IFAD
Investing in rural people

Viet Nam

Project for Adaption to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces

Supervision Report

Main report and appendices

Mission Dates:	10-25 September 2018
Document Date:	29/10/2018
Project No.	1100001664
Report No.	4886-VN

Asia and the Pacific Division
Programme Management Department

Abbreviations and Acronyms

AMD	**A**daptation to Climate Change in the **M**ekong **D**elta in Ben Tre and Tra Vinh Provinces; also referred to as the Project
ASAP	Adaptation for Smallholder Agriculture Programme – source of grant funding for AMD
ASWQMS	Automated Salinity and Water Quality Monitoring System
AWPB	Annual work plan and budget
CCA	Climate Change Adaptation
CCCO	Climate Change Coordination office
CIG / CG	Community interest groups / Community group
CPC	Commune People's Committee
DARD	Department of Agriculture and Rural Development
DA	Designated Account
DoNRE	Department of Natural Resource and Environment
DPC	District People's Committee
DPI	Department of Planning and Investment
GoV	Government of Viet Nam
HCMC	Ho Chi Minh City
IFAD	International Fund for Agriculture Development
M&E	Monitoring and Evaluation
MTR	Mid-term Review
MFI	Micro Finance Institution
MoF	Ministry of Finance
NTP-NRD	National Target Programme on the New Rural Development
NTP-RCC	National Target Program to Respond to Climate Change
ODA	Official Development Assistance
PCU	Project Coordination Unit
PD	Project Director
PPC	Provincial People's Committees
PPP	Public – Private Partnership
PSC	Project Steering Committees
RIMS	Results and Impact Management System
SBV	State Bank of Viet Nam
SCG	Savings and Credit Groups
SEDP	Socio-Economic Development Plan
SME	Small and Medium Enterprise
SOE	Statements of Expenditure
ToR	Terms of Reference
ToT	Training of trainers
VBSP	Viet Nam Bank for Social Policy
VC	Value Chain
VND	Vietnamese Dong
WDF	Women's Development Fund
WU	Women's Union

A. Project Overview

Region:	Asia and the Pacific Division	Project at Risk Status:	Not at risk
Country:	Viet Nam	Environmental and Social Category:	C
Project Name:	Project for Adaption to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces	Climate Risk Classification:	not available yet
		Executing Institution:	not available yet
		Implementing Institutions:	not available yet
Project Id:	1100001664		
Project Type:	Rural Development		
CPM:	Thomas Rath		
Project Director:	Mr. Huynh Nghia Tho - Tra Vinh PCU, Mr. Nguyen Khac Han - Ben Tre PCU		
Project Area:	Ben Tre: 30 communes in 8 districts, and in Tra Vinh: 30 communes in 7 districts.		

Approval Date	11/12/2013	Last audit receipt	29/06/2018
Signing Date	31/01/2014	Date of Last SIS Mission	25/09/2018
Entry into Force Date	28/03/2014	Number of SIS Missions	4
Available for Disbursement Date	24/09/2014	Number of extensions	0
First Disbursement Date	16/10/2014	Effectiveness lag	3 months
MTR Date	30/10/2017		
Original Completion Date	31/03/2020		
Current Completion Date	31/03/2020		
Financial Closure	not available yet		

Project total financing

IFAD Financing breakdown	ASAP Trust Fund	$12,000,136
	IFAD	$22,000,077
Domestic Financing breakdown	Beneficiaries	$7,768,000
	National Government	$7,576,070
Co-financing breakdown,		
Project total financing		$49,344,283

Current Mission

Mission Dates:	10-25 September 2018
Days in the field:	10
Mission composition:	Mr. Kees Blok, Team leader; Mr. Nguyen Thanh Tung, Institutions and Rural Finance Specialist; Mr. Nguyen Ngoc Quang, Natural Resources and M&E Specialist; Mr. Emmanuel Jouve, Agricultural Development Specialist; Mr. Phan Duy Toan, Infrastructure and Procurement Specialist; Mr. Carlo Spinello - Financial Management Specialist.

Field sites visited:

B. Overall Assessment

Key SIS Indicator #1	Ø	Rating
Likelihood of Achieving the Development Objective		5

Key SIS Indicator #2	Ø	Rating
Assessment of the Overall Implementation Performance		5

Effectiveness and Developmental Focus	5
Effectiveness	4
Targeting and Outreach	5
Gender equality & women's participation	5
Agricultural Productivity	N/A
Nutrition	N/A
Adaptation to Climate Change	5

Project Management	4
Quality of Project Management	5
Knowledge Management	4
Value for Money	4
Coherence between AWPB and Implementation	4
Performance of M&E System	5
Requirements of Social, Environmental and Climate Assessment Procedures (SECAP)	4

Sustainability and Scaling-up	4
Institutions and Policy Engagement	N/A
Partnership-building	4
Human and Social Capital and Empowerment	4
Quality of Beneficiary Participation	4
Responsiveness of Service Providers	4
Environment and Natural Resource Management	5
Exit Strategy	5
Potential for Scaling-up	5

Financial Management and Execution	5
Acceptable Disbursement Rate	5
Quality of Financial Management	5
Quality and Timeliness of Audit	5
Counterparts Funds	4
Compliance with Loan Covenants	5
Procurement	5

Relevance	5

C. Mission Objectives and Key Conclusions

Background and Main Objective of the Mission

The financing agreement for the 'Adaptation to Climate Change in the Mekong Delta' (AMD) Project in Tra Vinh and Ben Tre provinces was signed on 28 March 2014 and the Project is to be completed on 31 March 2020. The Project Development Goal is to achieve sustainable livelihoods for the rural poor in a changing environment, and the specific project objective is to strengthen the adaptive capacity of target communities and institutions to better contend with climate change. The total programme cost for the two provinces is USD 49.4 million, of which the IFAD loan is USD 22 million; ASAP co-financing grant is USD 12 million; Government of Vietnam (GoV) contribution is USD 7.6 million; and beneficiary contribution is USD 7.8 million. Project activities in Ben Tre concentrate on 30 communes in 8 districts, and in Tra Vinh 30 communes in 7 districts.

The objectives of the 2018 supervision mission are to: (i) review the current project implementation progress, in particular in respect of the issues and agreed actions of the MTR; (ii) align the design as needed to adjust implementation to the current and future context of the programme (iii) and agree with the national and provincial authorities on priorities and next steps for ensuring full-scale implementation for achieving the project objectives.

The Mission made extensive field visits to Project activities in both Provinces and interacted with project staff, with officials from Provincial, District and Communes – including staff of specialised departments – with university staff and private sector agencies, as well as with rural men and women involved in and benefiting from Project activities. Pre-wrap-up meetings were held with the PCUs of each Province, preceding the final wrap-up that was held on September 25th. The Mission acknowledges the PCUs for organising the Mission's programme; and is grateful for the open and constructive interactions throughout the Mission period.

Key Mission Agreements and Conclusions

The financing agreement stipulates project completion by 30 March 2020 and in the remaining 18 months, AMD will achieve – and in some cases exceed – targets with respect to inter alia climate-informed planning, provision of micro-finance, construction of rural infrastructure, introduction of climate adapted livelihood activities, and enhanced rural enterprise development. At the same time, there are concerns with respect to (i) allocation of adequate resources to the implementation of the Annual Work Plan and Budget (AWPB); (ii) establishment of the Automated Salinity and Water Quality Monitoring System (ASWQMS) and (iii) compliance by the Women's Development Fund (WDF) of Tra Vinh to the criteria of the State Bank of Vietnam (SBV) for full registration as a Micro-Finance Institution (MFI).

If the Project is able to overcome the above concerns by or before June 2019, this would create a basis for discussion between IFAD and the Government of Vietnam on extending the Project completion date. Specifically this means spending approximately USD 4.6 million against the overall IFAD financing by mid-2019; completion of the ASWQMS infrastructure by March 31 2019; and commitment of required resources for Tra Vinh's WDF by mid-2019. A time extension would not only offset the slump in spending that is occurring recently; it would more importantly provide the opportunity to add value to the Project beyond the achievement levels at design.

The areas in which the Project could achieve added value if its duration would be extended, are:

1. Field-testing of the CCA models that will emerge from research in 2018 with involvement of the Department of Agricultural and Rural Development (DARD) before their transfer for wider replication;
2. Enhancing the functionality of salinity and water quality monitoring by developing synergy between the two modalities currently financed by the Project;
3. Climate-Informed Commune and District SEDPs methodology introduced by AMD has been endorsed by the provincial authorities and is now widely applied. Further support to line agencies is required to prepared sectoral climate change action plans as well as the next round of medium term planning (2021-2025);
4. Enhanced support for climate-informed Provincial planning and policy dialogue by inter alia facilitating the technical assistance available through the Embassy of the Kingdom of the Netherlands focussed on improved water resource management and climate change adaptation;
5. Continued development of savings and credit groups beyond the targets set at design, including participation of these groups in the adaptation models supported by the Project;
6. Provision of rural infrastructure beyond the original targets;
7. A roll-out of the adaptation models beyond the original target group to include additional poor and near-poor households as well as non-poor households whose socio-economic position is susceptible to climate shocks. Furthermore, replication of the CCA packages beyond Project communes through leveraging non-AMD funds and staff of concerned agencies and mass organisations for wider replication;
8. Further development of public private partnerships with a close focus on linking primary producers to strengthened value chains.

The Project has – in both Provinces – an Exit Strategy which supports institutionalisation and scaling-up of project achievements. Specific replication strategies for the adaptation models are under development and will inter alia enhance the role of communes and mass organisations; harness non-project resources and pursue enhanced revolving of adaptation grants to new beneficiaries.

D. Overview and Project Progress

An overview of the Project and an assessment of its progress is provided in the Aide-Memoire. The Mission assesses the likelihood of achieving the development objectives as satisfactory; although it rates the overall implementation performance as moderately satisfactory. The Project is expected to achieve 80% of the major outputs and most of the major outcomes in both components – which is satisfactory – but realisation of both the Automated Salinity and Water Quality Monitoring System (ASWQMS) and the MFI registration of Tra Vinh WDF is at risk. Project management, including financial management is efficient and well-organised; but resource allocation to the AWPB is a point of concern. The Mission notes that the PCUs pay more attention to improving targeting and replication; as well as to handing-over responsibilities to partner agencies.

For the Project components and sub-components, the following actions have been formulated and agreed to:

Agreed Action	***Responsibility***	***Agreed Date***
Overview and Project Progress		
ASWQM procurement plan Review and approve the joint procurement plan	PPC Ben Tre	09/2018
Priority for ASWQM completion Ensure that the March 31 deadline receives top priority by all concerned	PPCs, DONREs, PCUs	09/2018
Top-up of PPPs Assess necessity and potential for top-up of current PPP agreements using a competitive process and a set of criteria in line with the PPP manual	PCU	09/2018
PPP service providers Facilitate provision of adequate business and technical advice to the PPP companies by linking with specialised service providers	PCU, DOIT	09/2018
Equipment Aquaculture diagnostic Centre Tra Vinh: Prepare and submit a procurement plan with justification for additional equipment for the Aquaculture Diagnostic Centre against the available investment balance for review by PPC and IFAD	Tra Vinh University, Tra Vinh PCU	10/2018
Ensure advance funding for infrastructure Prepare, submit and review a request for advance funding of planned activities under the 2018 AWPB	PCU, PPC, DPI, DOF	10/2018
Address credit possibilities in the Value Chain approach Collect, organise and disseminate information on public and private credit facilities available for private companies and cooperatives in the agriculture sector	PCUs with involved departments	11/2018
Additional TA support Pursue mobilisation of EKN-funded TA to address water management and climate change adaptation concerns for both Provinces	PCUs, PPCs, DONREs, CCCOs, IFAD	12/2018

Increase operational cost ceiling MFI Ben Tre Ben Tre – Reconsider the 5% operational cost ceiling imposed on the WDF on the basis of a review (exchange visit) of the experience in Tra Vinh	PPC, PCU, WU / WDF	12/2018
Recover investment for privatised infrastructure Ben Tre: Agree on recovery of the depreciated value of three water supply distribution systems and its use for additional infrastructure in the concerned communes	PCU, PPC, DPI, DOF, DPCs, CPCs (3 concerned communes	12/2018
Revise CCA manual Tra Vinh: Revise the CCA manual (based inter alia on Ben Tre)	PCU Tra Vinh	12/2018
PPP exchange tours Organise cross visits between Tra Vinh and Ben Tre on synergy between PPP and value chain approach and on the PPP exit strategy	PCUs, DOIT, Tra Vinh, DPI Ben Tre	12/2018
CCA by communes Ben Tre: Decentralise CCA implementation to the Communes	PCU Ben Tre	01/2019
Synergy of salinity monitoring initiatives Assess the scope for development of synergies between the ASWQMS and the initiative carried-out by Rynan Company	DONRE, PCU, Rynan Company	03/2019
Cross visits Facilitate cross visits between different groups (CG, CIG, SCG, cooperatives) involved in similar productive activities or similar agro-ecological conditions	PCU, DARD, Districts, Communes	06/2019
Extension exposure Increase farmer exposure to extension material and agricultural services	PCU, DARD and DOIT	06/2019
Extension materials Produce and disseminate existing and new CCA extension material to a wider audience	PCU, DARD	06/2019
Next round Province-level planning Identify and provide workshops, dialogues and studies in support to the next round of Province-level planning	PCU, DARD, Districts, Communes	06/2019
Enhance SCG membership Enhance SCG membership up to 5,800 in the project-targeted communes in each Province	PCUs, Women's Unions, WDFs	06/2019
SCG participation in adaptation funds Enable additional existing SCGs to participate in the CFAF and CCA funds	PCUs, Women's Unions, WDFs	06/2019

Enhance capital position MFI Tra Vinh Tra Vinh – Pursue commitments for settlement of the VND 14 billion in arears by the VBSP provincial branch and / or its national office	PPC, PCU, WU / WDF	06/2019
PPP exchange tour Organise an exchange on the Value Chain approach and its synergies with AMD investment instruments	PCUs with involved departments	06/2019
Guidelines for horizontal learning Develop guidelines for group to group, farmer to farmer and enterprise to farmer exchanges for use by concerned agencies	PCU, mass organisations, communes, districts, DARD	06/2019
Finalise replication strategy Develop a strategy for CCA replication for review and implementation (detailed suggestions in supervision report appendix 4)	PCU	06/2019
Health and Safety Enhance workers' safety awareness and preventive measure in PPP agreements	PCU, DOIT	06/2019
Pursue public and private investment Pursue that resources are included in public budgets to continue the process of adaptive research, testing and validation of CCA models and encourage private sector investment in the same for commercial commodities	PCU, PPC, TAG members	10/2019
Train commune staff Continue training commune staff on model selection and replication through cross-learning meetings, exchange visits between communes, districts and Provinces	PCUs/DARDs/DPCs	
Enhance linkages in agro-financial workshops Involve upstream and downstream enterprises in additional agro-financial workshops	PCUs with involved departments	
Assist companies to access credit Assist PPP companies and other private companies involved in the project in preparing loan applications and follow-up to facilitate the procedure.	PCUs with involved departments	
Combined application of project instruments Enhance linkages between project instruments (CIF, microfinance, value chain support), a value chain approach and existing and new CCA activities	PCU	
Horizontal learning Enhance group to group, farmer to farmer and enterprise to famer exchanges to promote best practices	PCU, mass organisations, communes, districts, DARD	

PPP capacity building Pursue capacity development of PPP management in business planning and in engaging financial institutions in cooperation with concerned parties (e.g. CIDA's SME project)	PCU	

E. Project implementation

a. Development Effectiveness

Effectiveness and Developmental Focus

Effectiveness	Rating: 4	Previous rating: 4

Justification of rating

The project is likely to meet its objective of strengthened adaptive capacity of target communities and institutions to better contend with climate change and over 80% of most physical output targets will be achieved. The majority of the outputs lead to desired outcomes. Concerns about sub-components 1.1.b (delayed implementation) and 2.1.b (problems reaching the target) preclude a higher rating.

Log-Frame Analysis & Main Issues of Effectiveness

Reference is made to the combined LogFrame in section I, as well as the tables in appendix 1.

Component 1: Building Adaptive Capacity

Sub-Component 1.1: Climate Change Knowledge Enhancement.

1. **Evidence base for adaptation** – In Tra Vinh, six adaptive researches are completed and six ongoing, 7 out of 16 farming system packages, and 5 models (43 on-farm, 7 off-farm). In Ben Tre, 5 farming system packages and 43 models are being carried-out.
2. **Water quality monitoring and reporting**. The implementation of this activity is critically slow. It lags almost two years and deadlines have been extended three times. Causes for delay include: (i) PCUs and DONREs are unfamiliar with the international procurement procedures for the Automated Salinity and Water Quality Monitoring System (ASWQMS); (ii) PCU, DONRE staff have limited capacity in proactively supervising the TA; (iii) the presence of the lead consultant in the field was limited creating a gap in communication and technical exchange.
3. **Knowledge management and dissemination**. Production of leaflets and provision of training implemented as planned

Sub-Component 1.2: Climate Informed Planning

1. **Climate-Informed Commune and District SEDPs**. The SEDP process has exceeded targets set in the Log Frame, with coverage of all communes and districts in both Provinces.
2. **Climate-informed Provincial SEDP**. The PCUs provided technical assistance to DARD, DONRE and DPI for mainstreaming climate change issues in sector action plans; and each agency developed its own medium term (2016-2020) action plan.
3. **Climate Change Policy Dialogue** – in Tra Vinh: The Climate Change Coordination Office (CCCO) was established in 2014. In Ben Tre, DONRE has taken the lead to support other departments in developing their CCA action plans. DPI also facilitated the preparation of a Sustainable Action Plan of Ben Tre Province for 2030.

Component 2: Investing in Sustainable Livelihoods

Sub-Component 2.1: Rural Finance for Resilient Livelihoods

1. **Development of savings and credit groups in project communes** – In both Provinces the micro-credit programme is ahead of schedule, with excellent loan performance. As recommended by MTR, the WDFs have assisted poor households participating in Common Interest Groups (CIG) to access funds to co-invest in Climate change Adaptation (CCA) packages.
2. **MFI development** – Both WDFs shows steady growth, but the capital base of Tra Vinh WDF remains critical.
3. **Value Chain Financing**. The project in partnerships with DOIT organised events (agro-financial workshops) with a wide range of participants including cooperatives, private companies as well as financial institutions (SBV, six commercial banks and 23 cooperatives/enterprises).

Sub-Component 2.2: Investing in Climate Change Adaptation

1. **Community Investment Fund**. In both Provinces infrastructure (roads, bridges and electricity lines) exceeding targets has been constructed and benefit the population including poor and near-poor and ethnic minority people directly.
2. **Adaptation Funds**. Over 1,000 business plans have been financed for close to 6,000 households; of which the majority is poor and near poor.
3. **Public Private Partnership Fund**. AMD has signed value chain co-investment contracts with 29, of which nearly all are performing well; creating employment and input supply opportunities in the AMD target group.

Development Focus

Targeting and Outreach	Rating: 5	Previous rating: 4

Justification of rating

Project activities are aimed at and taken up by the intended target categories and activities impact on the household members' economic status.

Main issues

While progress in target household economic status is achieved, the Project could show more concern for the empowerment of its beneficiaries. This could include actions (i) to address sporadic cases where project-funded assets are controlled by the group leader rather than the group members; (ii) to involve commune leadership in safeguarding common interests in grant and subsidy agreements; (iii) to promote group savings; (iv) to expose new groups to groups that show good practices in transparency and re-investment of funds; and (v) to further develop capacity of groups engaging in business transactions.

The Project is in a position to exceed its targets for reach-out, but must support this by a renewed focus of its targeting approach. In doing so, the Project could consider (i) harmonising CIG/CG membership criteria to the more relaxed criteria used for SCGs; (ii)replacing hard criteria on poor and near-poor households participation by a focus on people susceptible to slipping back into poverty and to areas especially vulnerable to climate change; and by (iii) promoting replication of CCA activities outside project-communes by mobilising agency staff and national resources (with modest use of Project resources to kick-start this).

Agreed Action	*Responsibility*	*Agreed Date*
Development Effectiveness		
Targeting and empowerment 1 Build stronger management capacities and leadership in groups that are assisted through AMD	PCUs, Districts, Communes	06/2019
Targeting and empowerment 2 Ensure adequate attention to targeting, outreach and group empowerment in application of the Exit Strategy and the (draft) replication strategy	PCUs, Districts, Communes	06/2019

Gender equality & women's participation	Rating: 5	Previous rating: 4

Justification of rating

Quantitative indicators for female participation across the project activities show an increase since MTR. While the microfinance programme aims almost exclusively at women; the percentages for female participation in other group-based activities ranges from 35 – 45%.

Main issues

Inclusion of the SCG groups in the grant programme for CCA models will further build on the achievement. Actions included under 'Overview and Project Progress'.

Agricultural Productivity	Rating: N/A	Previous rating: 4

Nutrition	Rating: N/A

Adaptation to Climate Change	Rating: 5	Previous rating: 4

Justification of rating

Adaptation to climate change, rated moderately satisfactory at MTR is now rated satisfactory as it is at the core of the Project and the related interventions are well implemented and reported upon. Most interventions build resilience of communities and synergies of activities are well promoted in Ben Tre in particular. Although difficult to assess in such complex project involving multiple stakeholders, it is estimated that more than 75% of interventions have adopted dynamic approaches and methods. The interventions are well-targeted and well-monitored and build resilience of communities and systems. The project has successfully mainstreamed climate-informed SEDP planning and the approach has been

endorsed by Provincial in both provinces.

Main issues

The project provides support to all elements contributing to climate resilient households: participation in planning, membership of social networks, capacity building, access to knowledge, diversified livelihood and income streams, access to credit, climatic risk hazard reduction through infrastructure and better soil and water management and water saving techniques.

The climate-informed SEDP and the adaptive research to design and test Climate Change Adaptation models adequately identify and address climate risks and vulnerabilities. The models promote diversification of production systems and allow project beneficiaries to generate on-farm and off-farm income.

The remaining issues to be addressed are: (i) linkages between components and subcomponents are not systematically promoted and opportunities for synergies may be missed. Access to finance for groups or companies to offset the risk of applying CCA practices should become the focus of the project; (ii) some of the project interventions contribute only indirectly to climate change adaptation. In particular, some of the PPP investments benefit the company and local employment but have little or no impact on the agricultural production and value chains in some of the target areas (e.g. the cashew nut processing plant in Tra Vinh); (iii) little collaboration with other initiatives and projects in the target provinces has been developed so far to ensure that the AMD funded interventions can be up-scaled through other programmes. In this respect, partnership and co-financing are to be promoted.

Agreed Action	***Responsibility***	***Agreed Date***
Development Effectiveness		
Synergy of project instruments Build further synergies between project instruments to enhance beneficiary adaptation to climate change	PCUs, Districts, Communes	06/2019
Wider support to CCA Pursue coordinated interventions with other national programmes and donor-funded investments in the field of climate change adaptation	PCUs, Districts, Communes	06/2019

b. Sustainability and Scaling up

Institutions and Policy Engagement	**Rating: N/A**	**Previous rating: 4**

Partnership-building	**Rating: 4**	**Previous rating: 4**

Justification of rating

The Project is implemented in coordination with central committees and agencies at Province, District and Commune-levels. The recently approved Exit Strategy provides a clear roadmap for enhancing the involvement of these agencies and for ensuring continuity beyond the project. Nonetheless, coordination – for instance by the DONRE's – across provinces remains cumbersome. Private sector partnerships benefit a distinct number of beneficiaries in the relevant target categories, but further linkages along the agricultural value chain could be developed. A sound foundation has been made in terms of KM and policy development (climate-informed plans) but there is scope for added value.

Main issues

From its start, the Project worked within a framework of partnerships: with government bodies and line agencies; with various community groups and with entrepreneurs within the project area. The Project has gradually moved from a 'mechanical' cooperation with these partners to a more strategic use of the opportunities of the partnerships. This is most visible in the area of implementation coordination; while there is remaining scope for enhanced synergies between activities and community groups; and between actors along the value chain:

- Partnerships have been established with local entrepreneurs, who were supported in expending their business while creating more benefit flows in their communities. These benefit flows are more strong where the Project focusses on locally produced commodities; and could be further strengthened by engaging partners along the value chain, for example in co-funding of activities. E.g. a supplier of irrigation equipment was found willing to finance in-field irrigation equipment as this opens a future market – while enabling the farmer to more rapidly expand his production of irrigated crops;
- In Ben Tre, the various instruments of the Project are applied in the perspective of developing value chains in Districts. This creates more synergy and better partnerships between input suppliers, producers and market

partners. A similar perspective could be pursued more strongly in Tra Vinh;
- Tra Vinh has developed good working relations with Tra Vinh and Can Tho universities, which benefits the identification and testing of new production models. Here Ben Tre can learn from Tra Vinh.
- In Tra Vinh, the replication of CCA models is decentralised to the Communes and the mass organisations. While this could be further enhanced; Ben Tre is to follow the example.

The table in the technical appendix (appendix 4) provides a concise summary of the key partnerships in the Project. Actions with respect to enhanced partnerships are incorporated in the section on 'Overview and Project Progress '.

Human and Social Capital and Empowerment	Rating: 4	Previous rating: 5

Justification of rating

Organisations are established / supported that enable poor rural women and men to engage in credit operations, in climate adapted production activities, and in value chains. Through the planning and infrastructure investment processes they have some say in local decision-making processes. Emphasis of group establishment is largely on realising direct benefits from investments and less so on empowering these groups to assume a self-evolving nature, gradually progressing from modest to larger ambition.

Main issues

Groups can be encouraged and supported in taking continued development steps: e.g. empowering SCGs to pursue matching grants for climate adaptation; helping CCA groups to collectively buy and sell, and to revolve the initial investment into further growth activities; supporting cooperatives to move from having a better contract to planning their organisation as a business. Actions are included under 'Overview and Project Progress'.

Quality of Beneficiary Participation	Rating: 4	Previous rating: 4

Justification of rating

Whereas beneficiaries' views are sought and reflected in the project activities planning; and while beneficiaries contribute largely as planned; participatory processes tend to focus on the immediate (implement project activity) and less so on the potential for further development (what to do with the assets provided, income generated, social capital formed?). No participatory evaluation of project performance takes place. The lack of focus on using the potential for revolving funds is a point in case; as is the lack of collective buying and selling.

Main issues

Specific actions are included under the component descriptions in 'Overview and Project Progress'.

Responsiveness of Service Providers	Rating: 4	Previous rating: 4

Justification of rating

Services rendered to the communities by consultants, contractors, decentralised governments and government agencies and by the private sector are aligned to the plans expressed in the SEDPs. Improvements can be made to the replication, coverage and poverty focus of agricultural models; linkages between PPP and CCA/CFAF activities; and to accelerate procurement and implementation progress of AWQSMS.

Main issues

Provincial/district DARDs and their agricultural extension service have demonstrated agricultural production models. Farmer groups and household business have implemented CCA/CFAF models with supports from DST staff and commune facilitators. However, potential for replication of CCA/CFAF models through National Target Programme for New Rural Development, Sustainable Poverty Reduction Programme is constrained by an insufficient coordination and different procedures and guidelines. Replication strategies for CCA/CFAF models are under preparations by PCUs.

Significant delays incurred in investment preparation, procurement and implementation of AWQSMS due to client's limited experience on procurement and management of international TA contract, slow progress of consultant's works, time-consuming process for appraisals and approval of the investment reports and the procurement plan, insufficient communication and coordination among relevant stakeholders and complexity of the assignment. An action plan for procurement and implementation of AWQSMS was prepared. Agreed actions are included under 'Overview and Project Progress'.

Environment and Natural Resource Management	Rating: 5	Previous rating: 5

Justification of rating

MTR rating is maintained as Satisfactory (5). Examples of project interventions that contribute to improve the environment and promote more sustainable use of natural resources: (i) Water saving techniques for irrigated agriculture (drip and sprinkler systems), (ii) promotion of vermicompost production and use in horticulture (iii) decreased pressure on natural resources through production of raw material such as bamboo, (iv) decreased pressure on land and water resources through off-farm income opportunities. The project also promotes organic agriculture and GAP standards.

Main issues

The CCA/CFAF grands are provided to groups and cooperatives to support the application of adaptive models and investments to improve productivity and generate income while promoting environmental protection. Eligible grantees are selected based on a set of criteria that include environmental considerations. The PPP manual also specifically mentions that grants can be allocated to “investment aiming at reducing pollution, protecting the environment or saving energy in the project area”. The criteria used for selection of companies or cooperatives as grantees assess inter alia: adaptation capacity (salinity, drought, flood), energy saving and water saving.

However, at implementation stage, applying strict environmental standards remains challenging because of: (i) lack of data on environmental parameters such water and soil quality for instance, and (ii) the cooperatives and companies have limited financial resources and capacity in identifying and addressing environmental risks.

To address these shortfalls, it was agreed to provide the PPP grantees with specialized advice to identify sustainable options for water and energy management. In addition, environmental risks related to chemical pollution (pesticides and fertilizers) and waste management are also to be assessed and addressed. (See agreed action under component 2.2).

Exit Strategy	Rating: 5	Previous rating: 4

Justification of rating

Exit strategies per Province have been developed (both Provinces) and approved (Tra Vinh only). These exit strategies are developed with the project partners and are / will be approved at Provincial level. The Exit Strategies cover institutional arrangements, legal aspects, ownership and post-project funding.

Main issues

The Exit Strategies are clear documents that spell-out how the implementation modalities of the Project may continue beyond Project’s timeframe and intervention area. The SEDP process has been fully integrated in planning at District and Commune level throughout both Provinces. The microcredit provision under the Women’s unions is likely to develop into two fully registered MFIs. For the Project’s grant facilities (CCA, PPP) the exit strategy has largely been defined but needs completion (Ben Tre, inter alia through exchange of experience between the Provinces), while steps for the practical implementation of the exit strategy are also to be taken. Eventually, the funding of CCA and PPP activities using national budget lines, will be the proof of concept for the exit strategies. Agreed actions are included under ‘Overview and Project Progress ’

Potential for Scaling-up	Rating: 5	Previous rating: 5

Justification of rating

As evidenced by the early replication of the SEDP process, and by the ambition expressed in the Exit Strategies; the Provinces are keen to apply AMD approaches also to non-project communes and districts. Approaches are well-documented in manuals and CCA models are systematically assessed for future use.

Main issues

The AWQMS appears to offer a specific scope for scaling-up. The underlying model includes the entire Mekong Delta within its boundaries and data from other Provinces can therefore relatively easily be included. A second element in further scaling is the potential for synergy with other initiatives, including private initiatives. Specific actions are included under the component descriptions in ‘Overview and Project Progress ’.

c. Project Management

Quality of Project Management	Rating: 5	Previous rating: 4

Justification of rating

Project management is guided by the AMD objective; responsive to implementation issues and MTR agreed actions; and well-supported by the Project Steering Committees and Provincial authorities. The merger of the Tra Vinh steering committee for AMD and the SME project is commendable; as is the enhanced exchange between the two Provincial PCUs and the overall continuity in staffing. The Mission is confident that the project management will in the period ahead take strategic action to direct the Project to its satisfactory completion.

Main issues

Reallocation of budget. A reallocation was approved in early 2018 but the enhanced funding for microcredit proposed therein was contradicted by GoV procedures that preclude use of Loan Funding for microcredit. Additional rebalancing is needed, as some categories were estimated too high (e.g. consultancy), while for other categories (e.g. infrastructure) meaningful additional investment can be pursued. Moreover, a reallocation among categories should reflect the anticipated extension of the Project (see next), as well as the PCUs exit strategies. The following guidance for a formal reallocation request is given:

1. An increase in community infrastructure funding to a maximum of 35% of the loan. ASAP funding cannot be used for community infrastructure;
2. Sufficient resources for the timely delivery of the ASWQMS. All costs for the ASWQMS including civil works are financed from the ASAP equipment (II) category;
3. Additional resources for investment in the Adaptation funds and the PPP facility in keeping with the (possible) extended time horizon of Project implementation;
4. Prudent allocations for salaries and operational costs, not exceeding 10% of the overall IFAD financing.

Extension of the Project completion date. The PCUs proposes an extension of the Project by one year in order to add value to the Project outcomes in both components. This is indeed possible, as noted in the section on key mission agreements and conclusions. Implementation is however affected by three concerns (enhanced spending; enhanced implementation of the ASWQMS; and adequate capital for the Tra Vinh WDF). If the Project is able to overcome these concerns by or before June 2019, this would create a basis for discussion between IFAD and the Government of Vietnam on extending the Project completion date. Specifically this means spending approximately USD 4.6 million against the overall IFAD financing by mid-2019; completion of the ASWQMS infrastructure by March 31 2019; and commitment of required resources for Tra Vinh's WDF by mid-2019.

Agreed Action	***Responsibility***	***Agreed Date***
Project Management		
Reallocation of budget Prepare and submit a reallocation proposal.	PCUs, Provinces, DPI, IFAD	10/2018

Knowledge Management	**Rating: 4**	**Previous rating: 4**

Justification of rating

The rating at MTR is maintained as moderately satisfactory (4). Knowledge management is well addressed in subcomponent 1.1: Climate Change knowledge enhancement, and adequate resources have been allocated. The project has delivered quantifiable results in the form of (i) dissemination of manuals and guidelines on climate informed planning and CCA grants administration (ii) broadcasting of information on climate change issues and adaptation issues to wide public audience (iii) dissemination of project information on various support (iv) quarterly newsletter (v) study tours for project staff and partners (vi) training courses (vi) media and information dissemination workshops.

Main issues

The main results and outputs for knowledge management and information dissemination are reported upon under subcomponent 1.1.c. The project in both provinces have produced documentation in the form of manuals and leaflets and have disseminated information in workshop and trainings. I addition, study tours have been organised for project stakeholders and partner organisations. So far, a total of thirteen video clips have been produced to document CCA models and PPP interventions in Ben Tre province. Main issues to be addressed are: (i) limited flow of information from group to group, (ii) limited availability of extension material for individual farmers and (iii) Successful Climate change adaptation models need to be further disseminated to a wider audience at local level. Actions have been agreed upon as detailed under sub-component 1.1.c above.

Value for Money	**Rating: 4**	**Previous rating: 4**

Justification of rating

The Project is achieving above the output targets within the budget available and more output can be achieved before the

budget is depleted. Therefore, the implementation appears to be efficient and the beneficiaries receive a good value for the money invested in the Project. This would be satisfactory, but low and late allocation of resources in the current year affect the rate of implementation.

Main issues

The Project performs better than expected – despite the slump in spending in the current year – and with the notable exception of the ASWQMS. Here – with hindsight – better use could have been made of simple monitoring infrastructure as installed by a private party (see lessons learned). Against this exception stand the remaining components and sub-components where implementation is either well on schedule; or ahead of it.

A continued VfM will be begot is indeed allocations improve and the exit strategies are well-implemented – as is the expectation of this mission. Key project activities are assumed into the general responsibilities of the agencies at and within the Provinces and new sources of finance are mobilised to continue replication beyond the confines of the Project area and timeframe.

Coherence between AWPB and Implementation	Rating: 4	Previous rating: 4

Justification of rating

Coherence between AWPB and implementation remains moderately satisfactory in view of problems experienced in the allocation of sufficient funds to support the AWPB. As of 30 August 2018, project disbursement against the 2018 AWPB in Tra Vinh is 53% and 46% in Ben Tre. The AWPB 2018 received IFAD no-objection and PPC approval in February 2018. The coherence between the planned and implemented activities has been maintained appropriately.

AWPB Inputs and Outputs Review and Implementation Progress

Priority investments in 2018 include: (i) Implementation of the SEDP in project and non-project communes; (ii) capacity building for existing CGs; (iii) CCA/CFAF and PPP implementation and expansion; (iv) CIF implementation with a greater focus on the linkage to value chain development. The project activities are on track and target Project designated groups including poor households and women.

As will be elaborated in the Financial Management section, measures introduced by MoF to enhance financial discipline affect the current AWPB as well as the allocations in 2019. Due to a 2017 performance below thresholds, the 2018 allocation was below the approved AWBP. Low implementation and disbursement in the current year will prompt an allocation not greater than 75% of the 2019 AWPB.

Performance of M&E System	Rating: 5	Previous rating: 5

Justification of rating

The M&E system is satisfactory and regularly reports on progress at different levels (outcomes, outputs, activities, etc.). Managers make some use of M&E information for planning and decision-making. Until now, the project has timely revised and updated the ORMS Log Frame indicators to meet with IFAD and project management requirements. All required M&E activities including implementation database update, thematic surveys (SEDP, adaptive research, CCA, PPP), and annual outcome survey have been successfully conducted. Collected data and information, especially the annual outcome survey results, provides a substantial database for the project progress. Indicators at three levels (output, outcome, and impact) collected through the surveys show that the project has achieved most targets.

M&E System Review

The M&E system is in place and M&E activities are conducted in a timely and adequate manner. The outcome target ‘at least 8 different viable pro-poor climate resilient farming system packages, each adopted by more than 400 poor & near poor HHs’, is ambiguous but shall be maintained. The mission observes profound changes in the overall farming systems in the Provinces and recommends keeping track of this wider context of change, when assessing this outcome target. In addition to undertake the enhanced effort described under component 2.2.b, the PCUs shall develop an analytical understanding of the achievements against this target and of the challenges that it sets.

The current software does not support export of the indicators on malnutrition and asset ownership to the ORMS system. The PCU is to maintain separate record of these indicators.

Agreed Action	*Responsibility*	*Agreed Date*
Project Management		
Monitor adaptation practices Analyse replication of the integrated farming models (under outcome indicator O1.a), including spontaneous adoption and models modification by farmers. Closely monitor and keep record of farmers applying integrated farming practices based on the models.	PCU in liaison with CPC	06/2019

Requirements of Social, Environmental and Climate Assessment Procedures (SECAP)	**Rating: 4**	**Previous rating: 5**

Justification of rating

MTR rating is maintained as Moderately Satisfactory (4) AMD was designed prior to the SECAP being made mandatory but the environment and climate change assessment (ECCA) concluded that the overall environmental category of the project is category B. Considering that there are no major negative impacts from project interventions on the environment and natural resources, the project category remains as B : The project may have some adverse environmental and/or social impacts that are site-specific, few are-irreversible in nature and can be readily remedied by appropriate preventive actions and/or mitigation measures.

SECAP Review

The project focus on climate change adaptation has positively influenced the way activities are planned, implemented, documented and monitored. The environmental risks and climate change adaptation options are embedded in the planning process at district and commune level through the Climate-Informed Socio-Economic Development Plan (SEDP). In the CCA/CFAF manual criteria used to review the eligibility of proposal submitted by the CIGs include: sustainability, CC adaptation solutions and absence of environmental risks. In the PPP manual, environmental aspects are taken in account at selection stage.

Specific recommendations have been made to improve the way the social, environmental and climate impacts of the PPP can be better mitigated. These agreed actions are under component 2.2.

d. Financial Management & Execution

Disbursement by financier

Type	Name	Current Amount	Disbursed Amount	Actual Rate
Domestic Financing breakdown	Beneficiaries	$7,768,000		
	National Government	$7,576,070		

Acceptable Disbursement Rate	**Rating: 5**	**Previous rating: 4**

Justification of rating

The project is in its 4th year of implementation and the disbursement rate of IFAD funds (loan and grant combined) to the Borrower/Recipient's Designated Accounts (DA) is 67%. There has been no extension.

Main issues

Tra Vinh AMD is funded by an IFAD Loan of SDR 7.2 million (USD 11.1 million) and an ASAP Grant of SDR 3.9 million (USD 6.0 million). At end August 2018, the disbursement rate (71%) is satisfactory. Ben Tre AMD is funded by an IFAD Loan of SDR 7.1 million (USD 10.9 million) and an ASAP Grant of SDR 3.8 million (USD 6.0 million). At end August 2018, the disbursement rate (63%) is satisfactory.

The loan drives the disbursement performance, being above 75% in both provinces, whereas the grant rate is 55% and 43% for Tra Vinh and Ben Tre respectively due to slow progress in Component 1. The risk of residual unutilised ODA funds at project completion in March 2020 is estimated at USD 3.1 million (best case scenario), of which USD 1.4 million for Tra Vinh and USD 1.7 million for Ben Tre.

Concerns for the high public debt have pushed the Government of Vietnam (GoV) to optimise external assistance by

focusing on more effective and timely utilisation of resources for ODA-funded projects. GoV introduced in 2017 a performance-based mechanism: (i) to achieve full access to the funds allocated by GoV in the current year, the Project must disburse more than 50% of its allocation by August 31 (Tra Vinh Directive no. 3, 2017); (ii) to obtain in next year ODA and government allocations in line with the approved AWPB, the Project must disburse over 80% of its allocation by August 31 of the current year (GoV Resolution 70/NQ-CP).

Due to a 2017 performance below thresholds, the 2018 allocation was lower than the approved AWBP; at 75% for the Loan and the Grant for both provinces.

In Tra Vinh, implementation and disbursement in the current year is challenged by late allocation of funds (conform to national circular 111/2016/TT-BTC) which meant that the communes – good for 50% of the total budget – received funds by 17 May 2018 only. Generally, it takes up to 6 months for communes and 4 months for the other implementing agencies to finalise the allocation process. Moreover, MoF has not yet approved the increase to the Loan DA, which was approved by IFAD in the LtB amendment of April 2016.

In Ben Tre the allocation was communicated in early February. After authorisation from MoF, funds were withdrawn from the DA to the Project Account at the end of March. However, during the year the project suffered a liquidity shortage due (i) the lengthy authorisation procedure for withdrawal from the DA; (ii) the implementation of a new IFAD Client Portal (ICP) to submit Was: and (iii) the limited availability of funds in the DA. The increase of the DA and relevant transfer of funds was authorised late by MoF, in August. As a consequence, Ben Tre PCU borrowed an equivalent of USD 0.5 million from the Province in July (to be refunded in October).

On August 31 2018 the disbursement to allocation ratio for Tra Vinh is 53%. The Province is expected to secure full access to its 2018 allocation. If the full allocation is utilised by the year's end, the disbursement performance will be 68%, which would be moderately satisfactory vis-a-vis an expected profile of 75% in implementation year 5. Due to the August disbursement ratio, the allocation for next year is expected to cover only 75% of AWPB.

At the end of August, Ben Tre's disbursement to allocation ratio is 45% and the province expects to achieve about 87% of its 2018 allocation. Also here, the allocation for next year is expected to cover only 75% of the approved AWPB.

A one-year extension of the Project has been suggested by the PCUs but can only be considered subject to the project interim performance by end June 2019. This includes among others a performance criterion of 55% disbursement to allocation, equivalent to USD 4.6 million (loan and grant) booked expenditure in AMD accounting system.

Agreed Action	***Responsibility***	***Agreed Date***
Financial Management & Execution		
Approve an increase of SoE thresholds (i.e. ceiling USD 100,000)	IFAD	
Approve an increased frequency of withdrawal application submission (i.e. WA > USD 150,000 or within 30 days)	IFAD	
Maintain timely settlement of expenses and submission of withdrawal applications	PCUs	
Identify and pursue areas of improvement to shorten delivery/settlement of contracts (especially Works)	PCUs	
Tra Vinh. Request MoF to increase the authorised allocation to the Loan designated account in accordance to the LTB amendment of April 2016	PCU-Tra Vinh	

Fiduciary Aspects

Quality of Financial Management	**Rating: 5**	**Previous rating: 5**

Justification of rating

Quality of financial management is satisfactory. FM operations are carried out by two qualified financial teams each led by an expert Chief Financial Officer, in strict liaison with Communes, Districts and Implementing Agencies.

Main issues

The on-line IFMIS "Ana", which is integrating in real time all spending units, is a best practice. All payments are processed by the Provincial State Treasury in its "Tabmis" system, and then mirrored in the IFMIS, with reconciliations carried out monthly by the PCU. Semi-annual progress reports are prepared and submitted to IFAD as per MTR agreed

action (with Ben Tre still pending submission). In 2018, WAs are submitted through the ICP; and smart-SoEs have been introduced. Segregation of duties is secured. FM operations are subject to annual control and settlement by the Provincial Department of Finance. The external auditor's opinions are unqualified and according to the management letter, internal controls are overall reliable.

Lack of alignment between AWPB and allocated resources is the major concern. Similar to the PCUs in general, the Financial Management Teams are also responsible to seek continuous improvement in order to effectively support operations to perform well within the framework of GoV's financial discipline regulations and mechanisms. PCUs have already implemented the semi-annual financial reports as recommended during MTR. However, the supervision mission suggest closer and more frequent scrutiny of disbursement progress by spending unit, on a monthly basis, to signal early on any concerns with respect to meeting the August performance thresholds.

Agreed Action	***Responsibility***	***Agreed Date***
Financial Management & Execution		
Ben Tre. Submit semi-annual financial reports to IFAD	PCUs	
Prepare monthly scorecard to track disbursement versus allocation by spending unit	PCUs	

Quality and Timeliness of Audit	**Rating: 5**	**Previous rating: 5**

Justification of rating

The yearly Audit for both provinces was carried out satisfactorily and the report was submitted on time

Main issues

The audit report was received on time. The set of financial statements was found to be understandable and complete. The assessment of financial performance has been rated as Satisfactory.

The three required opinions (on Financial Statements, Statement of Expenditures and Special Accounts) were found to be unqualified. The Auditor´s Management Letter highlighted some minor internal control issues which will be resolved by Management. The letter did not highlight any key internal control issues over financial reporting. The Assessment of the Auditor performance has been rated as Satisfactory.

Agreed Action	***Responsibility***	***Agreed Date***
Financial Management & Execution		
The project to comply with the new Handbook for Financial Reporting and Auditing of IFAD-financed Projects	PCUs	01/2019

Counterparts Funds	**Rating: 4**	**Previous rating: 5**

Justification of rating

The GoV contribution is cumulatively moderately satisfactory (61% of total government contribution disbursed for both provinces). However, in 2018, the GoV contribution has dropped. Funds were allocated substantially below AWPB (41% in Tra Vinh; 47% in Ben Tre) and were, in the case of Tra Vinh, released late. The risk of residual unutilised Government funds at project completion is estimated at USD 1.5 million, equally split between Tra Vinh and Ben Tre .

Main issues

The contribution from the government is unbalanced among components in both provinces: progressing very well for component 2 and for project management (respectively at disbursement above 80% and 90%), whereas for component 1 it sits at 3% only.

In 2018, the amount of GoV financing has also been impacted by the weak disbursement performance in the prior year. In Tra Vinh, the late allocation to Communes shrank the window to complete and settle activities (especially works) before the end of August. The ratio of disbursement by August 31 of the GoV contribution to its allocation is 49% for Tra Vinh.

Ben Tre has progressed better at 73% but this is also below the 80% threshold. This is expected to impact on the availability of funds in 2019 (allocation level at same level as in 2018) in both Provinces.

In order to optimise utilisation of counterpart funds by completion date, the residual balance of financing at year end, which is estimated at USD 2,6 million (1,3 Tra Vinh and 1,3 Ben Tre) has to be budgeted at least for 90% in 2019 AWPB. This will offset the risk of underutilisation of resources by completion.

In view of late allocations, solution should be identified, including liaising with the GoV, to make sure that during the first 3 months of 2020 (just before completion) the project does not remain idle for lack of a timely spending authorisation from the government

Agreed Action	*Responsibility*	*Agreed Date*
Financial Management & Execution		
Secure fund availability in the first quarter of the Project's completion year	PCUs	10/2018
Residual balance to be budgeted at least for 90% in the 2019 AWPB	PCUs	10/2018

Compliance with Loan Covenants	**Rating: 5**	**Previous rating: 5**

Justification of rating

The Project complies with the financing covenants included in the Section B and E of the Financing Agreement

Main issues

None

Procurement

Procurement	**Rating: 5**	**Previous rating: 4**

Justification of rating

Application of procurement procedures is in general transparent and in line with the procurement plan. Procurement and implementation of AWQSMS and several work contracts was delayed. Recruitment of individual consultants from a diverse pool is to be done, especially in Ben Tre.

Procurement Review

In Tra Vinh, the 2018 AWPB and Procurement Plan was revised and approved in August 2018. A random check of procurement and contract documents at PCU and communes shows the Project complies with its procurement manual. The PCUs support and oversee procurement and contract management by Commune Development Boards (CDB). Some community infrastructure works are behind schedule due to unfavourable weather conditions. There are shortcomings in procurement such as advertisement for expression of interest, selection of procurement method for CIF contracts, evaluation of bids, etc. Procurement and contract documents should be stored and updated properly in separate files for every contracts.

In Ben Tre, the 2018 AWPB and Procurement Plan was revised and approved in September 2018.Ten CIF work contracts under the 2018 AWPB are subjected to IFAD's prior review. The PCU supports and oversees procurement activities carried-out by implementing agencies and project communes. By September 2018, total saving amount of VND 1.46 billion (5.6%) was gained from procurement activities under the 2018 AWPB. Two procurement training courses were organised by PCU for project staff at provincial and district levels.

Despite last year's MTR agreed action, recruitment of individual consultants from a prior-selected shortlist of consultants continues. The Project must attract more diverse applications from individual consultants, by advertising widely on the National Procurement Network and in "DauThau" newspaper, on the project website and via other public media (www.ngocentre.org.vn) in addition to sending invitation letters to potential candidates for individual consultant selection.

There are substantial delays in reviews and approval of the draft investment report, procurement plan and implementation of contracts for development of the ASWQMS. PCUs and DONREs of Ben Tre and Tra Vinh provinces are required to update regularly and monitor closely the action plan for procurement and implementation of the ASWQMS to avoid unnecessary downtimes or lagging time on investment management procedures and contract implementation.

Agreed Action	*Responsibility*	*Agreed Date*
Financial Management & Execution		
TA recruitment Implement MTR recommendation with respect to identifying multiple candidates for TA contract	PCU	09/2018
Procurement ASWQMS Supervise and monitor the action plan for procurement and implementation of the ASWQMS to avoid unnecessary downtimes and delays.	PCUs, DONRE	09/2018

F. Relevance

Relevance	Rating: 5	Previous rating: 5

Justification of rating

The overall project design continues to be relevant to the needs of the target groups and follows logically from Government and IFAD policies. The set of complementary interventions is appropriate but their enhanced focus on their complementarity is likely to produce better results. Initial evidence for this comes from the value chain focus in Ben Tre; from the application by SCGs for CCA grants and from the enhanced implementation through enlisting communes and mass organisations in Tra Vinh.

Main issues

The Project achieves results that continue to be relevant for the situation that the Mekong Provinces face; and it's concept concept flowed logically from IFAD's country policy. Presently a new COSOP is under preparation in which new priorities need to be set in light of Vietnam's steady development progress. Whether this casts a different light on the relevance of AMD is to be seen.

G. Project Modifications

Responsibility	Modification Type	Description
Extension of Project Completion Date	Completion Date	The PCUs proposed to the Supervision Mission an extension of the Project by one year in order to achieve added value to the Project outcomes in both components. The mission takes a positive outlook on such a proposal, but decided that three areas of concern need to be addressed on a priority basis before IFAD and GoV can enter in discussions over the extension. If the Project makes considerable progress on these three issues (enhanced spending; enhanced implementation of the ASWQMS; and adequate capital for the Tra Vinh WFD), a request for extension can be formally processed.
Reallocation among categories	Reallocation	A reallocation was approved in early 2018 but the enhanced funding for microcredit proposed therein was contradicted by GoV procedures that preclude use of Loan Funding for microcredit. Additional rebalancing is needed, as some categories were estimated too high (e.g. consultancy), while for other categories (e.g. infrastructure) meaningful additional investment can be pursued. In anticipation of an extension of the Project (see next), funding for further replication and institutionalisation of some activities can be topped up, in line with the PCUs exit strategies. . The PCUs were given guidance on what constitutes permissible reallocations.

H. Lessons Learned

Salinity monitoring

The Project design pursues the development of an Automated Salinity and Water Quality Monitoring System within the part of the Mekong Delta covered by the Project. The system is relevant for (and scalable to) the entire Mekong Delta. By choosing its model boundaries way beyond the boundaries of the Project area; and by loading data from Mekong Delta-wide and even regional forecast centres; a system has been built, which has the potential to become the leading salinity and water quality monitoring and forecasting model, throughout the Delta.

In a separate development – but also with some Project support – the private Rynan company has established in a smaller part of the Project area a real-time monitoring system for salinity and water quality. This system reports via a mobile app and the usage of the app by District agricultural staff and farmers provides the confidence that salinity monitoring and forecasting is an eagerly awaited and highly relevant service.

The further implementation of the Automated Salinity and Water Quality Monitoring System is underway with sizeable investment into permanent monitoring stations. The private investor has opted for placement of simple solar-powered sensors on buoys. This has a lower investment cost and the locations can – if the need arises – be changed relatively easy. Operational costs could be higher, but this does not seem to offset the considerable savings in investment. Expansion of the ASWQMS could be combined with usage of the data flows from the buoys and could enhance its coverage throughout the Delta in a more economic fashion.

The Project has now been tasked with developing further synergy between both systems and with integrating further data collection into the ASWQMS.

Value chain approach guiding Climate Change Adaptation interventions

Under component 1 of the project, building adaptive capacity aims at developing a ARD sector CC adaptation management framework together with participating communities, institutions and provinces. To achieve this, the project has worked on enhancing climate change knowledge. Partnerships with Tra Vinh and Can Tho Universities have resulted in adaptive research initiatives. Currently 6 researches have been completed and another 6 are on-going. The Participatory Action Research process, in collaboration with technical agencies (DARD in particular) have resulted in developing climate change adaptation models. The models are tested and then demonstrated in Common Interest Groups with subsidised support in the form of Climate Change Adaption Funds (CCAF). The extension network at district and commune levels further promote dissemination and replication of the models.

The value chain approach on the other hand, defines priority commodities at provincial and district level. Both public and private investments are combined to develop the value chain, from production (DARD) to processing through partnerships with agribusiness (DPI) and marketing and branding (DoIT). In this case, the resources are mobilised in a coherent manner, to leverage value added for all stakeholders, from producers' groups and cooperatives, to input and equipment suppliers to agribusinesses. The AMD project supports this approach by supporting farmers' organisation with Co-Financing Adaptation Funds (CFAF), People Public-Private-Partnerships (4P) funds and small-scale infrastructures with Commune Investment Funds.

Valuable lessons have been learned by the project under both approaches described above: the adaptive Participatory Action Research and the value chain approach:

- The adaptive research focus allows to develop Climate Change Adaptation models in a systematic way, based on partnerships with academic and research institutions. It has demonstrated potential for innovation and has produced models that are then promoted through the extension network: extension staff at district and commune levels, as well as lead farmers for farmer-to-farmer extension. Wide dissemination of the models requires time and resources. Replication of the models by farmers can be slow and require additional support for poor and near-poor farmers to adopt the models.
- The value chain approach is more oriented towards production and market linkages and therefore has shown great potential for economic growth. It has the advantage of creating synergies between project components and partners by mobilising instruments along value chains. In that case, private resources can be mobilised in

complement to public resources to promote economies of scale.

Mainstreaming of Climate-informed Socio-Economic Development Planning

The AMD project is designed to strengthened adaptive capacity of target communities and institutions to better contend with climate change. The project has provided support to communities and institutions so that they have greater capacity to effectively respond to the impact of climate change and that climate change considerations are integrated into Socio-Economic Development Planning processes.

The project has successfully introduced, tested and demonstrated an enhanced SEDP methodology: the climate informed SEDP. This innovative planning method includes data and information on climate change risks and identified vulnerabilities to set priorities for interventions and investments. Valuable lessons have been learned in the process: (i) innovative approaches and methodologies are endorsed by provincial authorities to be used for development planning at district and commune levels, thus multiplying the impact of the project beyond its target districts and communes; (ii) climate change considerations are effectively guiding investment priorities set at various administrative level.

Moving forward, the project is to further support the provincial, district and commune levels authorities in : (i) developing climate change scenario to inform the medium-term planning process for 2021-2025 (ii) encourage a wider participation of stakeholders (private companies, cooperatives, mass organisations, other projects) in the planning process (iii) further identify and mobilise resources from both the public and private sectors to implement the SEDP in a coordinated manner to address both poverty reduction and socio-economic development objectives.

I. Agreed Actions

Agreed Action	*Responsibility*	*Agreed Date*
Overview and Project Progress		
ASWQM procurement plan Review and approve the joint procurement plan	PPC Ben Tre	09/2018
Priority for ASWQM completion Ensure that the March 31 deadline receives top priority by all concerned	PPCs, DONREs, PCUs	09/2018
Top-up of PPPs Assess necessity and potential for top-up of current PPP agreements using a competitive process and a set of criteria in line with the PPP manual	PCU	09/2018
PPP service providers Facilitate provision of adequate business and technical advice to the PPP companies by linking with specialised service providers	PCU, DOIT	09/2018
Equipment Aquaculture diagnostic Centre Tra Vinh: Prepare and submit a procurement plan with justification for additional equipment for the Aquaculture Diagnostic Centre against the available investment balance for review by PPC and IFAD	Tra Vinh University, Tra Vinh PCU	10/2018
Ensure advance funding for infrastructure Prepare, submit and review a request for advance funding of planned activities under the 2018 AWPB	PCU, PPC, DPI, DOF	10/2018

Address credit possibilities in the Value Chain approach Collect, organise and disseminate information on public and private credit facilities available for private companies and cooperatives in the agriculture sector	PCUs with involved departments	11/2018
Additional TA support Pursue mobilisation of EKN-funded TA to address water management and climate change adaptation concerns for both Provinces	PCUs, PPCs, DONREs, CCCOs, IFAD	12/2018
Increase operational cost ceiling MFI Ben Tre Ben Tre – Reconsider the 5% operational cost ceiling imposed on the WDF on the basis of a review (exchange visit) of the experience in Tra Vinh	PPC, PCU, WU / WDF	12/2018
Recover investment for privatised infrastructure Ben Tre: Agree on recovery of the depreciated value of three water supply distribution systems and its use for additional infrastructure in the concerned communes	PCU, PPC, DPI, DOF, DPCs, CPCs (3 concerned communes	12/2018
Revise CCA manual Tra Vinh: Revise the CCA manual (based inter alia on Ben Tre)	PCU Tra Vinh	12/2018
PPP exchange tours Organise cross visits between Tra Vinh and Ben Tre on synergy between PPP and value chain approach and on the PPP exit strategy	PCUs, DOIT, Tra Vinh, DPI Ben Tre	12/2018
CCA by communes Ben Tre: Decentralise CCA implementation to the Communes	PCU Ben Tre	01/2019
Synergy of salinity monitoring initiatives Assess the scope for development of synergies between the ASWQMS and the initiative carried-out by Rynan Company	DONRE, PCU, Rynan Company	03/2019
Cross visits Facilitate cross visits between different groups (CG, CIG, SCG, cooperatives) involved in similar productive activities or similar agro-ecological conditions	PCU, DARD, Districts, Communes	06/2019
Extension exposure Increase farmer exposure to extension material and agricultural services	PCU, DARD and DOIT	06/2019
Extension materials Produce and disseminate existing and new CCA extension material to a wider audience	PCU, DARD	06/2019
Next round Province-level planning Identify and provide workshops, dialogues and studies in support to the next round of Province-level planning	PCU, DARD, Districts, Communes	06/2019

Enhance SCG membership Enhance SCG membership up to 5,800 in the project-targeted communes in each Province	PCUs, Women's Unions, WDFs	06/2019
SCG participation in adaptation funds Enable additional existing SCGs to participate in the CFAF and CCA funds	PCUs, Women's Unions, WDFs	06/2019
Enhance capital position MFI Tra Vinh Tra Vinh – Pursue commitments for settlement of the VND 14 billion in arears by the VBSP provincial branch and / or its national office	PPC, PCU, WU / WDF	06/2019
PPP exchange tour Organise an exchange on the Value Chain approach and its synergies with AMD investment instruments	PCUs with involved departments	06/2019
Guidelines for horizontal learning Develop guidelines for group to group, farmer to farmer and enterprise to farmer exchanges for use by concerned agencies	PCU, mass organisations, communes, districts, DARD	06/2019
Finalise replication strategy Develop a strategy for CCA replication for review and implementation (detailed suggestions in supervision report appendix 4)	PCU	06/2019
Health and Safety Enhance workers' safety awareness and preventive measure in PPP agreements	PCU, DOIT	06/2019
Pursue public and private investment Pursue that resources are included in public budgets to continue the process of adaptive research, testing and validation of CCA models and encourage private sector investment in the same for commercial commodities	PCU, PPC, TAG members	10/2019
Train commune staff Continue training commune staff on model selection and replication through cross-learning meetings, exchange visits between communes, districts and Provinces	PCUs/DARDs/DPCs	
Enhance linkages in agro-financial workshops Involve upstream and downstream enterprises in additional agro-financial workshops	PCUs with involved departments	
Assist companies to access credit Assist PPP companies and other private companies involved in the project in preparing loan applications and follow-up to facilitate the procedure.	PCUs with involved departments	

Combined application of project instruments Enhance linkages between project instruments (CIF, microfinance, value chain support), a value chain approach and existing and new CCA activities	PCU	
Horizontal learning Enhance group to group, farmer to farmer and enterprise to famer exchanges to promote best practices	PCU, mass organisations, communes, districts, DARD	
PPP capacity building Pursue capacity development of PPP management in business planning and in engaging financial institutions in cooperation with concerned parties (e.g. CIDA's SME project)	PCU	
Development Effectiveness		
Synergy of project instruments Build further synergies between project instruments to enhance beneficiary adaptation to climate change	PCUs, Districts, Communes	06/2019
Targeting and empowerment 1 Build stronger management capacities and leadership in groups that are assisted through AMD	PCUs, Districts, Communes	06/2019
Targeting and empowerment 2 Ensure adequate attention to targeting, outreach and group empowerment in application of the Exit Strategy and the (draft) replication strategy	PCUs, Districts, Communes	06/2019
Wider support to CCA Pursue coordinated interventions with other national programmes and donor-funded investments in the field of climate change adaptation	PCUs, Districts, Communes	06/2019
Project Management		
Reallocation of budget Prepare and submit a reallocation proposal.	PCUs, Provinces, DPI, IFAD	10/2018
Monitor adaptation practices Analyse replication of the integrated farming models (under outcome indicator O1.a), including spontaneous adoption and models modification by farmers. Closely monitor and keep record of farmers applying integrated farming practices based on the models.	PCU in liaison with CPC	06/2019
Financial Management & Execution		
TA recruitment Implement MTR recommendation with respect to identifying multiple candidates for TA contract	PCU	09/2018

Procurement ASWQMS Supervise and monitor the action plan for procurement and implementation of the ASWQMS to avoid unnecessary downtimes and delays.	PCUs, DONRE	09/2018
Secure fund availability in the first quarter of the Project's completion year	PCUs	10/2018
Residual balance to be budgeted at least for 90% in the 2019 AWPB	PCUs	10/2018
The project to comply with the new Handbook for Financial Reporting and Auditing of IFAD-financed Projects	PCUs	01/2019
Approve an increase of SoE thresholds (i.e. ceiling USD 100,000)	IFAD	
Approve an increased frequency of withdrawal application submission (i.e. WA > USD 150,000 or within 30 days)	IFAD	
Maintain timely settlement of expenses and submission of withdrawal applications	PCUs	
Identify and pursue areas of improvement to shorten delivery/settlement of contracts (especially Works)	PCUs	
Tra Vinh. Request MoF to increase the authorised allocation to the Loan designated account in accordance to the LTB amendment of April 2016	PCU-Tra Vinh	
Ben Tre. Submit semi-annual financial reports to IFAD	PCUs	
Prepare monthly scorecard to track disbursement versus allocation by spending unit	PCUs	

Project for Adaption to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces

Logical Framework

Results Hierarchy	Indicators							Means of verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2017)	Cumulative Result (2017)	Cumulative Result % (2017)	Source	Frequency	Responsibility	
Outreach	1.a Corresponding number of households reached							RIMS report			
	Non-women-headed households			30 000	**15 708**	**43 022**	**143.4**				
	Women-headed households				**2 336**	**8 614**					
	1 Persons receiving services promoted or supported by the project										
	Indigenous people				**18 504**	**58 746**					
	Males			65 000	**64 641**	**169 008**	**260**				
	Females			60 000	**46 650**	**128 154**	**213.6**				
Goal Sustainable livelihoods for the rural poor in a changing environment	40% reduction in the prevalence of child malnutrition							Baseline studies, Project mid-term evaluation, & Project completion evaluation			
	reduction in malnutrition			40							
	30,000 poor and near poor HHs with at least 25% improvement in household assets ownership index							Baseline studies, Project mid-term evaluation, & Project completion evaluation			
	Households			30 000	**866**	**9 799**	**32.7**				
	60% poverty reduction in project communes							Business enterprise records □ CPRP annual reports			
	poverty reduction					**19.91**					

	poor					**30 805**					
	Females					**6 364**					
Objective Adaptive capacity of target communities and institutions to better contend with CC strengthened	100% of provincial communes and districts preparing and implementing annual climate- informed, participatory market oriented plans							DoNRE & DPI annual reports; Project M&E system; VBARD, VPSP and WU records; Project baseline studies, mid-term & completion evaluations			Socio-economic conditions remain reasonably stable in the project area and climatic disasters are manageable (A) Supporting Government Departments (DARD, DoNRE & DPI) do not internalize AMD work programs and targets (R)
	provincial communes				**187**	**268**					
	At least 30,000 poor smallholder HHs members whose climate resilience has been increased 30%							DoNRE & DPI annual reports; Project M&E system; VBARD, VPSP and WU records; Project baseline studies, mid-term & completion evaluations			
	Households			30 000	**10 390**	**24 925**	**83.1**				
	At least $30 million invested in profitable climate resilient infrastructure, farming systems and enterprises in project communes							DoNRE & DPI annual reports; Project M&E system; VBARD, VPSP and WU records; Project baseline studies, mid-term & completion evaluations			
	investment in climate resilient infrastructure			30 000	**10 854**	**20 218**	**67.4**				

Outcome Building Adaptive Capacity. A comprehensive agriculture sector CC adaptation management framework operating with participating communities, institutions and provinces	At least 15 different viable pro-poor climate resilient farming system packages, each adopted by more than 400 poor & near poor HHs							DAD, DoNRE and TVU annual reports; Project M&E system; Project baseline studies, mid-term & completion evaluations; Post training community surveys and focus group discussions			Integrated disaster risk management & vulnerability reduction planning will not be effectively integrated into village-,commune- and district-level planning (R) Government issues enabling decrees for integration of CC into SEDP (A) Inter-institutional cooperation & articulation is maintained & reasonably effective (R)
	pro-poor climate resilient farming system packages			15	**10**	**25**	**166.7**				
	At least 80% of provincial communes and districts have adopted a community-based disaster risk management plan and community adaptation plan										
	communes			80		**96**	**120**				
Output Participative development of gender sensitive models for farmers & aquaculturalist to formally engage in climate resilient, profitable, production	No of registered users confirm timely receipt of near real-time salinity forecasts from automated salinity monitoring system							DARD, DoNRE, TVU; Project M&E system; Project baseline studies, mid-term & completion evaluations			
	Indigenous people					**0**					
	Males					**0**					
	Females					**0**					
	At least 6 value chains identified							DARD, DoNRE, TVU; Project M&E system; Project baseline studies, mid-term & completion evaluations			
	VCs			14	**0**	**25**	**178.6**				
Output Tra Vinh University implementing an adaptive, climate-informed agricultural and aquaculture varietal research program	At least 13 peer-reviewed scientific papers published on climate adapted species/varietal introductions into Tra Vinh and Ben Tre provinces							DARD, DoNRE, TVU; Project M&E system; Project baseline studies, mid-term & completion evaluations			
	scientific paper			25	**1**	**1**	**4**				

Output Smallholder HHs/Groups that cope with climate change and sustainably manage natural resources and climate related risks.	Poor smallholder household members supported in coping with the effects of climate change							DARD, DoNRE, TVU; Project M&E system; Project baseline studies, mid-term & completion evaluations	Annual		Provincial governments integrate commune level NTP funding into the MoSEDP process (A) Provincial governments do not support private sector participation in SEDP development (R) Inadequate skills base among local service providers (R)
	Total household members			125 000	**111 291**	**297 162**	**237.7**				
	Community groups engaged in NRM and climate risk management activities							DARD, DoNRE, TVU; Project M&E system; Project baseline studies, mid-term & completion evaluations	Annual		
	Groups			2 000	**555**	**1 684**	**84.2**				
	Individuals engaged in NRM and climate risk management activities							DARD, DoNRE, TVU; Project M&E system; Project baseline studies, mid-term & completion evaluations	Annual		
	Total			30 000	**5 601**	**15 819**	**52.7**				
Output Communes prepare community-based adaptation and disaster risk mitigation plans	village/community plans formulated							RIMS report			Provincial governments integrate commune level NTP funding into the MoSEDP process (A) Provincial governments do not support private sector participation in SEDP development (R) Inadequate skills base among local service providers (R)
	plans			60	**161**	**259**	**431.7**				

Output Provincial Departments of Planning & Investment have guidelines and tools for market oriented, climate-informed SEDP planning and the capacity to independently train district and commune staff in market oriented strategic planning	No. of Provincial climate-informed market oriented SEDPs produced for the periods 2016-2020 and 2021 to 2025							Competency based training course results; DARD and DoNRE reporting; Project M&E system; Prime Minister approval of 5-year provincial SEDPs; Provincial Gazette (policy directives)			
	SEDP			2	**0**	**1**	**50**				
Outcome Investing in Sustainable Livelihoods Increased and more inclusive financing for market oriented, climate smart agriculture and agri-business investments	Less than 5% non-performing loans in WU SCG portfolios							Credit institution records; Case/panel studies; Project M&E system; Project baseline studies, mid-term & completion evaluations			Financial service providers remain interested to invest in project targeted value chains (A) Quality & availability of freshwater in the project Provinces remains adequate for development of project livelihood activities (R)
	non-performing loans			5		**0.37**	**7.4**				
	50% of HHs in project communes accessing credit for farming activities							Credit institution records; Case/panel studies; Project M&E system; Project baseline studies, mid-term & completion evaluations			
	Households			50		**28.3**	**56.6**				

	30% increase in both number and resulting income of rural poor HHs having wage & non-farm sector employment							Credit institution records; Case/panel studies; Project M&E system; Project baseline studies, mid-term & completion evaluations			
	percentage increase			30	**29.3**	**44**	**146.7**				
Output Savings and Credit Groups established	At least 1040 new women's SCGs having at least 19,000 members established							WU records □ Business enterprise records. □ Project baseline studies, mid-term & completion evaluations	Annual		Inadequate skills base amongst local service providers (R) Government completes the regulatory framework for the implementation of MFI legislation (A)
	women SCGs			1 040	**563**	**2 678**	**257.5**				
	1.1.5 Persons in rural areas accessing financial services							RIMS report	Annual		
	Indigenous people in rural areas accessing financial services - credit				**1 260**	**2 572**					
	Women in rural areas accessing financial services - credit				**2 707**	**12 211**					
	Women in rural areas accessing financial services - savings				**2 197**	**13 567**					

	Indigenous people in rural areas accessing financial services - savings				**1 695**	**3 121**					
	value of gross loan portfolio							RIMS report	Annual		
	loan portfolio				**3 830**	**7 635**					
	Value of voluntary savings							RIMS report	Annual		
	savings				**214**	**351**					
Output Women's Union Social Funds transformed into viable Micro-Finance Institutions	Two provincial MFIs established							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations			
	MFI			2		**0**	**0**				
	Biennial agriculture finance conferences held in each AMD province							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations			
	conferences					**0**					
Output Climate resilient, risk reducing, small-scale commune works and infrastructure constructed	100% of project communes have infrastructure supervision boards capable of supervising, inspecting and maintaining infrastructure projects in their communes by end-PY2							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations			Inadequate skills base among local service providers (R) Government completes the regulatory framework for the implementation of MFI legislation (A)
	communes			100		**100**	**100**				
	New or existing rural infrastructure protected from climate events (US$' 000/Km)							RIMS report	Annual		

	Value			8 000	**2 998**	**6 908**	**86.4**				
Output Poor and near poor HHs can affordably invest in profitable climate adaptation technology	At least 6000 households co-financed to invest in climate resilient farming system							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	Males				**1 222**	**2 567**					
	Females				**843**	**1 720**					
	poor				**767**	**1 823**					
	Indigenous people				**1 379**	**2 744**					
	Households			6 000	**2 065**	**4 287**	**71.5**				
	At least 30,000 people trained on climate-informed farming system and technology							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	Males				**14 089**	**49 100**					
	Poor				**8 125**	**17 977**					
	Total number of people			30 000	**9 324**	**23 500**	**78.3**				
	Females				**10 206**	**25 818**					
	10,000 HHs replicate CFAF model							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	Households			10 000	**1 427**	**5 065**	**50.6**				
	4,000 people provided with skills on preparing sub-projects/business plans							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	Males				**1 134**	**2 873**					
	Total number of people			4 000	**2 704**	**5 610**	**140.3**				
	Females				**1 570**	**2 737**					
	poor				**1 053**	**2 167**					
	Indigenous people										

Output P-PC funds allocated competitively, enabling SMEs, CIGs & Co-ops to invest in sustainable, climate-sensitive production & raise working standard and opportunities for labourers	$1.8 million invested in PPP associating with rural poverty reduction							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations			Inadequate skills base among local service providers (R) Government completes the regulatory framework for the implementation of MFI legislation (A)
	investments in PPP			1 800	**1 192**	**1 691**	**93.9**				
	At least 100 new sustainable commune level enterprises (including cooperatives & SMEs) operating profitably at project completion							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	commune level enterprises			100	**76**	**183**	**183**				
	At least 3,600 HHs benefitted from PPP models							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	Total number of people			3 600	**550**	**4 991**	**138.6**				
	Males				**385**	**2 955**					
	Poor				**220**	**1 900**					
	Females				**165**	**2 036**					
	300 sustainable jobs generated from PPP models							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	Poor				**0**	**616**					
	Males				**0**	**699**					
	Total number of people			300	**0**	**1 663**	**554.3**				
	Females				**0**	**964**					

	Number of contracts between enterprises and farmers signed after workshops							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	contracts				**80**	**3 001**					

IFAD
Investing in rural people

Viet Nam

Project for Adaption to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces

Supervision Report

Appendix 1: Financial: actual financial performance; by financier by component and disbursements by category

Mission Dates:	10-25 September 2018
Document Date:	29/10/2018
Project No.	1100001664
Report No.	4886-VN

Asia and the Pacific Division

APPENDIX 1

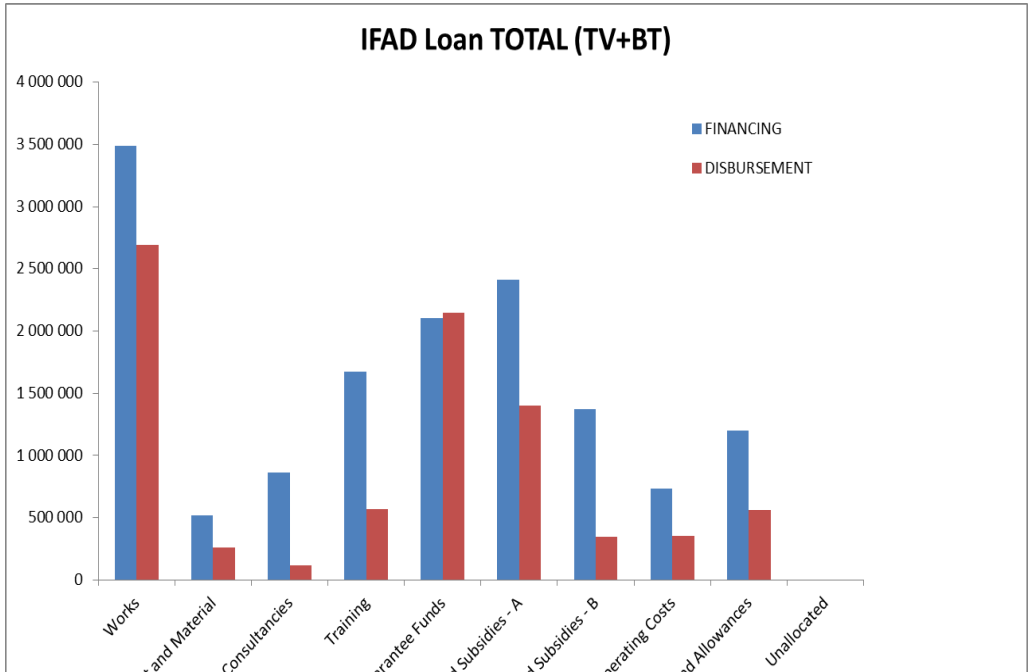
AMD - FINANCIAL PERFORMANCE - two provinces combined

Table 2A: Financial performance by FINANCIER *(USD 000, as at 31 August 2018)*

FINANCIER:	*Appraisal (USD 000)*	*Disbursement (USD 000)*	*Disbursed %*
IFAD loan	*22 060*	*13 839*	*63%*
IFAD grant	*12 035*	*3 906*	*32%*
Government	*7 644*	*4 664*	*61%*
Beneficiaries	*7 729*	*7 467*	*97%*
TOTAL	***49 468***	***29 876***	***60%***

Table 5B: Financial performance by COMPONENT *(USD 000, as at 31 August 2018)*

	IFAD loan			*IFAD grant*			*Government*			*Beneficiaries*			***TOTAL***		
COMPONENT:	*Appraisal (USD 000)*	*Actual (USD 000)*	*%*	*Appraisal (USD 000)*	*Actual (USD 000)*	*%*	*Appraisal (USD 000)*	*Actual (USD 000)*	*%*	*Appraisal (USD 000)*	*Actual (USD 000)*	*%*	*Appraisal (USD 000)*	*Actual (USD 000)*	*%*
Building adaptive capacity	*1 824*	*4*	*0%*	*10 057*	*2 701*	*27%*	*2 360*	*70*	*3%*	*0*	*0*		*14 241*	*2 775*	*19%*
Investing in Sustainable Livelihoods	*17 310*	*11 667*	*67%*	*1 505*	*1 084*	*72%*	*3 716*	*3 100*	*83%*	*7 395*	*7 467*	*101%*	*29 926*	*23 318*	*78%*
Project Coordination	*2 927*	*2 167*	*74%*	*472*	*121*	*26%*	*1 568*	*1 494*	*95%*	*374*	*0*	*0%*	*5 341*	*3 783*	*71%*
Sub-total	***22 061***	***13 839***	***63%***	***12 034***	***3 906***	***32%***	***7 644***	***4 664***	***61%***	***7 769***	***7 467***	***96%***	***49 508***	***29 876***	*60%*
Outstanding advance	*0*	*1 603*		*0*	*1 539*		*0*	*0*		*0*	*0*		*0*	*3 142*	
TOTAL	***22 061***	***15 442***	***70%***	***12 034***	***5 445***	***45%***	***7 644***	***4 664***	***61%***	***7 769***	***7 467***	***96%***	***49 508***	***33 018***	***67%***



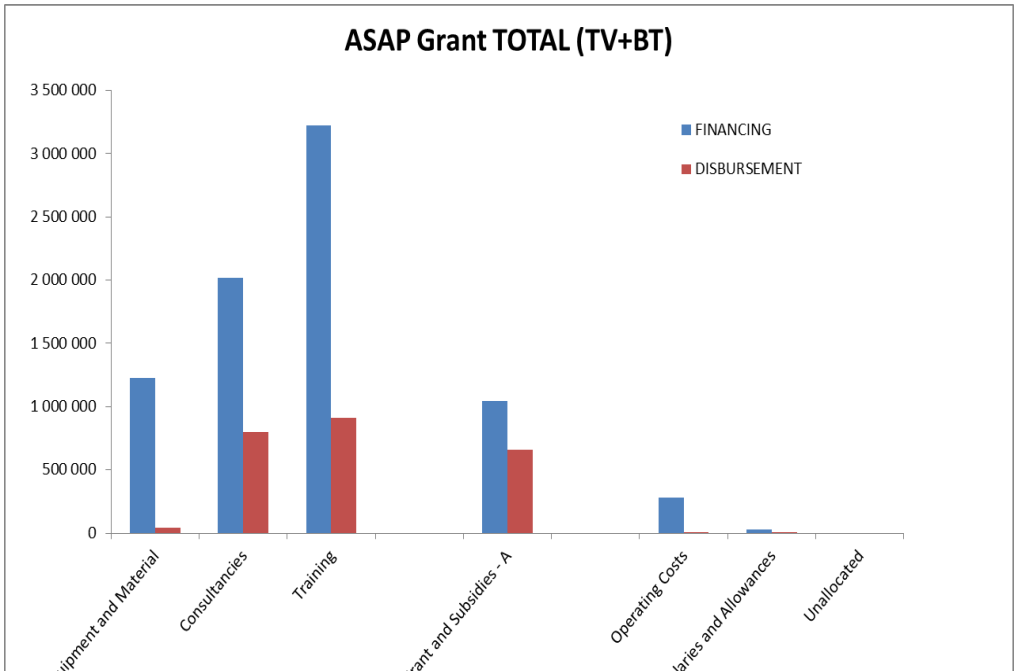


Table 2C: IFAD Loan disbursement *(SDR, as at 31 August 2018)*

	CATEGORY:	Original Allocation (SDR)	Revised Allocation (18/01/2018) (SDR)	Disbursement (SDR)	W/A pending BT and TV (SDR)	Balance (SDR)	% Disbursed* (SDR)
I	Works	2 670 000	3 489 000	2 691 911	687 897	797 089	77%
II	Equipment and Material	520 000	520 000	259 978	514	260 022	50%
III	Consultancies	860 000	860 000	115 791	20 574	744 209	13%
IV	Training	1 670 000	1 670 000	565 334	104 713	1 104 666	34%
V	Credit, Guarantee Funds	2 100 000	2 100 000	2 149 092	-41 741	-49 092	102%
VI a	Grant and Subsidies - A	2 030 000	2 411 000	1 402 439	331 824	1 008 561	58%
VI b	Grant and Subsidies - B	1 170 000	1 370 000	344 963	191 074	1 025 037	25%
VII	Operating Costs	730 000	730 000	354 779	101 747	375 221	49%
VIII	Salaries and Allowances	1 200 000	1 200 000	563 384	114 861	636 616	47%
	Unallocated	1 400 000	0	0	0	0	
	Sub-Total	**14 350 000**	**14 350 000**	**8 447 672**	**1 511 465**	**5 902 328**	**59%**
	Initial deposit	0	0	2 580 463	0	-2 580 463	
	TOTAL	**14 350 000**	**14 350 000**	**11 028 136**	**1 511 465**	**3 321 864**	**77%**

** excluding pending WAs*

Table 2C: IFAD Grant disbursement *(SDR, as at 31 August 2018)*

currency (SDR)

	CATEGORY:	Original Allocation (SDR)	Revised Allocation (18/01/2018) (SDR)	Disbursement (SDR)	W/A pending BT and TV (SDR)	Balance (SDR)	% Disbursed* (SDR)
II	Equipment and Material	600 000	1 228 800	40 255	1 287	1 188 545	3%
III	Consultancies	2 020 000	2 020 000	796 972	113 693	1 223 028	39%
IV	Training	3 220 000	3 220 000	914 253	177 524	2 305 747	28%
VI a	Grant and Subsidies - A	880 000	1 041 200	660 705	91 104	380 495	63%
VII	Operating Costs	280 000	280 000	5 300	0	274 700	2%
VIII	Salaries and Allowances	30 000	30 000	7 509	0	22 491	25%
	Unallocated	790 000	0	0	0	0	
	Sub-Total	**7 820 000**	**7 820 000**	**2 424 994**	**383 608**	**5 395 006**	**31%**
	Initial deposit	0	0	1 409 464	0	-1 409 464	
	TOTAL	**7 820 000**	**7 820 000**	**3 834 459**	**383 608**	**3 985 541**	**49%**

** excluding pending WAs*

	LOAN + GRANT	**22 170 000**	**14 862 594**	**67%**

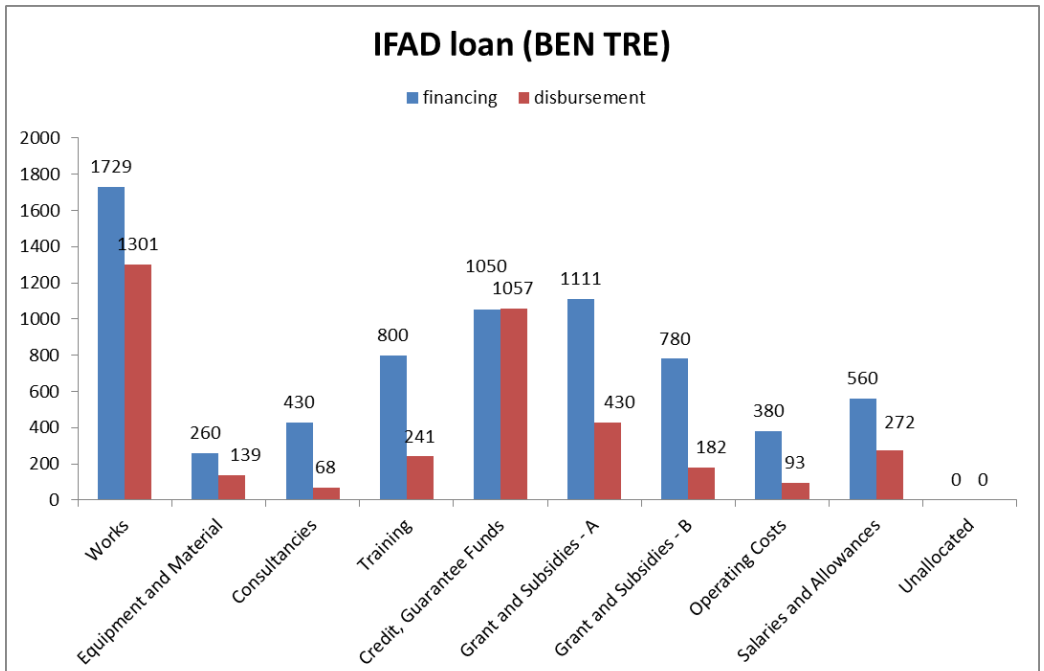
***BEN TRE Province* - FINANCIAL PERFORMANCE** *(at at 31 August 2018)*

Table 2A: BEN TRE Financial performance by FINANCIER *(USD 000, as at 31 August 2018)*

FINANCIER:	Appraisal *(USD 000)*	Disbursement *(USD 000)*	Disbursed *%*
IFAD loan	10 930	6 242	57%
IFAD grant	6 002	1 723	29%
Government	3 844	2 333	61%
Beneficiaries	3 844	3 167	82%
TOTAL	**24 620**	**13 465**	**55%**

Table 2B: BEN TRE Financial performance by COMPONENT *(USD 000, as at 31 August 2018)*

	IFAD loan			IFAD grant			Government			Beneficiaries			**TOTAL**		
COMPONENT:	Appraisal *(USD 000)*	Actual *(USD 000)*	%	Appraisal *(USD 000)*	Actual *(USD 000)*	%	Appraisal *(USD 000)*	Actual *(USD 000)*	%	Appraisal *(USD 000)*	Actual *(USD 000)*	%	Appraisal *(USD 000)*	Actual *(USD 000)*	%
Building adaptive capacity	915	4	0%	5 029	1 221	24%	1 199	40	3%			#DIV/0!	7 143	1 265	18%
Investing in Sustainable Livelihoods	8 587	5 227	61%	755	429	57%	1 859	1 572	85%	3 510	3 167	90%	14 711	10 394	71%
Project Coordination	1 429	1 010	71%	218	73	33%	786	721	92%	374		0%	2 807	1 805	64%
Sub-total	**10 931**	**6 242**		**6 002**	**1 723**		**3 844**	**2 333**		**3 884**	**3 167**		**24 661**	**13 464**	
Oustanding advance		1 177			725								0	1 902	
TOTAL	**21 862**	**13 660**	**62%**	**12 004**	**4 171**	**35%**	**7 688**	**4 666**	**61%**	**7 768**	**6 334**	**82%**	**49 322**	**28 830**	**58%**



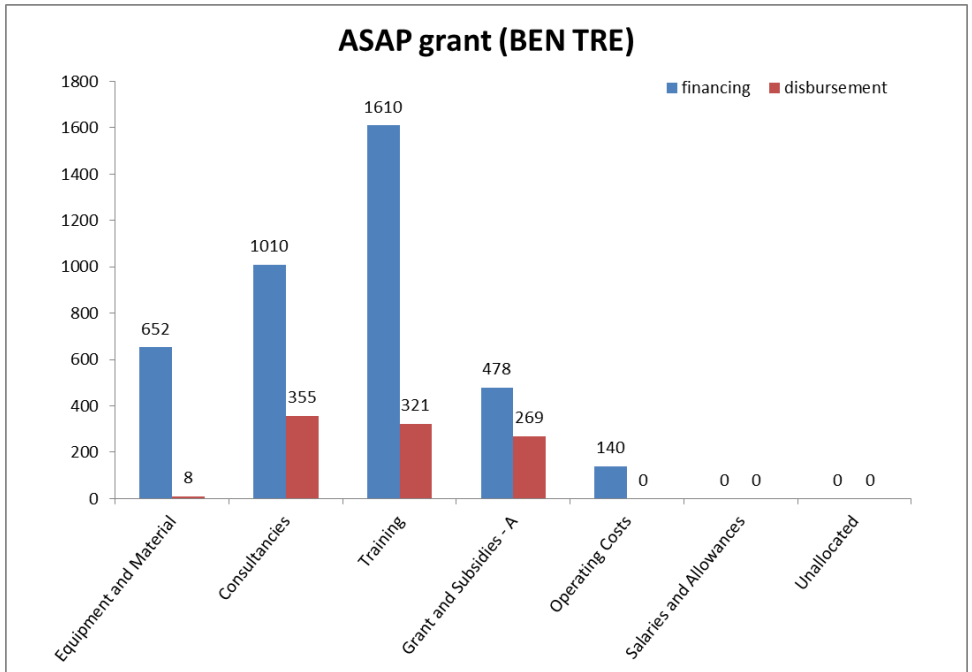


Table 5C: BEN TRE IFAD Loan disbursement *(SDR, as at 31 August 2018)*

CATEGORY:	Original Allocation *(SDR)*	Revised Allocation (18/01/2018) *(SDR)*	Disbursement *(SDR)*	W/A pending No. 15,16,18 *(SDR)*	Balance *(SDR)*	% Disbursed* *(SDR)*
Works	1 330 000	1 729 000	1 300 560	279 530	428 440	75%
Equipment and Material	260 000	260 000	138 929	514	121 071	53%
Consultancies	430 000	430 000	68 266		361 734	16%
Training	800 000	800 000	240 945	46 631	559 055	30%
Credit, Guarantee Funds	1 050 000	1 050 000	1 057 351		-7 351	101%
Grant and Subsidies - A	1 010 000	1 111 000	430 018	155 667	680 982	39%
Grant and Subsidies - B	580 000	780 000	181 552	131 485	598 448	23%
Operating Costs	380 000	380 000	93 131	53 455	286 869	25%
Salaries and Allowances	560 000	560 000	272 336	61 565	287 664	49%
Unallocated	700 000				0	
Sub-Total	***7 100 000***	***7 100 000***	***3 783 089***	***728 847***	***3 316 911***	***53%***
Initial deposit			*1 513 715*		*-1 513 715*	
TOTAL	***7 100 000***	***7 100 000***	***5 296 803***	***728 847***	***1 803 197***	***75%***
** excluding pending WAs*			4 511 935.65			64%

Table 2C: BEN TRE IFAD Grant disbursement *(SDR, as at 31 August 2018)*

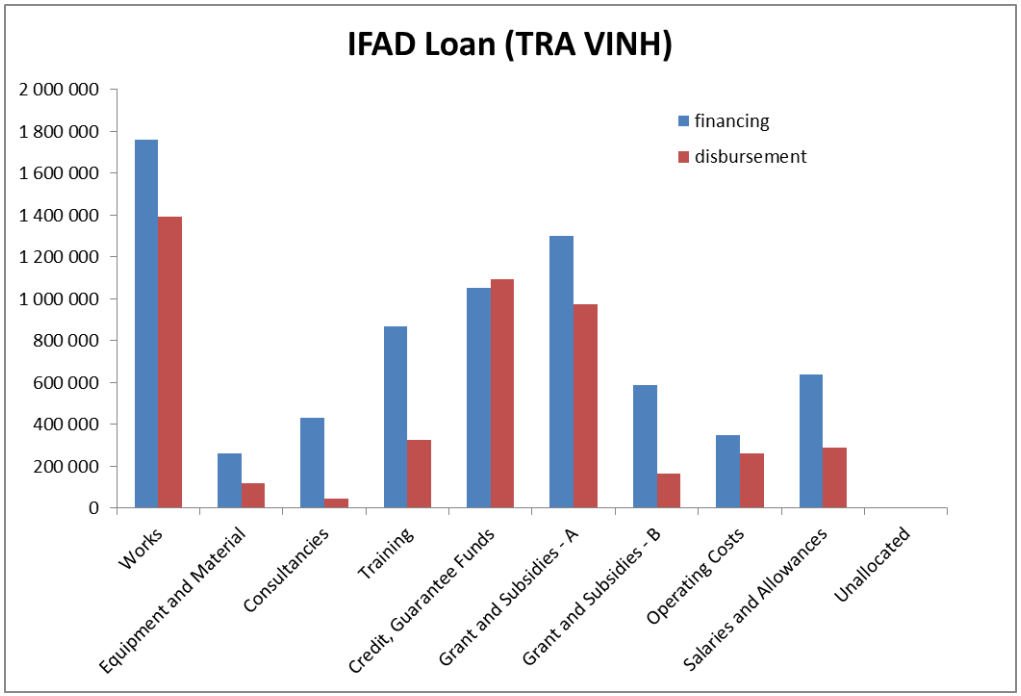
CATEGORY:	Original Allocation *(SDR)*	Revised Allocation (18/01/2018) *(SDR)*	Disbursement *(SDR)*	W/A pending No. 11,12 *(SDR)*	Balance *(SDR)*	% Disbursed* *(SDR)*
Equipment and Material	300 000	652 000	7 975		644 025	1%
Consultancies	1 010 000	1 010 000	355 247	94 749	654 753	35%
Training	1 610 000	1 610 000	320 949	93 040	1 289 051	20%
Grant and Subsidies - A	440 000	478 000	268 640	42 015	209 360	56%
Operating Costs	140 000	140 000			140 000	0%
Salaries and Allowances	0	0			0	
Unallocated	390 000				0	
Sub-Total	***3 890 000***	***3 890 000***	***952 811***	***229 804***	***2 937 189***	***24%***
Initial deposit			*712 862*		*-712 862*	
TOTAL	***3 890 000***	***3 890 000***	***1 665 673***	***229 804***	***2 224 327***	***43%***
** excluding pending WAs*			1 182 614.84			30%
LOAN + GRANT	***10 990 000***		***6 962 476***			***63%***

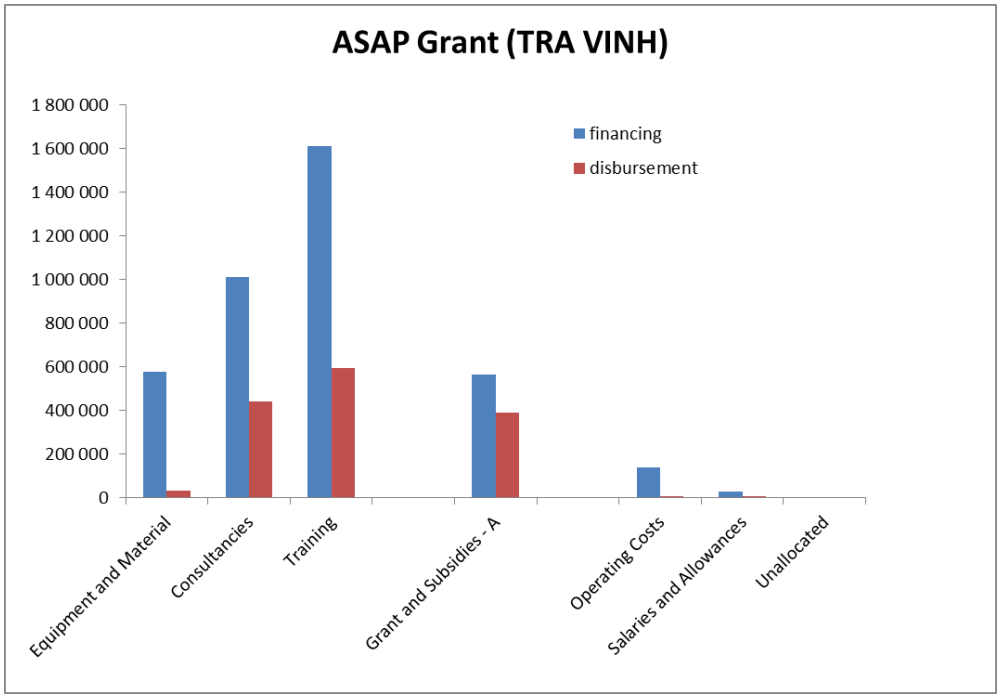
Table 2A: TRA VINH Financial performance by FINANCIER *(USD 000, as at 31 August 2018)*

FINANCIER:	Appraisal *(USD 000)*	Disbursement *(USD 000)*	Disbursed *%*
IFAD loan	11 130	7 597	68%
IFAD grant	6 033	2 183	36%
Government	3 800	2 331	61%
Beneficiaries	3 885	4 300	111%
TOTAL	**24 848**	**16 411**	**66%**

Table 2B: TRA VINH Financial performance by COMPONENT *(USD 000, as at 31 August 2018)*

	IFAD loan			IFAD grant			Government			Beneficiaries			**TOTAL**		
COMPONENT:	Appraisal *(USD 000)*	Actual *(USD 000)*	%	Appraisal *(USD 000)*	Actual *(USD 000)*	%	Appraisal *(USD 000)*	Actual *(USD 000)*	%	Appraisal *(USD 000)*	Actual *(USD 000)*	%	Appraisal *(USD 000)*	Actual *(USD 000)*	%
Building adaptive capacity	909		0%	5 028	1 480	29%	1 161	30	3%				7 098	1 510	21%
Investing in Sustainable Livelihoods	8 723	6 440	74%	750	655	87%	1 857	1 528	82%	3 885	4 300	111%	15 215	12 923	85%
Project Coordination	1 498	1 157	77%	254	48	19%	782	773	99%				2 534	1 978	78%
Sub-total	**11 130**	**7 597**		**6 032**	**2 183**		**3 800**	**2 331**		**3 885**	**4 300**		**24 847**	**16 412**	**66%**
Oustanding advance		426			814								0	1 240	
TOTAL	**11 130**	**8 024**	**72%**	**6 032**	**2 997**	**50%**	**3 800**	**2 331**	**61%**	**3 885**	**4 300**	**111%**	**24 847**	**17 652**	**71%**





TRA VINH Province

Table 2C: TRA VINH IFAD Loan disbursement *(SDR, as at 31 August 2018)*

	CATEGORY:	Original Allocation *(SDR)*	Revised Allocation (18/01/2018) *(SDR)*	Disbursement *(SDR)*	W/A pending No. 19L-TV; 20 L-TV *(SDR)*	Balance *(SDR)*	% Disbursed* *(SDR)*
I	Works	1 340 000	1 760 000	1 391 350.89	408 367.49	368 649	79%
II	Equipment and Material	260 000	260 000	121 048.49		138 952	47%
III	Consultancies	430 000	430 000	47 524.81	20 574.17	382 475	11%
IV	Training	870 000	870 000	324 388.92	58 082.58	545 611	37%
V	Credit, Guarantee Funds	1 050 000	1 050 000	1 091 741.13	-41 741.13	-41 741	104%
VI a	Grant and Subsidies - A	1 020 000	1 300 000	972 420.99	176 156.86	327 579	75%
VI b	Grant and Subsidies - B	590 000	590 000	163 411.66	59 589.14	426 588	28%
VII	Operating Costs	350 000	350 000	261 648.26	48 292.29	88 352	75%
VIII	Salaries and Allowances	640 000	640 000	291 048.42	53 296.35	348 952	45%
	Unallocated	700 000				0	
	Sub-Total	***7 250 000***	***7 250 000***	***4 664 584***	***782 618***	***2 585 416***	***64%***
	Initial deposit			*1 066 749*		*-1 066 749*	
	TOTAL	***7 250 000***	***7 250 000***	***5 731 332***	***782 618***	***1 518 668***	***79%***
	** excluding pending WAs*			5 447 201.32			75%

Table 2C: TRA VINH IFAD Grant disbursement *(SDR, as at 31 August 2018)*

	CATEGORY:	Original Allocation *(SDR)*	Revised Allocation (18/01/2018) *(SDR)*	Disbursement *(SDR)*	W/A pending No. 17 G-TV *(SDR)*	Balance *(SDR)*	% Disbursed* *(SDR)*
II	Equipment and Material	300 000	576 800	32 280	1 287	544 520	6%
III	Consultancies	1 010 000	1 010 000	441 725	18 944	568 275	44%
IV	Training	1 610 000	1 610 000	593 304	84 484	1 016 696	37%
VI a	Grant and Subsidies - A	440 000	563 200	392 065	49 089	171 135	70%
VII	Operating Costs	140 000	140 000	5 300		134 700	4%
VIII	Salaries and Allowances	30 000	30 000	7 509		22 491	25%
	Unallocated	400 000				0	#DIV/0!
	Sub-Total	***3 930 000***	***3 930 000***	***1 472 183***	***153 804***	***2 457 817***	***37%***
	Initial deposit			*696 602*		*-696 602*	
	TOTAL	***3 930 000***	***3 930 000***	***2 168 786***	***153 804***	***1 761 214***	***55%***
	** excluding pending WAs*			1 625 987.24			41%
	LOAN + GRANT	***11 180 000***		***7 900 118***			***71%***

IFAD
Investing in rural people

Viet Nam

Project for Adaption to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces

Supervision Report

Appendix 2: Physical progress measured against AWP&B

Mission Dates:	10-25 September 2018
Document Date:	29/10/2018
Project No.	1100001664
Report No.	4886-VN

Asia and the Pacific Division
Programme Management Department

Appendix 1: Physical progress measured against AWP&B

Objectives/Expected Results	Indicators		Implementation targets						In which (No. of benificiaries)		
	Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
Component 1: Building adaptive capacity - Objective: A comprehensive agriculture sector CC adaptation management framework operating with participating communities, institutions and provinces	At least 30,000 people (Ben Tre: 15,000; Tra Vinh: 15,000) trained on climate-informed farming system and technology.(**)		15.000	NT	55.026	-	2.172	-	18.026	14.456	15.552
		70% of households and agro-businesses in project communes able to articulate climate-informed SEDP. (**)	NT		70,4	70,4	-	-	42%	36,6%	36,6%
		At least 70% of farmers and aquaculturists registered with the project's automated salinity monitoring system using the salinity intrusion data of the system to make a decision on water use. (poverty/gender/ethnicity). (**)	NT	-	0	0	0	0	0	0	0

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
			At least 8 different viable pro-poor climate resilient farming system packages , each adopted by more than 400 poor & near poor households	08	NT	4	88	4	88	64	50	62
Subcomponent 1.1. Climate Change Knowledge Enhancement												
1.1.1: Participative development of gender sensitive models for farmers & aquaculturists to formally engage in climate resilient, profitable, production.												
1.1.1.1	Review, modify, and select the list of adaptive non-agricultural models	List of selected specific models		NT	1	2	-	-	-	36	15	0
1.1.1.1	Review, modify, consult and analyze adaptive models (cost-benefit analysis)	List of selected specific models		NT	1	1	100	1	100	-	-	-
1.1.1.5	Consultation workshop with stakeholders on farming system packages suitable for different ecological regions; Introduce identified farming system packages to CCA Fund's target groups/ suitable for poor /near-poor households outside the project communes.	Nr. of farming system packages identified		NT	TBM	16	-	16	-	-	-	-
		Nr. of households involved in farming system packages		NT	TBM	103 households (under 4 packages being implemented)	-	103 households (under 4 packages being implemented))	-	64	50	62

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
1.1.1.6	Implement testing/demonstrating models in agriculture and aquaculture sectors	Nr. of models tested/demonstrated		08	30	29	537	29	93	11	23	6
1.1.1.6.1	Payment made for testing/demonstrating models implemented by DARD (2017)	Nr. of models accepted, paid		-	10	25	250	7	70			
		Nr. of households involved in each model		-	30	149	500	19	63	5	3	0
1.1.1.6.2	Payment made for testing/demonstrating models implemented by districts (2017)	Nr. of models accepted, paid		-	18	15	83	5	28			
		Nr. of households involved in each model		-	36	60	166	23	64	2	4	1
1.1.1.6.3	Investment in testing irrigation system using renewable energy technology for production	Nr. of models tested/demonstrated		NT	1	1	100	1	100			
		Nr. of households involved in each model		NT	20	1	5	1	5	0	1	0
1.1.1.6.4	Investment in peanut growing model (for seeds) in rainy season	Nr. of models tested/demonstrated		NT	1	-	-	It is expected to demonstrate 3ha for 1 household	-			
		Nr. of households involved in each model		NT	10	-	-	-	-	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
1.1.1.8	Contract TA to evaluate testing models in 2016 and documentation of successful models for upscaling	At least 1 TA package implemented		NT		1	100%	1	100%	-	-	-
1.1.1.8	Contract TA to evaluate testing models (provincial and district levels) and documentation of successful models for upscaling	Nr of models upscaled		5	1	1	100	1	100	-	-	-
1.1.1.8	Contract TA to identify, select and document adaptive models in 2017 for upscaling	Nr of models upscaled		NT	1	1	100	1	100	-	-	-
1.1.1.2: Implementation of testing/upscaling models in PAR method												
1.1.1.2.1	Community consultation using PAR method to select adaptive models		Nr. of meetings organized	NT		7	100	-	-	-	-	-
			Nr. of people consulted	NT		601	100	-	-	132	108	-
1.1.1.2.2	Workshop on adaptive model selection		Nr. of workshops organized	NT		4	-	-	-	-	-	-
			Nr. of participants	NT		297	-	-	-	83	17	-
1.1.1.2.3	Workshop to introduce selected livelihoods models for further testing and replicating in 30 project communes		Nr. of workshops organized	NT		1	-	-	-	-	-	-
			Nr. of participants	NT		75	-	-	-	28	19	5
1.1.1.2.5	Evaluation of testing/upscaling models using PAR method		Nr. of evaluation workshop with the participation of community held	NT		1	-	-	-	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
			Nr. of participants	NT		16	-	-	-	8	-	1
1.1.1.3 Implementation of new CC adaptive models and studies												
1.1.1.3.2	Implementing the applied research topics and scope of research under IFAD guidelines		Nr of research topics implemented	NT	12	12	450	3	150	-	-	-
1.1.1.4 Value chain development planning, market accessing, economic analyzing for integrating into SEDPs												
1.1.1.4.2	Hiring consultant to train TOT on 3 topics: value chain, market, cooperative economy		Procedures for hiring consultant completed	NT		1	-	0	-	-	-	-
1.1.1.4.3	TOT training couers on 3 topics: value chain, market, cooperative economy	% of staff can apply the skills and knowledge from the training to the actual work	Nr. of training organized	NT		1	-	1	-	-	-	-
			Nr of participants	NT		31	-	31	-	7	-	-
1.1.1.4.4	Training course on value chain, market, cooperative economy	% of participants in training received training content	Nr. of training organized	NT		87	300	23	79,3	-	-	-
			Nr of participants	NT		3491	300	862	75	866	966	203
1.1.1.4.4	Training in restructuring the agricultural sector for staff and officers at district and commune levels	Nr. of training organized		NT	25	93						
		Nr of people trained		NT	1250	3721						
1.1.1.4.5	Hiring consultant to train the planning method for upgrading the value chains		Procedures for hiring consultant completed	NT		1	-	-	-	-	-	-
1.1.1.4.7	Planning for the value chains development (short chain) at commune level (Identify difficulties and solutions to improve the efficiency of		Nr. of events organized	NT		78	-	-	-	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
	investment activities (adaptive infrastructure, CCA, PP-P ...)		Nr of participants	NT		3192	-	-	-	832	702	62
1.1.1.4.8	Upgrading existing key chains (province) and new (commune) chains (in-depth analysis of the six value chains) to identify appropriate investment (adaptive infrastructure, CCA, PP- P ...		Nr of upgraded plans issueds	06		7	100	-	-	-	-	-
1.1.1.4.13	Promoting trade activities of agricultural products in rural areas (linking consumption of agricultural products, CCA, PP-P ...)		Nr. of workshop organized	NT	TBM	7	NT					
			Nr of participants	NT	TBM	223	NT					
	Organizing market linkage events (PPP, CCA, etc) at district and commune levels	Nr. of workshop organized		NT		7	700	3	300	-	-	-
	Participate in trade fairs to introduce, promote, link products invested by the project in the province; Support enterprises promote their products outside the province	Nr. of workshop organized		NT		4	133	2	66,6	-	-	-
1.1.1.4.14	Contract a TA group to develop a peanut growing process in rainy season	Nr. of consutants hired		NT	1	1	100	1	100	-	-	-
1.1.1.4.15	Consulative workshop peanut growing process in rainy season	Nr. of workshop organized		NT	2	0	0	0	0			
		Nr of participants		NT	100	0	0	0	0	-	-	-
1.1.1.4.16	Project on development of adapted agricultutural high technology in Tra Vinh until 2025, orientation to 2030	Nr. of consutants hired		NT	1	NEW	0	0	0	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
1.1.1.4.17	Project on development of plants and domestic animals to create key products with competitive advantages in Tra Vinh province to 2025, orientations to 2025	Nr. of consutants hired		NT	1	NEW	0	0	0	-	-	-
1.1.1.4.18	Contract TA to develop a production standard set towards organic/VietGap for some key products at provincial, district and commune levels	Nr. of consutants hired		NT	2	NEW	0	0	0	-	-	-
1.1.2: Develop the automated salinity monitoring stations and the multifunctional data platform												
1.1.2.2	Contract international and domestic consultants to provide TA: analyze the system and recommend specifications; develop a knowledge system on monitoring, information transmission and dissemination	The economic and technical report drafted		NT	1	1	-	1	-	-	-	-
1.1.2.3	Development of an automatic salinity forecasting and water quality monitoring system under the project Adaptation to Climate Change in the Mekong Delta (AMD) in Ben Tre and Tra Vinh Provinces, Vietnam	Nr of stations installed, operated		30	15	0	-	-	-	-	-	-
1.1.2.3	Pilot investnent in buoys and points to automatically measure salinity level, pH, water level on fields for agricultural production	Nr.of buoys installed and put into operation		NT	6	6	100	6	100	-	-	-
1.1.2.13	Field visit to study on management and operation of the monitoring system for technical staff and leaders to Holland and advanced countries	Nr of event organized		NT	TBM	0	0	0	0			
		Nr of participants		NT	TBM	0	0	0	0	-	-	-
1.1.2.14	Contract short-term TA to support activities on climate change for AMD project in Tra Vinh and Ben Tre provinces	Nr. of consulting packages carried out		NT	1	NEW	0	0	0	-	-	-
1.1.3: Knowledge management and dissemination												
1.1.3.3.3	**Systemize the knowledge outputs**											
1.1.3.3.3	- Adaptation to climate change programme on Tra Vinh television station		Nr of programmes carried out	NT	12	39	325	12	100	-	-	-
1.1.3.3.3	- Document successful stories from CCA and PPP Funds,...	Nr of successful stories released		NT	NT	0	0	0	0	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
1.1.3.3.4	Printing: successful stories, work maintenance manuals,….	Nr of publications shared		NT	NT	82000	-	900	-	-	-	-
1.1.3.3.5	Communication conferences on the project; disseminate tools, financial resources of the project for climate-informed SEDP planning.	Nr of events organized		NT	8	8	100	8	100			
		Nr of people participated		NT	NT	803	-	803	-	270	236	0
1.1.3.4	**Training of trainers (ToT)**											
1.1.3.4.2	Provide adaptive production technique training for the households and collaborative groups that are invested by CCA Fund	Nr of courses organized		NT	125	362	369	29	23			
		Nr of participants		NT	1900	9733	698	521	27	257	242	292
	Training in presentation, debate, criticism skills; teamwork skill	Nr of courses organized		6	1	1	100	1	100			
		Nr of participants		NT	120	51	33	51	33	25	14	0
	Provide training in establishment process of collaborative group (founder, regulation, charter, collaborative contract, ect) for CCA Fund's potential clients, collaborative groups linking with PPP enterprises	Nr of courses organized		NT	32	36	112	4	11	-	-	-
		Nr of participants		NT	1325	1490	112	165	12	582	669	747
	Training in trademark, brand name design, bar code, QR code for enterprises	Nr of courses organized		NT	2	2	100	2	100			
		Nr of participants		NT	60	107	178	107	178	40	29	0
1.1.3.4.3	Organizing study tours	Nr of events organized		NT	5	18	360	5	85	35	26	0
	Workshops to share and replicate the testing models, CCA models and successful models in 2017	Nr of workshops organized		NT	2	1	50	1	50			
		Nr of participants		NT	200	75	38	75	38	11	16	0
	Workshops to share and replicate the testing models, CCA models and successful models in 2017	Nr of workshops organized		NT	19	2	11	2	11			
		Nr of participants		NT	1600	268	17	268	17	32	81	45
1.1.3.4.5	Workshop on the establishment of cooperative group based on value chains - access to CCA funding	Nr of workshops organized		NT	-	90	-	0	-	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
		Nr of participants		NT	-	1710	-	0	-	790	727	825
Sub-component 1.2: Climate-informed SEDP												
1.2.1: Preparation activities to integrate disaster risk reduction and community based adaptation into SEDPs												
1.2.1.1	Hiring consultants to train ToT for key provincial and district staff on awareness raising on community-based disaster risk management.	Number of packages hired		NT		1	100	1	100	-	-	-
	TOT training on awareness raising on community-based disaster risk management	% of staff apply the skills and knowledge from the training to the actual work	Nr of courses organized	NT		2	200	1	100	-	-	-
			Nr of people participated	NT		75	250	30	100	16	8	-
1.2.1.2	Training community on awareness raising on community-based disaster risk management	Nr of courses organized		NT		218	375	53	91	-	-	-
		Nr of participants		NT		8705	375	1923	83	2107	2024	469
	Training of key staff in provincial and district levels on awareness raising on community-based disaster risk management	Nr of courses organized		NT		9	100	1	100	-	-	-
		Nr of participants		NT		357	82,5	66	82,5	70	29	0
	Hiring Consultants to train on capacity building to assess the vulnerability of climate change and adaptation measures in the SEDP process.	Số gói tư vấn được thực hiện		2	2	100	1	100	50	1	0	0
	Training course on capacity building to assess the vulnerability of climate change and adaptation measures in the SEDP process for key staff and SEDP working groups.	Nr of courses organized		16	3	3	100	3	100			
		Nr of participants		NT	120	238	200	238	200	67	30	0
1.1.2.3.12	Workshop on climate change for key staff of provincial and district agencies	Nr of workshops organized		17	1	0	0	0 (it's expected to be implement	0			

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
								ed in quarter 3)				
		Nr of participants		NT	60	0	0	0	0	-	-	-
1.2.2: The Provincial Department of Planning & Investment have guidelines and tools for market oriented, climate smart SEDP planning and the capacity to independently train district and commune staff in market oriented strategic planning												
1.2.2.1	Workshop to complete the SEDP Manual		The climate informed SEDP manual is completed	NT	-	1	-	-	-	-	-	-
1.2.2.11	Hiring consultants to develop the district-level adaptive SEDP process manual		The climate informed SEDP is drafted	NT	-	2	200	1	100	-	-	-
1.2.2.3	Organizing study tours in the province are implementing SEDP to integrate climate change well	Nr of events orginazed		NT		1	-	-	-	-	-	-
		Nr of participants		NT		20	-	-	-	5	-	-
1.2.2.4	Printing SEDP manual at district and commune levels	Nr of manual printed		NT		4500	166	2700	100	-	-	-
1.2.2.5	Organizing workshop to implement SEDP to adapt to climate change, reduce disaster risk and sustainable poverty reduction in 2018 in the whole province.	Nr of workshops organized		NT	1	8	800	1	100	-	-	-
		Nr of participants		NT	140	505	360	117	84	39	5	0
1.2.2.6	Training the process of setting up SEDP integrating climate change for trainers (ToT)	Nr of trainings orginazed		NT		4	200	2	100	-	-	-
		Nr of participants		NT		113	226	50	100	45	11	-
1.2.2.7	Training SEDP manual for commune SEDP staff	Nr of trainings orginazed		NT		108	372	29	100	-	-	-
		Nr of participants		NT		2991	206	1110	77	765	772	2
1.2.2.7	Guiding the SEDP to adapt to climate change, reduce disaster risk and sustainable poverty reduction for District-level SEDP staff (*training on use of software)*	Nr of events orginazed		NT	3	12	400	3	100	-	-	-
		Nr of participants		NT	90	229	254	58	64	24	5	0

Objectives/Expected Results		Indicators		Implementation targets							In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)		Female	Khmer	Poor, near poor
1.2.2.7	Implementing dapted 2016 SEDP (cumulative monitoring)	Nr of people involved in the commune SEDP process		NT		44569	-	24420	-		16101	93 45	7610
1.2.2.10	Meetings at the district level to consider the AWPBs of the project communes in the district	Nr of events organized		NT	7	21	300	7	100		55	25	0
		Nr of participants		NT	140	387	276	130	93				
1.2.2.10	Organizing meetings to summarize the SEDP making at district and commune levels	Nr of workshops organized		NT	1	1	100	Not yet	-		-	-	-
		Nr of participants		NT	140	90	67	-	-		44	7	-
1.2.3. Policy dialogues													
1.2.3.1	Evaluating action plan for implementation of the target program for climate change adaotation in Tra Vinh province, issued under the Decision No. 264/QĐ-UBND and developing the plan to respond to climate change in Tra Vinh province in 2016-2020.		Review, analyze and evaluate the implementation of the action plan in accordance with the Decision No.264/QĐ-UBND	NT	-	1	-	-	-		-	-	-
1.2.3.2	Investigating and mapping the status of underground water exploitation in districts of AMD project (except for Cang Long district)	The status map of underground water exploitation on a scale of 1/10,000 established		NT	1	-	-	-	-		A plan developed. However, due to the fact that some of the works are identical with the underground water resources planning project, the		

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
										implementation of the project will not be continued.		
	Conduct a survey on the community's awareness about climate change and provide solutions to improve the communication on climate change (moved from 2017)	An evaluation report and recommendations		NT	1	1	100	1	100	There were 1824 votes collected in 03 groups of officials, farmers and students		
	Contract TA to develop the provinces' climate change scenarios to map key climate risks and the areas likely to be affected	Climate change scenarios of MARD for Tra Vinh province updated		2	1	1	100	1	100	Continue to implement the following contents: climate change mapping, synthesis report and consultation workshop of stakeholder		
	Project on classification of agricultural land in Tra Vinh province	Classification of agricultural land approved by PPC		2	1	NEW	-					
	The survey on evaluation and identification of areas subject to underground water exploitation registration in Tra Vinh province	The plan approved by PPC		2	1	NEW	-					
1.2.3.3	Hiring consultants to design the coordination and management strategy for CCCO		The provincial strategy approved	NT		1	-	-	-	-	-	-
1.2.3.4	Hiring consultants to design website for CCCO		Website was built, staff trained to operate	NT		1	-	-	-	-	-	-
1.2.3.5	Royalties for news, articles, photos published on the webpage	Royalties		NT	1	3	300	1	100	-	-	-
1.2.3.6	Equipment for DONRE laboratory for water quality analysis (including cost evaluation)		Equipment procured and staff trained to operate	1		1	-	-	-	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
1.2.3.7	CCCO's equipment		Equipment procured and staff trained to operate	1		2	-	-	-	-	-	-
1.2.3.10	Cover salaries and allowances of CCCO's staff		Timely support from AMD to ensure the operation of the Provincial CCCO	6	1	4	400	1	100	-	-	-
1.2.3.11	Cover the operation costs for the CCCO		Timely support from AMD to ensure the operation of the Provincial CCCO	6	1	4	400	1	100	-	-	-
1.2.3.12	Provincial and inter-provincial workshops on the policy to respond to climate change	Nr of workshops organized		NT	1	1	100	0 (the plan completed)	0			
		Nr of participants			60	60	100	0	0	28	0	0
1.2.3.12	Provincial and district level workshops, introduction of climate change scenarios at provincial level to map risks of climate change and vulnerable areas	Nr of workshops organized		NT	10	NEW						
		Nr of participants			1000	NEW						
Component 2: Investing in sustainable livelihoods - Objective: Increased and more inclusive financing for market oriented, climate smart agriculture and agri-business investments		50% of households (who are in need of credit) in project communes are able to access credit for climate resilient farming activities		50%	NT	65,2	130	65,2	130	-	-	-
			100 (BT: 50; TV:50) new enterprises/cooperatives at commune level (medium, small, micro) environmental sustainability in project communes remain profit	50	NT	148	NT	-	-	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
			operation after the project completion									
			Less than 5% non-performing loans in WU SCG portfolios	5	NT	0,85	17	0,85	17	-	-	-
Sub-component 2.1: Rural finance for Resilient Livelihoods												
Đầu ra 2.1.1: Establishment of new credit groups												
2.1.1.1	Introducing CCA in 30 new communes in 7 districts	Nr of events organized		NT		67	223%	23	77%	-	-	-
		Nr of participants		NT		1595	152%	460	44%	198	-	-
2.1.1.2	TOT training on group/cluster establishment skills and book management and member management skills	Nr of training organized		NT		1	-	-	-	-	-	-
		Nr of participants		NT		41	-	-	-	39	16	-
2.1.1.3	Training on group/cluster establishment skills and maintain activities of the CGs, SCGs for 30 communes	Nr of training organized		NT	30	60	200%	23	100%	-	-	-
		Nr of participants		NT	1050	1392	132%	471	45%	116	0	0
2.1.1.4	Hiring consultants to review and evaluate the operation of the Fund system, strategic plan; Proposing activities to improve the operational and professional management capacity and the Government's regulations to implement the transition roadmap to microfinance.			NT	1	2	200	Steps prepared	0	-	-	-
2.1.1.5	Conducting propaganda to target groups in hamlets of 30 communes	Nr of events organized		NT	211	458	99%	170	81%	-	-	-
		Nr of participants		NT	10550	18927	63%	5221	63%	18927	4526	2849

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
2.1.1.7	Printing manuals and accounting documents			NT	-	1	-	-	-	-	-	-
2.1.1.7	Training on capacity building for staff at all levels	Nr of training organized		3	3	-		-				
		Nr of participants		NT	77	-		-				
2.1.1.7.2	Attending professional accounting courses on digital financial services, management models, business plans and product development, human resources manageme	Nr of training organized		4	4	2	50	2	50			
		Nr of participants		NT	14	6	43	6	43	4	3	0
2.1.2: Women's Union Social Funds and/or transformed into viable Micro-Finance Institutions capable of financing private farmers, traders and commercial value chains												
2.1.2.5	Disburse loans to SCGs		Nr of SCGS	560	295	1317	1317	235	238	-	-	-
			Nr of borrowers	NT	9427	8167	966	822	9	8167	2651	2598
			Nr of people saving	13200	TBM	8969	-	492	-	8929	2905	2598
			Total value of loan (million VND)	33.851	70.988	42.913	60	42.913	60	-	-	-
2.1.2.2	TOT training course on household economy management.	% of staff can apply the skills and knowledge from the training to the actual work	Nr of training organized	NT		2	-			-	-	-
			Nr of participants	NT		39	-			33	3	-
2.1.2.3	Training on capacity building for members using loans on household economy management.	% of members can apply skills and knowledge from the training to the actual work	Nr of training organized	NT		110	-			-	-	-
			Nr of participants	NT		3122	-			2423	687	87

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
2.1.2.8	Providing capacity building trainning for Fund's staff at all level		The fund is supported by working facilities	7	2	7	350			-	-	-
2.1.2.6	Providing management software for the Fund		Software is built satisfactorily	NT		1	-			-	-	-
2.1.2.11	Support salary, allowance for WDAF staff		Timely support from AMD to ensure the operation of the WDF	NT		2	100			-	-	-
2.1.2.9	Providing operational support to the WDF Fund		Timely support from AMD to ensure the operation of the WDF	NT		2	100			-	-	-
2.1.2.13	Workshop on implementation, preliminary review and final review of the implementation of the Fund		Nr of workshops organized	NT		5	-	1	-	-	-	-
			Nr of participants	NT		552	-	100	-	390	77	-
2.1.2.11 (cũ)	Study tours in some provinces		Nr of events organized	NT	-	4	-	-	-	-	-	-
			Nr of participants	NT	-	42	-	-	-	41	8	-
2.1.2	**2.1.2: Farmers and agribusinesses can more easily access credit from diversified financial service providers**											
2.1.2.7.2	Workshop on rural finance under commodity value chains (coordinated with DoIT to link the rice products in Can Tho)	Nr of workshops organized		3	1	1	1	1	1			
		Nr of participants		TBM	200	107	54	107	54	30	5	0
Sub-component 2.2: Investing in Climate Change Adaptation												
2.2.1: Climate resilient, risk reducing, small-scale commune works and infrastructure constructed												
2.2.1.1	Training to improve the capacity of investment management, bidding and distraint for the commune project management board	% of staff can apply the skills and knowledge	Nr of courses organized	NT		3	-	-	-	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
		from the training to the actual work	Nr of participants	NT		192	-	-	-	74	17	-
2.2.1.2	Synthesizing the list of proposed investment works from project communes			NT	1	2	200%	2	100%	-	-	-
2.2.1.3	Training to improve the management capacity for 30 communes		Nr of courses organized	NT		1	100%			-	-	-
			Nr of participants	NT	70	55	76%	55	76%	20	9	-
2.2.1.4	Organzing SEDP review meetings of the commune to identify the portfolio and allocate funds according to the competitive criteria		Nr of events organized	NT	-	30	-	-	-	-	-	-
2.2.1.5	Field trip to monitor and supervise the infrastructure progress		Nr of events organized	-	-	352	-	-	-	-	-	-
2.2.1.10	Provide training in maintainance of works	Nr of courses organized		30	19	29	153	18	95			
		Nr of participants		NT	570	606	106	325	57	75	239	59
2.2.1.12	Disbursement for works		The value of the investment (Million dong)	86.401	34.949	79.924	92,5	34949	100	-	-	-
2.2.1.2 The Aquaculture Diagnostic Center To Enhance The Quality Of Brackish Water Shrimp												
2.2.1.2.1	The project on the development of The Aquaculture Diagnostic Center To Enhance The Quality Of Brackish Water Shrimp In Travinh Province	The diagnostic center put into operation		1	1	1	100	1	100	-	-	-
2.2.2: Poor and near poor households can affordably invest in profitable climate adaptation technology												

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
2.2.2.1	Provincial workshop on CCA operational manual for adaptation activities		Nr of courses organized	NT	-	1	-	-	-	-	-	-
			Nr of participants	NT	-	50	-	-	-	19	-	-
2.2.2.3	Technical training on model identification and cost-benefit analysis	% of staff can apply the skills and knowledge from the training to the actual work	Nr of courses organized	NT		1	100	-	-	-	-	-
			Nr of participants	NT		49	123	-	-	24	5	-
2.2.2.5	Workshop to introduce CCA fund	Nr of courses organized		NT	57	68	119	35	61	-	-	-
		Nr of participants		NT	2773	3752	135	1739	63	695	746	729
2.2.2.4 (old)	Training in process coordination skills for staff	% of staff can apply the skills and knowledge from the training to the actual work	Nr of courses organized	NT		1	-	-	-	-	-	-
			Nr of participants	NT		49	-	-	-	-	-	-
2.2.2.4	Training on business planning skills for potential beneficiaries of the co-financing fund (including mass organizations)	Nr of courses organized		NT	56	121	168%	32	57	-	-	-
		Nr of participants		NT	1966	4397	202%	1190	61	571	594	666
2.2.2.6	Introducing CCA to the target benificiaries in each commune	Nr of courses organized		NT		30	-	-	-	-	-	-
		Nr of participants		NT		2124	-	-	-	670	995	604
2.2.2.8	CCA Board, CPMU, DPST meetings, review meeting, CCA implementation monitoring	Nr of courses organized		NT	17	36	-	7	-	-	-	-
		Nr of participants		NT	250	459	-	66	-	143	21	4

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
2.2.2.10	Investmengt in climate change adaptation will be cofinanced	Number of CIG/CG co-financed		NT	164	425	259	146	89			
		Nr of participants		3000	1832	3916	213	1333	73	708	891	630
2.2.2.11	Training skills for the establishment, management, operation of groups, and bookkeeping (for CCA recipients)	% of members can apply the skills and knowledge from the training to the actual work	Nr of courses organized	NT		28	NT			-	-	-
			Nr of participants	NT		290	NT			83	191	204
2.2.3: P-PP funds allocated competitively, enabling SMEs, CIGs & Co-ops to invest in sustainable, climate smart production & raise working standard and opportunities for labourers												
2.2.3.1	Provincial workshop to adopt PPP manual		Nr of courses organized	NT		1	-			-	-	-
			Nr of participants	NT		57	-			15	3	-
2.2.3.3	Workshop to introduce PPP Fund to potential enterprises		Nr of workshops organized	NT	1	4	400	1	100	-	-	-
			Nr of participants	NT	70	146	208	30	43	55	10	0
2.2.3.4	Provide training for potential enterprises on development of PPP proposals	Nr of course organized		NT	1	4	400	-	-	-	-	-
		Nr of people trained		NT	25	28	107	-	-	11	0	0
2.2.3.7	Carry out the steps as prescribed in the PPP manual (calling for proposals, receiving proposals, quick scanning, conducting technical evaluation of proposals,...)	The steps implemented in an adequate and transparent manner		NT	1	3	300	1	100	-	-	-
2.2.3.9	Contract TA to develop subprojects for PPP enterprises	Nr of people/month hired		NT	12	10	83	3	25	-	-	-
2.2.3.7	Study tour to learn successful and share PPP experiences in Ha Giang and Quang Binh	Nr of events organized		NT	2	1	50	1	50			
		Nr of participants		NT	30	14	47	14	47	1	0	0

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
2.2.3.9	Contract TA to evaluate 5 subprojects that will end in 2018 to withdraw lessons learned	Nr ò subprọect evaluated		NT	1	1	100	1	100	-	-	-
2.2.3.7	Organizing workshops to link commodities		Nr of workshops organized	NT		2	-			-	-	-
			Nr of participants	NT		141	-			132	151	-
2.2.3.10	Disburse PPP Fund to enterprises		Disbursement amount (Million VND)	38.818	6.500	22.750	58,6	8.800 (bao gồm đối ứng DN)	135	-	-	-
2.2.4: Vocational training												
2.2.4.1	Provide vocational training courses for CGs/cooperatives (CCA Fund), enterprises (PPP Fund), on civil works carried out by farmers		Nr of courses organized	NT	21	36	171	13	62	-	-	-
			Nr of participants	NT	570	1112	195	358	63	142	84	258
Component 3. Project Coordination: - Objective: Project activities being coordinated and implementd to achieve the its objectives and expected progress; ensure effective and efficient financial management; procure facilities and equipment in line with IFAD regulations; and maintain on-time reporting system												
3.1: Completion of the project management mechanism at all levels												
3.1.4	PSC's periodic coordination meetings		Nr of meetings organized	NT	4	12	300	3	75	-	-	-
3.1.5	Periodic coordination meetings at provincial and district levels		Nr of meetings organized	NT	32	20	50	7	22	107	22	-
3.1.6	Periodic inter-provincial coordination meetings		Nr of meetings organized	NT	2	1	50	1	50	18	5	-
3.1.7	Workshops - Conference of PSCs, PCUs of the two provinces		Nr of meetings organized	NT	2	9	100	2	100	-	-	-
3.1.8	Develop and publish project management regulations and guidelines,…	Nr of publications shared		NT	NT	82000	900	-	900	-	-	-
3.1.9	Take part in training courses, workshops and conferences organized by IFAD and/or other donors		Nr of meetings organized	44	TB	69	-	1	-	27	1	0

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
					M							
3.2: Purchasing necessary equipment for the management and implementation of the project												
3.2.2	Implementing procurement of equipment purchasing for the project at all levels		% of procurement packages compliant with IFAD regulations and expected progress	NT	-	29	-	-	-	-	-	-
3.3: Monitoring and evaluation is carried out to meet the managers and donors' requirement												
3.3.1	The workshop on results of participatory analysis and assessment on adaptive research topics	The workshop approved the draft MTR report	Nr. of workshops organized	NT	1	1	100 %	1	100 %	-	-	-
			Nr. of particiants	NT	150	93	60%	93	60 %	35	15	-
3.3.2	Training course on M&E for M&E staff at all levels and implementing units	% of staff can apply skills and knowledge into the actual work	Nr. of training organized	NT	3	8	266	3	100	-	-	-
			Nr. of particiants	NT	170	288	169	178	105	77	54	0
3.3.3	Survey, evaluate and classify CGs in 30 project communes accessing CCA Fund	Nr of surveys organized		NT	1	1	100	1	100	269 CGs evaluated		
3.3.3	Organizing annual results surveys (thematic surveys)	Nr of surveys organized		NT	-	8	-	3	-	CGs evaluation: AOS. Replication level of CCA models.		
3.3.4	Field tripsto the local areas	Nr of field visited organized		NT	TBM	8	-	3	-	-	-	-
3.3.5	Hiring independent consultants to evaluate the project performent ffor MTR	Nr of consultancy packages implemented		NT	1	1	100	1	100	-	-	-
3.4: Lessons learned, success cases and best practices shared and replicated												

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2018	Achieved (cumulative)	% (cumulative)	Achieved in 2018	% (2018)	Female	Khmer	Poor, near poor
3.4.1	Receive and work with missions to the project		Nr of missions	NT	NT	20	-	7	-	-	-	-
3.4.3	Take part in IFAD's annual learning route workshop		Lessons learned for the workshop applied in the project context	6	NT	4	400	1	-	5	0	0
3.4.5	Project bulletins (printing + royalities)			NT	4	12	-	4	100	-	-	-
3.4.7	Other workshops, training courses	% of staff can apply skills and knowledge into the actual work	Nr. of events organized	NT	TBM	5	-	5	-	-	-	-
			Nr. of particiants	NT	TBM	202	-	26	-	12	0	0
3.5: Effective financial management, internal and independent auditing satisfactory to donor's requirements												
3.5.1	Training in financial management for project accounting staff	% of accountants at all levels can perform well assigned tasks	Nr of courses organized	NT	2	16	800	3	150	-	-	-
			Nr of people trained	NT	100	791	791	163	163	83	0	0
3.5.2	Internal control		Nr of events organized	NT	TBM	6	-	2	-	-	-	-
3.5.3	Hiring audit independent consultants to make financial statements for PCU and WDF	Number of consultancy packages implemented		1	1	3	-	1	100	-	-	-
3.5.4	Upgrade the financial management software, 3-year warranty under Circular 107 of MoF for Tra Vinh and Ben Tre	% of procurement packages in line with IFAD's procurement principle and on schedule		NT	1	1	100	1	100	-	-	-

IFAD
Investing in rural people

Viet Nam

Project for Adaption to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces

Supervision Report

Appendix 3: Compliance with legal covenants: status of implementation

Mission Dates:	10-25 September 2018
Document Date:	29/10/2018
Project No.	1100001664
Report No.	4886-VN

Asia and the Pacific Division
Programme Management Department

Appendix 3: Compliance with legal covenants: Status of implementation

Section	Covenants	Target/ Action due date	Status	Remarks
Financing Agreement. Section B.7 a	**Designated account**:) In each Province of the Project Area, there shall be two (2) designated accounts (DAs) (collectively referred to as the "Designated Accounts"), opened and operated by the Ministry of Finance (MOF) of the Borrower/Recipient in accordance with Section 4.04(d) of the General Conditions in a bank acceptable to the Fund, for receiving and holding the Loan and Grant proceeds in USD. All accounts shall be protected against set-off, seizure or attachment on terms and conditions proposed by the Borrower/Recipient and accepted by the Fund		Complied	Each PCU opened two DAs for receiving the IFAD Loan and ASAP grant proceeds denominated in USD, in banks acceptable to the Fund. These accounts are operated by the Ministry of Finance.
Financing Agreement. Section B.7 b	Project Accounts shall be opened and maintained in local currency to receive and hold financing transferred from the Designated Accounts at the same provincial commercial bank for the Project operation. The Project Accounts shall be operated by each PCU.		Complied	Dedicated project accounts in VND have been opened at State Treasury by PCUs, DCOs, Communes.
Letter to the borrower. Para 24	Procurement methods will depend on the nature of the expenditure and the estimated value of the related contract. The following are the methods for work and goods packages: (i) National competitive bidding applied for packages with estimated cost equivalent or exceeding USD 60,000; (ii) Local competitive bidding applied for packages with estimated cost less than USD 60,000; (iii) Procurement with community participation or Force Account applied for infrastructure schemes that can use intensive un-skilled labour and simple techniques such as concrete roads, lined cannels, storages, etc. with the estimated cost less than USD 30,000; (iv) Direct contracting could be applied for very small packages with estimated cost less than USD 5,000.		Complied	
Letter to the borrower. Para 25	Methods for selecting consultants under the AMD include (i) Quality and Cost Based Selection applied for service packages with estimated cost equivalent to or exceeding USD 30,000; (ii) Select Based on Consultants' Qualifications applied for service packages with estimated cost less than USD 30,000; (iii) Single Source Selection could be applied only in exceptional circumstances and shall be approved by IFAD in the procurement plan.		Complied	

Section	Covenants	Target/ Action due date	Status	Remarks
Letter to the borrower. Para 26	For the purposes of IFAD's Project Procurement Guidelines, the following shall be subject to prior review by the Fund: (a) Award of any contract for goods and work estimated to cost USD 60 000 or more; (b) Award of any contract for consulting services estimated to cost USD 30 000 or more.		Complied	
Letter to the borrower. Para 28	All contracts, with or without prior IFAD approval, shall be listed in the Register of Contracts with the dates of approval. The Register shall be updated and submitted to the IFAD on a six-monthly basis		Complied	
Financing Agreement. Section B.8	Counterpart financing: The Borrower/Recipient shall cause the Lead Project Agencies to provide counterpart financing for the Project.		Complied	
Financing Agreement. Section B.9	Procurement of goods, works and consulting services financed by the Financing shall be carried out in accordance with the provisions of the Fund's "Procurement Guidelines" approved by the Fund's Executive Board in September 2010, ("The Procurement Guidelines").		Complied	Overall, the procurement of goods, works and consulting services is carried out in accordance with the general principles, standards and policies outlines in the IFAD Procurement Guidelines. Recruitment of individual consultants from a diverse pool is to be done, especially in Ben Tre
Financing Agreement. Section E.2.a	The PCUs shall have been duly established		Complied	
Financing Agreement. Section E.2.b	The Project Implementation Manual shall have been developed by each PCU and adopted by the PPC and is acceptable to the Fund		Complied	
Financing Agreement. Section E.2.c	The Project Steering Committees (PSCs) shall have been duly established in Ben Tre and TraVinh Provinces.		Complied	
Financing Agreement. Section E.2.d	The Project Directors and Project Accountants shall have been duly appointed.		Complied	
Financing Agreement. Section E.2.g	A computerized Accounting System has been identified for the Project by the PCUs.		Complied	The ANA FMIS is operating at all project implementing units from PCUs to DCOs and Communes.

IFAD
Investing in rural people

Viet Nam

Project for Adaption to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces

Supervision Report

Appendix 4: Technical background analysis

Mission Dates:	10-25 September 2018
Document Date:	29/10/2018
Project No.	1100001664
Report No.	4886-VN

Asia and the Pacific Division
Programme Management Department

Appendix 4: Technical Background Analysis

The AMD has, in both its PCUs and among their partners, a comprehensive set of project implementation and management guidelines. In view of the adequacy of these technical guidelines, the Mission has only limited guidance to offer:

- A section on partnership-building
- Additional guidance against the agreed actions included in the supervision report and aide-memoire;
- Details of the financial analyses

Partnership-Building

The Mission met with all partners; and representatives of the partner agencies were present at the final wrap-up. Strong commitment to the wrap-up agreed actions has been received from the political level of both Provinces. The table provides a brief overview of partners and their role (sometimes various roles) in the Project.

Partner Name (may also include networks, multi-stakeholder partnerships etc.)	**Details of partnership** *Indicate whether NGO, INGO, UN agency, Government agency etc. Is the partnership based on written agreement? Provide any additional details about the partnership*
Co-financing partnerships	
Global Environment Facility	Partners in the Project through ASAP funding, which is administered by IFAD on GEF's behalf.
Provinces / Districts / Communes	These are primarily partners in coordination and implementation (see below) but the exit strategies pursue mobilising the resources at their disposal for further application of the project instruments beyond the project area and timeframe.
CGs / CIGs / PPP enterprises	Provide a matching contribution to the grants provided by AMD
Embassy of the Kingdom of the Netherlands	Potential partner in knowledge management and policy development – to be pursued
KM and Policy partners	
Departments at Provincial level (Planning and Investment, Agriculture Research and Development, Natural Resources and Environment, Industry and Trade, others	Take part in adaptation model testing and selection; take part in policy dialogue and planning of climate change adaptation
Universities (Can Tho, Tra Vinh)	Adaptive research on potential climate adaptation models
DONRE	Lead partner for development of the Automated Water Quality and Salinity Model
Deltares	Service provider to DONRE with respect to the ASWQM
Private Sector	
PPP partners	See co-financing
Rynan enterprise	The Project invests in part of its network of water quality monitoring buoys
Coordination/Implementing Partners	
Provinces / Districts / Communes	These are primarily partners in coordination and implementation (see below) but the new exit strategies pursue mobilising the resources at the disposal of these entities for further scale-up and scale-out of the project instruments beyond the project area and timeframe.
Department of Planning and Investment	Fund projections and allocations within Province, Districts and Communes and to technical departments. In Ben Tre also technically involved in supporting participation of cooperatives in the value chains
Technical Departments (inter alia DARD, DONRE, DOIT)	Support in development of approaches and models. Technical support to target groups in their respective fields
Women's Union	Carries-out a microfinance programme.
Mass organisations	Support the replication of CCA approaches

Guidance on agreed actions

The table overleaf provides additional explanation on the agreed actions to promote common understanding and make the technical aspects of the agreed actions more detailed and operational

Component 1: Building Adaptive Capacity	
Sub Component 1.1 a- Building an evidence base for adaptation	Explanatory note
Continue training commune staff on model selection and replication through cross-learning meetings, exchange visits between communes, districts and Provinces,	
Group models into packages per agro-ecological zone to enhance their utility for agricultural extension	The models are categorized by zone. In each zone, models provide farmers an overview of options (crop, livestock and aquaculture) that can be integrated into their farming system. Stakeholders involved in extension (district and commune staff, lead farmers, private companies field staff, etc.) are informed on the models that can be applied in their area of intervention (zone)
Pursue that resources are included in public budgets to continue the process of adaptive research, testing and validation of CCA models and encourage private sector investment in the same for commercial commodities	Here, it is proposed that after AMD closes, resources are available to continue: - Adaptive research - Testing and validation of CCA models To make replication of CCA models easier for farmers, it is proposed that adaptive research focus on low-investment / low-cost models. To make funding of the process sustainable, private sector investment is to be promoted. For example, if a company is interested in buying a product, they may be encouraged to invest in the research, testing and extension efforts. This will support their efforts into producing the commercial crop and also ensure climate change adaptation is addressed at the same time.
Component 1.1 b- ASWQMS	Explanatory note
Review and approve the joint procurement plan	
Ensure that the March 31 deadline receives top priority by all concerned	
Assess the scope for development of synergies between the ASWQMS and the initiative carried-out by Rynan Company	The Rynan company has a plan to install monitoring stations (several thousand buoys over the next couple of years) and to make water quality information available through an existing mobile application Rynan initiative and AMD investment in the ASWQMS should not overlap but should be complimentary.
Sub Component 1.1 c: KM and dissemination	Explanatory note
Facilitate cross visits between different groups (CG, CIG, SCG, cooperatives) involved in similar productive activities or similar agro-ecological conditions	Groups who face difficulties visit groups that apply best practice on: Technical production and post-harvest operations, Group administration, financial management, Internal regulations for revolving of CCA fund Document these best practices for further dissemination
Increase farmer exposure to extension material and agricultural services	Make information available through diversified channels including social media to increase farmers exposure to extension material and technical service providers such lead farmers contact details, private companies inventory both buyers and inputs/equipment suppliers
Produce and disseminate existing and new CCA extension material to a wider audience	Continue production and disseminate extension material to a wide audience within the project timeframe, in particular for CCA models recently validated
Sub Component 1.2 Climate informed planning	Explanatory note
Identify and provide workshops, dialogues and studies in support to the next round of Province-level planning	
Pursue mobilisation of EKN-funded TA to address water management and climate change adaptation concerns for both Provinces	
Component 2: Investing in Sustainable Livelihoods	
Sub-Component 2.1: Rural Finance for Resilient Livelihoods	
Sub Component 2.1 a: Development of SCGs in communes	Explanatory note
Enhance SCG membership to 5,800 in the project-targeted communes in each Province	
Enable another 300 SCGs (200 in Ben Tre and 100 in Tra Vinh) to participate in the CFAF and CCA funds	

Sub Component 2.1 b: MFI development	Explanatory note
Ben Tre – Reconsider the 5% operational cost ceiling imposed on the WDF on the basis of a review (exchange visit) of the experience in Tra Vinh	
Tra Vinh - Pursue commitments for settlement of the VND 14 billion in arears by the VBSP provincial branch and / or its national office.	
Sub Component 2.1 c: Value Chain financing	Explanatory note
Collect, organise and disseminate information on public and private credit facilities available for private companies and cooperatives in the agriculture sector	Mapping of credit facilities and financial institutions Collect, organise and disseminate information related to existing public and private credit facilities available for the private companies and cooperatives in the agriculture sector
Involve upstream and downstream enterprises in additional agro-financial workshops	Bank sector and private companies events in AWPB 2019 Plan for additional events, widening the participation by involving enterprises in the upstream and downstream of the value chain to promote business linkages. The outcome of such event should be monitored in term of number of loan accessed by private companies and number or business agreements. Ad-hoc one on one meetings between potential business partners should be facilitated by PCU and DoIT
Assist PPP companies and other private companies involved in the project in preparing loan applications and follow-up to facilitate the procedure.	Support and facilitate access to credit facilities for PPP companies and other private companies involved in the project Assist private companies in preparing loan application documentation and follow up to facilitate the procedure. In particular, PPP companies should receive such support within the timeframe of AMD partnership agreement
Sub-Component 2.2: Investing in Climate Change Adaptation	
Sub-Component 2.2 a :Community Investment Fund:	Explanatory note
Prepare and submit a procurement plan with justification for purchase of additional equipment for the Aquaculture Diagnostic Centre against the available investment balance for review by PPC and IFAD	
Tra Vinh – Prepare, submit and review a request for advance funding of planned activities under the 2018 AWPB	
Sub Component 2.2 b: Adaptation funds	Explanatory note
Enhance linkages between project activities and mechanisms (CIF, microfinance, value chain support) and existing and new CCA activities	Enhance linkages between project subcomponent and other mechanisms to facilitate access to funds for CCA models replication, in particular in regards to access to infrastructures, micro finance services, and value chain support
Enhance group to group, farmer to farmer and enterprise to famer exchanges to promote best practices	Enhance group to group exchanges to promote best practices
Develop manuals for group to group, farmer to farmer and enterprise to famer exchanges for use by concerned agencies	Develop and implement a concrete guidance for farmer to farmer training, enterprise to farmer extension and training
Develop a strategy for CCA replication for review and implementation	Set clear targets for each CCA model in term of number of Households replicating the model based on the agro-ecological zoning. Develop a concrete strategy/mechanism for successful CCA replication, and send to IFAD for review and no-objection Implement the agreed option on how to facilitate the replication process: expansion in new communes and / or adjusting the CCA fund allocation criteria
Sub Component 2.2 c: PPP funds	Explanatory note
Link PPP companies with other existing credit facilities through the agro-financing workshop and ad-hoc support (e.g. CIDA's SME project)	Link PPP companies with other existing credit facilities through the agro-banking workshop and ad-hoc support (linkage with SME project funded by CIDA)
Enhance workers safety awareness and preventive measure in PPP agreements	Enhance workers safety awareness and preventive measure in PPP agreements involving risk-prone working environment (machinery, hot water, dryers, mechanical tools, stacked up goods, etc.)
Train management staff of PPP companies in business planning and loan application	Train the management staff of companies currently under PPP in preparing business plan and loan applications to further develop their business and enhance their employment capacity in the long-run
Assess potential for top-up of current PPP	Assess potential for top-up of current PPP agreements using a competitive

agreements using a competitive process and a set of transparent criteria (e.g. direct impact on agricultural value chain through peanut processing)	process and a set of transparent criteria, including direct impact on agricultural value chains (such as Peanut value chain in Tra Vinh)
Facilitate provision of adequate business and technical advice to the PPP companies by linking with specialized service providers (e.g. use of isolation and renewable energy in cashew nut processing)	Facilitate provision of adequate business and technical advice to the PPP companies by linking with specialized service providers. In particular, advice in renewable energies is needed in some of the current PPP-supported businesses (e.g. cashew nut processing)
Project Management	
92. Coherence between AWPB and implementation	Explanatory note
Tra Vinh – Prepare, submit and review a request for advance funding of planned activities under the 2018 AWPB	
Ben Tre -	
Monitoring and Evaluation	Explanatory note
Assess the capacity of the project to fulfil outcome indicator O1.a and propose revised outreach targets or intensified outreach efforts.	Assess the capacity of the project to fulfil the outcome indicator : O1.a: "At least 8 different viable pro-poor climate resilient farming system packages, each adopted by more than 400 poor & near poor HHs" Revise either: (i) the indicator (ii) the targeting approach for CCA replication Prepare a detailed outreach plan for CCA replication until the end of the project accordingly
Maintain separate record of status of asset ownership and malnutrition.	Address the issue related to the RIMS software that is unable to extract PCA and malnutrition results
Financial management	
Disbursement rate	Explanatory note
Prepare a reallocation proposal (to be discussed)	Maximise use of resources by re-balancing amongst expenditure categories.
Increase authorised allocation to Loan designated account (LTB amendment dated April 16)	MoF has not provided yet the approval to increase the authorised allocation to the Loan DA for Tra Vinh. PCU should immediately liaise with GoV to establish more adequate level of funds on the Loan DA to face planned operations in 2019.
Identify and pursue areas of improvement to shorten delivery/settlement of contracted services (i.e. Works)	Project disbursement performance is measured on the basis of expenditure booked in accounting system. The booking is subject to the delivery and settlement of the contracted services. Focus on timely delivery and prompt settlement is required to meet disbursement targets in June 2019 (IFAD) and Aug.2019 (GoV).
Expedite settlement of expenses and submission of withdrawal applications	
Approve an increased frequency of withdrawal submission	Proposal for more flexibility in the frequency of submission of WAs (i.e. up to 30 days and or amount >150K) in order to limit liquidity shortages.
Approve an increase of SoE thresholds to reduce the need for time-consuming translation of supporting documentation	As PCUs have introduced the use of enhanced ("smart") SOEs for WA submission, it is proposed to increase the SOE ceiling (i.e. USD 100k) above which full supporting documentation has to be provided (which in some cases require extensive translation work). This will speed WA submission and DA replenishment in order to limit liquidity shortages.
Quality of financial management	Explanatory note
Prepare monthly scorecard to track disbursement versus allocation by spending unit	Percentage Disbursement vs Allocation should be continuously monitored with enhanced focus at Spending Unit level (districts, communes, impl. Agencies) in order to timely detect operational/disbursement delay and re-deploy resources to meet disbursement targets (IFAD Mid year; GoV end August). Scorecard template-example is provided in Annex 4.
Continue tracking progress of the AWPB by quarter against the targets for June and October	The valorisation of the AWPB should be phased by quarter at minimum (or monthly) to effectively monitor disbursement deviation versus plan and promptly re-adapt to meet targets.
Ben Tre. Submit semi-annual financial reports to IFAD	The report has been prepared, however submission to IFAD is pending.
Counterpart funds	Explanatory note
Residual balance to be fully budgeted into the 2019 AWPB	In order to get adequate allocation of funds by GoV in 2019 (both counterpart funds and ODA), the project has to budget in AWPB at least 90% of the residual financing balance at end of 2018.
Liaise with GoV to secure that Q1 of 2020 is (e.g. by	Due to the slow process of approving allocation of funds at beginning of the year,

advancing funds from Province)	solutions should be identified by the PCU, in liaison with MoF and the Province, to avoid that, in the first 3 month of the year before completion date, funds remain idle/not fully utilised (both Counterpart and ODA).
Project targeting and sustainability	
Adaptation to climate change	Explanatory note
Incorporate building synergies between project subcomponents and instruments to enhance beneficiary capacity to adapt to climate change in the 2019 AWPB	Promote synergies between project subcomponents and instruments to further enhance capacity of the beneficiary in adapting to climate change (for instance SCG and CCA funds, or PPP funds in support to CCA models replication)
Act on the potential for coordinated interventions with other programmes and donor-funded investments in the field of climate change adaptation (e.g. World Bank funded CIRSL project)	Assess areas for coordinated interventions with other donors funded interventions and investments in the field of climate change adaptation (e.g. World Bank funded CIRSL project)

Supporting material financial analyses

Content:

- Risk of un-utilised funds
- Forecast budget 2019-2020 and phasing for MID –JUNE target
- Template SCORECARD for monitoring the disbursement by spending unit
- FMAQ
- SOE checks

RISK OF UN-UTILISED FUNDS

Assumptions:

AMD disbursement: = intended as AMD expenditures accounted for in AMD System

Actual data as per PCUs input

Projections as per Sup Mission analysis

BASE scenario - NO EXTENSION

1) RISK of unutilised resources at completion date (= balance at end 2019)

(USD 000)	FINANCING			BEST case (Un-used)			% vs FINANCING			WORST case (Un-used)			% vs FINANCING		
	TV	BT	TOTAL	TV	BT	TOTAL	TV	BT	TOT	TV	BT	TOTAL	TV	BT	TOT
IFAD loan	11 130	10 930	**22 060**	635	1 008	**1 643**	6%	9%	7%	1 021	1 628	**2 648**	9%	15%	12%
ASAP grant	6 033	6 002	**12 035**	781	685	**1 466**	13%	11%	12%	1 205	1 107	**2 312**	20%	18%	19%
Government	3 800	3 844	**7 644**	743	722	**1 465**	20%	19%	19%	848	849	**1 697**	22%	22%	22%
Beneficiaries	3 885	3 844	**7 729**	0	0	**0**	0%	0%	0%	-415	35	**-380**	-11%	1%	-5%
TOTAL	**24 848**	**24 620**	**49 468**	**2 160**	**2 415**	**4 575**	**9%**	**10%**	**9%**	**2 658**	**3 620**	**6 278**	**11%**	**15%**	**13%**
IFAD	17 163	16 932	**34 095**	1 416	1 693	**3 109**	**8%**	**10%**	**9%**	2 226	2 735	**4 961**	**13%**	**16%**	**15%**
GOV	3 800	3 844	**7 644**	743	722	**1 465**	**20%**	**19%**	**19%**	848	849	**1 697**	**22%**	**22%**	**22%**

Assumptions:

Balance at end 2018 will be fully budgetd in 2019

Allocation in 2019 is in % same as released in 2018

Best case: disbursment 80% by aug 2019 and 100% at year end

West case: disbursment 60% by aug 2019 and 80% at year end

FORECAST BUDGET 2019-2010 AND PHASING FOR MID-JUNE TARGET

NEW Scenario - YES EXTENSION

2) DISBURSEMENT Target by JUNE 2019

				Actual						Forecast						Forecast		
(USD 000)	**FINANCING**			**cum DISB. (Aug 2018)**			% vs FINANCING			**cum DISB. (End 2018)**			% vs FINANCING			**BALANCE (End 2018)**		
	TV	BT	**TOTAL**	TV	BT	**TOTAL**	TV	BT	**TOT**	TV	BT	**TOTAL**	TV	BT	**TOT**	TV	BT	**TOTAL**
IFAD loan	11 130	10 930	**22 060**	7 597	6 242	**13 839**	68%	57%	63%	8 568	6 822	**15 389**	77%	62%	70%	2 562	4 108	**6 671**
ASAP grant	6 033	6 002	**12 035**	2 183	1 723	**3 906**	36%	29%	32%	3 131	3 208	**6 340**	52%	53%	53%	2 902	2 794	**5 695**
Government	3 800	3 844	**7 644**	2 331	2 333	**4 664**	61%	61%	61%	2 535	2 485	**5 020**	67%	65%	66%	1 265	1 359	**2 624**
Beneficiaries	3 885	3 844	**7 729**	4 300	3 167	**7 467**	111%	82%	97%	4 300	3 667	**7 967**	111%	95%	103%		177	**177**
TOTAL	**24 848**	**24 620**	**49 468**	**16 411**	**13 465**	**29 876**	**66%**	**55%**	**60%**	**18 534**	**16 182**	**34 716**	**75%**	**66%**	**70%**	**6 729**	**8 438**	**15 167**
IFAD	17 163	16 932	**34 095**	9 780	7 965	**17 745**	**57%**	**47%**	**52%**	11 699	10 030	**21 729**	**68%**	**59%**	**64%**	5 464	6 902	**12 366**
GOV	3 800	3 844	**7 644**	2 331	2 333	**4 664**	**61%**	**61%**	**61%**	2 535	2 485	**5 020**	**67%**	**65%**	**66%**	1 265	1 359	**2 624**
year period			*6*			*4*						*5*				*(if extension):*		*2*
IFAD avg/year			*5 683*			*4 436*						*4 346*						*6 183*
GOV avg/year			*1 274*			*1 166*						*1 004*						*525*

	Forecast												extended year!			
(USD 000)	**BALANCE (End 2018)**			**AWPB 2019 Target**			% share		**ALLOCATION 2019 Target**			% share	**AWPB 2020 Target**			% share
	TV	BT	**TOTAL**	TV	BT	**TOTAL**	balance		TV	BT	**TOTAL**	balance	TV	BT	**TOTAL**	balance
IFAD loan	2 562	4 108	**6 671**	2 306	3 697	**6 004**	90%		1 729	2 773	**4 502**	67%	833	1 336	**2 169**	33%
ASAP grant	2 902	2 794	**5 695**	2 612	2 514	**5 126**	90%		1 958	1 885	**3 844**	67%	943	908	**1 852**	33%
Government	1 265	1 359	**2 624**	1 138	1 223	**2 361**	90%		505	542	**1 047**	40%	760	817	**1 576**	60%
Beneficiaries		177	**177**	0	159	**159**	90%			16	**16**	9%	0	161	**161**	91%
TOTAL	**6 729**	**8 438**	**15 167**	**6 056**	**7 594**	**13 650**	**90%**		**4 193**	**5 217**	**9 409**	**62%**	**2 536**	**3 221**	**5 758**	**38%**
IFAD	5 464	6 902	**12 366**	4 918	6 212	**11 129**	90%	ifad	3 688	4 658	**8 346**	67%	1 776	2 244	**4 020**	33%
GOV	1 265	1 359	**2 624**	1 138	1 223	**2 361**	90%	gov	505	542	**1 047**	40%	760	817	**1 576**	60%

year period	*(if extension):*	*2*
IFAD avg/year		*6 183*
GOV avg/year		*525*

DISBURSMENT - target phasing 2019:

end MAR	*ifad*	*553*	*699*	*1252*	*15%*
	gov	*76*	*81*	*157*	
	TOT	*629*	*780*	***1409***	
end APR	*ifad*	*922*	*1165*	*2086*	*25%*
	gov	*126*	*136*	*262*	
	TOT	*1048*	*1300*	***2348***	
end MAY	*ifad*	*1291*	*1630*	*2921*	*35%*
	gov	*177*	*190*	*367*	
	TOT	*1467*	*1820*	***3288***	
end JUN	*ifad*	*2028*	*2562*	*4590*	***55%***
	gov	*278*	*298*	*576*	
	TOT	*2306*	*2860*	***5166***	
end JUL	*ifad*	*2581*	*3261*	*5842*	*70%*
	gov	*353*	*380*	*733*	
	TOT	*2935*	*3640*	***6575***	
end AUG	*ifad*	*2950*	*3727*	*6677*	***80%***
	gov	*404*	*434*	*838*	
	TOT	*3354*	*4161*	***7515***	

TEMPLATE – Scorecard for monitoring disbursement BY SPENDING UNIT

Project AMD

PCU: TRA VINH

FINANCIAL PROGRESS by SPENDING UNIT

Scorecard: 2019 - DISBURSEMENT vs ALLOCATION

IFAD/ASAP/GoV fianancing

	ALLOCATION	***DISBURSEMENT Year-to-date***											
	FY 2019	*JAN*	*FEB*	*MAR*	*APR*	*MAY*	***JUNE***	*JUL*	*AUG*	*SEPT*	*OCT*	*NOV*	*DEC*
	(million VND)	*(%)*	*(%)*	*(%)*	*(%)*	*(%)*	***(%)***	*(%)*	***(%)***	*(%)*	*(%)*	*(%)*	*(%)*
commune 1													
commune 2													
....													
sub-total COMMUNES													
district 1													
district 2													
.....													
sub-total DISTRICTS													
imp. Agency 1													
imp. Agency 2													
....													
sub-total IMP. AGENCIES													
PCU													
....													
....													
sub-total OTHER UNITS													
TOTAL SPENDING UNITS													
TARGET thresholds				*15%*	*25%*	*35%*	***55%***						

Assumptions:

JUNE target IFAD: 55% disbursement/allocation applicable to IFAD/ASAP/GOVERNMENT financing and 4,6 mln USD equivalent disbursement of IFAD funds

FMAQ – FINANCIAL MANAGEMENT ASSESSMENT QUESTIONNAIRE

Country: Socialist Republic of Viet Nam	**Loan /Grant ID:** 2000000433 – VN & 2000000434 – VN
Project Name: Adaptation to Climate Changes in the Mekong Delta in Ben Tre and Tra Vinh Provinces (AMD)	
Executing Agency: Provincial People's Committee (PPC) of **Ben Tre (BT)** and **Tra Vinh (TV)** Provinces	**CPM:** Thomas Rath
Reviewing Finance Officer/FMS: Carlo Spinello	**Date of this review:** 10-25 September 2018

	Topic	Risk Rating (H/M/L)	Issues / Comments / Recommendations
	1. Organization and staffing		
a.	Adequacy of organizational structure to meet functional needs of the project.	L	The current organizational structure is adequate to meet project requirements in terms of staff deployed at PCUs, DCOs and Commune level and system in use.
b.	Availability of clear job description for key project positions, including fiduciary positions	L	Job descriptions were prepared during the project design and approved by IFAD.
c.	Adequacy of project financial management staff (numbers and skill) matching functional needs of project.	L	The organisation of the financial management (FM) functions is consistent with the decentralised structure of the Project. At the PCU level, the FM unit comprises a chief accountant, three accountants and 1 cashier. The Project deploys one accountant in each DPC (full time in BT, part time in TV) and part-time accountants in the communes. Continuous improvement in the capacity of relevant staff through mentoring and training (i.e. in 2018: ICP IFAD Training; governmental training on accounting system and procedural update)
d.	Availability and adequacy of operating manuals and guidelines for staff.	L	Financial Manuals have been prepared in both PCUs and fulfil IFAD requirements.
e.	Existence of a performance based evaluation system in place and timely completion of performance evaluation for all staff.	L	In BT-PCU, the FM staff are recruited for the full duration of the project. In TV-PCU, the FM staff are recruited based on a one-year contract renewable based on performance. Performance evaluation of FM staff is carried out by the Project Director in consultation with the Chief Financial Officer. The CFO provides also comments with regards to the performance of FM staff in the decentralised units. Evaluation is carried out against TORs, but there are no dedicated guidelines on the evaluation process and principles.
f.	Adequacy of health insurance coverage for all staff (where applicable).	L	The contracts of PCU staff comply with GoV regulations; social security taxes are paid at source by PCC.
g.	Timely payment of social security fees (where applicable).	L	Salaries are paid timely, at the beginning of the month.
h.	Staff adequately informed about IFAD's national and anti-corruption policy and	L	A debriefing was carried out during MTR supervision.

	relevant contact details.		
	2. Budgeting		
a.	Timely preparation and approval of AWPB.	L	Budget are timely prepared by the PCUs. IFAD no objection for AWPB 2018 was timely received in both provinces.
b.	AWPB in line with expenditure categories in Financing Agreement Schedule 2.	L	The AWPB has been prepared according to the expenditure categories of Schedule 2.
c.	Financing sources and implementing agencies for each category in the AWPB are identified.	L	The AWP&B present a detailed description of activities, financiers, implementing agencies, assumptions and time-line for implementation.
d.	Linkage between AWPB and Procurement plan are identified (for cost estimate and activities). Check assumptions to support cost estimates. Test check high value items.	L	The Procurement Plans are aligned with the AWPBs.
	3. Flow of funds and disbursement / withdrawal		
a.	Timeliness of funds disbursed by different sources (and co-financiers funding if applicable).	H	The misalignment between the approved AWPBs and the annual budget allocation released by the provincial DPIs still persists in 2018 allocation rate is 75% in both provinces. Concerns for the high public debt have pushed the GoV to optimise external financing on more effective and timely utilisation of funds for ODA projects. GoV introduced in 2017 a performance-based mechanism: (i) To achieve full access to the funds allocated by GoV in the current year, the Project must disburse more than 50% of its allocation by August 31 (Tra Vinh Directive no. 3, 2017; (ii) To obtain in next year ODA and government allocations in line with the approved AWPB, the Project must disburse over 80% of its allocation by August 31 of the current year (GoV Resolution 70/NQ-CQ). In 2018 the ratio allocation/AWPB was 75% in both provinces, impacted by the 2017 performance below threshold. At end August 2018 the disbursement /allocation rate is 55% in TV and 45% in BT: this is expected to impact 2019 under-allocation to a similar level as current year. In Tra Vinh, implementation and disbursement in the current year is further challenged by late allocation of funds (conform to national circular 111/2016/TT-BTC) which meant that the communes – good for 50% of the total budget – received funds by 17 May 2018 only. Generally, it takes up to 6 months for communes and 4 months for the other implementing agencies to finalise the allocation process. Moreover, MoF has not yet approved the increase of the authorised allocation to the Loan DA, which was approved by IFAD in the LtB amendment of April 2016. In Ben Tre the allocation was communicated in early February. After authorisation from MoF, funds were withdrawn from the DA to the Project Account at the end of March. However, during the year the project suffered a liquidity shortage due to inter alia (i) the lengthy authorisation procedure for withdrawal from the DA; (ii) the limited availability of funds in the DA at start of the year (AA increase approved in August); (iii) the implementation of a new IFAD Client Portal (ICP) to submit WAs (to a minor extent).

b.	Timeliness of counterpart funds disbursed.	L	The GoV contribution is cumulatively moderately satisfactory (61% of total government contribution disbursed for both provinces from the beginning of the project). However, in 2018, the GoV contribution has dropped. Funds were allocated substantially below AWPB (41% TV; 47% BT) and were, in the case of Tra Vinh, released late. The risk of residual unutilised Government funds at project completion is estimated at USD 1.5 million, equally split between Tra Vinh and Ben Tre In 2018, the amount of GoV financing has also been impacted by the weak disbursement performance in the prior year. In Tra Vinh, the late allocation to Communes shrank the window to complete and settle activities (especially works) before the end of August. The ratio of disbursement by August 31 of the GoV contribution to its allocation is 49% for Tra Vinh. Ben Tre has progressed better at 73% but this is also below the 80% threshold. This is expected to impact on the availability of funds in 2019 (allocation level at same level as in 2018) in both Provinces.
c.	Efficiency of the funding channels. Timeliness and traceability of funds flows.	L	As stipulated in the project design document, dedicated project accounts are operated at the PCU, DCOs and communes and are held at Province/District State Treasury. The system ensures an effective traceability of donor's funds; reconciliation of bank accounts is performed monthly. The use of the 'ANA' FMIS at all project implementing levels (PCU, DCOs and Communes) ensures an effective monitoring of funds disbursed to all entities. In Tra Vinh province, dedicated project accounts, for the loan and the grant, are also operating at the Provincial implementing agencies (DPI, DoNRE, DARD and CCCO), In Ben Tre, each provincial implementing agency (DPI, DoNRE, DARD, DOLISA) has one single account to receive both IFAD loan and ASAP grant financing; the use of funds advanced to the implementing agencies is monitored through the PCU's FMIS and reconciled against the annual reports submitted by the implementing agencies. The PCU has implemented semi-annual reconciliations of AMD advances as recommended during MTR 2017. GoV contribution is channelled to the province treasures and visible through the 'Tabmit' FMIS operated by PPC.
d.	Efficiency of the funding channels for credit lines. Timeliness and traceability of funds flows, if applicable.	L	The project has a credit line with WDF. Credit line mechanisms are described in the PIM: WDF make quarterly plans which include number to loans to communes and districts and value of lending capital. Based on the WDF's plan, the PCU makes request to MoF to withdraw funds from the DA and finance WDF.
e.	Special Account(s)/Dedicated Account(s) Management, Disbursements.	L	

	i. Adequacy of the authorized allocation to ensure a smooth flow of funds	M	The authorized allocation was increased to USD 2.2 and 1 million respectively for the loan DA and grant DA in each province (IFAD revision to LTB dated 22 April 2016). However, in Tra Vinh, the MoF has not authorised yet the increase to the loan DA, whereas the increase to the grant DA was disbursed at end April 2018. In Ben Tre both loan and grant DAs have been credited the increase, however MoF authorization for disbursement to the DAs arrived too late only at end August. The PCU faced some liquidity shortage and, in July, had to borrow 0,5 mln USD equivalent from the province (PPC) resources (to be refunded in October). The Mission considers that the current initial advances to the Loan DA in Tra Vinh still is not adequate and this may put at risk the availability of resources for the implementation of the activities in 2019. The flow of funds is also slow due to the lengthy procedure for the PCU to obtain the MoF authorization to withdraw from the DAs to PAs: MoF provides the authorization only when the overall cash balance in PAs is sensibly depleted. This makes the increase of the AA allocation particularly relevant to build an adequate level of liquidity to promptly start next year operations (Tra Vinh Loan DA is still to be considered at risk for 2019).
	ii. Appropriateness of disbursement methods used	L	No issues identified.
	iii. Adequacy of documentary support for SOE disbursements, reimbursements, direct payments and Special Commitments. (refer to Appendix IV and complete, reflecting finding in rating).	L	Based on the review of the sampled transactions (and support received from the translator), the mission considers that in general supporting documents are adequate and expenditures are properly accounted for in the books. The Mission reviewed the items claimed under SOE of the following WAs: 17 Loan, 18 Loan, 14 Grant (in TV, for a reviewed amount of 23%); 12 Loan, 14 Loan, 9 Grant (in BT, for a reviewed amount of 15%).
	iv. Timely preparation and accuracy of Withdrawal Applications	L	The WAs are accurately prepared by the PCUs. In 2018 the project has started to submit WAs through the ICP and the use of Smart SOEs has been introduced.
	v. Authorization of WA preparation.	L	No issues noted.
	vi. Status on expenditures withdrawn from Special Account but not yet claimed	BT-L TV-M	No issues noted.
	vii. Regularity of Special Account(s) monitoring and monthly reconciliations signed by the project manager. Review and assess the reconciliations	L	The DAs and PAs are monthly reconciled in accordance with government requirements.
	viii. Disbursement rate compared to the AWPB and whether satisfactory given the remaining implementation time. Provide comments as appropriate	L	AMD is in its 4th year of implementation and its disbursement (Loan+Grant) rate the disbursement rate of IFAD funds (loan+grant) to the Borrower/Recipient designated accounts is 67% (of which 71% TV and 63% BT. There has been no extension. Taking into consideration the assumptions mentioned above with regards to the expected budget allocation levels in 2019, the risk of residual unutilised ODA funds at project

			completion is estimated at USD 3,1 million (best case scenario), of which USD 1,4 million for TV and USD 1,7 million for BT
	ix. Recovery of SA balances by loan closure	N.A.	
	4. **Internal Controls**		
a.	Segregation of duties - are the following functional responsibilities performed by different units or persons: (i) authorization of a transaction (ii) execution of a transaction (iii) recording of the transaction; and (iv) custody of assets involved in the transaction.	L	The SoD is well defined at the PCUs and different officers are responsible for the following functions: (i) Authorization of a transaction: PV signed by Chief Accountant, PD and Treasury Dept; (ii) Execution of a transaction: Province Treasury Dept; (iii) Recording of the transaction: PCU Accountant; (iv) Custody of assets involved in the transaction: an updated asset register is kept by the PCU; however, it does not indicate the person in charge of the custody of the asset.
b.	Clarity and adequacy of decision processes and sequence of events for control functions in project implementation reflected in the Financial Manual (or equivalent there-of).	L	Internal controls are adequately reflected in the financial Manual.
c.	Adherence to Financial Manual	L	All FM activities are in strict compliance with the rules set out in the FM (national regulations on financial accounting, i.e. Decree 38/2013 and the Circular No. 1/2014, Circular 110/2009 for ODA programmes.)
d.	Effectiveness and efficiency of internal controls over inflows of funding sources other than IFAD.	L	GoV contributes to the project with taxes and duty and PCU salaries. Once GoV annual financing is approved, funds are recorded into the Tabmit FMIS operating at the provincial treasuries (usually in February each year). For each expenditure entailing the payment of taxes, the PCU issues two PVs: one for the payment from the PA (IFAD funds) and one for the payment of taxes from the provincial treasury.
e.	Adequacy of contract management (use of contracts register and monitoring form) and filing there-of.	L	Contract registers and monitoring forms are correctly kept at the PCUs.
f.	Effectiveness and efficiency of internal controls over expenditures (full cycle from commitment, payment, receipt of good and services, approval of payments, classification, etc.)	L	The payment cycle for shopping method is the following: 1) Request to PD and approval; 2) Request for quotations for goods and services is prepared by the PCU on the basis of the approved AWPB; 3) Quotation approved by Procurement Committee for equipment, for stationary approved by admin office; 4) PO sent to vendor; 5) Good accepted by PCU - admin; 6) Payment Request signed by Chief Accountant and PD; 7) Payment request approved by treasury; 8) Payment from PA 2 signatures: PD, Chief Accountant, Deputy Director, and Treasurer at PCC.
g.	Documentary evidence to confirm delivery and acceptance of contracted goods, works or services.	L	No issues were noted during the SoE review.
h.	Physical controls over cash, documents and records. Adequacy of filing systems. Is the petty cash subject to monthly reconciliation as well as surprise checks; custody of cash	L	The PMU operates a petty cash according to the procedures set out in the Financial Manual, including custody is safe box and monthly reconciliation.

	box and control of keys.		
i.	Adequacy of physical management of cash.	L	No issues were noted
j.	Timely payment to suppliers and consultants.	L	No issues related to late payment to vendors emerged during the SoE review.
k.	Eligibility of expenditures with respect to Financing Agreements.	L	No issues were noted during the SoE review.
l.	Legality/eligibility of advances from project funds and timely justification for use there-of.	L	The PMU adheres to the procedures sets out in the financial manual with regard to advances to staff. The Mission noted that funds are transferred from the PCUs to sub-implementing units on the basis of single activity funding requisitions; however, the PCUs also provides quarterly advances to the sub-implementing units for operating costs.
m.	Compliance with financial management covenants in the Financing Agreements and LTB.	L	The Project complies with the financing covenants included in the Section B and E of the Financing Agreement.
n.	Adequacy of up-to-date record keeping for fixed assets and inventories.	L	The PCUs keep up to date record of the fixed assets and inventories; assets are properly tagged.
o.	Adequacy of controls concerning project assets including: (i) Vehicle and other assets management (are assets property tagged, is a physical inventory count done on a regular basis?); (ii) Fuel management (do drivers maintain a log book?); (iii) Travel authorisations (incl. DSA paid to staff)	L	All assets are properly tagged; the vehicle logbook is properly kept by the Admin.
p.	Adequacy of vehicles and assets insurance.	L	The project vehicles are managed in accordance with GoV procedures and regularly insured.
q.	Workshops: (i) Availability of list of participants; (ii) DSA paid to participants; (iii) Receipts for workshop expenditure	L	During the SoE review, the Mission noted that the documentation related to training is properly collected by project accountants, and available at the PCU for inspection.
r.	Adequacy of controls and authorization process for use of funds (payments, transfers, Cash/Bank balance management) / and other operational accounts – non-special account.	L	Internal control for the use of the DA and PAs are properly established. There are 3 authorized signatures for the PAs: PD, Deputy PD and Treasurer at PCC.
s.	Banking arrangement and controls (reconciliation of bank statements with financial accounts).	L	The reconciliation of project accounts is performed monthly in both PCUs. The Accountant performs regular reconciliation of bank statements with the data of the FMI system.
t.	Existence of a proper IT support unit in place.	M	There is no established IT support at the PCUs; however, an external service provider is called in case of need.
	5. **Accounting**		
a.	Basis of accounting (cash, accrual) and whether accounting standards are in line with IFAD's requirements (e.g. IFRS/IPSAS/IPSAS cash).	L	The basis of accounting used at the PCUs is ACCRUAL BASIS.
b.	Adequacy and reliability of accounting system, (is double entry accounting used, specify software used, is budget data entered into the accounting system, can the accounting system produce regular automated financial reports?).	L	The Project operates the 'ANA' Financial Management Information System (FMIS) accounting package in use at most of the IFAD funded projects in Vietnam; notably, the FMIS software is installed and effectively used in all project implementation units from PCUs down to commune level. This ensures that financial transactions are timely captured and processed into the FMIS and monitored by the PCUs. The software uses a double entry accounting system; financial reports are produced in accordance to PPC requirements. Currently the FMIS produces

			automated reports on sources and uses of funds, expenditures by category/component and spending unit.
c.	Recordkeeping (including documentation and filing/archiving)	L	Financial records are attached to payment vouchers and reports can be obtained from the accounting software (with the limitations mentioned earlier).
d.	Fixed assets register maintained and reconciled (sample and physical check).	L	The asset register is properly kept by the PCUs.
e.	Adequate documentation and controls for Information Systems, including documented accounting procedures, backup of financial records, integration of all sub-systems.	L	All FM activities are in strict compliance with national regulations on financial accounting, i.e. Decree 38/2013 and the Circular No. 1/2014, Circular 110/2009 for ODA programmes. Financial records are backup in the project servers.
f.	Adequacy of chart of accounts for project accounting purposes	L	MOF guidelines are followed
g.	Timeliness of recording transactions, regularity of performance and approval of reconciliations, controls on erroneous recordings.	L	No major issues were found during the supervision. Reconciliation of project accounts are performed monthly by both PCUs.
h.	Appropriate/ adequate accounting and reporting of counterpart funds contributions (incl. tax and tax exemptions) as well as beneficiary contributions.	L	The counterpart contribution is appropriately accounted for in the FMIS both as taxes and duties foregone and payment of salaries. Beneficiary contribution is also captured in the FMIS.
	6. Financial Reporting & Monitoring		
a.	Completeness, accuracy, usefulness, and timeliness of financial reports.	M	Both provinces prepare annual un-audited reports in compliance with IFAD requirements.
b.	Interim FM reports and linkage to progress reports - timely preparation, submission to IFAD.	M	Semi annual financial reports are prepared by both Provinces and submitted to IFAD (at the time of this mission BT is still pending submission).
c.	Preparation of reports showing actual vs budget income/expenditure and AWPB execution rate.	M	The FMIS is capable to prepare progress summary reports of expenditures by components, sub-components and spending units.. However, the comparison actual vs budget is only available as a total PCU by component/category. Budget details are not entered into the system at single spending unit level: such detail may enhance the monitoring of the performance and highlight areas of inefficiency for maximising use of resources.
d.	Follow up of previous aide-memoirs fiduciary recommendations.	L	The PCUs promptly followed up on the recommendations raised in the previous supervision mission. However, the request increase of the Loan DA initial allocation for Tra Vinh has not been accepted yet by the MoF. Ben Tre has still to submit the semi-annual financial performance 2018 to IFAD.
e.	Reasonable alignment between disbursement rate of recurrent versus investment cost categories.	L	Additional rebalancing is needed, as some categories were estimated too high (e.g. consultancy), while for other categories (e.g. infrastructure) meaningful additional investment can be pursued. Moreover, a reallocation among categories should take into consideration the possibility of 1 year extension to the project (decision will be taken on June 2019, subject to achievement of operation/disbursement mid-year target, as per Aide Memoire).
	7. **Internal Audit**		

a.	Existence of Internal Audit arrangements	L	Project FM operations at the PCU and district level undergo an annual internal audit (in the form of annual activities control/settlement) by officers of the provincial Department of Finance.
b.	Adequacy of internal audit arrangements (organization - staff capacity).	N.A.	The internal audit is carried out in accordance with MoF requirements. However, the Mission did not have the chance to assess the capacity of internal auditors in this occasion.
c.	Adequacy of internal audit scope of work and quality of reports	L	The scope of the internal auditing fulfils GoV requirements.
d.	Assessment of matters raised in audit reports.	L	The Mission reviewed the internal audit report of Tra Vinh for the year 2017 and noted that no major issues were raised.
	8. **External Audit**		
a.	Adequacy of scope and ToR.	L	The financial audits were conducted according to IFAD accepted ToRs.
b.	Adherence to ToR.	L.	The audit was conducted in adherence with ToRs. The auditors issued separate opinions on the FS, DA reconciliation and SoEs. The audit reports were accompanied by the ML.
c.	Timeliness of audit report.	L	The audit reports covering the period from 1 January to 31 December 2017 were timely submitted by the auditors.
d.	Quality of audit.	L	The quality of audit was satisfactory.
e.	Implementation of audit recommendations/agreed action plan in place to address these.	L	There are no major issues to highlight.

Project Fiduciary Risk Assessment at SUPERVISION 10-25 September 2018

Risk Analysis Summary Table: Project 2000000433

Implementing Agency: AMD PCUs in Ben Tre and Tra Vinh provinces

	Risk Assessment H/M/L	**Proposed Mitigation**
Inherent Risk	**M**	**N/A**
Control Risks		
1. Budgeting	**L**	
2. Accounting Policies and Procedures and Staffing	**L**	
3 Reporting and Monitoring Information Systems	**L**	*(i) Prepare monthly scorecard to track disbursement versus allocation by spending unit;* *(ii) Continue tracking progress of the AWPB by quarter against the disbursement targets for June (IFAD) and August (GOV threshold)* *(iii) Ben Tre. Submit semi-annual financial reports to IFAD*
4. Internal Control/Internal Audit	**L**	
5. Funds flow/disbursement arrangements.	**M**	*(i) Tra Vinh. Request MoF to increase the authorised allocation to the Loan designated account in accordance to the LTB amendment of April 2016* *(ii) Approve an increase of SoE thresholds (i.e. ceiling USD 100,000)* *(iii)Approve an increased frequency of withdrawal application submission (i.e. WA > USD 150,000 or within 30 days)* *(iv) Residual financing balance at end 2019 to be budgeted at least for 90% in the 2019 AWPB in order to secure adequate allocation of funds for next year and in view of a possible 1 year extension).* *(v) PCU to identify solutions to secure fund availability/disbursement in the first quarter of the Project's completion year* *(vi) PCU Prepare and submit a reallocation proposal*
6. External Audit	**L**	
Overall Project Fiduciary Risk	**L**	
H=High, M=Medium, L= Low		

AMD (Vietnam - Tra Vinh)

SOE/WA checks

Supervision Mission 10-25 Sept 2018 ***(VND)***

IFAD LOAN

					Supporting Documentation					
Category	**Item**	**Description**	**Amount**	**WA Date**	**1**	**2**	**3**	**4**	**5**	**6**
	WA 17 L-TV	**TOTAL**	**16 860 584 991**							
1	5	construction (An Bin cement road)	488 907 000	16/01/2018	Yes	Yes	Yes	Yes	Yes	Yes
	34	cost for the procurement of packages for acquaculture diagnostic cer	1 528 590 000	16/01/2018	Yes	Yes	Yes	Yes	Yes	Yes
2	1	cost for smartphone for WA (ICP)	14 236 636	16/01/2018	Yes	Yes	Yes	Yes	Yes	Yes
3	71	cost of training courses - workshop october 2017	71 554 635	16/01/2018	Yes	Yes	Yes	Yes	Yes	Yes
4	2	WDAF- disbursement to Nhi Long Phu commune	360 000 000	16/01/2018	Yes	Yes	Yes	Yes	Yes	Yes
5	21	Cost to supprt	346 332 000	16/01/2018	Yes	Yes	Yes	Yes	Yes	Yes
6	1	Contract n. 24/hd-pcu	720 000 000	16/01/2018	Yes	Yes	Yes	Yes	Yes	Yes
7	50	car insurance	23 478 727	16/01/2018	Yes	Yes	Yes	Yes	Yes	Yes
8	15	salary/allowances for WDF from Jan to Sept 2016	344 303 829	16/01/2018	Yes	Yes	Yes	Yes	Yes	Yes
		value check	**3 897 402 827**							
		% check	**23%**							

IFAD LOAN

Category	Item	Description	Amount	Date	1	2	3	4	5	6
	WA 18 (ICP)									
1	1	Payment for the package No.04: Procure equipment for biochemical analysis	720 432 727	18/04/2018	Yes	Yes	Yes	Yes	Yes	Yes
2	1	Contract No.33/HĐ-PCU on December 7, 2017 on providing laptops for Tra Vinh Project Coordination Unit	66 818 182	18/04/2018	Yes	Yes	Yes	Yes	Yes	Yes
3	3	Contract No.25/HĐ-PCU on October 10, 2017 "Technical assistance for the development of the subproject on the linkage in rice production under the climate smart cultivation process.	27 270 000	18/04/2018	Yes	Yes	Yes	Yes	Yes	Yes
4	18	Training contract No.21/HĐ-PCU on August 22, 2017	206 085 000	18/04/2018	Yes	Yes	Yes	Yes	Yes	Yes
5										
6.A	42	Cost to support the implementation of CCA Fund (Circle 2, 2017) - Truong Tho commune	196 333 200	18/04/2018	Yes	Yes	Yes	Yes	Yes	Yes
6.B	1	Contract No.24/HĐ-PCU on September 5, 2017 on the financing contract for the subproject " Expanding manufacturing scale of coconut fiber products"	300 000 000	18/04/2018	Yes	Yes	Yes	Yes	Yes	Yes
7	22	Security service (Quarter IV/2017)	21 818 182	18/04/2018	Yes	Yes	Yes	Yes	Yes	Yes
8	4	Salary and allowance at commune and district levels (December 2017)	108 809 647	18/04/2018	Yes	Yes	Yes	Yes	Yes	Yes
		value check	**1 647 566 938**							
		% check	**11%**							

ASAP GRANT

Category	Item	Description	Amount	Date	1	2	3	4	5	6
	WA 14 G -TV									
1										
2										
3	1	Cost for the implementation of the testing models on the field of cultivation (taro, sweet potato, peanut) and husbandry (chicken, sea crab, eel and blood cockle) to adapt to climate change in 2017	577 778 880	31/10/2017	yes	yes	yes	yes	yes	yes
4	72	Cost for workshop venue, tea-breaks, worktrip allowance and accommodation for participants participated in the workshop on the draft circular on organization and operation of collaborative	65 363 636	09/10/2017	yes	yes	yes	yes	yes	yes
5										
6	4	Cost to support the implementation of CCA Fund (Circle 1, 2017) in An Quang Huu commune	630 428 000	13/09/2017	yes	yes	yes	yes	yes	yes
7										
8										
		value check	**1 273 570 516**							
		% check	**33%**							

OVERALL COMMENT: Spot check of a sample of WAs (IFAD LOAN and ASAP grant) for the period Nov. 2017 - Aug. 2018. Supporting documentation was found fully complete and available upon request.

1 WORKS
2 EQUIPMENT MATERIAL
3 TRAINING
4 CREDIT, GUARANTEE FUNDS
5 GRANT, SUBSIDIES - A
6 GRANT, SUBSIDIES - B
7 OPERATING COST
8 SALARIES AND ALLOWANCES

LEGENDA: Verified (as applicable)

1 Inclusion/reference number to the AWPB
2 copy of signed contract, confirmed purchase order
3 copy of IFAD no objection to contract (based on prior review thresholds - procurment)
4 copy of the invoice, certified by Project Director
5 Proof of delivery of good/service completion (i.e. delivery receipt for Goods; certfied progress status for Works, final report for consultancy services, attendance sheet for trainings; payroll statement; travel claim).
6 Copy of evidence of payment (i.e. bank transfer statement, cash book)

IFAD
Investing in rural people

Viet Nam

Project for Adaption to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces

Supervision Report

Appendix 5: Mission preparation and planning, TORs, schedules, people met

Mission Dates:	10-25 September 2018
Document Date:	29/10/2018
Project No.	1100001664
Report No.	4886-VN

Asia and the Pacific Division
Programme Management Department

Appendix 5: Mission Preparation and Planning, TORs, Schedules, People met.

Terms of Reference

BACKGROUND:
The Adaptation to Climate Change in the Mekong Delta Project in Ben Tre and Tra Vinh provinces is in its 4th year of implementation2. The project experienced a slow start but has managed to catch up in terms of implementation progress.
At the MTR conducted in October, 2017, the AMD implementation performance in both project provinces was assessed as moderately satisfactory. The Project achieved an upward trend in the realisation of its outcomes and is expected to largely meet its objective at completion. The (moderately satisfactory) sustainability of project benefits is, however, precluding a higher rating; requiring the Project to address long-term adaptive capacity of communities and institutions more strongly. The present focus on models and value chains that improve existing agricultural and aquaculture practices helps to enhance incomes, but many of these models may not be viable in a situation of higher and more frequent salinity intrusion. The poor performance of models during the 2015/16 extreme salinity intrusion provides a point in case. Moreover, the present response at agricultural or non-agricultural-level requires to be complemented by adaptation packages for farming systems and by adaptation measures on a larger scale (e.g. land use zoning, disaster risk management and comprehensive infrastructure plans).

While the project is progressing, some key areas require more efforts to fully achieve AMD's objective of strengthened adaptive capacity in communities and institutions. The 2015 – 2016 salinity crisis supports the urgency for focusing more strongly on building adaptive capacities. Issues that preclude full effectiveness of the Project's achievements are:

(a) Adaptation to anticipated climate change has been pursued, but the focus on building adaptive capacity needs to be strengthened – Individual project activities help diversify the income base for communities on the short-run; but attention needs to be given to building capacity in institutions and communities to identify and pursue livelihood alternatives, to land and water management plans and to investments in the face of a more severe future.

(b) Available capacities at District and Commune level are mobilised but can be more optimally applied to the replication of agricultural models and value chain activities – groups formed for credit and savings are not systematically stimulated to engage in collective production and business activities; indigenous adaptation models and experience with the new models are to be analysed and replicated to diverse target groups; and early involvement of value chain partners is to become standard practice for all models;

(c) Production models, once identified, are neither periodically reviewed vis-à-vis their effects on poverty alleviation and climate resilience; nor developed into integrated packages – to enhance development effectiveness, each model should address market opportunities, describe ways to target beneficiaries (either individually or as a collective); address financing needs and include the requisite technical know-how. Models should be grouped as a set of alternatives for the major farming systems in the Project area (saline, brackish and freshwater zones);

[2] Key dates: Start-up : 28/3/2014
Completion date: 31/3/2020
Closing date: 30/09/2020

(d) Knowledge management and decentralised planning processes - i.e. sub-component 1.1 – are not fully utilised to enhance implementation effectiveness (points b and c) and adaptive capacity (point a) – The Project used its technical assistance and capacity building resources for preparing plans and production models; but can make more use of these resources for periodic review and further development of the same.

An implementation Support Mission was fielded in May 2018. The main issues reviewed were:

- Enhanced access to project funds an commune levels
- Procurement of the salinity Monitoring System
- Quality of the CFAF / CCA investment models to focus on outreach and impact
- Replication strategy for CFAF/CCA activities
- Availability of counterpart funds and enhance decision making process for the CIF

MISSION OBJECTIVES AND OUTPUTS:

Mission objectives: The objectives of the 2018 supervision mission will be to: (i) review the current project implementation progress, in particular in respect of the issues and agreed actions during the implementation; (ii) align the design as needed to adjust the implementation to the current and future context of the programme (iii) and agree with the national and provincial authorities on priorities and next steps for ensuring the full scale implementation for achieving the project objectives.
Mission outputs: one aide-memoire/supervision report for both provinces in the IFAD format summarising the findings and recommendations. Sufficient appendixes as per IFAD supervision template;

INDIVIDUAL RESPONSIBILITIES, EXPECTED OUTPUTS AND REQUIRED COMPLETION DATES

Mr. Kees Blok, the Team Leader will lead the team and be responsible for drafting the supervision report. He will lead consultations with government representatives, relevant NGO and private sector to obtain their views on the project implementation. The team leader assigns specific tasks to the team members and agrees with them on their respective contributions to the mid-term review report. The team leader will guide the team in any revisions to the project design as required, overview the balance of components and activities towards achieving the project goal and objective, implementation arrangements and addressing IFAD relevant key strategic approaches: targeting , climate change adaptation, gender and nutrition (in close collaboration with all experts).

In addition, the team leader will cover the technical review of the component 1 (Building Adaptive Capacity), which covers the evidence base of climate change adaptation, a salinity monitoring system and forecasting, knowledge management and dissemination and climate informed planning and policy development. The expert will evaluate the performance and outline changes to the design and implementation arrangements, as required to support the project in achieving its development objectives.

Mr Nguyen Thanh Tung, Rural Finance and Institutions specialist, will focus on (i) the review of component 2.1 (Rural Finance for improved livelihoods) and (ii) review project management and institutional issues and advise the team leader on remedial actions, if required. The expert will review the performance of the Saving and Credit Groups (SCG) using assessment criteria as per IFAD good practices, and assess related project activities. The expert will review the institutional development of WDFs and its plans to become a formal MFI. The expert will outline changes to the design and implementation arrangements, as required to support the project in achieving its development objectives.

Mr. Quang Ngoc Nguyen, CCA and M&E specialist (join the mission until 16 Sep) and Mr. Emmanuel Jouve, Agricultural Development Specialist
The experts will review component 2.2 (Investing in Climate Change Adaptation). The expert will review the results and implementation arrangements for activities including the Co-Financing for Adaptation Fund (CFAF) and Public Private Partnership Fund (PPF).He will assess how the modalities contribute to an adaptation of small producers and enterprises to the changing climate /natural environment and how they contribute to more sustainable and remunerative livelihood options for the AMD target group. The expert will review the M&E arrangements and reporting systems at all levels. The expert will outline changes to the design and implementation arrangements, as required to support the project in achieving its development objectives.

Mr. Phan Duy Toan, Infrastructure/Procurement Specialist, will include an assessment of the appropriateness of small scale civil works implemented by the project to date in terms of costs/quality/sustainability and in particular for integration with the climate-informed SEDP. In addition the quality and appropriateness and quality of the overall procurement processes under the project should be assessed in collaboration with the Financial Specialist. The expert will outline changes to implementation arrangements, as required to support the project in achieving its development objectives.

Mr. Carlo Spinello- Financial Management Specialist will assess the strengths and weaknesses of financial management systems, internal controls and financial reporting systems relating to financial management and financial administration of project funds in order to ensure that they satisfy IFAD's fiduciary requirements and comply with the Financing Agreement and LTB. In detail, s/he will:

- Based on the financial reports prepared by the project, review the financial performance by expenditure category and component to assess the project's overall financial performance to date against (i) appraisal and (ii) approved AWPBs since project start. Review the cumulative status of funds by category of expenditure, approved AWPB and the project commitments (contracts signed not paid) in order to estimate the adequacy of funds and the potential need for category reallocations. Summarize the reasons for significant variances between expected and actual disbursement rates. Identify actual or potential problems and bottlenecks;
- Discuss the status of preparation of the annual financial statements (if relevant for the period). Validate the latest IFR, if applicable;
- Review availability of counterpart funds (government and beneficiaries), identifying bottlenecks if any. Verify that the value of in kind contributions from government and beneficiaries, if any, are estimated and recorded by the project;
- Assess regularity of WA preparation. Recommend concrete measures to ensure faster and more efficient disbursements. Review SOEs prepared since the last field review to verify adequacy, completeness and validity of claims by selecting on a sample basis expenditure items from each category of expenditures and performing a system 'walk-through'. Document findings on individual SOE items, noting down any ineligible expenditures. Provide recommendations on any internal controls weakness noted. Assess the adequacy of the project's filing of financial records;
- Assess the project's treasury planning; analyse adequacy of DA authorised allocation, with respect to projected expenditure requirements;
- Review functionality of accounting and financial reporting system, identify accounting standards used and report differences with IFRS/IPSAS. Assess timeliness of recording transactions, budget posting and reconciliations. Assess suitability of the chart of accounts.
- Gain an understanding of the accounting system and specify accounting software used, whether software produces WAs and other automated reports, and whether budget posted; comment on required customisations if any. Assess financial staff ability to operate accounting system, comment on training requirements if any;

- Describe banking arrangements. Review the operation of the project's designated and other accounts to ensure that the bank reconciliations and DA account reconciliations are correctly prepared on a monthly basis. Validate the closing balances from copies of the bank statement and clarify the status of the reconciliation items (if any). Note down any pending payments and withdrawal applications still not paid by IFAD;
- Review contractual and payment procedures; check contract register, usage of contract monitoring forms, register of advances; highlight outstanding advances (ageing analysis); verify compliance with audit requirements foreseen in contracts/ MOUs, if applicable;
- Review the financial situation of field offices and implementing partners/service providers, if any (advances issued vs. expenditure justified), as well as the quality and regularity of financial returns submitted to the PIU;
- Review project's administrative management procedures related to personnel, travel, vehicles/fuel and IT. Review asset accounting and management procedures; maintenance of fixed asset register; inventory processes and latest inventory report;
- Identify financing agreement covenants and verify project's compliance;
- Describe internal audit arrangements including reporting lines, methodology/procedures, audit work plan and status/follow up on past recommendations; review IA reports [if the Borrower is willing to share them], describe findings;
- Review latest external audit report and project's audit log, assess status of implementation of management letter recommendations. Verify status of preparation of upcoming audit and make recommendations as appropriate for extending the scope of audit to specific implementing entities, physical checks, performance audit, transaction list or other;
- Review action taken to address recommendations of previous FM-related mission;
- Contribute to relevant sections of the mission SM report including data, field observations, project results, findings and recommendations, in line with deadline agreed with Team Leader, following structure set out in IFAD supervision report template and FMA guidelines;
- Any others tasks assigned by Team Leader.

DOCUMENTS TO BE PREPARED BY THE PROJECT BEFORE THE MISSION

- AWPBs
- Progress Reports
- Audit Reports
- Appraisal Report
- Project Financing Agreement
- Project implementation manuals
- Any other documents as required necessary by the mission

WORK SCHEDULE WITH IFAD'S SUPERVISION MISSION AMD TRA VINH
September 10-17, 2018

Time	Venues	Activities	Participants
Ngày 10/9/2018			
Morning		Pick up the mission from airport to Tra Vinh	
Afternoon	PCU's office	Briefly report on project implementation progress and achievements after MTR to date; recommendations with the mission	- IFAD's supervision mission - AMD project: Board of directors, the Financial Management Division, the Planning and M&E Division, head of the Administrative Office, staff of the Strategy Management Division, KMO, interpreter - Reporters from Tra Vinh newspaper, Tra Vinh television station
Evening	The guest house of the province	Dinner with PPC	- Leader of PPC - IFAD's supervision mission - AMD project
September 11, 2018 *(The mission will be divided into 04 groups)*			
Group 01			
Whole day	PCU	Work with the procurement staff of PCU	- The supervision mission: Mr. Phan Duy Toan - AMD project: Procurement staff (Khiet and Bao)
Group 02			
Whole day	PCU	Work with the Financial Management Division of PCU	- The supervision mission: Mr. Carlo Spinello – Financial Management Specialist - The Financial Management Division
Group 03			
13:30-15:30	The provincial Women's Union	Women's Development Assistance Fund (WDAF) reports the performance of the Fund, the implementation of the agreed actions after MTR to date; recommendations	- The supervision mission: Mr. Nguyen Thanh Tung - Management Council, Executive Board, Control Committee; staff of the head office

Time	Venues	Activities	Participants
16:00-17:00	The Provincial Bank for Social Policy	Refund the entrusted fund of IMPP project to WDAF	- The supervision mission: Mr. Nguyen Thanh Tung - Director of the Provincial Bank for Social Policy - Chairwoman of the Management Council, Executive Board of the Fund
Group 04			
8:00-9:00	People's Committee of Chau Dien commune, Cau Ke district	People's Committee of Chau Dien reports briefly the performance of AMD project in 2018	- The supervision mission: Mr. Kees Blok (Team leader), Mr. Emmanuel Jouve, Mr. Nguyen Ngoc Quang - Head of DPST and project staff in Cau Ke district - Head of CPMU and project staff in Chau Dien commune; Commune Famer's Union - AMD project: Deputy director, project staff in charge of PPP and CCA Funds - Tra Vinh television station (Thematic Programme Division)
9:15-10:00	Chau Dien commune, Cau Ke district	Visit a chicken raising collaborative group in Xom Lon village of the commune farmer's union (farmer-to-farmer model)	- The supervision mission: Mr. Kees Blok (Team leader), Mr. Emmanuel Jouve, Mr. Nguyen Ngoc Quang - Head of DPST and project staff in Cau Ke district - Head of CPMU and project staff in Chau Dien commune; Commune Famer's Union - AMD project: Deputy director, project staff in charge of PPP and CCA Funds - Tra Vinh television station (Thematic Programme Division)
10:30-11:30	Phong Phu commune, Cau Ke district	Visit and work with a linked collaborative group on smart rice cultivation to adapt to climate change (PPP Fund)	- The supervision mission: Mr. Kees Blok (Team leader), Mr. Emmanuel Jouve, Mr. Nguyen Ngoc Quang - Head of DPST and project staff in Cau Ke district - Head of CPMU and project staff in Phong Phu commune - Rynan Technologies Vietnam JSC - AMD project: Deputy director, project staff in charge of PPP and CCA Funds - Tra Vinh television station (Thematic Programme Division)

Time	Venues	Activities	Participants
13:30-14:300	An Quang Huu commune, Tra Cu district	People's Committee of An Quang Huu commune reports the performance of AMD project	- The supervision mission: Mr. Kees Blok (Team leader), Mr. Emmanuel Jouve, Mr. Nguyen Ngoc Quang - Head of CPMU and project staff in An Quang Huu commune - AMD project: Deputy director, project staff in charge of PPP and CCA Funds - Tra Vinh television station (Thematic Programme Division)
14:30-15:30	An Quang Huu commune, Tra Cu district	Visit and work with a vegetable growing collaborative group of Pho village in An Quang Huu commune	- The supervision mission: Mr. Kees Blok (Team leader), Mr. Emmanuel Jouve, Mr. Nguyen Ngoc Quang - Head of CPMU and project staff in An Quang Huu commune, commune Women's Union - AMD project: Deputy director, project staff in charge of PPP and CCA Funds - Tra Vinh television station (Thematic Programme Division)
16:00-17:30	Tan Hoa commune, Tieu Can district	Visit a collaborative group in Trem village and an agricultural product purchasing facility	- The supervision mission: Mr. Kees Blok (Team leader), Mr. Emmanuel Jouve, Mr. Nguyen Ngoc Quang - Head of DPST and project staff in Tieu Can district - Head of CPMU and project staff in Tan Hoa commune; Commune Famer's Union - AMD project: Deputy director, project staff in charge of PPP and CCA Funds - Tra Vinh television station (Thematic Programme Division)
September 12, 2018 *(The mission will be divided into 03 groups)*			
Group 01			
8:00-10:00	People's Committee of Binh Phu commune, Cang Long district	- The transaction office of Cang Long district reports the implementation status of WDAF - The People's Committee of Binh Phu commune reports the performance of AMD project - Procurement supervision and field visit to works	- The supervision mission: Mr. Nguyen Thanh Tung, Mr. Phan Duy Toan - Representative of the Fund's Executive Board - Project staff at district level, head of the transaction office - Commune: CPMU, Women's Union, Farmer's Union, Agriculture staff at commune level - AMD project: Deputy director

Time	Venues	Activities	Participants
10:30-11:30	People's Committee of Binh Phu commune, Cang Long district	Visit and work with a saving-credit group in Long Tri village	- The supervision mission: Mr. Nguyen Thanh Tung - Representative of the Fund's Executive Board - The transaction office of Cang Long district - Project staff at commune level, Women's Union of Binh Phu commune - AMD project: Deputy director
14:00-16:00	People's Committee of Huyen Hoi commune, Cang Long district	- Visit and work with a saving-credit group in Giong Ben village - Procurement supervision and field visit to works	- The supervision mission: Mr. Nguyen Thanh Tung, Mr. Phan Duy Toàn - Representative of the Fund's Executive Board - The transaction office of Cang Long district - Project staff at commune level, Women's Union of Huyen Hoi commune - AMD project: Deputy director
Group 02			
8:00-11:30	Ngu Lac commune, Duyen Hai district	- Visit and work with Tai Vu private enterprise (PPP Fund) - Visit and work with traders and laborers linking with Tai Vu private enterprise	- The supervision mission: Mr. Kees Blok (Team leader), Mr. Emmanuel Jouve, Mr. Nguyen Ngoc Quang - Head of DPST and project staff in Duyen Hai district - Head of CPMU and project staff in Ngu Lac commune - AMD project: Project director, project staff in charge of PPP Fund, project staff in charge of capacity building - Tai Vu private enterprise - Representatives of DOIT/the center for industrial extension - Tra Vinh television station (Thematic Programme Division)
13:30-14:30	Ham Giang commune, Tra Cu district	Visit and work with Tri Canh business household (PPP Fund)	- The supervision mission: Mr. Kees Blok (Team leader), Mr. Emmanuel Jouve, Mr. Nguyen Ngoc Quang - Head of DPST and project staff in Tra Cu district - Head of CPMU and project staff in Tan Hiep commune - AMD project: Project director, project staff in charge of PPP Fund, project staff in charge of capacity building - Tai Vu private enterprise - Representatives of DOIT/the center for industrial extension - Tra Vinh television station (Thematic Programme Division)

Time	Venues	Activities	Participants
15:00-16:00	Thanh Son commune, Tra Cu district	Visit and work with an eel farming collaborative group in Ba Tuc A village	- The supervision mission: Mr. Kees Blok (Team leader), Mr. Emmanuel Jouve, Mr. Nguyen Ngoc Quang - Head of DPST and project staff in Tra Cu district - Head of CPMU and project staff in Tan Hiep commune - AMD project: Project director, project staff in charge of PPP Fund, project staff in charge of capacity building - Tai Vu private enterprise - Representatives of DOIT/the center for industrial extension - Tra Vinh television station (Thematic Programme Division)
16:30-17:30	Tan Hiep commune, Tra Cu district	Visit and work with laborers linking with Tri Canh business household	- The supervision mission: Mr. Kees Blok (Team leader), Mr. Emmanuel Jouve, Mr. Nguyen Ngoc Quang - Head of DPST and project staff in Tra Cu district - Head of CPMU and project staff in Tan Hiep commune - AMD project: Project director, project staff in charge of PPP Fund, project staff in charge of capacity building - Tai Vu private enterprise - Representatives of DOIT/the center for industrial extension - Tra Vinh television station (Thematic Programme Division)
Group 03			
8:00 – 11:30	People's Committee of Long Vinh commune, Duyen Hai district	Report on the implementation status and financial management of CPMU in Long Vinh commune	- The supervision mission: Mr. Carlo Spinello - AMD project: Head of the Financial Management Division - CPMU in Long Vinh commune
14:00-17:00	People's Committee of Don Chau commune, Duyen Hai district	Report on the implementation and financial management of CPMU in Don Chau commune	- The supervision mission: Mr. Carlo Spinello - AMD project: Head of the Financial Management Division - CPMU in Don Chau commune
September 13, 2018 *(The mission will be divided into 02 groups)*			
Group 01			

Time	Venues	Activities	Participants
8:00-11:00	An Phu Tan commune, Cau Ke district	Field visit to automatic salinity monitoring buoys, water level measuring points to serve for in field agricultural production	- The supervision mission: Mr. Kees Blok (Team leader), Mr. Emmanuel Jouve, Mr. Phan Duy Toan - Heads of DPST, Agricultural and Rural Development Division in Cau Ke district - Rynan Technologies Vietnam JSC - AMD project: PGĐ Deputy director, the Planning and M&E Division (Tri), Climate Change Adaptation Coordinator
14:00-15:30	DARD	Discuss the results of the implementation of testing models, research topics; project activities; recommendations to IFAD	- The supervision mission: Mr. Kees Blok (Team leader), Mr. Emmanuel Jouve - DARD: Representative of the board of directors; the center for agricultural extension, units under DARD implementing project activities - AMD project: Deputy director, Climate Change Adaptation Coordinator
15:45-17:00	DOIT	Discuss the results of the coordination to carry out activities with AMD project; recommendations to IFAD	- The supervision mission: Mr. Kees Blok (Team leader), Mr. Emmanuel Jouve - DOIT: Representative of leaders and relevant specialized divisions - AMD project: Project director, project staff in charge of PPP Fund
14:00-17:00	Tra Vinh University	Supervise procurement activities under the project on investment in the aquaculture analyzing and testing center to enhance the quality of brackish water shrimp value In Tra Vinh province	- The supervision mission: Mr. Phan Duy Toan - TVU investment project management board - AMD project: Accountant in charge of procurement
Group 02			
8:00 – 11:30	People's Committee of Thanh Son commune	Report on the implementation status and financial management of CPMU in Thanh Son commune	- The supervision mission: Mr. Carlo Spinello - AMD project: Head of the Financial Management Division; Accountant in charge of districts - CPMU in Thanh Son commune
14:00-17:00	People's Committee of Nhi Truong commune	Report on the implementation status and financial management of CPMU in Nhi Truong commune	- The supervision mission: Mr. Carlo Spinello - AMD project: Head of the Financial Management Division; Accountant in charge of districts - CPMU in Nhi Truong commune
September 14, 2018 *(The mission will be divided into 02 groups)*			

Time	Venues	Activities	Participants
Group 01			
8:00-11:00	Long Son and Nhi Truong communes, Cau Ngang district	- Visit the testing model on solar power system in Long Son commune - Visit Nhat Linh cooperative linking with vegetable growing collaborative groups in Bong Ven village, Nhi Truong commune	- The supervision mission: Mr. Kees Blok (Team leader), Mr. Emmanuel Jouve, Mr. Phan Duy Toan - Head of CPMU, project staff, agricultural staff of Long Son and Nhi Truong communes - AMD project: Deputy director, the Planning and M&E Division (Tri), - Nhat Linh cooperative
14:00-17:00	PCU's office	- Discuss project activities with the M&E Division, Strategy Management Staff, the Financial Management Division - Work with the board of directors on project management and AWPB	- The supervision mission: Mr. Kees Blok (Team leader), Mr. Emmanuel Jouve, Mr. Nguyen Thanh Tung - Board of directors, heads of divisions and relevant staff
14:00-17:00	My Chanh and Phuong Thanh communes	Supervise procurement activities of the packages belong to prior review of IFAD	- The supervision mission: Mr. Phan Duy Toan - AMD project: Infrastructure Development Staff, relevant accountant - Heads of CPMUs, project staff at commune level
Group 02			
8:00 – 11:30	The AMD project working group of DARD	Financial management status in 2018 under the decentralization of the project	- The supervision mission: Mr. Carlo Spinello - Head of the Financial Management Division, relevant accountant - The AMD project working group of DARD
14:00-17:00	PCU	Work with the Financial Management Division of PCU	- The supervision mission: Mr. Carlo Spinello - The Financial Management Division
September 15-16, 2018			
02 days		Report writing	The supervision mission
September 17, 2018			

Time	Venues	Activities	Participants
Morning	PCU's office	Discuss with PCU on the findings of the mission	- The IFAD supervision mission - AMD project: Board of directors, The Financial Management Division, the Planning and M&E Division, Head of the Administrative Office, Staff of the Strategy Management Division, KMO, interpreter
Afternoon		The IFAD supervision mission travels to Ben Tre	

AGENDA FOR
SUPERVISION MISSION 2018 – AMD BEN TRE (SECOND REVISION)

From September 17- 25, 2018

Time/ location	Topics and itinerary	Participants
September 17, 2018		
14:00 – 16:00	Picking up the SM from Tra Vinh (05 members) and Ms. Radheeka Jirasinha from HCMc. The SM stay at Sao Mai hotel.	- The specialist -Administration Division
September 18, 2018		
08:00 – 11:00 At PCU office	The PCU present the Progress Report in the first 8 months of 2018 and discuss with the SM.	- SM: all members. - Director Board: PD, DPDs. - PCU Divisions: all staff
13:30 – 16:30	***Divided into 2 groups***	
At DPI ***Group 1***	The SM works with the DPI.	- SM: Mr. Kees; Mr. Emmanuel Jouve, Ms. Radheeka Jirasinha, Mr. Carlo Spinello

Time/ location	Topics and itinerary	Participants
		- PCU: PD Han; DPD Nam - Strategic Management Division: Nu, Tai. Lan Anh, Loan
At PCU office ***Group 2***	The SM works with the procurement and bidding division of the PCU.	- SM: Mr .Phan Duy Toan - PCU: DPD Hoa. -Strategic Management Division: Lan Anh, Vien
September 19, 2018- Divided into 2 groups - ***Group 1*** works with relevant departments and the PCU. - ***Group 2*** field visits on financial management.		
Group 1 08:00 – 11:00 At DoNRE office	The SM works with DoNRE on decentralized activities and other issues relating water resource, environment, etc. in the context of climate change.	- SM: Mr. Kees; Mr. Emmanuel Jouve, Ms. Radheeka Jirasinha, Mr. Toan - PCU: PD Han. - Strategic Management Division: Lan Anh, - Leaders of DoNRE and its sub-departments, staff of AMD Ben Tre and AMD Tra Vinh. - Representatives of the PPC office, DPI, DoC, DARD.
14:00 – 16:30 At DARD office	The SM works with DARD on the decentralized activities and other issues on CC agricultural production.	- SM: Mr. Kees; Mr. Emmanuel Jouve, Ms. Radheeka Jirasinha - PCU: PD Han, DPD Nam - Strategic Management Division: Lan Anh, Trang - Leaders of DARD and its sub-departments.
Group 2 08:00 – 11:00 At DCO Binh Dai (Departs from PCU at 6:30)	Financial Specialist works with DCO Binh Dai on financial management and accounting work.	- SM: Mr. Carlo Spinello - Accounting and Budget Division: Loan, Hai Son - DCO Binh Dai.

Time/ location	Topics and itinerary	Participants
13:30 – 16:30 At CPC Thua Duc / DCO Binh Dai	Financial Specialist works with CDB Thua Duc on financial management and accounting work.	- SM: Mr. Carlo Spinello - Accounting and Budget Division: Loan, Hai Son - DCO Binh Dai - CBD Thua Duc
September 20, 2018 – Divided into 2 groups		
Group 1 08:30 – 11:30 At Dong Tam Cooperative, Thua Duc CPC (departs from the PCU at 6:30)	The SM works with Dong Tam Cooperative, Thua Duc CPC on clam products (on the linkage with Hung Truong Phat Aqua product Joint Stock Co.); The SM visits clam field.	- SM: Mr. Kees; Mr. Emmanuel Jouve, Ms. Radheeka Jirasinha - PCU: PD Han, DPD Nam - Strategic Management Division: Lan Anh, Tai, Diep - PCU Tra Vinh (shared experience) - DCO, Binh Dai Agricultural Division - CDB Thua Duc - Leader of Dong Tam Cooperative and some members and farmers - Representatives of Hung truong Phat Aqua product Joint Stock Co.
08:30 – 11:30 At Vang Quoi Dong and Dai Hoa Loc communes	The SM visits CIF work at Vang Quoi Dong and Dai Hoa Loc communes	- SM: Mr Toan - PCU: DPD Hoa - Strategic Management Division: Vien - DCO, Binh Dai - CDB, CSB Thua Duc, Beneficiaries.
13:30 – 14:30 At Thua Duc CPC	- Discuss with the leaders of the district People's Committee, district departments, DCO on the coordination and effectiveness of the project activities; coordination between departments and the project, incorporating AMD activities into other programs/projects at the district. - Discuss with CDB Thua Duc on the results of project activities at the commune.	- SM+PCU: same with the morning. - Leaders of Binh Dai DPC. - DCO Binh Dai. - CDB Thua Duc. - Representatives of district divisions in the technical group of the district (DPC help invite). - HHs/CIGs
15:00 – 16:00 Thua Tien hamlet – Thua Duc	- Visit the water-saving irrigation – Mr Le Van Dang - Visit the oyster raising group – Ms Kim Tuyen (if time is available) Finish working at Thua Duc commune at 16:00.	

Time/ location	Topics and itinerary	Participants
16:30 – 17:00 At Phu Vang commune	The SM visits the commercial Zigzag Eel model (in the area of changing from salty water to fresh water after construction the embankment system).	- SM+PCU: same with the morning. - DCO Binh Dai. - CDB Phu Vang. - HHs/CIGs + farmers providing technical guidance (Mr. Tien).
15:00 – 17:00 At Thua Duc and Phu Vang communes	The SM visits CIF work at Thua Duc and Phu Vang communes	- SM: Mr Toan - PCU: DPD Hoa - Strategic Management Division: Vien - DCO, Binh Dai - CDB, CSB Thua Duc, Beneficiaries
Group 2 08:00 – 11:00 At DCO Mo Cay Bac Departs from PCU At 7:00	Financial Specialist works with DCO Mo Cay Bac on financial management and accounting work.	- SM: Mr. Carlo Spinello - Accounting and Budget Division: Loan, Hai Son - DCO Mo Cay Bac
13:30 – 16:30 At CPC Thanh Ngai	Financial Specialist works with CDB Thanh Ngai on financial management and accounting work.	- SM: Mr. Carlo Spinello - Accounting and Budget Division: Loan, Hai Son - CDB Thanh Ngai
September 21, 2018: Divided into 3 groups: - ***Group 1, group 2:*** field visits - ***Group 3:*** Mr. Carlo Spinello works at the Accounting and Budget Division of the PCU.		
Group 1 *(field visits at Ba Tri district)*		

Time/ location	Topics and itinerary	Participants
08:00 –12:00 At An Hiep commune Departs from PCU at 7:00.	- Models for commercial ducks, ducks for eggs in the direction of self-production of breeds. - Model of transition the area of paddy field to grass field (on the way home). - Model of vegetables linking with Viet Tam Clean Vegetable Company (organic vegetables) and Phu Hung Thinh Clean Soil Company (organic soil).	- SM: Mr. Kees; Mr Toan - PCU: PD Han, DPD Hoa - Strategic Management Division: Tai, Vien - PCU Tra Vinh (shared experience) - DCO, Ba Tri Agricultural Division - CDB An Hiệp - HHs/CIGs. - Viet Tam Clean Vegetable Company and Phu Hung Thinh Clean Soil Company.
14:00 –15:00 At CPC An Hiep	- Discuss with the leaders of the district People's Committee, district departments, DCO on the coordination and effectiveness of the project activities; coordination between departments and the project, incorporating AMD activities into other programs/projects at the district. - Discuss with CDB An Hiep on the results of project activities at the commune. - The SM visits CIF work at An Hiep commune	- SM+PCU: same with the morning. - Leaders of Ba Tri DPC. - DCO Ba Tri. - CDB An Hiep. - Representatives of district divisions in the technical group of the district (DPC helps invite). - CDB, CSB An Hiệp, Beneficiaries.
15g30 – 17g00 At An Hiep commune	- The SM visits the & commercial: Grass -Chicken & Cattle – Earthsworm – Chicken – livestocks	- SM+PCU: same with the morning. - DCO, Agricultural Division of Ba Tri district. - CDB An Hiep - HHs/CIGs.
September 21, 2018:– *Group 2* *(field visits at Thanh Phu district)*		
08:00 –12:00 At Thanh Phong commune	The model of all-male prawns in brackish water rice fields replicating to saline water areas. - The model of Chinese Pangasid-catfish and the aqua product processing HH – Ms Luong Thi Chung;	- SM: Mr. Emmanuel Jouve, Ms. Radheeka Jirasinha - PCU: DPD Nam - PCU Tra Vinh (shared experience)

Time/ location	Topics and itinerary	Participants
Departs from PCU at 6:30	- The model of saving water irrigation on seasonal mangos. - Visit the landslides on Thanh Phong beach (if time available)..	- Strategic Management Division: Lan Anh, Cuong, Vu, Trang, Diep. - DCO Thanh Phu. - CDB Thanh Phong. - HHs/CIGs.
14:00 – 17:00 At Thanh Thoi A commune Mo Cay Nam district	- The model of cattle raising, organic worm for frog and shrimp feeding in Mr. Nguyen Van Them's. - The model of coconut fibre in Ms. Nguyen Thi Nguyen's (if time available).	SM+PCU: same with the morning. - DCO, Agricultural Division of Mo Cay Nam district. - CDB Thanh Thoi A. - HHs/CIGs.
September 22- 23, 2018: At Sao Mai Hotel – Ben Tre town	Drafting the aide-memoire.	All members of the SM.
September 24, 2018: - Divided into 2 groups.		
08g00 – 11h30 In the morning At PCU office	- The SM has a meeting with Deltares on technical issues; Deltares will introduce the software (demonstration version). - The stakeholders of the ASWQM discuss and agree on the timetable framework and the cooperation between the equipment procurement and the software linkage.	- SM: Mr. Kees; Ms. Radheeka Jirasinha, Mr. Toan - PCU: PD Han, DPD Hoa, DPD Nam; Lan Anh - DoNRE: Leaders and technical staff - PCU and DONRE Tra Vinh - Deltares: Head of consultant: Mr. Marcel Marchand; Consultants of model and data design: Mr. Bas Stengs; and the interpreter.
At Sao Mai hotel	Continuing drafting the aide-memoire	SM: Mr. Emmanuel Jouve, M. Carlo Spinello
In the afternoon At Sao Mai hotel	- Finalizing the aide memoire.	- SM: all members
14g30-16g30 In the afternoon At PCU office	- Working with PCU on the draft of aide-memoire	- SM - PCU

Time/ location	Topics and itinerary	Participants
September 25, 2018		
08:00 – 12:00 At Ham Luong hotel	- Final wrap- up meeting with two PSCs, Ben Tre – Tra Vinh AMD: Report on findings 2018 with two PSCs. - Lunch and farewell.	- SM - PPC leaders (Head of PSC) and key members of PSC, PCU and representatives from districts where SM visits (both provinces). * Organizing board: PCU Ben Tre. - Strategic Management Division: picking up the participants. -Administration division, Accounting and Budget division: in charge of the party preparation and in service at the meeting hall. *(All PCU staff)*
13:00 – 18:00	The SM leaves for Ha Noi (Bring the delegation to Tan Son Nhat airport). ***Finish the trip in Ben Tre province.***	- SM - Administration division

For both Provinces the list of participants in working sessions and the names of people met have been carefully recorded and reported to the Supervision Mission. These overviews are on file and available upon request.