

DFID PROJECT PROGRESS REPORT - Annex D

Type of Report:PCR

Load Review

For quarterly monitoring, complete Part A and C; for annual review complete Parts A, B and C

For Project Completion Reports complete Parts A, B and C but it is not necessary to complete the Outputs/OVI field in Part A.

PART A.

Country:	Vietnam	Project:	Ha Tinh Poverty Alleviation Programme
Project Officer	Alan Johnson	Start Date:	28/11/1996 [but Project Memorandum is dated 10 th March 1997]
Date of Visit:	21/04/03	End Date:	31/03/03
Date of Report:	30/04/03	MIS Code:	186508002
		Risk Category:	Low

Project Budget	Spend in period under review	Cumulative spend	Forecast for current financial year
£5,754,000	£5,260,142	£5,260,142	0.00

Ha Tinh Poverty Programme Logical Framework: Achievements In Relation To Indicators 1997-2003

Total Expenditure: £5,260,000

Last updated : Tue, 20 May 2003

Programme Goal	Indicators	Evidence up to March 2003
<p>1. Poor people in Ha Tinh Province benefit from sustainable economic development, and lessons learned from the programme being applied elsewhere.</p>	<p>1.1 Studies demonstrate improvements in the quality of life of poorer people in Ha Tinh province that are linked to the programme.</p> <p>ACHIEVED (irrigation)</p> <p>ACHIEVED (dykes&irrigation)</p> <p>ACHIEVED</p>	<p>AAV: According to AAV's 2002 agricultural review, HH income in the project area has increased by 24.6%-50.31% over the previous year. The scale of improvement in people's life has increased with time. For example the figure for Son Loc commune where the projects started in 1997 was 212.5% while the figure for Phu Loc commune (project started in 2000) is 185.9%. During AAV's 2001 annual review, staff interviewed 7 groups of poor men and 7 groups of poor women (about 150 people in total). Poor women estimated that the position of 82% of poor people in Tra Zon zone of Can Loc improved over the previous year while men estimated the figure at 70%. The 2000 mid-term review, involving 1,522 household, reported 70% of people being better off than before. AAV interventions were mentioned as a cause, but relative importance of AAV versus other inputs were difficult to identify. Poorest of AAV assisted communes is now middle ranking. The 1999 "Group Based Assessment of Change" shows widespread improvement in households standard of living across 5 different communes, which in some cases is clearly attributable to AAV inputs, and in others cases is not so.</p> <p>Oxfam: According to Oxfam's 2002 evaluation of S&C activities, the number of HHs in 10 project communes (out of 32 in the district) classified as 'hungry' fell from 12% in 1997 to 5% in 2002, while the number of HHs classified as 'poor' fell from 39% to 34%. [Comparable data will be obtained from non-project communes in the same district]. Ninety one percent of the surveyed members reported an increase in their incomes since becoming members (scale not documented). The 3,224 members of the S&C groups represent 73% of the "poor" in the 10 communes. The project has provided poor households with greater access to savings and credit services than formal credit agencies (VBP in Ky Anh lends to 2,038 people although the number of these borrowers who are 'poor' is not known). The report also says "the status of poor women in the family and the community has been improved significantly" In 2000 there was evidence of improvements in quality of life of poorer people in Ky Nam commune, Ky Anh district, two years after the dyke construction in terms of increased mobility, and rice crop productivity (Vietnam Institute for Water Resources Research report, 2000). In addition, 18 irrigation schemes have been completed with observable positive effects on agricultural productivity (See Output 2.1)</p> <p>SC-UK: SCF monitor changes in poverty levels in the same terms as defined by MOLISSA and used by the Ha Tinh Province. This data shows a decline in % of "hungry" households from 13.3% in 1998 to 0% in 2002 (compared to 7.5% down to 1.2% in five non-project communes), and a decline in "poor" households from 18% to 12% (compared to 14.5% down to 11.5% in five non-project communes). Nutrition Survey in two project communes (Cam My and Cam Binh) indicates that the number of underweight children has fallen from 11% to 4.2% between 1998 and 2002, compared to a fall from 8.8% to 6.2% in non-project communes in the same period . Greater improvements in percentages of households having hygienic wells and latrines, and above 2.5 kg babies have also been noted in project, versus non-project communes</p>

<p>1.2 Programme approaches [are] being replicated outside Ha Tinh province*.</p> <p>ACHIEVED</p>	<p>AAV: AAV project in Can Loc was visited by EU (Cao Bang - Bac Kan project), and CECI . Water Users Associations have since been developed by CECI in their Nghi Xuan and Ba Thuoc projects in Thanh Hoa province. Both EU and AAV have established them in Lai Chau province. However, it should be noted that Water Users Associations are not unique to Ha Tinh, they have been developed in other locations in Vietnam and elsewhere (See page 28 of AAV's 2002 review of its agricultural activities).</p> <p>Oxfam: World Bank Community-Based Rural Infrastructure Project (CBRIP) includes lessons from Oxfam work in Ky Anh (but not PSTs). The EU has asked Oxfam for training materials on the use of People's Supervisory Teams, for use in Cao Banh province.</p> <p>SC-UK: Approaches from Cam Xuyen replicated by SC-UK in three districts in Thanh Hoa province by Women's Union in 21 communes. The Cam Xuyen microfinance project is the largest non-governmental micro-finance project in Vietnam and has been seen as a model for other programmes and projects nationwide (see further below). Most notably by Plan International, which has replicated the decentralised commune based approach. The 2000 Logical Framework also noted training of Save the Children Japan staff</p>
<p>1.3 National and provincial policies [have] become more responsive to the needs of the poor.</p> <p>ACHIEVED</p>	<p>AAV: Agricultural taxes on poor people nationally abolished since November 2001 partly as a result of public expenditure research jointly undertaken by the World Bank, the Ministry of Finance and ActionAid Vietnam in Ha Tinh in 2000. Many poor people who are "good borrowers" of AAV Credit programme and who never got access to VBA now have access to VBA loan. While this percentage is thought to be high no specific figures are available from surveys, or from banks. Ha Tinh officials at provincial and lower levels are more open to poverty debate and are supportive to PPA techniques. 2000 Logical Framework notes "Province is now using WUA model in pilot HEPR irrigation project in a non-NGO assisted district. Province has allowed NGOs and other outsiders to consult directly with poor people on their needs and priorities (e.g. PPA, World Bank / MoF study of public expenditure)."</p> <p>Oxfam: Oxfam staff will be providing 3 day training for MoLISA staff and officials in Hanoi in June 2003 on participatory infrastructure design and management. MoLISA have also requested a training manual and want to print 1000 copies of same, for use in pilot projects in several provinces. Peoples' Supervisory Teams are being used with the concretising of irrigation canals in three districts of Ha Tinh.</p> <p>SC-UK : SC-UK worked with the Women's Union and the VBARD to develop a model Credit Fund for Poor Women in Cam Thanh commune. In November 2002, the Fund was licensed by the SBV as a Peoples Credit Fund (PCF), the first NGO-initiated NGO programme to become a PCF and establishing a precedent/model for microfinance schemes run by the Women's Union and other organisations. The PCF is more pro-poor than other government models, but not as pro-poor as other NGO models. It has not been replicated any further within Cam Xuyen district. See Output 1.3</p>

1.4 Other indicators of Goal level achievements	<p>AAV: My Loc commune and Na Loc communes were 30th and 23rd wealth rank out of 30 in Can Loc in 1995. Now they are 15th and 4th out of 30 in 2003.</p> <p>Oxfam: See Outputs 1.1-2 on changes in household capital and income</p> <p>SCF: See Output indicators 1.1-2 on changes in household capital and income</p>
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Programme Purpose	Indicators	Evidence up to March 2003
<p>1. District and provincial authorities and other development organisations apply lessons learned from innovative poverty projects being run in Ky Anh, Cam Xuyen, Can Loc and Thach Ha districts.</p>	<p>1.1 Policy and funds of formal banking sector, particularly the Bank of Agriculture and Bank for the Poor become more open to the very poor.</p> <p>PARTLY ACHIEVED</p>	<p>AAV: AAV not working with VBA or VBP since 1998 nor monitoring against this indicator. But 2000 Logical Framework notes "AAV are part of a group of organisations who have been requested to provide advice to the State Bank on regulations concerning informal credit institutions."</p> <p>Oxfam: The percentage of members who have accessed loans from banks has increased from 29% before receiving their first loan from the S&C scheme to 36% in 2002 (p.33, 2002 S&C evaluation)</p> <p>SC-UK: The VBARD has had a policy of lending without guarantee up to a defined limit (3m VND in 1999, now 10mVND), but this was not generally implemented. In Cam Xuyen VBARD is now lending to non-project communes without the requirement for guarantees from the district WU, as its policy allows. It is not know if this practice has spread elsewhere in Ha Tinh. In Hanoi State Bank is now working with SCF on manuals on microfinance</p> <p>The WOCCU 2003 "Lessons Learned" report shows that the coverage of households by the Vietnam Bank for the Poor and the Vietnam Bank for Agricultural and Rural Development has increased since 1997 by 260% (VBP) and by 82% (VBARD). However, at the same time, the coverage by NGO assisted S&C schemes has consistently exceeded that of the two banks.</p>
	<p>1.2 Vietnam Women's Union develops plans to replicate and expand small scale savings and credit policies elsewhere in Ha Tinh province</p> <p>ACHIEVED</p>	<p>AAV: AAV together with Oxfam GB, Oxfam Belgium and SC UK co-financed a "Ha Tinh Micro-finance Group" under the auspices of Provincial WU during 1999-2001 period. The purpose of this group was to build up and strengthen the capacity for WU cadre at provincial, district and commune levels to run similar micro-credit schemes in Ha Tinh. While this may have increased their capacity to run existing schemes, including those not associated with the three NGOs, there does not appear go have been any replication of the AAV savings and credit model by the WU elsewhere within Ha Tinh province, independent of AAV funding support.</p> <p>Oxfam: See AAV above. Ky Anh WU have not yet expanded microfinance work into non-project communes on their own. IFAD however is implementing S&C in these other communes in association with Ky Anh WU.</p> <p>SC-UK: See AAV above. Women's Union is replicating microfinance model in other districts in Ha Tinh, using the SC-UK model (defined as commune rather than district based funds, groups of 5 members in Huong Son and Huong Khe districts). In 1998 WU had credit and savings schemes in 80% of communes in Ha Tinh, now they cover 100% (259/259 communes). The province wide IFAD programme works with the WU to implement the SC UK model in all districts in the province.</p>

<p>1.3 World Bank, AsD Bank and other bilateral donors adopt lessons promoted by the programme.</p> <p>ACHIEVED</p>	<p>AAV: The World Bank and DFID in Vietnam asked AAV to conduct two Participatory Poverty Assessment (PPAs) exercises in Ha Tinh Province in 1998-1999. The results of the PPAs fed into the preparation of the Voices of the Poor /World Development Report of the World Bank .</p> <p>AAV also undertook grassroots consultation with poor people in Ha Tinh as part of the CPRGS process in December 2001 and the final draft of the CPRGS which contained many recommendation from the poor people in Ha Tinh and x other provinces, was approved by the prime minister in May 2002.</p> <p>Since 2001 IFAD's Ha Tinh programme has included a savings and credit component which now covers more than 80 communes. AAV report that IFAD have drawn lessons from AAV's Ha Tinh programme, both about the overall approach (listening versus top down planning) and specifics (such as group size and book-keeping practices).</p> <p>GTZ asked AAV to train their staff in PRA in Phu Tho province and Da Nang city in 2001 and 2002</p> <p>Oxfam: Same as Goal Indicator 1.2 above. World Bank Community-Based Rural Infrastructure Project (CBRIP) includes lessons from Oxfam work in Ky Anh (but not PSTs). The EU has asked Oxfam for training materials on the use of People's Supervisory Teams, for use in Cao Banh province.</p> <p>SC-UK: IFAD in Ha Tinh and FAO in Quang Ninh have adopted aspects of the Cam Xuyen microfinance model (commune based funds and group size of 5). SCF have provided training to IFAD staff on savings and credit.</p>
<p>1.4 Further investments in infrastructure in the province are identified, implemented and managed so that the direct benefits to the poor in the province are maximised by the informed deployment of labour-based-appropriate technologies.</p> <p>PARTLY ACHIEVED</p>	<p>AAV: Not applicable</p> <p>Oxfam: The Province has not adopted Oxfam's initial labour-based technologies approach. Over the last three years of the programme Oxfam has gradually shifted the emphasis in its infrastructure work from LBAT to community-based infrastructure, emphasising participation of the poor in the design, implementation and supervision of small-scale infrastructure. Oxfam has funded 11 infrastructure works identified and implemented by the Province through the Oxfam initiated replication fund, in addition to the initial plans for dyke construction (nine irrigation works, one roads project and one schools project). See Output 2.1</p> <p>SC-UK: Not applicable.</p>

<p>1.5 Province and district authorities adopt participatory approaches to improving the productive capacity of the poor. More detailed indicators to be defined following completion of AAV replication strategy</p>	<p>AAV: The results of the PPA (see 1.3 above) informed the design of the HEPR Action Plan of Ha Tinh Province 1998-2003 which was drafted and approved in 1999. PRA techniques and participatory approach were used district officials, support by AAV staff, in developing the “HEPR Joint Action Plan for Can Loc District 2001-05” in April 2001 and subsequent application of the plan to several communes in Ha Can zone of Can Loc District. Similar events happened to HEPR work in Huong Son and Vu Quang Districts. Activities of Can Loc District and Ha Tinh Provincial HEPR boards have been carried out in a participatory way through implementation of the Can Loc District Social Development Fund and the Ha Tinh HEPR Fund both of which were supported by AAV (see 2002 review report of these Funds)</p> <p>Oxfam: Province has also Oxfam's participatory approach to irrigation infrastructure development, especially the use of People's Supervisory Teams operating separately from project management boards.</p> <p>SC-UK: Not applicable.</p>
<p>ACHIEVED</p>	
<p>1.6 New approaches to environmental appraisal developed in Thach Ha District field tested in three other Districts by Provincial and District authorities</p>	<p>AAV: Not applicable</p> <p>Oxfam: Not applicable</p> <p>SC-UK: Plans were abandoned after the cancellation of the iron mine development in 1997(which prompted the original concern)</p>
<p>NOT APPROPRIATE</p>	

<p>1.7 Provincial education authorities develop a plan to replicate education projects province wide. Local curricula material developed by projects in use elsewhere in Ha Tinh.</p> <p>PARTLY ACHIEVED</p>	<p>AAV: Not applicable</p> <p>Oxfam: Child-centred methodologies (CCM) are now promoted nationally by MOET (although MOET refers to them simply as new teaching methodologies). Oxfam contributed to this shift in MOET orientation through participation in a national advocacy network. In Ky Anh district the Dept of Education has not made plans specifically to replicate the Oxfam methods in Ha Tinh. However MOET's version of child-centred teaching methodologies is being adopted throughout the district.</p> <p>SC-UK: Pilot programme for creches and kindergarten has been replicated by Cam Xuyen district and by non-project communes since 2001. 18 creches and kindergartens were established by SCF and 4 have since been replicated elsewhere by district authorities.</p>
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	<p>1.8 Provincial and District Hunger Eradication and Poverty Reduction Programme (HEPR) takes account of experience of District level projects.</p> <p>ACHIEVED</p>	<p>AAV: 2000 Logical Framework notes that the HEPR draft plan of action refers specifically to the implementation of IPM and WUA activities both promoted by AAV in Ha Tinh. In 2002 pilot activities of District HEPR/Social Development board in Huong Son district and Ha Can zone (Can Loc district) took account of AAV experience in Can Loc (PPA, strengthening of local commune HEPR board, selection of a sample of households (200) for poverty alleviation activities). The district and Commune HEPR Boards took a lead in this process. The PPA exercise in Vu Quang district carried out in July 2001 and April 2002 was with close cooperation of local authorities and people. New HEPR activities in Vu Quang (started in June 2002) take into account the lessons learnt and experience from Can Loc programme. The most significant of these was the use of a poverty analysis to make a plan, with less involvement of AAV staff than in Can Loc district.</p> <p>Oxfam: Ky Anh District HEPR ran a workshop in 2002 (with Oxfam funding) for district officials, WU and PCF staff to share experiences with S&C, infrastructure development as aided by Oxfam. Government-led infrastructure activities in Ha Tinh now involves more participatory management. The Oxfam funded scaling up/replication fund has led to the use of participatory supervision methods by 7 commune authorities in projects in Thach Ha and Can Loc districts. The design of the fund has enabled major savings (1.6b VND) to be made relative initial planned costs allowing for the funding of 4 new project in addition to the initial 6.</p> <p>SC-UK: The draft action plan states "One of the nine components of the HEPR are: "Developing Micro-finance in order to give credit for people" and it's considered as 'the most important programme ensuring success for the Poverty Alleviation programmes' " Implementation of this policy is less clear since HEPR does not implement its own programmes. Some HEPR funds have gone to the banks, and donor funded projects are considered as part of the HEPR programmes. SCF has provided training in savings and credit to the staff of the Department of Planning and Investment. The draft action plan also stated "VBP should 'simplify procedure of giving loan for the poor people, linking its activities with credit groups of Womens Union"</p>
	<p>1.9 Other indicators of Purpose level achievements</p>	<p>AAV: Oxfam GB asked AAV to provide them with technical assistance with the development of Water Users Associations in a new area of Can Loc.</p> <p>Oxfam: No additional comments</p> <p>SCF: Ha Tinh Womens Union now have trained trainers in savings and credit, who have provided training to IFAD and HEPR staff.</p>

Output	Indicators	Evidence up to March 2003
<p>1. Successfully implemented credit and savings components supported and preparations made for scaling up of impact throughout and beyond the province.</p>	<p>1.1 Increases in household capital</p> <p>ACHIEVED (PROB)</p> <p>ACHIEVED (SOME)</p> <p>ACHIEVED (SOME)</p>	<p>AAV: No longer monitoring this indicator. AAV were previously monitoring assets via two methods: Group Based Assessment of Change (GBAC) and the Basics Necessities Survey, from 1997 to 1999. In the annotated Logical Framework included in the 2000 Mid-Term Review it was noted that "Average savings balances per member have increased modestly since 1995. Loans from S&C groups are reported as main reason for asset improvement in one of the four communes covered by the Group Based Assessment of Change, where 41% report improvements versus 2% deterioration"</p> <p>Oxfam: The average (compulsory) savings per savings and credit member is 155,000 VND (\$10.00). In the 2002 evaluation of S&C activities about 32% of total interviewees stated that thanks to increased income they were able to procure some assets such as bicycle, Chinese cassette, cheap chairs, etc.</p> <p>SC-UK: The average (compulsory) savings per savings and credit member is now 326,000 VND (\$21.00) Information collected on changes in assets and income by the project records annually the number of HH that have a new or upgraded house, new well, new latrines and new cattle. Data collected on construction of household wells and latrines indicates significant increases in some assets: households with wells in 1998 was 66% compared with 98% in 2002; with latrines, in 1998 was 57% and in 2002 was 79%. Data on housing status from 1999 to 2001 shows no clear trend. Household cattle holdings data are available for one year only. (SCF have questioned the value of analysing the last two indicators)</p>
	<p>1.2 Increases in income</p> <p>NOT CLEAR</p> <p>ACHIEVED</p> <p>ACHIEVED</p>	<p>AAV: Qualitative monitoring as part of AAV's annual review in August 2001 and microfinance review in September 2002 suggests increases in income among poor HHs in Can Loc (based on perceptions of poor people interviewed – see also agricultural review 2002).</p> <p>Oxfam: According to the 2002 evaluation of Oxfam GB S&C activities in Ky Anh, 49.3% of HHs had an income of more than 500,000 VND per month in 2002, compared to 21.1% in 1997</p> <p>SC-UK: SCF does not monitor changes in income but it does monitor changes in poverty levels, in the same terms as defined by MOLISSA and used by the Ha Tinh Province. This data shows a decline in % of "hungry" households from 13.3% in 1998 to 0% in 2002 (compared to 7.5% down to 1.2% in five non-project communes), and a decline in "poor" households from 18% to 12% (compared to 14.5% down to 11.5% in five non-project communes)</p>

<p>1.3 Increase in the number of very poor borrowers who access formal financial sector institutions</p> <p>Key milestones: BoP = 1 year: Pilot lending schemes with Vietnam Bank of Agriculture BoP = 3 years: Provincial level workshop reviewing credit and savings</p> <p>NOT CLEAR</p>	<p>AAV: AAV does no longer aim to achieve this type of change. AAV has moved to a shareholder model that does not depend on members accessing credit from other sources. Findings from 2002 microfinance review suggest that many “good borrowers” from AAV’s microfinance scheme, who are often poor people, now have access to VBA loans. No specific figures are available. As a result of the implementation of the Joint Action Plan (District Social Development Fund) in An Loc commune, HHs have accessed credit from VBA and VBP (people agreed to clear old debts as a result of AAV and District HEPR board efforts). VBA has lent 400m VND to the commune.</p> <p>Oxfam: [Oxfam's Annual Report 2001/2002 reveals that 22% of the members of Oxfam/WU S&C schemes (714 of 3,224) had loans from the VBARD or VBP in late 2002. There is no disaggregation to reveal how many of these are poor, but Oxfam’s 2002 evaluation of their S&C scheme estimates that 73% of all the S&C scheme members are ‘poor’. There is no information on trends over time.</p> <p>SC-UK: While the project itself target the poorest 70% of households, it does not have data to assess progress against this indicator for the formal financial sector. In Cam Xuyen SCF / WU is the largest provider of savings and credit services by far. The VBP and VBARD do not have a sufficiently large coverage to indicate that this also includes substantial numbers of the poorest households. One project commune did successfully become a formal financial institution.</p>
<p>1.4 Other indicators of Output 1 achievements</p>	<p>AAV: Coverage has increased from a planned 3500 households to 3800, in seven communes. The types of loans provided has diversified, from one general purpose loan to 4 types with different loan size and repayment schedules. Repayment rates are reported to be 100% though as noted previously the significance of this figure must be analysed. Not all business ventures succeed.</p> <p>Oxfam: In the 2002 evaluation of S&C activities 70% of interviewees reports “More confidence in the family” , 57% “More respected by other members/ husband” and 88% “More participation in social/ group activities”</p> <p>SCF: The SCF/WU savings and credit funds now have more than 19,000 members in 22 of the 27 communes of Cam Xuyen. The initial 7.5 billion VND capital provided by SCF has now grown to 21 billion VND. It appears to be the largest non-government savings and credit scheme in Vietnam.</p>

Output	Indicators	Evidence up to March 2003
<p>2. A range of projects that protect the livelihoods and raise the agricultural productivity of the poor are, and where appropriate, create employment opportunities for the poor are successfully designed and implemented .</p>	<p>2.1 Completion by the end of the project of up to 9 small-scale infrastructure projects in Ky Anh district adequate for the purposes for which they are designed and which:</p> <ul style="list-style-type: none"> • Increase mobility for 31,000, • provide protection from sea inundation for 13,800 • increase irrigation for 12,800 • By EoP at least one project designed by Ky Anh secures funding <p>PARTLY ACHIEVED</p>	<p>AAV: Not applicable</p> <p>Oxfam: Three sea dykes are currently protecting over 5,500 people from sea inundation (2,000 in Ky Nam, 1,352 in Hoa Loc and 2,200 in Hai Phong), but the latter has problems with the spillover. Including sea dykes used as roads and bridges the mobility of 5,500 people has been improved. Mobility for an additional 1,800 people has been improved following the completion of the Troung Lai Bridge. The completion of 18 irrigation schemes in three districts via the scaling up fund has improved irrigation on 1,630 hectares of land and benefited 1,900 people. Additional roads constructed by the fund have increased mobility for 4,000 people. Two schools in 2 communes have benefited 1000 students. The fourth element in the indicator was dropped during the OPR in 2000 because it was considered as inappropriate at the Output level.</p> <p>SC-UK: Not Applicable</p>
	<p>2.2 In Can Loc District stable irrigation managed by Water users Associations (WUA) being provided to 3,600 families by EoP.</p> <p>ACHIEVED (PLUS)</p>	<p>AAV: 8,300 households are members of 7 commune-level WUAs supported by AAV as of June 2002. Of the 7 WUAS, AAV feel that all are working well, but that 4 (Son Loc, Dong Loc, My Loc and Nhan Loc) are working very well. These "good WUA's" are characterised by 100% payment of fees, versus fee debts before, good canal maintenance, members contributing money to build new channels, no fighting over water access, less time being spent securing water access, women as members of the WUA, though not as office holders.</p> <p>Oxfam: Not applicable</p> <p>SC-UK: Not applicable</p>

<p>2.3 In Can Loc District an increase over the life of the project period in paddy rice yield among group enjoying irrigation systems and</p> <p>A decrease in expenditure on pesticides. Detailed quantified targets will be established and refined during implementation</p> <p>ACHIEVED</p>	<p>AAV: According to findings of 2002 Agricultural Review local people and partners reported an increase of 133.45% in yield in the paddy and 138.06% in paddy production compared to the period before the area was irrigated. Availability of irrigation water has increased the cropping frequency from one to three times a year. Farmers can avoid crop losses due to flooding by altering their cropping season. Findings of that review also show that because of use of IPM, people now spray pesticides an average of 1.7 times per season versus 3 to 4 times a year before.</p> <p>Oxfam: Not applicable</p> <p>SC-UK: Not Applicable</p>
<p>2.4 Component for improving agricultural extension services and veterinary services in Can Loc District agreed by April and October '98 respectively, agricultural development component in Ky Anh district designed and agreed by April '98,</p> <p>strategy for improving environmental appraisal in Thach Ha District designed and agreed by April '99</p> <p>ACHIEVED (QUALITY?)</p>	<p>AAV: 2000 Logical Framework noted "Both components agreed and implemented in 1998. Annual reports since then note specific Agric. Ext. and Vet. Service activities"</p> <p>In 2002 training was provided to approx. 3,000 farmers in Can Loc in animal health and disease prevention. 28 out of 42 trained paravets were still active in the community. In January 2002 AAV decided to stop supporting the paravets because of their low activity. Commune authorities have now taken over responsibility for the Paravets</p> <p>Oxfam: Not applicable</p> <p>SC-UK: Plans for improved environmental assessment in Thach Ha abandoned after cancellation of iron ore mine project which prompted original concern.</p>

2.5 Other indicators of Output 2 achievements	<p>AAV: Commercial fruit and timber tree nurseries have been established in four communes in Can Loc. Local farmer seed multiplication has spread, so that it now provides 40% of farmers seeds. Previously farmers were more dependent on the government supply season.</p> <p>Oxfam: Oxfam has also funded a Community Development programme through the Association for the Poor. See <i>Annual Review Workshop on Community Development in Ky Nam and Ky Tho Communes, Ky Anh District</i></p> <p>SCF: Not applicable</p>
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Output	Indicators	Evidence up to March 2003
3. Innovative approaches to sustainably improving the lives of poor children are successfully piloted	3.1 95% of children enter and complete primary school in Ky Anh district ACHIEVED (CAUSES?)	<p>AAV: Not applicable</p> <p>Oxfam: Development of a planned Education Management Information System (EMIS) (to which this indicator refers) was abandoned in 1999. However, in the six schools in Ky Anh in which Oxfam is currently promoting child-centred methodologies, attendance rates average 98% and drop out rates average 0.02%. The only possibly comparable data is from SCF's "non-project" communes in Cam Xuyen, where drop-out rates have fallen from 0.7% to 0.2%. These differences are too small to be statistically significant. For change in SCF project communes see 3.3 below.</p> <p>SC-UK: Not applicable</p>
	3.2 The performance of poor children in primary schools improves by 10% per year in Ky Anh district. UNKNOWN	<p>AAV: Not applicable</p> <p>Oxfam: Development of a planned Education Management Information System (EMIS) (to which this indicator refers) was abandoned in 1999.</p> <p>SC-UK: Not Applicable</p>

<p>3.3 In Cam Xuyen District a significant fall in the dropout rate of children from HHS receiving loans.</p> <p>NOT ACHIEVED (V.SMALL)</p>	<p>AAV: Not applicable</p> <p>Oxfam: Not applicable</p> <p>SC-UK: The percentage of children not at primary school has reduced from 2.5% in 1998 to 0.02% in 2002. In non-project communes there has been a fall from 0.7% to 0.2% Absolute numbers are not known. But 2000 Logical Framework refers to 186 dropouts returning to school since 1993. We don't know how many HHS receiving loans still have school drop-outs</p>
<p>3.4 Other NGOs and formal organizations learn from SCF/WU approach to child/focused activities</p> <p>ACHIEVED</p>	<p>AAV: Not applicable</p> <p>Oxfam: Not applicable</p> <p>SC-UK: Approaches to healthcare communication (Facts for Life) have been adopted by the WU throughout Vietnam. Cost sharing with management costs of early childhood education (crèches and kindergarten) have been adopted WU in Thanh Hoa province (2 creches/kindergartens) and in other parts of Ha Tinh (4 creches/kindergartens). 2000 Logical Framework notes "Documented communications with PDI, UNICEF, VWU, Ministry of Health, Hanoi Medical University, National Institute of Nutrition, National Early Childhood Education Department (MOET), Save the Children Japan, National Young Pioneers Association, National Inst of Science and Education, Child to Child Trust, Research Centre of Special Education for Children with Disabilities, etc. But no evidence of what they have learned"</p>
<p>3.5 Other indicators of Output 4 achievements</p>	<p>AAV: Not applicable</p> <p>Oxfam: No additional information</p> <p>SCF: SCF has developed child-to-child training on Facts for Life. It was piloted in 2 villages and has since been extended to 6 villages in one commune in Thanh Hoa province and 9 villages in the same commune in Ha Tinh</p>

Output	Indicators	Evidence up to March 2003
<p>4. Methods for extending the experience of NGOs within programme districts and to other districts within the province and beyond are established</p>	<p>4.1 Strategic plans for HEPR work in the province by 1/98 and reflects lessons learned from DfID funded programme.</p> <p>Local government has a better understanding of how to plan, implement and evaluate poverty focussed programmes.</p> <p>Milestone: NGO staff positively influencing Provincial and District HEPR strategies.</p> <p>ACHIEVED</p>	<p>AAV: 2000 Logical Framework notes “HEPR strategy plan developed by province in 1999, with AAV support. NGO influence visible in emphasis on fee reductions / waivers (arising out of PPA findings)” Since then AAV is working with the provincial HEPR board to replicate successful models from Can Loc, (eg. IPM, training, WUAs, agriculture extension training). Provincial board have been implementing their own activities like building dams and irrigation systems, establishing 3 WUAs, provision training on agricultural extension and family planning to thousands of people in 7 communes in Huong Son district drawing on AAV experience and co-funding (More than 3 billion VND). AAV programme has expanded into a new district of Vu Quang since June 2002.</p> <p>Oxfam: Capacity-building work in Ky Anh, a much more significant activity than planned in 1997 is improving the ability of officials at district and commune levels to use participatory techniques in HEPR and other work. The Annual Programme Impact Report 2003 states “district project management apply the process of management based on agreed job description, work plan, performance review, toward their staff members.” They also use “needs assessment, objective setting,...indicator for monitoring and evaluation in coordinating training, planning workshop or specific projects.”</p> <p>SC-UK: Not applicable</p>
	<p>4.2 Evaluation of SCF mangrove project impact on ecology, and livelihood of coastal communities completed ad documented, and within one year of startup and appropriate techniques for presenting lessons learned are identified and used.</p> <p>ACHIEVED</p>	<p>AAV: Not applicable</p> <p>Oxfam: Not applicable</p> <p>SC-UK:: Evaluation was completed in 1997. A dissemination workshop was held in Ha Tinh in January 1999. In 2000, SC-UK’s staff attended 2 workshops organized by MERC to share experiences and provided 1999 workshop report to other related organizations including Denmark Red Cross and the World Food Programme</p>

<p>4.3 A range of institutional and promotional communication instruments including videos designed for a range of Vietnamese audiences are produced and in demand.</p> <p>ACHIEVED</p>	<p>AAV: Two lessons on WUAs and Partnership Building were disseminated via the 2002 Annual Review workshop in Hanoi. Plans for wider dissemination have been suspended because of a greater need to secure funding to replace that from DFID, ending in March 2003. A booklet introducing AAV's Ha Tinh Programme is being prepared and will be completed by January 2003. In 2003 AA made a 30 minute documentary on their work in Asia, ten minutes of which is focused on the Ha Tinh programme. All AAV reports are produced in Vietnamese and English</p> <p>Oxfam: Two videos (one on LBAT and one on community development) were produced and/or disseminated during the programme. Two more videos of Oxfam's work in Ha Tinh are in production and will be shown on national television</p> <p>SC-UK: VTV Ha Tinh has broadcast reports on microfinance in Cam Xuyen on at least 3 occasions in 1998 and 2000. Newspaper articles on SC-UK's microfinance work in Cam Xuyen have appeared in the Financial Times (Vietnam) (25.11.02), Banking Review (28/02/03) and Banking Times (17/01/03). In January 2000, SC-UK cooperated with AV and Oxfam GB to run a workshop on banking activities by non-banking organisations for staff of central-level organisations and ministries. SC-UK also disseminates its annual and six monthly reports to other INGOs in Vietnam, to donors and to other relevant organisations. In 2003 SCF and State bank are jointly developing a booklet on implementing micro-finance schemes for poor rural households. VTV is also developing a documentary on Successful Poverty Alleviation Programme " in Ha Tinh.</p> <p>2000 Logical Framework notes: One manual in English and Vietnamese produced on "Designing a credit and savings programme for the poor" produced by the Micro-finance Training Group for the Ha Tinh Province Women's Union. Two training manual in English and Vietnamese on "Monitoring and Evaluation of a Credit and Savings Programme for the Poor" and "Training of Trainer for a Credit and Savings Programme for the Poor" in 1999/2000. Printed 20,000 "Facts for Life" booklets and distributed to borrowers. At present, Ha Tinh WU is requesting reprint more booklets for providing for other women in the province. SC-UK's staffs also wrote presentation reports papers for 4 workshops on microfinance in Hanoi in English and Vietnamese. Ha Tinh television produced film on WU of Cam Xuyen and broadcast 3 times on their programme and produced videotapes on mangrove plantation and broadcast on National "CKS" Television programme. Cam Xuyen WU also produced a videotape on "Facts for Life" communication competition. Four Review Reports on Micro-finance, Facts for Life, creches and kindergartens, Child to Child have been produced by SC-UK in 2000.</p>
<p>4.4 Other indicators of Output 4 level achievements</p>	<p>AAV: No further comments</p> <p>Oxfam: No further comments</p> <p>SCF: No further comments</p>

Output	Indicator	Evidence up to March 2003
5. Institutions strengthened and capacity built within specific programmes	<p>5.1 At least one additional rural infrastructure project is designed by Ky Anh district and funding secured by the end of the programme.</p> <p>NOT APPROPRIATE</p>	<p>AAV: Not applicable</p> <p>Oxfam: This output was abandoned during the 2000 OPR. But note the large number of additional infrastructure projects funded, and co-funded, via the scaling up fund.</p> <p>SC-UK: Not applicable</p>
	<p>5.2 Can Loc District Social Development Fund Established and funding acceptable activities within BoP + 2 years</p> <p>ACHIEVED</p>	<p>AAV: District Social Development Fund was established in 1997 and up to now 22 small-scale development social projects have been developed by local authorities and people with total investment capital of VND3.98 bn (US\$265.3k - see 2002 Fund Review Report, on the HTPAP website). The matching funds to such projects are contributed by both local government and people participating in it. The fund was to end in 2001 but has now been extended to 2007, because of its success to date</p> <p>Formation of Community Based Organisations such as IPM (7), WUA (11), PTAs (17), Saving and Credit Groups(200). They have potential for representing their constituencies as local level institutions. But there are also outstanding questions about their legal status, which may effect their functioning.</p> <p>Oxfam: Not applicable</p> <p>SC-UK: Not applicable</p>
	<p>5.3 Province and district understand and use participatory Labour Based Alternative Technology (LBAT) by the end of the project.</p> <p>NOT ACHIEVED TARGET CHANGED AND ACHIEVED</p>	<p>AAV: Not applicable</p> <p>Oxfam: As noted above, Ha Tinh province have not adopted LBAT. Commune-level infrastructure work now involves local people through Project Supervisory Teams (PSTs). Significant lessons about the role of PSTs in infrastructure supervision have emerged in the last two years of the project (see presentation to 2002 annual workshop on HTPAP website).</p> <p>SC-UK: Not applicable</p>

<p>5.4 90% of households formerly with SCF-Women's Union scheme continue with access to capital through savings funds or formal sector 1 year after withdrawal of 50% of SCF start-up capital.</p> <p>ACHIEVED</p>	<p>AAV: Not applicable</p> <p>Oxfam: Not applicable</p> <p>SC-UK: No dis-aggregated (commune-by-commune) data available on borrowing behaviour but the number of <i>members</i> has continued to grow in 9 of the 18 communes following the withdrawal of 50% start-up capital. None have lost members.</p>
<p>5.5 Other indicators of Output 5 level achievements</p>	<p>AAV: Plans are underway to enable 15 Ha Tinh AAV staff to register as a local NGO by 2004</p> <p>Oxfam: No additional comment</p> <p>SCF: There is some evidence that women participation as office holders in the Commune People's Committee is greatest in the oldest and most established S&C communes. There is no such trend with participation in the Commune People Council, where numbers are the same across all the communes.</p>

General / Overall progress assessment – Project Goal

Direct benefits to poor from HTPAP activities have already been observed. Significant improvements have taken place in poor peoples lives directly as a result of project interventions, especially the extension of irrigation works and associated management improvements, and large scale improvements in poor people's access to savings and credit services. Indirect impacts have occurred beyond Ha Tinh Province through the wider adoption of water users associations, people's supervisory committees on infrastructure development and commune based savings and credit funds. The project has had significant identifiable inputs into national discussions about pro-poor development policies. However, there are weaknesses in the evidence base of lessons learned by other organisations, and savings and credit impact. But benefits to the poor achieved as a results of project lessons being adopted by other organisations will take time, extending beyond the end of the HTPAP in March 2003. This is especially the case with other organisations outside of Ha Tinh. The adoption of lessons has been documented.

<p>General /Overall progress assessment - Project Purpose</p>	<p>2</p>
<p>Justification</p> <p>More than half the purpose level indicators are achieved, most of the remainder are partly achieved. Some of the methodologies developed under</p>	

HTPAP are already in use with other agencies working in other parts of Vietnam. The Ha Tinh Government itself has replicated some of the methodologies in other non-project districts. The biggest successes are in savings and credit, water users associations and in involving the poor in various development planning activities. USAID are co-financing a World Council of Credit Unions TA project to work with the HTPAP savings and credit (S&C) groups. The Women's Union have already replicated the HTPAP S&C model in other districts in Ha Tinh in other parts of the country. Innovative work from district level interventions has been recognised and used in national level poverty work (e.g. Attacking poverty, Public Expenditure Review 2000 and the recent 2002 CPRGS consultations). The Ha Tinh Province Hunger Eradication and Poverty reduction policy has been informed by project experiences, and so has their project design and implementation. Province and district authorities have adopted more participatory approaches to the design and management of public infrastructure. IFAD, EU and World Bank have made use of project experiences within Ha Tinh, and beyond. Improvements of poor peoples access to formal banks has been limited, as has been wider adoption of education innovations. Some practices such as labour-based technologies, paravet services and education databases have not been successful.

General /Overall progress assessment - Project Outputs

2

Justification

Of the 22 broad output indicator areas covered in the logframe, 15 are considered "achieved". Over the life of the project the membership of S&C groups rose to over 25,000, in the three project districts, greatly exceeding the reach of the banking system in some localities, and becoming one of the largest NGO microfinance schemes in Vietnam. While currently sustainable there are some concerns about longer terms risks to capital. With and without and before after comparisons show some improvements in poor peoples welfare, but there have been negligible internal comparisons of performance which would help strengthen claims. Three sea dykes and more than 25 local irrigation works have been established using participatory planning, implementation, and management methods. Their impact on poor people's lives has been more evident and there has been a strong demand for such developments. Agricultural extension services have been provided in one district with successes in some areas (IPM) but not in other areas (paravets), but no apparent models available for wider adoption. Interventions aided at improving school attendance and performance have had limited success partly because attendance rates were already very high. Locally managed funding mechanisms have been set up at province and district levels to enable replication of project activities. While apparently successful these have not yet been systematically reviewed with a view to promoting their wider use. NGOs have been actively promoting their work beyond Ha Tinh province via mass media and other mechanism, with some evident successes. This has been done opportunistically rather than on the basis of an explicit long-term communications strategy. Finally, formal hand-over agreements are being developed with the Province and Women's Union concerning the management of substantial savings and credit funds. These will be useful models to learn from, if their performance is reviewed in 2006 via an ex-post evaluation, as proposed.

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Log Frame Level		<u>Not applicable</u>	
INPUTS/ACTIVITIES		PERFORMANCE RATING	COMMENTS
(a) Appropriateness (quality):	(a) DFID	Rating	
	(b) Partner	Rating	
(b) Efficiency (quantity):	(a) DFID	Rating	
	(b) Partner	Rating	
(c) Sufficiency (timeliness):	(a) DFID	Rating	
	(b) Partner	Rating	
OVERALL ASSESSMENT*:		Rating	

(*) Including conditionality aspects where relevant

PART B.

Purpose /OVIs	Progress	Comments
<p>District and provincial authorities and other development organisations apply lessons learned from innovative poverty projects being run in Ky Anh, Cam Xuyen, Can Loc and Thach Ha districts.</p>	<p>Some of the methodologies developed under HTPAP are already in use with other agencies working in other parts of Vietnam. The Ha Tinh Government itself has replicated some of the methodologies in other non-project districts. The biggest successes are in savings and credit, water users associations and in involving the poor in various development planning activities. Innovative work from district level interventions has been recognised and used in national level poverty work (e.g. Attacking poverty, Public expenditure review 2000 and the recent 2002 CPRGS consultations). The Ha Tinh Province Hunger Eradication and Poverty reduction policy has been informed by project experiences, and so has their project design and implementation. Province and district authorities have adopted more participatory approaches to the design and management of public infrastructure. IFAD, EU and World Bank have made use of project experiences within Ha Tinh, and beyond. Improvements of poor peoples access to formal banks has been limited, as has been wider adoption of education innovations. Some practices such as labour-based technologies, paravet services and education databases have not been successful.</p>	

Attribution

At the purpose level, this is an "influencing" project, where the targets of influence apply "lessons learned from innovative poverty projects". Under these circumstances, there can only be partial attribution to project outputs. The project has successfully demonstrated a range of innovative interventions, but whether these are adopted by other organisations is affected by a range of

institutional, capacity and incentive factors, many of which are beyond the direct control of the project. However, in many cases a plausible attribution can be made between demonstration and subsequent adoption/replication. This is especially true with S&C methodologies, Water Users Associations and poverty policy lessons.

Purpose to Goal

Direct benefits to poor from HTPAP activities have already been observed. Significant improvements have taken place in poor peoples lives directly as a result of project interventions, especially the extension of irrigation works and associated management improvements, and large scale improvements in poor people's access to savings and credit services. Indirect impacts have occurred beyond Ha Tinh Province through the wider adoption of water users associations, people's supervisory committees on infrastructure development and commune based savings and credit funds. The project has had significant identifiable inputs into national discussions about pro-poor development policies. However, there are weaknesses in the evidence base of lessons learned by other organisations, and savings and credit impact. But benefits to the poor achieved as a results of project lessons being adopted by other organisations will take time, extending beyond the end of the HTPAP in March 2003. This is especially the case with other organisations outside of Ha Tinh. The adoption of lessons has been documented.

DOES LOGFRAME REQUIRE REVISION?

Independent M&E agents (CDS Swansea) recommended that changes be made during the 2000 OPR. However, neither DFID nor the 3 implementing NGOs felt this was important enough to pursue, in the light of a decision some months later that DFID would not extend funding of the programme (because of a change in its country strategy). [See Lessons Learned 1, 4, 9 below]

DO PIMS MARKERS REQUIRE REVISION [Mandatory for projects approved prior to 1.4.98]

Yes, the original PIMS markers (gender equality and human rights) do not adequately capture the range of project activities. The principal PIMS marker is elimination of income poverty and hunger; with significant contributions to gender equality and human rights and empowerment.

Quality of Scoring

We have hired independent consultants throughout the life of the project to assist with M&E functions. The consultants have successfully played a dual role in both building capacity for M&E particularly within the NGOs, and also in quality assurance with the monitoring process itself. For this reason I would say that the quality of data, data analysis and of overall scoring is high.

Lessons learned, and suggested dissemination. For PCRs please comment on (i) Project/Programme Level Lessons, (ii) Sector Level or Thematic Lessons, and (iii) General Development Lessons

A. Programme level lessons

- 1. Analysis of internal variations in performance is as important as with/without and before/after differences.** Information on the impact of project interventions, especially savings and credit, was collected by all three NGOs, with some investing more effort than others. In one case there is both with/without and before/after data on the incidence of poverty. In another there is before and after data. In another people were asked to estimate the percentage of people whose living conditions had improved over the previous period. With investments in irrigation infrastructure evidence was more substantial, in the form of visible and substantial increases in agricultural productivity. However, much less attention has been given to documenting and analysing *internal variations* in performance and impact. Most notably between different savings and credit groups, and to a lesser extent, across different infrastructure works. Major differences do exist in the operations of savings and credit groups and analysis of their causes has the potential to identify new ways of ensuring above average performance, and avoiding below average performance. SCF US's search for "positive deviance" in children's nutritional status in poor households in Vietnam is the most well known effort of this type. This sort of analysis is directly relevant to organisational capacity building efforts. Furthermore, where data on these variations correlates with data available on differences in changes in poverty then this will constitute much stronger evidence of savings and credit having an attributable effect on poverty than simple with/without and before after comparisons of the whole intervention.
- 2. Future plans can undermine present opportunities.** During the OPR in 2000 serious consideration was given to DFID funding a province level replication fund, that would overcome the problems of no evident mechanism for facilitating Purpose level lessons learning from project Outputs at the District level (and for making that process evident). But once it was decided in early 2001 that the HTPAP would not be funded beyond 2002 (at that stage) it was decided that there would not be sufficient time available to see the results of the replication fund. However, as above, one NGO ended up establishing its own replication fund, using money it had been budgeted but not been able to spend through its own programmed activities. The fund's design, and subsequent operation, received much less scrutiny than would have been the case with a fund set up with additional DFID money, as proposed in 2000. Opportunities to learn about how to promote and monitor lessons learning were lost (But see Recommendation 1 below).
- 3. Document replicable work processes, not truisms.** Expectations about the nature of lessons to be identified and disseminated need to be defined early on within a project rather than towards the end. Emphasis should be on documenting in some detail the various *work processes* that lead to achievements in various areas (e.g. establishing savings and credit schemes in new communes, planning, building, managing and evaluating new community based infrastructure works), in such a way that will enable them to be *replicated* elsewhere by others. What is not needed are more homilies and truisms. The latter are the easiest for staff to produce, whereas the former needs more in-depth training around

case examples. Some progress was made, but this was too late in the history of the project to capture details of processes that were no longer being used at that stage (e.g. dyke construction), and others still in use (e.g. irrigation works design).

4. **Target and prioritise the audiences to be influenced.** All three NGOs have been active in communicating their experiences to other audiences outside of Ha Tinh, most notably SCF. Possibly for reasons of economy of effort, the NGOs tended towards broadcasting rather than targeting of their documentation of the lessons learned from their work in Ha Tinh. Yet, as established in 2002, there were clearly some high priority target audiences for each of the main groups of project activities. Communications strategies with disaggregated and prioritised audiences need to be developed early within a project, around the same time as expectations are clarified about the types of lessons that need to be produced. Their absence during much of the programme period suggests a weakness in the “theory of change” about how Outputs should lead to Purpose level changes, both at the programme and individual project level.
5. **Lessons from other organisation’s experiences are most likely to be adopted when a programme or activity is starting up, not after it has been established and running for some time.** It cannot be assumed that three UK NGOs working in adjacent districts over a period of more than 5 years will learn from each others achievements in a common field of work (i.e. savings and credit). A specialist third party (e.g. World Council of Credit Unions) can help draw out lessons and recommendations for the future, but the usefulness of these may be disputed and prevent their adoption. It seems that there is a greater prospect for the adoption of lessons learned by other organisations if they are at the stage of *starting up* new programmes. Even within Ha Tinh the one area where there was significant cross-NGO lessons learning was where one of the NGOs had not been involved in that activity before (i.e. Water Users Associations). Similar findings have been found in organisational ecology studies. One implication is that introducing a *sequence* of organisational partners into a programme may be one means of increasing the adoption of existing lessons learned.
6. **Influencing starts at home, within DFID’s own programme.** DFID is funding 13 other projects in Vietnam through partnerships with other institutions, in other provinces. Although the 3 NGOs have been quite active in promoting the lessons learned from their activities in other provinces in Vietnam they have given relatively little attention to influencing DFID’s own portfolio of projects and associated relationships, even though the environment for doing so would seem to be very conducive. Knowledge of DFID’s portfolio was surprisingly limited. (Perhaps future project designs should contain a mandatory networking with other DFID projects). Following the ending of DFID funding in 2003 one NGO said the relationship was changing from DFID as a partner to DFID as a target of influencing activities. Arguably DFID should always have been seen as such a target, and perhaps the language of partnership here has actually been a problem, encouraging a too comfortable relationship and leading to some important influencing opportunities being overlooked.
7. **The primary focus of a programme plan should be on the *behavior* of the aid agency’s most immediate partners, not events beyond them.** The outputs in the HTPAP Logical Framework should have been focused:

- More on the development by each implementing NGO of an explicit strategy about which local partnership they would engage in and why. Instead these choices were in effect treated by the HPAP project document as tacit background knowledge, with more detailed descriptions being given of material and social outputs generated within the various local partnerships.
- More on NGO's achievements with building the capacity of each of their partners, defined in terms of their partners planning, implementation, monitoring and evaluation capacities, with the outputs of these processes being treated as the *evidence* of the quality of this capacity building work. Progress would have been evident not only in what was achieved, but also the changing nature of partners objectives.

- 8. Outsourcing of programme M&E is not the same as outsourcing of programme management.** Contracting out of DFID's monitoring responsibilities has allowed for much more attention to be paid to monitoring of project progress and to M&E capacity building than would otherwise have been the case. However this process should not be confused with outsourcing of the *project management* role. CDS, the external provider of M&E services, was not in a Project Management role, they did not have the official authority to convert their views into required actions by the implementing bodies (NGOs and their partners in this case). On the other hand DFID was by default still the project manager, but its willingness to make its own explicit judgements about project progress seemed limited (the OPR and PCR were the only reports produced which did so), and it managed the project with a light hand. In future contracts there should be a clear description of the expected relationship between DFID and the outsourcing M&E provider, including how the performance of the latter should be assessed. For example, by the number and percentage of recommendations they produce which are acted upon by their clients (e.g. both DFID and the NGOs). In the process this will make DFID's project role more visible.
- 9. History evaporates, unless attended to.** Projects like the HTPAP are not only generating new knowledge, they also lose it at a disturbing speed. Towards the end of the project a bibliography of project documentation was produced and put on a HTPAP website (www.mande.co.uk/htpap/hatinh.htm). Unfortunately digital copies are now available for only 22% of the 126 NGO documents. The number of documents where hard copies are available is not known, but maybe higher. Collation of project documentation needs to be an ongoing activity from day one, and responsibility for maintenance of copies needs to be built into DFID's contracts with NGOs and other partners. This is especially important in the case of manuals and guidelines. The demand for information builds up over time, and continues after projects end. One example are the requests for information about People's Supervisory Teams, which is now greater than ever, but coming in at a time when the key staff involved are leaving the NGO who developed this approach.
- 10. Knowledge generated should be in proportion to the scale of investment.** In the HTPAP there has not always been a direct relationship between the scale of investment and the value of knowledge produced by those investments, as might ideally be expected. A large amount was invested in labour intensive infrastructure development at the beginning of the project, yet the amount of well documented lessons from this experience is small. On the other hand the amount invested into the development of Water Users Associations has been small, but the lessons

learned have been relatively well documented. In the Savings and Credit area there has been more proportionality between investment made and knowledge generated. Similarly with more recent investments in participatory approaches to community level infrastructure works. In future projects of the HTPAP kind, aimed at generating lessons for adoption by other parties, clear expectations should be stated in the original contract that knowledge generated should be in proportion to investment. And that the failure of greatest concern will be the failure to analyse and document lessons from activities that have not been successful. Not simply the failure of an activity in itself.

B. Sector level or thematic lessons (taken from the November 2002 Hanoi workshop report)

1. People's participation in infrastructure development: Oxfam's experience indicates that Commune-level Peoples Supervisory Teams (PSTs) can be important vehicles in involving local people and authorities in the supervision of small-scale rural infrastructure projects. (a) PSTs play a valuable role in deterring corruption and malpractice, in ensuring transparency and local accountability and in coordinating between different stakeholders. (b) the PST model helps to improve construction quality while controlling project costs, (c) the PST model helps to build the capacity of local people and authorities to manage similar infrastructure projects.
2. Peoples participation in irrigation management. In Can Loc district ActionAid Vietnam (AAV) helped establish Water-Users Association (WUAs) in 7 communes in the Tra Son zone. These WUAs have 75 village branches and more than 8,000 members and are responsible for the maintenance of small-scale irrigation works constructed or rehabilitated with AAV funding. An agreement with the district and provincial Peoples Committees and local irrigation companies allows these WUAs to retain one-third of the irrigation fee collected. This provides local funds for the operation of the WUAs and the maintenance of irrigation works. Involving local people in irrigation works has helped control costs; average investment in AAV-supported communes averaged VND 3m per hectare; Strengthening peoples participation in the management of irrigation schemes, combined with the improvement of irrigation infrastructure, helped improve fee collection rates (to 100% in AAV-supported WUAs) and mobilized further community contributions for additional works; Production has increased with the spread of rice double-cropping; before AAV intervention, few people could plant two crops per annum but by 2001, 2,031 hectares could be double-cropped while yields increased from less than 3.5 mt per hectare in 1998 to more than 4 mt in 2001;
3. Savings and Credit services targeted towards the poor: It is possible to experiment with a range of forms of savings and credit provision within one province, and to achieve large-scale coverage, despite an environment characterised by policy uncertainty. The three NGOs have introduced the concept of poverty focused micro-finance to Ha Tinh. The extension of financial services down to a large number of poor people has been achieved using the proven 'micro-finance' formula of: small loans, lending through groups, regular repayment in installments. The savings and credit programmes have upheld the principle that financial services for poor people should be sustainable, that income should cover costs, that poor people can pay market rates of interest.

4. The limitations of generalists or specialists?: While all three NGOs have been energetically promoting the idea of sustainable micro-finance, WOCCU has argued that the NGO programmes have not paid adequate attention to institutional issues. The operations of many of the CFIs in Ha Tinh are comparable in scale to those of the VBP and the PCFs, yet ownership and governance structures are unclear and staff are often part time and unspecialised. It has also been argued by WOCCU that the NGOs have also not paid adequate attention to the basic infrastructure of accounting, internal controls, management and supervision, although it is recognised that these issues have received more attention in the last two years. However, one of the three NGOs has questioned this analysis and suggested instead that the problem is in the types of solutions being proposed by WOCCU, operating as a specialist NGO with its own preferences, not one operating simply as an independent analyst.

C. General development lessons

These are not new lessons, rather they are lessons that have been around but not yet been fully learned, in the sense of leading to different development practice.

1. The difficulty of extracting the lessons available from failures. All three NGOs have been able to identify particularly successful project activities, which have generated useful lessons and identifiable practices that can be replicated elsewhere. What has been much more difficult is to obtain adequate documentation about failures. Knowledge about these is equally important, if only to discourage others from going down the same path. This is especially important where there have been substantial expenditures at stake. The most notable example being the funding of some dyke construction works in the early years of the project. There have also been others on smaller scale, involving paravets, Education Department MIS systems, and savings and credit models that did not work. Perhaps what every large programme should produce is a "Book of Bad Practice" built up of from anonymous contributions if necessary, and perhaps published some years after the events concerned (which would be better than not being published at all). It could also be argued that CDS has not been sufficiently systematic and critical in its examination of the reviews commissioned by the NGOs, some of which focus almost wholly on the successes, and which have negligible critical content. More use could also have been made of specialist external evaluations, whose results could have been used as major inputs into the annual review workshops. People's participation and specialist expertise need to be combined.
2. The time it takes for attitudes to change. Over a period of five years one change that has been noticeable is that of increased openness by participants in the various annual province and district workshop. While there is still a substantial ritualistic element to people's participation in these events there have also been a number of times when quite critical comments have been made, of a kind not seen at the beginning of the project. While this is partly due to wider changes in Vietnamese society it also seems likely that the continuing emphasis on participatory approaches to development by all three NGOs over almost a decade in Ha Tinh has helped encourage these developments in the province.

Observing these changes is difficult because few development workers, especially foreigners, remain in the same location for such periods of time. We need to develop ways of bringing in a historical perspective into the very time-bound worlds of individual aid projects and country programmes.

3. Success may be irrelevant. SCF feel that their savings and credit programme has been successful. However, changes in SCF's global policies mean that they will no longer become involved in savings and credit activities, and will withdraw from those they are involved in. Although successful, AAV are moving away from large-scale irrigation works, because of a re-orientation towards a rights based approach. Oxfam has been similarly successful yet is also moving away from infrastructure for wider policy reasons. DFID Vietnam feel the HTPAP itself has also been successful (see ratings given in this PCR), but again because of changes in the over-arching country strategy, they will no longer be supporting this type of project. One implication for DFID is that it should not be simply adding up or averaging project ratings via PRISM to get an idea of its global success. That would be misleading. At the very least those ratings need to be weighted by the degree to which they are *aligned* with DFID's current priorities, as expressed in its various strategy papers. The other implication is that much more attention needs to be paid to ensuring that the performance of country strategies is monitored and evaluated. An essential first step is to make sure that they are at least *evaluable* (e.g. are there a clear set of priorities, can these be related to budget allocations, and is there in-built M&E plan? etc).

For further information on all the above see the HTPAP bibliography at www.mande.co.uk/htpap/hatinh.htm

Part C

Key Issues / Points of information. For PCRs please comment on Sustainability

1. There are two major investments where sustainability issues are a concern: (a) savings and credit services in three districts, (b) community based infrastructure development in two districts. These have also been the two largest areas of investment (See Recommendation 1 below)
2. There are important sustainability issues *within the lifespan of a project*, most notably within the last six months. Staff, out of understandable self-interest, start looking for and moving off to other positions with longer term prospects. With them can go much of the history of the project, or knowledge of where to find that history in documented form. This is at the time when the most important lessons from the projects' experience should be becoming evident. Maintaining interest in the HTPAP has become more difficult at the very time that any worthwhile results should be more evident than before. And, based on recent experience, when there is more interest by other parties in those results, than ever before.
3. The HTPAP experience, possibly like many others, raises important questions about what is an appropriate lifespan for a project that aims to test approaches at the field level and then use the knowledge generated to influence policy at the national level. Or whether such tasks should be *partitioned* into separately managed projects, the second of which is concerned about collating, and promoting the lessons learned from a range of HTPAP-type projects, with some degree of independence from the various experiments on the ground.

Recommendations	Responsibility	Date for completion
1. An ex-post evaluation in 2005 of specific aspects of the HTPAP (esp. savings and credit, and infrastructure development), as spelled out in the attached TORs. This should be planned as an input into the review of the 2003-2006 CAP, and referred to in the text of the 2003-2006 CAP	DFID Vietnam	Late 2005 prior to the review of the 2003-2006 CAP

which relates to CAP review procedures		
2. The review of the 2003-2006 CAP should also include examination of the evidence for the contested view that in not continuing funding for the HTPAP beyond March 2003 DFID has cut itself off from access (via NGOs) to information about policy implementation and people's lives the grassroots level. And the counter-view that co-funding of some multilateral projects has provided DFID with alternative avenues for obtaining such information.	DFID Vietnam	During the review of the 2003-2006 CAP
3. The HTPAP web site should be maintained until at least the completion of the review of the 2003-2006 CAP. Copies of all documents available on that site should be recorded on a CD, with copies going to all three NGOs and DFID Vietnam, the NGO Resource Centre and the Vietnam Development Information Centre	CDS	2006
4. Hard copies of all the (non-digital) documents listed on the HTPAP website should be kept in an accessible archive by each of the three NGOs until at least 2006.	Oxfam, AAV, SCF	2006

Review team:	CDS Swansea (Davies) and DFID Vietnam (Johnson)
People met:	Staff of ActionAid Vietnam, Save the Children UK, Oxfam UK, and Ha Tinh province and district officials during the final annual review workshop held in Hanoi in November 2002, and in meetings in late April 2003

Scoring system:

1 = likely to be completely achieved

2 = likely to be largely achieved

3 = likely to be partially achieved

4 = only likely to be achieved to a very limited extent

5 = unlikely to be realised

x = too early to judge extent of achievement

