



RESULTS REPORT 2017

CAPACITY DEVELOPMENT FOR THE PLANNING REFORM (CDPR)

VIETNAM

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Acronyms

BTC	Belgian Technical Cooperation, the Belgian development agency
DNEI	Department of national Economic issues
M&E	Monitoring and Evaluation
PIL	Public Investment Law
CD	Capacity Development
ITA	International Technical Adviser
MTIP	Medium term Investment Plan
SEDP	Socio Economic Development Plan
PAPI	Provincial Public Administration and Governance Index
PCU	Provincial Competitiveness Index
MPI	Ministry of Planning & Investment
IR	Impact Risk
OR	Outcome Risk
RR	Result Risk

1 Intervention at a glance

1.1 Intervention form

Title of the intervention	Support to Capacity Development for the Planning Reform
Intervention number	NN 3013832
Navision Code BTC	VIE 12 048 11
Partner Institution	Ministry of Planning and Investment (MPI), Department of National Economic Issues (DNEI)
Duration of the intervention	48 months (Validity of Specific Agreement 60 months)
Start of the intervention	2014
Vietnamese Contribution	300,000 EUR
Belgian Contribution	4,000,000EUR
Sector DAC code	15110
Brief description of the intervention	The project shall focus on the strengthening of the capacity of central level, provincial and some selected local authorities in the preparation, monitoring and evaluation of plan and budgeting through an improved legal framework, training of trainers, training of selected central ministries and key planning staff at provincial level, continued learning and sharing information on international planning experiences and best practices, as well as more in depth capacity building activities for selected sub provincial authorities.
General Objective	To improve the preparation and implementation of the Socio-economic Development Plan through improved planning and budgeting for pro-poor and pro-growth policies and interventions
Specific Objective	To strengthen the capacity of (selected) national and sub national governments in improved planning and budgeting
Results	<p>R1. The legal framework for the planning reform is improved</p> <p>R2. The capacity of MPI to support capacity development of sub-national authorities in the area of planning and M&E is strengthened</p> <p>R3. The capacity of provincial authorities and line ministries to develop, adopt and implement improved planning and M&E systems is strengthened</p> <p>R4. The capacity of selected local (districts+ communes) authorities to develop, adopt and implement improved planning and M&E systems is increased</p>

1.2 Budget execution

	TFF	Modified	Expenditure (EUR)*				Cumulative	Disbursement
	Budget	Budget PSC	2014	2015	2016	2017	End 2017	End 2017
Total	4,000,000	4,000,000	319,061	821,754	758,471	1,518,944	3,418,230	85%
Output 1	358,000	468,000	101,976	150,158	45,560	174,440	472,134	101%
Output 2	545,000	357,000	9,644	110,215	143,302	48,766	311,926	87%
Output 3	845,000	994,000	39,883	243,413	306,207	474,115	1,063,618	107%
Output 4	481,500	526,925	0	0	2,826	523,772	526,598	100%
General means NEX	641,240	524,815	59,160	131,112	125,233	109,923	425,427	81%
NEX Total	2,870,740	2,870,740	210,663	634,898	623,127	1,331,015	2,799,703	98%
NEX Total Cash Call	2,870,740	2,870,740	250,000	770,000	1,180,000	600,000	2,800,000	98%
REGIE Total	1,129,260	1,129,260	108,398	186,856	135,344	187,929	618,528	55%

*Average exchange rate of 25 041 VND/EURO

1.3 Self-assessment performance

1.3.1 Relevance

	Performance
Relevance	B

The Vietnamese planning system has continuously evolved over the last decades to adapt to a market economy and to a state increasingly involved in public services delivery and less in economic implementation. Several positive incremental changes have been launched. The primary responsibility for detailed preparation of plans has been shifted to spending agencies (Provinces and line Ministries) while MPI and MoF provide general orientations and budget constraints. Since 2003, substantial planning responsibilities have been devolved to local authorities including Districts and Communes. This has considerably shifted the former top-down approach to a more bottom-up approach integrated in the SEDP. However a legal framework clarifying the scope, principles and broad timeframe of the intended reforms remained to be adopted. The move from top-down to more bottom-up planning and the attempts to make planning more participatory and better results-oriented, however, continued to take place within a system of hierarchical subordination and vertical integration of plans at all level inherited from the pre-Doi Moi days. Recent advances of decentralization reforms, inevitably produces tensions with that model.

In the aftermath of the financial crisis, the GoV focused on the reform of the Public Investment. Indeed, the impact of public investment on the GDP shows declining trend due to Public Investment management (PIM) inefficiencies. Increasing the efficiency of Public Investment to enhance the impact on growth became a top priority for the GoV and more specifically for MPI. While 2013 and 2014 was focused on a complete reform of public investment management and preparation of the first Public Investment Law, 2015 focused on the implementation of the new Public Investment Law. Besides that the State Budget law means an overhauls of the budgeting process by including three year rolling budgets.

The introduction of both laws has encountered expected difficulties. There is fierce resistance to

curbing discretionary powers of leadership on one end, on the other end, more is expected of a civil service that needs enhanced capacity, digitization and updated workflows. Both laws need to be harmonized and procedures need to be coordinated between ministries (MOF, MPI). ODA, as it is “on budget”, was an unfortunate victim of the situation: procedural incompatibilities and capacity issues at various levels of government, in particular at the lower levels, created an important backlog in ODA disbursements.

Furthermore, the idea of a merger of MPI with MoF has gained momentum. The basic argument for a merger is to increase efficiency and effectiveness : there should be less coordination issues within one unified ministry compared to the actual set-up.

The recent promotion of the PMU Director to another department caused an accelerated implementation rythm with an anticipated closing down of CDPR by April 2018. Innovative backstopping has thus been discarded and inevitably, cooperation with DNEI has been loosening.

1.3.2 Effectiveness

	Performance
Effectiveness	B

With the approval of the first Public Investment Law and the preparation of the decrees on the implementation of the law and of the Medium term investment plan, an important part of result 1 has been achieved. In addition, the project has focused on the training of all provinces , sub-provincial level and line ministries on the new PIL and on the preparation of MTIP.

Although resistance to change exists, the NA has endorsed further implementation of both laws without fundamental amendments. This sets the scene for use of spatial planning (an important upcoming issue): its legal underpinnings of property rights, credible appeals regulation and economic use of resources. This would mean a clear transition towards a government system as in most developed nations: SEDP as such is replaced by something like a government declaration and a program law, comparable to for instance Belgium.

The CDPR adjusted its main focus as to assure effectiveness in a rapid changing institutional environment : support the dissemination of PIL nationwide and across all levels of government.

1.3.3 Efficiency

	Performance
Efficiency	B

The project is making good progress towards strengthening the capacity of national and subnational levels in improving Public Investment management and medium term investment plan. In view of the general situation, speed with which dissemination is done is the priority. In view of the limited resources, Capacity Development priority gravitates around staff trainings postponing other levels of CD to a later stage. The endorsement of the National Assembly to maintain the PIL notwithstanding implementation resistance underscores the political will to succeed. The efficiency of the CDPR support is expressed by its nationwide, all levels scope and related high disbursements levels.

1.3.4 Potential sustainability

	Performance
Potential sustainability	B

The PMU is very well linked and integrated within the MPI/DNEI thereby increasing the sustainability prospects. As stated above, the presence of former DNEI director within the PMU increases this integration. On the downside, institutional changes could constrain future sustainability.

Sustainability is positively nurtured through the full ownership of the intervention through the NEX modality.

2 Implementation status

After 44 months of operations (out of 48), the CDPR has achieved the following results:

Result 1 The legal framework for the planning reform is improved

The result 1 expenditures as of 31/12/2017 amount to 466.416 EUR which gives an execution rate of 100 % Indicators are mostly achieved.

- The legal framework of Public Investment has benefited from the first Public Investment Law of Vietnam; prepared with the support of the CDPR. The PIL became effective in January 2015. Since then, the CDPR supported MPI with drafting key implementation guidelines (decrees, circular, directives, decisions) This completes the Law to become a comprehensive legal framework for the management of the entire public investment process, from investment decision, capital source verification to project implementation, monitoring and evaluation
- The Socio-economic development plan 2016-2020 was approved by the National Assembly in Resolution no. 142/2016/QH13 dated 12 April 2016. CDPR supported this process mostly at the finalisation stage.
- Medium-term public investment plan 2016-2020 was approved by the National Assembly in Resolution no. 26/2016/QH14 dated 10 November 2016. CDPR focussed its support this mainly by reporting systems and M+E.
- Baseline survey results first draft will be available by 15 January 2018

Result 2 The capacity of MPI to support capacity development of sub-national authorities in the area of planning and M&E is strengthened

The project result 2 expenditures as of 31/12/2017 amount to 318.557 EUR which gives an execution rate of 88 %; The indicators are mostly achieved.

- MPI capacity to support SNG has put in evidence by the fact that 560 provincial staff are trained on several topics
- Focus and a clear strategic approach that includes elements such as ToT, coaching and care taking, peer to peer exchange, is not yet available.
- The helpdesk for provincial authorities is functional as well as the CDRP website.
- Baseline survey results first draft will be available by 31 January 2018

Result 3 The capacity of provincial authorities and line ministries to develop, adopt and implement improved planning and M&E systems is strengthened

The project result 3 expenditures as of 30/11/2017 amount to 1.070.497 EUR which gives an execution rate of 98 %.

- Publication of the Provincial planning handbook is a real milestone in achieving result 3. 1000 copies have been printed and distributed
- The training needs assessment of the five pilot provinces shows that technical tooling up is seen as key to enhance the planning capacity.
- As mentioned above, basic training of 560 provincial staff has taken place. The combination of basic training and Capacity assessments are the basis for next years activities.

- Regular update of the project website containing all information's related to the PIL and MTIP for local authorities and line ministries. <http://www.cdpr.org.vn/index.php/vi/>
- Baseline survey results first draft will be available by 15 January 2018

Result 4 The capacity of selected local (districts+ communes) authorities to develop, adopt and implement improved planning and M&E systems is increased

The project result 4 expenditures as of 30/11/2017 amount to 527.666 EUR which gives an execution rate of 99 %.

The low priority of execution is in line with the project implementation logic. Result 4 needs to build upon the achievements of result 1 to 3. But given the actual political landscape, there are not enough resources available to achieve this result fully at this point in time.

Baseline survey results first draft will be available by 31 January 2018

Overall

The project overall expenditures as of 30/11/2017 amount are close to 100% overall ; The outcome indicators will be mostly met at project end.

- The MTR confirms that the indicator on linkage between plan and budget has been improved.
- The satisfaction of SNG with MPI support services (technical and legal) indicator has not been monitored. The increasing use of the MPI website and helpline suggests that good quality service is provided.
- The baseline study ex post is expected to confirm good results achievements.

2.1 Conclusions

The CDPR project has known an accelerated implementation. Given the political environment, a shift of focus towards staff training (nation wide and across all levels) has proven to be pertinent, effective, efficient and geared towards sustainability.

In terms of capacity development, main emphasis lies on institutional support such as improving the legal and regulatory framework. With PIL and SEDP legal and regulatory frameworks in place, MPI has significantly increased its capacity to perform.

On the organisational level inputs have been delivered in terms of supporting help desking and website updating. Less emphasis was on consolidating roll out models, systemic feedback on capacity assessment and quality control. Given the situation, resources needed to be prioritized.

At the individual level of capacity development, one notes a great effort on much needed and appreciated staff training at ministerial as well as at local level.

- Cooperation

The PMU is a quasi integrated part of MPI. Although on the onset of the project, the implication of other line ministries was foreseen. The heads of planning departments of important line ministries are involved. The reality obliges the project to focus on certain aspects of a huge task. The primary focus is

thus on MPI as support capacity of CDPR is limited in time and funds. This focus does not hamper reaching the foreseen results.

- Steering

The PSC is an efficient and well performing steering instrument to set out the major lines of the project. At implementation level, the PMU is organised through

- Process

The core process of CDPR can be described the following diagram :



The success of this capacity building exercise is determined by balancing the improvements on all 3 levels of Capacity development as to deliver high quality CD to local government. This delicate balance however is strongly influenced by the institutional environment and the constraints on resources (human as well as financial). Good governance imposes thus to set priorities for the immediate future and postpone other aspects to the to intermediate future (and thus beyond the time scope of the CDPR).

- Learning

Website development and helpdesking are 2 items contributing to continuous learning. Consolidation and perfecting this with e.g. developing / implementing CD strategies, peer-to-peer exchanges, publications and cooperation with the academic world could result in an outstanding resource centre at the service of other ministries and above all to local authorities nationwide.

A significant effort was made to support in house expertise development. This enhanced capacity to support and train Sub National Government levels as a means to consolidate evolution of institutions and legal frameworks.

National execution official	BTC execution official

3 Results Monitoring¹

3.1 Evolution of the context

3.1.1 General context¹

Vietnam's shift from a centrally planned to a market economy has transformed the country from one of the poorest in the world into a lower middle-income country. Vietnam is a development success story. Political and economic reforms (Doi Moi) launched in 1986 have transformed the country from one of the poorest in the world, with per capita income around \$100, to lower middle income status within a quarter of a century with per capita income of over \$2,000 by the end of 2014.

Vietnam has also made remarkable progress in reducing poverty. Using the \$1.90 2011 PPP line, the fraction of people living in extreme poverty dropped from over 50% in the early 1990s to 3% today. Concerns about poverty are increasingly focused on the 15% of the population who are members of ethnic minority groups. These groups account for more than half the poor, and progress on ethnic minority poverty reduction has slowed.

Vietnam's growth rate averaged 6.4% per year in the 2000s, but began to slow in the wake of the global financial and economic crisis. However, driven by strengthening domestic demand, GDP has leveled to 6.1% during the first half of 2016. Vietnam has managed to maintain macroeconomic stability, with the consumer price index rising 3.5% year-on-year in August 2016, up from 0.6% a year earlier.

According to a recent report co-published by the Government of Vietnam and the United Nations in September 2015, Vietnam has completed a number of MDGs and targets such as (i) eradicate extreme poverty and hunger, (ii) achieve universal primary education, (iii) promote gender equality in education and it has achieved certain health-related indicators such as reducing the maternal mortality ratio and the child mortality ratio. The country also achieved the target for malaria and tuberculosis control as well as combating the HIV/AIDS prevalence rate and is on the way towards reaching the targets for universal access to reproductive health services and improving maternal health.

The Socio-Economic Development Strategy (SEDS) 2011-2020 gives attention to structural reforms, environmental sustainability, social equity, and emerging issues of macroeconomic stability. It defines three "breakthrough areas": (i) promoting human resources/skills development (particularly skills for modern industry and innovation), (ii) improving market institutions, and (iii) infrastructure development.

The five-year Socio-Economic Development Plan (SEDP 2011-2015) elaborated objectives for the first five years of the SEDP including high quality and sustainable economic growth, improved living standards of ethnic minority populations, strengthened environmental protection; and mitigation and prevention of the adverse impacts of climate change. In addition to the elaboration of three SEDS breakthrough areas, the SEDP 2011-2015 identified three critical restructuring areas – the banking sector, state-owned enterprises (SOEs) and public investment that are needed to achieve these objectives. However, the SEDP 2016-20 acknowledges the slower than expected progress of the reform priorities of the SEDP 2011-2015 and emphasizes the need to accelerate these reforms in 2016-2020 to achieve the targets set in the 10-year strategy. The SEDP 2016-20 strategy to reach its set economic, social and environmental goals is gravitating around 3 major « breakthroughs » : perfecting the socialist-oriented market economy, develop human resources and the modernisation of infrastructure.

¹ Impact refers to global objective, Outcome refers to specific objective, output refers to expected result

3.1.2 Institutional context

One of the major changes of the institutional framework since the formulation is the finalisation and the approval of the Public Investment Law (PIL) by the National Assembly in June 2014. The PIL addresses many shortfalls in the PIM in Vietnam and will help improve spending in public investments. The new law sets out specific regulations, from developing plans to assessing and approving investment projects, thus promoting management and ensuring transparency in the use of State resources, as well as enhancing anti-corruption efforts and financial caution in investment and construction. It clarifies roles and responsibilities between the various agencies and level of governments and defines the appraisal process, crucial initial step towards deciding the suitability and efficiency of public investment projects and programmes in line with the Party and State's targets, visions, planning, and development policy. Last but not least, the Law specifies programs and projects that are subject to community supervision. Vietnam Fatherland Front committees will organize the supervision. The Law also specifies the order, procedures and process of investment supervision.

The PIL also sets the framework for setting public investment in a medium term perspective by establishing the preparation of medium term public investment plan (MDIP). The MDIP more clearly links Public investment planning with budget.

The MTIP is part of the SEDP. The PIL consequently set the way for the preparation of the SEDP 2016-2020.

In June 2015, the National Assembly also adopted a new State Budget Law that will help to further modernize the State Budget system and enable it to meet the development challenges of a Middle-Income Vietnam. This include increasing budget transparency, bringing spending decisions closer to people providing more opportunity to reflect local choices and preferences in budget allocations, bringing more discipline in implementing approved spending plans and consolidating reporting on all activities of the public sector so that the government, the National Assembly and citizens have a fuller picture of fiscal policy.

2016 has been the year for the approving the next 5-year socio-economic development plan (2016-2020). It implied numerous briefings/trainings for the local authorities and the line ministries to adopt the new PIL modalities as well as to prepare the 5 years MTIP and SEDP. The CDPR was instrumental in support MPI in this endeavor.

3.1.3 Management context: execution modalities

Like the previous project, the CDPR is implemented in National Execution Modality (NEX) The SPR was the first project of Belgium bilateral aid in Vietnam to be managed in NEX. The CDPR PMU consequently has a long experience in managing NEX project.

The MPI/DNEI has full ownership of the project.

3.1.4 Harmo context

The CDPR project builds upon more than a decade of support to the planning system both at central and decentralized level. As many as 63 provinces have undertaken planning reform initiatives, especially at commune's levels and for some at the district level. Some have even institutionalized the local planning processes for the communes and districts. Many development partners have had projects supporting the planning reform or grassroots democracy which impact on the local planning and budgeting process.

The stocktaking of SEDP pilot activities in provinces and line ministries (MARD) did not take place. Lessons learned from those planning reform experiments were already known to MPI.

3.2 Performance outcome



3.2.1 Progress of indicators²

3.2.1 Outcome level

Results/Indicators	Baseline Value (2016)	Final target value	2016	2017	Target	Unit	Source of verification	Frequency of data collection	Start-end measurements	Responsible for data collection	Responsible for consolidation
OUTCOME (OC): To strengthen the capacity of (selected) national and sub-national governments in improved planning and budgeting³											
II.1 Linkage level between planning and budgeting in local SEDPs	3,5	4,2	3,5	4,3	4,2	Linkage level ⁴	Project midterm and final M&E reports	Every 2 years	2016-2018	Project (Independent consultants in Project midterm and final evaluation)	Project
II.2 Participatory level of local people and civil society in designing and implementing sub national SEDPs	3,1	4,0	3,1	4,1	4,0	Participatory level ⁵	Project midterm and final M&E reports	Every 2 years	2016-2018	Project (Independent consultants in Project midterm and final evaluation)	Project
II.3 Satisfaction level of sub national staff to MPI's technical supports	3,8	4,5	3,8	4,6	4,5	Satisfaction level to MPI's technical supports ⁶	Project midterm and final M&E reports	Every 2 years	2016-2018	Project (Independent consultants in Project midterm and final evaluation)	Project

² Indicators have been updated on the basis of the baseline survey

³ Baseline values (calculated for 2016) and target values (estimated for 2018) are calculated from surveys in 5 selected provinces by the project to improve planning and budgeting under baseline report process and are average values of assessment levels of local staffs.

⁴ 5 levels: 1. Very not linked, 2. Not linked, 3. On average, 4. Linked, 5. Very linked

⁵ 5 levels: 1. Very limited, 2. Limited, 3. On average, 4. Relatively Participatory, 5. Very participatory

⁶ 5 levels: 1. Very not promptly; 2. Not promptly, 3. On average, 4. Relatively promptly, 5. Very promptly

Results/Indicators	Baseline Value (2016)	Final target value	2016	2017	Target	Unit	Source of verification	Frequency of data collection	Start-end measure -ments	Responsible for data collection	Responsible for consolidation
II.4 Satisfaction level of sub national staff to MPI's legal supports	3,7	4,4	3,7	4,5	4,4	Satisfaction level ⁷ to MPI's legal supports	Project midterm and final M&E reports	Every 2 years	2016-2018	Project (Independent consultants in Project midterm and final evaluation)	Project
II.5 Satisfaction level of sub national staffs to the M&E system introduced by the project	3,8	4,3	3,8	4,3	4,3	Satisfaction level ⁸	Project midterm and final M&E reports	Every 2 years	2016-2018	Project (Independent consultants in Project midterm and final evaluation)	Project

3.2.2 Analysis of progress made

The NA approval of the Public Investment Law in June 2014 and the MTIP are important stepping stones for the planning reform. It consequently set the direction for the planning decree. It provides the CDPR with the basis for the capacity development of local authorities and LM. This will be complemented by the capacity development plan currently under preparation.

⁷ 5 levels: 1. Very not sufficient; 2. Not sufficient, 3. On average, 4. Relatively sufficient, 5. Very sufficient

⁸ 5 levels: 1. Very not satisfied; 2. Not satisfied, 3. On average, 4. Relatively satisfied, 5. Very satisfied

3.2.3 Potential Impact

While it is too early to assess the progress of the intervention towards the outcome only 8 months in the implementation of the project, the passing of the new Public investment law and the adoption of the medium Investment plan is quite a revolution and Vietnam and pave the way for improving the efficiency of public investment in Vietnam thereby contributing to stimulating and improving economic growth.

3.3 Performance output 1



3.3.1 Progress of indicators⁹

Results/Indicators	Baseline Value (2014)	Final target value	2014	2015	2016	2017	2018	Unit	Source of verification	Frequency of data collection	Start-end measurements	Responsible for data collection	Responsible for consolidation
OUTPUT 1 (OP1): The legal framework for the planning reform is improved													
III.1 Public investment law is passed by NA	0 ¹⁰	1	1 ¹¹	0	0	0		Law	Legal document system, government's website	Once	2014-2018	Project (M&E staff)	Project
III.2 Decree on mid-term and annual public investment planning is issued by the government	0	1	0	1	0	0		Decree	Legal document system, government's website	Once	2014-2018	Project (M&E staff)	Project
III.3 Decree to guide some articles of PIL is issued by	0	1	0	1	0	0		Decree	Legal document	Once	2014-2018	Project (M&E staff)	Project

⁹ Indicators have been updated on the basis of the baseline survey

¹⁰ In April, 2014 when the project started.

¹¹ In June, 2014 when PIL was approved by the National Assembly.

Results/Indicators	Baseline Value (2014)	Final target value	2014	2015	2016	2017	2018	Unit	Source of verification	Frequency of data collection	Start-end measurements	Responsible for data collection	Responsible for consolidation
the government									system, government's website				
III.4 MPI annually issues guidelines on public investment planning	No ¹²	Yes	Yes ¹³	Yes	Yes	Yes	Yes	Yes/No	Government's website	Annually	2014-2018	Project (M&E staff)	Project
III.5 Degree of the implementation of selected authorities in "new method" in designs and M&E activities for sub national SEDPs proposed by the project ¹⁴	1,8 (2016)	2,3			1,8	2	2,3	Degree ¹⁵	Project midterm and final M&E reports	Every 2 Years	2016-2018	Project (Independent consultants in Project midterm and final evaluation)	Project

¹² In the second quarter of 2014 when the project started.

¹³ In the third quarter of 2014 when MPI issued the guideline of 5318/BKHDT-TH

¹⁴ Baseline values (calculated for 2016) and target values (estimated for 2018) are calculated from surveys in 5 selected provinces by the project to improve planning and budgeting under baseline report process and are average values of assessment levels of local staffs.

¹⁵ Level 1: Not implemented; Level 2: Implemented in several areas; 3. Widely implemented.

3.3.2 Progress of main activities

Progress of <u>main</u> activities ¹⁶	Progress:			
	A	B	C	D
1. Support drafting of required legal and regulatory instruments	A			
2. Support the elaboration of MPI circular(s) and guidelines on improved central and decentralised planning process	A			
3. MPI circular(s) on incentives for local development and resources mobilization	NA			
4. Identify, facilitate the alignment of external initiatives with the revised legal framework and guidelines	NA			
5. Review and update the planning reform circulars/guidelines based on lessons learned from implementation	NA			

3.3.3 Analysis of progress made

The Project has supported Ministry of Planning and Investment on the following issues:

1. Finalizing the draft 5-year medium-term socio-economic development plan 2016-2020. This plan has been reported to the Government by Ministry of Planning and Investment and submitted to the National Assembly for

¹⁶ A: The activities are ahead of schedule
 B: The activities are on schedule
 C: The activities are delayed, corrective measures are required.
 D: The activities are seriously delayed (more than 6 months). Substantial corrective measures are required.

issuance in the eleventh session of the XIIIth National Assembly.

2. Finalizing the draft Circular on reporting of public investment budget plan and programs, formulating and implementing M&E of medium-term and annual public investment plan. The purpose of this circular is to improve upon . The target audience are the central Ministries, agencies, departments within the Ministry of Planning and Investment and the five selected provinces.

Commented [ED1]: highlight

3. Instructions on the implementation of Decree no. 136/2015/ND-CP in May and June to central Ministries, agencies, sub-national authorities and departments within the Ministry of Planning and Investment. This decree concerns

Commented [ED2]: topic and specific issue

4. Finalizing the Medium-term public investment plan 2016-2020. The National Assembly has issued the Resolution on Medium-term public investment planning 2016-2020 in November 2016 (Resolution no. 26/2016/QH14 dated 10 November 2016). The main point of interest was

Commented [ED3]: highlight

5. Formulating the draft Action Program of the Government for the 2016-2021 tenure.

6. Gather inputs for the formulation of the Resolution on primary objectives and solutions of managing and implementing the socio-economic development plan and State budget estimation 2017.

The improvement of the legal framework for the planning reform has indeed advanced significantly over the year 2016. One can observe a shift of emphasis of government policy towards MTPI planning rather than SEDP (see also 1.3.1. relevance of the project).

3.4 Performance output 2

3.4.1 Progress of indicators¹⁷

Results/Indicators	Baseline Value (2014)	Final target value	2014	2015	2016	2017	2018	Unit	Source of verification	Frequency of data collection	Start-end measurements	Responsible for data collection	Responsible for consolidation
OUTPUT 2 (OP2): The capacity of MPI to support capacity development of sub- national authorities in the area of planning and M&E systems is strengthened													
IV.1 The number of training course and guiding workshops provided by the project for MPI staffs	1		1	8	6	2		Number of training courses and guiding workshops	Training final report/minutes	Annually	2014-2018	Project (M&E Staff)	Project
IV.2 The number of MPI staff to be trained and guided by the project	42		42	330	248	30		Number of participants	Training final report/minutes	Annually	2014-2018	Project (M&E Staff)	Project

¹⁷ Indicators have been updated based on the baseline survey

Results/Indicators	Baseline Value (2014)	Final target value	2014	2015	2016	2017	2018	Unit	Source of verification	Frequency of data collection	Start-end measure - ments	Responsible for data collection	Responsible for consolidation
IV.3 Website is regularly updated	No ¹⁸	Yes	Yes ¹⁹	Yes	Yes	Yes	Yes	Yes/No	Online Website	Quarterly	2014-2018	Project (M&E Staff)	Project
IV. 4 Helpline for provincial policy makers and planners is online	No ²⁰	Yes	Yes ²¹	Yes	Yes	Yes	Yes	Yes/No	Online Helpline	Quarterly	2014-2018	Project (M&E Staff)	Project
IV.5 Satisfaction level of sub national staffs to website and helpline supports by MPI	3,2 ²²	4,6	3,2		3.77		4,6	Satisfaction level ²³	Project midterm and final M&E reports	Every 2 Years	2014-2018	Project (Independent consultants in Project midterm and final evaluation)	Project

¹⁸ 2nd quarter of 2014

¹⁹ 4th quarter of 2014 when the project started to support

²⁰ 2nd quarter of 2014

²¹ 4th quarter of 2014 when the project started to support

²² 4th quarter of 2014 when the project started to support

²³ 5 levels: 1. Very not satisfied; 2. Not satisfied, 3. On average, 4. Relatively satisfied, 5. Very satisfied

3.4.2 Progress of main activities

Progress of <u>main</u> activities ²⁴	Progress:			
	A	B	C	D
1 Develop a CD strategy in the area of planning and M&E		B		
2. Organize a capitalization exercise of CD support in the area of planning	cancelled			
3. Carry out an assessment of individual CD needs for the planning reform		B		
4. Strengthen the MPI organisation for training and support to individual capacity development of sub-national authorities		B		
5. Create a core group of skilled planners/facilitators within MPI		B		

3.4.3 Analysis of progress made

MPI was supported in 2016 in providing services to Sub National Governments on Planning and budget issues through:

1. Capacity development strategy

- a. - The Project has hired experts to continue formulating instruction documents for departments within Ministry of Planning and Investment on finalizing State Budget-funded medium-term public investment plan 2016-2020 and annual plan 2017, and on provisional allocation of State Budget-funded medium-term public investment funds 2016-2020 and annual fund 2017 for central Ministries, agencies and sub-national authorities.

²⁴ A: The activities are ahead of schedule
 B: The activities are on schedule
 C: The activities are delayed, corrective measures are required.
 D: The activities are seriously delayed (more than 6 months). Substantial corrective measures are required.

- b. The Project has held a workshop on formulating 5-year medium-term public investment plan 2016-2020 and annual public investment plan 2017 for departments within Ministry of Planning and Investment.
- c. A comprehensive Capacity Development strategy is only partially available through the training needs assessment. Once staff is aware of and knowledgeable of the new tools and expected results, CD at organisational level and institutional level can be assessed more efficiently.

2. Individual CD needs assessment

An assessment on training needs has been conducted in the 5 selected provinces (Phu Tho, Nam Dinh, Ha Tinh, Gia Lai, Ben Tre). The needs at institutional and organizational level of these provinces' provincial and sub-provincial authorities are not yet assessed. The report (April 2016) suggests that technical tooling up is paramount and prior to organisational and institutional capacity improvement.

3. Training support system

CDRP support MPI on the following training support issues

- a. Project website is regularly updated with more than 20 000 hits up to now
- b. The "hotline" is operational and adequate expertise is available.
- c. The concept of Core Group of skilled planners needs consolidation
- d. Manual production: 2 manuals have been published and distributed:
 - i. Law on Public Investment and its implementation legislations
 - ii. State Budget Law, Construction Law, Bidding Law and their implementation legislations

3.5 Performance output 3

3.5.1 Progress of indicators²⁵

Results/Indicators	Baseline Value (2014)	Final target value	2014	2015	2016	2017	2018	Unit	Source of verification	Frequency of data collection	Start-end measurements	Responsible for data collection	Responsible for consolidation
OUTPUT 3 (OP3): The capacity of provincial authorities and 2-3 line ministries to develop, adopt and implement improved planning, and M&E systems is increased													
V.1 The number of training course and guiding workshops provided by the project for provincial authorities	1		1	12	14	38		Number of training courses and guiding workshops	Training final report/minutes	Annually	2014-2018	Project (M&E Staff)	Project
V.2 The number of training course and guiding workshops provided by the project for line ministries	1		1	3	3	1		Number of training courses and guiding workshops	Training final report/minutes	Annually	2014-2018	Project (M&E Staff)	Project

²⁵ Indicators updated based on the draft baseline survey

Results/Indicators	Baseline Value (2014)	Final target value	2014	2015	2016	2017	2018	Unit	Source of verification	Frequency of data collection	Start-end measurements	Responsible for data collection	Responsible for consolidation
V.3 The number of provincial authorities staffs to be trained and guided by the project	375	1590 ²⁶	375	1015	742	997		Number of participants	Training final report/minutes	Annually	2014-2018	Project (M&E Staff)	Project
V.4 The number of line ministries Staff to be trained and guided by the project	20	681 ²⁷	20	261	145	70		Number of participants	Training final report/minutes	Annually	2014-2018	Project (M&E Staff)	Project
V.5 Publication of Provincial Planning Manual on new planning approach	0	1	0	0	1 ²⁸	0		Published Manual ²⁹	Project files; project M&E reports	Annually	2016-2018	Project (M&E Staff)	Project

²⁶ Total cumulated staffs to be trained in the period of 2014 - 2016

²⁷ Total cumulated staffs to be trained in the period of 2014 - 2018

²⁸ Midterm survey in October, 2016

²⁹ 0: No manual; 1: Manual exists

Results/Indicators	Baseline Value (2014)	Final target value	2014	2015	2016	2017	2018	Unit	Source of verification	Frequency of data collection	Start-end measurements	Responsible for data collection	Responsible for consolidation
V.6 Satisfaction level of provincial planning staffs for local SEDPs that require to be participatory, resources-linked and result-oriented	3,6 (2016)	4,4 ³⁰			3,6	3.70 ³¹		Satisfaction level ³²	Project midterm and final M&E reports	Every 2 years	2016-2018	Project (Independent consultants in Project midterm and final evaluation)	Project

Output 3: The capacity of provincial authorities to develop, adopt and implement improved planning, and M&E systems is increased

³⁰ Target values (estimated for 2018) are calculated from surveys in 5 selected provinces by the project to improve planning and budgeting under baseline report process and are average values of assessment levels of local staffs

³¹ Midterm survey in October, 2016

³² 5 levels: 1. Very not satisfied; 2. Not satisfied, 3. On average, 4. Relatively satisfied, 5. Very satisfied

3.5.2 Progress of main activities

Progress of <u>main</u> activities ³³	Progress:			
	A	B	C	D
Draft Technical Manuals and Training Materials for national provincial and local planning	A			
1. Provide basic training to sub-national administrations staff on strategic planning and multi-year investment programming		B		
2. Provide support to a comprehensive CD strategy for planning improvement in selected provinces(5)		B		
3. Establish a mechanism for better regional integration of provincial plans	cancelled			
4. Provide basic training to national administrations staff on strategic planning and multi-year investment programming		B		
5. Develop a core group of skilled planners / facilitators in selected Ministries	NA			
6. Support a CD strategy for improved national SED planning in (2) selected Line Ministries	NA			

3.5.3 Analysis of progress made

The project has supported MPI in holding workshops to provide instructions for ministries and sub national authorities in formulating the 5 years

³³ A: The activities are ahead of schedule
 B: The activities are on schedule
 C: The activities are delayed, corrective measures are required.
 D: The activities are seriously delayed (more than 6 months). Substantial corrective measures are required.

medium term investment plan and the public investment plan for 2016-2020. Four workshops were held in Ha noi, Ho Chi Minh for ministries and 63 provinces.

From May to early July, 2015 the project has provided basic training to subnational authorities on instructing for the Public Investment Law and for formulating the 5 year MDIP 2016-2020 and appraising public investment projects. In total about 500 planning and public investment managing staff were trained

1. Manual production
 - a. "Local socio-economic development plan formulation and M&E" handbook. This is an important document and it serves as the basis for training and capacity development activities on socio-economic development planning reform of the project so far and in the future. The handbook was printed and provided to participants of the Project's training courses in 2016 and will also be used in local training courses.
 - b. Documents used in capacity development courses for sub-national authorities on socio-economic development planning and medium-term and annual public investment planning in Quarter III.
2. Support provincial CD strategy

02 general training courses and 05 separate courses for the provinces that received coaching from the project (a course for each province) on socio-economic development planning and medium-term and annual public investment planning in Quarter II and III of 2016. Approximately 560 planning staff were trained and have received certifications from the said 07 courses.

3. Training / coaching of MPI staff

The Project has hired experts to continue formulating instruction documents for departments within Ministry of Planning and Investment on finalizing State Budget-funded medium-term public investment plan 2016-2020 and annual plan 2017, and on provisional allocation of State Budget-funded medium-term public investment funds 2016-2020 and annual fund 2017 for central Ministries, agencies and sub-national authorities.

The Project has held a workshop on formulating 5-year medium-term public investment plan 2016-2020 and annual public investment plan 2017 for departments within Ministry of Planning and Investment

Support to develop instructions on monthly, quarterly and annual reporting implementation progress of public investment plans; Resolution no. 60/NQ-CP dated 8 July 2016; inputting provisional allocation of medium-term public investment funds 2016-2020 and annual fund 2017; and received inputs for the development of online public investment information system

3.6 Performance output 4

3.6.1 Progress of indicators

Results/Indicators	Baseline Value (2016)	Final target value	2016	2017	2018	Unit	Source of verification	Frequency of data collection	Start-end measurements	Responsible for data collection	Responsible for consolidation
OUTPUT 4 (OP4): The capacity of selected sub-provincial authorities to develop, adopt and implement improved planning and M&E systems is increased											
VI.1 The number of sub provincial authorities staff to be trained and guided by the project	0	400 ³⁴	200	400	0	Number of participants	Training final report/m inutes	Annual	2014-2018	Project (M&E Staff)	Project
VI.2 Publication of sub Provincial Planning Manual	0	1	0	1	0	Published Manual ³⁵	Project files; project M&E reports	Annual	2016-2018	Project (M&E Staff)	Project

³⁴ Total cumulated staffs to be trained in the period of 2016 - 2017

³⁵ 0: No manual; 1: Manual exists

3.6.2 Progress of main activities

Progress of <u>main</u> activities ³⁶	Progress:			
	A	B	C	D
1. Support a CD strategy for improved local development planning in a number of sub-provincial authorities		B		
2. Support a Pilot experiment for integration of physical plans and socio economic plans (Spatial Development Frameworks) and related guidelines	This activity will not be implemented			

3.6.3 Analysis of progress made

The Project has held a training course for districts of Ha Tinh on monthly, quarterly and annual reporting implementation progress of public investment plans; Resolution no. 60/NQ-CP dated 8 July 2016; inputting provisional allocation of medium-term public investment funds 2016-2020 and annual fund 2017; and received inputs for the development of online public investment information system.

This will be our main activity for 2017.

³⁶ A: The activities are ahead of schedule
 B: The activities are on schedule
 C: The activities are delayed, corrective measures are required.
 D: The activities are seriously delayed (more than 6 months). Substantial corrective measures are required.

3.7 Risk management

Identification of risk or issue			Analysis of risk or issue			Deal with risk or issue		
Risk description	Period of identification	Category	Likelihood	Potential impact	Total	Action(s)	Resp.	Deadline
IR1: Lack of political incentives to sustain the planning reform	TFF preparation (2014)	DEV ³⁷	Medium	Medium	Medium Risk	Policy dialogue between Embassy and MPI supported by analytical and advisory activities	BTC, MPI	Project life
OR1: The adoption of a strategy and legal framework for reform is delayed or abandoned	TFF preparation (2014)	DEV	Medium	Medium	Medium Risk	Regular and formal requests for MPI feed-back to guide the program formulation	BTC, PMU	Project life
						Break down of the program into feasible short/medium-term "implementation plans"	PMU	Project life
OR2: The capitalization exercise of current CD initiatives for improved sub-national planning is not conducted or its findings unused	TFF preparation (2014)	DEV	Medium	Medium	Medium Risk	Technical dialogue between relevant partners	BTC, PMU	30/6/16
OR3: Measures to strengthen MPI support & supervision roles are not adopted	TFF preparation (2014)	DEV	Low	Medium	Low Risk	Regular and formal requests for MPI feed-back to guide identification and selection of feasible options	PMU	Project life
OR4: Effective MPI guidance to sub-national authorities is not issued	TFF preparation (2014)	DEV	Medium	Medium	Medium Risk	Promotion of intense consultations between MPI and local authorities in the formulation of central guidelines and related circulars on planning guidelines.	BTC, PMU	Project life
OR5: A mechanism for regional	TFF	DEV	High	Low	Happene	Activity cancelled	PSC	In 2015

³⁷ Developmental

Identification of risk or issue		Analysis of risk or issue				Deal with risk or issue		
Risk description	Period of identification	Category	Likelihood	Potential impact	Total	Action(s)	Resp.	Deadline
integration of provincial plans, is not adopted	preparation (2014)				Medium			
RR1: Other immediate demands on MPI divert attention from the further development of a national strategy and implementation program	TFF preparation (2014)	OPS ³⁸	Medium	Medium	Medium Risk	Ensure regular meetings of the PSC and implement policy dialogue	BTC, MPI, PMU	Project life
RR2 : The alignment of aid proves to be beyond the actual capacity of development partners	TFF preparation (2014)	OPS	High	Low	Medium Risk	Technical and policy dialogue	BTC, PMU	Project life
RR3: Short term International technical assistance proves to be inadequate, or ineffective	TFF preparation (2014)	OPS	Low	Medium	Low Risk	Careful "matching" of external TA and local institutions through their appropriate involvement in recruitment process and close monitoring by CDPR management	PMU	Project life
RR4 : The quality of services by domestic training institutions is below the level required	TFF preparation (2014)	OPS	Medium	Medium	Medium Risk	A training of trainers (TOT) approach	PMU	Project life
						Open selection process of training institutions (e.g. not restricted to specific in-province institutions)	PMU	Project life
RR5: Inter-governmental coordination required to pilot the SDF, is not achieved.	TFF preparation (2014)	DEV	Low	Low	Happened	Activity cancelled	PSC	in 2015
RR6 : Capacities at the local level are not sufficient enough to effectively implement the pilot experiment of 'integrated local planning practices' at District level	TFF preparation (2014)	DEV	Low	Medium	Low Risk	An capacity assessment is done for the sub provincial authorities selected for the pilot experiment	PMU	30/6/16

³⁸ Operational

Identification of risk or issue			Analysis of risk or issue			Deal with risk or issue		
Risk description	Period of identification	Category	Likelihood	Potential impact	Total	Action(s)	Resp.	Deadline
OtR1: CDPR creates an extra burden to MPI/DNEI and other MPI staff that will negatively impact on the project	TFF preparation (2014)	OPS	Medium	Medium	Medium risk	PSC regular meetings	PMU	Project life
						Regular meetings of PMU, clear guidance and delegation by DNEI management to PMU, adequately staffed PMU	PMU	Project life
OtR2: Project financial and procurement management modalities are not properly implemented	TFF preparation (2014)	DEV	Low	Low	Low risk	Financial and procurement audits are carried on a yearly basis and their recommendations followed up by the PSC	PMU	Project life
OtR3: VIE counterpart fund is not included in the VIE budget and is thus not available (or lately) for the project	TFF preparation (2014)	DEV	Low	Low	Low risk	PSC control of Vietnam counterpart funds availability	PMU	Project life
OtR4: The Belgian contribution is not properly monitored	TFF preparation (2014)	DEV	Low	Low	Low risk	Use of a specific account for Belgian contribution A specific financial reporting is required for the project	PMU	Project life
						Cash request are conditional on reporting and audit submissions and approvals by PSC and BTC	PMU	Project life

4 Steering and Learning

4.1 Strategic re-orientations

The emphasize of the GoV and of MPI on improving the public Investment effectiveness (contribution and impact of public investment on growth) relinquish the SEDP reform to a secondary type of priority. It is yet clear that little emphasis lies on the SEDP. The more Vietnam evolves towards a developed nation, the less significant SEDP is likely to become. Spatial planning with solid legal underpinnings and up to date budgeting (MRTF, 3 year rolling budgets) are likely to become the backbone for government policy such as is the case in Belgium.

On the capacity building side, the project has undertaken training needs assessment. The emphasis has remained on training as many provincial and sub provincial authorities as possible on the new public investment management approach.

Major scope for redirection is of cooperation is on the approach itself. There is a clear tendency to deepen trade relations. So instead of continuing on the classical cooperation modes like substitution, advisory and project implementation, it is suggested to promote direct intergovernmental department exchanges and applied research. BTC has the skills to be a good assistant during this journey by assuring suitable technical know how and inter cultural compatibility. Exposure to applied research and exchanges might yield specific punctual requests for technical services (or not). Regular joint evaluation should give an answer to the relevance of the mechanism. Its application can be across any sector with mutual recognised strengths. In simple terms: what are we good at in Belgium that could be relevant for Vietnam? And how is this know how transferred. The role of BTC would be primarily on the “how” both technically as well as inter culturally.

4.2 Recommendations

Recommendations	Actor	Deadline
N/A		
ETR results are acknowledged		

4.3 Lessons Learned

Lessons learned	Target audience
The project has adapted itself successfully to changing GoV priorities.	
Coordinate with representatives of the donors (BTC and Embassy) to effectively implement the project	

5 Annexes

5.1 Quality criteria

1. RELEVANCE: The degree to which the intervention is in line with local and national policies and priorities as well as with the expectations of the beneficiaries

In order to calculate the total score for this quality criterion, proceed as follows: 'At least one 'A', no 'C' or 'D' = A; Two times 'B' = B; At least one 'C', no 'D' = C; at least one 'D' = D

Assessment RELEVANCE: total score	A	B	C	D
		B		
1.1 What is the present level of relevance of the intervention?				
A	Clearly still embedded in national policies and Belgian strategy, responds to aid effectiveness commitments, highly relevant to needs of target group.			
B	Still fits well in national policies and Belgian strategy (without always being explicit), reasonably compatible with aid effectiveness commitments, relevant to target group's needs.			
C	Some issues regarding consistency with national policies and Belgian strategy, aid effectiveness or relevance.			
D	Contradictions with national policies and Belgian strategy, aid efficiency commitments; relevance to needs is questionable. Major adaptations needed.			
1.2 As presently designed, is the intervention logic still holding true?				
A	Clear and well-structured intervention logic; feasible and consistent vertical logic of objectives; adequate indicators; Risks and Assumptions clearly identified and managed; exit strategy in place (if applicable).			
B	Adequate intervention logic although it might need some improvements regarding hierarchy of objectives, indicators, Risk and Assumptions.			
C	Problems with intervention logic may affect performance of intervention and capacity to monitor and evaluate progress; improvements necessary.			
D	Intervention logic is faulty and requires major revision for the intervention to have a chance of success.			

2. EFFICIENCY OF IMPLEMENTATION TO DATE: Degree to which the resources of the intervention (funds, expertise, time, etc.) have been converted into results in an economical way

In order to calculate the total score for this quality criterion, proceed as follows: 'At least two 'A', no 'C' or 'D' = A; Two times 'B', no 'C' or 'D' = B; at least one 'C', no 'D' = C; at least one 'D' = D

Assessment EFFICIENCY : total score	A	B	C	D
		B		
2.1 How well are inputs (financial, HR, goods & equipment) managed?				
A	All inputs are available on time and within budget.			
B	Most inputs are available in reasonable time and do not require substantial budget adjustments. However there is room for improvement.			
C	Availability and usage of inputs face problems, which need to be addressed; otherwise results may be at risk.			
D	Availability and management of inputs have serious deficiencies, which threaten the achievement of results. Substantial change is needed.			

2.2 How well is the implementation of activities managed?	
	A Activities implemented on schedule
B	B Most activities are on schedule. Delays exist, but do not harm the delivery of outputs
	C Activities are delayed. Corrections are necessary to deliver without too much delay.
	D Serious delay. Outputs will not be delivered unless major changes in planning.
2.3 How well are outputs achieved?	
	A All outputs have been and most likely will be delivered as scheduled with good quality contributing to outcomes as planned.
B	B Output delivery is and will most likely be according to plan, but there is room for improvement in terms of quality, coverage and timing.
	C Some output are/will be not delivered on time or with good quality. Adjustments are necessary.
	D Quality and delivery of outputs has and most likely will have serious deficiencies. Major adjustments are needed to ensure that at least the key outputs are delivered on time.

3. EFFECTIVENESS TO DATE: Degree to which the outcome (Specific Objective) is achieved as planned at the end of year N				
<i>In order to calculate the total score for this quality criterion, proceed as follows: 'At least one 'A', no 'C' or 'D' = A; Two times 'B' = B; At least one 'C', no 'D' = C; at least one 'D' = D</i>				
Assessment EFFECTIVENESS :	A	B	C	D
total score		B		
3.1 As presently implemented what is the likelihood of the outcome to be achieved?				
	A	Full achievement of the outcome is likely in terms of quality and coverage. Negative effects (if any) have been mitigated.		
B	B	Outcome will be achieved with minor limitations; negative effects (if any) have not caused much harm.		
	C	Outcome will be achieved only partially among others because of negative effects to which management was not able to fully adapt. Corrective measures have to be taken to improve ability to achieve outcome.		
	D	The intervention will not achieve its outcome unless major, fundamental measures are taken.		
3.2 Are activities and outputs adapted (when needed), in order to achieve the outcome?				
	A	The intervention is successful in adapting its strategies / activities and outputs to changing external conditions in order to achieve the outcome. Risks and assumptions are managed in a proactive manner.		
B	B	The intervention is relatively successful in adapting its strategies to changing external conditions in order to achieve its outcome. Risks management is rather passive.		
	C	The intervention has not entirely succeeded in adapting its strategies to changing external conditions in a timely or adequate manner. Risk management has been rather static. An important change in strategies is necessary in order to ensure the intervention can achieve its outcome.		
	D	The intervention has failed to respond to changing external conditions, risks were insufficiently managed. Major changes are needed to attain the outcome.		

4. POTENTIAL SUSTAINABILITY: The degree of likelihood to maintain and reproduce the benefits of an intervention in the long run (beyond the implementation period of the intervention).				
<i>In order to calculate the total score for this quality criterion, proceed as follows: At least 3 'A's, no 'C' or 'D' = A ; Maximum two 'C's, no 'D' = B; At least three 'C's, no 'D' = C ; At least one 'D' = D</i>				
Assessment POTENTIAL SUSTAINABILITY : total score	A	B	C	D
		B		
4.1 Financial/economic viability?				
	A	Financial/economic sustainability is potentially very good: costs for services and maintenance are covered or affordable; external factors will not change that.		
B	B	Financial/economic sustainability is likely to be good, but problems might arise namely from changing external economic factors.		
	C	Problems need to be addressed regarding financial sustainability either in terms of institutional or target groups costs or changing economic context.		
	D	Financial/economic sustainability is very questionable unless major changes are made.		
4.2 What is the level of ownership of the intervention by target groups and will it continue after the end of external support?				
A	A	The steering committee and other relevant local structures are strongly involved in all stages of implementation and are committed to continue producing and using results.		
	B	Implementation is based in a good part on the steering committee and other relevant local structures, which are also somewhat involved in decision-making. Likelihood of sustainability is good, but there is room for improvement.		
	C	The intervention uses mainly ad-hoc arrangements and the steering committee and other relevant local structures to ensure sustainability. Continued results are not guaranteed. Corrective measures are needed.		
	D	The intervention depends completely on ad-hoc structures with no prospect of sustainability. Fundamental changes are needed to enable sustainability.		
4.3 What is the level of policy support provided and the degree of interaction between intervention and policy level?				
	A	Policy and institutions have been highly supportive of intervention and will continue to be so.		
B	B	Policy and policy enforcing institutions have been generally supportive, or at least have not hindered the intervention, and are likely to continue to be so.		
	C	Intervention sustainability is limited due to lack of policy support. Corrective measures are needed.		
	D	Policies have been and likely will be in contradiction with the intervention. Fundamental changes needed to make intervention sustainable.		
4.4 How well is the intervention contributing to institutional and management capacity?				
	A	Intervention is embedded in institutional structures and has contributed to improve the institutional and management capacity (even if this is not an explicit goal).		
B	B	Intervention management is well embedded in institutional structures and has somewhat contributed to capacity building. Additional expertise might be required. Improvements in order to guarantee sustainability are possible.		
	C	Intervention relies too much on ad-hoc structures instead of institutions; capacity building has not been sufficient to fully ensure sustainability. Corrective measures are needed.		
	D	Intervention is relying on ad hoc and capacity transfer to existing institutions, which could guarantee sustainability, is unlikely unless fundamental changes are undertaken.		

5.2 Decisions taken by the steering committee and follow-up

Decision to take					Action			Follow-up	
Decision to take	Period of identification	Timing	Source	Actor	Action(s)	Responsible	Deadline	Progress	Status
In the event that there are differences between the VN and EN version of the SA, the English version stands and the VN version shall be amended accordingly				PMU	Adapt the VN version of the SA	PMU			done
Changes to the TFF must be approved by the co-chairs of the PSC									done
The formulation of an OWP is necessary and shall be submitted to the PSC									done
If VAT exemption is not possible from supplier, the project can pay VAT and get reimbursed									done
The project shall obtain approval from the donors to use interest generated from account									OK

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Decision to take					Action			Follow-up	
Decision to take	Period of identification	Timing	Source	Actor	Action(s)	Resp.	Deadline	Progress	Status
Baseline report needs to be finalised by the end of January 2016	Dec 2015				PMU				done
Ensure timely implementation of plan 2016 to increase execution rate	Dec 2015				PMU			63% implementation rate	done
project car will not be purchased and funds move to training	Dec 2015				PMU				done

5.3 Updated Logical framework

The logical framework is currently being updated as part of the baseline survey. The draft revised baseline is here being presented.

Results/Indicators	Baseline Value (2014)	Final target value	2014	2015	2016	2017	2018	Unit	Source of verification	Frequency of data collection	Start-end measurements	Responsible for data collection	Responsible for consolidation
IMPACT (I): To improve the preparation and implementation of the socio-economic development plan through improved planning and budgeting for pro-poor and pro-growth policies and interventions													
I.1 GDP growth rate	5.98%	6.5-7% ³⁹	5.98%	6.5%	6.21%	6.81%		%	GSO Statistical Year Book	Annually	2014-2018	Project (M&E staff)	Project
I.2 Poverty rate	8.4%	3.5-4% ⁴⁰	8.4%	7%	8.23%	6.9%		%	GSO Statistical Year Book	Annually	2014-2018	Project (M&E staff)	Project
I.3 The number of approved public investment project	2371		2371	864				Project	MPI M&E system for public investment	Annually	2014-2018	Project (M&E staff)	Project

Commented [A4]: One of the main objectives of improving the efficiency of PI is to increase the contribution to GDP. The contribution of PI to GDP could be used as an indicator

Commented [ED5]: Any updates ?

³⁹ From 5 year SEDP of 2016 – 2020

⁴⁰ From 5 year SEDP of 2016 – 2020

5.4 MoRe Results at a glance

Logical framework's results or indicators modified in last 12 months?	Yes on the basis of the baseline survey
Baseline Report registered on PIT?	yes
Planning MTR (registration of report)	June 2016
Planning ETR (registration of report)	Mission in February 2018
Backstopping missions since April 2014	yes

5.5 “Budget versus current ” Report

ACTIVITIES		Mode of Execution	Total budget according to PSC	Total spend 31.12.2017	Balance 01.01.2018 including B0101	Budget modification March 2018	Q1 2018	Q2 2018	Q3 2018	Q4 2018	Balance	Remarks	
TOTAL			4,000,000	3,417,596	563,144	4,000,000	92,817	329,500	49,000	51,482	55,345		
BTC managed			1,129,260	618,528	491,472	1,114,260	62,817	299,500	49,000	51,482	28,673		
NEX			2,870,740	2,799,068	71,672	2,885,740	30,000	30,000	0	0	26,672		
(1)		(2)	(3)			(3)							
B0101 Fund installment to project					367636								
A		RESULTS	2,345,925	2,374,276	(28,351)	2,536,925	0	191,000	0	0	(28,351)		
R	01	Legal framework developed and updated	468,000	472,134	(4,134)	468,000	0	0	0	0	(4,134)		
R	02	Increased capacity of MPI to support CD	357,000	311,926	45,074	357,000	0	0	0	0	45,074		
R	03	Increased capacity of provincial	994,000	1,063,618	(69,618)	1,185,000	0	191,000	0	0	(69,618)		
A	03	08 Consolidation of training capacity through institutionalization via Training Institute of MP	REGIE	0	-	-	191,000	191,000			-		
R	04	Increased capacity of selected local	526,925	526,598	327	526,925					327		
X		CONTINGENCIES	19,260	0	0	0	0	0	0	0	0		
X	01	CONTINGENCIES	19,260	0	0	0	0	0	0	0	0		
Z		GENERAL MEANS	1,730,240	1,043,955	686,285	1,539,240	91,317	171,000	49,000	51,482	132,486		
Z	01	Human resources	1,106,793	872,344	234,449	1,114,293	67,500	67,500	45,000	45,000	61,949		
Z	01	01 International Technical Assistance	BTC-managed	720,000	531,294	188,706	720,000	45,000	45,000	45,000	45,000	8,706	15000 EUR/month
Z	01	02 PMU staff	NEX	386,793	341,050	45,743	394,293	22,500	22500			8,243	
Z	02	Investments		41,296	41,070	226	41,296					226	
Z	02	01 Office facilities	NEX	41,296	41,070	226	41,296					226	
Z	02	02 Car	NEX	0	(0.00)	(0.00)	0					0	
Z	03	Operational expenditures		213,151	67,073	69,653	213,151					280,224	
Z	03	01 + Operational costs for technical assistance modalities	BTC-managed	40,000	24,401	15,599	49,200	11,817	4,500	4,000	4,482	(0)	1500 EUR/month misc plus 6817 SLA
Z	03	02 Other operating expenditures	NEX	96,726	42,672	54,054	104,226	7500	7500			46,554	
Z	04	Monitoring, Evaluation and Auditing		350,000	62,833	287,167	154,060	6,000	59,000	0	2,000	24,227	
Z	04	01 Monitoring and backstopping (technical)	BTC-managed	268,000	12,283	255,717	31,060		3,000		2,000	13,777	capitalization; BXL backstopping
Z	04	02 Evaluation	BTC-managed	50,000	44,789	5,211	91,000	6,000	40,000			211	Baseline and ETR; advance baseline on 20101
Z	04	03 Auditing	BTC-managed	32,000	5,761	26,239	32,000		16,000	0		10,239	2 audits + 1 audit to be paid since June 2016
TOTAL			4,000,000			4,000,000					4,000,000		
BTC managed			1,129,260			1,114,260					1,114,260		
NEX			2,870,740			2,885,740					2,885,740		

