



2020  
Project Implementation Review (PIR)



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Resilient nations.*

## **Vietnam Access and Benefit Sharing ABS**

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## A. Basic Data

Project Information	
UNDP PIMS ID	5303
GEF ID	5653
Title	Capacity Building for the Ratification and Implementation of the Nagoya Protocol on Access and Benefit Sharing in Vietnam ABS
Country(ies)	Viet Nam, Viet Nam
UNDP-GEF Technical Team	Ecosystems and Biodiversity
Project Implementing Partner	Government
Joint Agencies	<i>(not set or not applicable)</i>
Project Type	Medium Size - 2 steps

Project Description
<i>(not set or not applicable)</i>

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Other Partners	<i>(not set or not applicable)</i>

**B. Overall Ratings**

Overall DO Rating	Satisfactory
Overall IP Rating	Moderately Satisfactory
Overall Risk Rating	low

## C. Development Progress

Description					
Objective					
To develop and implement a national Access and Benefit Sharing (ABS) framework, build national capacities and support an ABS Agreement based on Traditional Knowledge and Public-Private Partnership					
Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at 30 June 2019	Cumulative progress since project start
Regulatory system in place for the implementation of the Nagoya Protocol	Legal and institutional framework for ABS exists, but not all provisions of Nagoya Protocol are incorporated in the current framework	<i>(not set or not applicable)</i>	A national decree and supporting guidelines and circulars approved in line with the Nagoya Protocol	<ul style="list-style-type: none"> <li>- Guidance document for the implementation of Decree No.59/2017/ND-CP finalized in end of 2018 and have been edited for printing in the coming time.</li> <li>- Other technical guidelines to support the implementation of regulations on ABS, including Questions and Answers on ABS; ABS Handbook to provide experience in handling typical international ABS cases are being finalized by the international experts.</li> <li>- Draft Circular guiding on reporting of access to genetic resources and benefit sharing from the use of genetic resources drafted and will be submitted for the Minister approval by end of 2019.</li> </ul>	<ul style="list-style-type: none"> <li>- The Decree No. 59/2017/ND-CP on Management of Access to Genetic Resources and Benefit-Sharing from their Utilization was approved by the Government in 2017.</li> <li>- Guidance document for the implementation of Decree No. 59/2017/ND-CP has been printed in first Quarter of 2020.</li> <li>- Circular No. 15/2019/TT-BTNMT on organization and operation of the Appraisal Committee for granting ABS license was approved by the Minister of MONRE on 11 September 2019.</li> <li>- Circular No. 07/2020/TT-BNNPTNT on stipulating the organization and operation of the Appraisal Committee for evaluation of applications for licenses to access genetic resources for commercial research and development of commercial products under the licensing authority of the Ministry of Agriculture and Rural Development has been approved by</li> </ul>

					<p>the Minister of MARD on 22 May 2020.</p> <p>- Draft Circular guiding on reporting of access to genetic resources and benefit sharing from the use of genetic resources drafted and will be submitted for the Minister of MONRE's approval by end of 2020.</p>
Number of ABS Agreements negotiated	No ABS Agreements have been concluded and approved so far	<i>(not set or not applicable)</i>	At least one ABS Agreement successfully concluded	<p>- ABS Agreements between a community company (user) and relevant households (providers) are being developed with the technical assistance of consultancy firm hired by the Project.</p> <p>- The application's dossier including the registration form and the ABS contract for the use of red sage in cosmetic production has been being reviewed.</p>	<p>- ABS Agreements between a community company - Sapa Napro (user) and relevant households in Ta Phin Commune (providers) has been developed and finalized. At the end of June, 2020, Sapa Napro company and Red Dao Ethnic Community has signed 02 contracts: i) Contract on access on Genetic resources and benefit sharing on their utilization; ii) Contract on Access to Traditional Knowledge and benefit sharing on their utilization. The two contracts have been certified by Ta Phin PPC.</p> <p>- The application's dossier including the registration form and the ABS contract for the use of plant in cosmetic production has been approved by MONRE on April 2020.</p>
Improved capacities of national and provincial competent authorities for ABS implementation as shown by an increase in UNDP ABS capacity development scorecard	Limited capacity of national and provincial CAs for ABS implementation as shown by UNDP ABS capacity development score of	<i>(not set or not applicable)</i>	At least 30 percentage increase in national and provincial capacity as measured by UNDP ABS scorecard  Number of training and	Capacity development scorecard will be completed in June 2020 ahead of the terminal evaluation.  Action plans/Programs on ABS	Capacity development scorecard will be completed in September 2020 ahead of the terminal evaluation.  Action plans/Programs on ABS capacity building and awareness raising were finalized and are being

	23% (17/75)		<p>awareness raising manuals, and programs being actively used</p>	<p>capacity building and awareness raising were finalized and are being implemented.</p> <p>- The Project organized 05 training courses and workshops to strengthen the capacity on management of access to genetic resources and benefit sharing and raise awareness on the importance of conservation and sustainable use of genetic resources and disseminating the Decree No.59/2017/ ND-CP ... in the Northern regions (Hanoi, August 2018), the Central (Da Nang, May 2018 and Nghe An, June 2018), the Central Highlands and the South (Da Lat and Ho Chi Minh, July 2018) with the participation of more than 300 participants from central and local management agencies, national parks, protected areas, research institutions, universities, private sectors, and social and political organizations.</p> <p>- In April 2019, a workshop to discuss ABS legal framework and its implementation on the ground was organized with the attendance of international and national experts on ABS and related agencies, researchers, companies. The workshop aims to (1) increase understandings on international legal framework related to sustainable use of GRs and implementation of national ABS</p>	<p>implemented.</p> <p>- The Project organized 05 training courses and workshops to strengthen the capacity on management of access to genetic resources and benefit sharing and raise awareness on the importance of conservation and sustainable use of genetic resources and disseminating the Decree No. 59/2017/ND-CP in the Northern regions (Hanoi, August 2018), the Central (Da Nang, May 2018 and Nghe An, June 2018), the Central Highlands and the South (Lam Dong and Ho Chi Minh city, July 2018) with the participation of more than 300 participants from central and local management agencies, national parks, protected areas, research institutions, universities, private sectors, and social and political organizations.</p> <p>- In April 2019, a workshop to discuss ABS legal framework and its implementation on the ground was organized with the attendance of international and national experts on ABS and related agencies, researchers, companies. The workshop aims to (i) increase understandings on international legal framework related to sustainable use of GRs and implementation of national ABS framework; (ii) share experiences in application of ABS in Vietnam and other countries;</p>
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				<p>framework; (2) share experiences in application of ABS in Vietnam and other countries; showcase best practices on ABS negotiation and model contracts in support to biodiversity conservation and sustainable use; (3) get updated information on the implementation of ABS worldwide and emerging issues of consideration.</p> <ul style="list-style-type: none"> <li>- A set of training materials including but not limited to ABS Question and Answer, ABS handbook have been developed and will be used in trainings in the coming time.</li> <li>- Groups of ABS trainees have been established. They will be targeted in the coming trainings, and will be received training materials and regularly updated ABS information.</li> <li>- Besides, other ABS awareness raising communication activities have been conducted e.g. events in celebration of Biodiversity Day 22-5-2019, ABS website with regularly updated information, art drawing contest for student in Lao cai province (Apr.-May, 2019), or other ABS raising awareness activities for local people through communication channel at pilot site (started from April 2019), etc.</li> </ul>	<p>showcase best practices on ABS negotiation and model contracts in support to biodiversity conservation and sustainable use; (iii) get updated information on the implementation of ABS worldwide and emerging issues of consideration.</p> <ul style="list-style-type: none"> <li>- ABS Question and Answer, ABS handbook, ABS factsheet have been developed.</li> <li>- The TOT training on ABS has been organized with participants directly involved in ABS. ABS expert network were provided with information, material and training skills on ABS and shared domestic and international experience in applying ABS.</li> <li>- Besides, other ABS awareness raising communication activities have been conducted e.g. events in celebration of Biodiversity Day 22-5-2019 and 22-5-2020, ABS website with regularly updated information, art drawing contest for student in Lao Cai city, Lao Cai province (Apr-May, 2019), or other ABS raising awareness activities for local people through communication channel at pilot site (started from April 2019), propaganda activities on Biodiversity conservation at secondary schools in pilot site through festivals organized by Ta Phin PPC, Photo contest on Biodiversity in 2020 etc. A series of activities to celebrate the world</li> </ul>
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					environment day: bicycle parade to spread the message of environmental protection, signing commitment to protecting the nature and biodiversity, Workshop for youth on nature and biodiversity conservation... to raise awareness on GRs and ABS.
The progress of the objective can be described as:		On track			
<b>Outcome 1</b>					
<b>Strengthening national policy, legal and institutional framework for ABS</b>					
Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at 30 June 2019	Cumulative progress since project start
New Decree approved for ABS in full compliance with the Nagoya Protocol	Existing legal framework (Biodiversity Law and related decrees) are insufficient and not in full compliance with the Nagoya Protocol provisions and obligations	<i>(not set or not applicable)</i>	One national new decree for ABS and regulations, circulars and guidelines for its implementation approved by the Government	<ul style="list-style-type: none"> <li>- The Decree No.59/2017/ND-CP was approved by the Government in 2017.</li> <li>- Its guidelines and circulars are being finalized and/or submitted for approval by relevant authorities. These include Guidance document for the implementation of Decree No.59/2017/ND-CP (finalized in end of 2018), Questions and Answers on ABS (developed in 2018 by national experts and being reviewed by international experts), Draft Circular on organization and operation of the Appraisal Committee for granting ABS permit and Draft Circular guiding on reporting of access to genetic resources and benefit sharing from the use of genetic resources</li> </ul>	<ul style="list-style-type: none"> <li>- One National new Decree for ABS was approved by the Government in 2017 (The Decree No. 59/2017/ND-CP on Management of Access to Genetic Resources and Benefit-Sharing from their Utilization was approved by the Government in 2017.)</li> <li>- Circulars for implementation of the Decree were approved by respective Ministries, including: <ul style="list-style-type: none"> <li>+ Circular No. 15/2019/TT-BTNMT on organization and operation of the Appraisal Committee for granting ABS license was approved by the Minister of MONRE on 11 September 2019.</li> <li>+ Circular No. 07/2020/TT-BNNPTNT on stipulating the</li> </ul> </li> </ul>



				(drafted and in on process of submitting for approval by Minister)-	<p>organization and operation of the Appraisal Committee for evaluation of applications for licenses to access genetic resources for commercial research and development of commercial products under the licensing authority of the Ministry of Agriculture and Rural Development has been approved by the Minister of MARD on 22 May 2020.</p> <p>+ Draft Circular guiding on reporting of access to genetic resources and benefit sharing from the use of genetic resources drafted and will be submitted for the Minister of MONRE approval by end of 2020.</p> <p>+ Guidance document for the implementation of Decree No. 59/2017/ND-CP was printed in first Quarter of 2020.</p>
Conservation, use and equitable benefit sharing from traditional knowledge incorporated into ABS Decree	Existing legal provisions for equitable benefit sharing from TK mechanism inadequate for effective protection of TK	<i>(not set or not applicable)</i>	Several provisions incorporated into ABS decree for protection of TK	<p>The Decree No.59/2017/ND-CP was approved by the Government in 2017 incorporated protection of TK at Article 26.1.b, d,đ and sample forms (application form, contract,...) attached to the Decree.</p> <p>Accordingly, MONRE has responsible for:</p> <ul style="list-style-type: none"> <li>- Developing the national database of genetic resources, traditional knowledge on genetic resources, and access and the sharing of benefits arising from</li> </ul>	<p>The Decree No. 59/2017/ND-CP was approved by the Government in 2017 incorporated protection of TK at Article 26.1. b, d, đ and sample forms (application form, contract...) attached to the Decree.</p> <p>Accordingly, MONRE is responsible for:</p> <ul style="list-style-type: none"> <li>- Developing the national database of genetic resources, traditional knowledge on genetic resources, and access and the sharing of benefits arising from their utilization (Article 26.1.b);</li> </ul>

				<p>their utilization (Article 26.1.b);</p> <ul style="list-style-type: none"> <li>- Providing detailed guidance on access to traditional knowledge on genetic resources (Article 26.1.d);</li> <li>- Coordinating with the concerned ministries in guiding the sharing of benefits from the utilization of genetic resources and traditional knowledge on genetic resources (Article 26.1.d);</li> </ul> <p>A study on the international and national context, existing laws and practices, comparative experiences and potential approaches to regulate access to traditional knowledge associated to genetic resources and fair and equitable sharing of resulting benefits in Viet Nam has been conducted by a group of national and international experts in 2018-2019. The study provides potential approaches for more effective protection of TK. The report is developed in May 2019.</p> <p>In parallel, a Workshop on orientation for policy of TK protection was organized in October 2018 with the attendance of international and national experts/organizations on ABS, TK and traditional medicine. Other technical meetings also organized to discuss on TK and traditional</p>	<ul style="list-style-type: none"> <li>- Providing detailed guidance on access to traditional knowledge on genetic resources (Article 26.1.d);</li> <li>- Coordinating with the concerned ministries in guiding the sharing of benefits from the utilization of genetic resources and traditional knowledge on genetic resources (Article 26.1.d);</li> </ul> <p>A study on the international and national context, existing laws and practices, comparative experiences and potential approaches to regulate access to traditional knowledge associated to genetic resources and fair and equitable sharing of resulting benefits in Viet Nam has been conducted by a group of national and international experts in 2018-2019. The report has been finalized in 2019</p>
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				medicine protection	
Community protocol supported in the ABS decree and developed for regulation of access and benefit sharing from genetic resources and traditional knowledge held by local communities	No community protocol currently exist for regulation of ABS from genetic resources and TK held by local communities	<i>(not set or not applicable)</i>	Several provisions incorporated into ABS decree for protection of TK  PIC, MAT and other related provisions for community protocol included in the new ABS decree.	The decree 59 approved in 2017 incorporated PIC and MAT. Community protocol recognized by the Government/State under the Civil Code and Forestry Law.  The development of community protocol incorporating PIC, MAT and other ABS related considerations is being piloted under the ABS Project.  A consultancy firm providing technical assistance for the development of community protocol was selected in December 2018. Currently, community protocol, which regulates ABS for GRs and TKs held by the local communities at pilot site, is being developed. Some technical meetings and consultations with local authorities and local community were organized.	- A community protocol was developed for regulation of biodiversity conservation, ABS from genetic resources and associated TK in pilot site. The community protocol was approved in 29th July 2020
Financial mechanism designed to reinvest revenues for ABS agreement to support biodiversity conservation	No financial mechanism exists for reinvest of ABS revenues for biodiversity conservation	<i>(not set or not applicable)</i>	At least one set of provisions for financial mechanism created and a financial mechanisms effectively created supporting conservation and sustainable use of biological resources	- The Project is working with Finance Department on the proposal on ABS dossier appraisal fee.  - A study on financial mechanism to reinvest collected monetary benefits into biodiversity conservation is being prepared.	- The Decree No. 59/2017/ND-CP has provision stipulating the ratio that monetary benefits shall be channeled to the State budget for biodiversity conservation.  - In practice, Viet Nam has granted 02 ABS licenses for commercial purpose with MAT's provisions being specific on monetary benefit sharing

					for biodiversity conservation. - A study on financial mechanism to reinvest collected monetary benefits into biodiversity conservation is being prepared. The first draft has been submitted to PMU for reviewing
<b>The progress of the objective can be described as:</b>		<b>On track</b>			
<b>Outcome 2</b>					
<b>Developing administrative measures for implementation of national ABS legal framework</b>					
<b>Description of Indicator</b>	<b>Baseline Level</b>	<b>Midterm target level</b>	<b>End of project target level</b>	<b>Level at 30 June 2019</b>	<b>Cumulative progress since project start</b>
Guidelines for the permitting system for ABS developed and approved and piloted	No guidance, circulars or manual exists for the ABS permitting and monitoring system	<i>(not set or not applicable)</i>	Set of guidelines, manual and circulars approved and in use, including models and standardized clauses for MAT, and are implemented in at least one case.	The Decree 59 provided sample form on ABS contract which guides standardized clauses for MAT.  A set of guidelines and manuals also developed to facilitate the implementation of ABS, including MAT or ABS contract related issues.  An ABS Agreements between a community company (user) and local households (providers) at pilot site is being developed.	- The Decree No.59/2017/ND-CP provides a template of ABS contract including standardized clauses for MAT, and other templates to facilitate the ABS granting procedure.  - A Guidance Document for the implementation of the Decree No.59 has been developed to facilitate its implementation.  - Circular 15/2019/TT_BTNMT dated 11 September 2019 on organization and operation of the Appraisal Committee for granting ABS permit and Draft Circular guiding on reporting of access to genetic resources and benefit sharing from the use of genetic resources.  - So far, Viet Nam has granted 02 ABS licenses for commercial purpose, 01 ABS license for non-

					commercial purpose and over 50 decisions for transfer GRs abroad.  - An ABS Agreements between a community company (user) and local households (providers) at pilot site has been developed and finalized.
Facilitation of coordination for the operationalization of the ABS permitting system among the different national authorities involved on ABS	No coordinating system exists currently	<i>(not set or not applicable)</i>	<p>Clear instructions available (through guidelines, circulars and manuals) for coordination and information sharing between FP and NCAs, and amongst the NCAs. Network of NCA with the involvement of the NFP fully functional using, inter alia, electronic communication mechanisms</p> <p>Supporting mechanism for ABS monitoring and tracking in place, such as a technical advisory committee or a similar body</p> <p>Formally establish network/partnership between provider/user/managers and researchers using</p>	<p>Clear instructions for coordination and information sharing between FP and NCAs are reflected under Decree 59 (Article 5 on NFP, Article 6 on NCAs, Article 24 on disclosure of IRCC, Article 26 on Responsibilities of MONRE and MARD and other agencies).</p> <p>In addition, other decisions and circulars to facilitate the ABS permitting system also developed, including:</p> <p>+MARD approved Decision for allocation of tasks among functional agencies (including Forestry Administration, Fisheries Administration, Department of Crop Production, and Department of Livestock Production) to grant ABS license under their authorities. (Decision No. 2586/QD-BNN-KHCN dated July 02, 2018).</p> <p>+Circular/Decision on Appraisal Council's Regulations on granting ABS License under MONRE/MARD authorities have been developed and will be approved by the Ministers by end</p>	<p>Clear instructions for coordination and information sharing between FP and NCAs are reflected under Decree 59 (Article 5 on NFP, Article 6 on NCAs, Article 24 on disclosure of IRCC, Article 26 on Responsibilities of MONRE and MARD and other agencies).</p> <p>In addition, other decisions and circulars to facilitate the ABS permitting system also developed, including:</p> <p>- At MONRE, the Vietnam Environment Administration (VEA) has been assigned as a standing subordinate unit for ABS granting procedure (Decision No.1913/QD-BTNMT dated Aug.08, 2017).</p> <p>- MARD approved Decision for allocation of tasks among functional agencies (including Forestry Administration, Fisheries Administration, Department of Crop Production, and Department of Livestock Production) to grant ABS license under their authorities (Decision No. 2586/QD-BNN-KHCN dated July 02, 2018).</p>

			<p>the CHM or other tools</p>	<p>of 2019.</p> <ul style="list-style-type: none"> <li>- Coordination between MONRE and MARD, MOH, MOSC have been also strengthened through information exchange, technical meetings on related issues including ABS application settlement, TK, traditional medicine, intellectual property, etc.</li> <li>- To establish network of ABS involved actors, the Project sent correspondence to related agencies, research institutes, protected area management boards to ask for seconding staff participating to ABS network. Until now, the ABS network has around 150 participants. The participants of ABS network will be provided ABS materials, regularly updated about ABS information and are trainees of the Project' trainings</li> </ul>	<ul style="list-style-type: none"> <li>- Circular on Appraisal Council's Regulations on granting ABS License under MONRE/MARD authorities have been developed and issued.</li> <li>- The Project assist with the organization of workshops to facilitate the coordination for the operationalization of the ABS permitting system among the different national authorities involved on ABS, including MONRE and MARD. Several workshops on strengthening the implementation of ABS regulations in agricultural sector, in which MARD is an NCA granting ABS License, have been organized.</li> <li>- Coordination between MONRE and MARD, MOH, MOST have been also strengthened through information exchange, technical meetings on related issues including ABS application settlement, TK, traditional medicine, intellectual property, etc.</li> <li>- To establish network of ABS involved actors, the Project sent correspondence to related agencies, research institutes, protected area management boards to ask for seconding staff participating to ABS network. Until now, the ABS network has around 150 participants. The participants of ABS network will be provided ABS materials, regularly updated about ABS information and are trainees of the Project' trainings.</li> </ul>
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					<p>- In order to share ABS information in general, and implement obligation under the Nagoya Protocol, a national ABS Clearing House is established by the Ministry of Natural Resources and Environment from 2017 with address: <a href="https://vietnamabs.gov.vn/">https://vietnamabs.gov.vn/</a>. ABS Clearing House is considered as a tool to provide official information on biosafety management in Vietnam to stakeholders from agencies, universities, institutes and industries.</p> <p>- To support MARD in development of a scheme on conservation of agricultural, forestry and fishery genetic resources in the 2021-2025 period.</p>
<b>The progress of the objective can be described as:</b>		<b>On track</b>			
<b>Outcome 3</b>					
<b>Increasing awareness and capacity of all relevant stakeholders for implementation of national ABS framework</b>					
<b>Description of Indicator</b>	<b>Baseline Level</b>	<b>Midterm target level</b>	<b>End of project target level</b>	<b>Level at 30 June 2019</b>	<b>Cumulative progress since project start</b>
Number of national and provincial competent authorities trained in ABS to facilitate the implementation of the national ABS framework	Limited number of staff trained in ABS (BCA to provide current number of staff trained in ABS)	<i>(not set or not applicable)</i>	<p>At least 100 staff trained, of which at least 30% would be women</p> <p>Training/awareness raising manuals developed and endorsed by the national authorities and used by agencies,</p>	<p>So far the project has trained over 100 people, of which 45 are women.</p> <p>- A set of training materials including but not limited to ABS Question and Answer, ABS handbook, brief guidance on ABS for policy makers, researchers, international and national companies have been developed</p>	<p>- So far 155 staffs from national and provincial competent authorities, of which 45 are women accounting for 29%, were trained on ABS</p> <p>- The training/awareness such as ABS Question and Answer, ABS handbook, Factsheets on ABS for policy makers, researchers, international and national companies</p>

			research institutions and other stakeholders	and will be used in trainings in the coming time.	were developed.
Percentage of the population of researchers, local communities and relevant private sector targeted by the awareness campaign of the legal framework	Limited number of stakeholders aware of ABS legal framework	<i>(not set or not applicable)</i>	At least 60 percent of targeted population of researchers local communities, and relevant private sector staff, of which at least 30% would be women aware of key provisions of ABS legal framework	So far, there are more than 200 people from universities, institutes, enterprises trained on ABS  Besides, other ABS awareness raising communication activities to researchers, local communities and relevant private sector have been conducted e.g. events in celebration of annual Biodiversity Day, art drawing contest for student in Lao cai province (Apr.-May 2019), or other ABS raising awareness activities for local people through communication channel at pilot site (started from April 2019), etc.	So far, there are more than 200 people from universities, institutes, enterprises trained on ABS  Besides, other ABS awareness raising communication activities to researchers, local communities and relevant private sector have been conducted e.g. events in celebration of annual Biodiversity Day, art drawing contest for student in Lao Cai city, Lao Cai province (Apr-May 2019), Photo Contest 2020 on Biodiversity, or other ABS raising awareness activities for local people through communication channel at pilot site (started from April 2019), etc.  A series of activities to celebrate the world environment day: bicycle roadshow, signing commitment to conservation, Workshop for youth to raise awareness on GRs and ABS.
National ABS clearing house mechanism operational	None exists	<i>(not set or not applicable)</i>	An ABS Clearing House system integrated into the National Biodiversity and genetic resources databases and sharing information and used as an ABS network for information sharing	A preliminary national database of genetic resources and associated traditional knowledge developed and are being finalized. Basic information on genetic resources and TK in Vietnam and Lao Cai are being put into the database.  The national database will continue to be enriched for more	- A national ABS Clearing House is established and operated by the Ministry of Natural Resources and Environment from 2017 with address: <a href="https://vietnamabs.gov.vn/">https://vietnamabs.gov.vn/</a> . ABS Clearing House is considered as a tool to provide official information on biosafety management in Vietnam to stakeholders from agencies,



			including between the ABS practice community ( user, providers, research institutions, etc.)	effective management of GRs in the next period (2019-2020).	universities, institutes and industries. The national database is now enriched for more effective management of GRs in 2020 for Chu Yang Sin National Park.  A preliminary national database of genetic resources and associated traditional knowledge developed and are being finalized. Basic information on genetic resources and TK in Vietnam and Lao Cai has been put into the database: <a href="http://abs.ceid.gov.vn/">http://abs.ceid.gov.vn/</a>
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**The progress of the objective can be described as:** **On track**

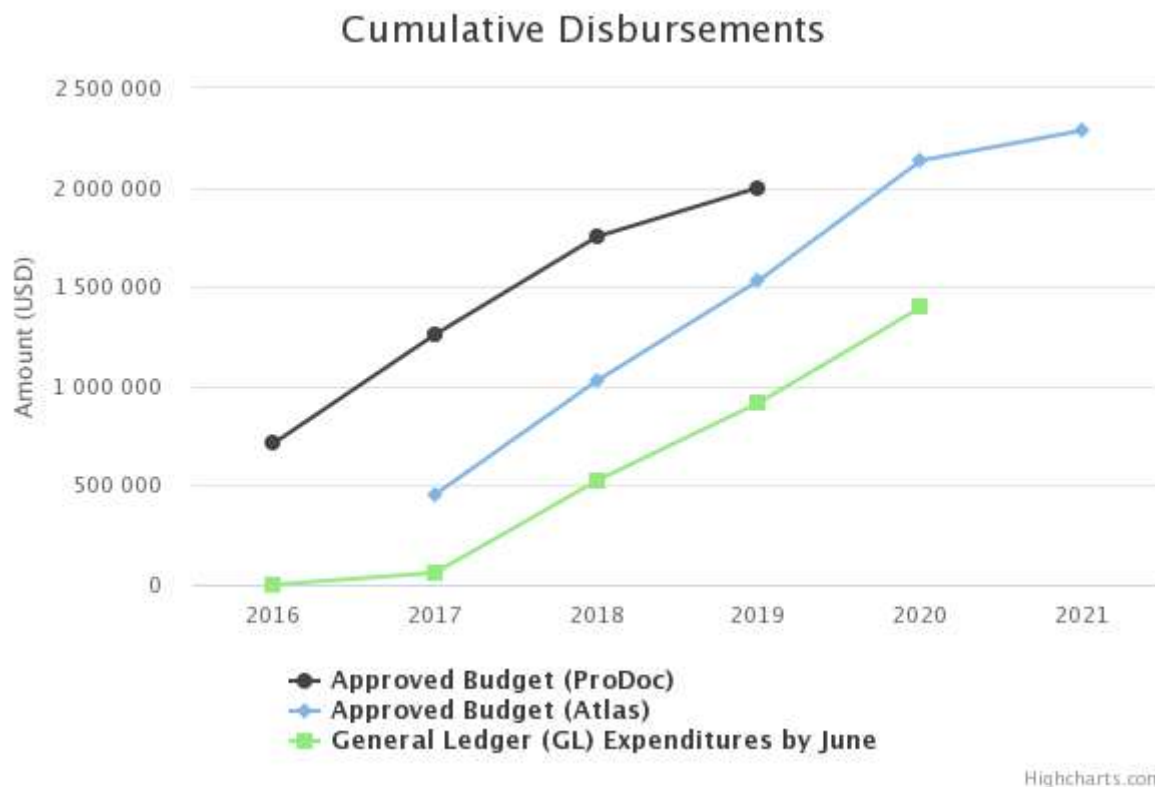
**Outcome 4**  
**Demonstrating private-public-community partnerships on access and benefit sharing**

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at 30 June 2019	Cumulative progress since project start
Number of ABS pilot agreements negotiated and implemented enabling equitable sharing of benefits between users and providers	No officially approved ABS agreements	<i>(not set or not applicable)</i>	Local communities enter into at least one ABS agreement approved in accordance with the legal framework to provide access to genetic resources and commercialization of at least one product	The Project is supporting a community enterprise in the development and commercialization of TK based products. An ABS Agreements between a community company (user) and local households (providers) are being developed with the technical assistance of consultancy firm recruited by the Project in December 2018.	At the end of June, 2020, Sapa Napro company and Red Dao Ethnic Community has signed 02 contracts:  i). Contract on access on Genetic resources and benefit sharing on their utilization;  ii) Contract on Access to Traditional Knowledge and benefit sharing on their utilization. The two contracts have been certified by Ta Phin commune people's committee
Number of community documents developed and	No TK registers exists	<i>(not set or not applicable)</i>	At least one TK registry	- The Project is working on the registration of a TK based	- The TK registry proposal was developed in the form of registration

<p>implemented at the local level enabling the conservation, future use and equitable sharing derived from TK</p>		<p><i>applicable)</i></p>	<p>proposal developed</p> <p>Compilation of TKs associated with genetic resources surveyed and documented in the demonstration district</p> <p>At least one community protocol developed for regulation of ABS (including PIC and MAT) from genetic resources and associated TK</p>	<p>collective trademark related to bath medicine of Red Dao ethnic people in Ta phin commune for their TK protection.</p> <p>- A database of genetic resources and associated traditional knowledge in Lao Cai province have been developed since 2018 and is being finalized. In parallel, compilations of TKs associated with genetic resources in Ta Phin commune, SaPa district is being documented by a group of consultants.</p> <p>- Within the Project, a community protocol is being developed for regulation of ABS from genetic resources and associated TK in pilot site.</p>	<p>of a TK based collective trademark related to bath medicine of Red Dao ethnic people in Ta phin commune for their TK protection. The proposal is now submitted to competent authority (NOIP) for approval</p> <p>- A database of genetic resources and associated traditional knowledge in Lao Cai province have been developed since 2018 and is being finalized. In parallel, compilations of TKs associated with genetic resources in Ta Phin commune, SaPa district has been documented by a group of consultants. And now the draft of database on TK is being finalized</p> <p>- A community protocol was developed for regulation of ABS from genetic resources and associated TK in pilot site. The community protocol was approved in 29th July 2020.</p>
<p>In situ conservation measures to ensure the security of the concerned biological resources are integrated into the pilot project.</p>	<p>Ad-hoc measures for in-situ conservation and management of genetic resources</p>	<p><i>(not set or not applicable)</i></p>	<p>At least one Approved Management Plan for in-situ conservation and measures being implemented</p>	<p>- In November 2018, the Project obtained consensus of local authorities for its plan on in-situ conservation measure intervention at pilot site (Correspondence No. 2330/STNMT-MT of Lao Cai DONRE dated Nov.14, 2018 and Correspondence No.2370/SNN-KL of Lao Cai DARD dated Nov.20, 2018). Orientation for contracting of forest in pilot site for protection by local people was defined, which includes involved actors, contracting time and types of forest</p>	<p>- A plan on in-situ conservation measure intervention at pilot site has been obtained consensus of local authorities (Correspondence No.2370/SNN-KL of Lao Cai DARD dated Nov.20, 2018). Orientation for contracting of forest in pilot site for protection by local people was defined, which includes involved actors, contracting time and types of forest contracting and forest area. These are foundations for the Project to conduct its pilot in-situ</p>

				<p>contracting and forest area. These are foundations for the Project to conduct its pilot in-situ conservation measure intervention.</p> <p>- By end of 2018, a consultancy firm was then selected to provide technical assistance on the development and implementation of in-situ conservation measure</p> <p>- A survey of medicinal plants in forests at pilot site was conducted from January to May 2019. A Management Plan for in-situ conservation has been drafted.</p>	<p>conservation measure intervention.</p> <p>- By end of 2018, a consultancy firm was then selected to provide technical assistance on the development and implementation of in-situ conservation measure</p> <p>- A survey of medicinal plants in forests at pilot site was conducted from January to May 2019. A Management Plan for in-situ conservation has been implemented.</p>
Number of best practices and lessons of ABS from pilots documented and disseminated	No documentation available	<i>(not set or not applicable)</i>	At least three policy briefs developed from best practices and lessons from the project.	The best practices and lessons of ABS from pilots shall be documented and disseminated in the final year (2020) of the Project.	The best practices and lessons of ABS from pilots and three policy briefs shall be documented and disseminated in 2020.
<b>The progress of the objective can be described as:</b>		<b>On track</b>			

## D. Implementation Progress



Cumulative GL delivery against total approved amount (in prodoc):	69.87%
Cumulative GL delivery against expected delivery as of this year:	69.87%
Cumulative disbursement as of 30 June (note: amount to be updated in late August):	1,397,325

Key Financing Amounts	
PPG Amount	77,000
GEF Grant Amount	2,000,000
Co-financing	9,850,000

Key Project Dates	
PIF Approval Date	Mar 6, 2014
CEO Endorsement Date	Sep 2, 2015
Project Document Signature Date (project start date):	Oct 10, 2016
Date of Inception Workshop	Dec 16, 2016
Expected Date of Mid-term Review	<i>(not set or not applicable)</i>

Actual Date of Mid-term Review	<i>(not set or not applicable)</i>
Expected Date of Terminal Evaluation	Mar 10, 2021
Original Planned Closing Date	Oct 10, 2020
Revised Planned Closing Date	Jun 10, 2021

<b>Dates of Project Steering Committee/Board Meetings during reporting period (30 June 2019 to 1 July 2020)</b>
2020-03-24

## E. Critical Risk Management

Current Types of Critical Risks	Critical risk management measures undertaken this reporting period
Operational	Travel restrictions and social distancing measures due to COVID-19 had negatively impacted on the project operations. The project has shifted some of the activities to online modalities (e.g. meetings, online photo competition etc.)

## F. Adjustments

### Risk Management

The Country Office is responsible for completing the Risk Management section of the PIR in consultation with the RTA. Before updating the PIR, the Country Office must update project-level risks in the Atlas Risk Register line with UNDP's enterprise risk management policy and have a detailed discussion with the RTA on risk management. Next, the Country Office must select below the 'high' risks identified in the Atlas Risk Register as well as any other 'substantial' risks from the Atlas Risk Register identified by the RTA as needing to be addressed in the PIR. Moderate and Low risks do not need to be entered in the PIR Risk Management section. After selecting the risk, a text field will appear where the Country Office should describe the risk and explain actions undertaken this reporting period to address the risk selected.

**Select the risk(s) from the options that match the 'high' risks in the project's UNDP Risk Register as well as any 'significant' risks from the register, as agreed with the RTA. Please describe the risk identified and explain the management approach agreed between the RTA and Country Office on managing/mitigating the risk.**

Operational

### Comments on delays in key project milestones

**Project Manager: please provide comments on delays this reporting period in achieving any of the following key project milestones: inception workshop, mid-term review, terminal evaluation and/or project closure. If there are no delays please indicate not applicable.**

In the complicated context of COVID-19 outbreak in the world, Vietnam Government have implemented strict measures of social distancing. Using public vehicle as well as face-to-face meetings have been limited. The Government called for everyone to stay home for health security. Accordingly, during the first two quarters of 2020, there have been pending implementation of activities of the Project. Many Project's workshops, meetings as well as events required large participants, have not been organized such as activities of 3.1.2.2, 3.1.3.2, 4.1.2.2... Besides, consultants could not conduct surveys to collect data and information such as activities of 4.1.3.1, 4.2.1.4... for their consultancy, and submit reports as scheduled, particularly project implementation activities at pilot site.

Due to limited social distancing, it has made slow the process of approval of the Project's workplans for 2020. Therefore, some 2020 commenced activities such as "Review, assess the implementation of regulations on managing GRs and propose their amendments and supplement" and "Analyzing and evaluating lessons learned from the implementation of policies related to ABS and biodiversity" have been launched slowly. So, they could hardly be completed in October 2020.

To adapt to Covid 19-pandemic, the PMU has been closely cooperated with consultants through skype meetings, organized online meetings, and small-scale meetings and trainings to ensure that targets of the project will be achieved.

**Country Office: please provide comments on delays this reporting period in achieving any of the following key project milestones: inception workshop, mid-term review, terminal evaluation and/or project closure. If there are no delays please indicate not applicable.**

Due to COVID-19 pandemic impact, many project's activities in 2020 were in significant delays which cause the overall slow progress of the project. The Project Steering Committee met online late March to endorse the AWP. Subsequently, the government's lockdown until May had postponed most of the

workshops, conferences, field surveys etc. which delayed the project's overall progress. In addition, many of the project activities in the final year aimed to provide support on laws and policy revision processes (e.g. Law on Biodiversity; Law of Environment Protection...) led by the Government which are also in delay due to COVID-19 implementation. This requires the postponement of TE mission to March 2021 and project extension for 8 months, until June 2021. The project extension request package is being prepared to be submitted in August 2020.

**UNDP-GEF Technical Adviser: please provide comments on delays this reporting period in achieving any of the following key project milestones: inception workshop, mid-term review, terminal evaluation and/or project closure. If there are no delays please indicate not applicable.**

The terminal evaluation planning should have commenced during this reporting period, but has been pushed back as the project had an 8-month extension request approved in September 2020. The revised operational closure date is June 2021, and the TE will take place over the next reporting period.



## G. Ratings and Overall Assessments

Role	2020 Development Objective Progress Rating	2020 Implementation Progress Rating
Project Manager/Coordinator	Satisfactory	<i>- IP Rating provided by UNDP-GEF Technical Adviser and UNDP Country Office only -</i>
Overall Assessment	<p>In general, the Project is on track to fully achieve its end-of-project targets by project closure.</p> <p>Under Outcome 1, the Project assisted to strengthen national legal and institutional ABS framework by providing technical assistance to the finalization of Decree on ABS (Decree No.59/2017/ND-CP approved on May 12, 2017). The Decree 59 set up national ABS regulations in compliance with the Nagoya Protocol. It assigns MONRE being as National Focal Point, and MONRE and MARD as National Competent Authorities with clear tasks and authorities. Following the Decree 59, MONRE and MARD assigned their functional departments to operate their ABS license systems. Circular on Appraisal Committee's Regulations on granting ABS License under MONRE/MARD have been approved by respective Ministers in end of 2019 and in 2020, which helps to facilitate the ABS license system operation. Benefit-sharing is also stipulated in Decree 59, which require minimum monetary benefit sharing and channeled a portion of benefits to the State budget for biodiversity conservation. The financial mechanism to reinvest collected monetary benefits into biodiversity conservation is being studied. Besides, TK associated with GRs is also under the Nagoya Protocol scope. The Project conducted a study on the international and national context, existing laws and practices, comparative experiences on ABS to TK. The study also provided potential approaches to regulate access to TK and benefit-sharing from its utilization which will be considered in the revision of national ABS related legal documents. Furthermore, ABS for traditional medicine has been discussed with Traditional Medicine Agency. The Project is also developing community protocol for ABS regulations for GRs and ATK. Last but not least, the Project has provided technical assistance to NCAs in issuing 03 ABS licenses and more than 50 Decisions allowing GRs to be taken abroad.</p> <p>Under Outcome 2, the Project has supported for the development of administrative measures for implementation of national ABS legal framework. Functional departments under NFPs (MONRE and MARD) have been assigned to operate ABS systems with clear tasks and authorities. A set of ABS guidelines and manual have been developed, including but not limited to Guidance document for the implementation of Decree No.59/2017/ND-CP, Questions and Answers on ABS, ABS handbook, Factsheets on ABS for main actors, including policy makers, researchers, national and international companies, Draft Circular guiding on ABS reporting. Coordination between MONRE and MARD, MOH, MOSC has been also strengthened through information exchange, technical meetings on related issues. An ABS network was established with members from related agencies, research institutes, and protected area management boards, etc.</p> <p>Under Outcome 3, the Project has assisted with the development and implementation of action plans/programs on ABS capacity building and awareness raising. A series of ABS capacity building and awareness raising activities for implementation of Decree 59 were conducted in 2018. In-depth trainings on specific themes for targeted audiences, including TOT trainings, shall be conducted in 2019-2020. A set of training materials including but not limited to ABS Question and Answer, ABS handbook, Factsheets on ABS for</p>	

policy makers, researchers, international and national companies have been developed. The members of above-mentioned ABS network have been provided ABS materials, regularly updated about ABS information and are trainees of the Project' trainings. Other ABS capacity building and awareness raising activities conducted e.g. Dialogue on policy of ABS management, Workshop on ABS legal framework and its implementation in practice with the attendance of ABS international and national experts, guest speakers from national and foreign agencies, targeted Project audience (authority agencies, researchers, protected area management board and private enterprises), or events in celebration of Biodiversity Day, ABS website with regularly updated information, art drawing contest for student in Lao cai province, or other ABS raising awareness activities for local people through communication channel at pilot site, etc.

Under Outcome 4, to support the demonstration of private-public-community partnerships on ABS, the Project developed detailed implementation plan for pilot province (Lao Cai province). Memorandum of Understandings (MOUs) between the PMU and main actors in Lao Cai (Lao Cai DONRE, Ta Phin PPC, and Sapa Napro Company) were signed to facilitate its Project intervention at pilot site. The Project assisted local authorities with the development of database of GRs and ATK in Lao Cai province. The local database is being finalized and will be transferred to Lao Cai DONRE for its management. The Project supported community-private partnership through consulting on their ABS Agreement negotiation. In situ conservation measures to ensure the supply of GRs for implementation of ABS Agreement as well as ensure local livelihood and conservation of such GRs and ATK, which is identified as one of its intervention to support local community and enterprise. Initially, the Project obtained consensus of local authorities for its plan on in-situ conservation measure intervention at pilot site. Then a survey of medicinal plants in forests at pilot site was conducted. Currently, a Management Plan for in-situ conservation has been implemented. Besides, the Project is supporting local authorities and communities on registration of a TK based collective trademark related to bath medicine of Red Dao ethnic people in Ta phin commune for their TK protection and development of community protocol for regulation of ABS from Grs and ATK in pilot site. At the moment, the Registration of TK and Community Protocol are finished.

In summary, all planed project activities have being conducted to reach its expected outcomes. A national legal framework and administrative measures in compliance with the Nagoya Protocol have been established through the issuance of Decree 59 on ABS, Decisions on assignments of functional departments under MONRE/MARD to manage and control the implementation of Decree 59. Regulations for Appraisal Council have been approved to facilitate ABS license systems. A set of ABS guidelines and manuals have been developed. The Project has been making best efforts to coordinate with other competent national authority (MARD), related agencies (MOH, MOSC,..) and conducting capacity building and awareness raising to boost the implementation of the Decree No.59/2017/ND-CP. In coming time, capacity building and awareness raising activities will be continued through in-depth trainings, promulgation of ABS materials and boosted information sharing within ABS network. For demonstrating private-public-community partnerships on ABS, the project developed detailed implementation plan, signed MOUs with main actors, obtained agreements from local authorities to conduct its intervention at pilot site. The Project have closely cooperated with stakeholders, including Lao Cai DONRE, DARD, Taphin commune PC, Sapa Napro company, and local households to develop ABS agreement, community protocol, in-situ management plan and conduct TK documentation and collective registration for ATK related to bath medicine, R&D for new commercial products from GRs and ATK, etc. So, the Project's planned

	activities are going on track. However, due to Covid-19 pandemic many Project's activities have been suspended, therefore, PMU has requested for project extension. In the coming time, the Project need to speed up its planned activities to ensure its effective implementation.	
<b>Role</b>	<b>2020 Development Objective Progress Rating</b>	<b>2020 Implementation Progress Rating</b>
<b>UNDP Country Office Programme Officer</b>	Satisfactory	Moderately Satisfactory
Overall Assessment	<p>Building upon the ongoing success from the previous years, the project continued its good progress that would ensure the achievement of its EOP targets at national policy, ABS legal framework, capacity building and demonstration at site level. Given the ABS policy has been issued in 2017, the revision process is underway to integrate any adjustments into larger law revision processes (e.g. Law on Biodiversity; Law on Environment Protection). At the same time, the project also contributed to the completion of institutional and policy framework to operationalize the regulations on access to genetic resources and benefit sharing (Circular 07/2020/TT-BNNTNT) and drafting/formulation of reporting of access to genetic resources and benefit sharing from the use of genetic resources. Practically, it's important to note the two contracts (by Sa Pa Napro) which have been issued and certified by Ta Phin CPC. The application's dossier including the registration form and the ABS contract for the use of plant in cosmetic production has been approved by MONRE. The project continues to maintain its communications activities on the major biodiversity related events like Photo contest on International Day for Biodiversity in 2020.</p> <p>Since the delivery is noted at the rate of 69.87%, seems rare slow which is largely due to COVID-19 impact as outlined earlier. In 2020 as the final year in the original AWP, PMU proposed a signification amount of budget/activities proposed in the final year to support law/policy revisions with the CO-support-to-NIM. There are concerns about (i) planning process which could have been envisaged and better planned from the previous years; ii) this shift has transferred additional implementing tasks to CO.</p>	
<b>Role</b>	<b>2020 Development Objective Progress Rating</b>	<b>2020 Implementation Progress Rating</b>
<b>GEF Operational Focal point</b>	<i>(not set or not applicable)</i>	<i>- IP Rating provided by UNDP-GEF Technical Adviser and UNDP Country Office only -</i>
Overall Assessment	<i>(not set or not applicable)</i>	
<b>Role</b>	<b>2020 Development Objective Progress Rating</b>	<b>2020 Implementation Progress Rating</b>
<b>Project Implementing Partner</b>	<i>(not set or not applicable)</i>	<i>- IP Rating provided by UNDP-GEF Technical Adviser and UNDP Country Office only -</i>
Overall Assessment	<i>(not set or not applicable)</i>	
<b>Role</b>	<b>2020 Development Objective Progress Rating</b>	<b>2020 Implementation Progress Rating</b>

<b>Other Partners</b>	<i>(not set or not applicable)</i>	<i>- IP Rating provided by UNDP-GEF Technical Adviser and UNDP Country Office only -</i>
Overall Assessment	<i>(not set or not applicable)</i>	
<b>Role</b>	<b>2020 Development Objective Progress Rating</b>	<b>2020 Implementation Progress Rating</b>
UNDP-GEF Technical Adviser	Satisfactory	Moderately Satisfactory
Overall Assessment	<p>This is the third and likely final PIR for this mid-sized project aiming to develop and implement a national Access and Benefit Sharing (ABS) framework. This is a well-managed project making strong progress towards its objective with many targets already achieved, and the rest on track for achievement by the revised operational closure date. Therefore the development objective (DO) rating is 'satisfactory'. The implementation progress (IP) rating is 'moderately satisfactory' due to this being a well-managed project with some delivery challenges and delays that have been exacerbated by COVID-19 impacts. These match the ratings given by other PIR assessors.</p> <p><b>PROGRESS TOWARDS DEVELOPMENT OBJECTIVES (DO)</b></p> <p>The project development objective will be achieved by implementing four outcomes: (1) Strengthening national policy, legal and institutional framework for ABS; (2) Developing administrative measures for implementation of national ABS legal framework; (3) Increasing awareness and capacity of all relevant stakeholders for implementation of national ABS framework; and (4) Demonstrating public-private-community partnership on ABS. Based on the clear progress towards targets reported in the DO progress tab and summarized in the Project Manager and UNDP CO assessments, I agree that DO progress is 'satisfactory'. Despite some slippages due to COVID-19, targets remain on track for full achievement by the revised operational closure date of June 2021 following the recent (3 September) approval of an 8-month project extension.</p> <p>The project's objective is to develop and implement a national Access and Benefit Sharing (ABS) framework, build national capacities, and support an ABS Agreement based on Traditional Knowledge and Public-Private Partnership. In this regard, the project has developed a national decree and supporting guidelines for implementation of Nagoya, achieving the project target. To date, the project has finalized three ABS agreements to access seaweed, plant species and a microbial organism as model agreements. Utilization of genetic resources licenses have been granted to Vietnamese and international researcher units and enterprises. The project target is to finalize at least one agreement; therefore, this target has been achieved. The project aims to achieve a 30% increase in national and provincial capacity. The project experienced delays in implementing planned capacity-building activities due to COVID-19 and these activities will need to continue across the extension period. Progress towards targets will not be clear until capacity development scorecards are re-completed prior to project close. As a mid-sized project there was not a mid-term review completed and therefore no interim assessment of</p>	

capacity improvements has been completed.

Most end-of-project targets under Outcome 1 have been achieved. The project has strengthened the national policy and institutional framework in the following ways: (i) a government approved ABS Decree in 2017, (ii) a second decree that incorporates protection of traditional knowledge approved in 2017, (iii) development of a model community protocol for regulation of biodiversity conservation, ABS from genetic resources and traditional knowledge, and (iv) the provision for financial benefits to channel into State budgets is captured in the ABS Decree, and demonstrated through granting of two ABS licenses for commercial purpose with partial monetary benefit supporting biodiversity conservation. In addition, the project is completing a study to identify mechanisms to reinvest ABS monetary benefits in biodiversity conservation. With this completed, Outcome 1 could then be considered achieved.

Outcome 2 aims to develop an administrative system and guidelines for an ABS licensing system. All targets are on track for completion, and many already achieved. The guidelines for an ABS permitting system have been approved and implemented as a pilot. The project demonstrated operationalization of the ABS permitting system and coordination between different national authorities involved in ABS. As a result, the government reached a decision to assign MONRE as a unit for granting ABS procedure. Further, the project ensured that this decision was formally communicated with the relevant authorities as well as defining the roles of different authorities in granting an ABS license. An ABS network with 150 participants has been established, achieving the target of a formal network between providers, users, managers and researchers.

Outcome 3 aims to improve capacity to implement of the ABS framework. The project target of training 100 staff from national and provincial competent authorities has been achieved. In a positive sign, the target for female participation has been exceeded, with 45% women participation compared to the targeted 30%. Developed training materials will support further capacity development. Over 200 researchers and institutes have been trained on ABS. Progress towards the specific target is unclear as data is not presented as an overall percentage of the population of researchers and data on community and private sector engagement numbers are not presented. This is an area where future reporting could be improved to facilitate accurate evaluation of progress. A preliminary database has been established to support the national ABS clearing house mechanisms and looks to be operationalized by project close. It is unclear the extent to which use will be possible by project close. This is another area where additional data will be useful in the next PIR.

Outcome 3 aims to improve capacity to implement the ABS framework. The project target of training 100 staff from national and provincial competent authorities has been surpassed as the project has to date trained 155 staff, out of which 45 are women. Similarly, the project has trained over 200 people from universities, institutions and ABS enterprises. Gender-disaggregated data on trainees will only be available at the time of terminal evaluation. Overall progress towards this target is unclear as data is not presented as an overall percentage of the trained target population of researchers, community members and private sector stakeholders, with the project target to train 60% of the targeted population. Progress data should be presented in this format ahead of the terminal evaluation to facilitate easier progress evaluation. The

final target under Outcome 3 to establish the ABS Clearing House was achieved in 2017. The database has been enriched over the reporting period by addition of extra data.

Three out of four targets under Outcome 4 are achieved. A private-public-community partnership on accessing genetic resources and benefit sharing has been demonstrated by securing an ABS agreement between Sapa Napro, a community company, and local households. One Traditional Knowledge registry proposal was developed and approved in Lao Cai province, along with an in-situ management plan for conservation and management of genetic resources approved and under implementation in the same area. The final project target is to develop at least three policy briefs based on best practices and lessons learned. This is yet to be achieved; however, it is reasonable to expect that the project will achieve this target by the revised operational closure date.

#### IMPLEMENTATION PROGRESS (IP)

This ABS project has been well-implemented, with a strong and technically-competent PMU, but its final months of implementation were unexpectedly disrupted by the COVID-19 pandemic and the strict measures of social distancing implemented by the Government of Vietnam across most of 2020. This resulted in some delivery delays and slippages, giving the IP rating of 'moderately satisfactory'.

The project was generally on track to achieve full work plan implementation in its final year, but was caught out by the sudden and strict lockdown measures. This meant the project was unable to implement planned activities such as capacity building workshops, stakeholder consultations and project meetings at project sites and at national level. During the first two quarters of 2020, there have been significant delays and disruptions to project workshops and events. This has impeded the convening of important stakeholder workshops, delayed capacity-building activities, disrupted procurement for remaining activities, and inhibited best practices documentation and dissemination. In addition, consultants have been unable to conduct field surveys to collect data and information on project results, impacts and lessons learned. The project has identified that diversification of livelihood incomes through ABS product development could support COVID-19 recovery to help recover lost income due to tourism and other lockdown impacts for local communities in Lao Cai. This alignment to government recovery should be progressed as work plan implementation continues. No budget changes were required in response to COVID-19.

In response to COVID-19 impacts, the Implementing Partner requested an exceptional project extension due to the force majeure impacts of COVID-19. An 8-month extension was endorsed by UNDP on 3 September 2020, giving a revised operational closure date of 10 June 2021. The priorities for the 8-month extension period are:

- Convening of postponed stakeholder workshops and events;

- Completion of field monitoring and data collection;
- Completion of delayed technical activities related to ABS capacity building, drafting of amendments to strengthen ABS legal frameworks, technical assistance to pilot sites to finalize ABS agreements, and TOC formulation for Vietnam's global biodiversity framework post-2020;
- Completion of project knowledge management activities including analyzing and evaluating lessons learned from the implementation of policies related to ABS and biodiversity.

The COVID-19 pandemic has significantly impeded delivery in the final year. As of June 30, cumulative financial delivery was nearing 70%, which is unexpectedly low only a few months from scheduled operational closure. In 2019, financial delivery of the annual work plan was at a reasonable 85%. However, half-year 2020 delivery is at only 23%, due to postponement of many large project workshops and meetings and delay in consultant deliverables requiring field-collected data. These delays had cascading effects with further delays on activities under Outputs 1.1, 4.1 and 4.4. Many planned activities for third and fourth quarters of 2020 will need to be pushed back into 2021. The IP has requested additional executing support from UNDP CO to support final procurement and delivery of remaining activities during the extension phase. This will need to be managed in a timely fashion to ensure there are no further delays. With continued close attention to delivery, the project should have sufficient time to complete outstanding tasks and achieve remaining targets by the revised project operational closure date. Close attention will be needed, with regular meetings between PMU and UNDP CO recommended to ensure any further slippages are avoided.

The project does not have any high or substantial risks noted in this PIR. COVID-19 implementation delays have been managed adaptively and risks mitigated through rescheduling of work plans and delayed activities, adopting of project governance meetings and stakeholder consultations (including of the Project Steering Committee), request for additional executing support from UNDP CO, and ultimately the decision to submit for an unexpected project extension. There are no active risks on the PIMS+ risk management dashboard. No new or escalated social and environmental risks have been identified in this PIR. However, the PMU should continually re-assess potential risks including due to COVID-19 impact and update the SESP as needed for activities that will be delivered over the extension period.

The project is reporting good results on gender mainstreaming with over 80% of beneficiaries being female ethnic minorities. Positively, the gender marker rating has been upgraded to GEN-2. Project impacts on gender mainstreaming should be highlighted in project best practices and knowledge products as far as possible.

The project has good coverage on online news and social media. The project should continue its active efforts in communications and knowledge management during the extension period. Completion of best practices, knowledge products and dissemination of lessons learned will be a priority to inform the development of best practice policy briefs under Outcome 4. Opportunities to share these with other GEF-financed ABS products should be capitalized on as they arise. The PMU is developing a chapter for the upcoming

second ABS publication being developed by the UNDP-GEF global ABS project and is participating in webinars organized by the global project to share experiences from Vietnam. It is recommended that the project complete a photo story for the EBD EXPOSURE webpage to synthesize project results and experiences prior to its close.

The project team should commence planning early for the terminal evaluation, aiming for this to be completed by March 2021 so that TE recommendations can be captured in the project sustainability and exit strategy as appropriate. As needed the use of a partly virtual team should be considered, with the international consultant supporting the evaluation virtually, and the national consultant conducting field site meetings with project stakeholders and beneficiaries. The format of the TE should be managed adaptively depending on any COVID-19 travel and meeting restrictions in place in early 2021.

#### RECOMMENDATIONS

1) Conduct regular meetings between the PMU and UNDP CO throughout the extension phase to ensure timely completion of extension activities and work plans; 2) Conduct preparations for the terminal evaluation in late 2020, including finalization of TORs for international and national evaluators (with international evaluator participating virtually as needed based on ongoing travel restrictions; 3) Place enhanced attention on M&E prior to the terminal evaluation, including completion of capacity development scorecards and provision of progress data in the same form as targets (e.g. % of population trained on ABS) to enable clear comparison against baselines and facilitate evaluation of progress by the TE team; 4) Commence preparation of a project exit and sustainability strategy to maximize project sustainability following revised operational close; 5) Maintain strong focus on communications to share project impact including preparation of a photo story for the global EBD EXPOSURE page (this can also be disseminated with UNDP-GEF global ABS project).



## H. Gender

### Progress in Advancing Gender Equality and Women's Empowerment

This information is used in the UNDP-GEF Annual Performance Report, UNDP-GEF Annual Gender Report, reporting to the UNDP Gender Steering and Implementation Committee and for other internal and external communications and learning. The Project Manager and/or Project Gender Officer should complete this section with support from the UNDP Country Office.

<b>Gender Analysis and Action Plan:</b> <i>not available</i>
<b>Please review the project's Gender Analysis and Action Plan. If the document is not attached or an updated Gender Analysis and/or Gender Action Plan is available please upload the document below or send to the Regional Programme Associate to upload in PIMS+. Please note that all projects approved since 1 July 2014 are required to carry out a gender analysis and all projects approved since 1 July 2018 are required to have a gender analysis and action plan.</b>
<i>(not set or not applicable)</i>
<b>Atlas Gender Marker Rating</b>
<b>GEN1:</b> some contribution to gender equality
<b>Please indicate in which results areas the project is contributing to gender equality (you may select more than one results area, or select not applicable):</b>
Contributing to closing gender gaps in access to and control over resources: Yes
Improving the participation and decision-making of women in natural resource governance: Yes
Targeting socio-economic benefits and services for women: Yes
Not applicable: No
<b>Please specify results achieved this reporting period that focus on increasing gender equality and the empowerment of women.</b>
<b>Please explain how the results reported addressed the different needs of men or women, changed norms, values, and power structures, and/or contributed to transforming or challenging gender inequalities and discrimination.</b>
The project implementation is providing new opportunities for employment and income stability for the community of ethnic minority including women and girl. The designed activities in pilot sites contributes to improving the quality of life of the indigenous communities, where women and girls are included. In the implementation of the pilots, specific attention on ensuring the active participation of local women and girls has been made, particularly in growing and harvest of plants, product development and marketing, monitoring and evaluation of MAT provisions and community TK protection protocols, as well and the implementation of social and economic development activities and ensuring that women have an equal participation in the project activities as men. The women from the Red Dao ethnic group, in particular, are the masters and repositories of the techniques of bathing product development, including the methods for harvest of medicinal plant materials. They continue to play this key role in the project activities on traditional knowledge conservation

**Please describe how work to advance gender equality and women's empowerment enhanced the project's environmental and/or resilience outcomes.**

During project implementation, the activities on consultation, advocacy, and capacity building specifically focus on ensuring that women are actively engaged in all aspects. Further, efforts would also be made to consult and engage local women organizations to improve sources of income for women and enhance their engagement these pilot programs.

Gender is mainstreamed throughout the outcomes and outputs of the project during the implementation period. At policy and decision-making level, the project is targeting equally both female and male beneficiaries. At working level, the capacity building activities will provide equal opportunities for both male and female officials. Meanwhile, women and girls at community level is having more opportunities because of special features of Red Dao's traditional knowledge possession as describe above.

## I. Social and Environmental Standards

### Social and Environmental Standards (Safeguards)

The Project Manager and/or the project's Safeguards Officer should complete this section of the PIR with support from the UNDP Country Office. The UNDP-GEF RTA should review to ensure it is complete and accurate.

<b>SESP:</b> <i>not available</i>
<b>For reference, please find below the project's safeguards screening (Social and Environmental Screening Procedure (SESP) or the old ESSP tool); management plans (if any); and its SESP categorization above. Please note that the SESP categorization might have been corrected during a centralized review.</b>
<i>(not set or not applicable)</i>
<b>1) Have any new social and/or environmental risks been identified during project implementation?</b>
Yes
<b>If any new social and/or environmental risks have been identified during project implementation please describe the new risk(s) and the response to it.</b>
Due to COVID-19 pandemic, the Project is requested to be extended to June 2021.
<b>2) Have any existing social and/or environmental risks been escalated during the reporting period? For example, when a low risk increased to moderate, or a moderate risk increased to high.</b>
No
<b>If any existing social and/or environmental risks have been escalated during implementation please describe the change(s) and the response to it.</b>
N/A
<b>3) Have any required social and environmental assessments and/or management plans been prepared in the reporting period? For example, an updated Stakeholder Engagement Plan, Environmental and Social Impact Assessment (ESIA) or Indigenous Peoples Plan.</b>
Not Applicable
<b>If yes, please upload the document(s) above. If no, please explain when the required documents will be prepared.</b>
N/A
<b>4) Has the project received complaints related to social and/or environmental impacts (actual or potential )?</b>
No
<b>If yes, please describe the complaint(s) or grievance(s) in detail including the status, significance, who was involved and what action was taken.</b>

N/A
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## J. Communicating Impact

**Tell us the story of the project focusing on how the project has helped to improve people's lives.**

**(This text will be used for UNDP corporate communications, the UNDP-GEF website, and/or other internal and external knowledge and learning efforts.)**

- Media coverage regarding promulgating the Decree No.59/2017/ND-CP on ABS management
- <https://vietnamabs.gov.vn/thong-tu-so-15-2019-tt-btnmt-ve-hoi-dong-tham-dinh-ho-so-de-nghi-cap-giay-phep-tiep-can-nguon-gen/> (18 September 2019)
- <https://vietnamabs.gov.vn/bo-tai-nguyen-va-moi-truong-cap-giay-phep-tiep-can-nguon-gen-dau-tien-cho-muc-dich-thuong-mai-phat-trien-san-pham/> (24 April 2020)
- <https://vietnamabs.gov.vn/thong-tu-so-07-2020-tt-bnnptnt-quy-dinh-ve-to-chuc-va-hoat-dong-cua-hoi-dong-tham-dinh-ho-so-de-nghi-cap-giay-phep-tiep-can-nguon-gen-de-nghien-cuu-vi-muc-dich-thuong-mai-phat-trien-san-pham-thuong-m/> (23 May 2020)
- <https://vietnamabs.gov.vn/bo-tai-nguyen-va-moi-truong-tiep-tuc-cap-giay-phep-tiep-can-nguon-gen-de-nghien-cuu-vi-muc-dich-thuong-mai-phat-trien-san-pham/> (10 June 2020)
  
- Media coverage regarding strengthening capacity and raising awareness on ABS
- <https://vietnamabs.gov.vn/hoi-thao-dao-tao-giang-vien-ve-tiep-can-nguon-gen-va-chia-se-loi-ich-abs/> (19 September 2019)
- Media coverage regarding Project Steering Committee Meeting
- <https://vietnamabs.gov.vn/tap-trung-ve-dich-du-an-tiep-can-va-chia-se-loi-ich-tu-nguon-gen/> (31 March 2020)
- Media coverage regarding Biodiversity Day
- <https://vietnamabs.gov.vn/ngay-quoc-te-da-dang-sinh-hoc-22-5-bo-tnmt-voi-vai-tro-dieu-hoa-moi-quan-he-giua-bao-ton-va-phat-trien/> (22 May 2020)
- <https://vietnamabs.gov.vn/en/world-environment-day-observed-in-vietnam/> (8 June 2020)
- <https://vietnamabs.gov.vn/en/national-youth-play-important-role-in-biodiversity-conservation/> (5 June 2020)
- <https://vietnamabs.gov.vn/3309/> (5 June 2020)
- <https://vietnamabs.gov.vn/huong-ung-ngay-moi-truong-the-gioi-hanh-dong-vi-thien-nhien/> (5 June 2020)
- <https://vietnamabs.gov.vn/toa-dam-thanh-nien-voi-cong-tac-bao-ton-thien-nhien-va-da-dang-sinh-hoc/> (5 June 2020)
- <https://www.facebook.com/vietnamabs.gov.vn/> (Photo contest on Biodiversity)
  
- Media coverage regarding Project activities in Lao Cai province
- <https://vietnamabs.gov.vn/lao-cai-co-115-loai-thuc-vat-va-45-loai-dong-vat-hoang-da-nam-trong-sach-do/>
- <https://vietnamabs.gov.vn/gioi-thieu-phan-mem-csdl-ve-nguon-gen-va-tri-thuc-truyen-thong-tinh-lao->

cai/ (18 September 2019)

<https://vietnamabs.gov.vn/thuc-hien-mo-hinh-thi-diem-hop-tac-cong-tu-ve-tiep-can-nguon-gen-va-chia-se-loi-ich/>

<https://vietnamabs.gov.vn/tri-thuc-truyen-thong-ve-nguon-gen-trong-bao-ton-va-su-dung-ben-vung-da-dang-sinh-hoc/>

## Knowledge Management, Project Links and Social Media

Please describe knowledge activities / products as outlined in knowledge management approved at CEO Endorsement /Approval.

Please also include: project's website, project page on the UNDP website, blogs, photos stories (e.g. Exposure), Facebook, Twitter, Flickr, YouTube, as well as hyperlinks to any media coverage of the project, for example, stories written by an outside source. Please upload any supporting files, including photos, videos, stories, and other documents using the 'file library' button in the top right of the PIR.

- Project's website: <http://vietnamabs.gov.vn/>

- Media coverage regarding promulgating the Decree No.59/2017/ND-CP on ABS management

<http://vea.gov.vn/vn/tintuc/tintuchangngay/Pages/Ph%E1%BB%95-bi%E1%BA%BFn,-h%C6%B0%E1%BB%9Bng-d%E1%BA%ABn-Ngh%E1%BB%8B-%C4%91%E1%BB%8Bnh-s%E1%BB%91-59.2017.aspx>

<http://tapchimoitruong.vn/pages/article.aspx?item=Qu%E1%BA%A3n-l%C3%BD-ti%E1%BA%BFp-c%E1%BA%ADn-ngu%E1%BB%93n-gen-v%C3%A0-chia-s%E1%BA%BB-l%E1%BB%A3i-%C3%ADch-t%E1%BB%AB-vi%E1%BB%87c-s%E1%BB%AD-d%E1%BB%A5ng-ngu%E1%BB%93n-gen-46535>

<https://baomoi.com/quan-ly-tiep-can-nguon-gen-va-chia-se-loi-ich-tu-viec-su-dung-nguon-gen/c/22792939.epi>

<http://baotainguyenmoitruong.vn/moi-truong-va-phat-trien/201707/quan-ly-tiep-can-va-chia-se-loi-ich-tu-su-dung-nguon-gen-2827017/>

<http://tuoitrethudo.com.vn/quan-ly-tiep-can-nguon-gen-va-chia-se-loi-ich-tu-viec-su-dung-nguon-gen-2030961.html>

<http://www.moj.gov.vn/qt/tintuc/Pages/van-ban-chinh-sach-moi.aspx?ItemID=2608>

<http://sie.vast.vn/posts/335-hoi-thao-gioi-thieu-ve-nghi-dinh-so-59-2017-nd-cp-ve-quan-ly-tiep-can-nguon-gen-va-chia-se-loi-ich-tu-viec-su-dung-nguon-gen.vi>

- Media coverage regarding strengthening capacity and raising awareness on ABS

<https://vietnamabs.gov.vn/hoi-thao-khung-phap-ly-ve-tiep-can-nguon-gen-va-chia-se-loi-ich-va-thuc-tien-trien-khai/>

<https://vietnamabs.gov.vn/hoi-thao-ra-soat-danh-gia-cac-noi-dung-ve-abs-quy-dinh-tai-luat-da-dang-sinh-hoc/>

<https://vietnamabs.gov.vn/cop14-dau-tu-cho-da-dang-sinh-hoc-vi-con-nguoi-va-trai-dat/>

<https://vietnamabs.gov.vn/hoi-thao-dao-tao-khu-vuc-ve-phat-trien-va-thuc-hien-khung-phap-ly-abs-de-thuc-hien-nghi-dinh-thu-nagoya-ve-tiep-can-nguon-gen-va-chia-se-loi-ich-va-thu-vien-so-tri-thuc-truyen-thong/>

<https://vietnamabs.gov.vn/hoi-thao-khu-vuc-chia-se-kinh-nghiem-ve-quyen-so-huu-tri-tue-da-dang-sinh-hoc-va-cong-dong-ban-dia-doi-voi-abs-va-tri-thuc-truyen-thong-gan-voi-nguon-gen/>

- Media coverage regarding Project Steering Committee Meeting

<https://vietnamabs.gov.vn/hop-ban-chi-dao-du-an-abs/>

-- Media coverage regarding Biodiversity Day

<http://vea.gov.vn/vn/tintuc/tintuchangngay/Pages/Ng%C3%A0y-Qu%E1%BB%91c-t%E1%BA%BF-%C4%91a-d%E1%BA%A1ng-sinh-h%E1%BB%8Dc-n%C4%83m-2018-Ky%CC%89-ni%C3%AA%CC%A3m-25-ha%CC%80nh-%C4%91%C3%B4%CC%A3ng-vi%CC%80-%C4%91a-da%CC%A3ng-sinh-ho%CC%A3c-.aspx>

<https://baotainguyenmoitruong.vn/tin-tuc/ky-niem-25-nam-dong-hanh-cung-cong-uoc-da-dang-sinh-hoc-1253671.html>

<http://tapchimoitruong.vn/pages/article.aspx?item=Di%E1%BB%85n-%C4%91%C3%A0n-%C4%90%E1%BB%91i-t%C3%A1c-b%E1%BA%A3o-t%E1%BB%93n-%C4%90a-d%E1%BA%A1ng-sinh-h%E1%BB%8Dc---K%E1%BB%B7-ni%E1%BB%87m-25-n%C4%83m-%C4%91%E1%BB%93ng-h%C3%A0nh-c%C3%B9ng-C%C3%B4ng-%C6%B0%E1%BB%9Bc-%C4%91a-d%E1%BA%A1ng-sinh-h%E1%BB%8Dc-48521>

<http://vovworld.vn/vi-VN/tieu-diem/ngay-quoc-te-ve-da-dang-sinh-hoc-225-dien-dan-doi-tac-bao-ton-da-dang-sinh-hoc-646537.vov>

<http://dangcongsan.vn/the-gioi/tin-tuc/ngay-quoc-te-da-dang-sinh-hoc-22-5-2018-bao-dam-su-da-dang-cho-cac-su-song-tren-trai-dat-484567.html>

<http://laodongthudo.vn/viet-nam-huong-ung-ngay-quoc-te-da-dang-sinh-hoc-73807.html>

<https://vietnamabs.gov.vn/ngay-quoc-te-da-dang-sinh-hoc-2019-da-dang-sinh-hoc-cua-chung-ta-thuc-pham-cua-chung-ta-suc-khoe-cua-chung-ta/>

<https://vietnamabs.gov.vn/tong-cuc-moi-truong-to-chuc-dien-dan-doi-tac-ve-da-dang-sinh-hoc-lan-thu-3-nam-2019/>

<https://baotainguyenmoitruong.vn/moi-truong/khai-thac-su-dung-hop-ly-va-bao-ve-da-dang-sinh-hoc-bao-dam-da-dang-cho-cac-su-song-tren-trai-dat-1269542.html>

<https://baotainguyenmoitruong.vn/nganh-tn-mt/tang-cuong-hieu-qua-quan-ly-va-bao-ton-da-dang-sinh-hoc-o-viet-nam-1269604.html>

- Media coverage regarding Project activities in Lao Cai province

<http://stnmt.laocai.gov.vn/stnmt/1232/27632/39927/272223/Cac-hoat-dong-cua-So-TN-MT/Ky-ket-bien-ban-ghi-nho-giua-So-Tai-nguyen-va-Moi-truong-va-Ban-Quan-ly-du-an-ABS.aspx>

<http://stnmt.laocai.gov.vn/stnmt/1232/27632/39927/273578/Cac-hoat-dong-cua-So-TN-MT/Hoi-thao--Chia-se-thong-tin-ve-cong-tac-quan-ly-nguon-gen--tri-thuc-truyen-thong-ve-nguon-gen-va-tham-van-ve-cac-can-thiep-cua-Du-an--Tang-cuong-nang-luc-trien-khai-va-thuc-hien-Nghi-dinh-thu-Nagoya-ve-ABS--tren-dia-ban-tinh-Lao-Cai-.aspx>

<http://baolaocai.vn/nong-thon-moi/gop-y-hoan-thien-ke-hoach-thuc-hien-du-an-abs-tai-lao-cai-z36n20171129150955662.htm>

<https://baotainguyenmoitruong.vn/moi-truong/lao-cai-tang-cuong-quan-ly-nguon-gen-dong-thuc-vat-quy-hiem-1253502.html>

<http://stnmt.laocai.gov.vn/stnmt/1232/27632/39927/323453/Cac-hoat-dong-cua-So-TN-MT/Hoi-thao--Tang-cuong-nang-luc-va-nang-cao-nhan-thuc-cua-cac-ben-lien-quan-ve-su-dung-ben-vung-nguon-gen-va-bao-ton-da-dang-sinh-hoc-tren-dia-ban-tinh-Lao-Cai-.aspx>

<https://vietnamabs.gov.vn/so-tai-nguyen-va-moi-truong-tiep-va-lam-viec-voi-doan-cong-tac-cua-tinh-van-nam-trung-quoc-ve-da-dang-sinh-hoc/>

<https://vietnamabs.gov.vn/lao-cai-xay-dung-thuong-hieu-duoc-lieu-ban-dia/>

<https://vietnamabs.gov.vn/nhung-thay-thuoc-nguoi-dao-luu-giu-duoc-lieu-qy-troi-cho/>

<https://vietnamabs.gov.vn/huong-dan-trien-khai-thuc-hien-hop-phan-du-an-abs-tai-tinh-lao-cai/>

<https://vietnamabs.gov.vn/ngay-hoi-bao-ve-moi-truong-va-bao-ton-da-dang-sinh-hoc-nam-2019/>

<https://baotainguyenmoitruong.vn/kinh-te/trong-duoc-lieu-mot-huong-di-moi-cua-nguoi-dan-gia-lai-1270264.html>

<https://vietnamabs.gov.vn/hop-tac-cong-tu-trong-tiep-can-va-chia-se-loi-ich-tu-viec-su-dung-nguon-gen/>

## Project Location Data

Provide the coordinates for the project's geo-location sites. Provide the coordinates in decimal degrees (Longitude and Latitude). If you are not able to provide the coordinates in decimal degrees, you can alternatively provide them in the Degrees, Minutes, Seconds format. If you have this information stored in a GIS file, upload it below (e.g. shapefile, kmz/kml, or csv). If the project has multiple sites, please attach an Excel file with the coordinates for each site in either decimal degrees or in degrees, minutes, seconds format.

**Please attach the GIS data. Any of the following formats are acceptable: shapefile (.shp)\*, .kmz, .kml. If helpful, see here a quick note on how to gather geo-reference info. \*Note that a shapefile is composed of several files: a .shp file should be zipped in a folder accompanied by the file extensions: .shx, .sbn, .prj, .dbf, .cpg, .sbx, .xml.**

**If the project has multiple sites, please attach an Excel file with the coordinates for each site in either decimal degrees or in degrees, minutes, seconds format.**



<i>(not set or not applicable)</i>
<b>Provide geo-location in longitude, latitude, format.</b>
<b>If you have this information stored in a GIS file, please upload it below (e.g. shapefile, kmz/kml, or csv).</b>
22.23
<b>Longitude</b>
103.50
<b>Alternatively, provide geo-location in degrees, minutes, seconds format. Please also provide information on what the coordinates point to in the space provided.</b>
22
<b>Minutes</b>
23
<b>Seconds</b>
58
<b>Coordinates description</b>
<i>(not set or not applicable)</i>

## K. Partnerships

### Partnerships & Stakeholder Engagement

Please select yes or no whether the project is working with any of the following partners. Please also provide an update on stakeholder engagement. This information is used by the GEF and UNDP for reporting and is therefore very important! All sections must be completed by the Project Manager and reviewed by the CO and RTA.

<b>Does the project work with any Civil Society Organisations and/or NGOs?</b>
Yes
<b>Does the project work with any Indigenous Peoples?</b>
Yes
<b>Does the project work with the Private Sector?</b>
Yes
<b>Does the project work with the GEF Small Grants Programme?</b>
No
<b>Does the project work with UN Volunteers?</b>
No
<b>Did the project support South-South Cooperation and/or Triangular Cooperation efforts in the reporting year?</b>
No
<b>Request for MSP Approval:</b> <a href="#">RESUBMISSION_5303_Vietnam_ABS_Revised_GEF_CEO.docx</a>
<b>Provide an update on progress, challenges and outcomes related to stakeholder engagement based on the description of the Stakeholder Engagement Plan as documented at CEO endorsement/approval (see document below). If any surveys have been conducted please upload all survey documents to the PIR file library.</b>
<p>Stakeholder Engagement has continued as planned with good engagement of stakeholders.</p> <p>The project is working with Red Dao in Taphin commune. They are involved in the consultation and development of in-situ management plan. They will be supported in the in-situ conservation activities through facilitated forest contracting, provision of seedling plants and technical guidance for cropping, and facilitated stable supply of their medicinal materials to the SapaNapro company.</p> <p>The Project supported Sapa Napro to sign 02 ABS Agreements with local community in Ta phin district, and conduct R&amp;D of new commercial product.</p>

## L. Annex - Ratings Definitions

### Development Objective Progress Ratings Definitions

(HS) Highly Satisfactory: Project is on track to exceed its end-of-project targets, and is likely to achieve transformational change by project closure. The project can be presented as 'outstanding practice'.

(S) Satisfactory: Project is on track to fully achieve its end-of-project targets by project closure. The project can be presented as 'good practice'.

(MS) Moderately Satisfactory: Project is on track to achieve its end-of-project targets by project closure with minor shortcomings only.

(MU) Moderately Unsatisfactory: Project is off track and is expected to partially achieve its end-of-project targets by project closure with significant shortcomings. Project results might be fully achieved by project closure if adaptive management is undertaken immediately.

(U) Unsatisfactory: Project is off track and is not expected to achieve its end-of-project targets by project closure. Project results might be partially achieved by project closure if major adaptive management is undertaken immediately.

(HU) Highly Unsatisfactory: Project is off track and is not expected to achieve its end-of-project targets without major restructuring.

### Implementation Progress Ratings Definitions

(HS) Highly Satisfactory: Implementation is exceeding expectations. Cumulative financial delivery, timing of key implementation milestones, and risk management are fully on track. The project is managed extremely efficiently and effectively. The implementation of the project can be presented as 'outstanding practice'.

(S) Satisfactory: Implementation is proceeding as planned. Cumulative financial delivery, timing of key implementation milestones, and risk management are on track. The project is managed efficiently and effectively. The implementation of the project can be presented as 'good practice'.

(MS) Moderately Satisfactory: Implementation is proceeding as planned with minor deviations. Cumulative financial delivery and management of risks are mostly on track, with minor delays. The project is managed well.

(MU) Moderately Unsatisfactory: Implementation is not proceeding as planned and faces significant implementation issues. Implementation progress could be improved if adaptive management is undertaken immediately. Cumulative financial delivery, timing of key implementation milestones, and/or management of critical risks are significantly off track. The project is not fully or well supported.

(U) Unsatisfactory: Implementation is not proceeding as planned and faces major implementation issues and restructuring may be necessary. Cumulative financial delivery, timing of key implementation milestones, and/or management of critical risks are off track with major issues and/or concerns. The project is not fully or well supported.

(HU) Highly Unsatisfactory: Implementation is seriously under performing and major restructuring is required. Cumulative financial delivery, timing of key implementation milestones (e.g. start of activities), and management of critical risks are severely off track with severe issues and/or concerns. The project is not effectively or efficiently supported.