plan Outcomes (more than one, but ideally not too many);
3) a group for which the UN is a main actor in supporting and has provided a clear added value compared to other development actors; and

Examples of evaluation questions case studies will aim to answer include:
- How were these groups identified?
- How were their vulnerabilities defined?
- How was it expected that UN interventions/policy support would contribute to addressing these vulnerabilities?
- To what degree have UN interventions/policy support contributed – or are likely to contribute

– to achievement of One Plan outcomes for these groups?

Within the scope of the case studies, the enabling/explanatory factors will also be examined in greater detail as they pertain to the case study in question. Evidence emanating from both the generic enabling/explanatory factors pertaining to the whole One Plan, as well as the more detailed target group case studies, will constitute the findings of the One Plan Evaluation, used to formulate related conclusions and recommendations.

Data analysis and collection methods: Both for the overall assessment of enabling/explanatory factors, as well as for conduct of the target group case studies, the One Plan evaluation will draw on a variety of data collection methods. This firstly will include desk review and analysis of existing evidence (e.g. from agency evaluations, reviews and assessments). Some primary data will be collected to fill existing evaluative evidence gaps as identified by the Systematic Review. Examples of data analysis and collection methods include:

- Document review focusing on One Plan planning documents, progress reviews, annual reports and past evaluation reports (including those on projects and small-scale initiatives, and those issued by national counterparts), strategy papers, national plans and policies and related programme and project documents. These should include reports on the progress against national and international commitments.
- Semi-structured interviews with key stakeholders including key government counterparts, donor community members, representatives of key civil society organisations, UNCT members, and implementing partners.
- Surveys and questionnaires including participants in development programmes, UNCT members, and / or surveys and questionnaires involving other stakeholders.
- Focus Group discussions involving groups and sub-groups of stakeholders, decision-makers.
- Other methods such as outcome mapping, observational visits, photo stories, etc.

Data collection methods must be linked to the evaluation criteria and evaluation questions that are included within the scope of the evaluation. The use of an evaluation matrix is recommended in linking these elements together. In addition, the precise data collection methods should be identified following:

- Analysis of availability of existing evaluative evidence and administrative data

- Logistical constraints (travel, costs, time, etc)
- Ethical considerations (especially when evaluating sensitive topics such as GBV or in sensitive settings such as post-conflict settings)

Data collection methods and process should consider gender sensitivity and data should be systematically disaggregated by sex and age and, to the extent possible, disaggregated by geographical region, ethnicity, disability, migratory status and other contextually-relevant markers of equity.

Validation: The One Plan evaluation will use a variety of validation methods to ensure that the data and information used and conclusions made carry the necessary depth, including by sharing findings, conclusions and recommendations with evaluation participants and the evaluation reference group. Information sources and findings will be triangulated to improve validity, quality and use of evaluation outputs.

5. MANAGEMENT AND CONDUCT OF THE EVALUATION

The One Plan Review team will work under the supervision of a dual-tiered evaluation management structure.

- The commissioner and decision-making organ for the One Plan Evaluation is the **One Plan Steering Committee** (OPSC) which is composed of representatives of UN and national counterparts. The key evaluation deliverables, namely the Final Evaluation Report and its Management Response, will be approved by the ESC.

- Direct supervision is provided by the One Plan **Evaluation Management Group (EMG)** which will function as the guardian of the independence of the evaluation. The EMG is composed by the Results-Based Management Specialist in the Resident Coordinator's Office, up to three members of the Results-Based Management Working Group and one representative from the Ministry of Planning and Investment. This group will be responsible for the day-to-day implementation of the evaluation and management of the evaluation budget. The key roles of the EMG are:
  - o To lead the hiring of the team of external consultants, reviewing proposals and approving the selection of the evaluation team;
  - o To supervise and guide the review team in each step of the evaluation process;
  - o To review, provide substantive comments and approve the inception report, including the work plan, analytical framework and methodology;
  - o To review and provide substantive feedback to the draft and final evaluation reports for quality assurance purposes;
  - o To ensure the quality and independence of the evaluation and to guarantee its alignment with UNEG Norms, Standards and Ethical Guidelines;
  - o To identify and ensure the participation of relevant stakeholders throughout the evaluation process, if needed in consultation with OPSC;
  - o To ensure relevant feedback to excerpts of findings and conclusions is solicited from the Evaluation Reference Group;
  - o To ensure the evaluation findings and conclusions are relevant and recommendations are implementable; and
  - o To contribute to the dissemination of the evaluation findings and follow-up on the management response.

- The **Evaluation Reference Group** (ERG), composed of key technical-level stakeholders and evaluation experts, will provide advice to key consultant products and deliverables, including advance excerpts of findings and the full draft evaluation report. The ERG is constituted by the representatives of UN agencies in Viet Nam, the Results-Based Management Working Group, evaluation experts of national line counterparts, target group representatives and interviewees, regional UNDG and regional UNEG.

Evaluation Team

The Evaluation Team will work in full independence from the evaluation commissioners. Given the importance of the One Plan Evaluation and the complexities involved in its design and conduct, it is critical that the evaluation team meet the standards to conduct the evaluation. The evaluation team will consist of a team leader and

one or more team members with the following responsibilities:

- The **evaluation team leader** will lead the entire evaluation process, working closely with all team member(s). He/she will conduct the evaluation process in a timely manner and communicate with the Evaluation Management Group on a regular basis and highlight progress made/challenges encountered. The team leader will be responsible for producing the inception report and the draft and final evaluation reports.
- The **evaluation team member(s)** will contribute to the evaluation process substantively through data collection and analysis. He/she/they will share responsibilities for conducting desk review and interviews and conduct field visits to the project sites identified and collect data. He/she/they will provide substantive inputs to the inception report as well as to the draft and final reports.

Evaluation process

There are four main stages in the One Plan Evaluation process:
- **Preparation** (April-May): Includes reflection on the evaluation with stakeholders establishing the elements of the evaluation management structure and setting up an Evaluation Management Group. The ToR will be adopted and the evaluation team will be recruited
- **Conduct / implementation** (May-August): The evaluation team will prepare an inception report that will operationalize the design elements made in this ToR and will undertake data collection.
- **Reporting** (August): Preliminary findings and lessons learned will be presented to all the above referred stakeholders and, based on their feedback, a final report will be produced.
- **Follow-up and use** (September onward): Once the evaluation report is completed and validated by the Evaluation Steering Committee it will be made publicly available by posting in the UN Viet Nam and the UNDG websites. UNCT represented in the Evaluation Steering Committee will endorse a management response to the evaluation recommendations within two months of the final report becoming available. This includes committing follow up actions to the recommendations as well as establishing responsibilities for the follow up.

6. EVALUATION TEAM QUALIFICATIONS

As the One Plan Evaluation is an independent exercise, an external evaluation team will be engaged from a firm containing expertise and a good track record in conducting evaluations, preferably complex evaluations for UN and/or other multilateral organizations. Between all members of the evaluation team, the following should be demonstrated:

Essential:

a. International expertise and experience in evaluation
b. Knowledge of Viet Nam and ability to bring local perspective to the evaluation
c. Knowledge of, and experience in applying, qualitative and quantitative evaluation methods and in a wide range of evaluation approaches
d. A strong record in designing and leading evaluations
e. Data collection and analysis skills
f. Process management skills such as facilitation skills and ability to negotiate with a wide range of stakeholders
g. Technical competence in undertaking complex evaluations which involve use of mixed methods
h. Prior experience in working with multilateral agencies
i. Strong experience and knowledge in the cross-cutting issues/programming principles (human rights-based approach, gender equality, environmental sustainability, culturally appropriate programming, results-based management and capacity development)
j. Excellent English and Vietnamese language skills (written and spoken)

Desirable:

k. Balance in terms of gender
l. Knowledge of UN role, UN reform process and UN programming at country level
m. Experience in evaluation of UNDAFs
n. Knowledge and experience applying participatory approaches to evaluation

While the above are not expected to apply to each evaluation team member individually, all of the above must be demonstrated between the evaluation team as a whole. In addition, all the members of the evaluation team should be independent from any organizations that have been involved in designing, executing or advising any aspect of the One Plan subject of the evaluation.

7. LOCATION AND TENTATIVE TIMEFRAME

The Evaluation Team is expected to conduct at a minimum two missions to Viet Nam; one for data collection during the data collection phase for a maximum period of two weeks and a second mission for debriefing and presentation of preliminary findings to the various stakeholders once the draft report has been submitted for a maximum period of 3 days. For the case studies travel within Viet Nam might be necessary, to a maximum of three locations determined based on the definition of target groups.

The **evaluation timeline**, which will be adjusted once the Evaluation team has been recruited, can be viewed on the following page.

[time plan]

8. DELIVERABLES

1. Inception Report, including proposed methodology and work plan
2. Draft Evaluation Report
3. Power point presentation with key findings
4. Final Evaluation Report (including relevant annexes)

9. STRUCTURE OF EVALUATION REPORT

The final report will be kept reasonably short (~50-75 pages maximum excluding annexes). More detailed information on the context, the One Plan or the comprehensive aspects of the methodology and analysis will be placed in the annexes. The report will be accompanied by an executive summary (max three to four pages of text). The report will be prepared in accordance with UNEG guidance (Quality Checklist for Evaluation Reports).

The proposed structure will be considered during the inception phase and a more detailed outline of the Evaluation Report will be included in the inception report. The proposed structure is as follows:

- Chapter 1: Introduction (objectives, scope, methodology, limitations)
- Chapter 2: National development and institutional context
- Chapter 3: Evaluation findings
    - o 3.1: General findings on enabling/explanatory factors
    - o 3.2: Findings of target group case studies (one sub-section per target group)
- Chapter 4: Conclusions and recommendations
- Annexes

10. PAYMENT TERMS

First payment of 30% of total contract amount shall be paid upon receipt and acceptance of the inception report.

Last payment of 70% of total contract amount shall be paid upon receipt and acceptance of the Final Evaluation Report.

ANNEX 10: EVALUATION MANAGEMENT COMPOSITION

The **One Plan Steering Committee.** The commissioner and decision-making organ for the One Plan Evaluation is the **One Plan Steering Committee** (OPSC) which is composed of representatives of the UN (Ms. Pratibha Mehta, UN Resident Coordinator) and Government of Viet Nam (Mr. Nguyen Chi Dung, Vice Minister, Ministry of Planning and Investment) as well as other rotating or observer members.

Evaluation Management Group (EMG). Direct supervision is provided by the One Plan Evaluation Management Group (EMG) which will function as the guardian of the independence of the evaluation. The EMG was initially composed by the Results-Based Management Specialist in the Resident Coordinator's Office, up to three members of the Results-Based Management Working Group and representatives from the Ministry of Planning and Investment (see list below). This group will be responsible for the day-to-day implementation of the evaluation and management of the evaluation budget. As a result of the scoping mission, increased involvement of the UNCT members and Government representatives part of the GoV-UN Joint Task Force at this level is also expected and consequently the revised inception report was shared with these extended EMG for comments.
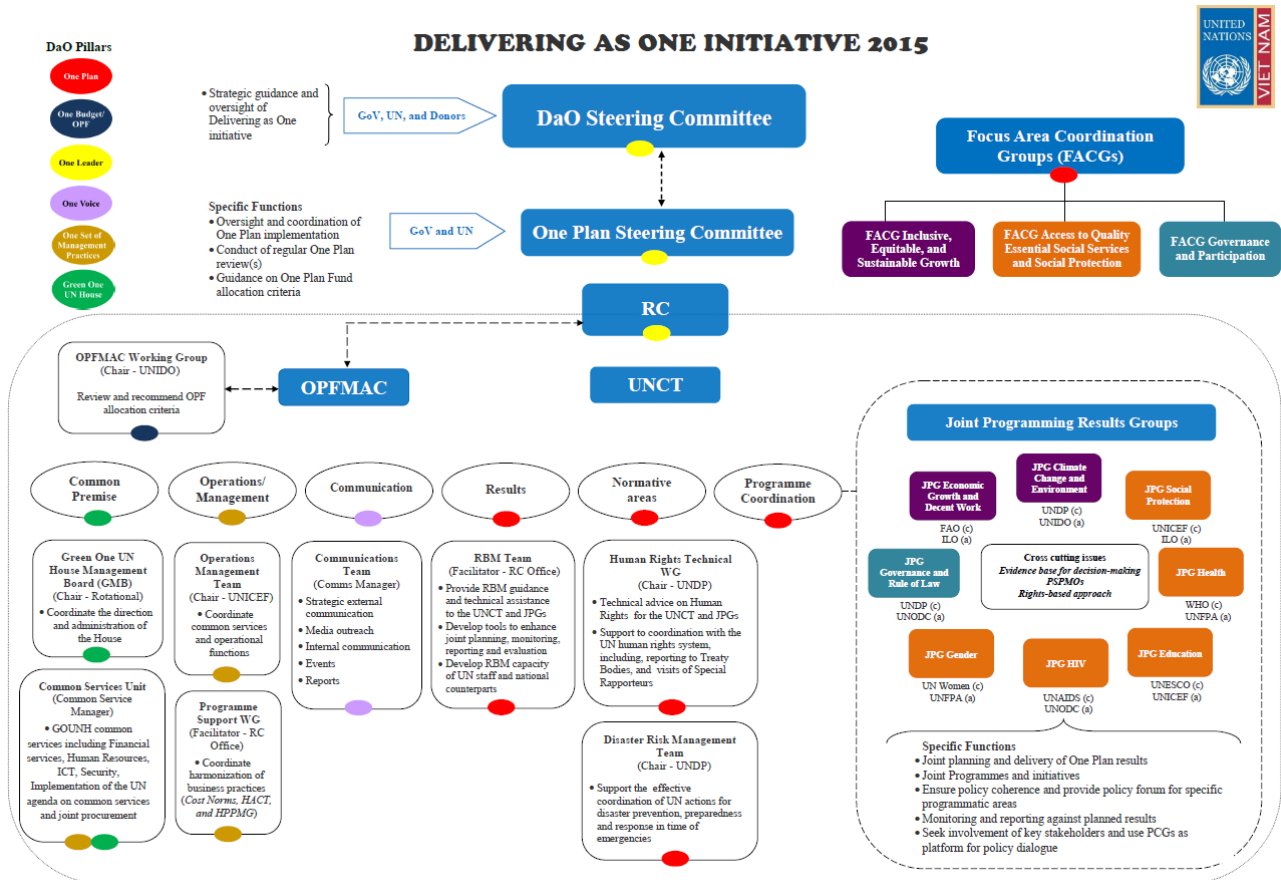
EMG members:

- Ms. Tran My Hanh – UNDP, Programme Analyst, M&E Team Leader
- Mr. Nguyen Xuan Hong - UNFPA, Programme Officer (RBM, Oversight, Coordination)
- Mr. Vu Manh Hong- UNICEF, Chief of Monitoring and Evaluation Unit
- Ms. Phuong Ly- UN Women, National Programme Officer
- Mr. Ali Safarnejad- UNAIDS, Strategic Information Adviser
- Mr. Florian Despons- UNIDO, Programme Analyst
- Ms. Nguyen Yen Hai, Deputy Director General, Foreign Economic Relations Department, Ministry of Planning and Investment
- Ms. Nong Thi Hong Hanh, Head of Division, International Organizations and INGOs Division, Foreign Economic Relations Department, Ministry of Planning and Investment
- Mr. Vu Thuong, Foreign Economic Relations Department, Ministry of Planning and Investment
- Patricia Fernandez-Pacheco – RCO, Results Based Management Specialist (chair)
- Technical support provided by the United Nations Evaluation Development Group for Asia and the Pacific (*UNEDAP*)

The **Evaluation Reference Group** (ERG), composed of key stakeholders, will provide advice to key consultant products and deliverables, including advance excerpts of findings and the full draft evaluation report. The ERG is constituted by:

- UNCT members, Deputies and UN focal points per initiative considered to inform case studies
- Donors (members of the former One Plan informal Donor Group)
- Government representatives part of the GoV-UN Joint Task Force
- DOCO regional liaison officer, UNDAF Innovation Facility focal point and Regional UNDG focal point

ANNEX 11: ORGANOGRAM OF THE DAO INITIATIVE IN VIET NAM

Source: UNRCO