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:	04-17 September 2019
Document Date	08/10/2019
Project No.	1100001664
Report No.	5179-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
BT	Ben Tre
CCA	Climate Change Adaptation
CCAF	Climate Change Adaptation Fund (TV)
CFAF	Co-Financing for Adaptation Fund (BT)
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
TV	Tra Vinh

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:	30/06/2019
Signing Date:	31/01/2014	Date of Last SIS Mission:	17/09/2019
Entry into Force Date:	28/03/2014	Number of SIS Missions:	9
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	IFAD	$22,000,077
	ASAP Trust Fund	$12,000,136
Domestic Financing breakdown	National Government	$7,576,070
	Beneficiaries	$7,768,000
Co-financing breakdown,		
Project total financing:		$49,344,283

Current Mission

Mission Dates:	04-17 September 2019
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, Ms. Eva Pedersen, Value Chain Specialist, Mr. Phan Duy Toan, Infrastructure and Procurement Specialist, Mr. Zidni Marohombsar, Financial Management Specialist.
Field sites visited:	Ben Tre province: Mo Cay Bac district, Giong Trom district, Cho Lach district, Binh Dai district. Tra Vinh province: Chau Thanh district, Cau Ke district, Cang Long district, Tien Can district, Duyen Hai district, Tra Cu district, Cau Ngang district

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		4

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	4
Knowledge Management	4
Value for Money	5
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	4
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	4
Potential for Scaling-up	5

Financial Management and Execution	4
Acceptable Disbursement Rate	4
Quality of Financial Management	5
Quality and Timeliness of Audit	5
Counterparts Funds	3
Compliance with Loan Covenants	3
Procurement	4

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, with its closing date set for September 30, 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 2019 supervision mission are to: (i) review the current implementation progress, in particular in respect to the issues and agreed actions of previous missions; (ii) agree with the national and provincial authorities on steps to ensure full implementation and achievement of project objectives; and (iii) agree on steps to institutionalise proven approaches and lessons learned for continued scaling-up and scaling-out.

The Mission interacted with officials from Provincial, District and Commune-level agencies, with project staff and with project partners and beneficiaries; and visited Project activities in both Provinces. Pre-wrap-up meetings were held with the PCUs in each Province, preceding the final wrap-up meeting on September 17. The Mission is grateful for the organisation of its programme, for the fruitful interactions with all concerned and for the hospitality extended.

Key Mission Agreements and Conclusions

The overall indicators for achievement of the development objectives remains***satisfactory***, but the overall implementation performance of the Project has reduced to ***moderately satisfactory***; reflecting on the one hand the achievements made, but on the other the grave concerns over full completion of the Project and over integration of successful AMD approaches into ongoing and future development processes in the Provinces.

Completion. While arguments have been raised for both a short time extension of the present Project and for the financing of a future phase or follow-up project, a dual risk for the Project not being completed, undermines these arguments:

1. Inadequate liquidity for implementing all intended project activities – In both Provinces, national allocations to cover the AWPB during 2019 are inadequate. Implementation has partly been safeguarded by advancing Provincial resources but full approval by MPI on the project expenditure structure until its completion is yet to be obtained. This leads to a large amount of pending withdrawal applications in hand: USD 3.9 million (USD 2.1 million for the loan; USD 1.8 million for the grant). Further delay could cause a likely underachievement of physical targets, resulting in around USD 1.1 million of the loan not being utilised in community infrastructure. In April, IFAD has indicated its willingness to approve a reallocation of resources between different expenditure categories, but as this reallocation is not formalised within the country administration, the enhanced ambition with respect to rural infrastructure and matching grants for climate adaptation activities has been placed on hold by the project management;
2. Using the ASAP grant, around USD 2.5 million is reserved for the establishment of an Automated Salinity and Water Quality Monitoring System (ASWQMS) in the Departments of Natural Resources and Environment (DONRE). The continued and accumulating delay in completion of all elements of this system, enhanced by the weak coordination of both Provincial DONREs, jeopardises the availability of a salinity forecast tool for Mekong Delta farmers and aquaculturists by the Project's completion, and it precludes any possibility for testing, finetuning and dissemination during the project period;

In view of the above, the Provincial Authorities and IFAD agree that (i) immediate steps are taken to ensure adequate resources for completion of the Project; and (ii) close scrutiny will be applied to ensure that the ASWQMS is functional before project completion.

Handing-over. While both Provinces have filed an Exit Strategy, the integration of successful AMD practices in the day-to-day routines and budget allocations of the relevant agencies and institutions in the Provinces is only partially achieved. Especially instruments, such as public-private partnerships, climate adaptation models and climate-informed and consultation-based planning are at risk of not being continued and / or replicated after the Project's completion due to a lack of hand-over of responsibilities and a limited mobilisation of other budgets within the Project period.

In view of the above, IFAD and the Provincial authorities agree that both PCUs should utilise the six-month period up to project completion (i.e. 1 October 2019 to 31 March 2020) a handing-over period, during which lessons learnt will be assessed, current activities are handed-over to owner-institutions, and other budget resources will be mobilised and/or used for replication in- and outside the project area.

D. Overview and Project Progress

Component 1: Building Adaptive Capacity

The progress of the component is moderately satisfactory, reflecting the general good progress, marred by the continued stagnation of the work on the ASWQMS.

Sub-Component 1.1: Climate Change Knowledge Enhancement. The sub-component's performance has decreased to ***moderately unsatisfactory***, reflecting the strong doubts over the timely completion of the ASWQMS and the impossibility of executing a testing phase for the system within the Project's present completion date. The development of adaptation models and packages and the strengthening of value chain has progressed well but attention to continuity beyond the Project period is needed.

Evidence base for adaptation – Both Provinces have set-up organisational structures for developing the evidence base for adaptation. In Ben Tre this resulted in (i) 51 climate change adaptation models, out of which four were not effective in the 2016 dry year; (ii) definition of 27 farming system packages; and (iii) a focus on development of eight priority value chains. This year a study will be commissioned to assess the effectiveness of all 51 models. In Tra Vinh, (i) 40 adaptation models were tested, of which 24 were selected for widespread replication; (ii) 10 out of 12 adaptation studies of potential models were completed; (iii) 16 farming system packages for various agro-ecological zones were identified, and (iv) the Project, through a coordination within the Province, prioritised strengthening the coconut and peanut value chains.

The value chain selection reflects key products in the Province. Activities to strengthen the value chains include (i) strengthening of producer organisations; (ii) introducing producers to buyers; (iii) activating government technical support services by setting production targets, and (iv) supporting product standardisation. These activities are largely reliant on AMD funding. In Ben Tre, the activities are largely driven by DARD, whereas in Tra Vinh DOIT is also well-involved. Value chain strengthening could be pursued more systematically by organising commodity platforms.

Quick scans of the priority 2- 3 value chains per Province should be prepared in draft by a consultant for review by and completion through the commodity platforms. The outcome will serve to identify priority actions in each value chain, with the responsible entity and the resources required from non-AMD budget lines.

In view of the exit of the Project, both the CCA-process and the strengthening of Value Chains needs to be sustained within the institutional set-up of the Province. Appendix 4 of the Supervision Report includes a draft handing-over action plan for AMD that defines steps for transferring lessons from AMD implementation into the routines and budgets of the concerned agencies.

Water quality monitoring and reporting. During the September 2018 Supervision Mission, agreement was reached to have the monitoring stations in operation by March 31, 2019. Doing so would allow for a one-year period in which the ASWQMS could be tested and its use be disseminated. As of today, the procurement of construction services for the monitoring stations has not been completed. An immediate decision on the ongoing procurement by the Provincial Peoples' Committee of Ben Tre is needed to ensure that construction work starts within September 2019 and is completed before March 31, 2020. Moreover, the timely start-up of the system requires a series of urgent decisions to be taken jointly by both DONREs. If assurances on procurement and system start-up cannot be given, the entire investment in the ASWQMS, including technical assistance, equipment, civil works and capacity building up to a value of USD 2,5 million will have been to no material effect.

Even if the remaining works are completed within the Project completion date and the system start-up is timely and successful, concerns remain with respect to the daily running of the ASWQMS. The risks to running the system are all the more distressing as the model is able to predict salinity levels with a 3 – 5-day horizon; and thereby provides key information to water users, which is much more significant than the information provided by any other existing system.

The AMD investment in Rynan Company has helped it enlarge the area where real-time data on water quality and salinity is available, through a mobile application. This provides a partial alternative to the ASWQMS discussed above, and forms an opportunity for enhancing the database and for further dissemination of the ASWQMS.

Knowledge management and dissemination. In both Provinces, materials (brochures and leaflets and in Tra Vinh also video's) have been developed to support climate change adaptation and disaster risk management; consultation-based socio-economic development planning; implementation of micro-finance, co-financing for adaptation and PPPs.

Sub-Component 1.2: Climate Informed Planning is ***satisfactory.*** Climate change-sensitive and consultation-based socio-economic development planning has been institutionalised in all districts and communes of both Provinces.

Climate-Informed Commune and District SEDPs. This activity exceeds targets. The commune and District SEDP process and outcomes are well-appreciated by officials and beneficiaries. The SEDPs have generally helped target AMD resources to relevant activities and to target group beneficiaries. It appears that a high level of control of the commune over resources and activities leads to good results in targeting and quality of the activities. While the situation appears to be better in Tra Vinh, Communes and Districts have not fully used the opportunity to attract and allocate resources from

national target programmes and other financiers to the replication of AMD activities in and beyond the Project area. The synergy between district and commune SEDP in view of budget planning can be improved: While the bottom-up commune SEDP should inform districts of the actual needs of communities, the district SEDP with defined budget plans should set a framework (including budget bandwidth) for realistic planning and prioritisation in the commune SEDP.

Climate-informed Provincial SEDP. AMD provides technical assistance to DARD, DONRE and DPI for integration of climate change issues into sector action plans and the provincial SEDP. Sector plans and the Provincial plan for 2021-2026 are under preparation. The planning for 2021 – 2026 provides an opportunity to further strengthen public plans and planning practices in the Province:

- The coherence between sector plans and the Provincial SEDP can be enhanced by facilitating an exchange workshop between DARD, DONRE, DPI and possibly other agencies.;
- On the threshold of the next five-year plan, it is good to discuss with concerned agencies, Districts and Communes how the utilisation of national target programmes and other resources for replication of AMD practices can be enhanced

Climate Change Policy Dialogue. In Ben Tre, DONRE, with support from AMD has taken the lead to support other departments in developing their CCA action plans. DPI facilitated the preparation of the Sustainable Action Plan of Ben Tre Province for 2030. In Tra Vinh, workshops and seminars to enhance awareness on climate change adaptation have been provided at District and Province levels.

Tra Vinh CCCO has commissioned a study into groundwater availability in the Province. Both Provinces support groundwater infiltration pilot trials undertaken through the programme of The Netherlands.

Component 2: Investing in Sustainable Livelihoods

The overall achievements under component 2 are ***satisfactory*** despite a few issues requiring attention.

Sub-Component 2.1: Rural Finance for Resilient Livelihoods is ***moderately satisfactory*** and would exceed this if progress in institutionalisation of micro-finance and institutional financing of value chains could be achieved.

Development of savings and credit groups in project communes. WDFs have fully utilised the technical and capital support from AMD for extending microfinance to poor households. It is noted with concern that the membership for Ben Tre has fallen from 5,307 to 5,157 over the last year. The reasons for this are not analysed and have not led to a change in operation or services offered by the WFD.

So far, cautious use is made of the possibility to use loans as a matching contribution for obtaining co-financing for adaptation activities. Till date 219 individual SCG members in Ben Tre and 72 individual SCG members in Tra Vinh could access matching grants to a value of respectively VND 1.3 billion and VND 501 million, respectively. No SCG has as yet invested its members combined credit for obtaining an adaptation grants as a group.

The impact of WDF services on poverty reduction and women's advancement is impressive. According to monitoring and survey information, in both Provinces 90% of the SCG members have increased their income. This should,not however, lead to complacency, and the WFDs are urged to review and adjust their lending strategy and financial products in view of the experience gained during AMD.

MFI development. AMD support has helped the WDFs in Ben Tra and Tra Vinh provinces to build their technical and lending capacities and to prepare for registration as an MFI with the State Bank of Vietnam.

In order to become an independent financial institution, WDF Tra Vinh has increased number of professional and fulltime staffs to 32 and reduced WU's part-time staffs from 22 to 14. It organised 8 staff training courses in business management, planning and risk management; and it initiated a TOT programme on development of farmer's groups and cooperatives. WDF Ben Tre has commissioned a consultant to prepare the application for registration as an MFI in accordance with the PM Decision number 20/2017. Based on last year’s progress, it was expected that the necessary documents would have been filed for registration already.

For both WDFs, the development context, the market for rural finance and its own capacities have changed and a reorientation during the handing-over period of the strategies of both WDFs is needed.

Value Chain Financing. While financial service providers have participated in project organised meetings to promote financing of PPP companies, a more comprehensive approach towards value chain financing for value chains prioritised in each Province has not been pursued. Lack of mobilisation of financial institutions undermines the sustainability of value chain strengthening activities that are undertaken.

Sub-Component 2.2: Investing in Climate Change Adaptation is ***satisfactory*** in view of the substantial progress achieved with each of the investment modalities.

Community Investment Fund. In both Provinces, infrastructure works have amply demonstrated their relevance for

climate change adaptation, value chain development and poverty reduction. Community supervision boards took an active role in supervision of construction works, and operation and maintenance groups were established and trained for completed works.

The pending allocation of project funds to the 2019 AWPB causes delay to the start of construction works for 14 schemes in Ben Tre and six schemes in Tra Vinh. In order to complete construction of these works before the project completion date, procurement procedures must be completed in 2019. Contracts with selected contractors can, however only be signed after approval of the budget for the planned CIF works[1].

There are delays in implementation of 5 CIF works under the 2019 AWPB in Cau Ngang district, as the procurement plans are still not approved. A concrete road completed in 2019 in An Loc Village, Hoa Tan commune, Cau Ke district has not met technical requirements and the investment owner has required remedial measures by the contractor.

Adaptation Funds. The Climate Change Adaptation Funds (CFAF in Ben Tre, CCAF in Tra Vinh) support a competitive farmer grant programme, facilitating co-investments in climate smart and pro-poor agriculture. The Funds, which have been in operation since 2016, have developed the regulatory framework and information material for the grant process, disseminated these widely amongst the established CIGs, conducted necessary capacity building activities, and have been initiated in all project communes.

The achievement in CFAF/CCAF implementation is significant and the Project's steps to engage vulnerable groups (e.g. SCGs), to promote CCA practices and technologies, to accelerate investments through capacity building, and to simplify procurement are appreciated.

Despite positive results, challenges persist: (i) progress in 2019 is low due to the delayed budget allocation by the Government (see discussion elsewhere); (ii) activity implementation still relies strongly on project staff despite formal involvement of commune and district staff; (iii) lack of long-term leadership for the organising Farmer-to-Farmer and Enterprise-to-Farmer extension services; (iv) limited success in using other financial resources at the disposal of communes and districts already now for co-financing adaptation activities; (v) absence of a comprehensive assessment of the value of CFAF/CCAF for achieving development goals at Commune and District levels. Such an assessment – and the review thereof by concerned agency staff – is important for ensuring further development and continuation of co-financing for climate adaptation. This should be addressed during the Project's handing-over phase. The assessment is furthermore an important input for the project completion report and for documentation of CFAF/CCAF good practices. The quality of CFAF/CCAF implementation is still diverse amongst groups and provinces. Group-to-group and province-to-province exchanges can promote best practices in term of design of the models and adaptations made by farmers, which both make replication easier or more affordable.

Public Private Partnership Fund. The purpose of the PPP fund is to kick-start development of value chains in rural communes through competitive co-investments by private enterprises and the project. To access the co-investment, the businesses have developed investment plans for review of their technical and financial viability and development impact by the PCU and provincial authorities.

Tra Vinh AMD has sustainably implemented the PPP program through involvement of government agencies including (DARD and DOIT) in identification, pre-selection, and business development services. DARD and DOIT are well aware and have adequate capacity to replicate the PPP approach. Various similar PPP supports have been implemented throughout the province using provincial budget through 'Resolution 45', DOIT's enterprise support program, and DOST's brand and certification support program.

AMD has over the last year accelerated progress and improved the quality. The project has helped link agribusinesses to growth markets outside the province, resulting in an increase of 30% (in BT) and 25% (in TV) of export revenues for various commodities (e.g. pig, weaving, fruits, garment,); diversification of products, hence generating more added value; and attracting more enterprises investing in both provinces[2].

The following issues affect PPP implementation and sustainability:

- Handing-over and institutionalisation of PPP approach: Neither the project implementation documents, nor the exit strategy provide a clear approach for absorbing the role of AMD with respect to PPP into the organisational setting of the Province. Awareness, capacity and hands-on involvement of partner agencies on PPP implementation is still limited. In Ben Tre, key partner(s) for PPP hand-over and institutionalisation have not been selected. Mechanisms for sustainability and replication of PPPs are not well established. For both provinces, finetuning, hand-over and institutionalisation of the PPP approach during the handing-over period is a priority. Guidelines are provided in Appendix 4 of the supervision report.
- A comprehensive assessment of the PPP approach is missing, as 29 investments still need to be formally evaluated. This is a required input for the Project Completion Report, but also a necessary input for the hand-over and institutionalisation of the PPP approach in the Province; as well as a knowledge product to improve future support to and replication of PPPs.

[1] Referred to Article 19, Decree 16/2016/ND-CP on management and uses of ODA and preferential loans.

[2] Source: Impact evaluation report of 12 PPPs, DARD progress reports, DPI progress reports, DARD progress reports and direct interview with selected enterprises.

Agreed Action	*Responsibility*	*Agreed Date*
ASWQMS civil works Contract an eligible construction company to complete the civil works for the AWQSMS	PPC Ben Tre, DONRE, PCU	09/2019
ASWQMS start-up Inform system developer of key decisions with respect to ASWQMS start-up	PPCs, DONREs, PCUs	09/2019
SEDP consultation workshop Organise a consultation workshop between agencies on the sector and Provincial SEDPs under development ahead of their finalisation to enhance their consistency and synergy	PCU, DPI, DARD, DONRE	10/2019
MFI registration Submit MFI registration request to the State Bank of Vietnam	WDF Ben Tre	10/2019
CFAF/CCAF handing-over Hand-over current project responsibilities, along with coaching of responsible staff in implementation and replication, and guidance to allocation of other resources (see appendix 4)	PCU	10/2019
CFAF/CCAF impact assessment Conduct a CFAF impact assessment as input for replication, project completion report and documentation of good practices	PCU	10/2019
ASWQMS long-term funding Ensure that running the ASWQMS – including outsourced management of its web-application – is included in the sector SEDPs, including requisition of adequate resources	DONRE, DPI, DOF, PCU	11/2019
PPP roadmap Develop and implement the road map for hand-over and institutionalisation of the PPP approach	PCU	11/2019
PPP impact assessment Conduct full-fledged impact assessment of PPPs	PCU	11/2019
CCA review workshop Implement a CCA review workshop with concerned agencies and experienced producers to define lessons for future CCA model and package development	PCU, DARD, DOIT	12/2019

Commodity platforms Organise commodity platform meetings (including financial institutions) to draw lessons for continued value chain strengthening	PCU, DARD, DOIT	12/2019
Value chain Quick scan Use quick scans of priority value chains to identify priority actions, budgets and resources	PCU, DARD, DOIT, DPI, others as relevant	12/2019
SEDP integration Include CCA model and package development and value chain strengthening in the sector SEDPs, including requisition of adequate resources	PCU, DARD, DOIT, DPI, others as relevant	12/2019
Utilisation non-AMD resources Organise a policy dialogue around the question how to enhance utilisation of non-AMD resources for replication of adaptation models, value chain strengthening and public private partnerships	PCU, PPCs, DPI, DONRE, DARD, selected Districts and Communes	12/2019
Lending strategy Adjust lending strategy and diversify financial products based on an analysis of the experience during AMD (including an analysis of the present drop in membership in Ben Tre)	WDFs	12/2019
Strategic business plan 2020 - 25 Prepare Strategic Business Plans 2020-25	WDFs	12/2019
Procurement preparedness Undertake procurement for the planned 14 CIF works in Ben Tre and 6 additional CIF works in Tra Vinh to ensure immediate works implementation upon budget release	PCU, DPCs, CPCs	12/2019
Cau Ngang District Complete procurement for 5 planned CIF works in Cau Ngang district	PCU Tra Vinh, Cau Ngang DPC and CPCs	12/2019
Data integration Pursue integration of data from the Rynan system into the ASWQMS FEWS database	DONREs, PCUs	03/2020

E. Project implementation

a. Development Effectiveness

Effectiveness and Developmental Focus		
Effectiveness	**Rating: 4**	**Previous rating: 4**

Justification of rating

It is likely that the project objective is going to be met. While some components achieve above the target, others are lagging behind. Across the project, over 70% of the main output targets are going to be achieved. One important outcome is at risk, with urgent actions agreed during the Supervision Mission wrap-up.

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. Main issues for an effective implementation are:

- Substantial delays on the ASWQMS
- Pending allocation of central resources for AWPB 2019, specifically affecting community infrastructure and the co-financing of climate change adaptation model implementation.

Development Focus		
Targeting and Outreach	**Rating: 5**	**Previous rating: 5**

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 the targeting is generally good and quite exemplary for the rural credit provided by the WFDs, there are two concerns, which need to be taken into consideration in design of a future programme:

- In a few cases the benefit of the adaptation funds appear to be biased towards the group leader or group leaders. The apparent better targeting of the rural credit reflects inter alia the close involvement of the communes in identifying the beneficiaries. It seems logical that a greater role of the communes in ensuring the inclusiveness of funds for adaptation activities can help to reduce occurrence of elite capture. During the hand-over phase, effective from October 1, 2019, the Project is to ensure a well-defined role of representatives of the communes in selecting and guiding beneficiaries;
- Presently, some communes may be tempted to report reduced poverty numbers to comply to the 'new rural development'-status declared by government. In some communes, poverty figures are apparently under-reported, providing a challenge in targeting.

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

Justification of rating

Women continue to account for a substantial number of beneficiaries, and gender-related impacts are likely to be sustained beyond the life of the project. AMD addresses economic empowerment (inter alia through the Women Development Fund), but voice and decision-making as well, with considerable and well-recorded women's participation in Socio-economic Development Planning.

Agricultural Productivity	**Rating: N/A**	**Previous rating: 4**

Nutrition	**Rating: N/A**

Adaptation to Climate Change	Rating: 5	Previous rating: 5

Justification of rating

Synergies and logics between subcomponents in view of climate change adaptation are ensured by the project. Eighty percent of climate change-related activities including SEDP, adaptation models, CIF, CFAF/CCA, SCG, and PPP are implemented as planned which builds strong resilient capacity for partners and communities.

Main issues

Climate adaption and environmental protection is the core of AMD project. All project instruments including SEDP, CFAF/CCA, SCG, CIF, and PPP are designed to deliver the objectives of climate change adaptation. The project has successfully mainstreamed climate-informed SEDP planning in all the communes in two provinces. The project also provides support to all elements contributing to climate resilient households including 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.

Given the increasing exposure to climate change risks including drought, erratic rains and hurricanes, the project is required to work harder in maintaining and replicating the climate and environment related achievements. Project database and mission field visits show that various climate resilient production models, although well-tested, are still difficult to replicate due to (i) non cost effective and still complicated methods, (ii) lack of guidance for replication, and (iii) lack of proper partner to continue monitoring, guiding and replicating the models. All of the above is included in the guidance for the handing-over period (Appendix 4).

b. Sustainability and Scaling up

Institutions and Policy Engagement	Rating: 4	Previous rating: 4

Justification of rating

The project has had moderate influence on the policy or institutional framework by placing climate change adaptation more firmly on the agenda of the two Provinces, by enhancing public participation in socio-economic development planning and in by ensuring that such planning is informed by inter alia climate change information.

Main issues

The project has contributed to development of local institutions and to pilot implementation of innovative agriculture and rural development policies. As evidence, the project has: (i) institutionalised in both project and non-project communes the climate-smart market-oriented socio-economic planning (MoSEDP); (ii) developed community-based farmer's organizations namely SCGs, CIGs, CGs and cooperatives; (iii) built partnerships among the farmers, public agencies and the private sector along value chains; (iv) introduced innovative approaches such as the value chain analysis and planning, climate adaptive solutions, public private partnership, matching grant instruments for mobilization of resources and economy-of-scale through collective actions by farmer's groups. However, the project has not systematically or universally pursued the transfer of its approaches into the national target programme for poverty reduction, new rural development of the ‘one commune one product-programme.

Institutionalising AMD approaches in the routines of departments and programmes is to be addressed in the handing-over period described in the section under ‘Project Management’, including an identified action.

Partnership-building	Rating: 4	Previous rating: 4

Justification of rating

The Project has promoted fruitful partnerships with government entities, mass organizations (Women's Unions and Farmer's Unions), community-based associations and the private sector at Province, District and Commune levels. Partnership with communities is shaped through Common Interest Groups, Community Groups, Savings and Credit Groups and Infrastructure Supervision Boards, with explicit participation of poor, women and ethnic minorities. Partnership with private sectors in agriculture is particularly successful in the PPP-activity. However, partnerships-building with national programme coordination offices and the other donor-supported projects in the project areas remains limited.

Main issues

Now that the project comes to its end partnership with the NTP-NRD and NTP-SPR in the provinces is important to ensure the AMD activities are mainstreamed in ongoing and future investments. This will be addressed in the handing-over phase, as described under 'Project Management', and supported by Appendix 4.

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

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 a say in local decision-making processes and also the recurring socio-economic development planning is now attuned to public consultation. Group formation is largely conductive for obtaining co-financing or credit; but the graduation to cooperatives of some groups shows the potential of an enhanced degree of joint economic action (input supply, bulking, grading and processing, collective sales, etc.).

Quality of Beneficiary Participation	Rating: 4	Previous rating: 4

Justification of rating

Beneficiaries are consulted and heard in overall development planning processes, as well as in project activities planning. So far, beneficiary priorities have been less effectively addressed by national programmes and budgets, then by project activities but responsiveness of the national programmes has increased. Beneficiary groups facilitate access to external support through mobilising group resources, but orientation on long-term and continued development is only there in cases where groups are exceptional, or where graduation to a cooperative takes place (accompanied by more support from government agencies).

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 budget planning and allocations, replication through NTP-NRD and Sustainable Poverty Reduction Program, 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. In Tra Vinh, replication action plan for CCA/CFAF models was prepared by PCUs and under implementation for expanding CCA models to non-project communes. In Ben Tre, CFAF models are scaled-up mainly through revolving mechanisms of supported livestock to new members.

Actions are included in the relevant sections.

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

Justification of rating

Project interventions through awareness raising initiatives, adaptive models, CFAF/CCA, PPP, and SCG instruments have improved the natural resource base in the project area. The off-farm livelihood activities are helping households to disengage from farming and thereby decrease pressure (and dependency) on land resources. The pressure on the natural resource has been reduced and natural resources are now used in a more sustainable manner.

Main issues

Project M&E and mission field observations identify various interventions that create positive impacts on natural resources

Project M&E and mission field observations identify various interventions that create positive impacts on natural resources and environment. These include climate change and disaster risks management plans in all communes, GAP-certification, organic production, water saving techniques for irrigated agriculture (drip and sprinkler systems), promotion of vermin/enzyme compost production and use in horticulture, decreased pressure on natural resources through production of raw material such as bamboo, decreased pressure on land and water resources through off-farm income opportunities.

Further improvements could be made by promoting institutional support to replication and institutionalisation of above interventions through hands-on involvement of relevant agencies (e.g. DARD, FU) using existing resources (see more discussions in the CFAF/CCA section and the section of climate change adaptation).

Exit Strategy	Rating: 4	Previous rating: 5

Justification of rating

An exit strategy supported by most project stakeholders has been developed in both Provinces, and includes entries with respect to institutional arrangements, legal aspects, ownership and post-project funding.

Main issues

The exit strategy should ensure that successful project approaches contributing to climate change adaptation are continued to be developed, maintained, expanded and replicated beyond the withdrawal of external funding and the demobilisation of the Project teams. The present exit strategies, however, lack operational detail and – more importantly – are as yet not strongly taken in hand.

The sustainability of the Project's adaptation approaches is uneven across components: (i) Development of adaptation models and packages and strengthening of value chains is at risk of not continuing with the same vigour and focus beyond project completion; (ii) the ASWQMS may not be completed within the project period and there are insufficient guarantees on its uptake after the project completion; (iii) the climate-sensitive and consultation-based SEDP process is institutionalised and begins to impact on the mobilisation of non-AMD resources; (iv) the provision of micro-finance is likely to continue, with Ben Tre's WFD close to formal MFI-registration; (v) development of value chain finance remains in its infancy and its continued development would benefit from a closer association with the overall process of value chain strengthening; (vi) community infrastructure is already invested in by other budgets using successful modalities developed under AMD; (vii) replication and expansion of the co-financing of adaptation and the PPP approach would benefit from a fuller hand-over of responsibilities from the project to the concerned entities, along with hands-on support and capacity building.

The project is not to revisit its Exit Strategies but will actively switch to its implementation by entering a hand-over period, effective from October 1, 2019. An action to this effect is included under 'Project Management'. Guidance for the hand-over is included in the actions agreed during this Mission and in a step-by-step guide included in Appendix 4.

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

Justification of rating

The Provincial Governments are interested in the AMD approaches and have already replicated aspects thereof, such as the consultation-based socio-economic development planning, and the emphasis on climate change adaptation. Documentation of approaches is ongoing and will intensify in the final months, accompanied by more attention to hands-on involvement of the concerned departments. Potential for wider replication exists, as similar approaches are also undertaken in other Provinces.

c. Project Management

Quality of Project Management	Rating: 4	Previous rating: 5

Justification of rating

Project management addresses most implementation issues and provides follow-up on agreed actions. Project Steering Committees support management, and help reinforce decisions. Development objectives are upheld and clearly communicated. The competence and continuity of staff is high. Project management has, however, been reactive in addressing key concerns on project completion and handing-over.

Main issues

As described at length in the section on 'key agreements and conclusions' above, there are grave concerns over full

As described at length in the section on "Key agreements and conclusions" above, there are grave concerns over full completion of the Project and over integration of successful AMD approaches into ongoing and future development processes in the Provinces:

- Inadequate liquidity for implementing all intended project activities – This needs to be resolved by the PPCs working closely with the MPI and MOF to obtain approval for the revised expenditure allocations;
- Automated Salinity and Water Quality Monitoring System (ASWQMS) – The four actions provided in the technical section on the ASWQMS, which are the responsibility of the DONREs and the PCUs, must be closely scrutinised by the Project Steering Committees in order to ensure that deadlines are upheld, and emerging issues resolved;
- Handing-over – For the remaining implementation period, focussed attention is needed to integrate successful AMD practices in the responsibilities, day-to-day routines and budget allocations of the relevant agencies and institutions in the Provinces. To this end, the PCUs, with cross-agency coordination through the PSCs, should use the period from1 October 2019 to project completion as a handing-over period. Specific guidance is given in appendix 4.

The Project is now foreseen to have a six-month period for administrative closure, starting from the completion date of 30 March 2010. During this period, implementation of some activities may take place, or continue to take place. This relates to:

- Project Completion Report (PCR). AMD is selected for an independent impact assessment by IFAD's Research and Impact Assessment department (RIA). Impact data for this study will be surveyed in early 2020. This survey needs to be well coordinated with data collection for the PCR to preclude overlaps; while the preparation of the PCR will benefit from access to these data. It follows logically that the PCR can only be completed during the period for administrative closure;
- Audit of the 2020 accounts. The Project was reminded of the required project audits for the fiscal year ending December 31, 2019, and for the remaining project period in 2020. Both Ben Tre and Tra Vinh PCUs need to submit for clearance the TORs for the project audits of 2019 and 2020 (before 30 November 2019), which should clearly specify auditor deliverables of two separate audit reports for FY 2019 and for the final project audit covering FY2020. These reports are to be submitted for IFAD review by or before June 30, 2020 and September 30, 2020, respectively.

Agreed Action	***Responsibility***	***Agreed Date***
AWPB allocation Resolve with MPI and MOF the allocation of resources to the AWPB 2019	PPCs, DPI, DOF, PCU	09/2019
Ensure ASWQMS progress Scrutinise and support the timely completion of the ASWQMS	PSCs, PCUs, DONREs	09/2019
Handing-over period Intensify handing-over activities in the period 1 October 2019 to March 31, 2020 (using appendix 4 as guidance)	PCUs, PSCs, concerned departments	03/2020
Project Completion Report Coordinate PCR with independent impact assessment studies and submit PCR within the project closure period	PCUs	08/2020
Audits 2019 and 2020 Submit to IFAD for review (a) the audit TORs; (b) the 2019 Project Audit Report; and (c) the 2020 Final Audit Report on the stipulated dates.	PCUs	

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

Justification of rating

The Project has a knowledge management plan with a knowledge management officer assigned to implement the plan. However, project learning system requires improvement as lessons learnt from the Project are still not fully taken-up by

higher levels. Also, project experience and good practices are still not sufficiently documented and disseminated.

Main issues

The main results and outputs for knowledge management and information dissemination are reported upon under subcomponent 1.1.c. The project has produced documentations in the form of manuals and leaflets and has disseminated information in district, provincial, and regional workshops and trainings. The project knowledge management has been regularly updated through the newspapers and TV broadcasting on the weekly and monthly basis. The project has developed reportages on successful project activities, published project biannual newsletters, compiled lessons learnt on successful models for sharing and replication. Most of these knowledge products are archived and posted on social media (YouTube, Facebook, etc.) to attract interested readers. Persisting challenges to the project knowledge management include (i) limited availability of extension materials to individual farmers, and (ii) the limited dissemination of successful climate change adaptation models to a wider audience at local level.

Value for Money	Rating: 5	Previous rating: 4

Justification of rating

Project implementation is considered efficient and project investments represent satisfactory value for money. There is an allocation issue encountered during implementation in the current year but the Project has been able to mitigate the effects by using provincial budgets and is likely to achieve tangible positive results positive impacts.

Main issues

The Mission noted efficiency gains amounting to more than VND 10 billion from procurement of civil works in the 2017 – 2019 period.

WDFs have qualified to register as MFIs with increased operational self-sufficiency rates of 166% for Ben Tre and 130% for Tra Vinh. The WDF has also established 89% and 300% of the respective targets in savings and credit groups of Ben Tre and Tra Vinh.

For CFAF/CCAF, average income of household beneficiaries in Ben Tre increased by 30% based on the 2018 impact assessment conducted. Tra Vinh has reached 103% of its original target of CFAF households. The Mission has recommended implementation of adequate exit strategy for CFAF and replication to non-project areas, which would improve further value for money.

PPPs likewise showed favourable results with 1,733 permanent jobs (300% of target) were created at the enterprise/cooperative level in Ben Tre; average IRR of 25%; and incremental income of 35% for farmer households. Tra Vinh reported 30% increase in income of 797 laborers (500% of target) recruited for its PPP models.

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

Justification of rating

Against a modest annual financial disbursement rate of 37% for both Ben Tre and Tra Vinh (excluding beneficiary contributions) due to delayed budget allocation by the Government, the physical progress of the project still reaches around 70% of the AWPB targets. Project activities are on track and the AWPB is projected to be fully implemented by December 2019 provided sufficient budget is allocated timely.

AWPB Inputs and Outputs Review and Implementation Progress

On 30 August 2019, the disbursement against the 2019 AWPB was 2019 AWPBs were 37% (VND 38.4 billion) in BT and 37% (VND 39.1 billion) in Tra Vinh. Adequate budget for the 2019 AWBP is not made available by Government due to a limited allocation under the 2016-2020 medium-term public investment plan for AMD Ben Tre; and due to an incorrect allocation for Tra Vinh. The project has made efforts to overcome this constraint by (i) working with MPI and MOF to pursue allocation of an amount of VND 110 billion for BT and the transfer of VND 50 billion from loan to grant allocation for TV; and (ii) borrowing VND 38 billion (in BT) and VND 41 billion (in TV) from the PPC budget. Due to the PPC loan, physical progress exceeds the disbursement rate.

Project implementation priorities in 2019 include (i) institutionalisation of medium-term and annual SEDPs at commune level; (ii) completion of on-going CFAF/CCA and PPP contracts (iii) replication of successful CFAF/CCA/PPP models; (iv) accelerated implementation of community infrastructure works, including settlement of outstanding construction contracts; (v) gradual closure of project accounts at communes; and (vi) implementation of a project exit strategy, including preparation of the project completion report. The liquidity crisis affecting the 2019 AWPB would preclude the Project from achieving its ambitions, especially with respect to community infrastructure and co-financing of adaptation. Release of

funds for the 2019 AWPB by MOF is urgent and is further discussed under Fiduciary section.

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

Justification of rating

The M&E system is in place with clear guidance and templates, and competent staff at all levels. MIS is regularly maintained with monthly database updates. Progress reports with outcomes, outputs, activities are periodically developed (quarterly within project, and bi-annually to IFAD). M&E system contributes to decision making process by the management unit.

M&E System Review

The M&E system has been in place with competent M&E staff at all levels. To date, the following achievements include: (i) an M&E manual with all monitoring tables developed and updated; (ii) 17 M&E training courses (8 in BT, 9 in TV) organised for M&E staff at PCUs, and DCOs; (iii) two IFAD missions organised to support the project with updating specific indicators in the ORMS log-frame, to include concrete targets; and with provision of simple and focused indicator measurement system where data can be captured by regular monitoring instead of large size sample surveys; (iv) required M&E activities including update of monitoring tables, and evaluation of project instruments were conducted. The collected data provide a substantial database for the project progress reports. The project thematic evaluations including SEDP, PPP, and CCA/CFAF, and final RIMS survey are under preparation, and will be implemented in the last quarter of 2019 to provide inputs for the project completion report (PCR). In order to ensure the project results are well-reflected in the project completion report, the mission recommends the project the following: (i) as per specific IFAD guideline and template for PCR, prepare an action plan with detailed timeline for PCR implementation; (ii) collect and consolidate all required data and information to be incorporated in the full-fledged PCR.

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

Justification of rating

AMD was designed prior to 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 B. The project may have some adverse environmental and/or social impacts that are site-specific, reversible in nature and readily remedied by appropriate preventive actions and/or mitigation measures. The lacking ASWQMS affects the environmental monitoring and thus it prohibited a higher rating.

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 groups and individual households include: sustainability, CC adaptation solutions and absence of environmental risks. In the PPP manual, environmental aspects are taken in account at selection stage.

d. Financial Management & Execution

Disbursement by financier

Type	Name	Current Amount	Disbursed Amount	Actual Rate
Domestic Financing breakdown	National Government	$7,576,070	$5,872,000	77.5%
	Beneficiaries	$7,768,000	$9,464,000	121.8%

Acceptable Disbursement Rate	Rating: 4	Previous rating: 5

Justification of rating

The project is in its 6th and final year of implementation and 79% of the combined loan and grant finance has been disbursed (including outstanding advances). When comparing to the disbursement profile for a completed project this achievement rates as moderately satisfactory. Specifically, 90% of the IFAD loan and 58% of the ASAP grant has been disbursed. Ben Tre and Tra Vinh have withdrawn 81% and 98% of their Loan; and 55% and 61% of their Grant respectively. So far, there has not been an extension of the Project.

Main issues

Disbursement is behind expectations. This reflects a substantial amount in pending withdrawal applications, as well as restrictions on physical progress set by the current liquidity crisis of the Project.

Loan disbursement would have reached 97% and the grant 66% if IFAD had received the Withdrawal Applications (WAs) that are pending at the Ministry of Finance (MOF). The pending WAs pertain to loan and grant expenditure from July 2018 to January 2019 equivalent to SDR 1.0 million (VND 33.3 billion) and SDR 0.6 million (VND 19.9 billion), respectively. The WAs are kept pending in MOF as the 2019 GoV allocation to AMD has not been defined. Other WAs in process at the PCUs, equivalent to SDR 1.2 million (VND 37.8 billion), are also at risk of non-approval by the MoF.

Despite budget restrictions, the Project was able to implement planned activities and disbursed VND 78 billion against advances of VND 82 billion extended by both the Provincial Governments. The PCUs Ben Tre and Tra Vinh disbursed 24% and 37% of their respective 2019 AWPB. However, full progress – and hence additional disbursement – is restricted by uncertainty over the 2019 allocation from GoV. In Ben Tre 14 CIF sub-projects with a total investment of VND 30.0 billion are pending, awaiting the release of the budget allocation, while in Tra Vinh this is the case for 6 CIF sub-projects valued at VND 8.1 billion.

The allocation table in the Project Financing Agreement (PFA) has been revised twice (at MTR and subsequent to the 2018 supervision mission). IFAD had issued No Objection on both revisions, pending a formal request by MOF to IFAD. Presently a third reallocation in budget categories is proposed.

The IFAD Financial Management and Administration Manual allows category overdrafts in the six months preceding the project completion date. As this period starts on October 1, the allocation tables in principle agreed to by IFAD in April 2019 would not need to be revised.

The proposal to revise the IFAD/GoV investment ratio in civil works from 50/50 to 80/20 would constitute a major revision of the terms of the FA and should be reconsidered. Changes to the current funding ratio need to be concurred to by both partners and must be reflected in a revised financing agreement if needed.

To ensure unhindered use of project funds, AMD will urgently need to obtain formal approval from MPI and MOF for the final category allocations it proposed for Project completion.
Urgent settlement of the category allocations is needed to allow the release of VND 110 billion in project allocation for AMD Ben Tre and to transfer VND 50 billion from the loan allocation to the grant allocation for AMD Tra Vinh.

Agreed Action	***Responsibility***	***Agreed Date***
Pursue MOF's release of 2019 project allocations of VND 110 billion for Ben Tre, and MOF's transfer of VND 50 billion in loan allocation to grant for AMD Tra Vinh.	AMD	09/2019
Coordinate with MOF the immediate approval and submission to IFAD of pending WAs for 2018 expenditures (Ben Tre loan WA's #18, 19, and 20 and grant WA#14; and Tra Vinh grant WA# 19)	AMD	09/2019

Fiduciary aspects

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

Justification of rating

Fiduciary processes and controls remain adequate and in place at PCUs, and at district and commune levels of AMD. Project financial reporting and the existing automated accounting system have remained reliable. However, there are moderate shortcomings in financial management relating to timeliness in disbursement of project funds and to the management of designated accounts brought about by the lacking allocations for 2019.

Main issues

In addition to the issue of allocation of the 2019 AWPB resources by MPI – discussed under 'Acceptable Disbursement Rate' – the Project needs to be mindful of IFAD procedures on the recovery of advances to designated accounts that is required ideally to begin six months before Project completion date (March 31, 2020) and finished by no later than the financing closing date. At present, the advances to loan and grant designated accounts of both PCUs amount to USD 3.6 million and USD 2.0 million, respectively.

Agreed Action	*Responsibility*	*Agreed Date*
Submit a recovery plan to IFAD for the adjustment of advances to the loan and grant designated accounts with the WAs to be submitted to IFAD.	AMD	10/2019

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

Justification of rating

The audit reports substantially comply with the agreed terms of reference and the IFAD guidelines and acceptable auditing standards. The audit report was received on time and complete.

Main issues

The audit report of the fiscal year ended on 31 December 2018 was submitted on time. The audit firm that conducted the audit was AASC Auditing Firm Company Limited. The Financial Statements were prepared in accordance with the accrual basis of accounting and audited in accordance with International Standards of Auditing, which are acceptable to IFAD.

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

The audit opinion on Financial Statements was 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.

Counterparts Funds	**Rating: 3**	**Previous rating: 4**

Justification of rating

The Project has disbursed at least 68% of annual counterpart funds from Central and Provincial Governments by August 31, 2019, and therefore could be said to be on track. This was, however, only possibly through a temporary advance from the Provinces pending release of the full required allocation from the central government. Without this mitigation measure, counterpart funding stand only at about 37% of the funds needed in the current fiscal year.

Main issues

See under 'acceptable disbursement rate'.

Compliance with Loan Covenants	**Rating: 3**	**Previous rating: 5**

Justification of rating

The Project complies with key legal covenants. However, as a consequence of the delay in the release of the allocation by the Central Government, the proceeds of the Financing Agreement are at this moment not available to the Project, contrary to Section 7.02 of the IFAD General Conditions regarding Availability of Financing Proceeds. The PCUs expect receiving the required loan and grant allocations soon. A prolonged non-fulfilment of this particular covenant would affect project implementation or achievement of development objectives, and would constitute a violation of the IFAD financing agreement.

Main issues

In a letter to AMD Ben Tre dated 10 May 2019, MOF advised the PCU to report the issue of pending WAs for 2018 expenditures to the Provincial People's Committee (PPC) of Ben Tre and to coordinate with the MPI and MOF with respect to requesting an additional allocation for 2019 in order for MOF to continue disbursing funds. The Project requires from the Central Government the release of the 2019 allocation of VND 110 billion for AMD Ben Tre.

For Tra Vinh, MOF allocated VND 64.8 billion from the loan for AMD but nothing from the grant. The PCU through the PPC has requested the MOF in January 2019 to correct and revise the allocation received and to transfer VND 50 billion from the loan allocation to the grant allocation. The PCU has coordinated with MOF with the latter requesting in June 2019 the Prime Minister to authorise its Head to resolve the issue with the National Congress.

Actions are included under ‘acceptable disbursement rate’.

Procurement

Procurement	Rating: 4	Previous rating: 5

Justification of rating

Ex-post reviews of procurement and contract documents at the PCU shows that procurement activities are carried-out in compliance with IFAD procurement guidelines and national regulations. A crucial procurement process for the completion of activity 1.1.a is not advancing and remedial action has so far been inadequate. Therefore, procurement is not rated as satisfactory.

Procurement Review

In Ben Tre, the 2019 AWPB and Procurement Plan was revised and approved in August 2019. Eleven work contracts, one goods contract and one consulting service under the 2019 AWPB are subjected to IFAD’s prior review. The PCU actively supports and oversees procurement activities carried-out by implementing agencies including project communes. By September 2019, efficiency gains amounting to VND 7.1 billion (11%) were made from procurement activities since 2017. So far, 6 training course on procurement (including a training course on e-procurement) were organized by the PCU for 738 participants of implementing agencies and project staff at provincial, district and commune levels. Following the Government’s roadmap for the national e-procurement system, the project plans to conduct e-procurement for about half of the CIF work contracts in 2019.

In Tra Vinh, the 2019 AWPB and Procurement Plan was revised in April and August 2019 with 11 additional packages. A random check of procurement and contract documents at PCU and communes shows the Project complies with its procurement manual. However, in several cases, draft bidding documents and/or request for proposals for goods and service contracts are not well-prepared and required revisions and updates during procurement process. By September 2019, a total efficiency gain of VND 3.0 billion (4.3%) was made from works procurement since 2017.

There are substantial delays in procurement of ASWQMS equipment and monitoring stations. The contract for purchasing ASWQMS equipment was only signed on 5 September 2019, whereas the procurement of works for ASWQMS monitoring stations (with a bid opening on 20 June 2019) is still under process. The delays are partly due to design revisions and giving clarifications to the bidders. Key bottleneck at this moment is, however, the technical evaluation of the bids. An immediate decision with respect to the qualifications of the bidders, supported by the Provincial Authorities, is needed in order to ensure timely work completion.

Agreed Action	*Responsibility*	*Agreed Date*
ASWQMS works contracts Finalise the bid evaluation report for procurement of the ASWQMS monitoring stations and submit via NOTUS for prior review	PCU, DONRE Ben Tre	09/2019

F. Relevance

Relevance	Rating: 5	Previous rating: 5

Justification of rating

The current design is consistent with the needs of the target groups and is a practical application of IFAD and Government policies and national priorities. As before, a continued and more forceful integration between approaches could be expected to deliver better results; whereas a continued and more forceful transfer of project approaches to other national programmes and budgets would result in a higher degree of replication.

G. Lessons Learned

Value chain approach guiding Climate Change Adaptation interventions

Under component 1 of the project, building adaptive capacity aims at developing an Agriculture and Rural Development sector Climate Change 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 10 researches have been completed. A Participatory Action Research process, in collaboration with technical agencies (DARD in particular) have resulted in identifying an additional number of climate change adaptation models. The models are tested and then demonstrated in Common Interest Groups with co-financing in the form of Climate Change Adaption Funds. 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 agribusinesses (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, Public-Private-Partnerships funds and small-scale infrastructures with Commune Investment Funds.

Valuable lessons have been learned by the project under both approaches described above: the climate adaptation models and the value chain approach:

- The adaptive research focus allows developing 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;

- Selecting a partner to maintain successful Climate Change Adaptation models is key to sustainability and replication efforts. Partners serve the important role of supporting and advising beneficiaries, but also on monitoring and reporting impacts. Partners can utilise reported results and impacts to further guide beneficiaries on opportunities for improvement and replication efforts. Partners also serve the role of streamlining models and approaches into government programmes, securing therefore, a source of continuous support. Extension staff at district and commune levels should identify a partner (contact person) throughout the early stages of the implementation of the model to ensure that models are sustained and replicated;

- Selected Climate Change Adaptation models do not always qualify for direct replication. To strengthen the potential for replication of Climate Change Adaptation models, relevant institutions should develop a set of selection criteria that is based on pro-poor impact, simplicity, ease of application, potential for replication, cost efficiency. Criteria based selections will likely lead to the selection of models that have a higher potential for replication. To increase the potential for replication, existing Climate Change Adaptation models can be adapted to meet farmers' current income levels through simplification and cost efficiency measures. Extension staff at district and commune levels should build awareness on the importance of direct replication of models, but also emphasise opportunities for adapting existing models to meet farmers' ability to finance and sustain the models;

- To strengthen the sustainability and replication of Climate Change Adaptation models, community investment groups (CIGs) should be encouraged to collectively pool resources and save as a group. The ability to collectively save depends naturally on household liquidity levels, but also on the amount of trust between members and households. Project extension staff should encourage households to collectively save, as savings to a large extent contribute to a CIG's sustainability and self-sufficiency. Savings can be utilised to make important investments in equipment and machinery, as well as the purchasing of required input materials. Pooled savings can greatly contribute to replication efforts, by financing the expansion of group-based activities, which require additional support and labour;

- 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;

- Value chain adaptation measures that are initiated and led by enterprises serve as effective ways to integrate poor and near poor households into value chains. Vertical integration measures and outsourcing can be used to create

win/ win scenarios for all parties involved in the value chain. Best practices on inclusive value chain adaptation techniques should be promoted within the private and public sector. One way to share best practices is via commodity platforms, where public and private sector actors can meet and discuss best practices and challenges pertaining to a specific sector and/or commodity;

- The private sector and relevant government industry and trade commerce groups play an important role in business development. Start-Up companies and Small and Medium Enterprises (SMEs) often require business development advice services and financing to sustain and expand business operations. Awareness on the support channels for business development should be promoted amongst Start-Up companies and SMEs to increase opportunities for financing and sound business decision-making. Selecting a partner throughout the selection and early stages of the project implementation increases the awareness of beneficiaries on their ability to rely on business development support services and on the sources for financing.

The Public Private Partnership instrument

The Project fund for Public Private Partnerships (PPP) is an innovative instrument through which enterprises and farmers benefit from technical and financial support. Enterprises received technical and financial supports from the project through a co-financing mechanism. In exchange, enterprises sign contract with farmers as input suppliers, and recruit local people as workers for the enterprises. Achievements of this practice include: (i) diversification of products, making use of the large potential for by-products, which often were thrown away before; (ii) expansion of market for products; (iii) building capacity of enterprises through market and value chain training activities; (iv) security for producers through contract farming; (v) generation of permanent and seasonal jobs for farmers; and (v) an increase in profit and income for enterprises and farmers respectively. The PPP instrument is rolled-out to all IFAD projects in Vietnam and mainstreamed in the Government Decree 57 on engagement of enterprises in agriculture.

More emphasis on Climate Change Adaptation in implementation

Although the Project's adaptation Fund's co-financing instrument provided initial success in terms of productivity and profitability; various models that were financed still did not perform well under severe weather extremes including drought and flood. The Project could achieve a more significant climate change adaptation success if: (i) systematic research into climate change and disaster risks would take into account local/regional micro climates, (ii) Disaster risk and climate change adaptation scenarios were integrated in Socio-economic Development Plans and Value Chain Action Plans to better guide the Project Adaptation Fund investments; and (iii) agencies, institutions and provinces would interact more strongly during the identification and selection of viable CCA production models

H. Agreed Actions

Agreed Action	***Responsibility***	***Agreed Date***
Overview and Project Progress		
ASWQMS civil works Contract an eligible construction company to complete the civil works for the AWQSMS	PPC Ben Tre, DONRE, PCU	09/2019
ASWQMS start-up Inform system developer of key decisions with respect to ASWQMS start-up	PPCs, DONREs, PCUs	09/2019
SEDP consultation workshop Organise a consultation workshop between agencies on the sector and Provincial SEDPs under development ahead of their finalisation to enhance their consistency and synergy	PCU, DPI, DARD, DONRE	10/2019
MFI registration Submit MFI registration request to the State Bank of Vietnam	WDF Ben Tre	10/2019

CFAF/CCAF handing-over Hand-over current project responsibilities, along with coaching of responsible staff in implementation and replication, and guidance to allocation of other resources (see appendix 4)	PCU	10/2019
CFAF/CCAF impact assessment Conduct a CFAF impact assessment as input for replication, project completion report and documentation of good practices	PCU	10/2019
ASWQMS long-term funding Ensure that running the ASWQMS – including outsourced management of its web-application – is included in the sector SEDPs, including requisition of adequate resources	DONRE, DPI, DOF, PCU	11/2019
PPP roadmap Develop and implement the road map for hand-over and institutionalisation of the PPP approach	PCU	11/2019
PPP impact assessment Conduct full-fledged impact assessment of PPPs	PCU	11/2019
CCA review workshop Implement a CCA review workshop with concerned agencies and experienced producers to define lessons for future CCA model and package development	PCU, DARD, DOIT	12/2019
Commodity platforms Organise commodity platform meetings (including financial institutions) to draw lessons for continued value chain strengthening	PCU, DARD, DOIT	12/2019
Value chain Quick scan Use quick scans of priority value chains to identify priority actions, budgets and resources	PCU, DARD, DOIT, DPI, others as relevant	12/2019
SEDP integration Include CCA model and package development and value chain strengthening in the sector SEDPs, including requisition of adequate resources	PCU, DARD, DOIT, DPI, others as relevant	12/2019
Utilisation non-AMD resources Organise a policy dialogue around the question how to enhance utilisation of non-AMD resources for replication of adaptation models, value chain strengthening and public private partnerships	PCU, PPCs, DPI, DONRE, DARD, selected Districts and Communes	12/2019
Lending strategy Adjust lending strategy and diversify financial products based on an analysis of the experience during AMD (including an analysis of the present drop in membership in Ben Tre)	WDFs	12/2019

Strategic business plan 2020 - 25 Prepare Strategic Business Plans 2020-25	WDFs	12/2019
Procurement preparedness Undertake procurement for the planned 14 CIF works in Ben Tre and 6 additional CIF works in Tra Vinh to ensure immediate works implementation upon budget release	PCU, DPCs, CPCs	12/2019
Cau Ngang District Complete procurement for 5 planned CIF works in Cau Ngang district	PCU Tra Vinh, Cau Ngang DPC and CPCs	12/2019
Data integration Pursue integration of data from the Rynan system into the ASWQMS FEWS database	DONREs, PCUs	03/2020
Project Management		
AWPB allocation Resolve with MPI and MOF the allocation of resources to the AWPB 2019	PPCs, DPI, DOF, PCU	09/2019
Ensure ASWQMS progress Scrutinise and support the timely completion of the ASWQMS	PSCs, PCUs, DONREs	09/2019
Handing-over period Intensify handing-over activities in the period 1 October 2019 to March 31, 2020 (using appendix 4 as guidance)	PCUs, PSCs, concerned departments	03/2020
Project Completion Report Coordinate PCR with independent impact assessment studies and submit PCR within the project closure period	PCUs	08/2020
Audits 2019 and 2020 Submit to IFAD for review (a) the audit TORs; (b) the 2019 Project Audit Report; and (c) the 2020 Final Audit Report on the stipulated dates.	PCUs	
Financial Management & Execution		
ASWQMS works contracts Finalise the bid evaluation report for procurement of the ASWQMS monitoring stations and submit via NOTUS for prior review	PCU, DONRE Ben Tre	09/2019
Pursue MOF's release of 2019 project allocations of VND 110 billion for Ben Tre, and MOF's transfer of VND 50 billion in loan allocation to grant for AMD Tra Vinh.	AMD	09/2019

Coordinate with MOF the immediate approval and submission to IFAD of pending WAs for 2018 expenditures (Ben Tre loan WA's #18, 19, and 20 and grant WA#14; and Tra Vinh grant WA# 19)	AMD	09/2019
Submit a recovery plan to IFAD for the adjustment of advances to the loan and grant designated accounts with the WAs to be submitted to IFAD.	AMD	10/2019

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 (2018)	Cumulative Result (2018)	Cumulative Result % (2018)	Source	Frequency	Responsibility	
Outreach	1.a Corresponding number of households reached							Project M&E system	Annual		
	Women-headed households			30 000	**9 911**	**43 518**	**145.1**				
	Non-women-headed households				**4 241**	**26 467**					
	Households				**14 152**	**69 985**					
	1 Persons receiving services promoted or supported by the project							Project M&E system	Annual		
	Females			60 000	**28 699**	**114 631**	**191.1**				
	Males			65 000	**36 453**	**152 533**	**234.7**				
	Indigenous people				**5 527**	**30 803**					
	Total number of persons receiving services				**65 152**	**267 164**					
	1.b Estimated corresponding total number of households members							Project M&E system	Annual		
	Household members			125 000	**56 608**	**279 940**	**224**				

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2018)	Cumulative Result (2018)	Cumulative Result % (2018)	Source	Frequency	Responsibility	
Project 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		**7.5**	**18.8**				
	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	**1 440**	**22 748**	**75.8**				
	60% poverty reduction in project communes							Business enterprise records □ CPRP annual reports			
	poverty reduction					**27.6**					
	Females					**6 364**					
	poor					**25 060**					
Development 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				**11**	**339**					

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2018)	Cumulative Result (2018)	Cumulative Result % (2018)	Source	Frequency	Responsibility	
	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	**8 423**	**33 348**	**111.2**				
	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	**11 123.7**	**31 342.7**	**104.5**				

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2018)	Cumulative Result (2018)	Cumulative Result % (2018)	Source	Frequency	Responsibility	
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	**6**	**31**	**206.7**				
	At least 80% of provincial communes and districts have adopted a community-based disaster risk management plan and community adaptation plan										
	communes			80		**100**	**125**				
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			
	Males					**0**					
	Females					**0**					
	Indigenous people					**0**					

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2018)	Cumulative Result (2018)	Cumulative Result % (2018)	Source	Frequency	Responsibility	
	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	**8**	**9**	**36**				
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)
	Household members			125 000	**65 152**	**267 164**	**213.7**				

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2018)	Cumulative Result (2018)	Cumulative Result % (2018)	Source	Frequency	Responsibility	
	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	**635**	**2 319**	**116**				
	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	**6 214**	**22 033**	**73.4**				
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	**11**	**359**	**598.3**				

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2018)	Cumulative Result (2018)	Cumulative Result % (2018)	Source	Frequency	Responsibility	
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		**0.45**	**9**				

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2018)	Cumulative Result (2018)	Cumulative Result % (2018)	Source	Frequency	Responsibility	
	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		**50.3**	**100.6**				
	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		**68.16**	**227.2**				
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	**556**	**3 234**	**311**				
	1.1.5 Persons in rural areas accessing financial services							RIMS report	Annual		

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2018)	Cumulative Result (2018)	Cumulative Result % (2018)	Source	Frequency	Responsibility	
	Women in rural areas accessing financial services - savings				**-3 107**	**10 460**					
	Indigenous people in rural areas accessing financial services - savings				**5 077**	**8 198**					
	Women in rural areas accessing financial services - credit				**2 556**	**14 767**					
	Indigenous people in rural areas accessing financial services - credit				**1 332**	**3 904**					
	value of gross loan portfolio							RIMS report	Annual		
	loan portfolio				**5 556.1**	**13 191.1**					
	Value of voluntary savings							RIMS report	Annual		
	savings				**364.85**	**715.85**					

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2018)	Cumulative Result (2018)	Cumulative Result % (2018)	Source	Frequency	Responsibility	
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				**1**	**1**					
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	**2 390.1**	**9 298.1**	**116.2**				
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;	Annual		

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2018)	Cumulative Result (2018)	Cumulative Result % (2018)	Source	Frequency	Responsibility	
								Project baseline studies, mid-term & completion evaluations			
	Households			6 000	**3 971**	**8 258**	**137.6**				
	Males				**1 703**	**4 270**					
	Females				**2 268**	**3 988**					
	Indigenous people				**797**	**2 421**					
	poor				**4 031**	**5 854**					
	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				**1 756**	**50 856**					
	Females				**3 962**	**29 780**					
	Poor				**4 205**	**22 182**					
	Total number of people			30 000	**5 718**	**80 636**	**268.8**				
	10,000 HHs replicate CFAF model							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	Households			10 000	**6 579**	**11 644**	**116.4**				

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2018)	Cumulative Result (2018)	Cumulative Result % (2018)	Source	Frequency	Responsibility	
	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				**2 744**	**5 617**					
	Females				**6 178**	**8 915**					
	Indigenous people				**983**	**2 806**					
	poor				**4 219**	**6 386**					
	Total number of people			4 000	**8 922**	**14 532**	**363.3**				
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	**208.4**	**1 899.4**	**105.5**				
	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	**98**	**281**	**281**				

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2018)	Cumulative Result (2018)	Cumulative Result % (2018)	Source	Frequency	Responsibility	
	At least 3,600 HHs benefitted from PPP models							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	Males				**2 146**	**5 101**					
	Females				**2 019**	**4 055**					
	Poor				**679**	**2 579**					
	Total number of people			3 600	**4 165**	**9 156**	**254.3**				
	300 sustainable jobs generated from PPP models							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	Males				**583**	**1 282**					
	Females				**145**	**1 109**					
	Poor				**23**	**639**					
	Total number of people			300	**728**	**2 391**	**797**				
	Number of contracts between enterprises and farmers signed after workshops							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	contracts				**1 584**	**4 585**					

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:	04-17 September 2019
Document Date	08/10/2019
Project No.	1100001664
Report No.	5179-VN

Asia and the Pacific Division
Programme Management Department

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

AMD Ben Tre

Table 2A: Financial performance by financier

Financier	Appraisal (USD '000)	Disbursements (USD '000)	Per cent disbursed
IFAD loan	10,931	8,073	74%
IFAD grant	6,002	3,046	51%
Government	3,844	2,841	74%
Beneficiaries	3,844	4,446	114%
Total	24,661	18,406	75%

Table 2B: Financial performance by financier by component (USD '000)

	IFAD loan			IFAD grant			Government			Beneficiaries			Total		
Component	**Appraisal**	**Actual**	**%**	**Appraisal**	**Actual**	**%**	**Appraisal**	**Actual**	**%**	**Appraisal**	**Actual**	**%**	**Appraisal**	**Actual**	**%**
Building adaptive capacity	915	4	0.5	5,029	2,369	47.1	1,199	80	7.0	-			7,143	2,453	34
Investing in Sustainable Livelihoods	8,587	6,608	76.9	755	673	89.2	1,859	1,780	96.0	3,510	4,446	1.27	14,711	13,507	92
Project Coordination	1,429	1,365	95.5	218	103	47.1	786	981	1.25	374			2,807	2,449	87
Total	10,931	7,977	73	6,002	3,145	52.4	3,844	2,841	74.0	3,884	4,446	1.14	24,661	18,409	75

Table 2C-1: IFAD loan disbursements (SDR, as at 31-08-19)

Category	Category description	Original Allocation	Revised Allocation	Disbursement	W/A pending (MOF)	W/A pending (PCU Ben Tre)	Balance	Per cent disbursed
I	Works	1,330,000	1,729,000	1,459,816	269,697	8,592	(9,105)	101%
II	Equipment and Material	260,000	260,000	141,207	17,765	41,480	59,548	77%
III	Consultancies	430,000	430,000	72,587	11,786	11,266	334,361	22%
IV	Training	800,000	800,000	295,405	62,006	42,264	400,325	50%
V	Credit, Guarantee Funds	1,050,000	1,050,000	1,057,351	-	-	(7,351)	101%
VI a	Grants and Subsidies A	1,010,000	1,111,000	534,823	410,816	148,686	16,675	98%
VI b	Grants and Subsidies B	580,000	780,000	272,279	180,287	115,157	212,277	73%
VII	Operating costs	380,000	380,000	110,070	31,207	27,049	211,674	44%
VIII	Salaries and Allowances	560,000	560,000	320,656	59,544	73,378	106,422	81%
	Unallocated	700,000	-	-	-	-	-	-
	Initial deposit	-	-	1,513,715	-	(188,889)	(1,324,826)	-
	Total	**7,100,000**	**7,100,000**	**5,777,909**	**1,043,108**	**278,983**[a]	**-**[b]	**81%**[c]

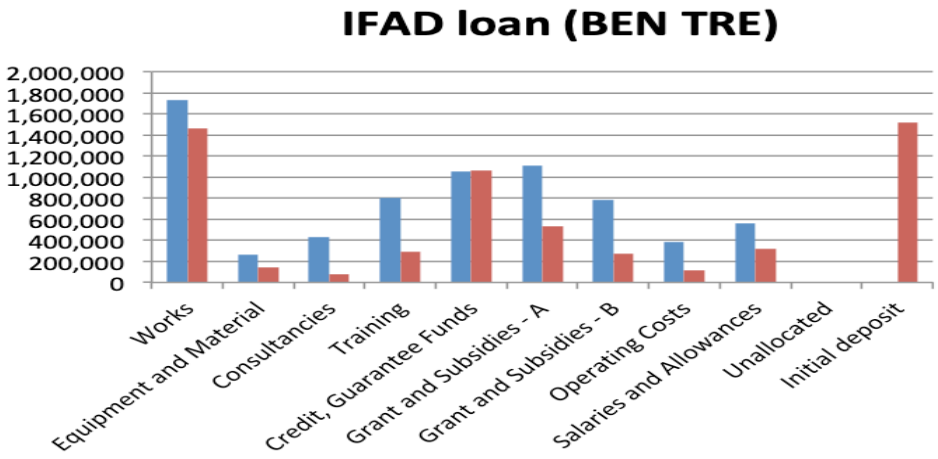
[a] *Net of recovery of advances to designated account*
[b] *Net of pending WAs and outstanding advances to designated account*
[c] *Total disbursements including pending WAs, but excluding outstanding advances to designated account*

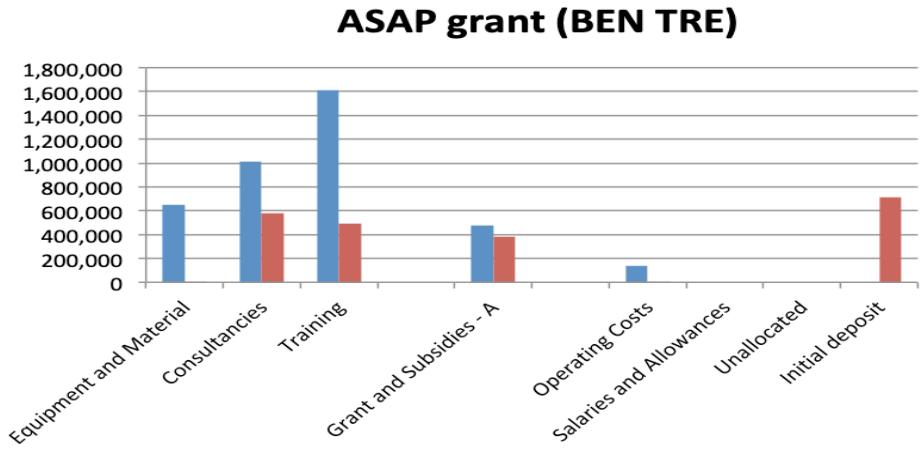
Table 2C-1: IFAD grant disbursements (SDR, as at 31-08-19)

Category	Category description	Original Allocation	Revised Allocation	Disbursement	W/A pending (MOF)	W/A pending (PCU Ben Tre)	Balance	Per cent disbursed
I	Works	-	-	-	-	-	-	-
II	Equipment and Material	300,000	652,000	7,975	40,906	101,780	501,339	23%
III	Consultancies	1,010,000	1,010,000	579,184	92,167	96,992	241,657	76%
IV	Training	1,610,000	1,610,000	493,854	157,552	216,226	742,368	54%
V	Credit, Guarantee Funds	-	-	-	-	-	-	
VI a	Grants and Subsidies A	440,000	478,000	380,900	103,835	-	(6,735)	101%
VI b	Grants and Subsidies B	-	-	-	-	-	-	-
VII	Operating costs	140,000	140,000	7,869	-	-	132,131	6%
VIII	Salaries and Allowances	-	-	-	-	-	-	-
	Unallocated	390,000	-	-	-	-	-	-
	Initial deposit	-	-	712,862	-	-	(712,862)	-
	Total	**3,890,000**	**3,890,000**	**2,182,644**	**394,460**	**414,998**	**897,898**[a]	**59%**[b]

[a] *Net of pending WAs and outstanding advances to designated account*
[b] *Total disbursements including pending WAs, but excluding outstanding advances to designated account*

Figure 1: **IFAD loan/grant disbursement, comparisons between original and revised allocations and actual disbursement (Ben Tre)**





AMD Tra Vinh

Table 2A: Financial performance by financier

Financier	Appraisal (USD '000)	Disbursements (USD '000)	Per cent disbursed
IFAD loan	11,130	9,937	89%
IFAD grant	6,033	3,346	55%
Government	3,800	3,031	80%
Beneficiaries	3,885	5,018	129%
Total	24,848	21,332	86%

Table 2B: Financial performance by financier by component (USD '000)

	IFAD loan			IFAD grant			Government			Beneficiaries			Total		
Component	**Appraisal**	**Actual**	**%**	**Appraisal**	**Actual**	**%**	**Appraisal**	**Actual**	**%**	**Appraisal**	**Actual**	**%**	**Appraisal**	**Actual**	**%**
Building adaptive capacity	909	-	-	5,028	2,102	41.8	1,161	56	4.9	-			7,098	2,158	30
Investing in Sustainable Livelihoods	8,723	7,649	87.7	750	903	120.4	1,857	2,064	111.1	3,885	5,018	129.2	15,215	15,634	103
Project Coordination	1,498	1,381	92.2	254	68	26.6	782	911	116.5	-			2,534	2,360	93
Total	11,130	9,030	81.1	6,032	3,073	50.9	3,800	3,031	79.8	3,885	5,018	129.2	24,847	20,152	81

Table 2C-1: IFAD loan disbursements (SDR, as at 31-08-19)

Category	Category description	Original Allocation	Revised Allocation	Disbursement	W/A pending (MOF)	W/A pending (PCU Tra Vinh)	Balance	Per cent disbursed
I	Works	1,340,000	1,760,000	1,943,017	216,541	172,840	(572,398)	133%
II	Equipment and Material	260,000	260,000	121,052	-	-	138,948	47%
III	Consultancies	430,000	430,000	75,048	-	-	354,952	17%
IV	Training	870,000	870,000	444,130	-	-	425,870	51%
V	Credit, Guarantee Funds	1,050,000	1,050,000	1,091,741	-	-	(41,741)	104%
VI a	Grants and Subsidies A	1,020,000	1,300,000	1,321,498	-	-	(21,498)	102%
VI b	Grants and Subsidies B	590,000	590,000	296,534	10,710	-	282,756	52%
VII	Operating costs	350,000	350,000	367,923	6,795	3,030	(27,748)	108%
VIII	Salaries and Allowances	640,000	640,000	407,334	14,133	7,168	211,365	67%
	Unallocated	700,000	-	-	-	-	-	-
	Initial deposit	-	-	1,066,749	(133,205)	(183,038)	(750,506)	-
	Total	**7,250,000**	**7,250,000**	**7,135,026**	**114,974**[a]	**-**[a]	**-**[b]	**90%**[c]

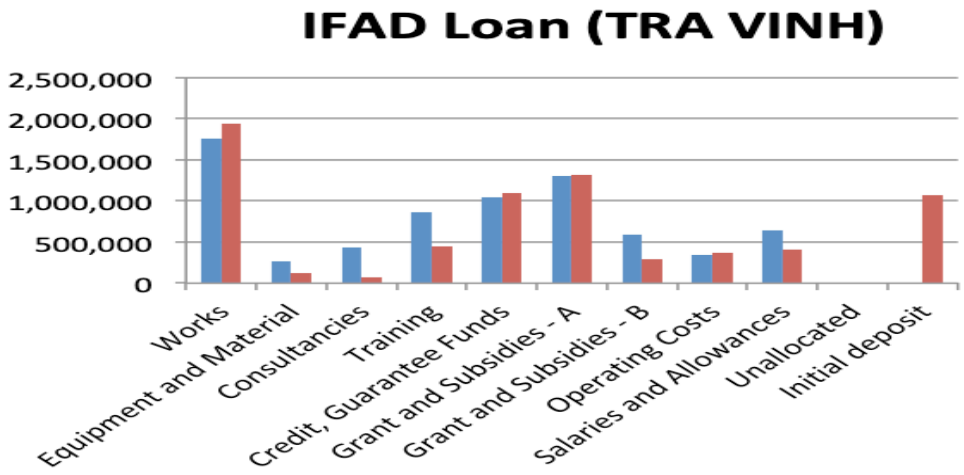
[a] *Net of recovery of advances to designated account*
[b] *Net of pending WAs and outstanding advances to designated account*
[c] *Total disbursements including pending WAs, but excluding outstanding advances to designated account*

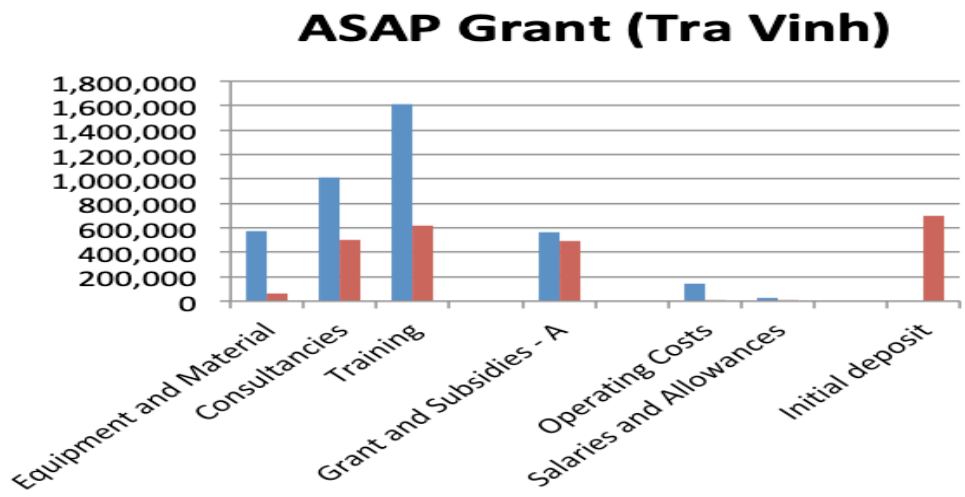
Table 2C-1: IFAD grant disbursements (SDR, as at 31-08-19)

Category	Category description	Original Allocation	Revised Allocation	Disbursement	W/A pending (MOF)	W/A pending (PCU Tra Vinh)	Balance	Per cent disbursed
I	Works	-	-	-	-	-	-	-
II	Equipment and Material	300,000	576,800	60,572	3,076	-	513,152	11%
III	Consultancies	1,010,000	1,010,000	500,222	101,943	-	407,835	60%
IV	Training	1,610,000	1,610,000	620,742	154,586	120,009	714,663	56%
V	Credit, Guarantee Funds	-	-	-	-	-	-	
VI a	Grants and Subsidies A	440,000	563,200	493,317	76,920	69,479	(76,516)	114%
VI b	Grants and Subsidies B	-	-	-	-	-	-	-
VII	Operating costs	140,000	140,000	6,347	1,537	-	132,116	6%
VIII	Salaries and Allowances	30,000	30,000	9,225	899	-	19,876	34%
	Unallocated	400,000	-	-	-	-	-	-
	Initial deposit	-	-	696,602	-	-	(696,602)	-
	Total	**3,930,000**	**3,930,000**	**2,387,027**	**338,961**	**189,488**	**1,014,524**[a]	**56%**[b]

[a] *Net of pending WAs and outstanding advances to designated account*
[b] *Total disbursements including pending WAs, but excluding outstanding advances to designated account*

Figure 2: **IFAD loan/grant disbursement, comparisons between original and revised allocations and actual disbursement (Tra Vinh)**





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:	04-17 September 2019
Document Date	08/10/2019
Project No.	1100001664
Report No.	5179-VN

Asia and the Pacific Division
Programme Management Department

Appendix 2: Physical progress measured against AWP&B
(As of 30 August, 2019)

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
Component 1: Building adaptive capacity Objective: A comprehensive agriculture sector CC adaptation management framework operating with participating communities, institutions of the province		No. of different viable pro-poor climate resilient farming system packages , each adopted by more than 400 poor & near poor households	Model	NT	19		21	4	
		% of farmers and enterprises in project communes able to articulate climate-informed SEDP. (poverty/gender)	%	NT			71%	70%	
		% of farmers and aquaculturists registered with automated salinity monitoring system that use salinity updates for water-use decision making.	%	NT			80%	70%	
Sub-Component 1.1: Climate change knowledge enhancement									
Output 1.1.1: Studies/farming models for climate resilient production developed		No. of climate resilient farming models particularly analyzed in terms of natural, economic and financial conditions.	Model	NT	1		51	TBM	
		Main contents related to DRM/CC identified, then integrated into SEDP.	Content	NT				TBM	
		% of trained people are able to apply knowledge to develop value chain development plan.	%	NT			100	70	

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
	No. of CC value chains identified.	No. of value chains being implemented effectively.	Value chains	NT			18	4/6 VC	300%
Output 1.1.1: Studies/farming models for climate resilient production developed	No. of model of cultivation system adaptible to climate change to be surveyed and test at suitable scale		Model		19		21	7	300%
	No. of households participate in the test of climate resilient farming models.		Household	TBM	4		466	280	166%
	No. of people trained in value chain, market access, and economic analysis.		People		5,989		18,769	TBM	
1.1.1.1 Implementing adaptive studies (studies forwarded from 2018/ new studies with integrating with some technical support of the Dutch delegation)	List approved		Model	6	6	100%	10	1	1000%
	No. of consultant working months		Month	18	18	100%	30		
	No. bidding packages		Package	6	6	100%	16		
1.1.1.2 Consulting on reviewing, analyzing and proposing climate change adaptation system packages	No. of consultant working months		Month	3	-		-		

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
	No. technology news		Technolog y news	13	-		-		
	No. bidding packages		Package	1	1	100%	1		
1.1.1.3 Technical support to implement some stages in each value chain approved by province and district (08 provincial VCs and 10 district VCs) (including forwarding 2018)	Number of activities done		Hoạt động	50	188	376%	395		
	Stakeholders of VCs		People	5,000	5,989	120%	18,769		
	No. bidding packages		Package	15	2	13%	3		
1.1.1.4 Support for capacity building for agricultural cooperatives, enterprise development and collective economy (training for enterprises, cooperatives and managers); Organizing events connecting enterprises with PPPs involved in value chain linkages in the context of adaptation to climate change) (including forwarding 2018)	Courses held		Activity	13	5	38%	24		
	Participants attended		People	1,600	228	14%	2,272		
1.1.1.5 Implementation of sustainable livelihoods models adapted to climate change (including new models and transition models from 2018)	Number of models		Model	2	1	50%	48		
	Number of package		Package	2	1	50%	34		

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
1.1.1.6 Support for VietGAP certification, GlobalGAP / clean brand-name for some key agricultural products of the province and district	Number of certifications		Certificatio n	14	-		6		
	Number of package		Package	10	8	80%	14		
1.1.1.7 TA on capacity building for SMEs in rural areas, PPP- involved enterprise associated to provincial agricultural value chains in the context of climate change adaptation (including forwarding 2018)	No. of consultant working months		Month	3	-		3		
	No. bidding packages		Package	1	-		1		
Output 1.1.2: A sustainable salinity monitoring system with web-based open source database established	An automatic water-quality monitoring system invested and put into use.	Near real time updates from automated salinity monitoring system disseminated	Automatic water-quality monitoring system	TBM				TBM	
		% of households using the water quality testing equipment for water-use decision making in their production practice	%	NT			80%	80	
	No. of households (groups) provided and trained in using the handled salinity monitoring equipment.		Household				653	1,000	65%
	Water quality testing equipment supplied.		Equipment				653	TBM	

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
1.1.2.1 TA contract on developing the Investment Report for the automatic salinity and water quality monitoring system in Ben Tre and Tra Vinh provinces (implemented from 2015 to 2018) (including capital in 2018 forwarded for settlement) (including forwarding 2018)	W/m of experts		Month	3	7	233%	32		
1.1.2.2 Monitor the use of handheld sensors provided	Number of households provided		Household / farmer group						
1.1.2.3 Establishment of an automatic water quality and monitoring system including construction, procurement for items related to the monitoring system (number of packages: 06 including detailed design, procurement of equipment for stations and operating centers ...) (including forwarding 2018)	Sensor stations built		Station	20					
	No. bidding packages		Package	20					
1.1.2.4 Workshop on the development and operation of automatic monitoring system, dissemination of access to information for user groups, evaluation of system development, promotion services, piloting in the first two	Number of workshop		Workshop	1			1		

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
years	Participants attended		People	150			60		
1.1.2.5 Training on the operational skills of the monitoring system; forecasting skills on climate change, weather, environmental monitoring for officials at all levels (including forwarding 2018)	Number of training courses		Course	4	1	25%	3		
	Number of participants attended		People	100	30	30%	84		
1.1.2.6 Equipment investment of the Center for Environmental Monitoring of Water Quality (implementation within 2017-2018) including 2018 transitional funds	No. bidding packages		Package	1	-		1		
1.1.2.8 Construction of an automated monitoring station operator (including forwarding 2018)	No. bidding packages		Package	1	-		1		
Output 1.1.3: Climate change adaptation knowledge management and dissemination	No.of peer-reviewed scientific papers/resilient models.	No of successful researches/models published in scientific papers.	Successful research/ model	TBM	4		4	TBM	
	Turns of TOT trained		People		-		110	NT	
	Turns of people trained under FFS and others		People		1,940		9,268	NT	

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
1.1.3.1 Organize and participate in training courses, seminars, technology fairs/markets/events on climate change adaptation knowledge management (including forwarding 2018)	Number of courses held		Event	18	18	100%	95		
	Number of participants attended		People	2,600	2,458	95%	11,116		
1.1.3.2 Organize experience sharing study tours for farmer –to- farmer groups with cooperative groups	Number of training		Workshop/ Training	20	1	5%	19		
	Number of participants attended		People	1,000	184	18%	431		
1.1.3.3 Knowledge dissemination section: information of AMD on radio/ television, internal newsletters; newspapers, websites, outdoor visible advertisement and dialogues on CC and adaptation, etc (including forwarding 2018)	Number of service contract		Contract	6	3	50%	19		
	No. bidding packages		Package	6	3	50%	19		
1.1.3.4 Providing trainings on management and analysis of household economic efficiency; Trainings on selection and evaluation approaches of CCA models	Number of training		Course	32	35	109%	301		
	Number of participants attended		People	1,600	1,756	110%	10,336		

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
1.1.3.5 Compiling, documenting successful models and researches; Printing and issuing the manuals of Investment Funds (updated, revised); documents, publications for communication of Project activities and other implementing agencies (including forwarding 2018)	No. of service contracts		Contract	10	1	10%	28		
	No. bidding packages		Package	10	1	10%	28		
1.1.3.6 Replicating successful models of climate change adaptation with revolving funds in the form of result-based farmers-teach-farmers (including forwarding 2018)	No. of models		Model	50	-		-		
	Number of households attended		Household	500	-		-		
Sub-Component 1.2: Climate-informed planning									
Output 1.2.1: Community based adaptation and disaster risk mitigation planning	Turns of concerned line agencies and villagers trained in DRM/CC.		People	TBM	1,292		7,176	NT	
		% of trained people are able to apply knowledge to develop SEDP	%	NT			70%	70%	
1.2.1.1 Conduct capacity building activities for staff at all levels and the community. Hold the activities mainstreaming with the climate change adaptation action plan for the period 2018-2020	No. of activities complemented		Activity	50	31	62%	145		

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
	Number of participants attended		People	2,500	1,919	77%	7,803		
1.2.1.2 Develop the activities to enhance capacity building for the implementing agencies at all levels	No. of activities complemented		Activity	1	-		-		
	Number of participants attended		People	100	-		-		
1.2.1.3 TA for the activities related to climate change (including forwarding 2018)	No. of consultant working months		Month	9	-		6		
	No. bidding packages		Package	2	-		2		
Output 1.2.2: The Province has guidelines and tools to develop climate smart, market-oriented SEDP planning and the capacity to independently train commune and district staff in market-oriented strategic planning	DARD's, DoNRE's and DPI's provincial-level CC Action Plans updated & integrated into sectorial priorities for the 2016-2020 and 2021-2024 SEDP.		Plan	TBM			3	6	50%
	Turns of people trained in SEDP		People	TBM	615		2,957	NT	
		% of staff trained are knowledgeable about climate-informed market oriented SEDP process	%	TBM			70%	70%	
	No. of people involved in the process of setting up the SEDP		People	TBM	22,284		99,052	TBM	

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
		% of SEDP ensures the efficiency on elements: (i) Adaptation to climate change, (ii) market	%		100%		100%	100%	
1.2.2.1 Developing a report on the assessment of the implementation of the 5-year socio-economic development plan for period 2016-2020, developing a 2021-2025 plan with DRR / CCA integration and organizing a consultation workshop (including forwarding 2018)	W/m of experts		Month	2	-		3		
	No. bidding packages		Package	1	-		1		
1.2.2.2 Trainings on developing district SEDPs for Binh Dai, Mo Cay Nam districts and trainings for new staff at districts and town; Providing intensive trainings on commune SEDP preparation with integration of DRR / CCA for communes/wards s in the province	Number of training		Course	11	11	100%	24		
	Number of participants attended		People	600	615	103%	2,957		
1.2.2.3 Organize conferences/ forums to develop market-oriented socio-economic development plans, integrating climate change (SEDP); Organize the exchange of experiences with other provinces on the establishment of the SEDP for officials at all levels in and outside the project areas (including forwarding 2018)	No. of events		Event	17	10	59%	45		
1.2.2.4 Supporting in development of a participatory, market-oriented socio-economic development plan (SEDP) 2020 for communes/wards and districts/towns. Supervising the establishment of district and commune SEDPs 2020	SEDPs of 164 communes/wards and SEDPs of 9 district		SEDP						
1.2.2.6 Update the District SEDP Manual (where favourable changes) and organize the consultation workshop (including forwarding	No. of consultant working months		Month	3	-		3		

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
2018)	No. bidding packages		Package	1	-		1		
1.2.2.8 Developing data management software that integrates disaster mitigation and CCA indicators into integrated socio-economic development plans at all levels (including workshops and transferred training) (including forwarding 2018)	No. of softwares designed according to socio-economic target system at all levels		Software	1	-		1		
	No. bidding packages		Package	1	-		1		
1.2.2.9 Building a notebook to guide the process of monitoring and evaluating commune-level socio-economic development plans	No. of consultant working months		Month	2	-		-		
	No. bidding packages		Package	1	-		-		
Output 1.2.3: Policy dialogues on pro-poor CC adaptation agricultural and rural development organized		Pro-poor CC adaptation rural agricultural strategies developed.	Policy, strategy	TBM				NT	
	No of trainings/workshop/events on CC policy.		Course				25	TBM	
	Turns of people trained.		People				1,174	TBM	
1.2.3.1 Meetings, dialogue with the poor, near poor and staffs in charge of poverty reduction at all levels	No. of meetings		Meeting / dialogue	62	45	73%	114		
	No. of participants		People	8,965	5,293	59%	12,397		
1.2.3.2 Conduct the project to assess the economic structure moves of the province for the period 2015-2020 and hold a workshop for	W/m of experts		Month	3	-		-		

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
getting opinions contributing for the project. (including forwarding 2018)	No. bidding packages		Package	1	-		-		
1.2.3.3 Developing a set of indicators and statistical databases for monitoring and evaluating the implementation of sustainable development targets in the context of climate change impacts in Ben Tre province by 2030	No. of consultant working months		Month	3	-		-		
	No. bidding packages		Package	1	-		-		
Component 2: Investing in sustainable livelihoods **Objective: Increased sustainability and effectiveness of CC adaptation investments**		% max non-performing loans in WU SCG portfolios	%		0.40%		0.40%	5%	8%
		% of rural HHs with increased income of at least 30% from wage and non-farm-sector employment	%				83.13%	30%	
		New enterprises / cooperatives environmental sustainability remain profit operation after the project completion.	Enterprise/ cooperativ e		121		180	50	360%
	% of households (in need of credit) in project communes are able to access credit for climate resilient farming activities		%				85%	50%	
Sub- component 2.1 Rural finance for resilient livelihoods									

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
Output 2.1.1 New WU's Savings and Credit Groups established	No of SCGs established		New SCG		97		1,410	580	243%
	No of SCGs' members participated		Member		608		5,550	5,800	96%
2.1.1.1 Establishment of new SCGs in project communes (reviewing CFAF household groups, enterprises in need of capital)	Number of groups established		New SCG		97		1,410		
Output 2.1.2: Current credit network of WU's Social Fund transformed into viable Micro-Finance Institutions capable of financing private farmers, traders and commercial value chains	MFI established		Provincial MFI	NT				1	
2.1.2.1 TA to support the action plan for conversion of Social Fund's operations to MFIs licensed by the State Bank; TA for MFI-led implementation; Evaluate and make changes to the fund management software according to scale of development (including transitional payments from 2018).	No. of consultant working months		Month	12	6	50%	13		
	No. bidding packages		Package	4	3	75%	6		
2.1.2.2 Providing TA to support the development of short-term (5-year) and long-term (10-year) strategic plans for microfinance institutions (MFI)	No. of consultant working months		Month	3	-		-		
	No. bidding packages		Package	1	-		-		
2.1.2.3 Advanced training for WDF staffs on microfinance management (professional organization)	No. of training courses		Training course	7	4	57%	27		
	No. of participants		People	105	138	131%	466		

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
Output 2.1.3: Farmers and agribusinesses can more easily access credit from diversified financial service providers through co-financing for adaptation and value chain investments		% value of loans of SCGs used for climate-smart farming systems	%	1			78%	50%	
		% of rural finance disbursed	%	TBM			100%	100%	
	No of people accessed credit		People	TBM	608		5,550	TBM	
2.1.3.2 Organize the micro- finance workshops (including forwarding 2018)	No. of seminor		Workshop	1	-		1		
	No. of participants		People	100	-		98		
Sub-component 2.2 Investing in climate change adaptation									
Output 2.2.1: Climate resilient, risk mitigation, small-scale commune works and infrastructure constructed	No of works invested		Works				55	TBM	
	No of amount invested in resilient infrastructure		Expense				5.51	5 million s USD	110%
	No of beneficiaries		People				88,310	TBM	

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
		% of beneficiaries confirm the relevance & effectiveness of project financed commune works and investments.	%				Survey in 2015: 43% of households assessed the suitability of the works and 52% of households rated the quality of works well.	80%	
		Area of aquacultural and agricultural production irrigated and protected from salinity intrusion	Acreage				1,860	NT	
		Productivity and yield increased	Output / productivit y					NT	

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
		Increased market access level	Market access level				Production cost decreased by 2% -3%, selling price increased by 3% - 5% depending on the product, farmers can decide the selling price and the appropriate form (sold to dealers, brought to the place. point collectors or direct sellers)	NT	
2.2.1.1 Implementation of rural infrastructure in association with local value chain development using the CIF Fund (forwarded CIF projects from 2018 and new list of project shall be constructed in 2019)	No of works invested		Works				55		
Output 2.2.2: Poor and near poor households can affordably invest in profitable climate adaptation technology	No of households (50% of poor and near poor households) co-financed.		Household		614		3,353	1,500	224%
	No of CFAF amount invested in co-financing for climate change adaptation.		Disbursem ent capital		0.227		2.393	2,2 mil. USD	109%

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
	No of people provided training with skills on preparing sub-projects/business plans.		People				3,286	2,000	164%
		% people (groups) trained are able to prepare business proposals.	%				65%	70%	
		No of amount contributed by beneficiaries	Reciprocal capital				2.541	At least 2 mil. USD	115%
		No of households replicate CCA models	Household				2,449	5,000	49%
2.2.2.1 Appraise, approve and implement proposals for use of the CFAF (including transitional payments from 2018)	No of amount invested (CFAF funding and counterpart funding).		Capital and model	80	69	86%	641		
2.2.2.2 Appraise and select models/ subproject proposals	No. of sub-project of 30 communes		Sub-project	80	69	86%	641		
2.2.2.4 Replicating successful models of climate change adaptation with revolving funds in the form of result-based farmers-teach-farmers	No. of models		Model	50					
	Number of households attended		Household	500					
Output 2.2.3: P-PP fund allocated competitively, enabling SMEs, CIGs & Co-ops to invest in sustainable, climate-	Budget amount invested in PPP		Budget		0.176		0.888	0,9 triệu USD	99%

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
sensitive production & raise working standard and opportunities for laborers		Amount of counterpart fund from involved enterprises	Reciprocal capital				1.419	ít nhất 0,94 triệu USD	151%
	No of SMEs (each SME provides services for at least 100 households) provided information and market linkage better on the input and output of climate-informed value chains		SME		5		21	25	84%
	No of households benefited from PPP models.		Household		849		5,080	1,800	282%
	No of sustainable jobs generated from PPP models.		Job		321		1,792	150	1195%
	No of workshops/dialogues to promote local products and create opportunities for market linkages (PPP) organized		Workshop				35	TBM	
		% people trained in vocational skills having stable jobs (for at least 6 months).	%		100%		100%	50%	
		Number of contracts between enterprises and farmers signed after workshops.	Contract		167		2,442	TBM	

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
2.2.3.1 Appraise PPP proposals, approve and disburse for winning PPP proposals (including transitional payments from 2018)	No of enterprises/ cooperatives financed		Enterprise/ cooperativ e	8	5	63%	21		
Output 2.2.4 Lack of production land laborers received vocational training for employment and income		% labors in vocational skills having stable jobs (for at least 6 months)	%				83.13%	50%	
2.2.4.1 Training on skills, rural vocational training associated with job creation (commune income generation group)	No. of vocational training courses		Course	14	9	64%	61		
	No. of participants		People	250	189	76%	1,241		
Output 2.2.5 A center for testing and examination of shrimp seed quality established	A center established and put into use since PY3.		Center	NT				1	
2.2.5.1 Supporting the purchase of equipment for upgrading testing laboratory for fish seed quality certification of the Fisheries Sub-Department (including forwarding 2018)	No. bidding packages		Package	1	-		1		
2.2.5.2 Training and capacity building for managers and laboratory technicians (including forwarding 2018)	No. of training courses		Course	1	-		1		
	No. of participants		People	3	-		2		
2.2.5.3 Support for evaluation and accreditation of laboratory according to the ISO 17025: 2005 (including forwarding 2018)	Laboratory according to the ISO 17025: 2005 accredited		Laboratory	1	-		1		
	No. bidding packages		Package	1	-		1		

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
Component 3. Project coordination: - Objective: Project activities coordinated and implemented to achieve its objectives and progress; ensure effective financial management, well-conducted procurement and on time reporting	Number of people trained in project management		People		291		1,731	NT	
Output 3.1 Project management organization at all levels established	% female project staff at all levels		%					50%	
3.1.1 Hold Provincial Project Steering Committee's periodic meetings/ inter-provincial meetings twice a year	No. of meetings		Meeting	2	1	50%	15		
3.1.2 TA on strategic management for the project	No. of consultant working months		Month	12	-		3		
	No. bidding packages		Package	1	-		1		
3.1.4 Procure office equiment for PCU, DCO and some implementing agencies. (including forwarding 2018)	No. bidding packages		Package	1			5		
Output 3.2 Capacity of project management staff developed and enhanced		% project staff at all levels satisfied the job requirements	%	TBM	100%		100%	100%	
3.2.1 Organize bi-annual/annual progress assessment workshop and deploy AWPB workshops	No. of workshops		Workshop	18	15	83%	29		
	No. of participants		People	1,100	792	72%	1,462		

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
3.2.2 Participate in workshops/ events organized in terms of IFAD's programme management; climate change, value chains, PPP; and IFAD projects experience exchange events organized nationally and internationally (including forwarding 2018)	No. of events		Event	6	5	83%	20		
3.2.3 Organize and participate in sharing events and learning experiences with other province's PCUs	No. of events		Event	2	-		5		
	No. of participants		People	40	-		145		
	No. bidding packages		Package	2	-		5		
3.2.4 Organize and participate in workshops / meetings to discuss the coordination issues of AMD implementation between the two provinces of Ben Tre and Tra Vinh	No. of workshops		Workshop	2	1	50%	4		
	No. of participants		People	80	20	25%	113		
	No. bidding packages		Package	2	-		3		
3.2.5 Training on project management and coordination skills for PCU, DCO, CDB and implementing agencies (including forwarding 2018)	No. of training courses		Course	6	5	83%	19		
	No. of participants		People	300	244	81%	891		
	No. bidding packages		Package	3	2	67%	11		
Output 3.3 The M&E system established and effectively operated	% M&E reports timely developed		%	100%	100%	100%	100%	100%	
3.3.1 Organize annual outcome survey and evaluate performance to the end of term; End - Term RIMS survey and evaluate 03 Fund	No. of surveys		Survey	5	-		4	4	100%

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
sources (PPP, CFAF and CIF) at the end of the period (including forwarding 2018)	No. of consultant working months		Month	15	-		12		
	No. of consultancy packages		Package	6	-		3		
3.3.2 M & E training, improve foreign language and computer skills for project staffs at all levels	Number of training		Course	2	3	150%	8		
	No. of participants		People	60	47	78%	298		
	No. bidding packages		Package		1		2		
3.3.3 Organize study tours on M&E with other IFAD projects (including forwarding 2018)	Number of training		Trip	1	-		2		
	No. of participants		People	40	-		51		
	No. bidding packages		Package	1	-		2		
Output 3.4 Internal and independent auditing in line with IFAD requirements		% project communes having satisfactory financial statements	%		100%		100%	100%	
	No. of independent audit reports satisfied		Report	NT	1		5	6	83%
3.4.1 Conduct financial audit 2018 and 2019, 2020	No. of consultancy packages		Package	3	1	33%	5	6	83%
3.4.2 Conduct periodic internal control	No. of times of internal control		Times	2	1	50%	5		
Output 3.5 Operation cost of project coordination units at all levels		% of project management units at all levels timely settle the recurrent cost	%	NT	100%		100%	90%	

Objectives/ Expected results	Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Unit	AWPB 2019	Achieved (8 months of 2019)	%	Achieved (Cumulative)	Appra isal Target	%
3.5.1 Pay salaries and allowances for project staffs at all levels	Lump sum		Expense	22,195,165	6,025,418	27%	35,744,365	45,507 ,000	79%
3.5.2 Pay recurrent cost at all levels; payment for translation and interpretation costs	Lump sum		Expense	4,617,224	918,819	20%	5,707,533	18,585 ,000	31%

ANNEX 4: Physical progress measured against AWP&B, including RIMS indicators – Tra Vinh province

(As of 31 August, 2019)

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	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 turns (Ben Tre: 15,000; Tra Vinh: 15,000) trained on climate-informed farming system and technology.(**)		15.000	NT	67.585	-	6.538	-	22.944	23.010	18.913
			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
			At least 8 different viable pro-poor climate resilient farming system packages , each adopted by more than 400 poor & near poor households	08	NT	15	100	15	100	94	78	89
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.												
1.1.1.6	Implement testing/demonstrating models in agriculture and aquaculture sectors	Nr. of models tested		08	NT	40	500	-	-	20	23	10

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
1.1.1.6.3	Invest in expanding irrigation systems using renewable energy to serve for peanut growing area + rotated crops in Long Son commune	Nr. of models tested		NT	1	1	100	1	100			
		Nr. of hhs participated in each model		NT	20	8	40	8	40	1	0	0
1.1.1.6.4	Pay the testing models in 2018 moved to 2019	Nr. of models tested		NT	1	40	100	1	100			
		Nr. of hhs participated in each model		NT	5	209	100	100	100	20	23	10
1.1.1.6.5	Implement pilot/testing models on newly incurred crops and livestock	Nr. of models tested		NT	NT	-	-	-	-	-	-	-
1.1.1.3 Implementation of new CC adaptive models and studies												
1.1.1.3.2	Pay 5 applied research topics (3 to the deadline, 2 extended)	Nr. of research topics carried out		12	5	12	100	3	60			
1.1.1.3.9	Operating cost of TAG (including external independent experts hired to accept research topics, etc)	Nr. of events organized		NT	5	20	400	3	60			
1.1.1.3.11	Workshops to introduce results/processes, etc to farmer organizations and group…	Nr. of workshops organized		NT	10	9	90	9	90			
		Nr. of people participated		NT	1000	540	54%	540	54	-	-	-
1.1.1.4: Value chain development planning, market accessing, economic analyzing for integrating into SEDPs												
1.1.1.4.11	Workshop to introduce the peanut growing process in the rainy season to farmer groups	Nr. of workshop organized		NT	1	2	200	1	100			
		Nr. of people participated		NT	100	130	130	76	76	23	28	10
1.1.1.4.14	Hire consultants to survey, analyze physical and chemical indicators of the soil, water for peanut growing region in Cau Ngang district	Nr. Of packages carried out		NT	1	1	100	1	100	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
1.1.1.4.14	Hire consultants to quantify indicators related to reducing greenhouse gas emissions, saving water in investment for livelihoods from CCA Fund	Nr. of packages carried out		NT	1	1	100	1	100	-	-	-
1.1.1.4.13	Organize investment promotion activities, market connection, value chain survey (provincial, district and commune levels); market linkage events (workshops, access to businesses, forums, fairs, ...		Nr. of events organized	NT	TBM	87	-	35	-	-	-	-
			Nr. of people participated	NT	TBM	1.936	-	735	-	749	589	427
1.1.1.4.14	Hire consultants to develop models and advise, evaluate organic production certification/vietGAP for coconut, green skin pomelo and some products of the province, ...	Nr. of products, area regconized on standard and quality	Nr.of groups/cooperative supported	NT	1	2	200	2	200			
			Số hộ được hỗ trợ			72		72		72	22	4
1.1.1.4.15	Some other activities related to building quality standards, ...	Nr. of products, area regconized on standard and quality		NT	1	2	200	2	200	-	-	-
1.1.1.4.16	Some other activities related to building quality standards, ...	Nr. of workshop organized		NT	TBM	2	-	2	100	-	-	-
		Nr. of people participated		NT	TBM	128	-	128	-	41	33	18
1.1.2: Develop the automated salinity monitoring stations and the multifunctional data platform												
1.1.2.3	Develop 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	Nr of stations installed, operated		30	15	-	-	-	-	-	-	-
1.1.2.6	Workshop to evaluate the use of information of the pilot investment in salinity and water level monitoring system in fields for production	Nr. of workshop organized		NT	1	-	-	-	-			
		Nr. of people participated		NT	100	-	-	-	-	-	-	-
1.1.2.4	Train staff to operate the monitoring system	Nr. of events organized		NT	TBM	-	-	-	-			
		Nr. of people participated		NT	TBM	-	-	-	-	-	-	-
1.1.2.4	Other training courses/workshops related to the monitoring system, ...	Nr. of events organized		NT	TBM	2	-	1	-			
		Nr. of people participated		NT	TBM	35	-	10	-	12	6	0

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
1.1.2.6	Workshop to disseminate information on the automatic monitoring system at district level	Nr. of workshops organized		NT	8	4	50	-	-			
		Nr. of people participated		NT	800	400	50	-	-	145	176	32
1.1.2.13	Study tour to learn how to manage and operate a monitoring system, infrastrucrure to adapt to climate change for key officials at provincial and district levels in the Netherlands	Nr. of events organized		NT	TBM	-	-	-	-			
		Nr. of people participated		NT	TBM	-	-	-	-	-	-	-
1.1.2.14	Install automatic monitoring buoys in-fields to serve aquaculture: salinity, pH, temperature	Nr. of monitoring buoys installed		NT	10	6	60	-	-	-	-	-
1.1.2.15	Purchase rainwater tanks for poor households affected by salinity in the project area (1,000L)	Nr. of hhs provided tanks		NT	800	-	-	-	-	-	-	-
1.1.3: Knowledge management and dissemination												
1.1.3.3.3	**Systemize the knowledge outputs**											
1.1.3.3.1	Document success stories from CCA, PPP, WADF Funds	Nr. of success stories released		NT	NT	49	-	49	-	-	-	-
1.1.3.3.2	Hire consultants to develop contents and make video clips to serve for thematic workshops of the project	Nr. of publications shared		NT	NT	1	-	1	-	-	-	-
1.1.3.3.3.4	Print climate change scenarios, successful stories, documents, publications for project review and sharing	Nr. of publications shared		NT	NT	208800	-	126800	-			
1.1.3.3.3.4	Print propaganda materials on policies to support agricultural and rural developmen	Nr. of publications shared		NT	NT	24300	-	124300	-			
1.1.3.3.5	Workshop on renewable energy use for facilities and enterprises in the province	Nr. of workshop organized		NT	1	2	100	1	100			
		Nr. of people participated		NT	100	79	79	79	79	27	19	0
1.1.3.3.6	Organize practical meetings and surveys, exchange and share experiences on livelihood activities, business support, institution development, project completion among provinces with IFAD funded projects, poverty reduction projects in the Central Highlands and in northern mountainous provincesnguyên các tỉnh miền núi phía bắc	Nr. of events organized		NT	4	-	-	-	-			
		Nr. of people participated		NT	50	-	-	-	-			
	Organize meetings, field visits to share experiences in implementing CCA	Nr. of events organized		NT	51	84	164	2	-			

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
	model, ... among project communes, CGs inside and outside the project area	Nr. of people participated		NT	1440	1913	133	38	-	711	595	435
1.1.3.4	**Training of trainers (ToT))**											
1.1.3.4.2	Training in trademark building, brand design; Market access skills for officials of departm	Nr. of courses organized		NT	2	2	100	-	-			
		Nr. of people trained		NT	60	107	178	-	-	40	29	0
1.1.3.4.2	Training in technical process for growing peanut seed and intensive peanut according to VietGAP standard (according to FFS method, including cost of seed, sprinkler irrigation system)	Nr. of courses organized		NT	7	3	43	3	43			
		Nr. of people trained	*(being implemented)*	NT	210	90	43	90	43	-	-	-
1.1.3.4.2	ToT for staff on seed production technique and intensive coconut according to VietGAP standard and guidelines for farmers	Nr. of courses organized		NT	1	1	100	1	100			
		Nr. of people trained		NT	30	30	100	30	100	9	5	0
1.1.3.4.2	Training for households/organizations on coconut seedling production technique (FFS method, including cost of buying coconut seedling to grow)	Nr. of courses organized		NT	2	-	-	-	-			
		Nr. of people trained		NT	60	-	-	-	-			
1.1.3.4.2	Training for households/organizations on intensive coconut planting techniques according to VietGAP standard (FFS method)	Nr. of courses organized		NT	6	-	-	-	-			
		Nr. of people trained		NT	180	-	-	-	-			
1.1.3.4.2	Training in adaptive production technique for households and CGs invested by CCA Fund	Nr. of courses organized		NT	188	453	453	-	-			
		Nr. of people trained		NT	5895	11177	11177	-	-	4160	6333	767
1.1.3.4.2	Other workshops / conferences, training courses	Nr. of courses organized		NT	TBM	-	-	-	-			
		Nr. of people trained		NT	TBM	-	-	-	-			
1.2: Climate-informed SEDP												
1.2.1: Preparation activities to integrate disaster risk reduction and community based adaptation into SEDPs												
1.2.1.3	Workshops to introduce the provincial climate change scenarios to districts and town/cit	Nr. of workshops organized		NT	8	7	87	7	87			
		Nr. of people participated		NT	640	-	-	-	-	-	-	-
1.2.1.4	Hire lecturers to deploy the provincial climate change scenarios and automatic salinity monitoring system for communes inside and outside the project area	Nr. of consultants hired		NT	1	1	100	-	-	-	-	-
1.2.1.5	Workshops to introduce the provincial climate change scenarios and	Nr. of workshops organized		17	43	4	-	-				

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
	automatic salinity monitoring system	Nr. of people participated		NT	3890	400	-	-	-	145	176	32
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												
1.2.2.4	Print manuals of SEDP process at commune and district levels (Commune level: 1,500; District level: 500)	Manuals of SEDP process at commune and district levels printed		NT	2000	4500	225	-	-			
1.2.2.5	Organize a workshop to deploy the SEDP planning integrated with climate change adaptation, disaster risk reduction and sustainable poverty reduction in 2018 province	Nr. of workshop organized		NT	1	8	800	-	-			
		Nr. of people participated		NT	140	505	360	-	-			
1.2.2.7	Training in the SEDP planning integrated with climate change adaptation, disaster risk reduction and sustainable poverty reduction at district level	Nr. of courses organized Số		NT	4	139	3475	4	100	-	-	-
		Nr. of people participated		NT	142	3692	2624	167	117	57	11	0
1.2.2.10	Organize a workshop to review the SEDP planning at commune and district levels	Nr. of workshop organized		NT	1	2	200	-	-	-	-	-
		Nr. of people participated		NT	135	154	92	-	-	42	7	0
1.2.2.11	Hire consultants to evaluate the climate-informed SEDP planning process and develop manuals (instruments + criteria) to self-assess in order to improve the quality of the climate-informed SEDPn planning and sustainable poverty reduction at commune level as well as serve for the the project review	Nr. of consultants hired		NT	1	-	-	-	-			
1.2.3. Policy dialogues												
1.2.3.2	The survey on evaluation and identification of areas subject to underground water exploitation registration in Tra Vinh province	The plan approved by competent agenies		NT	1	-	-	-	-			

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
1.2.3.2	Study and assess landslides in estuaries and coastal areas and propose solutions to protect and sustainable development.	Reports and proposals approved by competent agenies		NT	1	-	-	-	-			
1.2.3.12	Coordinating activities with the Netherlands Development Organisation to conduct evaluations/studies in the province	Nr. of evaluations/studies conducted and applied		NT	1	1	100	1	100			
1.2.3.12	Implement pilots related to the study of the Netherlands Development Organisation in the province, etc.	Nr. of pilots implemented		NT	NT	-	-	-	-			
1.2.3.7	Royalty for news, articles and photos posted on web	Royalty		NT	NT	4	400	1	100	-	-	-
1.2.3.10	Cover salaries and allowances for staff of CCCO	Timely support from AMD to ensure the operation of CCCO		6	1	5	500	1	100	-	-	-
1.2.3.11	Cover the operating costs for the CCCO	Timely support from AMD to ensure the operation of CCCO		6	1	5	500	1	100	-	-	-
1.2.3.12	Workshops to deploy policies of agriculture	Nr. of workshops organized		NT	9	1	11	-	-			
		Nr. of people participated		NT	450	60	14	-	-	28	0	0
1.2.3.13	Hire consultants to develop the farmer-to-farmer manual	Nr. of manual approved		NT	1	-	-	-	-			
1.2.3.14	Hire consultants to develop the guideline on revolving the fund source for groups/clusters invested by CCA Fund	The guideline approved		NT	1	-	-	-	-			
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	59,1	118	59,1	118	-	-	-
			100 (BT: 50; TV:50) new enterprises/cooperatives at commune level (medium, small, micro) environmental sustainability in project communes remain profit operation after the project completion	50	NT	222	NT	-	-	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
			Less than 5% non-performing loans in WU SCG portfolios	5	NT	0,95	19	0,95	19	-	-	-
Sub-component 2.1: Rural finance for Resilient Livelihoods												
2.1.1: New SCGs established												
2.1.1.4	Pay for the package on hiring consultants to review and evaluate the operation of the Fund's system ... in 2018			NT	1	1	100	1	100	-	-	-
2.1.1.4	Hire consultants to support the development of process, procedures, making dossiers of registration to transform the Fund into a MFI licensed by the State Bank	Completed procedures accepted by the State Bank		NT	1	2	200	-	-	-	-	-
2.1.1.7	Training in capacity building for Fund's staff at all levels	Nr. of courses organized		NT	10	229	2291	5	50			
		Nr. of people trained		NT	170	6032	3548	100	59	4001	992	91
2.1.3	**2.1.3: Farmers and agribusinesses can more easily access credit from diversified financial service providers**											
2.1.2.7.2	Workshop on dialogue between commercial banks and enterprises, business households on credit for commodity value chains	Nr. of workshop organized		3	1	1	100	-	-			
		Nr. of people trained		TBM	60	117	195	-	-	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												
2.2.1.3	Training in online bidding for invetment owners, officials in charge of basic construction in 30 communes and PMUs in 07 district	Nr. of course organized		NT	1	2	200	1	100	-	-	-
		Nr. of people trained		NT	100	157	157	90	90	59	39	0
2.2.1.8	Hire consultants to pilot the online bidding for some works invested by communes (investment owners)	Nr. of works applied online bidding		NT	3	-	-	-	-	-	-	-
2.2.1.12	Pay for the appraisal cost of completed settlement (moved from 2018 to 2019)			NT	NT	-	-	-	-	-	-	-
2.2.1.12	Disburse investments for construction works in 2019	Nr. of km		30	29	144	113,13	29	95			

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
		Nr. of beneficiaries		NT	4938	606	20831	325	57	8291	8604	5933
		Giá trị công trình được đầu tư (Triệu đồng)		86.401	36.933	117.920	319	10.200	27			
2.2.1.2 Center for certification and evaluation of aquatic breed quality												
2.2.1.2.1	Investment project on developing a center for analyzing and testing aquatic breeds for raising the value of brackish water shrimp industry in Tra Vinh province	The 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												
2.2.2.5	Workshop to deploy CCA Fund's replication plan in 2019 for provincial and district departments	Nr. of workshop organized		NT	1	1	100	1	1	-	-	-
		Nr. of people participated		NT	100	90	90	90	90	30	19	0
2.2.2.5	Workshops on guiding the implementation of CCA Fund for target groups to access CCA Fund and the CCA Fund's replication plan in 2019	Nr. of workshops organized		NT	41	153	373	34	83	-	-	-
		Nr. of people participated		NT	2515	9178	365	2214	88	3273	3281	3304
2.2.2.12	Training in adaptive production techniques for households and collaborative groups invested from the Co-financing Fund	Nr. of courses organized		NT	144	507	352	54	38	-	-	-
		Nr. of people participated		NT	2412	12069	500	892	37	4160	6333	4771
2.2.2.13	Workshop to evaluate and withdraw experience on the replication of CCA Fund	Nr. of workshops organized		NT	17	26	-	-	-	-	-	-
		Nr. of people participated		NT	1130	1882	-	-	-	564	465	280
2.2.2.4	Training in skills for developing business plans for potential beneficiaries and replicate CCA Fund	Nr. of courses organized		NT	66	192	291	61	92	-	-	-
		Nr. of people participated		NT	2203	9152	415	4158	189	1450	653	721
2.2.2.11	Hire consultants to comprehensively evaluate the effectiveness of investment, impact and replication of the livelihoods invested by CCA Fund	Nr. of consultants hired		NT	1	2	200	-	-	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
	in the province to serve for the thematic review and project completion report											
2.2.2.9	Operating cost of CCA Fund (CCA board, CPMU, DPST, appraisal, approval board, monitoring of CCA implementation process, ...)	Nr. of events organized		NT	19	1112	-	204	1063			
		Nr. of hhs/CIGs/CGs supervised and evaluated		NT	312	1112	356	204	64,7	-	-	-
2.2.2.10	Disburse CCA Fund for households, CGs / Cooperatives	Nr. of hhs/CIGs/CGs co-financed		NT	137	1112	811	204	148			
		Nr. of beneficiaries		3000	1483	7364	496	3048	205	3880	3468	4342
2.2.2.13	Workshop on investment review of CCA Fund, contest for exhibiting products invested by the projec	Nr. of event organized		NT	1	-	-	-	-	-	-	-
		Nr. of people participated		NT	300	-	-	-	-			
2.2.2.7	Training in improving management and operation capacity of CGs inside and outside the project communes	% of members can apply the skills and knowledge from the training course into their jobs	Nr. of courses organized	NT	46	108	234	32	50			
			Nr. of people participated	NT	1610	4162	285	1177	73	1246	1571	1446
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												
2.2.3.3	Survey potential enterprises and household businesses to access PPP Fund	List of potential enterprises identified		NT	15	25	167	2	14	-	-	-
2.2.3.7	Activities to support enterprises to implement financed subprojects	Nr. of supporting activities		NT	TBM	16	100	2	100	-	-	-
2.2.3.9	Hire consultants to develop subprojects for the projects to access PPP Fund	Nr. of people/month hired		NT	2	1	50	-	-	-	-	-
2.2.3.11	Organize a study tour for financed organizations /cooperatives/facilities, the PPP Fund's appraisal board to actually survey to enterprises that have been successfully invested by PPP Fund in Quang Binh and Ha Tinh provinces	Nr. of event organized		NT	1	3	300	1	100			
		Nr. of people participated		NT	15	55	330	10	66	5	0	0
2.2.3.9	Hire consultants to evaluate completed subprojects and evaluate the overall PPP Fund serving for reviewing and reporting the project completion	Nr. of subprojects evaluated		NT	1	1	100	-	-	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
2.2.3.12	Workshop to review Public Private Partnership (PPP) Fund and display products	Nr. of event organized		NT	1	-	-	-	-			
		Nr. of people participated		NT	200	-	-	-	-	-	-	-
2.2.3.10	Disburse PPP capital for the subprojects that are being implemented	Amount disbursed (Million VND)		38.818	10.670	44.600	115	44.600	115	-	-	-
2.2.4: Vocational training												
2.2.4.1	Organize vocational training courses for CGs/ cooperatives to accesse CCA Funds, enterprises to access PPP funds, civil works built by people, ...	Nr. of courses organized		NT	18	69	383	12	66	-	-	-
		Nr. of people participated		NT	610	2052	336	418	69	880	711	567
2.2.4.4	Other training courses, workshops, conferences, ..	Nr. of events organized		NT	TBM	-	-	-	-	-	-	-
		Nr. of people participated		NT	TBM	-	-	-	-	-	-	-
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: The project management system at all levels established												
3.1.4	PSC's periodic coordination meetings		Nr. of meetings organized	NT	2	13	650	1	50	-	-	-
3.1.5	Periodic coordination meetings at provincial and district levels	Nr. of meetings organized		NT	44	34	77	14	32	-	-	-
3.1.6	Inter-provincial coordination meetings	Nr. of meetings organized		NT	2	1	50	1	50	18	5	-
3.1.6	Workshops/conferences of PSCs and PCUs of the two procinces	Nr. of events organized		NT	1	9	900	1	100	-	-	-
3.1.7	A wrap-up meeting of IFAD's supervision mission in 2019	Nr. of meeting organized		NT	1	4	400	-	900	-	-	-
3.1.7	Workshop to review the project at commune and district levels	Nr. of meetings organized		NT	37	-	-	-	-	-	-	-
3.1.7	Workshop to review the project at provincial level	Nr. of meetings organized		NT	1	-	-	-	-	-	-	-
3.1.9	Training courses, conferences, workshops organized by IFAD	Nr. of meetings organized		NT	TBM	154	100	4	100	-	-	-
3.1.10	Translation service cost			NT	1	5	500	1	100			
3.1.11	Meetings with the central ministries related to project activities	Nr. of events organized		NT	TBM	3	100	3	100			
3.2: Required equipment for project management and implementation procured												

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
3.2.2	Procure additional equipment for PCU	% of procurement packages are implemented in accordance with IFAD's procurement guideline and on schedule		NT	NT	30	100	1	100	-	-	-
3.3: The M&E system and reporting ensured in line with IFAD requirement												
3.3.5	Hire consultants to develop a questionnaire for new RIMS's indicators; analyze and synthesize data and develop a M&E report to end the project according to IFAD regulations	Nr. of consultants hired		NT	1	-	-	-	-			
3.3.3	Carry out a final surveys on the impact of the project (RIMS)	Nr. of surveys organized		3	1	4	400	-	-			
3.3.3	Carry out annual thematic surveys	Nr. of surveys organized		NT	NT	9	100	2	100			
3.3.5	Hire independent consultants to serve the project completion	Nr. of consulting packages carried out		NT	1	1	100	-	-			
3.3.4	Training in developing project completion report for project implementing units	Nr. of course organized		NT	1	1	100	-	-			
		Nr. of people participated		NT	60	57	95	-	-	28	4	0
3.3.4	Field visits to monitor all project activities	Nr. of visits carried out		NT	TBM	13	100	5	100	-	-	-
3.3.6	Organize a study tour in Quang Binh and Ha Tinh provinces on monitoring and evaluation of project completion	Nr. of study tour carried out		NT	1	1	100	1	100	-	-	-
3.4: Lessons learned, success cases and best practices shared and replicated												
3.4.1	Receive and work with missions to the project	Nr. of missions		NT	NT	30	100	5	100	-	-	-
3.4.3	Take part in IFAD's annual Country Program Review Workshop; IFAD's regional workshop	Lessons learned for the CPR applied in the project context		6	NT	5	400	1	100	-	-	-
3.4.4	Take part in IFAD's annual learning route workshop	Lessons learned for the workshop applied in the project context		NT	NT	6	100	1	100	-	-	-
3.4.5	Project bulletins (printing + royalities)			NT	NT	16	100	-	-	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of benificiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
3.4.7	Other workshops, training courses	Nr. of events organized		NT	TBM	5	100	5	100	-	-	-
		Nr. of particiants		NT	TBM	202	100	26	100	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	Nr. of courses organized		NT	4	18	450	2	50	-	-	-
		Nr. of people trained		NT	200	1188	594	82	41	579	110	0
3.5.2	Hire an auditing firm to audit the financial statement, SOE and DA of the project in 2018	Nr. of periodic internal auditing conducted		1	1	4	400	1	100	-	-	-
3.5.3	Hire an auditing firm to audit the financial statement, SOE and DA of the project to serve the project completion	Nr. of periodic internal auditing conducted		1	1	3	300	-	-	-	-	-

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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:	04-17 September 2019
Document Date	08/10/2019
Project No.	1100001664
Report No.	5179-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. The Ministry of Finance operates these accounts.
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, and Communes.
Financing Agreement. Section B.8	Counterpart financing: The Borrower/Recipient shall cause the Lead Project Agencies to provide counterpart financing for the Project.	Immediately	Being resolved with Central Government	Particular issue raised on lacking allocation including for GOV counterpart funds as required for the current year.
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 Tra Vinh Provinces.		Complied	
Financing Agreement. Section E.2.d	The Project Directors and Project Accountants shall have been duly appointed.		Complied	

Section	Covenants	Target/ Action due date	Status	Remarks
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.
General Conditions for Agricultural Financing. Article VII Sec. 7.02(a)	The Borrower/Recipient shall make the proceeds of the Financing available to the Project Parties upon terms and conditions specified in the FA or otherwise approved by the Fund for the purpose of carrying out the Project.	Immediately	Being resolved with Central Government	Project needs to pursue submission to IFAD by the MOF of the pending 2018 WAs and release of 2019 allocation for project funds.
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	
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	

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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:	04-17 September 2019
Document Date	08/10/2019
Project No.	1100001664
Report No.	5179-VN

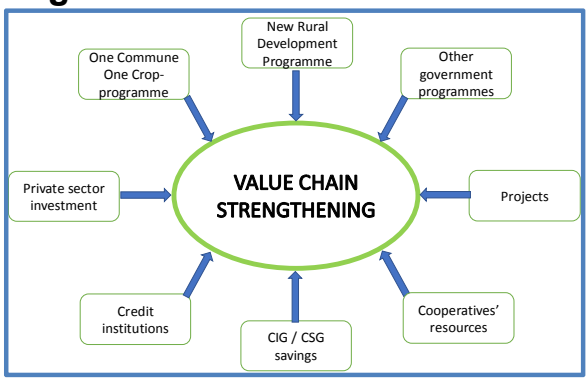
Asia and the Pacific Division
Programme Management Department

Appendix 4: Technical Background Analysis

Guidance for the Handing-over Period

Handing-over value Chain Strengthening

To sustain the focus on value chains, the project is to take steps, designed to help concerned agencies, partners and beneficiaries to continue strengthening value chains and to finance activities to this end from resources at the partners' direct disposal. The resources most likely to be relied upon in replication and scaling-up present AMD-supported value chain strengthening activities are depicted in the diagram.

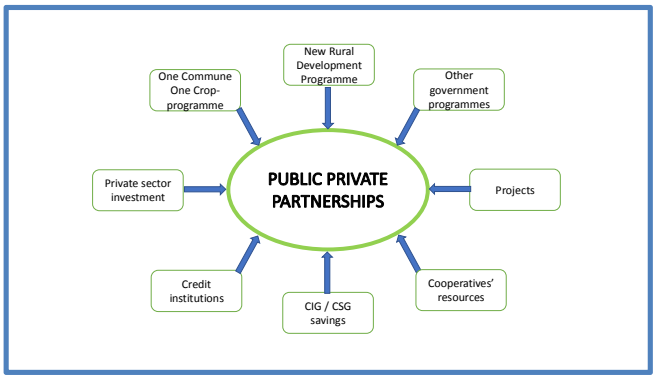


The table suggest steps & actions to establish **commodity platforms**, which enhance the involvement of agencies, partners and beneficiaries in value chain strengthening and mobilise resources for replication and scaling-up. The steps are generic and need to be tailored to the specific situation in the Province and / or the value chain.

1. Establish commodity platform	1.1	Confirm selection of priority value chains
	1.2	Identify a broad set of stakeholders including producers, input suppliers, buyers and retailers, processing industry, financiers, research and government agencies
	1.3	Identify formal representatives for this value chain in stakeholder organisations: • A stakeholder agency willing to engage is a partner • Their contact person for the value chain is the partner representative • A meeting of partner representatives on the value chain is a commodity platform meeting.
	1.4	Agree with partners on joint planning to improve the value chains during the last months of AMD and beyond • Define commodity platform chairperson and secretary (non-AMD; lead partner) • Establish commodity platform
2. Quick-scan value chains	2.1	Prepare a ToR for a value chain consultant for support to steps 2, 3 and 4
	2.2	Commission the preparation of a Quick Scan per value chain:
	2.3	Map value chain and identify opportunities and constraints for value chain improvement
	2.4	Prepare draft inventory of opportunities and constraints
	2.5	Consult commodity platform during workshop to confirm and complete the draft
3. Prepare value chain action plan	3.1	Identify possible actions for value chain strengthening (long-list) based on consultants expertise and consultation of partners
	3.2	Engage commodity platform to identify priority actions to improve the value chain. Criteria could be: • Ease of implementation; • Expected effect; • Availability of resources from within the partners (see diagram)
	3.3	Define targets, time-line, resources and responsibilities for priority actions
4. Hand-over responsibilities and assets	4.1	Document the value chain analysis (step 2) and the action plan (step 3) by the consultant
	4.2	Submit the proposed value chain action plan by the commodity platform / lead partner for review and approval to Provincial Authorities
	4.3	Transfer selected AMD assets to partners in the commodity platform in line with the value chain action plan
	4.4	Confirm commitment of lead partner for organising future commodity platform meetings

Handing-over support to and development of Public Private Partnerships

To ensure that public-private partnerships will continue to develop, the project is to take steps to help the Provinces to plan for continued PPP-facilitation, using resources at their direct disposal. The resources most likely to be relied upon in replication and scaling-up present AMD-supported PPP-activities are depicted in the diagram.

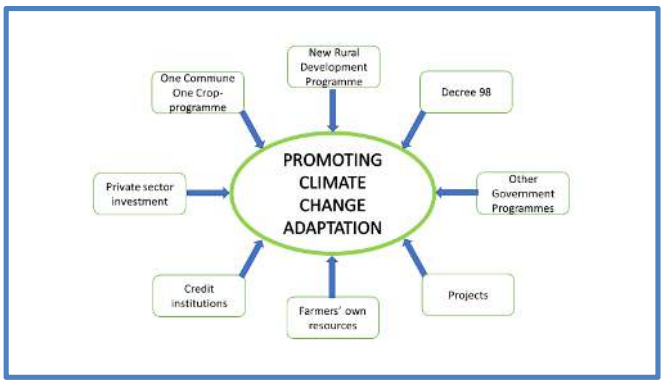


The table suggest steps and actions that result in the **responsibility for PPP facilitation formally being assumed by a coordinating agency**. The steps are generic and need to be tailored to the specific situation in the Province and / or the value chain.

1. Define PPP lead	1.1	Identify contact person for existing PPP-constructions, replacing the direct contact with AMD staff
	1.2	Identify the agency that coordinates support to PPP-constructions in the Province
	1.3	Agree with lead agency on the steps to be taken for establishing the role of coordinator in the identified lead agency (steps 2, 3 and 4)
2. PPP individual assessments	2.1	Prepare a ToR for a PPP assessor (technical advisor)
	2.2	Assess performance of existing PPPs based on • Number of beneficiaries integrated as input providers • Employment generated • Inputs and capacity building provided to targeted beneficiaries • Financial self sufficiency • Level of institutionalisation • Tax contributions
	2.3	Prepare a PPP assessment report
3. Evaluate overall PPP approach	3.1	Prepare workshop by PPP coordination agency, inviting PPP representatives, PPP contact persons, and producer organisation representatives
	3.2	Discuss in workshop to identify strong and weak points of the PPP approach supported by AMD
	3.3	Discuss in workshop how the Province could facilitate present and future PPPs, without reliance on AMD resources
4. Hand-over responsibilities and assets	4.1	Document the PPP assessments (step 2) and PPP-approach evaluation (step 3) by the consultant
	4.2	Provide capacity building support, if required, to PPP coordination agency
	4.3	Submit draft mandate with respect to PPPs from PPP coordination agency to Provincial Authorities
	4.4	Transfer selected AMD assets to coordinating agency in line with future facilitation of PPPs

Handing-over the promotion of Climate Change Adaptation

To enable continued climate change adaptation in Ben Tre and Tra Vinh, AMD needs to secure that development of and guidance to CCA models continues; along with supportive measures (including co-financing) to groups and individual producers in applying viable models. The resources most likely to be relied upon in model selection and co-financing activities are depicted in the diagram.



The table suggest steps and actions that result in **inter-agency cooperation** to model development and replication. The steps are generic and need to be tailored to the specific situation in the Province.

1. Identify partners	1.1	Identify contact person for existing CCA model replication (CCAF/CFAF), replacing the direct contact with AMD staff
	1.2	Identify the agencies that comprise the 'CCA-model chain' from adaptive research via field testing to model selection and roll-out
	1.3	Agree with CCA partner agencies to organise periodic stock-takings of existing and new models (steps 2 and 3)
2. Assess CCA-models	2.1	Develop / update brief descriptions of each model, including: • Technical and capacity requirements (high, medium, low) • Marketability of products (high, medium, low) • Adaptation potential (high, medium, low) • Affordability (high, medium, low)
	2.2	Conduct screening & ranking-exercise for all available models (see guidance below)
	2.3	Confirm outcomes of screening and ranking with CCA partner agencies (and adjust if needed)
3. Plan CCA development and replication	3.1	Assign responsibility for further development and/or replication of each selected CCA model to a lead partner
	3.2	Define (by the lead partner) the next steps for further development of the model and / or for stimulating its wider replication
	3.3	Identify (by the lead partner) resource requirements for further development of the model and / or for stimulating its wider replication
4. Hand-over responsibilities and assets	4.1	Discuss with Provincial Authorities how CCA model development and replication can be made a recurrent process
	4.2	Provide capacity building support, if required, to CCA coordination agency
	4.3	Transfer selected AMD assets to coordinating agency in line with future facilitation of PPPs

The table overleaf is intended to be used as a simple and efficient way to select CCA models. Using the outlined criteria will allow stakeholders to quickly assess the CCA models. It will also allow parties to have a substantiated discussion on the relevance of the model being assessed. Furthermore, using criteria to select CCA models will increase the likelihood of selecting models that have a higher potential for generating impact and replication.

Criteria	Score	Justification
Pro-poor impact		
Climate change adaptation/mitigation impact		
Ease of application		
Potential for replication		
Total		

1. Score

The scores are qualitatively determined and the questions below can serve as guidance on how to score each criteria. Each score should be of a numerical value between 1 and 3, i.) 1: below average, ii.) 2: average, iii.) above average. Total score between 0 and 4 should be considered below average, whereas models that score between 4 and 8 should be considered average and models that have score between 8 and 12 should be considered above average.

A below average total score points to models that are not viable or have a very low potential. These are in principle 'screen-out' of the selection and dropped (unless further testing or research could improve the rating). The remaining models are ranked (average and above average). These continue to step 3.

1.1 Pro-poor impact

1.1.1 Does the potential model target poor and near poor households?

1.1.2 Is the potential model cost efficient?

1.2 Climate impact

1.2.1 Does the potential model generate climate change adaptation/mitigation impact?

1.2.2 Can target groups easily apply the model to generate climate change adaptation/mitigation impact?

1.3 Ease of application

1.3.1 Does the model require a high investment?

1.3.2 Does the model depend on a high operating cost?

1.3.3 Does the model require specialised trainings and technical guidance?

1.4 Potential for replication

1.4.1 Does the model require external funding to replicate?

1.4.2 Can the model easily be taught to farmers by extension staff?

1.4.3 Can the model easily be taught by farmers to other farmers?

2. Justification

A short justification on the score given should be provided. This will strengthen and formalise the logic behind the given score and serve as a point of reflection subsequent to the implementation of the model.

The assigned scores combined with qualitative justifications and discussions should create the basis for defining the next steps. For instance, a model that has scored between 0 and 4 and requires a high capital investment and extensive technical training and assistance could be deemed as having a low potential for replication and therefore, not replicated. However, models that have been scored as average should be evaluated closely by the relevant partner/s. The model could for instance be eligible for replication in some areas and by some households and not by others. A series of pilot tests could potentially be conducted to determine whether the model qualifies for partial or full replication. Regarding models that have been scored between 8 and 12, it should be emphasised that context-specific considerations need to be made via joint discussions on whether all parties involved should fully replicate the models in question.

Models can also be adapted to increase the potential for replication and outreach. For instance, a model that requires a high initial investment can be adapted by substituting capital intensive assets for less expensive assets and equipment. Operating costs can also be reduced by substituting input materials for less costly ones and simplifying production methods and techniques. However, models should be carefully assessed on whether they qualify for adaptations. Models should not be adapted if this compromises the generation of climate change adaptation/mitigation impacts and social outreach.

The liaison and partner/s should carefully consider the given scores and justifications as well as adaptation methods to determine the next steps to fully optimise replication efforts. In doing so, will enable the parties in question to effectively develop a handover action plan for each of the models being assessed.

Sustaining Micro-finance

To ensure the continued availability of suitable micro-finance for poor and near poor households, AMD should assist the two Women Development Funds to chart a clear and robust course for the years to come. The table suggest steps and actions that result in **WDF Strategic Business Plans 2020 – 2025**. The steps are generic and need to be tailored to the specific situation in the Province and / or the value chain.

1. Assess present situation	1.1	Identify and hire a consultant for supporting the tasks set-out in steps 1, 2 and 3
	1.2	Review the WDF's lending operations during the AMD-period • Trends in membership • Challenges in target group identification (definition of poor) • Use and impact of credit • Alternative sources of pro-poor finance
	1.2	Review present situation vis-à-vis the requirements for registration as an MFI and identify weaknesses and points of attention
	1.3	Review with WDF management boards and senior micro-finance specialists the outcomes of 1.1 and 1.2 and pre-identify possible changes in WFD operation and management
2. Re-think operational models	2.1	Propose revised, additional or alternative financial products that ensure a stable client base and a continued pro-poor focus, such as: • Group-lending for joint activities • Differential interest rates for different types of activities • Savings programmes for school-going youth
	2.2	Prepare a long-term staffing plan in the light of future requirements, work organisation and more intensive use of ICT
	2.3	Prepare a future organisational chart that the WDFs can adopt over time
3. Plan future strategic actions	3.1	Prepare a draft Strategic Business Plan 2020 – 2025
	3.2	Review of the draft by WDF management and senior micro-finance specialists
	3.3	Finalise the Strategic Business Plan 2020- 2025
	3.4	Transfer selected AMD assets to WDFs in support to their new strategic orientation

Sustaining Community Infrastructure Development

The best practices and lessons learnt from CIF investments under AMD on participatory SEDP process, investment prioritisation and selection (based on criteria of climate chain adaptation, value chain development, poverty, economic effectiveness and community contribution), community participations through community supervision boards, O&M groups and application of force account for construction of small-scaled infrastructure need to be documented, introduced and mainstreamed into implementation of NTP-NRD and Sustainable Poverty Reduction Program during the handing over period (Oct 2019 – Mar 2020) of AMD.

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:	04-17 September 2019
Document Date	08/10/2019
Project No.	1100001664
Report No.	5179-VN

Asia and the Pacific Division
Programme Management Department

Appendix 5: Participants worked with Supervision Mission team

AMD Ben Tre

Time /Venue	Contents	Paticipants		
		Name	Unit	Position
1	*2*	*3*	*4*	*5*
04/9/2019				
14:00-15:30 pm At DARD office	Working with DARD and its sub-departments (including the IFAD implementing sub-departments and the NRD office)	Kees Blok	Supervision Mission	Team Leader
		Zidni Marohombsar	Supervision Mission	Financial Management specialist
		Eva Pedersen	Supervision Mission	Value chain specialist
		Nguyen Thanh Tung	Supervision Mission	Institutional and Policy specialist
		Phan Duy Toan	Supervision Mission	Infrastructure specialist
		Nguyen Ngoc Quang	Supervision Mission	M&E specialist
		Huynh Quang Duc	DARD	Deputy Director
		Hinh Dinh Phuong Nghia	DARD	Staff of Financing and Planning Division – DARD
		Tran Thi Kim Cuong	Fisheries Department	Manager
		Nguyen Van Nam	Plantting and Plant protection Department	Manager
		Nguyen Thi Thanh Hoa	Agriculture Encourage Department	Staff
		Truong Tan Lien	Livestock and Veterinary Department	Vice Manager
		Pham Khac Phuc	Livestock and Veterinary Department	Vice Leader of Division
		Pham Thi Hong Le	Rural Development Department	Vice Leader of Division
		Le Thi Kieu Duyen	New Rural Office	Staff
		Nguyen Khac Han	PCU Ben Tre	Director
		Nguyen Hoai Nam	PCU Ben Tre	Deputy Director
		Luong Thi Hong Nguyen	PCU Ben Tre	Staff
15g45 – 17g00 At DPI office	Working with DPI and SIPC	Kees Blok	Supervision Mission	Team Leader
		Zidni Marohombsar	Supervision Mission	Financial Management specialist
		Eva Pedersen	Supervision Mission	Value chain specialist
		Nguyen Thanh Tung	Supervision Mission	Institutional and Policy specialist
		Phan Duy Toan	Supervision Mission	Infrastructure specialist
		Nguyen Ngoc Quang	Supervision Mission	M&E specialist
		Chau Van Binh	DPI	Deputy Director
		Nguyen Thi Dao Chi	DPI	Deputy manager of General - foreign affairs Division
		Tran Nhut An	DPI	Deputy manager of General - foreign affairs Division
		Nguyen Van Thanh	DPI	Deputy manager of Economic sector Division
		Nguyen Thi Huong Giang	SIPC	Leader of Promotion Division
		Bui Ngoc Yen	SIPC	Leader of Starting-up Division
		Nguyen Khac Han	PCU Ben Tre	Director
		Do Thi Kim Loan	PCU Ben Tre	Chief Accoutant
		Tran Diem Thuy	PCU Ben Tre	Manager of Strategic Management Division
		Tran Thi Ngoc Nu	PCU Ben Tre	Staff
05/9/2019				
08g00 – 11g00 At PCU Ben Tre	The PCU reports the progress of the AMD project implementation in 2019 and discusses with the Supervision Mission	Kees Blok	Supervision Mission	Team Leader
		Zidni Marohombsar	Supervision Mission	Financial Management specialist
		Eva Pedersen	Supervision Mission	Value chain specialist
		Nguyễn Thanh Tùng	Supervision Mission	Institutional and Policy specialist
		Phan Duy Toàn	Supervision Mission	Infrastructure specialist
		Nguyen Ngoc Quang	Supervision Mission	M&E specialist
		Nguyen Khac Han	PCU Ben Tre	Director
		Nguyen Hoai Nam	PCU Ben Tre	Deputy Director
		Le Minh Hoa	PCU Ben Tre	Deputy Director
		Do Thi Kim Loan	PCU Ben Tre	Chief Accountant
		Tran Diem Thuy	PCU Ben Tre	Manager of Strategic Management Division

Time /Venue	Contents	Paticipants		
		Name	**Unit**	**Position**
		Doan Thi Lan Anh	PCU Ben Tre	Vice Manager of Strategic Management Division
		Tran Thi Ngoc Nu	PCU Ben Tre	Staff
		Duong Tien Vu	PCU Ben Tre	Staff
		Truong Van Vien	PCU Ben Tre	Staff
		Le Thi Nhu Trang	PCU Ben Tre	Staff
		Bui Nhut Tai	PCU Ben Tre	Staff
		Nguyen Ngoc Duy	PCU Ben Tre	Staff
		Luong Thi Hong Nguyen	PCU Ben Tre	Staff
		Phan Thi Kim Diep	PCU Ben Tre	Staff
		Nguyen Hai Son	PCU Ben Tre	Accountant
		Huynh Thi Tham	PCU Ben Tre	Accountant
		Tang Hong Nhanh	PCU Ben Tre	Accountant
		Le Van Nam	PCU Ben Tre	Accountant
		Tu Thien Vang	PCU Ben Tre	Staff
		Le Ngoc Tam	PCU Ben Tre	Manager of Administration Division
		Huynh Nghia Tho	PCU Tra Vinh	Director
		Tran Minh Tri	PCU Tra Vinh	Staff
		Duong Huu Nghia	PCU Tra Vinh	Staff
		Lam Van Duyen	PCU Tra Vinh	Staff
		Pham Vu Bang		Translator
14g00 – 15g30 At DONRE office	Working with DONRE and EMC	Kees Blok	Supervision Mission	Team Leader
		Phan Duy Toan	Supervision Mission	Infrastructure specialist
		Nguyen Ngoc Quang	Supervision Mission	M&E specialist
		Nguyen Van Chinh	DONRE	Director
		Bui Thi Thuy Trang	DONRE	Staff
		Nguyen Thi Thuy	DONRE	Vice Manager
		Huynh Le Duy Anh	DONRE	Staff
		Huynh Thanh Dien	DONRE	Staff
		Huynh Thanh Tam	EMC	Deputy Director
		Do Long Khoa	EMC	Manager of Administration Division
		Pham The Vinh	EMC	Manager of Division
		Van Anh Tri	Ben Tre Building Consultant Joint-Stock company	Director
		Nguyen Khac Han	PCU Ben Tre	Director
		Le Minh Hoa	PCU Ben Tre	Deputy Director
		Doan Thi Lan Anh	PCU Ben Tre	Vice Manager of Strategic Management Division
		Truong Van Vien	PCU Ben Tre	Staff
16g00 – 17g30 At WU office	Working with WU and WDF	Kees Blok	Supervision Mission	Team Leader
		Nguyen Thanh Tung	Supervision Mission	Institutional and Policy specialist
		Eva Pedersen	Supervision Mission	Value chain specialist
		Pham Thi Thanh Thao	WU	Chairman
		Nguyen Thi Kim Thoa	WU	Vice Chairman
		Nguyen Thi Thu Ba	WDF	Director
		Ho Bich Hanh	WDF	Deputy Director
		Bui Thi Thuy Duy	WDF	Manager of Credit Division
		Tran Kim Le	WDF	Staff
		Nguyen Khac Han	PCU Ben Tre	Director
		Le Thi Nhu Trang	PCU Ben Tre	Staff
06/9/2019, Group 1 – Mo Cay Bac district - Supervision Mission: Mr Kees Blok – Team leader ,Mr Nguyen Ngoc Quang – M&E specialistandMs Eva Pedersen - Value chain specialist - PCU Ben Tre: Nguyen Khac Han – Director; Tran Diem Thuy – Manager of Strategic Management Division; Duong Tien Vu - KMO, Luong Thi Hong Nguyen, Bui Nhut Tai, Phan Thi Kim Diep và Nguyen Ngoc Duy – Staff - Dong Khoi News: Nguyen Huu Hiep				
At Tan Thanh Binh CPC **8:00-10:00am**	❖ Discussing with leaders of DPCs, district departments and DCO about the coordination and effectiveness of the project implementation; the collaboration between departments and the AMD project, integrating AMD activities with other programs or projects.	Mai Hoang Nhan	Mo Cay Bac DPC	Vice Chairman
		Mai Van Cang	Agricultural and Rural Development Division	Deputy manager
		Nguyen Van Ut	DCO	District coordinator
		Nguyen Thi Thanh Phuong	DCO	Accountant
		Tran Thi Minh Kieu	DCO	Commune coordinator
		Huynh Ngoc Dieu	DCO	Commune coordinator
		Doan Van Lam	District FA	Vice Chairman
		Nguyen Van Vu	Financing and Planning Division	Vice Manager
		Vo Thi Bich Nghiem	WDF	Vice Manager
		Nguyen Thi Cam Nhung	District WU	Vice Chairman
		Nguyen Van Thach	AES	Vice Manager
		Nguyen Thi Le	CDB Thanh An	Manager

Time /Venue	Contents	Paticipants		
		Name	**Unit**	**Position**
	❖ Discussing with CDB Tan Thanh Binh about the results of project activities of the commune.	Le Van Tan	CDB Thanh An	Staff
		Pham Van Luan	CDB Thanh Ngai	Manager
		Vo Van Ni	CDB Thanh Ngai	Accountant
		Nguyen Van Huu	CDB Tan Thanh Binh	Manager
		Pham Thi Mong Ha	CDB Tan Thanh Binh	Accountant
		Nguyen Van Hung	CDB Tan Thanh Binh	Staff
		Nguyen Van Tan	Labor, Invalids and Social Affairs Division	Staff
		Nguyen Van Viet	Commune FA	Chairman
10:30 – 11:20 am at MsNguyen Thi San Nho's house - Tan Thanh Binh commune, Mo Cay Bac district	Field visit the demonstration model using a mechanical ventilation (ASP) system to produce organic fertilizer	Nguyen Thi San Nho	ASP model	Group leader
		Nguyen Thi Dung	ASP model	Member
		Nguyen Thi Cuc	ASP model	Member
		Nguyen Van Cuong	ASP model	Member
		Pham Chan Thai	ASP model	Member
		Nguyen Quang Minh	ASP model	Member
		Nguyen Van Ut	DCO Mo Cay Bac	District coordinator
		Tran Thi Minh Kieu	DCO Mo Cay Bac	Commune coordinator
		Huynh Ngoc Dieu	DCO Mo Cay Bac	Commune coordinator
		Nguyen Quang Minh	ASP model	Member
1:30 – 3:00pmatMs Huynh Xuan Dieu's house - Thanh Binh 1 hamlet , Tan Thanh Binh commune , Mo cay Bac District	Field trip to meet farmers implementing the model of raising commercial pheasant using CFAF	Huynh Xuan Dieu	Household	
		Nguyen Huu Vu	Household	
		Nguyen Van Ut	DCO Mo Cay Bac	District coordinator
		Tran Thi Minh Kieu	DCO Mo Cay Bac	Commune coordinator
		Huynh Ngoc Dieu	DCO Mo Cay Bac	Commune coordinator
3:00 – 4:00pmat Ms Nguyen Thi Tuyet Lan's house at An Thoi hamlet, Phuoc Hiep commune , Mo Cay Bac	Visiting Thien Phuc Incense Manufacturing Company using PPP	Nguyen Thi Tuyet Lan	Thien Phuc Incense Manufacturing Company	Director
		Ngo Song Dao	Thien Phuc Incense Manufacturing Company	Staff
		Nguyen Van Ut	DCO Mo Cay Bac	District coordinator
4:00 – 5:00pm At BEINCO - Thanh Tan commune	Visiting Ben Tre Coconut Investment Joint Stock Company (Beinco) using PPP	Ngo Van Kiem	BEINCO	Director
		Le Hoang Nam	BEINCO	Deputy Director
		Nguyen Van Ut	DCO Mo Cay Bac	District coordinator
06/9/2019, Group 2 - Giong Trom district - Supervision Mission: Mr Nguyen Thanh Tung – Institutional and Policy specialist; MrPhan Duy Toan - Infrastructure specialist - PCU Ben Tre: Le Minh Hoa – Deputy Director; Doan Thi Lan Anh – Vice Manager of Strategic Management Division; Truong Van Vien, Le Thi Nhu Trang, Tran Thi Ngoc Nu – Staff - WDF Ben Tre: Nguyen Thi Thu Ba – Director				
At CPC Hung Le **8:00 – 10:20am**	- Discussing with leaders of DPCs, district departments and DCO about the coordination and effectiveness of the project implementation; the collaboration between departments and the AMD project, integrating AMD activities with other programs or projects; - Discussing with CDB Hung Le about the results of project activities of the commune.	Nguyen Van Thang	DCO Giong Trom	District coordinator
		Pham Van Trien	DCO Giong Trom	Accountant
		Nguyen Thi Lam	DCO Giong Trom	Commune coordinator
		Nguyen Thi Thuy Tien	DCO Giong Trom	Commune coordinator
		Vo Huu BaDat	AES	Vice Manager
		Nguyen Van Thoang	Financing and Planning Division	Vice Manager
		Le Van Canh	District FA	Vice Chairman
		Pham Van Trung	Economy – Infrastructure Division - DPC	Vice Manager
		Nguyen Vu Phong	Agricultural and Rural Development Division	Vice Manager
		Nguyen Huy Binh	Agricultural and Rural Development Division	Staff
		Nguyen Thị My Duyen	Labor, Invalids and Social Affairs Division	Vice Manager
		Duong Thi Hong Cuc	District WU	Vice Chairman
		Phan Kim Tuyen	Resources and Environment Division	Vice manager
		Tu Van Tan	District Youth Union	DeputyChairman
		Truong Tan Chinh	CPC Hung Le	Chairman
		Truong Van Nguyen	CDB Hung Le	Leader
		Ho Thi Lan Phuong	CDB Hung Le	Accountant
		Do Thi Ngoc Tuyen	CDB Hung Le	Staff
		Truong Thi Ngoc Nhiem	CPC Hung Le	Commune WU's Chairman
		Nguyen Hoai Thien	CPC Hung Le	Staff
		Phung Van Men	CPC Hung Le	Chairmanof Veterans Association
		Pham Duy Thang	CPC Hung Le	Chairmanof Commune FA
		Vo Thi Kim Chuan	CPC Hung Le	Staff
		Nguyen Van Chuc	Community supervision board – Hung Le commune	Leader
		Vo Van Mang	CPC Hung Le	Chairman
		Nguyen Huu Hieu	CDB Luong Phu	Leader

Time /Venue	Contents	Paticipants		
		Name	**Unit**	**Position**
		Le Quang Xuan	CDB Luong Phu	CB KTKH
		Nguyen Thanh Kiem	CDB Tan Loi Thanh	Leader
		Ho ThiDem	CDB Tân Lợi Thạnh	CB KTKH
***10:30 – 11:20 am** at MsNguyen Thi Triem's house –Hamlet 9, Hung Le commune, Giong Trom district*	Visiting credit-saving CIG for their production	Duong Thi My Dieu	Credit-saving CIG	Group leader
		Nguyen Van Luom	Credit-saving CIG	Member
		Nguyen Thi Dung	Credit-saving CIG	Member
		Tran Thi Muoi	Credit-saving CIG	Member
		Tran Thi Lanh	Credit-saving CIG	Member
		Nguyen Thi Lam	DCO Giong Trom	Commune coordinator
		Duong Thi Hong Cuc	District WU	Vice Chairman
		Vo Thi Trinh	WDF Giong Trom	Credit staff
		Do Thi Ngoc Tuyen	CDB Hung Le	Staff
		Truong Thi Ngoc Nhiem	Commune WU	Chairmanof Commnue WU
		Le Quang Xuan	CDB Luong Phu	Staff
		Nguyen Thanh Kiem	CDB Tan Loi Thanh	Leader
At Hung Le commune ***10:30 – 11:00am***	Visit CIF work: Inter-village road 9-12 in Hung Le commune	Nguyen Van Chuc	Community supervision board – Hung Le commune	Leader
		Nguyen Van Thang	DCO Giong Trom	District coordinator
		Truong Van Nguyen	CDB Hung Le	Leader
***11:30 – 12:15**at MrBui Van Hien's house – Hamlet 9, Hung Le commune, Giong Trom district*	Visiting fattening goat model under the CC farming package	Bui Van Hien	Goat model	Group leader
		Nguyen Thi Thuy	Hamlet 11, Hung Le commune	Member
		Nguyen Thi Hong Nhi	Hamlet 11, Hung Le commune	Member
		Pham Van Hoa	Hamlet 11, Hung Le commune	Member
		Huynh Van Con	Hamlet 11, Hung Le commune	Member
		Nguyen Thi Thuy	Hamlet 11, Hung Le commune	Member
		Duong Thi Hong Cuc	District WU	Vice Chairman
		Vo Thi Trinh	WDF Giong Trom	Credit Staff
		Truong Van Nguyen	CDB Hung Le	Leader
		Do Thi Ngoc Tuyen	CDB Hung Le	Staff
		Truong Thi Ngoc Nhiem	DPC Hung Le	Chairmanof Commune WU
		Le Quang Xuan	CDB Luong Phu	Staff
		Nguyen Thanh Kiem	CDB Tan Loi Thanh	Leader
		Do Thi Ngoc Tuyen	CDB Hung Le	Staff
At CPC Tan Loi Thanh **2:30 – 4:00pm**	Visit CIF work: - Dredging Go Tranh canal - Road from Cay Vong crossroad in Tan Loi Thanh commune to Phuoc Long commune - Road of 7 Village to Day Vang Bridge (Road from Bay Binh House to Day Vang Bridge)	Nguyen Van Loc	Community supervision board – Tam Loi Thanh commune	Leader
		Nguyen Van Thang	DCO Giong Trom	District coordinator
		Pham Van Trien	DCO Giong Trom	Accountant
		Nguyen Thanh Kiem	CDB Tan Loi Thanh	Leader
***15:00 – 16:00**at MrPhan Cong Ut's house – Giong Sau Hamlet, Tan Loi Thanh commune, Giong Trom district*	Visiting the demonstration model of renovating ineffective fruit garden to soursop planting	Phan Cong Ut	Demonstration model	Group leader
		Nguyen Van Kha	Demonstration model	Member
		Nguyen Thi Lam	DCO Giong Trom	Commune coordinator
		Nguyen Thi Thuy Tien	DCO Giong Trom	Commune coordinator
		Vo Huu Ba Dat	AES	Vice manager
		Truong Van Nguyen	CDB Hung Le	Leader
		Ho Thi Lan Phuong	CDB Hung Le	Accountant
		Do Thi Ngoc Tuyen	CDB Hung Le	Staff
		Le Quang Xuan	CDB Luong Phu	Staff
07/9/2019, Group 1 – Cho Lach district - Supervision Mission: Mr Nguyen Ngoc Quang – M&E specialist; Mr Zidni Marohombsar - Financial Management specialistandMs Eva Pedersen - Value chain specialist - PCU Ben Tre: Nguyen Hoai Nam – Deputy Director, Luong Thi Hong Nguyen, Bui Nhut Tai, Phan Thi Kim Diep và Nguyen Ngoc Duy – Staff - Dong Khoi News: Nguyen Huu Hiep				
At CPC Hoa Nghia **8:00 – 10:00am**	- Discussing with leaders of DPCs, district departments and DCO about the coordination and effectiveness of the project implementation; the collaboration between departments and the AMD project, integrating AMD activities with other programs or projects; - Discussing with CDB Hoa Nghia about the results of project activities of the	Le Thanh Khoang	CDB Long Thoi	Leader
		Tran To Ha	CDB Long Thoi	Staff
		Nguyen Xuan Vu	CDB Long Thoi	Accountant
		Nguyen Thi Hong Phan	CDB Vinh Hoa	Satff
		Nguyen Vu Liec	CDB Hoa Nghia	Staff
		Pham Hong Son	CDB Hoa Nghia	Leader
		Pham Anh Linh	DCO Cho Lach	Leader
		Nguyen Toan Danh	DCO Cho Lach	District coordinator
		Le Thi Huyen Trang	DCO Cho Lach	Accountant
		Tran Thi Gam	DCO Cho Lach	Commune coordinator
		Nguyen Thi Tuyet Hao	DCO Cho Lach	Commune coordinator
		Bui Thanh Liem	Agricultural and Rural Development Division	Manager
		Nguyen Hoang Nghia	Labor, Invalids and Social Affairs Division	Manager

Time /Venue	Contents	Paticipants		
		Name	**Unit**	**Position**
	commune.	Vo Thi Hue	District WU	Chairman
		Nguyen Truong Vinh	Financing and Planning Division	Vice manager
		Vo Phuoc Loc	Economy – Infrastructure Division - DPC	Vice manager
		Tran Tat Linh	District FA	Vice Chairman
		Vo Thi Diep Thuy	CDB Hoa Nghia	Accountant
		Tran Cong Tin	AES	Staff
***10:20 – 11:30** at MrBui Van Trung's house – Nhon Phu Hamlet, Hoa Nghia commune, Cho Lach district*	Field trip to meet agricultural services groups using CFAF	Bui Van Trung	Agricultural services groups	Group leader
		Bui Van Tam	Agricultural services groups	Member
		Pham Anh Linh	DCO Cho Lach	Leader
		Nguyen Toan Danh	DCO Cho Lach	District coordinator
		Le Thi Huyen Trang	DCO Cho Lach	Accountant
		Tran Thi Gam	DCO Cho Lach	Commune coordinator
		Nguyen Thi Tuyet Hao	DCO Cho Lach	Commune coordinator
***13:30 – 14:30** at MrBui Van Trung's house – Nhon Phu Hamlet, Hoa Nghia commune, Cho Lach district*	Field trip to visit demonstration model: Prime Durian orchard	Pham Duc Thanh	Farmer	Group leader
		Nguyen Toan Danh	DCO Cho Lach	District coordinator
		Nguyen Thi Tuyet Hao	DCO Cho Lach	Commune coordinator
		Le Thi Huyen Trang	DCO Cho Lach	Accountant
***14:40 – 15:50** at MrNguyen Van Ot's house – Nhon Phu Hamlet, Hoa Nghia commune, Cho Lach district*	Field trip to visit rambutan farmer group under VietGAP, GlobalGAP	Nguyen Van Ot	Farmer group	Group leader
		Nguyen Thi Phuong Thuy	Farmer group	Member
		Nguyen Van Be Ti	Farmer group	Member
		Nguyen Thanh Teo	Farmer group	Member
		Tran Van Tung	Farmer group	Member
		Le Hai Long	Farmer group	Member
		Nguyen Toan Danh	DCO Cho Lach	District coordinator
		Le Thi Huyen Trang	DCO Cho Lach	Accountant
		Tran Thi Gam	DCO Cho Lach	Commune coordinator
		Nguyen Thi Tuyet Hao	DCO Cho Lach	Commune coordinator
***16:00 – 17:30** at* Chanh Thu Company	Visit Chanh Thu Company	Nguyen Thi Hong Thu	Chanh Thu company	Director
		Ngo Van Chanh	Chanh Thu company	DeputyDirector
		Nguyen Toan Danh	DCO Cho Lach	District coordinator
		Le Thi Huyen Trang	DCO Cho Lach	Accountant
		Tran Thi Gam	DCO Cho Lach	Commune coordinator
		Nguyen Thi Tuyet Hao	DCO Cho Lach	Commune coordinator
07/9/2019, Group 2 – Binh Dai district - Supervision Mission: Mr Kees Blok – Team leader; Mr Nguyen Thanh Tung – Institutional and Policy specialist; MrPhan Duy Toan - Infrastructure specialist - PCU Ben Tre: Nguyen Khac Han – Director; Le Minh Hoa – Deputy Director; Doan Thi Lan Anh – Vice Manager of Strategic Management Division; Duong Tien Vu - KMO Truong Van Vien, Le Thi Nhu Trang, Tran Thi Ngoc Nu – Staff - WDF Ben Tre: Nguyen Thi Thu Ba – Director				
At CPC Thanh Tri **8:00 – 10:20am**	- Discussing with leaders of DPCs, district departments and DCO about the coordination and effectiveness of the project implementation; the collaboration between departments and the AMD project, integrating AMD activities with other programs or projects; - Discussing with CDB Thanh Tri about the results of project activities of the commune.	Dang Van Dua Em	Thanh Tri CPC	Chairman
		Vo Ngoc Linh	Thanh Tri CPC	Staff
		Le Thi Truc Minh	Thanh Tri CPC	Accountant
		Cao Lam Trieu	Thanh Tri CPC	Chairman of DistrictFA
		Pham Thi Thanh Hong	Thanh Tri CPC	Chairman of District WU
		Nguyen Thi Thanh Bong	Thanh Tri CPC	Staff
		Nguyen Thi Hoang Hue	Thanh Tri CPC	
		Ngo Thanh Hien	Financing and Planning Division	Vice manager
		Nguyen Thi Dieu	District FA	Vice Chairman
		Le Thi Hong Yen	District WU	
		Vo Thi Thuy Hang	DCO	Accountant
		Nguyen Phan Hong Phuc	WDF	Credit staff
		Pham Hung Long	Thua Duc CPC	Chairman
		Nguyen Thanh Nhan	Dai Hoa Loc CPC	Chairman
		Pham Van Thoang	Phu Vang CPC	Chairman
		Vo Van Tan	Vang Quoi Dong CPC	Chairman
		Pham Thi Thu Trang	Economy – Infrastructure Division - DPC	Vice manager
		Nguyen Van Dung	DPC	Vice Chairman
		Nguyen Thanh Sa	DCO Binh Dai	District coordinator
		Dang Thi Kim Kieu	DCO Binh Dai	Commune coordinator
		Vo Thi Thuy Hang	DCO Binh Dai	Accountant
		Le Thi Kim Thu	DCO Binh Dai	Commune coordinator
		Tran Thi Ngoc Giau	DCO Binh Dai	Commune coordinator
***10:45 – 11:30** at MrDo Van Hoang's house – Binh Phu Hamlet, Thanh Tri commune, Binh Dai*	Visiting credit-saving CIG for their production	Do Van Hoang	Binh Phu hamlet	Member
		Ngo Thi Hoa	Binh Thanh hamlet	Greoup leader
		Nguyen ThiDang	Binh Phu hamlet	Member
		Tran Thi Ngoc Giau	DCO Binh Dai	Commune coordinator

Time /Venue	Contents	Paticipants		
		Name	Unit	Position
district		Dang Thi Kim Kieu	DCO Binh Dai	Commune coordinator
		Nguyen Thanh Sa	DCO Binh Dai	District coordinator
***11:40 – 12:30** at Thanh Tri commune, Binh Dai district*	Visiting CIF work: Canal road No 1	Nguyen Van Lap	Thanh Tri commnue	Leaderof supervision group
		Tran Thi Ngoc Giau	DCO Binh Dai	Commune coordinator
		Dang Thi Kim Kieu	DCO Binh Dai	Commune coordinator
		Nguyen Thanh Sa	DCO Binh Dai	District coordinator
***12:40 – 14:30** at Vang Quoi Dong commune, Binh Dai district*	Visiting 2 CIF work : Bo Ngua road và 7+8 group road at Vinh Tan hamlet	Bui Thanh Dang	Vang Quoi Dong commune	Member of supervision group
		Nguyen Thanh Sa	DCO Binh Dai	District coordinator
		Dang Thi Kim Kieu	DCO Binh Dai	Commune coordinator
		Vo Thi Thuy Hang	DCO Binh Dai	Accountant
		Le Thi Kim Thu	DCO Binh Dai	Commune coordinator
		Tran Thi Ngoc Giau	DCO Binh Dai	Commune coordinator
***14:40 – 15:35**at Mr Phan Tan Phu's house - Vang Quoi Dong commune, Binh Dai district*	Field trip to visit the Grimaud duck model for eggs using CFAF	Phan Tan Phu	Vang Quoi Dong commune	Member
		Le Van Trieu	Vang Quoi Dong commune	Group leader
		Vo Phu Binh	Vang Quoi Dong commune	Member
		Vo Van Tam	Vang Quoi Dong commune	Member
		Le Thi Kim Thu	DCO Binh Dai	Commune coordinator
		Nguyen Thanh Sa	DCO Binh Dai	District coordinator
		Vo Van Tan	Vang Quoi Dong CPC	Chairman
***15:40 – 17:15**atHung Truong Phat company*	Visiting Hung Truong Phat Aquatic products Joint Stock Company	Vo Thanh Hiep	Hung Truong Phat company	Director
		Tran Thanh Phong	Hung Truong Phat company	Chef Accountant
		Nguyen Thanh Sa	DCO Binh Dai	District coordinator
09/9/2019				
***13:30 – 15:30**at DONRE*	Discussing with DONRE about the technical contentsof ASWQM system implementation - AMD Project	Le Pham Hoang Giau	Information and Communication Facilities	Manager
		Nguyen The Nha	Information and Communication Facilities	Staff
		Dinh Phuong Trang	Deltares	Assistant
		Nguyen Trung Kien	Deltares	IT
		Nguyen Khac Han	AMD Ben Tre	Director
		Le Mình Hoa	AMD Ben Tre	DeputyDirector
		Doan Thi Lan Anh	AMD Ben Tre	Vice Manager of Strategic Management Division
		Truong Van Vien	AMD Ben Tre	Satff
		Pham Thanh Hoang	DONRE	
		Le Phuoc Dung	AMD Tra Vinh	DeputyDirector
		Nguyen Van Ven	DONRE tra Vinh	Staff
		Nguyen Thanh Thai	DONRE Tra Vinh	Staff
		Ha Thanh Tuyen	DONRE	Staff
		Kees Blok	Supervision Mission	Team leader
		Nguyen Ngoc Quang	Supervision Mission	M&E specialist
		Eva Pedersen	Supervision Mission	Value chain specialist
		Nguyen Thanh Tung	Supervision Mission	Institutional and Policy specialist
		Phan Duy Toan	Supervision Mission	Infrastructure specialist
***15:30 – 16:30** at PPC*	Discussing with PPC' Chairman about the ASWQM packages	Cao Van Trong	PPC	Chairman
		Nguyen The Phong	PPC	Deputymanager
		Nguyen Van Chinh	DONRE	Director
		Nguyen Thi Thuy	EMC	Deputymanager
		Kees Blok	Supervision Mission	Team leader
		Phan Duy Toan	Supervision Mission	Infrastructure specialist
		Nguyen Khac Han	AMD Ben Tre	Director
		Le Mình Hoa	AMD Ben Tre	DeputyDirector
		Doan Thi Lan Anh	AMD Ben Tre	Vice Manager of Strategic Management Division
		Truong Van Vien	AMD Ben Tre	Staff
10/9/2019				
At PCU office 8:00 – 11:00am	Working with PCU Board of Directors on draft Aide Memoire	Kees Blok	Supervision Mission	Team Leader
		Zidni Marohombsar	Supervision Mission	Financial Management specialist
		Eva Pedersen	Supervision Mission	Value chain specialist
		Nguyễn Thanh Tùng	Supervision Mission	Institutional and Policy specialist
		Phan Duy Toàn	Supervision Mission	Infrastructure specialist
		Nguyen Ngoc Quang	Supervision Mission	M&E specialist
		Nguyen Khac Han	PCU Ben Tre	Director
		Nguyen Hoai Nam	PCU Ben Tre	Deputy Director
		Le Minh Hoa	PCU Ben Tre	Deputy Director
		Do Thi Kim Loan	PCU Ben Tre	Chief Accountant
		Tran Diem Thuy	PCU Ben Tre	Manager of Strategic

Time /Venue	Contents	Paticipants		
		Name	Unit	Position
				Management Division
		Doan Thi Lan Anh	PCU Ben Tre	Vice Manager of Strategic Management Division
		Tran Thi Ngoc Nu	PCU Ben Tre	Staff
		Duong Tien Vu	PCU Ben Tre	Staff
		Truong Van Vien	PCU Ben Tre	Staff
		Le Thi Nhu Trang	PCU Ben Tre	Staff
		Bui Nhut Tai	PCU Ben Tre	Staff
		Nguyen Ngoc Duy	PCU Ben Tre	Staff
		Luong Thi Hong Nguyen	PCU Ben Tre	Staff
		Phan Thi Kim Diep	PCU Ben Tre	Staff
		Nguyen Hai Son	PCU Ben Tre	Accountant
		Huynh Thi Tham	PCU Ben Tre	Accountant
		Tang Hong Nhanh	PCU Ben Tre	Accountant
		Le Van Nam	PCU Ben Tre	Accountant
		Tu Thien Vang	PCU Ben Tre	Staff
		Le Ngoc Tam	PCU Ben Tre	Manager of Administration Division

LIST OF PARTICIPANTS WORKED WITH THE SUPERVISION MISSION 2019
AMD TRA VINH PROJECT
From September 11-17, 2019

I. September 11, 2019:

1. Morning:

a. Venue: PCU

b. Participants:

IFAD:

- Mr. Kees Blok (team leader)
- Mr. Nguyen Thanh Tung, Institutions and Rural Finance Specialist
- Mr. Nguyen Ngoc Quang, Natural Resources and M&E Specialist
- Ms. Eva Pedersen, Value Chain Specialist
- Mr. Phan Duy Toan, Infrastructure and Procurement Specialist
- Mr. Zidni Marohombsar, Financial Management Specialist
- Mr. Hoang Manh Tuan – Interpreter

Departments and line agencies

- Mr. Ngo Thanh Nhanh – Department of Planning and Investment
- Mrs. Le Thi Hanh Chuyen – Department of Agriculture and Rural Development
- Mr. Nguyen Thanh Thai –Department of Natural Resources and Environment
- Mrs.Nguyen Thi Thu Huong – Director of the Women's Development Assistance Fund

PCU:

- Mr. Huynh Nghia Tho - Director of AMD project
- Mr. Le Phuoc Dung – Deputy director of AMD project
- Mrs. Trang Thi Thu Minh – Head of the Financial Management Division
- Mrs. Duonng Hong Diep –Head of the Administrative Unit
- Mr. Tran Minh Tri – Head of the Planning and M&E Division
- Mr. Duong Huu Nghia – M&E staff
- Mr. Tran Thanh Khiet – Procurement staff
- Mrs. Nguyen Thu Hang – CCA staff
- Mrs. Truong Thi Kim Yen - PPP staff
- Mr. Thach Huynh Thi Thu Trang –KMO
- Mr. Lam Van Duyen – AMD project's interpreter

2. Afternoon:

2.1. Group 1:

a. Venue: The Women's Development Assistance Fund of Tra Vinh province

b. Participants:

IFAD:

- Mr. Nguyen Thanh Tung, Institutions and Rural Finance Specialist

The Women's Development Assistance Fund of Tra Vinh province:

- Mrs. Nguyen Thi Thu Huong – Director
- Mrs. Tran Thi Thuy An – Accountant
- Ms. Pham Thi Diem Trinh - Internal control staff
- Ms. Ly Thi My Tien – Accountant

PCU:

- Mr. Huynh Nghia Tho – Director of AMD project
- Mr.Duong Huu Nghia – M&E staff

2.2. Group2:

a1. Venue: Department of Agriculture and Rural Development and Department of Natural Resources and Environment, CCCO

b1. Participants:

IFAD:

- Mr. Kees Blok (team leader)
- Mr. Nguyen Ngoc Quang, Natural Resources and M&E Specialist
- Mr. Phan Duy Toan, Infrastructure and Procurement Specialist

Department of Agriculture and Rural Development:

- Mrs.Nguyễn Ngọc Hài – Deputy director
- Mr. Trang Tửng – Deputy head of the Administrative Office
- Mrs. Lê Thị Hạnh Chuyên – Deputy head of the Administrative Office
- Mr. Nguyễn Văn Phùng – Deputy director of the Industrial Extension Center

- Mr. Nguyễn Công Thức –Department of Fisheries

Department of Natural Resources and Environment:

- Mr. Đặng Văn Điền – Deputy director of DoNRE, Deputy head of CCCO
- Mrs. Nguyễn Thị Mỹ Hoa – Head of the Natural Resources Division
- Mrs. Nguyễn Thị Đoan Diễm – Staff
- Mr. Nguyễn Văn Vẹn – Staff
- Mr. Nguyễn Thành Thái - Staff
- Mr. Nguyễn Minh Hải – Staff of CCCO

PCU:

- Mr.Lê Phước Dũng – Deputy director
- Mr. Trần Hoàng Phúc – CCA coordinator
- Mr. Trần Minh Trí –Head of the Planning and M&E Division

a2. Venue: Department of Natural Resources and Environment, CCCO

b2. Participant:

IFAD:

- Mr. Zidni Marohombsar – Financial Management Specialist

Department of Natural Resources and Environment, CCCO:

- Mrs. Trương Trúc Giang – Accountant

PCU:

- Mrs.Trang Thị Thư Minh–Head of the Financial Management Division
- Mr.Lê Quốc Bảo – Accountant
- Mr. Võ Huỳnh Long – Accountant
- Mrs. Lưu Thị Mỹ Xuân – Accountant
- Mrs. Đồng Thị Mỹ Thuần – Accountant

2.3. Group 3:

a. Venue: Department of Industry and Trade

b. Pa:

IFAD:

- Ms. Eva Pedersen, Value Chain Specialist

Department of Industry and Trade:

- Mrs.Nguyễn Thị Bích Vân – Head of the Trade Management Division

PCU:

- Mrs. Trương Thị Kim Yến – PPP staff

II. September 12, 2019:

1. Group 1:

1.1. Morning:

a. Venue: Luong Hoa commune, Chau Thanh district, Tra Vinh province

b. Participants:

IFAD:

- Mr. Nguyen Thanh Tung, Institutions and Rural Finance Specialist
- Mr. Phan Duy Toan, Infrastructure and Procurement Specialist

Provincial department:

- Mr. Phan Võ Khánh Thuận – Deputy director of the Women's Development Assistance Fund

PCU:

- Mr. Le Phuoc Dung – Deputy director of AMD project
- Mr. Duong Huu Nghia – M&E staff
- Mr. Tran Thanh Khiet – Procurement staff
- Mrs. Thạch Huỳnh Thị Thu Trang – KMO

District:

- Mrs. Thạch Thị Sa Thi –Chairwoman of DPC
- Mrs. Thi Thị Thanh Trúc – Deputy head of district transaction office, WDAF
- Mrs. Trần Thanh Kiều – District M&E staff

Commune:

- Mr. Phan Văn Oanh – Chủ tịch UBND xã. Chairman of CPC
- Mrs. Nguyễn Thị Thanh Thoản – Vice chairwoman of the commune women's union
- Mrs. Trầm Ngọc Châu – Project staff at commune level

Village:

- Mrs.Sơn Thị Ánh Sa Huân – SCG (cucumber growing SCG in Bot Chech village)

1.2. Afternoon:

a. Venue: Hoa Tan commune, Chau Ke district, Tra Vinh province

b. Participants:

IFAD:

- Mr. Nguyen Thanh Tung, Institutions and Rural Finance Specialist
- Mr. Phan Duy Toan, Infrastructure and Procurement Specialist

Provincial department:

- Mr. Phan Võ Khánh Thuận – Deputy director of the Women's Development Assistance Fund

PCU:

- Mr. Le Phuoc Dung – Deputy director of AMD project
- Mr. Duong Huu Nghia – M&E staff
- Mr. Tran Thanh Khiet – Procurement staff
- Mrs. Thạch Huỳnh Thị Thu Trang – KMO

District:

- Mr. Nguyễn Văn Tâm – Credit staff, WDAF

Commune:

- Mrs.Nguyễn Thị Nhiền – Commune secretary
- Mr. Nguyễn Lê Vinh – Chairman of CPC
- Mrs.Kiên Thị Hồng Anh – Chairwoman of the commune women's union
- Mrs. Phó Thục Hân – Project staff at commune level

2. Group2:

2.1. Morning:

a. Venue: Hoa An commune, Cau Ke district, Tra Vinh province

b. Participants:

IFAD:

- Mr.

Nhan Dan television channel:

- Mr.Đặng Văn Bường – Reporter

PCU:

- Mr. Le Phuoc Dung – Deputy director of AMD project
- Mr. Duong Huu Nghia – M&E staff
- Mr. Tran Thanh Khiet – Procurement staff
- Mrs. Thach Huynh Thi Thu Trang – KMO

District:

- Mrs. Thạch Thị Sa Thi –Chairwoman of DPC
- Mrs. Thi Thị Thanh Trúc – Deputy head of district transaction office, WDAF
- Mrs. Trần Thanh Kiều – District M&E staff

Commune:

- Mr. Phan Văn Oanh – Chairman of CPC
- Mrs. Nguyễn Thị Thanh Thoản – Vice chairwoman of the commune women's union
- Mrs. Trầm Ngọc Châu – Project staff at commune level

Village:

- Mrs. Sơn Thị Ánh Sa Huân – SCG (cucumber growing SCG in Bot Chech village)

2.2. Afternoon:

a. Venue: Hoa An commune, Cau Ke district, Tra Vinh province

b. Participants:

IFAD:

- Mr. Nguyen Thanh Tung, Institutions and Rural Finance Specialist
- Mr. Phan Duy Toan, Infrastructure and Procurement Specialist

Provincial department:

- Mr. Phan Võ Khánh Thuận – Deputy director of the Women's Development Assistance Fund

PCU:

- Mr. Le Phuoc Dung – Deputy director of AMD project
- Mr. Duong Huu Nghia – M&E staff
- Mr. Tran Thanh Khiet – Procurement staff
- Mrs. Thạch Huỳnh Thị Thu Trang – KMO

District:

- Mr. Nguyễn Văn Tâm – Credit staff, WDAF

Commune:

- Mrs. Nguyễn Thị Nhiền – Commune secretary

3. Group3:

3.1. Morning:

a. Venue: Phuong Thanh commune, Cang Long district, Tra Vinh province

b. Participants:

IFAD:

- Mr. Zidni Marohombsar, Financial Management Specialist

PCU:

- Mrs. Trang Thi Thu Minh – Head of the Financial Management Division
- Mr. Lê Quốc Bảo – Accountant
- Mr. Lâm Văn Duyên – Interpreter

Commune:

- Mr. Lê Minh Tâm – Project staff at commune level
- Mrs. Kim Trúc Thảo – CPMU's accountant

3.2. Afternoon:

a. Venue: Chau Dien commune, Cau Ke district, Tra Vinh province

b. Participant:

IFAD:

- Mr. Zidni Marohombsar, Financial Management Specialist

PCU:

- Mrs. Trang Thi Thu Minh – Head of the Financial Management Division
- Mr. Lê Quốc Bảo – Accountant
- Mr. Lâm Văn Duyên – Interpreter

Commune:

- Mr.Thạch Vuône – Head of CPMU
- Mrs.Huỳnh Thị Thúy Ngân – Project staff at commune level
- Mrs. Thạch Thị Sê Rây – CPMU's accountant

III. September 13, 2019:

1. Group 1:

1.1. Morning:

a. Venue: Hung Hoa commune, Tieu Can district, Tra Vinh province

b. Participants:

IFAD:

- Mr. Nguyen Thanh Tung, Institutions and Rural Finance Specialist
- Mr. Phan Duy Toan, Infrastructure and Procurement Specialist
- Mr. Kees Blok (team leader)
- Mr. Hoang Manh Tuan – Interpreter

Provincial department:

- Mr. Phan Võ Khánh Thuận – Deputy director of the Women's Development Assistance Fund

PCU:

- Mr. Le Phuoc Dung – Deputy director of AMD project
- Mr. Duong Huu Nghia – M&E staff
- Mr. Tran Thanh Khiet – Procurement staff
- Mrs. Thạch Huỳnh Thị Thu Trang – KMO

District:

- Mr. Nguyễn Văn Tỏ – District M&E staff
- Mrs. Lê Thị Kim Loan – Deputy head of the transaction office in Tieu Can district
- Mr. Ngô Hoàng Linh – The transaction office in Tieu Can district

Commune:

- Mr. Lê Văn Đua – Chủ tịch UBND xã. Chairman of CPC
- Mrs. Trần Thị Như Ý – Commune women's union
- Mr. Trầm Minh Trung – Project staff at commune level

Village:

- Mrs.Thạch Thị Tiên –Ông Rùm 1 village SCG
- Mr. Nguyễn Văn Vũ – Director of green skin pomelo cooperative in Tu O 1 village
- Mr. Trần Văn Phương – Member of the green skin pomelo cooperative in Tu O 1
- Mr. Huỳnh Văn Cành – Member of the green skin pomelo cooperative in Tu O 1

- Mr. Nguyễn Văn Động – Member of the green skin pomelo cooperative in Tu O 1
- Mr. Hà Minh Đề – Member of the green skin pomelo cooperative in Tu O 1
- Mr. Trần Quốc Kiệt – Member of the green skin pomelo cooperative in Tu O 1
- Mr. Trần Thanh Tuấn – Member of the green skin pomelo cooperative in Tu O 1

1.2. Afternoon:

a. Venue: Don Chau commune, Duyen Hai district, Tra Vinh province

b. Participants:

IFAD:
- Mr. Nguyen Thanh Tung, Institutions and Rural Finance Specialist
- Mr. Phan Duy Toan, Infrastructure and Procurement Specialist
- Mr. Kees Blok (team leader)
- Mr. Hoang Manh Tuan – Interpreter

Provincial department:
- Mr. Phan Võ Khánh Thuận – Deputy director of the Women's Development Assistance Fund

PCU:
- Mr. Le Phuoc Dung – Deputy director of AMD project
- Mr. Duong Huu Nghia – M&E staff
- Mr. Tran Thanh Khiet – Procurement staff
- Mrs. Thạch Huỳnh Thị Thu Trang – KMO

District:
- Mr.Võ Văn Phương – District M&E staff
- Mrs. Nguyễn Thị Mỹ Châu – Head of the district transaction office
- Mrs. Nguyễn Thị Cẩm Tú – Credit staff
- Mrs. Thạch Thu Thủy – Credit staff

Commune:
- Mrs. Nguyễn Thị Tốt – Commune women's union

Village:
- Mrs.Kim Thị Ngọc Châu – Village Women's uion
- Mrs.Sơn Thị Dung – Head of SCG No.1
- Mrs. Sơn Thị Hồng – Head of SCG No.2
- Mrs. Kiên Thị Dẻ – Head of SCG No.3
- Mrs. Thạch Thị Sao Ry – Head of SCG No.4

2. Group 2:

2.1. Morning:

a. Venue: Long Hiep commune, Ngoc Bien commune, Thanh Hoa Son commune, Tra Cu district, Tra Vinh province

b. Participants:

IFAD:
- Mr. Nguyen Ngoc Quang, Natural Resources and M&E Specialist
- Ms. Eva Pedersen, Value Chain Specialist

PCU:
- Mr. Trần Minh Trí – Head of the Planning and M&E Division

District:
- Mr. Trương Thanh Hải – District M&E staff

Long Hiep commune:
- Mr.Nguyễn Phúc Thịnh – Director of the agriculture cooperative
- Mr.Kim Danh The – The agriculture cooperative
- Mr.Ngô Thanh Hoài – The agriculture cooperative

Ngoc Bien commune:
- Mr.Lê văn An – Head of CG
- Mr.Thạch Ngọc Thái – Member of the CG
- Mr.Thạch Sa Mương – Member of the CG

Thanh Hoa Son commune:
- Mrs.Nguyễn Thị Diễm Trinh – Project accountant
- Mrs. Kiên Thị Hồng Tiến – Project staff at commune level
- Mrs.Kiên Huyền – Head of the business household (skilin heads for performance)
- Mrs.Thạch Thị Thu Hà - The business household (skilin heads for performance)
- Mr. Kim Danh The – The agriculture cooperative
- Mr. Ngô Thanh Hoài – The agriculture cooperative

1.2. Afternoon:

a. Venue: Long Son commune, Truong Tho commune, Cau Ngang district, Tra Vinh province

b. Participants:

IFAD:

- Mr. Nguyen Ngoc Quang, Natural Resources and M&E Specialist
- Ms. Eva Pedersen, Value Chain Specialist

PCU:

- Mr. Trần Minh Trí – Head of the Planning and M&E Division

District:

- Mr. Trương Thanh Hải – District M&E staff

Long Sơn commune:

Mr.Nguyễn Văn Tân – Head of the business household (PPP).

Trường Thọ commune:

- Mr.Trần Quốc Phong – Vice chairman of CPC
- Mr.Lâm Thanh Nhiên – Project staff at commune level
- Mr. Thạch chane Tha – Head of the CG (featherback combined with gourami)
- Mrs.Nguyễn Thị Cẩm Loan–Member of the CG (featherback combined with gourami)
- Mrs.Thạch Thị Si Pha - Member of the CG (featherback combined with gourami)

3. Group 3:

3.1. Morning:

a. Venue: PCU

b. Participants:

IFAD:

- Mr. Zidni Marohombsar, Financial Management Specialist

PCU:

- Mrs. Trang Thi Thu Minh – Head of the Financial Management Division
- Mr. Lê Quốc Bảo – Accountant
- Mr. Võ Huỳnh Long – Accountant
- Mrs. Lưu Thị Mỹ Xuân – Accountant
- Mrs. Đồng Thị Mỹ Thuần – Accountant
- Mr. Lâm Văn Duyên – Interpreter

1.2. Afternoon:

a. Venue: PCU

b. Participants:

IFAD:

- Mr. Zidni Marohombsar, Financial Management Specialist

PCU:

- Mrs. Trang Thi Thu Minh – Head of the Financial Management Division
- Mr. Lê Quốc Bảo – Accountant
- Mr. Võ Huỳnh Long – Accountant
- Mrs. Lưu Thị Mỹ Xuân – Accountant
- Mrs. Đồng Thị Mỹ Thuần – Accountant
- Mr. Lâm Văn Duyên – Interpreter

III. September 17, 2019:

1. Morning:

a. Vemue: PPC's office

b. Participants:

IFAD:

- Mr. Kees Blok (team leader)
- Mr. Nguyen Thanh Tung, Institutions and Rural Finance Specialist
- Mr. Nguyen Ngoc Quang, Natural Resources and M&E Specialist
- Ms. Eva Pedersen, Value Chain Specialist
- Mr. Phan Duy Toan, Infrastructure and Procurement Specialist
- Mr. Zidni Marohombsar, Financial Management Specialist
- Mr. Hoang Manh Tuan – Interpreter

Ben Tre province:

- Mr. Nguyễn Hữu Lập –Head of PSC
- Mr. Hồ Huy Hải – Deputy head of PSC

- Mrs. Nguyễn Thị Thu Ba – Director of WDF
- Mrs. Nguyễn Thị Kim Thoa – Vice chairwoman of WU
- Mr. Nguyễn Khắc Hân – Project director
- Mr. Nguyễn Hoài Nam – Deputy director
- Mr. Lê Minh Hòa –Deputy director
- Mr. Lê Văn Nam – Accountant
- Mr. Từ Thiện Vàng – Staff
- Mr. Nguyễn Ngọc Duy – Satf
- Mr. Trương Văn Viễn – Staff
- Mr. Châu Hữu Trị - Director of the center for agricultural extension
- Mr. Nguyễn Văn Chinh – Director of DoNRE
- Mrs. Nguyễn Thị Thúy – DoNRE
- Mr. Huỳnh Lê Duy Anh – DoNRE
- Mr. Phạm Thế Vinh – DoNRE
- Mrs. Trần Diễm Thúy – AMD project
- Mrs. Đoàn Thị Lan Anh – AMD project
- Mrs. Phan Thị Kim Điệp – AMD project
- Mr. Dương Tiến Vũ – AMD project
- Mrs. Lê Thị Như Trang – AMD project
- Mrs. Lê Thị Hồng Nguyên – AMD project
- Mr. Bùi Nhựt Tài – AMD project
- Mrs. Trần Thị Ngọc Nữ – AMD project
- Mr. Đỗ Thị Kim Loan – AMD project
- Mr. Nguyễn Hải Sơn – AMD project

Tra Vinh province:

- Mr. Đồng Văn Lâm –Head of PSC
- Mr. Lâm Hữu Phúc – Deputy director of DPI
- Mrs. Nguyễn Ngọc Bích Trâm – PPC's Office
- Mrs. Nguyễn Thị Ngọc Phướng – PPC's Office
- Mr. Đặng Văn Điền – Deputy director of DoNRE
- Mr. Nguyễn Hữu Thọ - The provincial State Treasury
- Mrs. Nguyễn Thị Cẩm Loan - The provincial State Treasury
- Mr.Lê Thị Hạnh Chuyên – DARD
- Mrs. Võ Thị Thu Hương – Director of WDAF
- Mr. Võ Phan Khánh Thuận – Deputy director of WDAF
- Mr. Đặng Văn Bường – Reporter
- Mr. Trần Ngọc Hân – Reporter
- Mr. Đỗ Hữu Huê – Tra Vinh newspaper
- Mr. Trần Văn Tiến – Tra Vinh television
- Mr. Thạch Hiền Nhã – Tra Vinh television
- Mr. Huỳnh Nghĩa Thọ - Project director
- Mr. Lê Phước Dũng – Deputy director
- Mrs. Kiên Thị Ngọc Dung – The Strategy Management Division
- Mr. Trần Hoàng Phúc – The Strategy Management Division
- Mrs. Trương Thị Kim Yến – The Strategy Management Division
- Mr. Trần Thanh Khiết – The Strategy Management Division
- Mr. Trần Minh Trí – The Planning and M&E Divsion
- Mr. Dương Hữu Nghĩa – The Planning and M&E Divsion
- Mrs. Trang Thị Thư Minh – Head of the Financial Management Division
- Mr. Lê Quốc Bảo – Accountant
- Mr. Võ Huỳnh Long – Accountant
- Mr. Lưu Thị Mỹ Xuân – Accountant
- Ms. Đồng Thị Mỹ Thuần – Accountant
- Mrs. Dương Hồng Diệp – The Administrative Office
- Mr. Lâm Văn Duyên – The Administrative Office
- Mrs. Thạch Huỳnh Thị Thu Trang - The Administrative Office
- Mrs. Đặng Thanh Thủy - The Administrative Office.

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 6: Procurement

Mission Dates:	04-17 September 2019
Document Date	08/10/2019
Project No.	1100001664
Report No.	5179-VN

Asia and the Pacific Division
Programme Management Department

Annex 6 - Procurement Review Working Paper

I. Review of Procurement Plan

1. In Ben Tre, the 2019 AWPB and Procurement Plan was revised and approved in August 2019. In Tra Vinh, the 2019 AWPB and Procurement Plan was revised in April and August 2019 with 11 additional packages. Total fourteen work contracts, two goods contract and five consulting services under the 2019 AWPB are subjected to IFAD's prior review. The project use a template of procurement specified under the national procurement regulations (Circular 10/2015/TT-BKHDT) for preparation of procurement plans. Monitoring of "planned" and "actual" progress and contract information were updated by project staff by adding new columns to the procurement plan. The procurement methods and procurement packaging are indentified in line with the Letter to Recipient and the project procurement manual.

II. Review of Ongoing/Completed Procurement Activities and Documentation

2. Trainings on NOTUS rollout for project staff were organized in Ha Noi (August 2018) and Vientiane (March 2019). PCU staffs in charge were getting used to NOTUS for submission of procurement and contract documents subjected to IFAD's prior reviews. There are still cases of uploading procurement documents into wrong folders on NOTUS.

3. In Ben Tre, ex-post reviews of procurement and contract documents at the PCU shows that procurement activities are carried out in compliance with IFAD procurement guidelines and national regulations. The PCU actively supports and oversees procurement activities carried-out by implementing agencies including project communes. By September 2019, a total saving amount of VND 7.1 billion was gained from procurement activities in the 2017 – 2019 period.

4. In Tra Vinh, a random check of procurement and contract documents at PCU and communes shows the Project complies with its procurement manual. However, in several cases, draft bidding documents and/or request for proposals for goods and service contracts are not well prepared that required revisions and updates during procurement process. The template of request for proposals used for the service contract for evaluation of PPP and CCA investment effectiveness is not in consistence with the selection method that requires revisions of the request for proposal (issued on 09 September 2019). By September 2019, a total saving amount of VND 2.98 billion (4.3%) were gained from procurement of CIF works in the 2017 – 2019 period.

5. There are substantial delays in procurement of ASWQMS equipment and monitoring stations. The contract for purchasing ASWQMS equipment was only signed on 5 September 2019, whereas the procurement of works for ASWQMS monitoring stations (with a bid opening on 20 June 2019) is still under process. The delays are partly due to design revisions and giving clarifications to the bidders. Key bottleneck at this moment is, however, the technical evaluation of the bids. An immediate decision with respect to the qualifications of the bidders, supported by the Provincial Authorities, is needed in order to ensure timely work completion.

6. In Ben Tre, surveys and designs for 14 schemes under the 2019 AWPB were completed and the technical – economic reports were approved, but their implementation is pending due to delays in the allocation of counterpart and ODA funds to the 2019 AWPB from the central government. In order to complete construction of these works before the project completion date

(31 March 2020), procurement procedures must be completed in 2019. Contracts with selected contractors can, however only be signed after approval of the budget for the planned CIF works[1].

7. In Tra Vinh, There are delays in implementation of 05 CIF works under the 2019 AWPB in Cau Ngang district. By September 2019, the procurement plans for 05 CIF work in Cau Ngang are still not approved. Six additional CIF works (VND 8.1 billion) for 2019 AWPB are identified for investment preparations using the unspent balances from other categories. Surveys and designs for 5 out of 6 additional CIF were under preparations and appraisals by district line agencies. In order to complete construction of these CIF works before the project completion date (31 March 2020), procurement procedures must be completed in 2019.

III. Review of Contract Administration and Management

8. Contract registers and contract payment monitoring forms are prepared and updated regularly by the accounting units at PCUs. Performance securities, advance payments and retention guarantees are undertaken in consistence with provisions specified in the contract documents.

9. Site visits by the mission showed that a concrete road completed in 2019 in An Loc Village, Hoa Tan commune, Cau Ke district was not met technical requirements and the investment owner has required remedial measures by the contractor.

IV. Review of issues identified in the previous review and aide-mémoire and procurement related issues identified in project audit reports

10. Despite the agreed action of 2018 supervision mission monitoring the action plan for procurement and implementation of the ASWQMS to avoid unnecessary downtimes and delays, there are still substantial delays in procurement of ASWQMS equipment and monitoring stations. The delays are partly due to design revisions and giving clarifications to the bidders. Key bottleneck at this moment is, however, the technical evaluation of the bids. An immediate decision with respect to the qualifications of the bidders is needed in order to ensure timely work completion.

11. In the 2018 Supervision Mission, an issue on selection of individual consultants from a pre-determined short list for several service contracts was identified. The agreed action on proper advertisement of procurement notice on Procurement Newspapers and National Procurement Network was being undertaken by PCUs for consultant selections.

12. The Financial Audit Report for 2018 raised an issue of delays in preparation of liquidation dossiers of the investment project for the Aquaculture Diagnostic Centre of Tra Vinh University. The liquidation dossiers of the investment project for the Aquaculture Diagnostic Centre was finalized and approved in Quarter 2/2019.

V. Review of project's procurement filing system and the ease of document retrieval

13. The ex-post reviews show that in general procurement and contract documents are kept in a separate folder for each package. There are cases, some key documents such us

[1]Referred to Article 19, Decree 16/2016/ND-CP on management and uses of ODA and preferential loans.

advertisement of procurement notices was not printed and stored in the hard folder and/or procurement and contract documents are stored at different locations.

VI. Review of any significant changes in the Borrower/Recipient's procurement system and practices

14. The target to apply e-procurement for minimum 70% of packages regulated by the national procurement Law was set under the roadmap for applying e-procurement over 2016 - 2025 period (Prime Minister's Decision 1402/QD/TTg dated 13/7/2016). In 2018, e-procurements applied for 19.3% of shopping packages and 16.3% of competitive bidding packages at the national wide scope (MPI's Report 3602/BKHDT-QLDT dated 31 May 2019). Following the Government's roadmap for the national e-procurement system, the project plans to conduct e-procurement for about half of the CIF work contracts in 2019.

15. Constraints for applying e-procurement include (i) national e-procurement network (hardware) is still being upgraded; (ii) new guidelines and regulations on e-procurement are being developed and/or finalized; (iii) large numbers of procurement staff and contractors/suppliers/service providers are still not familiar with e-procurement procedures and practices. By the end of 2018, only 4.8% of contractors/suppliers/service providers who have registered on the national procurement network have participated in e-procurement.

16. Following the Government's roadmap for the national e-procurement system, IFAD CO in Hanoi in collaboration with MPI organized a training course on e-procurement in July 2017. the project plans to conduct e-procurement for about half of the CIF work contracts in 2019.

VIII. Assessment of further procurement staff training needs

17. So far, 6 training courses on procurement (including a training course on e-procurement) were organized by the PCU of Ben Tre province for 738 participants of implementing agencies and project staff at provincial, district and commune levels. Trainings on investment project management and procurement have been organized by the PCU of Tra Vinh province. In July 2017, IFAD CO in Hanoi in collaboration with MPI organized a training course on e-procurement and new financial management regulations for IFAD funded project staff in Ho Chi Minh City.

18. Under the national procurement regulations (Circular 03/2016/TT-BKHDT), from 01 January 2018, an individual directly taking part in procurement process such us drafting bidding documents, evaluating bids, appraisals of draft bidding documents and/or bid evaluation reports under specialized project management units or consulting firms on procurement musts obtain a procurement professional certificate. A procurement staff of Ben Tre PCU obtained a procurement professional certificate in 2018. For decentralized procurement of CIF investment at project communes, the commune development boards were still hiring procurement consultants or district specialized project management units to draft bidding documents and to evaluate bids for CIF investments.

IX. Key findings and conclusions from the PRM assessment update

During the supervision mission, the Procurement Risk Matrix was prepared for AMD (see the excel file attached). The inherent procurement risk rating for AMD is 2.62 (low risk).

X. Procurement performance indicator rating and justification

Ex-post reviews of procurement and contract documents at the PCU shows that procurement activities are carried out in compliance with IFAD procurement guidelines and national regulations. A crucial procurement process for the completion of activity 1.1.b for ASWQMS system is not advancing and remedial action has so far been inadequate. Therefore, procurement does not rate as satisfactory.

XI. Recommendations for improvement and follow-up actions for the Borrower/Recipient and/or IFAD

Actions	Responsibility	Deadline	Status
ASWQMS works contracts Finalise the bid evaluation report for procurement of the ASWQMS monitoring stations and submit via NOTUS for prior review	PCU, DONRE Ben Tre	September/ 2019	Agreed
Undertake procurement procedures for the remaining 14 planned CIF works in Ben Tre and 6 additional CIF works in Tra Vinh to ensure that contracts for civil works can be signed immediately upon budget release	PCU, DPCs, CPCs	December 31, 2019	Agreed
Tra Vinh: complete procurement procedures for 5 planned CIF works in Cau Ngang district	PCU, Cau Ngang DPC	October 2019	Agreed

IFAD Procurement Risk Matrix

Division	APR
Country	Viet Nam
Project	Adaptation to Climate Change in the Mekong Delta in Ben Tre and Tra Vinh Provinces (AMD)
Date	Sep-19
INHERENT RISK RATING	2.62
NET RISK RATING	2.97

#	Description of Risk Feature	Rating	Assessment Basis	Remarks	Recommendation /Mitigation	Rating
A	**COUNTRY RISK ASSESSMENT**	**2.60**				**2.90**
1	**Legal and Regulatory Framework**	**2.60**				**3.00**
a	Country procurement law, regulations and manual exist	3	3 they all exist, 2 only two exist, 1 only one exist or none	Procurement Law 43/2013/QH13 issued in 2013; Decree 63/2014/ND-CP on guidance for implementation of Procurement Law; More than 10 circulars on guidance for procurement processes (advertisement, procurement planning, e-procurement, selection of investors for PPP contracts, etc.)		3
b	Existence of Standard Bidding Documents for Goods, Works and Services	3	3 all exist, 2 only for NCB & ICB, none for Shopping, 1 none exists	Available of standard bidding documents/RFQ for goods, works, consulting services and non-consulting services.		3
c	Procurement Monitoring	3	Use PEFA Framework, see worksheet for details	PEFA for Vietnam, 2013: "Three of the six benchmarks relating to the legal and regulatory framework are fully met, but the other three are only partially satisfied." Updates (2019): shortcomings of benchmarks 4, 5 and 6 (4 - The legal framework makes open competitive procurement the default method of procurement and defines clearly the situations in which other methods can be used; 5 - The legal framework provides for public access to procurement information including Government procurement plans, bidding opportunities, contract awards, and data on resolution of procurement complaints; and 6 - The legal framework provides for an independent, administrative procurement review process for handling procurement complaints prior to contract signature) were addressed under Procurement Law 43/2013/QH13.		3
d	Procurement Methods	2	Use PEFA Framework, see worksheet for details: Use of competitive procurement methods	PEFA for Vietnam, 2013: "The law permits a number of exceptions to the operation of open competition, (with about a third of contracts by value being let directly without competition in 2009 and 2010). Compared with international practice, the threshold for direct contracting is higher, and in many cases direct contracting is applied beyond the threshold." Updates (2019): The thresholds for applying direct contracting were reduced under the Procurement Law 43/2013/QH13 (reduced from 2 billion to 1 billion for works and goods, from VN 1 billion to VND 500 million for consulting services)	Review the procurement plan for approval and conduct ex-post reviews to ensure that procurement methods are applied in compliance with the regulations.	3
e	Public access to procurement information	2	Use PEFA Framework, see worksheet for details: Public access to complete, reliable and timely procurement information	PEFA for Vietnam, 2013: "Procurement plans, tendering opportunities and contract awards (above a threshold of VND 2 billion, equivalent to US$100,000) are published in MPI's Procurement Gazette and on the Ministry's website. However, no information is published about the results of procurement complaints. (p. 73)" Updates (2019): Procurement plans, procurement notices, the short-list, procurement results, information of results of complaint resolutions are required to upload on the National Procurement Network and Procurement Gazette (Article 9, Inter-ministerial Circular 07/2015/TT-BKHDT-BTC); The national procurement network has been established and being upgraded; A roadmap for deployment of e-procurement are under implementation; There are cases that bidders faced difficulties to obtain the bidding documents/RFPs.	Contact details including phone numbers of the investment owner are included in the bidding documents/RFPs. Enforce e-procurement as a main procurement modality for at least 70% of contracts by 2025.	3
2	**Accountability and Transparency**	**2.60**				**2.80**

#	Description of Risk Feature	Rating	Assessment Basis	Remarks	Recommendation /Mitigation	Rating
a	Procurement Complaints Management	3	Use PEFA Framework, see worksheet for details: Existence of an independent administrative procurement complaints system	PEFA for Vietnam, 2013: "A dedicated body has been established to review admissible complaints, referred to as the Advisory Panel, which is chaired by a representative of the State agency in charge of procurement and includes members representing the relevant authorities and related professional bodies. While this body meets the basic requirement for independence, it lacks authority to suspend the procurement process. (p. 73)". Updates (2019): the Advisory Panel has a right to propose suspension of the procurement process for Authorized Person's decision (Article 92, Procurement Law 43/2013/QH13).		3
b	Country Corruption Perception Index score	2	The score is published on Transparency.org. 0 to 29 = 1, 30 to 60 = 2, 61 to 100 = 3	The CPI score 33 for 2018 as assessed by Transparency.org.		2
c	2-tiered system to handle complaints	3	3 as stated, 2 only a single level system, 1 no system	Complaints can be (i) resolved by the investment/project owner, and then by Authorized Person/Advisory Panel for complaint resolution, or (i) sued in court (Article 92, Procurement Law 43/2013/QH13).		3
d	Existence of a debarment system	2	3 full existence, 2 existence of complaints body that is the authority, 1 does not exist	A debarment system exist but not fully enforced.	Conduct prior and ex-post reviews, annual audits to strengthen enforcement of the debarment system.	3
e	Existence of an independent and competent local authority responsible for investigating corruption allegations	3	3 existence of independent Anti-Corruption agency, 2 existence of an office within a government ministry/agency that carries out some/all of these functions, 1 does not exist	A anticorruption committee of the Communist Party has been taking the leading role in investigating corruption allegations.		3
B	**PROJECT INSTITUTIONAL RISK ASS**	**2.62**				**3.00**
1	**Capability in Public Procurement**	**2.60**				**3.00**
a	Existence of a Procurement Unit with at least 2 staff members (Design stage, reference is to govt agency) Existence of a Procurement Officer (Implementation)	3	3 as stated, 2 one staff member, 1 does not exist (at Design stage) 3 as stated, 2 someone else doing Procurement, 1 procurement function not consistently handled by anyone	AMD was designed following the completion of DBRP Project in Ben Tre and IMPP Project in Tra Vinh. Procurement Staff in PCUs of DBRP continue to work for AMD.		3
b	Staff member(s) have at least 7 years experience in donor-funded public procurement	2	3 as stated, 2 for less than 7 years and/or experience in public procurement but not donor-funded, 1 for less than 3 years experience	Procurement staff in PCU Ben Tre have more than 7 years in donor-funded and/or public procurement; Procurement staff in PCU Tra Vinh have more than 15 years in public infrastructure investment projects, but not donor-funded procurement.	Carry out coaching, on-the-job trainings and refresher trainings on procurement (IFAD project procurement guidelines and manual, NOTUS, e-procurement, etc.)	3
c	What is the general quality of documents produced by the procurement office?	2	3 for very good bidding documents, evaluation reports and contracts, 2 for mediocre documents, 1 for documents with bad quality	Standard bidding documents/RFPs are used for drafting bidding documents/RFPs. For consultant selections, measurable technical evaluation criteria are not clearly elaborated in some cases.	Use good examples of similar bidding documents/RFPs from other projects for drafting the bidding document/RFP	3
d	Do procurement staff have immediate access to the legal and regulatory framework documents?	3	3 for all, 2 for some, 1 for none	The legal and regulatory framework documents, standard bidding documents/RFPs are available at the National Procurement Network (www.muasamcong.mpi.gov.vn) and/or other government websites.		
e	Are the procurement and financial management functions separated?	3	3 for total separation, 2 for some separation, 1 for procurement being done by FM staff	Procurement staff and financial management staff are at separate units at PCUs		3
2	**Public Procurement Processes**	**2.65**				**3.00**

#	Description of Risk Feature	Rating	Assessment Basis	Remarks	Recommendation /Mitigation	Rating
i	**Procurement Methods**	**2.25**				**3.00**
a	Procurement methods for Goods consistent with IFAD Guidelines	2	3 as stated, 2 for national or international, 1 for none	Procurement methods for goods (ICB, NCB, Shopping) are consistent with IFAD project procurement guidelines. Advertisement is required for normal shopping (less than VND 5 billion), but not for simple shopping (less than VND 500 million for non-consulting service; less than VND 1 billion for goods and works), Article 57, 58 and 59 Decree 63/2014/ND-CP. Direct contract can be applied in special cases or very small contract (less than VND 1 billion for goods and works), Article 54, Decree 63, 2014/ND-CP.	Develop the project procurement manual with detailed guidelines on different procurement methods including Direct Contracting in compliance with IFAD project procurement guidelines.	3
b	Procurement methods for Works consistent with IFAD Guidelines	2	3 as stated, 2 for national or international, 1 for none	Procurement methods for goods (ICB, NCB, Shopping) are consistent with IFAD project procurement guidelines. Advertisement is required for normal shopping (less than VND 5 billion), but not for simple shopping (less than VND 500 million for non-consulting service; less than VND 1 billion for goods and works), Article 57, 58 and 59 Decree 63/2014/ND-CP. Direct contract can be applied in special cases or very small contract (less than VND 1 billion for goods and works), Article 54, Decree 63, 2014/ND-CP.	Develop the project procurement manual with detailed guidelines on different procurement methods including Direct Contracting in line with IFAD project procurement guidelines.	3
c	Procurement methods for Services consistent with IFAD Guidelines	2	3 for large-value method for firms, small value method for firms and method for individual consultants; 2 for two of the above; 1 for only one or less	Selection based on Consultants' Qualifications (CQS) is not specified in the national procurement system.	Develop the project procurement manual with detailed guidelines on different procurement methods including CQS.	3
d	Easy access to bidding documents by foreign firms	3	3 bidding documents are free and could be issued/sent electronically; 2 foreign bidders have to wire funds to Project to buy bidding docs; 1 bidding docs not practically available to foreign bidders	Bidding documents are free for e-procurement and could be obtained from National E-procurement System; Some fee is charged to obtained a hard copy of bidding documents to cover printing and postal costs.		3
ii	**Procurement Planning**	**2.67**				**3.00**
a	Are procurement plans prepared ahead of time and consistent with annual work plans/budgets?	3	3 prepared ahead and consistent, 2 one of either, 1 none	The procurement plans are prepared as a part of the annual work plans and budgets. For infrastructure investments, a detailed procurement plan will be prepared after approval of the design and estimated cost.		3
b	Do procurement people participate in the annual work planning processes?	3	3 if required by regulation and practiced, 2 if required by regulation, 1 if none of above	Procurement staff participate in the annual planning processes in practices.		3
c	Are Procurement Plans done using an effective format with planned and actual rows across 3 different categories	2	3 for all, 2 for some, 1 for none	Procurement plans are prepared using a format (without actual rows) specified under Circular 10/2015/TT-BKHDT	PCUs monitor and update regularly implementation progress of the procurement plan with both planned and actual data.	3
iii	**Procurement Processes**	**3**				**3**
a	Minimum number of quotations established by law	3	3 for three or more; 2 for two, 1 if it does not state or less than two	For normal shopping method, a procurement notice is advertised on Dau Thau Newspaper and the national procurement network (Article 58, Decree 63/2014/ND-CP); For simplified shopping method, a RFQ is sent to at least 3 qualified bidders (Article 59, Decree 63/2014/ND-CP)		3
b	Minimum number of days for advertised procurement under competitive bidding processes	3	3 for minimum of 30 days; 2 for minimum of 20 days; 1 for less than 20 days or not stated	Minimum of 40 days for international bidding, and 20 days for national bidding (as specified in Article 12, Procurement Law 43/2013/QH13.		3
c	Is there enough time provided for bidders to ask questions and receive answers in the bidding process?	3	3 if bidders have a minimum of 3 days for the RFQ method, 7 days for competitive methods to ask questions, 2 if less than ... but more than two, 1 if two days or less	Questions for clarification on bidding documents must be submitted to the procuring agency at least a minimum of 3 days before the bid closing time for national bidding and 5 days for international bidding (as specified in Article 14, Decree 63/2014/ND-CP).		3
d	Are clarifications provided to all bidders?	3	3 for all, 2 for some, 1 for none	Written clarifications are sent to all bidders (as specified in Article 14, Decree 63/2014/ND-CP).		3
e	Are bids received prior to the deadline securely stored?	3	3 for all, 2 for some, 1 for none	Received bids are securely stored under a secrete dossiers management mode (Article 26, Decree 63/2014/ND-CP).		3

#	Description of Risk Feature	Rating	Assessment Basis	Remarks	Recommendation /Mitigation	Rating
f	Are procurement securities securely stored?	3	3 for all, 2 for some, 1 for none	Procurement securities in the form of Bank Securities or certified cheques are stored securely.		
g	Are public bid openings conducted for advertised procurements, and within an hour of receipt of bids?	3	3 for both, 2 for bid openings being conducted more than an hour after receipt, 1 for bid openings not being conducted	Public bid openings are conducted for advertised procurements within an hour of receipt of bids (as specified in Article 14, Decree 63/2014/ND-CP)		3
h	Are minutes of bid openings taken, and sent to bidders who submitted bids?	3	3 for both, 2 for minutes being taken but not being sent, 1 for none	Minutes of bid openings are taken and sent to all bidders who submitted bids (Article 14, Decree 63, ND-CP)		3
i	Are evaluations conducted by a suitably qualified ad-hoc evaluation committee?	3	3 for both, 2 for qualified but not ad-hoc, 1 for ad-hoc or none	Evaluations are conducted by a qualified ad-hoc evaluation committee (Article 4, Procurement Law 43/2013/QH13)		3
j	In evaluation, is responsiveness based on criteria requirements in the bidding documents?	3	3 for all, 2 for some, 1 for none	Responsiveness is evaluated based on the evaluation criteria in the bidding documents/RFPs as specified in Article 15, Decree 63/2014/ND-CP, and standard bidding documents/RFPs.		3
k	Are evaluations completed within the bid validity period?	2	3 for all, 2 for some, 1 for none	For several cases, clarifications during the procurement process lead to the requirement for extensions of the bid validity period.	Improve quality of the bidding documents/RFPs including evaluation criteria for common understanding of bidders/consultants and bid evaluation committees.	3
l	Are conditions precedent to contract effectiveness clearly stipulated in the contract? (i.e., advance payment security, performance security, insurance, etc)	3	3 for all, 2 for some, 1 for none	Conditions precedent to contract effectiveness are clearly stipulated in the standard bidding documents/RFPs.		3
m	Does the agency maintain a complete record of the process? This would include copies of all public advertisements, pre-qualification documents (if used, the pre-qualification evaluation report documenting any decisions not to pre-qualify certain potential bidders), the bidding documents and any addenda, a record of any pre-bid meetings, the bid opening minutes, the final bid evaluation report (including a detailed record of the reasons used to accept or reject each bid), appeals against procedures or award recommendations, a signed copy of the final contract and any performance and advance payment securities issued, etc.	2	3 for all, 2 for some, 1 for none	PCUs maintain records of procurement and contract documents in both modes (hard and soft copies); Hard copies are usually stored in a separate file for each contract; there are cases that procurement and contract documents are stored at different locations and/or time-consuming for obtaining a whole set of procurement and contract documents for a contract.	Keep procurement and contract documents for each contract in a separate folder.	3
n	Are all contracts awarded advertised publicly?	3	3 for all, 2 for some, 1 for none	Procurement results and contract awards are advertized on National Procurement Network and Procurement Newspaper (Article 8, Procurement Law 43/2013/QH13).		3
iv	**Contract Administration and Management**	**2.82**				**3.00**
a	Existence of authority levels in the contract management process	3	3 for existence, 2 for some practice, 1 for none	The investment owner signs the contract, approves contract payments and amendments if any. The authorized person approve the procurement plan and amendment of cost estimations and/or contract prices in case variations lead to increase of the approved total investment cost.		3
b	Existence of approval thresholds for contract amendments	3	3 for existence, 2 for some practice, 1 for none	The investment owner signs the contract and approves contract payments and amendments if any. The authorized person approve the procurement plan and amendment of cost estimations and/or contract prices in case variations lead to increase of the approved total investment cost.		3

#	Description of Risk Feature	Rating	Assessment Basis	Remarks	Recommendation /Mitigation	Rating
c	Is there an effective contract monitoring system/framework in place?	3	3 for all, 2 for some, 1 for none	For construction contracts, consultants for technical supervisions and community supervision board supervise contract implementation.		3
d	Is there a process to monitor delivery of goods to verify quantity and quality?	3	3 for all, 2 for some, 1 for none	Provisions on monitoring delivery of goods to verify quantity and quality are specified in contract templates as a part of the standard bidding documents/RFPs.		3
e	Is there a framework for approval of deliverables and payment process for consulting services contract?	2	3 for all, 2 for some, 1 for none	Deliverables for consulting services contract is verified by technical units before processing by financial management unit for payments. Quality of the TORs including clear and measurable deliverables is a crucial factor for monitoring implementations of service contracts.	Ensure good quality of the TORs including clear and measurable deliverable for consulting service contracts.	3
f	Is there a process for resolution of final payment and contract closure?	3	3 for all, 2 for some, 1 for none	Technical completion certification, retention amount, audit for contract liquidation are applied for work contracts (specified under the investment management regulations)		3
g	Are contract disputes handled in accordance with a formal complaints/arbitration system?	3	3 for all, 2 for some, 1 for none	Contract disputes are handled in accordance with a formal complaints/arbitration system (specified in contract templates as a part of the standard bidding documents/RFPs).		3
h	Are works contracts supervised by independent engineers or a named project manager?	3	3 for all, 2 for some, 1 for none	Works contracts are supervised by consultants/engineers recruited by the investment owners and also by community supervision boards.		3
i	Are contracts completed on schedule and within the approved/ contracted contract price?	2	3 for all, 2 for some, 1 for none	There are cases of delays in contract implementation due to various reasons such us constraints on budget allocations, bad weather conditions, revisions of designs and/or amount of works, capacity of contractors, etc.	Improve annual budget planning and allocations process from the central government; Monitor implementation progress of work contracts for remedial actions in time for any issues emerged during implementation.	3
j	Does the organization have contract registers that register all contracts (with names, prices and dates), per procurement category?	3	3 for all, 2 for some, 1 for none	Financial units at PCUs prepare and update contract registers for all contracts.		3
k	Are adequate contract administration records maintained? (These would include contractual notices issued by the supplier, contractor, purchaser or employer; a detailed record of all changes or variation orders issued affecting the scope, qualities, timing or price of the contract; records of invoices and payments, progress reports, certificates of inspection, acceptance and completion; records of claim and dispute and their outcomes; etc.)	3	3 for all, 2 for some, 1 for none	Contract administration records are maintained at financial units of PCUs and used for preparation of contract liquidation dossiers, completion audits and inspections.		3

Risk Rating System

3	***L*** *: Low Risk*
2	***M*** *: Medium Risk*
1	***H*** *: High Risk*