

## **Viet Nam**

---

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

### **Supervision Report**

Mission Dates: 16-27 August 2020  
Document Date: 28/09/2020  
Project No. 1100001664  
Report No. 5508-VN

Asia and the Pacific Division  
Programme Management Department



## Abbreviations and Acronyms

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

<b>VBSP</b>	Viet Nam Bank for Social Policy
<b>VC</b>	Value Chain
<b>VND</b>	Vietnamese Dong
<b>WDF</b>	Women's Development Fund
<b>WU</b>	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
Project ID:	1100001664	Implementing Institutions:	not available yet
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:	30/06/2020
Signing Date:	31/01/2014	Date of Last SIS Mission:	27/08/2020
Entry into Force Date:	28/03/2014	Number of SIS Missions:	11
Available for Disbursement Date:	24/09/2014	Number of extensions:	1
First Disbursement Date:	16/10/2014	Effectiveness lag:	3 months
MTR Date:	30/10/2017		
Original Completion Date:	31/03/2020		
Current Completion Date:	30/09/2020		
Financial Closure:	not available yet		

### Project total financing

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

### Current Mission

Mission Dates:	16-27 August 2020
Days in the field:	N/A (remote supervision mission)
Mission composition:	Dr. Nguyen Ngoc Quang, Team leader CSA, Planning and M&E specialist; Ms. Irene Li – Senior Financial Officer – Head of IFAD- APR Financial Management Department; Mr. Nguyen Thanh Tung, IFAD CPO, Microfinance and Project Management specialist; Mr. Phan Duy Toan, Infrastructure and Procurement Specialist; and Mr. Hoang Manh Tuan, Interpreter.
Field sites visited:	N/A

## B. Overall Assessment

Key SIS Indicator #1	Ø	Rating	Key SIS Indicator #2	Ø	Rating
Likelihood of Achieving the Development Objective		4.65	Assessment of the Overall Implementation Performance		4.33

<b>Effectiveness and Developmental Focus</b>	<b>5</b>	<b>Project Management</b>	<b>5</b>
Effectiveness	5	Quality of Project Management	5
Targeting and Outreach	5	Knowledge Management	5
Gender equality & women's participation	5	Value for Money	4
Agricultural Productivity	4	Coherence between AWPB and Implementation	4
Nutrition	N/A	Performance of M&E System	5
Adaptation to Climate Change	4	Social, Environment, and Climate Standards requirements	5

<b>Sustainability and Scaling-up</b>	<b>5</b>	<b>Financial Management and Execution</b>	<b>4</b>
Institutions and Policy Engagement	5	Acceptable Disbursement Rate	3
Partnership-building	5	Quality of Financial Management	4
Human and Social Capital and Empowerment	5	Quality and Timeliness of Audit	5
Quality of Project Target Group Engagement and Feedback	5	Counterparts Funds	4
Responsiveness of Service Providers	4	Compliance with Loan Covenants	4
Environment and Natural Resource Management	5	Procurement	4
Exit Strategy	4		
Potential for Scaling-up	5		

<b>Relevance</b>	<b>5</b>
------------------	----------

## 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. The project is due to be completed on 31 March 2020<sup>[1]</sup>. The Government of Vietnam has requested an extension of the completion date by six months and the closing period by three months. IFAD approved the extension request on 6 April, 2020. The new completion and closing dates were set on 30 September 2020 and 31 December 2020. The Project Development Goal is to achieve sustainable livelihoods for the rural poor in a changing environment, and the more 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 USD 12 million; Government of Vietnam contribution USD 7.6 million; and beneficiary contribution USD 7.8 million. Project activities in Ben Tre cover 30 communes in 8 districts, and in Tra Vinh 30 communes in 7 districts.

The IFAD Supervision Mission of AMD took place during 17 – 27 August 2020<sup>[2]</sup>. Mission's objectives are to: (i) review project progress and performance against the AWPB 2020 and the action plan as agreed of the project extension in 2020; (ii) review agreed actions from supervision and support missions in 2019 and 2020; (iii) identify any issues affecting project implementation and formulate remedial actions; and (iv) review the status of the exit strategy and the project completion phase; agree on steps and solutions to institutionalize proven approaches and lessons learned for continued scaling-up.

Due to the COVID19 epidemic, travel restrictions have been set up in Vietnam which inhibits the travel of experts to the project provinces. IFAD has set up a remote supervision mission with the whole supervision team working from their home base - Hanoi. The IFAD Country Director kept the oversight of the mission remotely from the IFAD office in Hanoi, Vietnam.

The mission virtually met with the provincial PCUs and partner agencies including Department of Agriculture and Rural Development (DARD), Department of Planning and Investment (DPI), Department of Natural Resource and Environment (DONRE); and Women's Union (WU). The mission visited thirteen communes in seven districts. During these visits, the mission met with Commune Development Boards, District Support Teams and smallholder groups, three private enterprises and two cooperatives. A final wrap up meeting was held on 27th August with the participation of PSCs of both Tra Vinh and Ben Tre provinces.

The Supervision Mission extends sincere thanks to the Tra Vinh and Ben Tre Provincial People's Committee (PPC), PCU, representatives of line agencies, local governments at the district and commune levels, and especially to the smallholder groups, cooperatives and private enterprises for their kind support and cooperation.

<sup>[1]</sup> Important dates include:

- Project effectiveness – 28 March 2014
- Project Completion – 30 September 2020
- Loan closing date – 31 December 2020

<sup>[2]</sup> This Aide Memoire and Full Supervision Report per IFAD ORMS template were finalized on 30 August 2020.

### Key Mission Agreements and Conclusions

**Drought and salinity in Tra Vinh and Ben Tre.** During the project life span, Tra Vinh and Ben Tre have faced twice the drought with subsequent saline water intrusion. The increased frequency and prolonged periodic droughts at Mekong Delta areas lead to high levels of smallholder vulnerability. The drought and salinity intrusion have directly caused substantial loss of harvests, reduced income levels, and increased nutrition vulnerability for about 100,000 households in 235 communes. As consequence, the project had to adjust/update various instruments to cope with the situation. This caused significant time and resource in view of redevelopment and re-testing the adaptive models for replication, as results it led to the delays of the project implementation.

**COVID-19 impacts.** The outbreak did not affect the physical health of people in Tra Vinh and Ben Tre. However, there are noticeable changes in all sections of the project supported activities in many accounts: (i) agricultural trade reduction, (ii) halt of agricultural production and processing; (iii) pause of meetings and trainings due to social distancing; and (iv) foremost, frozen various project budget transactions. Immediate consequences of the project include: (a) delayed assessments and surveys; (b) slow exit strategy implementation; and (c) reduced liquidity of project funds. This suggests that the project needs to revise their approaches and/or support to private enterprises, cooperatives, collaborative groups, farmer households.

**Swine flu.** Pig is one of 15 supported commodities by the project in two provinces. The supports and subsequent results were severely affected by the Swine flu in 2019 and 2020. Accumulated loss to two provinces until June 2020 was ~200,000 pigs – equivalent to VND 400 billion (US\$ 20 mil.). Various project interventions to enterprises and cooperatives (PPP), and groups (CCA/CFAF) were halt due to the flu, which again cause delays in project implementation.

**Project extension action plan.** As results of the above issues, the project submitted a no-cost project extension 6 month request to IFAD and Government of Vietnam. As per IFAD letter on the project extension dated 6 April, 2020, the project was granted six month extension to implement seven key activities (Annex 1). The mission appreciates the responsiveness of the project to the action plan implementation. The rate of implementation has picked up with 95 per cent of activities achieved and/or surpassed the targets.

Despite the implementation constraints and the ambitious and complex design, the project has succeeded in achieving almost all major objectives. The annual implementation progress is assessed as **moderately satisfactory** with a substantive amount of work carried out but marred by the delayed ASWQMS. The implementation performance or likelihood of achieving development objectives of the AMD is rated **satisfactory**. The delays in the ASWQMS preclude the project from achieving higher rating.

**Key annual achievements:** (i) Climate informed SEDP (SEDP): SEDP was continuously implemented in all 60 project communes and 219 non project communes/wards; (ii) Saving and Credit Groups and MFI registration: SCGs in 60 project communes were effectively operated. Ben Tre Women Development Fund (WDF) was granted a certificate by State Bank of Vietnam as a first step towards MFI registration in 2019; (iii) Commune Investment Fund (CIF): 51 infrastructure schemes were invested in 2019-2020 and came into operation; (iv) CCA/CFAF replication: the project CCA models are replicated to 67 groups in 45 none project communes in Ben Tre, and 189 groups in 31 none project communes in Tra Vinh with total project investment of VND 27.311 billion; and (v) Public Private Partnership (PPP): 3 additional PPP implementation in Tra Vinh in 2019-2020, and finalisation of all PPP investments in the previous years in two provinces.

**Accumulated results:** (i) Climate informed SEDP: SEDP mechanism established and implemented across all communes/wards of the province. PPC/DPI has led the institutionalization of SEDP for rolling-out in all 279 project and non-project communes after project completion; (ii) Private Sector Partnership: Two provinces have improved its partnership with agribusinesses through (a) four policy dialogue workshops with the private stakeholders; (b) various district level commodity workshops; (c) PPP co-financing with 40 businesses (22 in BT, 18 in TV) benefiting 10,783 farm households (4,076 in BT, 6,707 in TV) as input suppliers (35% poor and near poor) and generated 3829 permanent jobs (2047 in BT and 1782 in TV) in the enterprises or the supplying cooperatives; and (d) market linkage for ~890 CIGs with agribusinesses within the province. (iii) Pro-poor Value Chains: With DARD support, 15 provincial level value chain action plans were developed. Training courses were delivered by DARD, FU, WU, DST, enterprises, and outstanding farmers through FFS method; and as result, value added of the target commodities increased by 25%. (iv) CCA/CFAF investment: 1547 CFAF/CCA proposals (657 in BT, 890 in TV) were invested with VND 139.62 billion (BT: VND 58.3 bil.; TV: 81.32 bil) reaching out 12,571 households (5097 in BT, 7474 in TV) with 69% poor and near poor; (v) Climate change adaptation community infrastructure: 220 public and production infrastructure schemes were invested serving for climate resilient value chain development of two provinces reaching out 120,099 direct beneficiaries (26% poor and near poor); (vi) Rural Finance Services: The Women's Development Funds (WDF) were established; 4096 SCGs established with 19533 members; VND 182.6 billion disbursed to 27,319 farmer households; and (vii) Poverty reduction result: Approximately 25,000 poor and near poor households benefited with improved household assets and climate resilient score reaching 83.3% the project target. This significantly contributed to poverty reduction in two provinces.

The mission notes the following issues and agreed actions to ensure successful closure and sustainable outcomes and impacts of the project: (i) The **Automated Salinity Water Quality and Monitoring System (ASWQMS)**. The progress is behind the schedule for almost two years with five times extension of deadline. Until 17 August, 2020, the implementation of various services has not yet completed putting the ASWQMS in the risk of not being fully operational by the project completion. Failing the completion of the system before September 30<sup>th</sup> would subject to a budget allocation to other project; (ii) **Replication and scaling-up**. The project has successfully generated a substantial number of pro-poor, climate resilient sustainable agricultural models. A remaining issue is to ensure replication and scaling-up of these models to increase poverty reduction impact. Project innovations such as private sector led value chain development, enterprise-to-farmer extension and farmer-to-farmer extension should be replicated through implementation of the NTP-NRD-OCOP, NTP-SPR and other poverty reduction programs; (iii) **Value chain approach**: The value chain approach has proved effective for many commodities in the project districts and communes. Further trainings on the value chain approach is required for all provincial and district agencies and where appropriate value chain action plans should be developed for prioritized commodities; (iv) **Farmer Group Sustainability**: To the extent possible, community-based groups such as CIGs, CGs, SCGs, established by the AMD should be further strengthened through improved access to financial/agricultural and marketing services by both the public agencies and private sectors; (v) **Documentation for replication**: A number of successful development instruments have been introduced by the AMD as explained in the forthcoming sections. Such instruments need to be thoroughly assessed and documented for replication and scaling-up in Tra Vinh, Ben Tre and beyond; and (vi) **Implementation of the Exit strategy**: The project has developed and smoothly implemented an Exit Strategy which supports institutionalisation and scaling-up of project achievements. In order to ensure sustainable benefits to the province, it was agreed that besides the handing-over of the coordination responsibilities to provincial and district line agencies the project should also ensure a clear accountability framework.

## D. Overview and Project Progress

**Component 1: Building Adaptive Capacity.** The progress of the component is **satisfactory**, reflecting the general



**good progress, though marred by the stagnation of the work on the ASWQMS**

**Sub-Component 1.1: Climate Change Knowledge Enhancement.** *rated as moderately satisfactory.* Two out of three activities under this sub-component have been satisfactorily implemented with all targets met; but implementation of the ASWQMS was seriously delayed that precludes the sub-component from achieving higher rating.

**Evidence base for adaptation.** Achievements to date: in two provinces (i) MoUs signed between PCU, DARD, district DARDs, DPI, WU, DPCs, and DOIT (in Tra Vinh) assigning these agencies as lead agencies in identification of CCA models; (ii) Establishment of a task force at provincial level for implementation of the MoUs; (iii) Various technical meetings held between PCU and implementing agencies to discuss approaches to implement the sub-component; (iv) consultations and field visits to identify existing cost effective and climate adaptive agricultural and non-agricultural models. As results, in Ben Tre in collaboration with Can Tho University, 62 modes were identified, of which 41 were selected for testing, and of which 16 are replicated through the CFAF instrument. In Tra Vinh, the model identification and selection is more systematic. PCU has involved research institutions (TVU, CTU), line agencies, and DPCs in identification and development of adaptive research models, testing models, and existing models. To date: (i) finalisation of 12 adaptive research models, with subsequent replication of ten models to ~ 7,000 households, (ii) identification of 31 potential models, of which 25 were selected for testing, out of which 19 were widely replicated to ~ 12,000 households; and (iii) identification of 94 models (81 on-farm, 13 off-farm), of which 51 models (43 on-farm, 7 off-farm) were selected and replicated through CCA funding.

In two provinces, all tested and replicated models were well packaged, published, and shared widely with partners and communities. The project has successfully handed over the results to partners, especially DARD, for continuous rolling-out the models. DARD showed high commitment to utilisation and replication of the project results. Since beginnings of 2020, budgets from various sources including NTP-NRD, OCOP, DARD's budget, and other provincial resources have been allocated to further replication of the models.

In view of value chain development, the value chain selection and support reflected key products in the province. There are 15 key value chains (8 in BT, 7 in TV) selected and supported through different project instruments including PPP, CIF, CCA/CFAF, and SCG. Activities to strengthen the value chains include (i) strengthening of producer organisations (encouraging community investment groups to become cooperatives that provide and/or channel services to their constituents); (ii) introducing producers to buyers and vice versa, inter alia through trade fairs; (iii) activating government technical support services by setting production targets, and (iv) supporting product standardisation, through the 'One Commune, One Product' approach and through product certification (Organic, VietGAP, GlobalGAP). These activities were integrated in the provincial programmes with remarkable budget mobilised for implementation.

Lessons learnt under this sub-component: (i) the climate-resilient models are to some degree suitable for the current context but relatively inadequate to deal with anticipated future changes; (ii) the models, although packaged, are required to be grouped into packages for different agro-ecological; (iii) some of the models tested and validated require relatively high on-farm investment that is beyond the capacity of poor and near poor farmers. The CCA fund offsets the latter but replication without project funding remains challenging.

**Water quality monitoring and reporting.** One of expected targets for the 6-month extension of the project completion date to 30 September 2020 is the completion and operation of the automatic salinity forecasting and water quality monitoring system (ASWQMS). By 15 August 2020, three main goods and works contracts are still not completed. Changes of the design and locations of ASWQMS stations at the construction stage, COVID-19 epidemic, extremely weather conditions (prolonged drought and salinity intrusion) had negative effects to the construction progress.

Due to delays in implementation of the contracts for ASWQM system, the remaining timeframe for training users, initial operation, adjustment and/or update of the system after the commissioning period is a constraint. To this extent, a detailed plan, subject to a prior review by IFAD, needs to be developed and monitored closely by DONREs for completion and operation of the ASWQM system before the project completion date.

**Knowledge management and dissemination.** In both provinces, materials (brochures, leaflets; videos, and other forms of publication) 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. This information has been used and reinforced by relevant training courses, workshops and study tours. In the last stage of the project, the good practices and lessons learnt are packaged in to different forms of publication for provincial-wide dissemination and replication.

**Sub-Component 1.2: Climate Informed Planning** *rated as satisfactory.*

**Climate-Informed Commune and District SEDPs.** In two provinces, the climate-informed commune and district SEDP processes have been institutionalized for application in all 18 districts and 271 communes/wards since 2018 in Tra Vinh and 2019 in Ben Tre. Subsequently, annual budgets for district and commune SEDP planning were regularly allocated (ie. in Tra Vinh, VND 20 million project commune per year, VND 30 million per district per year).

The commune and district SEDP process and outcomes are appreciated by officials and beneficiaries. The SEDP has helped integrate different resources from national target programs, AMD and other sources to relevant activities and to

target beneficiaries. However, staff turnover at district and commune level is a challenge for continuation of climate-informed district/ commune SEDP planning after AMD completion. The provinces need to ensure annual recurrent budget for district and commune SEDP planning and capacity building after 2020.

**Climate-informed Provincial SEDP.** This output was initiated in 2016 and reached the following results: intwo provinces: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 for DARD and DONRE were completed and approved by PPC at the end of 2019. The Provincial SEDP for 2021-2026 is under preparation and will be completed by end of September 2020. In Ben Tre: the draft Ben Tre provincial SEDP for 2021 – 2025 was submitted to MPI in August 2020. An assessment on economic restructuring and solutions for 2021-2025 was completed in February 2020. Results of the assessment contributed to development of Ben Tre SEDP for 2021-2025. A comprehensive set of targets for monitoring the sustainable development goals (SDG) under climate change conditions in Ben Tre province was prepared and approved by Ben Tre PPC (Decision 2948/QĐ-UBND dated 30 December 2019). The sustainable development targets provide inputs for preparation and monitoring provincial sector plans and the provincial SEDP for 2021-2025.

**Climate Change Policy Dialogue.** In Tra Vinh: key objective of this output is to support the Climate Change Coordination Office (CCCO) to develop a strategic plan for management and coordination of climate change response. The CCCO office was established in the beginning of the project with 2 full-time and 6 part time staff. Costs for staff salary, office equipment and an experimental lab are covered by the project. To date, the implementation progress includes: (i) Recruitment and management of TA for evaluation of the existing provincial CC adaptation plan (2010-2015), and development of the CCA plan for 2016-2020; (ii) Recruitment of TA for development of a medium term strategic plan for CCCO; and (iii) development of a website to update the CC and CCA issues, especially the real time salinity intrusion database produced from the early warning salinity monitoring system; and (iii) finalisation of a study on assessment and delineation of the area required to register groundwater extraction in the province of Tra Vinh. This is an important input for underground water management by the province. In Ben Tre, DONRE, with support from AMD has taken the lead to support other departments in developing their CCA action plans, in particular the sectoral climate change adaptation action plan for the Agriculture and Natural Resources and Environment Sector. DPI also facilitated the preparation of the Sustainable Action Plan of Ben Tre Province for 2030. In both provinces, the support groundwater infiltration pilot trials were undertaken through the programme of the Embassy of the Kingdom of The Netherlands.

**Component 2: Investing in Sustainable Livelihoods** The overall achievements under component 2 are *satisfactory*. The project has surpassed all the targets of the component..

**Sub-Component 2.1: Rural Finance for Resilient Livelihoods** *rated as satisfactory*. WDFs in both provinces have fully utilised the technical and financial support from AMD for successfully extending microfinance services to poor households. The impact of WDF services on poverty reduction and women's advancement is impressive while both the WDFs have reached over the project targets in view of SCGs and SCG members. In February 2020 the WDF in Ben Tre submitted its application to the SBV for MFI registration. Over the past two years, the WDF in Tra Vinh has fast developed its capacities and is starting the procedures to register to the SBV as a MFI. In both provinces, access to more capital resources for expanding coverage of WDF's services is required to meet increasing demand of poor women for recovering negative impacts of the COVID pandemic.

**Development of savings and credit groups in project communes.** In Ben Tre by end of July 2020 in 30 project communes the WDF has established 1,261 SCGs with 10,196 members (175% against target, 90% are women, 34% are poor and near-poor). 4,909 members have a total of outstanding loans of VND 32.84 billion (average loan size of VND 6.68 million is good in terms of social inclusion). All SCGs members have accumulated savings to a total value of VND 11.7 billion.

In Tra Vinh, until 15 August 2020 in 30 project communes 1,078 SCGs were well established with 8,544 members (152% against target, 100% are women, 21% are poor and near-poor, 43% are from ethnic Khmer group). As of 30 April 2020, 5,703 members have total outstanding loans of VND 32.165 billion (average loan size of VND 5.6 million is good in terms of social inclusion). All SCGs members have accumulated savings to a total value of VND 12.298 billion.

According to the recent surveys conducted by the WDFs, more than 90% of SCG members have increased their incomes and about 60% SCG members have graduated from poverty. As agreed during the last supervision mission, both WDFs have assisted SCG members to participate in Common Interest Groups (CIG) to access to additional funds such as the CCA/CFAF. So far, in Ben Tre 242 SCG members have received matching grants to a total value of about VND 2.3 billion. In Tra Vinh, the WU and WDF have developed 79 CIGs with 789 members from the existing SCGs. These CIGs have accessed to VND 7.54 billion CCA matching grant from the project. However, in both provinces, due to impacts of COVID pandemic and salinity intrusion, the rate of overdue debts increases and the number of members leaving SCGs is remarkable in both provinces.

**MFI development.** AMD has assisted the WDFs in Ben Tre and Tra Vinh provinces in building technical and management capacity for registration to the State Bank of Vietnam as MFIs. The WDF in Ben Tre has consolidated 8 district branches and built sufficient capacity for fulltime staff. The WDF coverage has expanded to 124 out of the total 157 communes in Ben Tre. As of 30 March 2020, 17,460 SCG members (31% poor and near-poor, 84% women) are served with total outstanding loans of VND 116.313 billion and generated VND 41.1 billion savings (35% of WDF's liquidity).

Borrowers have invested inter alia in livestock (47%), agriculture (15%), business and microenterprises (25%). Currently, the WDF in Ben Tre has 60 fulltime employees, of which most have advanced degrees, and 11 part-time staff seconded from the Women's Union (WU). The WDF's operational self-sufficiency (OSS) is 134% and financial self-sufficiency (FSS) is 122% (reduced by 10% compared to end of 2019, prior to COVID pandemic). The portfolio at risk is 0.3%, well below the threshold of 5%. The WDF in Ben Tre submitted its application for registration as an MFI in the last February. It is expected to become an MFI in 2021.

The WDF in Tra Vinh was established at the beginning of the AMD. The WDF has paid great effort to accelerate the operation of the fund with recognisable status which is ready for registration as a MFI. As of 30 April 2020, 1,907 SCGs were in operation with 9,679 members in which 26% are poor and near-poor, 51% are from Khmer ethnic minority. The SCG members have accessed to the current total of outstanding loans of VND 66.3 billion and accumulated savings of VND 14.79 billion. Savings cover 25% of the WDF's total asset, which is VND 75.78 billion and sufficient for MFI registration. Operating through seven district branches, the WDF coverage is expanded to 67 out of the total 105 communes in Tra Vinh. The WDF currently has 47 staff (33 fulltime staff and the rate of clients per one credit officer of 509). Its OSS is estimated at 129% and FSS of 96% reflecting sustainable operation of the WDF. The rural development context and the finance market in Tra Vinh have noticeably changed that requires an update of the WDF strategic business plan for 2021-25 as recommended by the previous SM.

**Value Chain Financing.** While financial service providers have participated in project organised meetings for PPP promotion, a more comprehensive approach towards value chain financing for the value chains prioritised in each province has not been pursued. Lack of mobilisation of financial institutions undermines the sustainability of the value chains strengthening activities that are undertaken. Lessons learnt from the project should be investigated for formulation of follow-up IFAD project in the provinces.

#### **Sub-Component 2.2: Investing in Climate Change Adaptation** *rated as satisfactory.*

**Community Investment Fund.** In Tra Vinh, 149 infrastructure schemes were constructed over 2017-2020 period. E-procurement was applied for 5 out of total 7 work contracts under the 2020 AWPB. By August 2020, 07 schemes under the 2020 AWPB were completed and put in use. Liquidation dossiers have been approved for 142 schemes implemented over 2016 – 2019 period. The total investment of the CIF schemes is VND 181.7 billion including IFAD financing of VND 102.4 billion (56%), Government financing of VND 58.1 billion (32%) and community contributions of VND 21.1 billion (12%). A total 22,099 people are estimated to have benefited from CIF investment.

In Ben Tre, 71 infrastructure schemes were invested. Twenty CIF schemes were constructed by community using force account method. E-procurement was applied for 8 out of total 16 work contracts under the 2020 AWPB. Accounts have been closed for 55 completed schemes over 2017-2019 period. By August 2020, 7 out of total 16 CIF schemes were completed and put in use, and 9 CIF schemes are under construction. The total investment of the CIF schemes is VND 159.1 billion including IFAD financing of VND 79.6 billion (50%), Government financing of VND 56.3 billion (35%) and community contributions of VND 23.1 billion (15%). A total of about 98,000 people including 16.4% poor and near-poor people are estimated to have benefited from CIF investment.

In both provinces, infrastructure works have selected and prioritized through commune climate-informed SEDP process to ensure their relevance for climate change adaptation, value chain development and poverty reduction. CIF investments helped reduce negative impacts of extreme weather conditions (drought and salinity intrusion), reduce transport costs, increase sale values of agricultural products, promote more investments in agricultural production, and enhance income for target groups. 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 mission notes that there are delays in implementation of a CIF schemes in Ben Tre province. Construction of the CIF works under the 2020 AWPB should be accelerated for their completion before the project completion date (30 September 2020). An ODA funding amount of VND 55 billion for the 2020 AWPB of AMD Ben Tre is not yet approved by MPI/ MOF, consequently payments for 5 completed CIF schemes are still pending.

**Adaptation Funds.** The Climate Change Adaptation Funds (CFAF in Ben Tre, CCA in Tra Vinh) support a competitive farmer grant programme, facilitating co-investments in climate smart and pro-poor agriculture. The achievement by AMD Ben Tre – Tra Vinh in CFAF/CCA implementation is significant and the project efforts to engage vulnerable groups, to promote CCA practices and technologies, and to accelerate the investment through comprehensive capacity building and simplified procurement procedures are appreciated by the supervision mission. Key results include: (i) Project, district and commune FU, DST, and Lead Firms implemented 47 (22 in BT, 25 in TV) training courses on agricultural production and CCA application; (ii) in cooperation with district FU, the project selected 160 (80 in each province) lead farmers, for farmer to farmer training in CCA implementation; (iii) 1547 CFAF/CCA proposals (657 in BT, 890 in TV) are competitively selected for implementation with total AMD investment of VND 139.62 billion (BT: VND 58.3 bil.; TV: 81.32 bil.); (iv) CFAF/CCA investments are for farmer groups and individual households in 25 different commodities; (v) In total the fund has co-invested with 12,571 households (5097 in BT, 7474 in TV) including 69% poor and near-poor, which is well beyond targeted 6000 HHs with 50% poor/near-poor; and (vi) in 2019, the project conducted the group classification for invested CIGs. Results showed that 70% CIGs are in category 1 (having both joint input and output procurement contract), 25 CIGs in category 2 (having either input or output procurement contract), and 5% CIGs in category 3

(improved productivity/learning group). The results are important inputs for building and implementing project exit strategy. Districts, communes and farmer groups report high appreciation of the CCA method. According to the project 2019 impact survey, CSA participating households have an average of 25% income increase compared to the baseline.

Taking the 2018 supervision mission recommendations, the project in two provinces implemented the CCA replication strategy that use part of CFAF/CCA fund to roll-out CCA good practices to none project communes. As results, 67 groups (761 HHs, 34% poor and near poor) in 45 none project communes in Ben Tre, and 198 groups (2926 HHs, 45% poor and near poor) in 31 none project communes in Tra Vinh have successfully replicated the CCA practices with total project investment of VND 27.311 billion (TV: VND 21.282 bil., BT: VND 6.029 bil.). During the 2020 supervision mission, through discussions related agencies including DARD, FU, and WU, the CCA instrument is further replicated through and integrated in the DARD, WU, and FU programs including NRD – OCOP, collaborative group, and women group establishment.

The CFAF/CCA is highly satisfactorily implemented. The supervision mission highly appreciates the CCA establishment and support process by AMD Tra Vinh – Ben Tre. The good practices of this activity include establishment of and capacity building for CIGs, lead farmers, classification of CIGs with respective supports for each group category; and CIG market linkage to enterprises for input procurement and output sale. These lessons should be thoroughly documented and replicated within Tra Vinh – Ben Tre and in other Vietnam provinces.

**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 developed investment plans for review of their technical and financial viability and development impact by the PCU and provincial authorities.

Until now, AMD has signed co-investment contracts with 40 businesses (22 in BT, 18 in TV). The co-investment contracts cover 24 commodities. The total investment is VND 125.31 billion including VND 36.66 billion (29.3%) AMD co-financing and VND 88.65 billion (70.7%) from private businesses. The PPPs have engaged 10,783 farm households (4076 in BT, 6707 in TV) as input suppliers (35% poor and near poor) and generated 3827 permanent jobs (2047 in BT and 1782 in TV) in the enterprises or the supplying cooperatives. These results are 300% above the target. During the extension period, there was no additional PPP implemented. Rather, two provinces focused its efforts at implementing the PPP exit strategy with proper handing over the PPPs to partners for management, and institutionalisation of the PPP instrument to the possible extent.

In Tra Vinh, the project has sustainably implemented the PPP programme 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 programme, and DOST's brand and certification support programme. In this line, the handing over process was smooth and effective. In Ben Tre, Investment and Promotion Center under DPI was identified in the last stage of PPP implementation as a partner to be handed over in PPP management. The handing over process is taking place in Ben Tre and will be completed by end of August, 2020.

Among the project instruments and the partners/beneficiaries, PPP and hence enterprises was most affected by the COVID-19 pandemic. In the first half of 2020, all the product export agreements/contracts were either ceased or canceled. As consequence, a loss caused to 40 businesses was estimated at around VND 50 billion (US\$ 2.1 million). The COVID response action plan developed by the project with specific interventions including promotion of E-commerce, signing agreement with E-platform providers (Lazada, Shopee), and support the province to development SME support policies was considered effective that provided alternative options for market linkage and sales of products.

Ben Tre and Tra Vinh are among few IFAD provinces in Vietnam successful in PPP implementation. The project has paid remarkable efforts in linking agribusiness to growth markets outside the province reflecting in an increase of 25%<sup>[1]</sup> of export revenues for project key commodities; diversification of products hence generating more added values; and attracting more enterprises investing in two provinces. Through the value chain financing activities, the project has been also successful in bridging agribusiness to local financial services including the WDF, Agribank, and Lienviet post bank. In view of the PPP success, the mission recommends PPCs and DARD to replicate the PPP instrument to the whole province through implementation of the Government Decree 57 on mobilising agribusiness investment in agriculture.

<b>Agreed Action</b>	<b>Responsibility</b>	<b>Agreed Date</b>
<b>Complete installation and commissioning of ASWQMS equipment and applications</b>	Complete installation and commissioning of ASWQMS equipment and applications DONREs, PCUs	09/2020
<b>TA consultant to fulfil the remaining works as agreed under the international TA contract.</b>	Stichting Deltares, DONREs, PCUs	09/2020
<b>Both provinces: Transfer a vehicle from PCU to WDF after AMD closing; Consolidate equipment and facilities for district branches; Continue to improve staff capacities and mobilize additional capital for the WDFs</b>	WDFs	09/2020
<b>Complete the CIF work contracts implementation under the AWPB 2020 before the project completion date.</b>	Ben Tre PCU, DPCs, CPCs	09/2020
<b>Both WDFs: Conduct a survey on the rationales why various SCG members leave WDF services in order to update the strategic business plans and to identify measures to assist the overdue borrowers.</b>	WDFs	12/2020
<b>Ben Tre: Complete procedures to register the WDF as an MFI with State Bank of Vietnam; In line with AMD completion workshops, cooperate with SBV to organize a workshop on MFI development experience.</b>	WDF Ben Tre PCO, SBV	12/2020
<b>Tra Vinh: Prepare Strategic Business Plan 2021-25 and formal application to SBV for MFI registration</b>	WDF Tra Vinh	12/2020
<b>Prepare and monitor closely a detailed plan for completion and operation of ASWQM system before the project completion date.</b>	DONREs, PCUs	
<b>Continue allocation of annual recurrent budget for district and commune SEDP planning and capacity building for all districts/ communes in Ben Tre and Tra Vinh after 2020.</b>	PCU, DPI, DOF	

## E. Project implementation

### a. Development Effectiveness

#### Effectiveness and Developmental Focus

Effectiveness

Rating: 5

Previous rating: 4

#### Justification of rating

In two provinces, the project has shown remarkable progress against its logical framework goals, objectives and outcomes. The accumulated achievement rate in terms of outputs and outcomes is 90% (27 out of 30 physical targets).

#### Log-Frame Analysis & Main Issues of Effectiveness

At project year six, project services have reached to 111,176 households of which approx 22% are poor and near poor. Detailed achievements per goal and objective is summarised below

- Goal 1: 40% reduction in the prevalence of child malnutrition.  
*Achievement:* Tra Vinh: 47.5%; Ben Tre: 19% reduction in the prevalence of child malnutrition.
- Goal 2: 30,000 poor and near poor HHs with at least 25% improvement in household assets ownership index.  
*Achievement:* Tra Vinh: 10,594 and Ben Tre: 14,012 poor and near poor households with at least 25% improvement in household assets ownership.
- Goal 3: 60% poverty reduction in project communes.  
*Achievement:* Tra Vinh: 61% and Ben Tre: 40% poverty reduction in project communes.
- Objective 1: 100% of communes and districts preparing and implementing annual climate- informed, participatory market oriented plans  
*Achievement:* 100% communes/wards (Tra Vinh: 115, Ben Tre: 164) preparing and implementing annual climate-informed, participatory market oriented plans.
- Objective 2: At least 30,000 poor smallholder HHs members whose climate resilience has been increased 30%.  
*Achievement:* Tra Vinh: 10,779, and Ben Tre: 14,028 poor and near poor households whose climate resilience has been increased 30%.
- Objective 3: At least \$30 million invested in profitable climate resilient infrastructure, farming systems and enterprises in project communes.
- *Achievement:* Tra Vinh: US\$ 50,036.69 million, and Ben Tre: US\$ 46.639 million invested in profitable climate resilient infrastructure, farming systems and enterprises in project communes.

Reference is made to the combined Log-Frame 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 2020 in Ben Tre, specifically affecting the completion of the five community infrastructure schemes.

## Development Focus

### Targeting and Outreach

**Rating: 5**

**Previous rating: 5**

### Justification of rating

The project instruments reach the target groups (approximately 111,176 HHs in two provinces). There are 24,807 (83% compared to target) poor and near poor households whose climate resilience has been increased 30%. Targeting performance is periodically monitored with reliable database in two provinces.

### Main issues

Project implementation statistics and field observations show that project activities are reaching out to the marginalised groups including poor and women. The SEDP instrument was highly appreciated by partners and communities as an important planning tool to mobilise resources and empower people. Project financing instruments including CSA, PPP, SCG and CDF enhance capacities and increase income in participated households. In two provinces, the rate of benefiting poor and near-poor households from PPP, CFAF/CCA, SCG activities are at a range of 56% – 72%. About 50% of households participating in project activities has got out of poverty (Project final RIMS survey, 2020).

Taking the 2018 supervision mission recommendations, the project in two provinces implemented the CCA replication strategy that use part of CFAF/CCA fund to roll-out CCA good practices to none project communes. As results, 67 groups (761 HHs, 34% poor and near poor) in 45 none project communes in Ben Tre, and 198 groups (2926 HHs, 45% poor and near poor) in 31 none project communes in Tra Vinh have successfully replicated the CCA practices with total project investment of VND 27.311 billion (TV: VND 21.282 bil., BT: VND 6.029 bil.). During the 2020 supervision mission, through discussions related agencies including DARD, FU, and WU, the CCA instrument is further replicated through and integrated in the DARD, WU, and FU programs including NRD – OCOP, collaborative group, and women group establishment.

### Gender equality & women's participation

**Rating: 5**

**Previous rating: 5**

### Justification of rating

Project paid significant attention to facilitate the participation of women and they account for a significant number of beneficiaries (54% in two provinces). Project also addresses gender needs, and promotes gender equality and women empowerment through the gender mainstreaming manual towards a target of 40% women participating in project activities. The gender-related impacts are likely to be sustainable.

### Main issues

The project has developed a gender mainstreaming strategy and conducted several gender training courses for project

stakeholders. Gender perspective was integrated in the project with participation of Women Union from commune to provincial level. The project has exceeded the targets for inclusion and empowerment of women (54% in two provinces). This indicates that women play a key role in the project. Among the project activities, women accounted for a high proportion such as the SCG (90% in Ben Tre, 100% in Tra Vinh), the capacities building (51% in BenTre and 52.3% in Tra Vinh), the SEDP participants (54% in Ben Tre, 55% in Tra Vinh); the CFAF/CCA, PPP participants (58,0% in two provinces). In both provinces, nearly 40% CCA/CFAF farmer group leaders are women, 63,420 women entry to the training on climate smart agriculture, business development and also the management skill. These will remain an important force driving and empowering women in the project areas in future. The M&E data collection has been more gender mainstreamed with the collection of sex disaggregated data. Women are provided with livelihood options that allow them to contribute to overall household income. With project interventions, women are actively participating in agricultural production, processing and also marketing.

## **Agricultural Productivity**

**Rating: 4**

### **Justification of rating**

Project Log-frame puts more weight to measuring increased value of commodities and incremental income of beneficiaries. Project MIS system however, with application of EFA to each project instrument (PPP, CSA, SCG, and CDF), shows significant increased smallholder productivity especially when engaged to commercial value chains. Also, a diversification process of agriculture is visible in the project areas.

### **Main issues**

Until now, project interventions have targeted 36 commodities in Ben Tre and 33 commodities in Tra Vinh. Project statistics and field observations reflect that productivity of most commodities (54/66) is increased by 5-10%. Project specific contributions to productivity increase and commodity diversification include: (i) technical capacity building through government, enterprises, and farmer to farmer extension, (ii) infrastructure development (e.g. irrigation with increased irrigated areas), (iii) introduced advanced/CC adapted technologies (e.g. mulching, intercropping) and CC resilient varieties, and (iv) financial support through co-financing and lending mechanism (PPP, CCA/CFAF, SCG). The mission notes that the long lasting drought with subsequent salinity intrusion, and the swine flu have seriously affected the agricultural productivity. Further, a full fledged EFA needs to be conducted by the project to update/consolidate the results inter alia the agricultural productivity.

## **Nutrition**

**Rating: N/A**

## **Adaptation to Climate Change**

**Rating: 4**

**Previous rating: 5**

### **Justification of rating**

Synergies and logics between subcomponents in view of climate change adaptation are ensured by the project. 95% 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. Further, the automatic salinity forecasting and water quality monitoring system (ASWQMS) is required to be in full operation before project completion (see sub-component 1.1).

## **b. Sustainability and Scaling up**

## **Institutions and Policy Engagement**

**Rating: 5**

**Previous rating: 4**

### **Justification of rating**



The project has contributed to development and institutionalisation of inter alia climate informed local planning procedures. Socio-economic planning (MoSEDP) is informed by local needs and makes use of climate change evidence in priority setting. It is well institutionalised in two provinces. Similarly, the value chain action planning instrument is initially integrated into the Agriculture Restructuring Strategy (SRS) and the NRD.

### Main issues

Successful activities under SRDP in terms of policy engagement include: (i) Policy related to local socio-economic development planning: PPCs of two provinces have institutionalized the SEDP participatory planning mechanism at all communes and districts with AMD assistance; A workshop was organized in Tra Vinh contributing to formulation of the MPI Circular number 05/2017 on Guidelines for SEDP planning at commune level using resources from National Target Programme; (ii) Agriculture Restructuring Strategy (ARS): AMD has engaged in implementation of the ARS which promotes the roles of private sector through PPP Competitive Grant Financing mechanism and application of agriculture value chain methodology in both provinces; (iii) Policy for Development of Cooperatives and Collaborative Groups: through the practical development and financial support to CGs as well as the experience sharing workshops, AMD is instrumental for implementation and consolidation of the Law on Cooperative and the Decree 151 on Collaborative Group. A workshop was co-organized in Tra Vinh by AMD and MPI on Revision of the Decree 151 based on experience under the project. In view of potential for policy scaling-up, the farmer-to-farmer extension mechanism, which has been initiated by AMD and well promoted under other IFAD-supported projects, should be institutionalized by the PPCs/PSCs in both provinces.

<b>Partnership-building</b>	<b>Rating: 5</b>	<b>Previous rating: 4</b>
-----------------------------	------------------	---------------------------

### 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. The partnerships-building with national programme coordination offices and the other donor-supported projects in the project areas was improved in the final year. These groups are likely to continue to render services after project completion.

<b>Human and Social Capital and Empowerment</b>	<b>Rating: 5</b>	<b>Previous rating: 4</b>
-------------------------------------------------	------------------	---------------------------

### 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 conducive 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.).

### Main issues

The mission notes that various CGs and cooperatives still lack management capacity. More attention is required to replicate the project successful models through other interventions such as NTP-NRD, OCOP initiatives, Sustainable Poverty Reduction Program.

<b>Quality of Project Target Group Engagement and Feedback</b>	<b>Rating: 5</b>
----------------------------------------------------------------	------------------

### Justification of rating

Beneficiaries are consulted, and their voices are heard in project development planning processes. Beneficiary needs and priorities have been effectively addressed through commune/ district SEDP planning process. Investments of project instruments (CIF, PPP, CFAF/CCA, SCG) fully reflected the real needs of farmers, enterprises, and cooperatives. Gender balance and participation of marginalized and vulnerable groups are ensured in planning and implementation of project activities. For community infrastructure investments, beneficiary groups took active role in contribution (in kind and labour) for construction works, supervision and undertaking operation and maintenance of invested CIF schemes. Construction of a number of CIF schemes were carried out by community groups through force account method that enhanced their ownership and income generation. CCA/ CFAF beneficiary groups were facilitated access to external support through mobilising group resources.

<b>Responsiveness of Service</b>	<b>Rating: 4</b>	<b>Previous rating: 4</b>
----------------------------------	------------------	---------------------------



## Providers

### 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 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.

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) was successfully implemented in two provinces as per the 2019 supervision mission's agreed action. The project is required to put more attention to finalise the automatic salinity forecasting and water quality monitoring system (ASWQMS).

## Exit Strategy

**Rating: 4**

**Previous rating: 4**

### Justification of rating

A full set of exit strategy has been developed and shared with the 2018 mission. Since then, the exit strategy was well developed and started implementation by mid 2019. Against the difficulties caused by the COVID-19 pandemic, the exit strategy was smoothly implemented reflecting in (i) institutionalisation of SEDP; (ii) replication of CCA models/practices to provincial-wide and integrating them into NTPs and provincial programs using state budget; (iii) smooth handing over of value chain approaches, and PPP to reliable partners (DOIT, DARD); and (iv) setting the path for MFI development for both WDFs.

### Main issues

It was agreed that besides the handing-over of the coordination responsibilities to provincial and district line agencies the project should also ensure a clear accountability framework. In the last stage of the project, the exit strategy implementation should pay more attention to packaging the good practices and lessons learnt into different forms of publication for provincial-wide dissemination and replication.

## 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: 5	Previous rating: 4
-------------------------------	-----------	--------------------

#### 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.

#### Main issues

AMD should be a good example for Mekong Delta on how to manage implementation of the climate change adaptation strategy in agriculture and rural development. Analysis, documentation and dissemination of best practices under the AMD project should be prioritized by the project in its last period. Further, the mission witnessed a satisfactory project management performance thanks to the following efforts: (i) AMD was effectively coordinated by the PSC, managed by the PCUs at the province level and by the DPCs and CPCs at district and commune levels; (ii) PCOs built good partnership with line agencies at all levels so that AMD activities are integrated into the National Target Programmes (NTPs) for New Rural Development and for Sustainable Poverty Reduction through the SEDPs at the commune and district levels; (iii) The PCUs have also effectively decentralized the project implementation to the districts/communes, and strategically mobilised the provincial line agencies including DARDs, DPLs, DONREs, FUs and the WUs and the WDFs for field supports; and (iv) The supporting implementation manuals including the Project Implementation Manual (PIM), Financial Management Manual, Procurement Manual, Monitoring and Evaluation (M&E) Manual and CCA and PPP Manuals have proved very suitable for all stakeholders including the poor and smallholder farmers. Therefore AMD activities are fully supported by the local government staffs and rural communities.

As a good lesson learnt in view of project management, the mission therefore strongly recommends the PPCs/PSCs to coordinate and assign the provincial agencies to foster the replication of AMD innovations (SEDP, value chain financing, CCA/CFAF, PPP) using NTPs and provincial resources. AMD management should prioritize knowledge management (KM) and sharing of the AMD innovations through technical workshops and policy dialogues, publications and communication networks at the project completion. Project exit strategy and project completion report are two important documents that the PSC should use to promote replication and institutionalization of the AMD innovations.

Knowledge Management	Rating: 5	Previous rating: 4
----------------------	-----------	--------------------

#### Justification of rating

The Project has a knowledge management plan with a knowledge management officer assigned to implement the plan. 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 learned on successful models for sharing and replication. Most of these knowledge products were being archived and posted on the social media means (youtube, facebook, etc.) to attract interested readers. The project has also introduced and communicated project activities and successful models in workshops and conferences at national and regional venues.

#### Main issues

The main results and outputs for knowledge management and information dissemination are reported upon under subcomponent 1.1.d. Remaining issues for the project knowledge management include (i) packaging successful climate change adaptation models for different agro-ecological zones, and (ii) communicating the good knowledge management practices to higher levels (provincial, regional levels) for institutionalisation and integration in the government and provincial programmes.

Value for Money	Rating: 4	Previous rating: 5
-----------------	-----------	--------------------

#### Justification of rating

The final EFA has not yet been conducted by the project due to the COVID-19 pandemic preventing the mission from fully evaluating the value for money. To the possible extent, mission's evaluation through MIS, discussions, and field validation

reflects that the project implementation is considered efficient and project investments represent satisfactory value for money. Cost per beneficiary is acceptable (~\$100/beneficiary). The EFA models and assumptions made at design remain largely relevant.

## Main issues

The Mission noted efficiency gains amounting to more than VND 20 billion from procurement of civil works in the 2017 – 2012 period.

WDFs have qualified to register as MFIs with increased operational self-sufficiency rates of 134% for Ben Tre and 129% for Tra Vinh. The WDF has also established 175% and 152% 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 25% based on the 2020 RIMS survey. Two provinces have reached 178% of its original target of CFAF households. Further, taking the 2018 supervision mission's recommendation, the project good adaptation practices have been replicated to 75 none-project communes in two provinces reaching 3,687 households (45% poor and near poor). Results and impacts of the replication practice will be evaluated through the final impact survey and the EFA. The SM received positives feedbacks from beneficiaries in none-project communes that the productivity increased by 10%, and income increased by 9%.

PPPs likewise showed favourable results with 10,783 farm households as input suppliers (328% of target) and 3827 permanent jobs (380% of target) were created at the enterprise/cooperative level in two provinces. PPP evaluations in two provinces reflect that the average IRR of the invested PPP is at 25%; and incremental income is ~ 35% for farmer households.

As addressed in the M&E section, a full fledged EFA is required in order to provide a comprehensive picture regarding the efficiency and effectiveness, including the value for money, of the project investments.

## Coherence between AWPB and Implementation

**Rating: 4**

**Previous rating: 4**

## Justification of rating

Physical progress of AMD reached about 95% in Tra Vinh and about 70% in Ben Tre by 15 August 2020. The project activities are on track except delays in ASWQMS implementation and some CIF work contracts in Ben Tre. Delayed budget allocation by MPI/ MOF was hampering implementation progress of AMD Ben Tre's 2020 AWPB.

## AWPB Inputs and Outputs Review and Implementation Progress

In Tra Vinh, by August 2020, a major part of activities under the 2020 AWPB were completed on time and within planned budgets, except considerable delays in ASWQMS implementation. The remaining activities include (i) instalment of ASWQMS equipments, commissioning and users' training; (ii) purchasing 2000 water tanks for target groups; (iii) on-going 9 vocational training courses for scaled-up CCA group members; (iv) a consultation workshop for the assessment of prioritized value chains and updates of the value chain action plans; (v) drafting and finalisation of the PCR; and (vi) project completion audit. By 31 July 2020, the project disbursements reached US\$ 10.01 million (89.98%) of IFAD loan and US\$ 5.05 million (88.87%) of ASAP grant.

In Ben Tre, by August 2020, the physical progress for the 2020 AWPB reached about 70%. There are considerable delays in ASWQMS implementation and 03 CIF work contracts (see above). In 2019, due to late allocation of the remaining ODA amount VND 110 billion in November 2019 for the 2019 AWPB, the project was just able to disburse only VND 55 billion (50%) of the allocated ODA loan and grant. Allocation of the remaining ODA budget VND 55 billion for the 2020 AWPB is not yet made available by MPI/ MOF. So far, the project was using VND 6.2 billion of allocated ODA for recurrent expenditures and borrows from the PPC for project payments in 2020. The approval on allocation of the remaining ODA funds for the 2020 AWPB by MPI/ MOF is urgent for completion of planned activities by 30 September 2020 and the project closing by 31 December 2020.

## Performance of M&E System

**Rating: 5**

**Previous rating: 5**

## Justification of rating

The M&E system in two provinces is continuously maintained with good quality. This is thanked to clear guidance and templates, and competent M&E 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

In preparation for the project completion, the project end line survey was initiated in March, 2020 with support from RIA

through C4ED. However, due to the COVID-19 pandemic, this activity was suspended. As it is impossible to predict the slow down or end of the COVID-19 pandemic, it was agreed during the mission that the project to discuss with C4ED about the options for the end line survey to continue, including the use of local consultants for survey and report writing with remote supervision and support by C4ED. The end line survey results are important inputs for the project completion report (PCR) which is under implementation. The PCR process is also delayed compared to the plan due to COVID-19. Because of the delays of both end-line survey and PCR (with subsequent EFA), the mission was unable to validate various indicators/criteria especially the income increase of beneficiaries, the cost per beneficiary, and the value for money. In the final phase of the project, the mission recommends the following: (i) thoroughly document the successes/achievements of the project as lessons learnt for other projects/programmes; and (ii) as per specific IFAD guideline and template for PCR, urgently collect and consolidate all required data and information to be reflected in the full-fledged EFA and PCR.

<b>Requirements of Social, Environmental and Climate Assessment Procedures (SECAP)</b>	<b>Rating:</b>	<b>Previous rating: 4</b>
----------------------------------------------------------------------------------------	----------------	---------------------------

#### **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/CFAP 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**

<b>Acceptable Disbursement Rate</b>	<b>Rating: 3.0</b>	<b>Previous rating: 4</b>
-------------------------------------	--------------------	---------------------------

#### **Justification of rating**

Due to previous GOV policy regarding foreign investment tightening and COVID-19 situation, the project experienced difficulties in fund allocation for 2019 and 2020 AWPB. The GOV policy on ODA has curtailed the access to IFAD finance and consequently led to slow implementation of planned project activities. However, the project has been working hard to accelerate the project implementation.

#### **Main issues**

The project is in its final year of implementation and with overall disbursement rates of 99.14% for IFAD Loan and 87% for the IFAD Grant. The amounts allocated from IFAD loan are SDR 7.25 million for Tra Vinh and SDR 7.1 million for Ben Tre. SDR 3.89 million for Ben Tre and SDR 3.93 for Tra Vinh for IFAD Grant. For Ben Tre, the disbursed amount for IFAD Loan is within its respective allocation, SDR 6.97 million (98%) and for IFAD Grant is SDR 3.28 million (84%) (including advance payment). For Tra Vinh, the disbursed amount as at 31 July 2020 for IFAD Loan is SDR 7.26 million and for IFAD Grant is SDR 3.5 million (including advance payment).

The disbursement rate for IFAD Loan is 100.15% (showing the overspent amount of SDR 10 606) and for IFAD Grant is 90.11%. In view of the total Loan disbursed, it is still within the allocated amount indicated in Financing Agreement. In view of the two provinces disbursement situation, the mission suggests two PCUs to pay attention to the overspent amount as in the case of Tra Vinh, then to agree on the appropriate arrangement.

The updated recovery plans of the designated accounts were shared from both provinces during the mission and it was noted that 100% of the IFAD loan and grant will be utilized by end of the project completion.

#### **Fiduciary aspects**

<b>Quality of Financial Management</b>	<b>Rating: 4</b>	<b>Previous rating: 5</b>
----------------------------------------	------------------	---------------------------

#### **Justification of rating**

The quality of overall financial management in Ben Tre and Tra Vinh is rated as moderately satisfactory. The essential FM structure is largely in place, including the establishment of financial guidelines and procedures, agreement on institutional arrangements, deployment of Project financial staff at provincial level. The accounting software has been adapted. However, there is a lack of integration and automation from commune level to the provincial level.

#### **Main issues**

**Organization and Staffing** The mission observed that part-time accountants with limited qualification have been

**Organization and Staffing.** The mission observed that part-time accountants with limited qualification have been recruited at commune levels. In both provinces, there are four accounting staff working at PCU namely: one Chief Accountant, three Accountants and one Asset management and taxation officer cum Cashier with required qualification and experience in managing foreign funded project since previous IFAD project. The Project deploys one accountant in each DPC (full time in BT, part time in TV) and part-time accountants in the communes. The mission recommended that as the project has only limited amount of petty cash and project assets to be managed, for effective and efficient project operation support, the functional review with clear division of responsibilities should be carried out to ensure allocating appropriate workload for FM staff at all levels. Additionally, further FM trainings are still needed to efficiently manage IFAD resources at all levels, and timely and effectively to close the accounts.

**Budgeting.** The mission reviewed the AWPB and the relevant commitments and noted the timely submission of 2020 AWPB in Ben Tre with IFAD No-objection received on time (early January 2020). For Tra Vinh, 2020 AWPB was submitted with some delays. IFAD received and provided No-objection in March 2020. Due to some impacts from the new GoV's ODA policies and the COVID-19 pandemic, the fund allocations for 2019 and 2020 were not allocated timely making the slow progress on AWPB implementation (around more than 50% of plan achieved). In response to the COVID 19 outbreaks, IFAD approved the project request to have an extension of six months for project implementation completion while the closing date remained the same.

**Accounting software.** The accounting software has been adapted. However, there is a lack of integration and automation from commune level to the provincial level. Thus, all the detailed transactions have been re-keyed in one by one by the financial team at PCU. In addition, there were delays in entering accounting transactions into the accounting software as the transactions are only input into the systems upon completion once all supporting documentations have been collected. Forms and reports required by the GOV and IFAD were still manually prepared outside the system. Furthermore, there is no segregation of duties in the accounting systems. The mission emphasized the importance of maintaining adequate, efficient controls at all level in order to provide timely reliable financial data for reporting purpose.

**SOEs.** The mission received the electronic supporting documents late from both provinces due to the constraint in the nature of remote and short supervision mission. The majority of the project expenditures were below SOE thresholds. Spot checks on scanned copies of SOE supporting documents were conducted on a random basis maintained by the project. It was found that the expenditures incurred in line with the Financing Agreement.

**Closing procedure.** The mission also explained with the project of both Ben Tre and Tra Vinh province on financing closing procedure on which it is important to note that by the Financing Closing Date, the project must have submitted the final WA(s), PCR and final audit report to IFAD along with a response to any issues raised by the auditor. Also, the project should also have fully justified the DA or refunded any balance not justified.

<b>Agreed Action</b>	<b>Responsibility</b>	<b>Agreed Date</b>
<b>WA submission:</b> Submit separate WA(s) to cover the period of July 2020 to 30 September 2020 (Project completion date) for all completed activities by date	PCUs - Ben Tre and Tra Vinh	11/2020
<b>WA submission:</b> Submit separate WA(s) to cover the period of July 2020 to 30 September 2020 (Project completion date) for all completed activities by date	PCUs - Ben Tre and Tra Vinh	11/2020
<b>Financing Closing Procedure:</b> Two provinces to review the WAs to ensure that only IFAD eligible amount is included. Any tax element should be fully covered by counterpart funding.	PCUs - Ben Tre and Tra Vinh	12/2020
<b>WA submission:</b> Submit separate final WA to cover winding up expenditures (audit fee).	PCUs - Ben Tre and Tra Vinh	12/2020
<b>Financing Closing Procedure:</b> Two provinces to review the WAs to ensure that only IFAD eligible amount is included. Any tax element should be fully covered by counterpart funding.	PCUs - Ben Tre and Tra Vinh	12/2020
<b>WA submission:</b> Submit separate final WA to cover winding up expenditures (audit fee).	PCUs - Ben Tre and Tra Vinh	12/2020

**Quality and Timeliness of Audit**

**Rating: 5**

**Previous rating: 5**

#### **Justification of rating**

The 2019 audited financial statements, which were due on 30 June 2020, were submitted and gratefully received within the stipulated submission deadline. This is aligned with expected standards and best practice. However, the audit report has a limitation of use clause against IFAD public disclosure policies.

#### **Main issues**

The audit reports were performed by AASC Auditing Firm Co. Ltd on the basis of International Standards on Auditing. The auditor expressed an Unqualified Opinion on Financial Statements.

The financial statements were prepared on the basis of Accrual basis of accounting which are deemed acceptable to IFAD. The sets of financial statements were found to be understandable and complete.

The Auditor's Management Letter (ML) highlighted some minor internal control issues, which are being resolved accordingly by Project Management. The ML did not highlight any key internal control issues over financial reporting.

The mission noted that the audit report has a limitation of use clause. The mission informed the projects that IFAD promotes public disclosure of Project financial information to enhance the level of transparency and accountability. IFAD will disclose project audit reports, as appropriate, in line with the IFAD's disclosure policy. Therefore, the Auditors' terms of reference of the final audit should explicitly acknowledge IFAD's right to publicly disclose audit reports (audited financial statements and audit opinion) and audit should issue reports without a limitation of use clause.

<b>Agreed Action</b>	<b>Responsibility</b>	<b>Agreed Date</b>
<b>Ben Tre - WDF - Adjust VND 658 997 929 of provision and agree on the method of calculation for provision expenses and other incomes</b>  Finding #4.b - Ben Tre ML	Ben Tre PCU, WDF branches and transaction offices	12/2020

<b>Ben Tre - Seek for consultation to diversify products of Women's Development Fund</b>  Finding #4.a - Ben Tre ML	Ben Tre PCU	12/2020
<b>Ben Tre - Monitor better the performance of PPP fund investment</b>  Fiding #3 - Ben Tre ML: PCU should improve the control and fulfill the objectives of PPP fund investment; seek for consultations to prepare performance evaluation reports and details of financing indicators which should be carried out independently and objectively.	Ben Tre PCU	12/2020
<b>Ben Tre - Timely accelerate the approval of implementation progress</b>  Finding #2 - Ben Tre ML- Recommendation para 2: As the project will be completed by 2020, Department of Natural Resources and Environment of Ben Tre should work with related parties to proactively advise PPC in timely accelerating the approval of implementation progress and ensuring its effectiveness.	Ben Tre Department of Natural Resources and Environment	12/2020
<b>Tra Vinh - Timely design the appropriate forms of completion of PPP fund for controls and management.</b>  Finding #3 - Tra Vinh ML- Recommendation para 2:	Tra Vinh PCU	12/2020
<b>Tra Vinh - Prepare annual disbursement report of PPP fund and progress report of sponsorship contracts</b>  Finding #3 - Tra Vinh ML- Recommendation para 1: Project should archive adequately documents of all sub-projects in separate files; prepare annual disbursement report of PPP fund and progress report of sponsorship contracts; supervise the implementation status; follow the instructions of the manual on the implementation report.	Tra Vinh PCU	12/2020
<b>Tra Vinh - Speed up construction progress and complete the report on the implementation progress of monitoring stations</b>  Finding #2 - Tra Vinh ML- Recommendation para 3: As the project will be completed by 2020, Department of Natural Resources and Environment of Tra Vinh should work with related parties to urge and inspect the constrution of the contractor's stations to speed up onstruction progress and complete the report on the implementation progress of monitoring stations	Tra Vinh PCU, Department of Natural Resources and Environment	12/2020
<b>Tra Vinh - Separate funds by capital sources by District Finance Division when approving the completed project settlement to ensure data reconciliation</b>  Finding #1 - Tra Vinh ML-Recommendation para 2	Tra vinh PCU and District Finance Division	12/2020



<b>Tra Vinh - accelerate the approval of CCA sub-project settlement</b>  Finding #2 - Tra Vinh ML - Recommendation para1: It is recommended by the auditors that PCU should request District Finance Division to accelerate the approval of CCA sub-project settlement. PCU should provide additional information on CCA fund performance manual for control and monitoring the achievements. PCU should develop a comprehensive strategy to expand the successful CCA models to households belonging to and not belonging to the project area.	Tra Vinh PCU, District Finance Division	12/2020
<b>Tra Vinh - Prepare budget plan for beneficiary's capital to compare actual performance and the budget</b>  Finding #2 - Tra Vinh ML - Recommendation para 2: The auditors recommended that PCU and related departments need to prepare budget plan for beneficiary's capital to compare actual performance and the budget as well as to serve as a reliable basis for financial statement finalization.	Tra Vinh PCU and related departments	12/2020
<b>Tra Vinh - Speed up construction progress and complete the report on the implementation progress of monitoring stations</b>  Finding #2 - Tra Vinh ML - Recommendation para 3: As the project will be completed by 2020, Department of Natural Resources and Environment of Tra Vinh should work with related parties to urge and inspect the construction of the contractor's stations to speed up construction progress and complete the report on the implementation progress of monitoring stations	Tra Vinh PCU, Department of Natural Resources and Environment	12/2020
<b>Tra Vinh - Accelerate implementation process and Allocate fund in accordance with FA and AWPB</b>  Finding #1 - Tra Vinh ML- Recommendation para 1: The PCU should consult and recommend the Provincial Steering Committee to allocate the fund and also coordinate with implementing units to proactively accelerate implementation process to achieve approved budget plan	Tra Vinh PCU	12/2020
<b>Ben Tre - Accelerate implementation process and Allocate fund in accordance with FA and AWPB</b>  Finding #1 - Ben Tre ML: The PCU should consult and recommend the Provincial Steering Committee to allocate the fund and also coordinate with implementing units to proactively accelerate implementation process to achieve approved budget plan	Ben Tre PCU	12/2020
<b>Ben Tre - Accelerate the approval for settlement of CFAF sub-project</b>  Finding #2 - Ben Tre ML - Recommendation para 1: PCU should urge District Finance - Planning Division to accelerate the approval for settlement of CFAF sub-project	Ben Tre PCU	

#### Counterparts Funds

Rating: 4

Previous rating: 3

#### Justification of rating

Counterpart funds of the project is rated as moderately satisfactory for both provinces. Counterpart funds were available; however, there is imbalance of allocation among components, especially component I and component III.

#### Main issues

Counterpart funds were available, reaching 91.19% and 98.84% for Ben Tre and Tra Vinh respectively. Overall, these disbursement rate of counterpart funds are satisfactory. However, it is recognized that, the distribution of fund among



components was rather unreasonable. For both provinces, the GoV funds allocated for Component I “Building adaptive capacity” were at only 18.54% and 12.12% for Ben Tre and Tra Vinh respectively, while the progress report recorded the completion of over 80% of project activities under that component. In addition, the expenditures funded by GoV under Component III “Project Management” were over 150% compared to the allocated amount, reflecting the cost inefficiency. The mission reminded that clear justification should be provided by the end of the mission. Failure to provide justification would have negative impacts on new project design and implementation.

<b>Agreed Action</b>	<b>Responsibility</b>	<b>Agreed Date</b>
<b>Review the distribution of Counterpart fund among components:</b>  The discrepancies of counterpart fund distribution among components were identified and require clear justification from both PCUs.	Both PCUs	09/2020

#### **Compliance with Loan Covenants**

**Rating: 4**

**Previous rating: 3**

#### **Justification of rating**

In general, loan covenants have been or are being complied with, except for lack of GoV contribution/allocation in Component 1 for both provinces.

#### **Procurement**

#### **Procurement**

**Rating: 4**

**Previous rating: 4**

#### **Justification of rating**

Processes, procedures and systems applied exhibit some gaps and inconsistencies that have limited impact on project implementation and performance. Implementation support is required, however, prompt resolution of issues/constraints is likely.

#### **Procurement Review**

In Ben Tre, the 2020 procurement plan was submitted to IFAD on 12 December 2019 and obtained IFAD no objection on 02 January 2020. A supplementary procurement plan for two CIF work contracts was submitted to IFAD on 24 June 2020 and obtained IFAD no objection on 26 June 2020. In Tra Vinh, the 2020 Procurement Plan was submitted to IFAD on 13 February 2020 and obtained IFAD no objection on 13 March 2020. A revised procurement plan with two additional goods packages was obtained IFAD no objection on 05 August 2020. By August 2020, contractors/ service providers/ suppliers were selected for more than 95% of planned procurement activities under the 2020 procurement plans. Due Covid-19 epidemic, some planned activities (study tours, workshops) of AMD Ben Tre were cancelled. The remaining planned activities are under procurement process including two additional goods packages in Tra Vinh (2020-HH02: Computers for the smart pest monitoring system, and 2020-HH03: Purchasing 1000-litre water tanks for 2,000 poor and near-poor households), and two consulting service packages (Project audit for 2020 for AMD Ben Tre, and appraisal of project assets for handing over for AMD Tra Vinh).

In compliance with provisions of Circular 11/2019/TT-BKHDT, e-procurement was applied for 8 out of 16 CIF work contract (50%) in Ben Tre and 5 out of 7 work contract (71%) in Tra Vinh under the 2020 AWPBs. A number of contractors are still not familiar with e-procurement. Consequently, there are some cases that only one or two bidders submitted their e-bids for work contracts. Post reviews of procurement and contract documents for randomly selected goods, works and services sent by the PPCUs show that procurement activities were carried out in general in compliance with IFAD project procurement guidelines and project procurement manuals. Procurement notices for procurement of goods, works and services were advertised on “Dau Thau” newspaper and National procurement network. However, there is a case of purchasing office equipment (package G3-2019) in Ben Tre, trademarks and origins of the procured goods were mentioned specifically in the request for quotations. “Equivalent” term should be included in special cases that mention of trademarks and/or origins in the bidding documents is necessary.

So far, in Ben Tre, a total saving amount of VND 8.7 billion (7.9%) was gained from procurement activities over the 2017 – 2020 period. In Tra Vinh, a total saving amount of VND 3.3 billion (4.1%) were gained from procurement of CIF works over the 2017 – 2020 period.

There were substantial delays in procurement of a work package (W1) for construction of 35 ASWQMS stations, and purchasing equipment for ASWQMS data processing centres (package G2). Procurement process for G2 package started from February 2020 but the contract was just signed in early August 2020. The delays mainly caused by (i) design revisions of the ASWQMS stations, (ii) time-consuming for bid clarifications and finalization of the bid evaluation report for W1 package, (iii) having no technically qualified bidders at the 1<sup>st</sup> bidding time and time-consuming for finalization of the bid evaluation reports for G2 packages (see more above).

## e. Key SIS Indicators

<b>Likelihood of Achieving the Development Objective</b>	<b>Rating: 4.65</b>	<b>Previous rating: 5.0</b>
<b>Assessment of the Overall Implementation Performance</b>	<b>Rating: 4.33</b>	<b>Previous rating: 4.0</b>

## F. Relevance

<b>Relevance</b>	<b>Rating: 5</b>	<b>Previous rating: 5</b>
------------------	------------------	---------------------------

### Justification of rating

The project objectives and activities are relevant to the Government's poverty reduction and agricultural and rural development strategies and policies. Project instruments including SEDP, CCA/CFAF, PPP, and SCG are assessed as highly relevant to the beneficiaries; other instruments such as extension services, and infrastructure construction are considered to be relevant in most places.

### Main issues

The project instruments including SEDP, CIF, Value chain planning, CCA/CFAF, and PPP are aligned with government programs and policies at the central and provincial levels. In specific, the SEDP, CIF (with force account method), and value chain planning tools support the planning and investment of the NTP-SPR, and NTP-NRD. The CCA/CFAF funds, through CIG and cooperative establishment and administration, are in line with implementation of Decision 151 on CG establishment. The PPP instrument with engagement of agribusinesses and farmers support the implementation of the newly promulgated Decree 57 on engaging enterprise in agricultural development. The project also supports various policies of two provinces related to agricultural sector restructuring, production, planning, and industrial development. Support for an emerging rural enterprise/ private sector, including enterprises, cooperatives and business households for VC development, is consistent with good practice rural development and is aligned with government initiatives, policies, and programs. These partnerships and policies have strategic relevance to IFAD Vietnam operations as reflected in the Vietnam COSOP.

## G. Project Modifications

<b>Responsibility</b>	<b>Modification type</b>	<b>Description</b>
Government and IFAD	Completion Date	The Government of Vietnam has requested an extension of the completion date by six months and the closing period by three months. IFAD approved the extension request on 6 April, 2020. The new completion and closing dates were set on 30 September 2020 and 31 December 2020

## H. Lessons Learned

### The Virtual/remote supervision mission 2020

Due to the COVID19 pandemic, travel restrictions have been set up in Vietnam which inhibits the travel of experts to the project provinces. IFAD has set up a remote supervision mission with the whole supervision team working from their home base – Hanoi. Implementation of a remote supervision carries various negative effects on the performance and results of the mission including: (i) When the mission communicates with the project via technology, nonverbal cues are lost, rendering the mission's less effective when it comes to controlling, coaching, helping, and setting goals for the mission and the project; (ii) Geographical distance can also hinder real-time communication, reducing mission's ability to quickly support staff and partners; and (iii) Mission-project/partners separation also reduces non-task interaction, significantly hampering the mission's ability to foster project/partners' engagement, reinforce strengths and idiosyncrasies, and take individual staff/partners' personal and social situations into account during task execution. However, there are various positive aspects of a remote supervision that were learnt during the AMD remote supervision mission:

- Understand the context: A good or bad remote supervision always relies on: (i) task complexity, (ii) work configuration, and (iii) mission member's experience. Technically complex tasks increase the negative effects of separation. The time it takes the mission and the project to finish them increases considerably. However, when the task is technically simple or it is made clear and simple, whether the mission is "close" or "far" does not affect much the supervision mission's performance. The work configuration (in other word – the familiarity of the project and partners with the project activities and the supervision mission's tasks) is important factor. When the work configuration is well understood with experienced project staff and partners at the same work place, then the separation from the supervision mission does not seem to affect the performance of the supervision mission. Finally, the supervision mission would become much more difficult if the mission members do have little or no understanding on the nature of the supervision and on the project. To this extent, experience members who used to work together in the same supervision mission, who had knowledge and understanding on the project would help the mission fill the gaps of a remote supervision mission.
- Good preparation: remote supervision would require a careful preparation, especially in view of technology. Equipments and facilities must be prepared and well tested for the office meetings and field visits. To this extent, significant time (and resource) must be allocated to check the quality and to adjust/update accordingly.
- Creativeness makes people become more interested: remote supervision mission makes people temporarily get out of their routine (regular supervision). Therefore it receives even more attention, hence commitment from project, partners, and communities. Good preparation and arrangement of technology really amazed partners, especially local communities. For example, a regular field visit would come first with meeting with farmers/groups then visiting their fields or other way around. With support from technology, mission and farmers discuss, at the same time there is a team going to their fields and to video them so that everyone can witness. This way of arrangement makes farmers become proud so they share everything that might rarely happen during a regular supervision mission.

## **The Automated Salinity Water Quality and Monitoring System (ASWQMS) Applicability**

The progress of this activity is behind the schedule for almost two years with five times extension of deadline. Until 17 August, 2020, the implementation of various services has not completed putting the ASWQMS in the risk of not being fully operational by the project completion. Among others, management capacity of the international contract was the key constraint causing delays to the implementation of the system. The following lessons learnt are drawn:

- The contract management is affected by complicated administrative procedures, insufficient coordination, and limited capacity of PCUs, DONREs and the consultant (Stiching Deltares). Specifically, (i) PCUs and DONREs are unfamiliar with the international procurement of the water quality and salinity monitoring system which has caused a long delay; (ii) coordination between PCU and DONRE of two provinces and between these agencies and the consultant is limited leading to confusion during implementation; (iii) PCU, DONRE staff have limited capacity and human resource in proactively supervising the TA ; (iv) the presence of the consultant in the field is limited creating a gap in communication and technical exchange; (v) the contribution of the consultant to resolving issues affecting the overall ASWQMS is limited; and (v) lack of clarity in responsibilities between PCU, and DONREs of two provinces in implementation leading to ineffective coordination between these units.
- Even, when the international contract has been signed, the communication between the client and the service provider remains a big problem. It was difficult for the service provider to travels in between countries, provinces to provide their services. The service provider then sub-contract to a local company to do so, causing significant transaction costs as well as timing for re-preparation of the administrative procedures.
- The project design team should be more realistic in addressing the above issues during the design. At the same time, IFAD (ASAP fund manager) should be more flexible in guiding the project throughout the contract management issues. There are competent and eligible local service providers (e.g. My Lan group) which could be much better in providing the services relating to the ASWQMS. Such service providers should have been eligible to join the bidding process.

## **Value chain development**

Value chain development is not always feasible in all communes targeted on poverty grounds, especially those in the more remote and more disadvantaged areas, where lead firms (or other private investors) have no interest to invest. To leverage greater investment from private sector for inclusive and sustainable value chain development in rural areas, timely and accessible credit is critical, as are certain non-financial support services<sup>[1]</sup>.

Value chain development is confined to no administrative boundary. Previous value chain development projects often pre-selected target communes, with subsequent equal budget allocation, for project interventions. This has inhibited the value

chain out-reach, as well as, the convergence of value chain investments. Future value chain development should respect its outreach as defined by market and/or driven by private sector.

[1] Non-financing support might include: (i) private sector consultations for planning of public infrastructure investments; (ii) land identification and land allocation for producers and processors; (iii) development of improved farming technologies and introduction of new varieties; (iv) grass root coordination of farmer groups and delivery of technical support services; (v) market information workshops to link farmer groups with the enterprises, and facilitation of enterprise-led technical services; and (vi) support and training for business and production planning.

## **Innovative and systematic approaches for Climate Change Adaptation interventions Applicability**

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. Lessons learnt of PPP were well packaged and disseminated both at regional and national level. Policy advocacy was also well organised by the project and IFAD. As results, the PPP instrument is rolled-out to all IFAD projects in Vietnam. It is mainstreamed in the Government Decree 57 on engagement of enterprises in agriculture development. The PPP template and financial analysis table are used as templates for enterprises developing the proposals for financial support under Decree 57.

## Mainstreaming Climate Change Adaptation in planning and implementation of project activities

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. Initial impacts of project interventions on climate change adaptation were approved with concrete evidences. River embankments and sluices invested under AMD helped to regulate fresh water for agricultural production and to mitigate salinity intrusion into cultivation lands (paddy rice, coconut, fruit trees, etc.) during a prolonged drought and salinity intrusion from December 2019 to June 2020 in Mekong Delta. Shifting from paddy rice to climate-resilient crops and livestock were replicated by farmers following successful CCA/CFAF production models. Salinity monitoring buoys and stations installed in rivers and canals in Tra Vinh province with a mobile phone application for dissemination of real-time salinity data and information helps farmers to regulate proactively sluice gates for keeping fresh water for agricultural cultivation and mitigating salinity intrusion. As results, loss due to heavy drought and salinity was avoided for winter – spring paddy areas in some project communes in Tra Vinh in 2020. A pilot smart pest monitoring system installed in 6 districts of Tra Vinh helps provincial/ district plant protection agencies and farmers making right decision in effective use of pesticide. Project instruments and interventions such as climate informed SEDP, CCA/CFAF models, climate resilient community infrastructure, digital extension and salinity monitoring, etc. have potentials for replication through national programs (NTP-NRD, NTP-SPR) in the situation of obviously increasing impacts of climate change in Mekong Delta.

## I. Agreed Actions

<i>Agreed Action</i>	<i>Responsibility</i>	<i>Agreed Date</i>
<b>Overview and Project Progress</b>		

<b>Complete installation and commissioning of ASWQMS equipment and applications</b>	Complete installation and commissioning of ASWQMS equipment and applications DONRES, PCUs	09/2020
<b>TA consultant to fulfil the remaining works as agreed under the international TA contract.</b>	Stichting Deltares, DONRES, PCUs	09/2020
<b>Both provinces: Transfer a vehicle from PCU to WDF after AMD closing; Consolidate equipment and facilities for district branches; Continue to improve staff capacities and mobilize additional capital for the WDFs</b>	WDFs	09/2020
<b>Complete the CIF work contracts implementation under the AWPB 2020 before the project completion date.</b>	Ben Tre PCU, DPCs, CPCs	09/2020
<b>Both WDFs: Conduct a survey on the rationales why various SCG members leave WDF services in order to update the strategic business plans and to identify measures to assist the overdue borrowers.</b>	WDFs	12/2020
<b>Ben Tre: Complete procedures to register the WDF as an MFI with State Bank of Vietnam; In line with AMD completion workshops, cooperate with SBV to organize a workshop on MFI development experience.</b>	WDF Ben Tre PCO, SBV	12/2020
<b>Tra Vinh: Prepare Strategic Business Plan 2021-25 and formal application to SBV for MFI registration</b>	WDF Tra Vinh	12/2020
<b>Prepare and monitor closely a detailed plan for completion and operation of ASWQM system before the project completion date.</b>	DONRES, PCUs	
<b>Continue allocation of annual recurrent budget for district and commune SEDP planning and capacity building for all districts/communes in Ben Tre and Tra Vinh after 2020.</b>	PCU, DPI, DOF	
<b>Financial Management &amp; Execution</b>		
<b>Review the distribution of Counterpart fund among components:</b>  The discrepancies of counterpart fund distribution among components were identified and require clear justification from both PCUs.	Both PCUs	09/2020
<b>WA submission:</b>  Submit separate WA(s) to cover the period of July 2020 to 30 September 2020 (Project completion date) for all completed activities by date	PCUs - Ben Tre and Tra Vinh	11/2020
<b>WA submission:</b>  Submit separate WA(s) to cover the period of July 2020 to 30 September 2020 (Project completion date) for all completed activities by date	PCUs - Ben Tre and Tra Vinh	11/2020

<b>Ben Tre - WDF - Adjust VND 658 997 929 of provision and agree on the method of calculation for provision expenses and other incomes</b>  Finding #4.b - Ben Tre ML	Ben Tre PCU, WDF branches and transaction offices	12/2020
<b>Ben Tre - Seek for consultation to diversify products of Women's Development Fund</b>  Finding #4.a - Ben Tre ML	Ben Tre PCU	12/2020
<b>Ben Tre - Monitor better the performance of PPP fund investment</b>  Fiding #3 - Ben Tre ML: PCU should improve the control and fulfill the objectives of PPP fund investment; seek for consultations to prepare performance evaluation reports and details of financing indicators which should be carried out independently and objectively.	Ben Tre PCU	12/2020
<b>Ben Tre - Timely accelerate the approval of implementation progress</b>  Finding #2 - Ben Tre ML- Recommendation para 2: As the project will be completed by 2020, Department of Natural Resources and Environment of Ben Tre should work with related parties to proactively advise PPC in timely accelerating the approval of implementation progress and ensuring its effectiveness.	Ben Tre Department of Natural Resources and Environment	12/2020
<b>Tra Vinh - Timely design the appropriate forms of completion of PPP fund for controls and management.</b>  Finding #3 - Tra Vinh ML- Recommendation para 2:	Tra Vinh PCU	12/2020
<b>Tra Vinh - Prepare annual disbursement report of PPP fund and progress report of sponsorship contracts</b>  Finding #3 - Tra Vinh ML- Recommendation para 1: Project should archive adequately documents of all sub-projects in separate files; prepare annual disbursement report of PPP fund and progress report of sponsorship contracts; supervise the implementation status; follow the instructions of the manual on the implementation report.	Tra Vinh PCU	12/2020
<b>Tra Vinh - Speed up construction progress and complete the report on the implementation progress of monitoring stations</b>  Finding #2 - Tra Vinh ML- Recommendation para 3: As the project will be completed by 2020, Department of Natural Resources and Environment of Tra Vinh should work with related parties to urge and inspect the construction of the contractor's stations to speed up onstruction progress and complete the report on the implementation progress of monitoring stations	Tra Vinh PCU, Department of Natural Resources and Environment	12/2020
<b>Tra Vinh - Separate funds by capital sources by District Finance Division when approving the completed project settlement to ensure data reconciliation</b>  Finding #1 - Tra Vinh ML-Recommendation para 2	Tra vinh PCU and District Finance Division	12/2020

<p><b>Tra Vinh - accelerate the approval of CCA sub-project settlement</b></p> <p>Finding #2 - Tra Vinh ML - Recommendation para1: It is recommended by the auditors that PCU should request District Finance Division to accelerate the approval of CCA sub-project settlement.</p> <p>PCU should provide additional information on CCA fund performance manual for control and monitoring the achievements.</p> <p>PCU should develop a comprehensive strategy to expand the successful CCA models to households belonging to and not belonging to the project area.</p>	Tra Vinh PCU, District Finance Division	12/2020
<p><b>Tra Vinh - Prepare budget plan for beneficiary's capital to compare actual performance and the budget</b></p> <p>Finding #2 - Tra Vinh ML - Recommendation para 2: The auditors recommended that PCU and related departments need to prepare budget plan for beneficiary's capital to compare actual performance and the budget as well as to serve as a reliable basis for financial statement finalization.</p>	Tra Vinh PCU and related departments	12/2020
<p><b>Tra Vinh - Speed up construction progress and complete the report on the implementation progress of monitoring stations</b></p> <p>Finding #2 - Tra Vinh ML - Recommendation para 3: As the project will be completed by 2020, Department of Natural Resources and Environment of Tra Vinh should work with related parties to urge and inspect the construction of the contractor's stations to speed up construction progress and complete the report on the implementation progress of monitoring stations</p>	Tra Vinh PCU, Department of Natural Resources and Environment	12/2020
<p><b>Tra Vinh - Accelerate implementation process and Allocate fund in accordance with FA and AWPB</b></p> <p>Finding #1 - Tra Vinh ML- Recommendation para 1: The PCU should consult and recommend the Provincial Steering Committee to allocate the fund and also coordinate with implementing units to proactively accelerate implementation process to achieve approved budget plan</p>	Tra Vinh PCU	12/2020
<p><b>Ben Tre - Accelerate implementation process and Allocate fund in accordance with FA and AWPB</b></p> <p>Finding #1 - Ben Tre ML: The PCU should consult and recommend the Provincial Steering Committee to allocate the fund and also coordinate with implementing units to proactively accelerate implementation process to achieve approved budget plan</p>	Ben Tre PCU	12/2020
<p><b>Financing Closing Procedure:</b></p> <p>Two provinces to review the WAs to ensure that only IFAD eligible amount is included. Any tax element should be fully covered by counterpart funding.</p>	PCUs - Ben Tre and Tra Vinh	12/2020
<p><b>WA submission:</b></p> <p>Submit separate final WA to cover winding up expenditures (audit fee).</p>	PCUs - Ben Tre and Tra Vinh	12/2020



<b>Financing Closing Procedure:</b>  Two provinces to review the WAs to ensure that only IFAD eligible amount is included. Any tax element should be fully covered by counterpart funding.	PCUs - Ben Tre and Tra Vinh	12/2020
<b>WA submission:</b>  Submit separate final WA to cover winding up expenditures (audit fee).	PCUs - Ben Tre and Tra Vinh	12/2020
<b>Ben Tre - Accelerate the approval for settlement of CFAF sub-project</b>  Finding #2 - Ben Tra ML - Recommendation para 1: PCU should urge District Finance - Planning Division to accelerate the approval for settlement of CFAF sub-project	Ben Tre PCU	

## **Viet Nam**

---

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

### **Supervision Report**

### **Logical Framework**

Mission Dates: 16-27 August 2020

Document Date: 28/09/2020

Project No. 1100001664

Report No. 5508-VN

Asia and the Pacific Division  
Programme Management Department



# 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 (2020)	Cumulative Result (2020)	Cumulative Result % (2020)	Source	Frequency	Responsibility	
Outreach	1.a Corresponding number of households reached							Project M&E system	Annual		
	Women-headed households			30 000		60 274	200.9				
	Non-women-headed households					30 048					
	Households					90 322					
	1 Persons receiving services promoted or supported by the project							Project M&E system	Annual		
	Females			60 000		150 454	250.8				
	Males			65 000		193 819	298.2				
	Indigenous people					62 160					
	Total number of persons receiving services					344 273					
	1.b Estimated corresponding total number of households members							Project M&E system	Annual		
	Household members			125 000		361 286	289				

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2020)	Cumulative Result (2020)	Cumulative Result % (2020)	Source	Frequency	Responsibility	
<b>Project Goal</b> 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 - Tra Vinh province			40							
	reduction in malnutrition - Ben Tre province			40							
	30,000 poor and near poor HHs with at least 25% improvement in household assets ownership index							Baseline studies, Project mid-term evaluation, & Project completion evaluation			
	Households			30 000							
	60% poverty reduction in project communes							Business enterprise records □ CPRP annual reports			
	poverty reduction - Ben Tre										
	poverty reduction - Tra Vinh										
	Females										
	poor										

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2020)	Cumulative Result (2020)	Cumulative Result % (2020)	Source	Frequency	Responsibility	
<b>Development Objective</b> 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										
	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							

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2020)	Cumulative Result (2020)	Cumulative Result % (2020)	Source	Frequency	Responsibility	
	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							
<b>Outcome</b> 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							
	At least 80% of provincial communes and districts have adopted a community-based disaster risk management plan and community adaptation plan										
	communes - Ben Tre			80							
	communes - Tra Vinh			80							

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2020)	Cumulative Result (2020)	Cumulative Result % (2020)	Source	Frequency	Responsibility	
<b>Output</b> 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										
	Females										
	Indigenous people										
	At least 6 value chains identified							DARD, DoNRE, TVU; Project M&E system; Project baseline studies, mid-term & completion evaluations			
	VCs			14							
<b>Output</b> 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							



Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2020)	Cumulative Result (2020)	Cumulative Result % (2020)	Source	Frequency	Responsibility	
<b>Output</b> 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)
	Females										
	Males										
	Total household members			125 000							
	Individuals engaged in NRM and climate risk management activities							DARD, DoNRE, TVU; Project M&E system; Project baseline studies, mid-term & completion evaluations	Annual		
	Males										
	Total			30 000							
	Females										
	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							
	Group members - females										
	Group members - males										
	Group members - total										

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2020)	Cumulative Result (2020)	Cumulative Result % (2020)	Source	Frequency	Responsibility	
<b>Output</b> 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							
<b>Output</b> 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							

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2020)	Cumulative Result (2020)	Cumulative Result % (2020)	Source	Frequency	Responsibility	
<b>Outcome</b> 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 - Tra Vinh			5							
	non-performing loans - Ben Tre			5							
	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 - Ben Tre			50							
	Households - Tra Vinh			50							
	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 - Tra Vinh			30							
	percentage increase - Ben Tre			30							

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2020)	Cumulative Result (2020)	Cumulative Result % (2020)	Source	Frequency	Responsibility	
	2.2.1 New jobs created							WU records; Business enterprises records, Project baseline studies, mid-term and completion evaluations	Annual		
	Job owner - men										
	New jobs			300							
	Job owner - women										
	2.2.2 Supported rural enterprises reporting an increase in profit							WU records; Business enterprises records, Project baseline studies, mid-term and completion evaluations	Annual		
	Number of enterprises			100							
<b>Output</b> 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							
	1.1.5 Persons in rural areas accessing financial services							RIMS report	Annual		
	Total number of accesses to financial services					33 496					

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2020)	Cumulative Result (2020)	Cumulative Result % (2020)	Source	Frequency	Responsibility	
	Women in rural areas accessing financial services - savings					16 097					
	Indigenous people in rural areas accessing financial services - savings					6 623					
	Women in rural areas accessing financial services - credit					17 399					
	Indigenous people in rural areas accessing financial services-credit					4 900					
	Total persons accessing financial services - savings					16 097					
	Total persons accessing financial services - credit					17 399					

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2020)	Cumulative Result (2020)	Cumulative Result % (2020)	Source	Frequency	Responsibility	
	value of gross loan portfolio							RIMS report	Annual		
	loan portfolio										
	Value of voluntary savings							RIMS report	Annual		
	savings										
<b>Output</b> 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							
	Biennial agriculture finance conferences held in each AMD province							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations			
	conferences										
<b>Output</b> 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 - Tra Vinh			100							
	communes - Ben Tre			100							

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2020)	Cumulative Result (2020)	Cumulative Result % (2020)	Source	Frequency	Responsibility	
	New or existing rural infrastructure protected from climate events (US\$' 000/Km)							RIMS report	Annual		
	Value			8 000							
<b>Output</b> Poor and near poor HHs can affordably invest in profitable climate adaptation technology	At least 6000 households co-financed to invest in climate resilient farming system							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	Households			6 000							
	Males										
	Females										
	Indigenous people										
	poor										
	10,000 HHs replicate CFAF model							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	Households			10 000							
	3.1.2 Persons provided with climate information services							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	Females					35 385					
	Males					66 520					
	Persons provided with climate information services			30 000		101 905	339.7				

Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2020)	Cumulative Result (2020)	Cumulative Result % (2020)	Source	Frequency	Responsibility	
	2.1.2 Persons trained in income-generating activities or business management							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	Females					11 791					
	Males					11 087					
	Indigenous people					4 442					
	Persons trained in IGAs or BM (total)			4 000		22 878	572				
<b>Output</b> 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							
	At least 3,600 HHs benefitted from PPP models							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	Males										
	Females										
	Poor										
	Total number of people			3 600							



Results Hierarchy	Indicators							Means of Verification			Assumptions
	Name	Baseline	Mid-Term	End Target	Annual Result (2020)	Cumulative Result (2020)	Cumulative Result % (2020)	Source	Frequency	Responsibility	
	Number of contracts between enterprises and farmers signed after workshops							WU records; Business enterprise records; Project baseline studies, mid-term & completion evaluations	Annual		
	contracts										

## **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: 16-27 August 2020  
Document Date: 28/09/2020  
Project No. 1100001664  
Report No. 5508-VN

Asia and the Pacific Division  
Programme Management Department



**Table 1A: AMD Ben Tre - Actual Financial Performance by financier**

(amount in USD)

Financier	Approval	Disbursements (upto 31/07/2020)	Pending WAs	Cummulative disbursement after pending WAs	% disbursed
IFAD Loan	10,931,000	9,014,581.85	900,045.41	9,914,627.26	90.70%
IFAD grant	6,002,000	4,330,734.91	496,820.84	4,827,555.75	80.43%
Government	3,844,000	3,505,388	247,155.13	3,752,543	97.62%
Beneficiaries	3,884,000	5,850,690		5,850,690	150.64%
<b>Total</b>	<b>24,661,000</b>	<b>22,701,395</b>	<b>1,644,021.37</b>	<b>24,345,416</b>	<b>92.05%</b>

**Table 1B: AMD Ben Tre - Financial Performance by financier by component upto 31/07/2020**

(Amount in USD '000)

Component		IFAD Loan			IFAD Grant			Government			Beneficiaries			Total		
		Approval	Actual	%	Approval	Actual	%	Approval	Actual	%	Approval	Actual	%	Approval	Actual	%
1	Building adaptive capacity	915,000	1,029,803.34	112.55%	5,029,000	3,363,158.40	66.88%	1,199,000	222,325	18.54%	-		0.00%	7,143,000	4,615,287	64.61%
2	Investing in sustainable livelihoods	8,587,000	7,017,175.82	81.72%	755,000	903,032.01	119.61%	1,859,000	2,094,962.00	112.69%	3,510,000	5,850,690	166.69%	14,711,000	15,865,860	107.85%
3	Project management	1,429,000	967,602.68	67.71%	218,000	64,544.51	29.61%	786,000	1,188,101	151.16%	374,000		0.00%	2,807,000	2,220,248	79.10%
	<b>Total</b>	<b>10,931,000</b>	<b>9,014,581.84</b>	<b>82.47%</b>	<b>6,002,000</b>	<b>4,330,734.92</b>	<b>72.15%</b>	<b>3,844,000</b>	<b>3,505,388.27</b>	<b>91.19%</b>	<b>3,884,000</b>	<b>5,850,690</b>	<b>150.64%</b>	<b>24,661,000</b>	<b>22,701,395</b>	<b>92.05%</b>

**Table 1C: AMD Ben Tre - Loan Disbursements - 200000433 (SDR as at 31/07/2020)**

Code	Categories	Original Allocation	Allocation	Reallocation	Disbursements	WA pending	WA Pending for Recovery Amount (USD)	Balance after WA pendings	% disbursed
200003	Works	1,330,000	1,729,000	2,300,000	1,849,265	84,626.11	503,247	(137,139)	80.40%
200011	Equipment and material	260,000	260,000	201,000	198,967	-		2,033	98.99%
200008	Consultancies	430,000	430,000	105,000	104,344	-		656	99.38%
200019	Training	800,000	800,000	430,000	432,228	1,223.06		(3,451)	100.52%
200010	Credit guarantee funds	1,050,000	1,050,000	1,058,000	1,057,351	-		649	99.94%
200012	Grant and Subsidies A	1,010,000	1,111,000	1,425,000	1,354,804	6,387.50		63,809	95.07%
200031	Grant and Subsidies B	580,000	780,000	838,000	774,680	-		63,320	92.44%
200016	Operating Costs	380,000	380,000	213,000	192,860	42,117		(21,977)	90.54%
200018	Salaries and Allowances	560,000	560,000	530,000	497,900	-		32,100	93.94%
	Unallocated	700,000	-			-		-	
270001	Authorised allocation	-	-	-	503,247	-	(503,247)	-	-
	<b>Total</b>	<b>7,100,000</b>	<b>7,100,000</b>	<b>7,100,000</b>	<b>6,965,646</b>	<b>134,354</b>	<b>-</b>	<b>(0)</b>	<b>98.11%</b>

**Table 1C: AMD Ben Tre - Grant Disbursements - 200000434 (SDR as at 31/07/2020)**

Code	Categories	Original Allocation	Allocation	Reallocation	Disbursements	WA pending	Recovery Amount (USD)	Balance	% disbursed
200028	Equipment and material	300,000	652,000	809,000	524,933.38	277,594	6,473	-	64.89%
200024	Consultancies	1,010,000	1,010,000	1,058,000	920,465.72	78,763	58,772	-	87.00%
200029	Training	1,610,000	1,610,000	1,125,000	978,331.21	138,601	8,068	-	86.96%
200031	Grant and Subsidies	440,000	478,000	696,000	650,963.51	36,636	8,400	-	93.53%
200034	Operating Costs	140,000	140,000	64,000	8,520.04	40,072	15,408	-	13.31%
200035	Salaries and Allowances 2	-	-	138,000	38,020.59	42,494	57,486	(0)	27.55%
	Unallocated	390,000	-	-		-		-	
270001	Authorised allocation	-	-	-	154,606.13	-	(154,606)	-	0.00%
	<b>Total</b>	<b>3,890,000</b>	<b>3,890,000</b>	<b>3,890,000</b>	<b>3,275,841</b>	<b>614,160</b>	<b>(0)</b>	<b>(0)</b>	<b>84.21%</b>

**Table 1A: AMD Tra Vinh - Actual Financial Performance by financier**

(amount in USD' 000)

Financier	Approval	Disbursements (upto 31/07/2020)	% disbursed
IFAD Loan	11,130,000	10,015,169	89.98%
IFAD grant	6,033,000	5,060,011	83.87%
Government	3,800,000	3,755,864	98.84%
Beneficiaries	3,885,000	7,800,717	200.79%
<b>Total</b>	<b>24,848,000</b>	<b>26,631,761</b>	<b>107.18%</b>

**Table 1B: AMD Tra Vinh - Financial Performance by financier by component upto 31/07/2020**

(Amount in USD '000)

Component		IFAD Loan			IFAD Grant			Government			Beneficiaries			Total		
		Approval	Actual	%	Approval	Actual	%	Approval	Actual	%	Approval	Actual	%	Approval	Actual	%
1	Building adaptive capacity	909,000		0.00%	5,028,000	2,951,013	58.69%	1,161,000	140,721	12.12%	-		0.00%	7,098,000	3,091,734	43.56%
2	Investing in sustainable livelihoods	8,723,000	8,480,687	97.22%	750,000	1,865,785	248.77%	1,857,000	2,492,606	134.23%	3,885,000	7,800,717	200.79%	15,215,000	20,639,794	135.65%
3	Project management	1,498,000	1,534,483	102.44%	254,000	243,213	95.75%	782,000	1,122,537	143.55%			0.00%	2,534,000	2,900,233	114.45%
	<b>Total</b>	<b>11,130,000</b>	<b>10,015,169</b>	<b>89.98%</b>	<b>6,032,000</b>	<b>5,060,011</b>	<b>83.89%</b>	<b>3,800,000</b>	<b>3,755,864</b>	<b>98.84%</b>	<b>3,885,000</b>	<b>7,800,717</b>	<b>200.79%</b>	<b>24,847,000</b>	<b>26,631,761</b>	<b>107.18%</b>

Table 1C: AMD Tra Vinh - Loan Disbursements - 200000433 (SDR as at 31/07/2020)

Code	Categories	Reallocation	Disbursements	Balance	% disbursed	WA Recovery	Balance after pending WAs
200027	Works	2,886,200	2,425,037.04	461,162.96	84.02%	461,162.96	-
200028	Equipment and material	122,000	121,051.49	948.51	99.22%		948.51
200024	Consultancies	75,200	75,048.27	151.73	99.80%		151.73
200029	Training	444,400	444,130.35	269.65	99.94%		269.65
200030	Credit guarantee funds	1,092,000	1,091,741.13	258.87	99.98%		258.87
200032	Grant and Subsidies A	1,322,000	1,321,498.37	501.63	99.96%		501.63
200033	Grant and Subsidies B	428,200	364,301.41	63,898.59	85.08%		63,898.59
200034	Operating Costs	420,000	422,260.33	(2,260.33)	100.54%	67,803.53	(70,063.86)
200035	Salaries and Allowances	460,000	455,965.12	4,034.88	99.12%		4,034.88
	Unallocated	-	-	-			-
270002	Authorised allocation	-	539,573.32	(539,573.32)		(539,573.32)	-
	<b>Total</b>	<b>7,250,000</b>	<b>7,260,606.83</b>	<b>(10,606.83)</b>	<b>100.15%</b>	<b>(10,606.83)</b>	<b>(0.00)</b>

Table 1C: AMD Tra Vinh - Grant Disbursements - 200000434 (SDR as at 31/07/2020)

Code	Categories	Reallocation	Disbursements	Balance at 31 July 2020	% disbursed at 31 July 2020	WA pending (WA 23+24)	WA recovery (WA 25+26)	Balance after pending WAs
200011	Equipment and material	627,000	304,647.76	322,352.24	48.59%	230,029.11	92,323.13	-
200008	Consultancies	810,000	724,330.48	85,669.52	89.42%	65,000.00	20,669.52	-
200019	Training	1,160,000	1,051,745.11	108,254.89	90.67%	85,408.40	22,846.49	-
200012	Grant and Subsidies A	1,163,000	740,839.32	422,160.68	63.70%	422,160.68		(0.00)
200016	Operating Costs	80,000	10,208.18	69,791.82	12.76%	13,686.24	56,105.58	-
200018	Salaries and Allowances	90,000	13,070.48	76,929.52	14.52%	20,613.21	56,316.31	-
	Unallocated	-	-	-	0.00%	-		-
270002	Authorised allocation 2	-	696,602.13	(696,602.13)	0.00%	(448,341.11)	(248,261.02)	0.00
	<b>Total</b>	<b>3,930,000</b>	<b>3,541,443.46</b>	<b>388,556.54</b>	<b>90.11%</b>	<b>388,556.54</b>	<b>(0.00)</b>	

## **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: 16-27 August 2020  
Document Date: 28/09/2020  
Project No. 1100001664  
Report No. 5508-VN

Asia and the Pacific Division  
Programme Management Department





## Appendix 2: Physical progress measured against AWP&B (As of 15 August, 2020)

### Ben Tre province

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
C1	<b>Component 1:</b> <b>Building adaptive capacity</b> <b>Objective: A comprehensive agriculture sector CC adaptation management framework operating with participating communities, institutions of the province</b>		No. of different viable pro-poor climate resilient farming system packages , each adopted by more than 400 poor & near poor households	4	NT	33		18	171	84		95	387
			% of farmers and enterprises in project communes able to articulate climate-informed SEDP. (poverty/gender)	70%	NT					71%			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
			% of farmers and aquaculturists registered with automated salinity monitoring system that use salinity updates for water-use decision making.	70%	NT					80%			
SC1.1	Sub-Component 1.1: Climate change knowledge enhancement												
1.1.1	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.	TBM	NT	33		18	171	84		95	387

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
			Main contents related to DRM/CC identified, then integrated into SEDP.	TBM	NT								
			% of trained people are able to apply knowledge to develop value chain development plan.	70%	NT					100%			
		No. of CC value chains identified.	No. of value chains being implemented effectively.	4/6 VC	NT					18			
	<b>Output 1.1.1: Studies/farming models for climate resilient production developed</b>	No. of model of cultivation system adaptable to climate change to be surveyed and test at suitable scale		7		33		18	171	84		95	387

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
		No. of households participate in the test of climate resilient farming models.		280	TBM	574				1,040	371%		
		No. of people trained in value chain, market access, and economic analysis.		TBM						18,658		11,100	4,369
1	1.1.1.1 Implementing adaptive studies (studies forwarded from 2019/ new studies with integrating with some technical support of the Dutch delegation)	List approved		1	6					8	800%	15	11
		No. of consultant working months			18					29			
		No. bidding packages			6					8			
2	1.1.1.2 Consulting on reviewing, analyzing and proposing climate change adaptation system packages (including	No. of consultant working months			3					3			
		No. technology news			13	2				9			
		No. bidding packages			1					1			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
	forwarding 2019)												
3	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 2019)	number of activities done			50	2				364			
		stakeholders of VCs			5,000	171	3%	71	14	13,066		4,044	599
		No. bidding packages			15	1				2			
4	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	courses held			13	7				31			
		Participants attended			1.600	173		89		2,453		790	4

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
	climate change) (including forwarding 2019)												
5	1.1.1.5 Implementation of sustainable livelihoods models adapted to climate change (including new models and transition models from 2019)	Number of models			2	33		96	171	84		173	387
		Number of package			2	1				34			
6	1.1.1.6 Support for VietGAP certification, GlobalGAP / clean brand- name for some key agricultural products of the province and district (including forwarding 2019)	Number of certifications			14					43			
		Number of package			10					10		2,168	542
7	1.1.1.7 TA on capacity building for SMEs in rural areas, PPP-				3					3			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
	involved enterprise associated to provincial agricultural value chains in the context of climate change adaptation (including forwarding 2018)				1					1			
1.1.2	<b>Output 1.1.2: A sustainable salinity monitoring system with web-based open source database established</b>	An automatic water-quality monitoring system invested and put into use.	Near real time updates from automated salinity monitoring system disseminated	TBM	TBM								
			% of households using the water quality testing equipment for water-use decision making in their production practice	80	NT								
		No. of households (groups) provided and trained in using the salinity monitoring equipment.		1,000						653	65%	184	546



No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
		Water quality testing equipment supplied.		TBM						653		184	546
8	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 2019)	W/m of experts			3	7	233%			43			
9	1.1.2.2 Monitor the use of handheld sensors provided	Number of households provided								653		184	546

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
10	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 2019)	Sensor stations built			20	20	100%			20			
		No. bidding packages			20	3				15			
11	1.1.2.4 Workshop on the development and operation of automatic monitoring system,	Number of workshop			1					2			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
	dissemination of access to information for user groups, evaluation of system development, promotion services, piloting in the first two years (including forwarding 2019)	Participants attended			150					120		35	
12	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 2019)	Number of training courses			4					3			
		Number of participants attended			100					84		27	

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
13	1.1.2.6 Equipment investment of the Center for Environmental Monitoring of Water Quality (implementation within 2017-2018) including 2019 transitional funds	No. bidding packages			1					1			
14	1.1.2.7 Organizing research and study tours about monitoring systems for executives and leaders in another country	Number of training			1								
		Number of participants attended			15								
14	1.1.2.8 Construction of an automated monitoring station operator (including forwarding 2019)	No. bidding packages			1					1			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
1.1.3	<b>Output 1.1.3: Climate change adaptation knowledge management and dissemination</b>	No. of peer-reviewed scientific papers/resilient models.	No of successful researches/models published in scientific papers.	TBM	TBM	3				3			
		Turns of TOT trained		NT						110		34	
		Turns of people trained under FFS and others		NT						8,580		2,445	2,935
15	1.1.3.1 Organize and participate in training courses, seminars, technology fairs/markets/ev ents on climate change adaptation knowledge management (including forwarding 2019)	Number of courses held			18					24			
		Number of participants attended			2,600					4,774		2,063	1,895
16	1.1.3.2 Organize experience sharing study tours for farmer -to- farmer groups with cooperative groups (including forwarding 2019)	Number of training			20					6			
		Number of participants attended			1,000					345		141	

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
17	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 2019)	Number of service contract			6	4	67%			23			
		No. bidding packages			6	4	67%			23			
18	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			32					120			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
		Number of participants attended			1,600					4,582		1,656	1,245
19	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 2019)	No. of service contracts			10	2	20%			31			
		No. bidding packages			10	2	20%			31			
20	1.1.3.6 Replicating successful models of climate change adaptation with revolving funds	No. of models			50	72	144%			72			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
	in the form of result-based farmers-teach-farmers (including forwarding 2018)	Number of households attended			500	815	163%	169	279	815		169	279
<b>SC1.2</b>	<b>Sub-Component 1.2: Climate-informed planning</b>												
<b>1.2.1</b>	<b>Output 1.2.1: Community based adaptation and disaster risk mitigation planning</b>	Turns of concerned line agencies and villagers trained in DRM/CC.		NT	TBM					7,456		2,131	1,631
			% of trained people are able to apply knowledge to develop SEDP	70%	NT					over 70%			
21	1.2.1.1 Conduct capacity building activities for staff at all levels and the community. Hold the activities mainstreaming	No. of activities complemented			50					157			



No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
	with the climate change adaptation action plan for the period 2018-2020 (including forwarding 2019)	Number of participants attended			2,500					9,737		2,827	1,929
22	1.2.1.2 Develop the activities to enhance capacity building for the implementing agencies at all levels (including forwarding 2019)	No. of activities complemented			1					1			
		Number of participants attended			100					147		66	0
23	1.2.1.3 TA for the activities related to climate change (including forwarding 2018)	No. of consultant working months			9					3			
		No. bidding packages			2					1			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
1.2.2	<b>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</b>	DARD's, DoNRE's and DPT's provincial-level CC Action Plans updated & integrated into sectorial priorities for the 2016- 2020 and 2021-2024 SEDP.		6	TBM					6	100%		
		Turns of people trained in SEDP		NT	TBM					2,592		652	
			% of staff trained are knowledgeable about climate-informed market oriented SEDP process	70%	TBM					over 70%			
		No. of people involved in the process of setting up the SEDP		TBM	TBM					122,468		49,079	32,553

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
			% of SEDP ensures the efficiency on elements: (i) Adaptation to climate change, (ii) market	100%						100%			
24	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 2019)	W/m of experts			2					2			
		No. bidding packages			1					1			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
25	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 in the province	Number of training			11					47			
		Number of participants attended			600					2,798		725	
26	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	No. of events			17					46		759	

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
	officials at all levels in and outside the project areas (including forwarding 2019)												
27	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								Commune SEDPs of 157 communes / wards and district SEDPs of 9 districts / city (100% due to the merger of some communes / wards in 2019 from 164 to 157)			
28	1.2.2.6 Update the District SEDP Manual (where favourable changes) and organize the consultation workshop (including forwarding 2018)	No. of consultant working months			3					3			
		No. bidding packages			1					1			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
29	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			1					1			
		No. bidding packages			1					1			
30	1.2.2.9 Building a notebook to guide the process of monitoring and evaluating commune-level socio-economic development plans (including forwarding 2019)	No. of consultant working months			2					2			
		No. bidding packages			1					1			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
1.2.3	<b>Output 1.2.3: Policy dialogues on pro-poor CC adaptation agricultural and rural development organized</b>		Pro-poor CC adaptation rural agricultural strategies developed.	NT	TBM					6			
		No of trainings/workshop/events on CC policy.		TBM						158			
		Turns of people trained.		TBM						15,680		8,979	11,484
31	1.2.3.1 Meetings, dialogue with the poor, near poor and staffs in charge of poverty reduction at all levels (including forwarding 2019)	No. of meetings			62					125			
		No. of participants			8,965					13,618		8,457	11,461
32	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 getting opinions	W/m of experts			3					3			
		No. bidding packages			1					1			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
	contributing for the project. (including forwarding 2019)												
33	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			3					3			
		No. bidding packages			1					1			
C2	<b>Component 2: Investing in sustainable livelihoods Objective: Increased sustainability and effectiveness of CC adaptation investments</b>		% max non-performing loans in WU SCG portfolios	5%		0.44%				0.44%			
			% of rural HHs with increased income of at least 30% from wage and non-farm-sector employment	30%		85%				84%			



No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
			New enterprises / cooperatives environmental sustainability remain profit operation after the project completion.	50						177	354%		
		% of households (in need of credit) in project communes are able to access credit for climate resilient farming activities		50%						85%			
SC2.1	Sub- component 2.1 Rural finance for resilient livelihoods												
2.1.1	Output 2.1.1 New WU's Savings and Credit Groups established	No of SCGs established		580		94				2,137	368%		
		No of SCGs' members participated		5,800		1,053		842	315	10,647	184%	8,517	3,194

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
34	2.1.1.1 Establishment of new SCGs in project communes (reviewing CFAF household groups, enterprises in need of capital)	Number of groups established				94		842	315	2,137		8,517	3,194
	<b>Output 2.1.2:</b> <b>Current credit</b> <b>network of</b> <b>WU's Social</b> <b>Fund</b> <b>transformed</b> <b>into viable</b> <b>Micro-Finance</b> <b>Institutions</b> <b>capable of</b> <b>financing</b> <b>private</b> <b>farmers,</b> <b>traders and</b> <b>commercial</b> <b>value chains</b>	MFI established		1	NT								
35	2.1.2.1 TA to support the action plan for conversion of Social Fund's operations to MFIs licensed by the State Bank;	No. of consultant working months			12	6	50%			21			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
	TA for MFI-led implementation; Evaluate and make changes to the fund management software according to scale of development (including transitional payments from 2019).	No. bidding packages			4	2	50%			7			
36	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) (including forwarding 2019)	No. of consultant working months			3	3	100%			3			
		No. bidding packages			1	1	100%			1			
37	2.1.2.3 Advanced training for WDF staffs on microfinance management (professional organization)	No. of training courses			7					26			
		No. of participants			105					359		316	

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
2.1.3	<b>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</b>		% value of loans of SCGs used for climate-smart farming systems	50%	1					78%			
			% of rural finance disbursed	100%	TBM					100%			
		No of people accessed credit		TBM	TBM	1,053		842	315	10,647		8,517	3,194
38	2.1.3.2 Organize the micro-finance workshops (including forwarding 2018)	No. of seminar			1					1			
		No. of participants			100					98		78	
SC2.2	<b>Sub-component 2.2 Investing in climate change adaptation</b>												
2.2.1	<b>Output 2.2.1: Climate resilient, risk mitigation, small-scale commune works and infrastructure constructed</b>	No of works invested		TBM		16				71			
		No of amount invested in resilient infrastructure		5 millions USD		0.491				6.47	129%		
		No of beneficiaries		TBM		10,269		4,227	836	98,579		39,903	14,917

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
			% of beneficiaries confirm the relevance & effectiveness of project financed commune works and investments.	80%						43% of households assessed the suitability of the works and 52% of households rated the quality of works well.			
			Area of aquacultural and agricultural production irrigated and protected from salinity intrusion	NT		350 hectares				2.400 hectares			
			Productivity and yield increased	NT		Yields of coconut, pomelo, and durian have been significantly increased such as: coconut fruit increased from 300-500 fruits / ha, durian from 0.5 tons -1 tons / ha, pomelo from 0.3 tons -0, 5 tons / ha				The group of works to prevent salinity, regulate the water helps to increase yield and output of agricultural products by 5% - 10% due to reduction of shrinkage rate in production, harvesting and transportation.			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
			Increased market access level	NT		The market access level will be increased as coconut increases from 500-1,000 VND / 1 fruit, durian 5,000 VND- 10,000 VND / 1 kg; pomelo from 3,000 VND-5,000 VND / 1 kg				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)			
39	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				16				71			
40	2.2.1.2 Training on community supervision, force account for community	No. of training courses								8			
		No. of participants								501		83	

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
	groups												
2.2.2	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.		1,500		381		275	194	5,097	340%	2,659	3,549
		No of CFAF amount invested in co-financing for climate change adaptation.		2.2 millions USD		0.325				3.379	154%		
		No of people provided training with skills on preparing sub- projects/business plans.		2,000						3,332	167%	1,719	1,799
			% people (groups) trained are able to prepare business proposals.	70%						72%			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
			No of amount contributed by beneficiaries	at least 2.2 millions USD						3,450	157%		
			No of households replicate CCA models	5,000		13				8,874	177%		
40	2.2.2.1 Appraise, approve and implement proposals for use of the CFAF (including transitional payments from 2019)	No of amount invested (CFAF funding and counterpart funding).			80	17	21%	275	194	657		2,659	3,549
41	2.2.2.2 Appraise and select models/ subproject proposals (including forwarding 2019)	No. of sub-project of 30 communes			80	17	21%			657			



No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
42	2.2.2.4 Replicating successful models of climate change adaptation with revolving funds in the form of result-based farmers-teach- farmers (including forwarding 2019)	No. of models			50	72	144%			72			
		Number of households attended			500	815	163%	169	279	815		169	279
2.2.3	<b>Output 2.2.3: P-PP fund allocated competitively, enabling SMEs, CIGs &amp; Co-ops to invest in sustainable, climate- sensitive production &amp; raise working standard and</b>	Budget amount invested in PPP		0.9 millions USD						1.29	143%		
			Amount of counterpart fund from involved enterprises	at least 0.94 millions USD						2.07	220%		

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
	<b>opportunities for laborers</b>	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		25						20	80%		
		No of households benefited from PPP models.		1,800						6,123	340%	2,404	1,683
		No of sustainable jobs generated from PPP models.		150						2,047	1365%	1,147	684

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
		No workshops/dialogues to promote local products and create opportunities for market linkages (PPP) organized		TBM						41		677	318
			% people trained in vocational skills having stable jobs (for at least 6 months).	50%						100%			
			Number of contracts between enterprises and farmers signed after workshops.	TBM						2,745			
43	2.2.3.1 Appraise PPP proposals, approve and disburse for winning PPP proposals (including transitional payments from	No of enterprises/cooperatives financed			8					20			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
	2019)												
2.2.4	<b>Output 2.2.4 Lack of production land laborers received vocational training for employment and income</b>		% labors in vocational skills having stable jobs (for at least 6 months)	50%		85%				61.05%			
44	2.2.4.1 Training on skills, rural vocational training associated with job creation (commune income generation group) (including forwarding 2019)	No. of vocational training courses			14	2	14%			63			
		No. of participants			250	40	16%	40	28	1,346		1,144	815
2.2.5	<b>Output 2.2.5 A center for testing and examination of shrimp seed quality established</b>	A center established and put into use since PY3.		1	NT					1	100%		

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
45	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			1					1			
46	2.2.5.2 Training and capacity building for managers and laboratory technicians (including forwarding 2018)	No. of training courses			1					1			
		No. of participants			3					2		1	
47	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			1					1			
		No. bidding packages			1					1			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
C3	<b>Component 3. Project coordination:</b> - <b>Objective: Project activities coordinated and implemented to achieve its objectives and progress; ensure effective financial management, well-conducted procurement and on time reporting</b>	Number of people trained in project management		NT		143		54		1,917		833	
3.1	<b>Output 3.1 Project management organization at all levels established</b>	% female project staff at all levels		50%		38%				38%			
48	3.1.1 Hold Provincial Project Steering Committee's periodic meetings/ inter-provincial meetings twice a year (including forwarding 2019)	No. of meetings			2	1	50%			16			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
49	3.1.2 TA on strategic management for the project	No. of consultant working months			12					3			
		No. bidding packages			1					1			
50	3.1.3 Procure a 7-9 seat- vehicle	No. bidding packages			0					0			
50	3.1.4 Procure office equipment for PCU, DCO and some implementing agencies. (including forwarding 2019)	No. bidding packages			1					6			
3.2	<b>Output 3.2 Capacity of project management staff developed and enhanced</b>		% project staff at all levels satisfied the job requirements	100%	TBM	100%				100%			
51	3.2.1 Organize bi-annual/annual progress assessment workshop and deploy AWPB workshops (including forwarding 2019)	No. of workshops			18	9	50%			43			
		No. of participants			1,100	535	49%	184		2,113		575	

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
52	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 2019)	No. of events			6					26		89	
53	3.2.3 Organize and participate in sharing events and learning experiences with other province's PCUs (including forwarding 2019)	No. of events			2					7			
		No. of participants			40					191		63	
		No. bidding packages			2					5			
54	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 (including	No. of workshops			2					4			
		No. of participants			80					113		41	
		No. bidding packages			2					3			



No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
	forwarding 2019)												
55	3.2.5 Training on project management and coordination skills for PCU, DCO, CDB and implementing agencies (including forwarding 2019)	No. of training courses			6					22			
		No. of participants			300					981		499	
		No. bidding packages			3					11			
3.3	<b>Output 3.3 The M&amp;E system established and effectively operated</b>	% M&E reports timely developed		100%	100%	100%				100%			
56	3.3.1 Organize annual outcome survey and evaluate performance to the end of term; End -Term RIMS survey and evaluate 03 Fund sources (PPP, CFAF and CIF) at the end of the period (including	No. of surveys		4	5	4	80%			8	200%		
		No. of consultant working months			15	12	80%			24			

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
	forwarding 2019)	No. of consultancy packages			6	6	100%			9			
57	3.3.2 M & E training, improve foreign language and computer skills for project staffs at all levels (including forwarding 2019)	Number of training			2	1	50%			10			
		No. of participants			60	59	98%	23		436		157	
		No. bidding packages								2			
58	3.3.3 Organize study tours on M&E with other IFAD projects (including forwarding 2019)	Number of training			1					2			
		No. of participants			40					51		17	
		No. bidding packages			1					2			
3.4	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		6	NT	1				6	100%		
59	3.4.1 Conduct financial audit 2018 and 2019, 2020 (including	No. of consultancy packages		6	3	1	33%			6	100%		

No.	Objectives/ Expected results	Indicators		Implementation targets									
		Physical/ monitoring indicators	Impact indicators (RIMS, surveys)	Appraisal (total)	Planned (2019- 2020)	Achieved (8 months of 2020)				Achieved (Cumulative)			
						Achieved	%	Female	Poor	Achieved	%	Female	Poor
1	2	3	4	5	6	7	8	9	10	11	12	13	14
	forwarding 2019)												
60	3.4.2 Conduct periodic internal control	No. of times of internal control			2	1	50%			6			
3.5	<b>Output 3.5 Operation cost of project coordination units at all levels</b>		% of project management units at all levels timely settle the recurrent cost	90%	NT	100%				100%			
61	3.5.1 Pay salaries and allowances for project staffs at all levels (including forwarding 2019)	Lump sum				6,984,304,608 VND				49,762,097,973 VND			
62	3.5.2 Pay recurrent cost at all levels; payment for translation and interpretation costs (including forwarding 2019)	Lump sum				819,179,693 VND				7,743,427,788 VND			

**Tra Vinh province**

Objectives/Expected Results	Indicators		Implementation targets						In which (No. of beneficiaries)		
	Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
<b>Component 1: Building adaptive capacity - Objective: A comprehensive agriculture sector CC adaptation management framework operating with participating communities, institutions and provinces</b>	At least 30,000 turns (Ben Tre: 15,000; Tra Vinh: 15,000) trained on climate-informed farming system and technology.(**)		15.000	NT	101.272	680%	8.142	-	34.789	25.794	25.107
		70% of households and agro-businesses in project communes able to articulate climate-informed SEDP.(**)	NT		70,4	100%	-	-	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	-	95% registers decided to use the data of system to make a decision on water use	136%	0	0	26/119 people (22%)	10/119 people (9%)	0

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of beneficiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
			At least 8 different viable pro-poor climate resilient farming system packages, each adopted by more than 400 poor & near poor households	08	NT	06 packages – 748 households	75%	-	-	301	183	239
<b>Subcomponent 1.1. Climate Change Knowledge Enhancement</b>												
<b>1.1.1: Participative development of gender sensitive models for farmers &amp; aquaculturists to formally engage in climate resilient, profitable, production.</b>												
1.1.1.6	Implement testing/demonstrating models in agriculture and aquaculture sectors	Nr. of models tested		08	NT	40	500	-	-	20	23	10
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	100	-	-			
		Nr. of hhs participated in each model		NT	-	8	40	-	-	1	0	0
1.1.1.6.4	Pay the testing models in 2018 moved to 2019	Nr. of models tested		NT	-	40	100	-	-			
		Nr. of hhs participated in each model		NT	-	209	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	-	-	-	-	-	-	-

Objectives/Expected Results			Indicators		Implementation targets						In which (No. of beneficiaries)		
			Project	RIMS survey	Approved (total )	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
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	-	9	90	-	-				
		Nr. of people participated		NT	-	419	41,9	-	-	-	-	-	-
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	-	2	200	-	-				
		Nr. of people participated		NT	-	130	130	-	-	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	TBM	1	100	1	100	-	-	-	-
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	TBM	1	100	1	100	-	-	-	-
1.1.1.4.13	Organize investment promotion activities, market connection,		Nr. of events organized	NT	TBM	81	-	36	-	-	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of beneficiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
	value chain survey (provincial, district and commune levels); market linkage events (workshops, access to businesses, forums, fairs, .....		Nr. of people participated	NT	TBM	1.966	-	765	-	756	590	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 recognized on standard and quality	Nr.of groups/cooperative supported	NT	1	6 products, 471,55 ha	-	1 product, 28 ha	-			
1.1.1.4.16	Workshop to announce and promote recognized products that meet the needs of quality standards	Nr. of workshop organized		NT	TBM	517	-	45	100	-	-	-
		Nr. of people participated		NT	TBM	128	-	128	-	41	33	18
1.1.1.4.17	Quickly review priority value chains to identify priority actions, budgets and resources (Implement the agreed action of the 2019 supervision mission)	Nr. of value chains evaluated, recommended, suggested		NT	1	1	100	1	100			
<b>1.1.2:Develop the automated salinity monitoring stations and the multifunctional data platform</b>												
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 TraVinh Provinces	Nr of stations installed, operated		30	15	-	-	-	-	-	-	-
1.1.2.4	Train staff to operate the monitoring system	Nr. of events organized		NT	TBM	-	-	-	-			
		Nr. of people participated		NT	TBM	-	-	-	-	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of beneficiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
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
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
1.1.2.1.4	Install automatic monitoring buoys in-fields to serve aquaculture: salinity, pH, temperature	Nr. of monitoring buoys installed		NT	10	6	60	-	-	-	-	-
1.1.2.1.5	Purchase rainwater tanks for poor households affected by salinity in the project area (1,000L)	Nr. of hhs provided tanks		NT	-	2.000	100	-	-	870	956	2.000
1.1.2.1.6	Pilot the smart pest monitoring system	Nr. of systems installed		NT	10	10	100	10	100			
1.1.2.1.6	Purchase computers for smart insect monitoring system management	Nr. of computers bought		NT	2							
<b>1.1.3: Knowledge management and dissemination</b>												
1.1.3.3.3	<b>Systemize the knowledge outputs</b>											
1.1.3.3.1	Document success stories from CCA, PPP, WADF Funds	Nr. of success stories released		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	-	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	-	208800	-	-	-			
1.1.3.3.3.4	Print propaganda materials on policies to support agricultural and rural developmen	Nr. of publications shared		NT	-	24300	-	-	-			



Objectives/Expected Results		Indicators		Implementation targets						In which (No. of beneficiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
1.1.3.3.5	Workshop on renewable energy use for facilities and enterprises in the province	Nr. of workshop organized		NT	-	2	100	-	-			
		Nr. of people participated		NT	-	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 provinces	Nr. of events organized		NT	4	2	50	-	-			
	nguyên các tỉnh miền núi phía bắc	Nr. of people participated		NT	50	41	82	-	-	18	5	
	Organize meetings, field visits to share experiences in implementing CCA model, ... among project communes, CGs inside and outside the project area	Nr. of events organized		NT	-	84	164	2	-			
		Nr. of people participated		NT	-	1913	133	38	-	711	595	435
1.1.3.4	<b>Training of trainers (ToT)</b>											
1.1.3.4.2	Training in trademark building, brand design; Market access skills for officials of departm	Nr. of courses organized		NT	-	2	-	-	-			
		Nr. of people trained		NT	-	107	-	-	-			
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	100	-	-			
		Nr. of people trained		NT	-	204	100	-	-	-	-	-
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	100	-	-			
		Nr. of people trained		NT	-	14	46,7	-	-	-	-	-
1.1.3.4	Training for	Nr. of courses organized		NT	-	2	100	-	-			

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of beneficiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
.2	households/organizations on coconut seedling production technique (FFS method, including cost of buying coconut seedling to grow)	Nr. of people trained		NT	-	58	97	-	-			
1.1.3.4	Training for households/organizations on intensive coconut planting techniques according to VietGAP standard (FFS method)	Nr. of courses organized		NT	-	6	100	-	-			
.2		Nr. of people trained		NT	-	179	95,5	-	-			
1.1.3.4	Training in adaptive production technique for households and CGs invested by CCA Fund	Nr. of courses organized		NT	TBM	453	241	-	-			
.2		Nr. of people trained		NT	TBM	11.177	190	-	-	4160	6333	767
1.1.3.4	Other workshops / conferences, training courses	Nr. of courses organized		NT	TBM	-	-	-	-			
.2		Nr. of people trained		NT	TBM	-	-	-	-			
<b>1.2: Climate-informed SEDP</b>												
<b>1.2.1: Preparation activities to integrate disaster risk reduction and community based adaptation into SEDPs</b>												
1.2.1.3	Workshops to introduce the provincial climate change scenarios to districts and town/cit	Nr. of workshops organized		NT	-	8	100	-	-			
		Nr. of people participated		NT	-	395	61,7	-	-	-	-	-
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	100	-	-	-	-	-
1.2.1.5	Workshops to introduce the provincial climate change scenarios and automatic salinity monitoring system	Nr. of workshops organized		17	-	21	-	-				
		Nr. of people participated		NT	-	1.804	-	-	-	514	679	298
<b>1.2.2: The Provincial Department of Planning &amp; Investment have guidelines and tools for market oriented, climate smart SEDP planning and the capacity to</b>												

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of beneficiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
<b>independently train district and commune staff in market oriented strategic planning</b>												
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	-	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	-	35	-	-	-			
		Nr. of people participated		NT	-	1.097	256	208	-			
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 Nr. of people participated		NT	-	139	3475	4	100	-	-	-
				NT	-	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	-	2	200	-	-	-	-	-
		Nr. of people participated		NT	-	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	100	1	100			

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of beneficiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
<b>1.2.3. Policy dialogues</b>												
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 agencies		NT	1	1	100	1	100			
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 agencies		NT	1	1	100	1	100			
1.2.3.1 2	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			
1.2.3.1 2	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	-	-	-
1.2.3.1 0	Cover salaries and allowances for staff of CCCO	Timely support from AMD to ensure the operation of CCCO		6	NT	5	500	1	100	-	-	-
1.2.3.1 1	Cover the operating costs for the CCCO	Timely support from AMD to ensure the operation of CCCO		6	NT	5	500	1	100	-	-	-
1.2.3.1 2	Workshops to deploy policies of agriculture	Nr. of workshops organized		NT	-	1	11	-	-			

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of beneficiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
		Nr. of people participated		NT	-	60	14	-	-	28	0	0
1.2.3.13	Hire consultants to develop the farmer-to-farmer manual	Nr. of manual approved		NT	-	1	100	1	100			
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	NT	1	100	1	100			
<b>Component 2: Investing in sustainable livelihoods - Objective: Increased and more inclusive financing for market oriented, climate smart agriculture and agri-business investments</b>		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	267	NT	45	-	-	-	-
			Less than 5% non-performing loans in WU SCG portfolios	5	NT	1,1	22	1,1	22	-	-	-
<b>Sub-component 2.1: Rural finance for Resilient Livelihoods</b>												
<b>2.1.1: New SCGs established</b>												
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	100	1	100	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of beneficiaries)		
		Project	RIMS survey	Approved (total )	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
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	-	2	200	-	-	-	-	-
2.1.1.7	Training in capacity building for Fund's staff at all levels	Nr. of courses organized		NT	-	229	2291	5	50			
		Nr. of people trained		NT	-	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	100	-	-			
		Nr. of people trained		TBM	-	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	-	-	-	-	-	-	-
2.2.1.1 2	Disburse investments for construction works in 2019	Nr. of Km		NT	6	149	-	6	100	-	-	-
		Nr. of beneficiaries		30	926	21.679	-	926	100			

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of beneficiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
<b>2.2.1.2 Center for certification and evaluation of aquatic breed quality</b>												
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	100	1	100	-	-	-
<b>2.2.2: Poor and near poor households can affordably invest in profitable climate adaptation technology</b>												
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	100	1	1	-	-	-
		Nr. of people participated		NT	-	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	-	153	373	34	83	-	-	-
		Nr. of people participated		NT	-	9178	365	2214	88	3273	3281	3304
2.2.2.1.2	Training in adaptive production techniques for households and collaborative groups invested from the Co-financing Fund	Nr. of courses organized		NT	-	507	352	54	38	-	-	-
		Nr. of people participated		NT	-	12069	500	892	37	4160	6333	4771
2.2.2.1.3	Workshop to evaluate and withdraw experience on the replication of CCA Fund	Nr. of workshops organized		NT	-	26	-	-	-	-	-	-
		Nr. of people participated		NT	-	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		192	291	61	92	-	-	-
		Nr. of people participated		NT	-	9152	415	4158	189	1450	653	721
2.2.2.1.1	Hire consultants to comprehensively evaluate the	Nr. of consultants hired		NT		2	200	-	-	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of beneficiaries)		
		Project	RIMS survey	Approved (total )	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
	effectiveness of investment, impact and replication of the livelihoods invested by CCA Fund 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	-	1112	-	204	1063			
		Nr. of hhs/CIGs/CGs supervised and evaluated		NT	-	1112	356	204	64,7	-	-	-
2.2.2.10	Disburse CCA Fund for households, CGs / Cooperatives	Nr. of hhs/CIGs/CGs co-financed		NT	-	890	-	-	-			
		Nr. of beneficiaries		3000	-	7474	-	-	-	3600	3662	4375
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	-	-100	1	100	-	-	-
		Nr. of people participated		NT	300	132	44	132	44	29	11	
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	-	109	-	-	-			
			Nr. of people participated	NT	-	4.389	-	-	-	1779	2028	1775
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	-	25	167	2	14	-	-	-
2.2.3.7	Activities to support enterprises to implement financed subprojects	Nr. of supporting activities		NT	-	16	100	2	100	-	-	-
2.2.3.9	Hire consultants to develop subprojects for the projects to	Nr. of people/month hired		NT	-	1	50	-	-	-	-	-



Objectives/Expected Results		Indicators		Implementation targets						In which (No. of beneficiaries)		
		Project	RIMS survey	Approved (total )	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
	access PPP Fund											
2.2.3.1 1	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	-	3	300	1	100			
		Nr. of people participated		NT	-	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	100	-	-	-	-	-
2.2.3.1 2	Workshop to review Public Private Partnership (PPP) Fund and display products	Nr. of event organized		NT	1	1	100	1	100			
		Nr. of people participated		NT	200	37	18,5	37	18,5	9	-	-
2.2.3.1 0	Disburse PPP capital for the subprojects that are being implemented	Nr. of subprojects				18						
		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	9	78	-	9	100	-	-	-
		Nr. of people participated		NT	225	2,641	-	304	135	1359	1099	697
2.2.4.4	Other training courses, workshops, conferences, ..	Nr. of events organized		NT	TBM	-	-	-	-	-	-	-
		Nr. of people participated		NT	TBM	-	-	-	-	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of beneficiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
<b>Component 3. Project Coordination</b>												
<b>Objective: Project activities being coordinated and implemented to achieve 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</b>												
<b>3.1: The project management system at all levels established</b>												
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 provinces	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	7	7	100	7	100	172	155	-
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			
<b>3.2: Required equipment for project management and implementation procured</b>												
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	-	-	-
<b>3.3: The M&amp;E system and reporting ensured in line with IFAD requirement</b>												

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of beneficiaries)		
		Project	RIMS survey	Approved (total)	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
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	1	100	-	-			
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			-	-			
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	-	-	-
<b>3.4: Lessons learned, success cases and best practices shared and replicated</b>												
3.4.1	Receive and work with missions to the project	Nr. of missions		NT	NT	33	100	3	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	-	-	-

Objectives/Expected Results		Indicators		Implementation targets						In which (No. of beneficiaries)		
		Project	RIMS survey	Approved (total )	AWPB 2019	Achieved (cumulative)	% (cumulative)	AWPB 8/2019	% (2019)	Female	Khmer	Poor, near-poor
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 + royalties)			NT	NT	16	100	-	-	-	-	-
3.4.7	Other workshops, training courses	Nr. of events organized		NT	TBM	5	100	5	100	-	-	-
		Nr. of participants		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	6	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	-	-	-	-	-
3.5.4	Hire consultants to revise archived documents and appraise plans to handle assets at the project completion according to the regulation of the Ministry of Finance			NT	1							

## **Viet Nam**

---

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

#### **Supervision Report**

#### **Appendix 3: Compliance with legal covenants: status of implementation**

Mission Dates: 16-27 August 2020  
Document Date: 28/09/2020  
Project No. 1100001664  
Report No. 5508-VN

Asia and the Pacific Division  
Programme Management Department



### Appendix 3: Compliance with legal covenants: status of implementation

Section	Covenants	Target/ Action due	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	The PCUs shall have been duly established.		Complied	

Section	Covenants	Target/ Action due	Status	Remarks
E.2.a				
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	
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/Recipient. Para 5	Taxes 5. The proceeds of the Financing may not be used to pay taxes		Partially	During SOE random checks, it was identified that the VAT under WA 16 paid by IFAD contribution of USD 15 100 (10% of total taxes) which should be paid using Government contribution.
Letter to the Borrower/Recipient.	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		Complied	



Section	Covenants	Target/ Action due	Status	Remarks
Para 24	<p>goods packages: (i) National competitive bidding applied for packages with estimated cost equivalent or exceeding USD 60,000;</p> <p>(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 canals, storages, etc. with the estimated cost less than USD 30,000;</p> <p>(iv) Direct contracting could be applied for very small packages with estimated cost less than USD 5,000.</p>			
Letter to the Borrower/Recipient. 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/Recipient. 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	

Section	Covenants	Target/ Action due	Status	Remarks
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	

## **Viet Nam**

---

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

### **Supervision Report**

### **Appendix 4: Technical background analysis**

Mission Dates: 16-27 August 2020  
Document Date: 28/09/2020  
Project No. 1100001664  
Report No. 5508-VN

Asia and the Pacific Division  
Programme Management Department



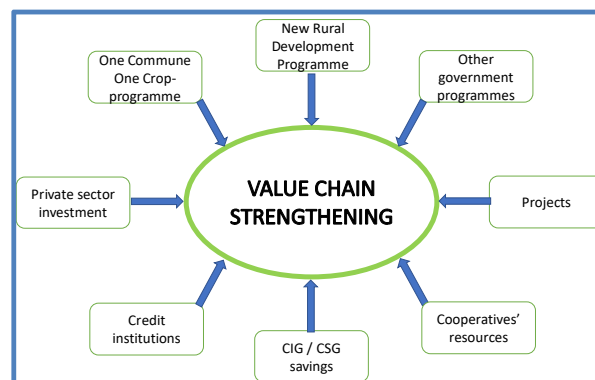
## Appendix 4: Technical background analysis

This technical background analysis paper was developed during the supervision mission in 2019 as a purpose to help the project properly implement the exit strategy. The paper remains valid for the AMD during the final stage of project implementation. It is therefore kept as an appendix for continuous utilisation of the project.

### **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.

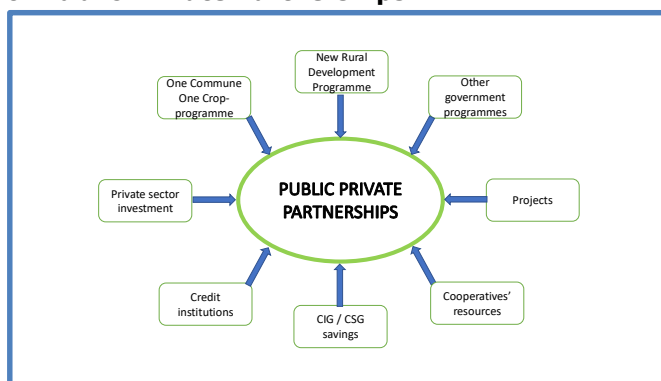
1. Establish commodity platform	1.1	Confirm selection of priority value chains
	1.2	Identify a broad set of stakeholders including producers, input suppliers, buyers and retailers, processing industry, financiers, research and government agencies
	1.3	Identify formal representatives for this value chain in stakeholder organisations: <ul style="list-style-type: none"> <li>• A stakeholder agency willing to engage is a partner</li> <li>• Their contact person for the value chain is the partner representative</li> <li>• A meeting of partner representatives on the value chain is a commodity platform meeting.</li> </ul>
	1.4	Agree with partners on joint planning to improve the value chains during the last months of AMD and beyond <ul style="list-style-type: none"> <li>• Define commodity platform chairperson and secretary (non-AMD; lead partner)</li> <li>• Establish commodity platform</li> </ul>
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: <ul style="list-style-type: none"> <li>• Ease of implementation;</li> <li>• Expected effect;</li> <li>• Availability of resources from within the partners (see diagram)</li> </ul>
	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.

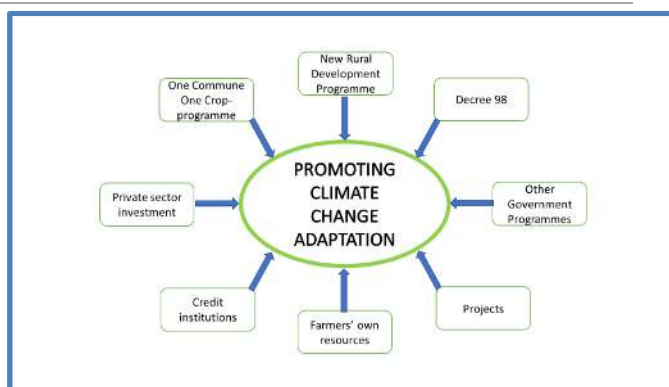
The table suggest steps and actions that result in the **responsibility for PPP facilitation formally being assumed by a coordinating agency**. The steps are generic and need to be tailored to the specific situation in the Province and / or the value chain.



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 <ul style="list-style-type: none"> <li>• Number of beneficiaries integrated as input providers</li> <li>• Employment generated</li> <li>• Inputs and capacity building provided to targeted beneficiaries</li> <li>• Financial self sufficiency</li> <li>• Level of institutionalisation</li> <li>• Tax contributions</li> </ul>
	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: <ul style="list-style-type: none"> <li>• Technical and capacity requirements (high, medium, low)</li> <li>• Marketability of products (high, medium, low)</li> <li>• Adaptation potential (high, medium, low)</li> <li>• Affordability (high, medium, low)</li> </ul>
	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 and development 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
<b>Pro-poor impact</b>		
<b>Climate change adaptation/mitigation impact</b>		
<b>Ease of application</b>		
<b>Potential for replication</b>		
<b>Total</b>		

## 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 <ul style="list-style-type: none"> <li>Trends in membership</li> <li>Challenges in target group identification (definition of poor)</li> <li>Use and impact of credit</li> <li>Alternative sources of pro-poor finance</li> </ul>
	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 WDF 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: <ul style="list-style-type: none"> <li>Group-lending for joint activities</li> <li>Differential interest rates for different types of activities</li> <li>Savings programmes for school-going youth</li> </ul>
	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.

### **Partnership-Building**

The table provides a brief overview of partners and their role (sometimes various roles) in the Project.

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

## **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: 16-27 August 2020  
Document Date: 28/09/2020  
Project No. 1100001664  
Report No. 5508-VN

Asia and the Pacific Division  
Programme Management Department



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

### **Terms of Reference**

**COUNTRY OF ASSIGNMENT/LOCATION:** Socialist Republic of Vietnam

**MISSION NAME:** Adaptation to Climate Change in the Mekong Delta Project in Ben Tre and Tra Vinh provinces (AMD) – Supervision Mission 2020

**MISSION START AND END DATES:** 16-27 August 2020

**COUNTRY PROGRAMME MANAGER:** Thomas Rath, Country Director for Vietnam

#### **MISSION COMPOSITION:**

**Nguyen Ngoc Quang, Team leader**

**Nguyen Thanh Tung, Institutions and Rural Finance Specialist**

**Phan Duy Toan, Planning, Infrastructure and Procurement Specialist**

**Mrs Irene Li, Financial Management Specialist**

#### **BACKGROUND:**

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. In order to ensure proper project completion, the Government of Vietnam and IFAD have agreed to extend the project completion until 30 September 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 Adaptation to Climate Change in the Mekong Delta Project in Ben Tre and Tra Vinh provinces is in its 5th year of implementation<sup>10</sup>. The project experienced a slow start but has managed to catch up in terms of implementation progress. During the SM2019, the AMD overall indicator 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. Noted concerns for AMD during the supervision mission in 2019 include:**

- i. **Fund allocation.** Inadequate liquidity for implementing all intended project activities – In both provinces, national budget allocations for the AWPB during 2019 were inadequate. Implementation was partly ensured by advancing provincial budget resources but full approval by MPI on the project expenditure structure until its completion has yet to be obtained. This has led 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. As the final category allocations are not formalised within the country administration, the Project's enhanced ambition with respect to rural infrastructure and matching grants for climate adaptation activities has been placed on hold by the project management;

---

<sup>10</sup> Key dates: Start-up : 28/3/2014  
Completion date: 30/9/2020  
Closing date: 31/12/2020

- ii. **Saline water monitoring.** Around USD 2.5 million from the ASAP grant has been reserved for the establishment of an Automated Salinity and Water Quality Monitoring System (ASWQMS) in the Departments of Natural Resources and Environment (DONRE). The weak co-ordination by both provincial MONREs amplified the long delay of the completion the system with all required elements, and diminishes the opportunity to have salinity forecast tool ready crop and aquaculture farmers before project completion. Moreover, the delay precludes the possibility for the required testing, finetuning and dissemination during the project period;
- iii. **Exit strategy.** Both projects have prepared an Exit Strategy, while the implementation of the former lacks the full integration of successful AMD approaches in day-to-day routines and most importantly adequate budget allocations of the relevant agencies and institutions in the two provinces. Instruments, such as public-private partnerships, climate adaptation models and climate-informed and consultation-based planning are at risk of being discontinued and not being replicated after project completion. There is an urgent need for clear hand-over related responsibilities and mobilisation of non-AMD budgets during the project implementation period.

At the last supervision mission, IFAD and the provincial authorities had agreed that the project takes immediate steps (i) to ensure adequate budget allocation for project completion; and (ii) to ensure that the ASWQMS becomes operational before project completion; and (iii) to utilise the extended implementation period for designing a proper exit strategy. During the latter, lessons learnt need be compiled, activities be handed-over to assigned institutions, and adequate budget resources be mobilised to ensure replication of successful instruments in and outside the project area.

## MISSION OBJECTIVES AND OUTPUTS:

**Mission objectives:** This mission will be the final supervision before the project completes on 31 December 2020. The objectives of the 2020 supervision mission will be to: (i) assess project progress and performance against the AWPB 2019 and 2020, overall project goals, objectives and outcomes and the action plan as per IFAD approval letter on project extension in 2020; (ii) review the implementation of agreed actions from recent supervision and support missions held in 2019 and 2020. A particular focus should be placed on the use of the ASAP grant and the especially the Automated Salinity and Water Monitoring system; (iii) identify any other issues that has affected project implementation and formulate remedial actions; (iv) assess the quality and status of the exit strategy and project preparations for the completion; agree on steps to ensure the institutionalisation of proven project approaches and lessons learned for replication and scaling-out; (v) Assess the plans and schedule for the project completion and closing including the integration of final end line survey with the Impact Assessment (by IFAD-RIA) and drafting the project completion report.

**Mission outputs:** Aide-memoire and supervision report for both provinces in the IFAD format summarising the findings and recommendations. Appendixes as per IFAD supervision template;

The team leader is responsible for the timely preparation of the Aide Memoire and final draft supervision report in line with IFAD's reporting requirements. Each specialist is held accountable for timely submission of their written technical inputs to the AM and the final report and appendices; as required and agreed with the team leader, each specialist prepares a technical note as appendix to the final draft supervision report in the format as required by IFAD. Submissions to the final report need to be delivered no later than 3 days after the last field day. The complete draft supervision report should be submitted no later than 5 days after the last field day.

## INDIVIDUAL RESPONSIBILITIES, EXPECTED OUTPUTS AND REQUIRED COMPLETION DATES

**Mr. Nguyen Ngoc Quang, the Team Leader** will lead the team and be responsible for drafting the supervision report. He will lead consultations with government representatives, relevant NGO and private sector to obtain their views on the project implementation. The team leader assigns specific tasks to the team members and agrees with them on their respective contributions to the mid-term review report. The team leader will guide the team in review of the project extension plan, overview the balance of components and activities towards achieving the project goal and

objective, implementation arrangements and addressing IFAD relevant key strategic approaches: targeting, climate change adaptation, gender and nutrition ( in close collaboration with all experts).

In addition, the team leader will cover the technical review of the:

- Subcomponent 1.1 including 1.1.a – Evidence base for adaptation; and 1.1.c - Knowledge management and dissemination;
- Subcomponent 1.2 including 1.2.c - Climate Change Policy Dialogue;
- Subcomponent 2.2 including 2.2.b – Adaptation Fund, and 2.2.c – Public Private Partnership Fund;
- M&E arrangements and reporting systems at all levels;
- Preparation and schedule of project completion including endline survey and project completion report and its integration with the Impact Assessment carried out IFAD-RIA;
- Discussions how the modalities contribute to an adaptation of small producers and enterprises to the changing climate /natural environment and how they contribute to more sustainable and remunerative livelihood options for the AMD target group;
- Review of other subsidiary sections including targeting, poverty focus, gender, climate change adaptation, and other social sections.

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

**Mr. Phan Duy Toan, Infrastructure/Procurement Specialist**, will include:

- A review of the subcomponent 1.1.b - Water quality monitoring and reporting;
- An assessment of the subcomponent 1.2.a - Climate-Informed Commune and District SEDPs and 1.2.b - Climate-informed Provincial SEDP;
- An assessment of the appropriateness of small scale civil works (subcomponent 2.2.a - Community Investment Fund) implemented by the project to date in terms of costs/quality/sustainability and in particular for integration with the climate-informed SEDP. In addition the quality and appropriateness and quality of the overall procurement processes under the project should be assessed in collaboration with the Financial Specialist.
- A review of subsidiary sections including coherent of AWPB, quality of participation, lessons learnt, and others;

The expert will outline changes to implementation arrangements, as required to support the project in achieving its development objectives. As appropriate and mutually agreed with the team leader, the expert will take on additional responsibilities.

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

- Based on the financial reports prepared by the project, review the financial performance by expenditure category and component to assess the project's overall financial performance to date against (i) appraisal and (ii) approved AWPBs since project start. Review the cumulative status of funds by category of expenditure, approved AWPB and the project commitments (contracts signed not paid) in order to estimate the adequacy of funds and the potential need for category reallocations. Summarize the reasons for significant variances between expected and actual disbursement rates. Identify actual or potential problems and bottlenecks;
- Discuss the status of preparation of the annual financial statements (if relevant for the period). Validate the latest IFR, if applicable;



- 
- Review availability of counterpart funds (government and beneficiaries), identifying bottlenecks if any. Verify that the value of in kind contributions from government and beneficiaries, if any, are estimated and recorded by the project;
  - Assess regularity of WA preparation. Recommend concrete measures to ensure faster and more efficient disbursements. Review SOEs prepared since the last field review to verify adequacy, completeness and validity of claims by selecting on a sample basis expenditure items from each category of expenditures and performing a system 'walk-through'. Document findings on individual SOE items, noting down any ineligible expenditures. Provide recommendations on any internal controls weakness noted. Assess the adequacy of the project's filing of financial records;
  - Assess the project's treasury planning; analyse adequacy of DA authorised allocation, with respect to projected expenditure requirements;
  - Review functionality of accounting and financial reporting system, identify accounting standards used and report differences with IFRS/IPSAS. Assess timeliness of recording transactions, budget posting and reconciliations. Assess suitability of the chart of accounts.
  - Gain an understanding of the accounting system and specify accounting software used, whether software produces WAs and other automated reports, and whether budget posted; comment on required customisations if any. Assess financial staff ability to operate accounting system, comment on training requirements if any;
  - Describe banking arrangements. Review the operation of the project's designated and other accounts to ensure that the bank reconciliations and DA account reconciliations are correctly prepared on a monthly basis. Validate the closing balances from copies of the bank statement and clarify the status of the reconciliation items (if any). Note down any pending payments and withdrawal applications still not paid by IFAD;
  - Review contractual and payment procedures; check contract register, usage of contract monitoring forms, register of advances; highlight outstanding advances (ageing analysis); verify compliance with audit requirements foreseen in contracts/ MOUs, if applicable;
  - Review the financial situation of field offices and implementing partners/service providers, if any (advances issued vs. expenditure justified), as well as the quality and regularity of financial returns submitted to the PIU;
  - Review project's administrative management procedures related to personnel, travel, vehicles/fuel and IT. Review asset accounting and management procedures; maintenance of fixed asset register; inventory processes and latest inventory report;
  - Identify financing agreement covenants and verify project's compliance;
  - Describe internal audit arrangements including reporting lines, methodology/procedures, audit work plan and status/follow up on past recommendations; review IA reports [if the Borrower is willing to share them], describe findings;
  - Review latest external audit report and project's audit log, assess status of implementation of management letter recommendations. Verify status of preparation of upcoming audit and make recommendations as appropriate for extending the scope of audit to specific implementing entities, physical checks, performance audit, transaction list or other;
  - Review action taken to address recommendations of previous FM-related mission;
  - Contribute to relevant sections of the mission SM report including data, field observations, project results, findings and recommendations, in line with deadline agreed with Team Leader, following structure set out in IFAD supervision report template and FMA guidelines;
  - Any others tasks assigned by Team Leader.

## MISSION SCHEDULE

17-22 August:	Remote meeting with PCU and different line agencies
22-25 August:	Field visits
25-26 August:	Aide memoire (AM) preparation and translation; AM review meetings with PCU
27 August:	Wrap up meeting with PPC Ben Tre and Tra Vinh

#### **DOCUMENTS TO BE PREPARED BY THE PROJECT BEFORE THE MISSION**

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

## **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: 16-27 August 2020  
Document Date: 28/09/2020  
Project No. 1100001664  
Report No. 5508-VN

Asia and the Pacific Division  
Programme Management Department



---

## **Appendix 6: Procurement Review**

*Upload separately into ORMS System*

### **I. Review of Procurement Plan**

1. In Ben Tre, the 2020 AWPB and Procurement Plan was submitted to IFAD on 12 December 2019 and obtained IFAD no objection on 02 January 2020. A supplementary procurement plan for two CIF work contracts was submitted to IFAD on 24 June 2020 and obtained IFAD no objection on 26 June 2020. In Tra Vinh, the 2020 Procurement Plan was submitted to IFAD on 13 February 2020 and obtained IFAD no objection on 13 March 2020. A revised procurement plan with two additional goods packages was obtained IFAD no objection on 05 August 2020.

2. 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 procurement officers by adding columns to the procurement plans. The procurement methods and procurement packaging were indentified in line with the Letter to Recipient and the project procurement manuals. The project obtained a 6-month extension for the project completion date on 30 September 2020 and the project closing date on 31 December 2020. By August 2020, contractors/ service providers/ suppliers were selected for more than 95% of planned procurement activities under the 2020 procurement plans. Due Covid-19 epidemic, some planned activities (study tours, workshops) of AMD Ben Tre were cancelled. The remaining planned activities are under procurement process including two additional goods packages in Tra Vinh (2020-HH02: Computers for the smart pest monitoring system, and 2020-HH03: Purchasing 1000-litre water tanks for 2,000 poor and near-poor households), and two consulting service packages (Project audit for 2020 for AMD Ben Tre, and appraisal of project assets for handing over for AMD Tra Vinh).

### **II. Review of Ongoing/Completed Procurement Activities and Documentation**

#### **II.1. Process and procedures from prequalification to bidding**

3. According to provisions of Circular 11/2019/TT-BKHDT dated 16 December 2019 on procurement notice and advertisement, roadmap for e-procurement implementation, in 2020, e-procurement is to be applied for all goods, non-consulting services and consulting services with a package price not exceeding VND 5 billion, and all work contracts with a package price not exceeding VND 10 billion with open bidding or shopping methods applied. Since the requirement to apply e-procurement under Circular 11/2019/TT-BKHDT is effective from 01 February 2020. In compliance with provisions of Circular 11/2019/TT-BKHDT, e-procurement was applied for 8 out of 16 CIF work contract (50%) in Ben Tre and 5 out of 7 work contract (71%) in Tra Vinh under the 2020 AWPBs. A number of contractors are still not familiar with e-procurement. Consequently, there are some cases that only one or two bidders submitted their e-bids for work contracts.

4. Procurement activities were carried out in line with procurement methods specified in the approved procurement plan. Post reviews of procurement and contract documents for randomly selected goods, works and services sent by the PPCUs show that procurement activities were carried out in general in compliance with IFAD project procurement guidelines and project procurement manuals. Procurement notices for procurement of goods, works and services were advertised on “Dau Thau” newspaper and National procurement network. However, there is a case of purchasing office equipment (package G3-2019) in Ben Tre, trademarks and origins of the procured goods were mentioned specifically in the request for quotations. “Equivalent” term should be included in special cases that mention of trademarks and/or origins in the bidding documents is necessary.

#### **II.2 Process and procedures from evaluation to awards**

5. Procurement evaluation committee for procurement of goods and consulting services at the PPCU have three members including a procurement officer, an accountant and a M&E staff or technical staff. Procurements of CIF infrastructure works are managed by commune development boards. Due to limited capacity on procurement of commune staff, procurement consultants

and/or district investment project management boards were hired for preparation of bidding documents and bid evaluation for CIF work contracts. Results of the procurement process are verified by a competent unit at the PPCU or an independent consultant. Post reviews of procurement and contract documents at the PPCUs and project communes show that process and procedure for bid/ quotation/ proposal evaluation are generally consistent with procurement methods and the project procurement manuals. For procurements subjected to prior review, draft bidding document/ request for proposals, bid evaluation report/ technical and combined evaluation.

6. So far, in Ben Tre, a total saving amount of VND 8.7 billion (7.9%) was gained from procurement activities over the 2017 – 2020 period. In Tra Vinh, a total saving amount of VND 3.3 billion (4.1%) were gained from procurement of CIF works over the 2017 – 2020 period.

7. CSA/ CFAF and PPP grant proposals were selected and approved according to the selection procedures specified in the CSA/CFAF and PPP manuals. A total of 24 PPP grants in Ben Tre and 18 PPP grants in Tra Vinh were implemented over 2016 – 2020 period. CSA/CFAF matching grants and group counterpart capital are managed by CSA/ CFAF groups and used for purchasing agricultural inputs by shopping method where possible.

8. For some consulting services, number of consultants interested in preparation and submission of their proposals are limited though procurement notices have been advertised broadly on the National Procurement Network. There were substantial delays in procurement of a work package (W1) for construction of 35 ASWQMS stations, and purchasing equipment for ASWQMS data processing centers (package G2). Procurement process for G2 package started from February 2020 but the contract was just signed in early August 2020. The delays mainly caused by (i) design revisions of the ASWQMS stations, (ii) time-consuming for bid clarifications and finalization of the bid evaluation report for W1 package, (iii) having no technically qualified bidders at the 1<sup>st</sup> bidding time and time-consuming for finalization of the bid evaluation reports for G2 packages.

### **III. Review of Contract Administration and Management**

9. Random post reviews of goods, service and work contracts show that implementation of the contracts were in general in accordance with time schedules without significant delays (except for implementation of the ASWQMS and some CIF schemes in Ben Tre). Performance securities, advance payments and retention guarantees are undertaken in consistence with provisions specified in the contract documents.

10. **ASWQMS implementation.** Three main goods and works contracts are still not completed. Implementation of the work contracts (signed in October 2019 for 120 days contract duration) for construction of 35 ASWQMS stations (20 stations in Ben Tre and 15 stations in Tra Vinh) has been delayed considerably. 15 stations in Tra Vinh were certified construction completion in June 2020. By 15 August 2020, 10 out of 20 stations in Ben Tre still need defective repairs before certifying construction completion. Changes of the design and locations of ASWQMS stations at the construction stage, Covid-19 epidemic, extremely weather conditions (prolonged drought and salinity intrusions incurred from December 2019 – June 2020) had negative effects on the construction progress.

11. Implementation of the goods contracts for supplying ASWQMS station equipment (signed in September 2019 for 110 days contract duration) were delayed mainly due to (i) waiting for completion of construction works for 35 ASWQMS stations before instalment of station equipment (Delivery of the ASWQM station equipment were completed in Qtr I/2020); (ii) delays in signing contract amendments since the supplier and the clients (DONREs) have different opinions on terms and conditions for contract amendments. A meeting between DONREs, suppliers, project consultants and relevant agencies was held in Tra Vinh on 17 August 2020. Finally, the parties agreed to sign contract amendments for completion of equipment instalment and commissioning by 30 September 2020. On 19 August 2020, the supplier started deployment for instalment of equipment for 35 ASWQMS stations.

12. According to IFAD policies on anticorruption, sexual harassment, sexual exploitation and abuse, all bidders and contractors/ service providers/ suppliers are required to sign self certification forms as a part of bids and contract documents. This requirement was introduced at IFAD procurement training workshop in Beijing in December 2019. IFAD templates on self-certification forms for bidders/ contractors are still not integrated in the bidding and contract

documents. So far, the project has used national standard bidding document/ request for quotation for project procurement activities.

#### **IV. Review of project's procurement filing system and the ease of document retrieval**

13. Procurement and contract documents requested by the mission were submitted and accessible for reviews by the mission. The contract registers have been maintained and updated regularly.

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

14. Implementation of agreed actions on procurement at the 2019 supervision mission:

<b>Agreed Actions (SM 2019)</b>	<b>Responsibility</b>	<b>Deadline</b>	<b>Status (August 2020)</b>
<b>ASWQMS works contracts</b>  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	Done  (The work contracts for construction of 35 ASWQMS stations were signed on 29 September 2019 for Ben Tre and 30 October 2019 for Tra Vinh. By 15 August 2020, construction works for 35 ASWQMS stations were completed with 10/20 station in Ben Tre required defective repairs before certifying construction completion.)
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	Done  (By August 2020, procurement and construction of 6 additional CIF works in Tra Vinh was completed; In Ben Tre, procurement and construction of 7 CIF works was completed and 9 CIF works (including 2 additional CIF works for 2020) are under construction)
Tra Vinh: complete procurement procedures for 5 planned CIF works in Cau Ngang district	PCU, Cau Ngang DPC	October 2019	Done  (Procurement and construction of 4/5 CIF works in Cau Ngang completed in 2019 and construction 1 CIF work completed in 2020)

15. **Project Audits for 2019.** The project audits for 2019 was done by AASC and completed on 29 April 2020. There is no significant procurement issue raised in the audit report. The main

issues are (i) very late allocation of ODA funds from MPI/ MOF for implementation of AMD Ben Tre's 2019 AWPB and (ii) very late corrections between ODA loan and ODA grant allocations by MOF for AMD Tra Vinh's 2019 AWPB. The allocation of ODA funds for the 2019 AWPB of AMD Ben Tre was just approved in November 2019 and the project was only able to disburse about 50% of the allocated ODA funds. By August 2020, an ODA funds amount of VND 55 billion for the 2020 AWPB of AMD Ben Tre is not yet allocated by MPI/ MOF. ODA grant allocation for AMD Tra Vinh's 2019 AWPB was just approved by MOF on 16 December 2019. So far, The PPCUs have borrowed VND 41 billion from Tra Vinh PPC and VND 38 billion from Ben Tre PPC for project payments.

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

16. 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 2019, e-procurements applied nationwide for 34.2% total package number and 20.8% total package price of shopping and open bidding packages.

17. According to provisions of Circular 11/2019/TT-BKHDT dated 16 December 2019 on procurement notice and advertisement (effective from 01 February 2020), a roadmap for e-procurement implementation over 2020 – 2025 period includes:

- in 2020: e-procurement is to be applied for all goods, non-consulting services and consulting services (using open bidding or shopping methods) with a package price not exceeding VND 5 billion, and all work contracts with a package price not exceeding VND 10 billion except special cases that cannot organize e-procurement; At least 60% of the total package number and 25% of the total package price for open bidding and shopping to apply e-procurement.
- in 2021: e-procurement is to be applied for all goods, non-consulting services and consulting services (using open bidding or shopping methods) with a package price not exceeding VND 10 billion, and all work contracts with a package price not exceeding VND 20 billion except special cases that cannot organize e-procurement; At least 70% of the total package number and 35% of the total package price for open bidding and shopping to apply e-procurement.
- In 2022 – 2025 period: e-procurement is to be applied for at least 70% total package numbers regulated by the national procurement law; Organizing e-procurement for 100% of bidding packages using state budget for procurement in order to maintain regular operations of state agencies; Organizing e-procurement for 100% of centralized bidding packages.

## **VII. Assessment of further procurement staff training needs**

18. At Ben Tre PPCU, there were two procurement officers but one senior procurement officer was retired in late 2019. A procurement/ infrastructure officer has about 10 year working experience with IFAD funded project. At Tra Vinh PPCU, a procurement/ infrastructure officer was retired in late 2018. A new procurement/ infrastructure officer with more than 10 years working experience in construction field was recruited. There are three or four members of PPCU's procurement evaluation committee including a procurement officer, one from the financial management unit and one or two from technical/program unit. For E-procurement of CIF investment at project communes, the commune development boards were hiring procurement consultants or district investment project management boards for preparation of bidding documents and bid evaluation.

19. PPCU procurement officers attended NOTUS rolling-out training organized in Vientiane in March 2019, IFAD procurement training workshop in Beijing in December 2019. PCU staffs in charge were familiar with NOTUS use for submission of procurement and contract documents subjected to IFAD's prior reviews.

20. IFAD Sub-regional office in Hanoi in collaboration with MPI organized a training course on e-procurement for project staff in Ho Chi Minh City in July 2017. So far, 6 training courses on procurement (including a training course on e-procurement) were organized by Ben Tre PPCU 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 Tra Vinh PPCU.

21. Under the national procurement regulations (Circular 03/2016/TT-BKHDT), from 01 January 2018, an individual directly taking part in procurement process such as 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 must obtain a professional procurement certificate. A procurement/ infrastructure officer of Ben Tre PPCU obtained a professional procurement certificate in 2018.

### VIII. Key findings and conclusions from the PRM assessment update

During the supervision mission, the Procurement Risk Matrix was updated for AMD (see the excel file attached). The inherent procurement risk rating for AMD is 2.77 (*low risk*).

### IX. Procurement performance indicator rating and justification

Pillars	Rating	Justification
A. Review of Procurement planning	5	Procurement planning exhibits minor shortcomings that have no impact on project implementation and performance.
B. Process and Procedures: from prequalification to bidding	4	Processes and procedures applied exhibit some gaps and inconsistencies that have limited impact on project implementation and performance. Implementation support is required, however, prompt resolution of issues/constraints is likely
C. Process and Procedures: from evaluation to awards	4	Processes and procedures applied exhibit some gaps and inconsistencies that have limited impact on project implementation and performance. 21 Implementation support is required, however, prompt
D. Contract management	3	Processes, procedures and systems for administration, supervision and management of contracts exhibit numerous shortcomings. Project implementation is negatively impacted; implementation support is required; resolution of issues/constraints is likely but will take some time.
E. Record Retention	5	The project's record retention exhibits minor shortcomings that have no impact on project implementation and performance.
<b>Overall</b>	<b>4</b>	Processes, procedures and systems applied exhibit some gaps and inconsistencies that have limited impact on project implementation and performance. Implementation support is required, however, prompt resolution of issues/constraints is likely.

### X. Recommendations for improvement and follow-up actions for the

# **Borrower/Recipient and/or IFAD**

<b>Actions</b>	<b>Responsibility</b>	<b>Deadline</b>	<b>Status</b>
<b>ASWQM System:</b> Prepare and monitor closely a detailed plan for completion and operation of the ASWQM system before the project completion date.	PCUs, DONREs	Immediately	Agreed
Accomplish the remaining works under the international TA contract: (i) supervision of instalment, capacity building, and test runs of ASWQMS equipment and O&M trainings; (ii) initial operation and adjustment as necessary of the ASWQM system; (iii) fine-tuning of web-based/ smart phone/ SMS formats for dissemination of ASQWM information to diverse user groups; (iv) development of an user manual and training on operation and maintenance of the ASWQM system for provincial managing and technical staffs.	TA consultant (Stichting Deltares), DONREs, PCUs	30 Sept 2020	Agreed

*(Updated Procurement Risk Matrix for AMD in attached excel file)*

## Annex 1. Project action plan during extension period

Component/Sub-component	Activity	Province (Tra Vinh - TV; Ben Tre - BT)	Unit	Target set by MTR	Progress by the end of 2019	Status by 15 August 2020
<b>Sub-component 1.1: Climate change knowledge enhancement</b>	Development of the automatic salinity forecasting and water quality monitoring system (ASWQMS)	TV	No. of monitoring stations	15	0	15
		BT	No. of monitoring stations	20	0	20
	Pilot smart pest monitoring system	TV	No. of systems	0	0	10
	Executing and installing the model of water storage for emergency response to saline drought	BT	No.	0	0	30
<b>Sub-component 1.2: Climate-informed SEDP</b>	Evaluation of the climate informed socio economic development planning tool, and development of the SEDP self assessment guideline for replication and institutionalization by provincial Government	TV	No. of manuals	1	0	1
		BT	Nr of manuals	1	0	1
<b>Sub-component 2.2: Investing in Climate Change Adaptation</b>	Climate resilient, risk reducing, small-scale commune works and infrastructure constructed	TV	Nr of works	89	143	149
		BT	Nr of works	45	55	71
	Public Private Partnership (PPP)	TV	PPP	6	18	18
<b>Component 1</b>	COVID action plan operationalised: digital extension & e-commerce	BT&TV	Lump sum ASAP funds	0	0	1 per province