



CTB

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RESULTS REPORT 2012

PROJECT POVERTY REDUCTION THROUGH
INSTITUTIONAL CAPACITY STRENGTHENING IN QUY
CHAU DISTRICT AND AT NGHE AN PROVINCIAL LEVEL



ACRONYMS.....	4
1 INTERVENTION AT A GLANCE (MAX. 2 PAGES)	5
1.1 PROJECT FORM.....	5
1.2 PROJECT PERFORMANCE.....	5
1.3 BUDGET EXECUTION	6
1.4 SUMMARY	6
2 ANALYSIS OF THE INTERVENTION.....	7
2.1 CONTEXT	7
2.1.1 <i>General context</i>	7
2.1.2 <i>Institutional context</i>	7
2.1.3 <i>Management context: execution modalities</i>	8
2.1.4 <i>Harmo-context</i>	9
2.2 OUTCOME	9
2.2.1 <i>Analysis of progress made</i>	9
2.2.2 <i>Risk management</i>	11
2.2.3 <i>Potential Impact</i>	13
2.2.4 <i>Quality criteria</i>	13
2.3 OUTPUT 1	17
2.3.1 <i>Analysis of progress made</i>	17
2.3.2 <i>Budget execution</i>	19
2.3.3 <i>Quality criteria</i>	19
2.4 OUTPUT 2	20
2.4.1 <i>Analysis of progress made</i>	20
2.4.2 <i>Budget execution</i>	21
2.4.3 <i>Quality criteria</i>	22
2.5 OUTPUT 3	23
2.5.1 <i>Analysis of progress made</i>	23
2.5.2 <i>Budget execution</i>	24
2.5.3 <i>Quality criteria</i>	24
3 TRANSVERSAL THEMES	27
3.1 GENDER.....	27
3.2 ENVIRONMENT	27
3.3 OTHER	27
4 STEERING AND LEARNING	28
4.1 ACTION PLAN.....	28
4.2 LESSONS LEARNED.....	28
5 ANNEXES.....	30
5.1 ORIGINAL LOGICAL FRAMEWORK.....	30
5.2 UPDATED LOGICAL FRAMEWORK	31

5.3	MoRE RESULTS AT A GLANCE	31
5.4	"BUDGET VERSUS CURRENT (Y – M)" REPORT	31
5.5	RESOURCES	31
5.6	DECISIONS TAKEN BY THE JLCB AND FOLLOW-UP	32

1 Intervention at a glance (max. 2 pages)

1.1 Project form

Project name	Poverty Reduction Through Institutional Capacity Strengthening in Quy Chau district and at Nghe An provincial level
Project Code	VIE 08 036 11
Location	Quy Chau district, Nghe An province
Budget	Belgian contribution: 2,500,000 EUR Partner's contribution: 1,200,000EUR
Partner Institution	Nghe An provincial people committee
Date of implementation Agreement	September 2009
Duration (months)	48 months
Target groups	Relevant public servants at Nghe An provincial level , Quy Chau district and its 12 communes Residents of 12 communes of Quy Chau district
Impact ¹	To promote pro-poor socio-economic development through support to public administration reform at provincial, district and commune level
Outcome	Strengthening the institutional capacities of local governments in decentralized development planning, budgeting, implementation and public service delivery in accordance with PAR objectives
Outputs	1. Improved decentralized planning, budgeting, and monitoring and evaluation systems at all levels;
	2. Improved practice of planning for Service Delivery and small scale infrastructure
	3. Improved decentralized implementation of pro-poor service delivery and small-scale infrastructure
	4. Exchange and dissemination of Results / Capitalization / Replication strategy

1.2 Project performance

Logical table of the intervention: Fill out on the basis of the data entered in 2.2.4, 2.3.3, 2.4.3 ... (only provide A, B, C or D scores²).

	Efficiency	Effectiveness	Sustainability
Outcome	B	B	B
Output 1	B	C	C
Output 2	C	B	B
Output 3	C	B	C
Output 4	B	C	B

¹ Impact is a synonym for global objective, Outcome is a synonym for specific objective, output is a synonym for result

² A = Very good performance, B = Good performance, C = Weak performance, D = problematic


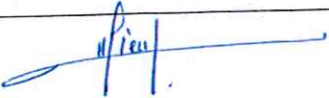
1.3 Budget execution

Total Budget	Expenditure as of dec 2012	Balance	Total Disbursement rate
2.500.000 E	1 042 074	1 457 926	42%

1.4 Summary

Formulate 5 key points (briefly, in one or two sentences) that a reader of this report should remember.

<ul style="list-style-type: none"> • Positive achievements in C-SEDP reform and opportunity to institutionalize the C-SEDP procedure in the whole province in 2014.
<ul style="list-style-type: none"> • Communication strategy, capacity build training program, O&M regulation were completed and the relevant activities will be carried out in 2013 to promote project's progress and effectiveness.
<ul style="list-style-type: none"> • After long delay, QCDF implementation finally started. However it faced serious management problems : Actual costs of projects exceeded PSC allocation; projects not owned by the communes; Projects not in line with QCDF allocation
<ul style="list-style-type: none"> • There are immediate reaction by PSC, PMU to rectify shortcomings: Revised QCDF manual to integrate weaknesses identified; Strengthened control mechanisms ; restart QCDF in phased approach.
<ul style="list-style-type: none"> •

National execution official ³	BTC execution official ⁴
 Nguyễn Nam Đĩnh Vice Director of Nghe An DPI	 Pierre Dulieu Resident Representative BTC Vietnam

³ Name and Signature

⁴ Name and Signature

2 Analysis of the intervention⁵

2.1 Context

2.1.1 General context

Describe the contextual elements that have had an important influence (positive or negative) on the the intervention. These events should have occurred during the reporting period and can relate to changes in sector policies, decentralisation and deconcentration policy, major political events, environmental events, etc. Limit yourself to the description of key evolutions during the reporting period.

Maximum length: 250 words

The project targeted to contribute directly to Government's programs which include PAR, Socio-economic development, the comprehensive poverty reduction and growth strategy, Grassroots democracy decree, all together aiming at promote economic development, poverty reduction, more participation of local residents and authorities into issues having impact on people's lives and enhance the transparency and accountability of local authority.

The project will develop practical action plan to turn Government's policies and programs into supporting tools to decentralized planning, budgeting and implementation, and to develop sustainable O&M system for small scale infrastructure. By that way, the project will introduce effective systems and procedures for annual bottom-up participatory planning and budgeting. The project will pay special focus on meeting national standards of services of health, education, water supply & sanitation at mountainous areas, along with investments for sustainable development and management capacity. The priority sectors will be water, sanitation, education, PAR, institutional support and state management;

Nghe An is a poor province having the most district among other provinces. During 2011-2012, we are all impacted by inflation and economic recession including Nghe An province and Quy Chau district. With the issuance of Resolution no. 11/NQ-CP dated 24/2/2011 of the Government to control inflation, stabilize micro economy, secure socio security, the counterpart fund for project therefore was not duly arranged by Nghe An PPC.

Authorities of Quy Chau district has great interest on the project as the project's budget can help to solve many problems in various fields. There is still big development gap among communes of Quy Chau district. There are three communes having no electric lines. Interventions can support district to boost socio-economic development, to improve public service delivery, gender equity and environment issues.

2.1.2 Institutional context

Assess the effects (positive or negative) of the intervention's institutional anchorage - and the major evolutions of the institutions in which the intervention is anchored - on the progress of the intervention. Is the institutional anchorage still relevant? Give a score

⁵ In this document: Impact is a synonym for global objective, Outcome is a synonym for specific objective, output is a synonym for result

(Very Appropriate, Appropriate, Not appropriate, Not appropriate at all) and comment on the attributed score (current situation, strengths, weaknesses, influence on the progress of the intervention). Limit yourself to the description of key evolutions during the reporting period.

Maximum length: 250 words

With support of Project, Nghe An province (key actor is DPI) has established working group for SEDP reform to develop guidelines on SEDP reform which has been piloted in 5 districts of the province since 2011. The coordination and simultaneously piloting the reformed SEDP have been formed among 5 districts.

The project has been supporting district/commune level in planning reform, especially the decentralized in planning and implementation, providing financial support to implement reform and investment activities at commune level. The project's objectives are said to be fitted in the Government's policies/target in decentralized management, socio-economic development planning.

However, the implemented project activities showed uncompletion in institutional approach and synergy with administration reform activities. There is still lack of clear and sufficient link with poverty reduction strategy, the potential resource was not duly exploited.

2.1.3 Management context: execution modalities

Assess the effects (positive or negative) of the execution modalities on the advancement of the intervention. Provide a score (Very Appropriate, Appropriate, Not appropriate, Not appropriate at all) and comment on the attributed score (current situation, strengths, weaknesses, influence on the progress of the intervention). Limit yourself to the description of key evolutions during the reporting period.

Maximum length: 250 words

The project is implemented under national execution modality, globally this modality is relevant. However, the required preparation, support and monitoring to have effective implementation have been missed. Some key actors are not able to define the difference between this approach and the previous BTC's project in Quy Chau district.

There are some good personnel (part-time) or recruited (fulltime) working for the project. However, the project implementation has been hindered due to the lack of key personnel and not flexible in recruitment of external expertise.

The implementation revealed that "empowerment" and "national execution" terms have not been understood precisely. National execution, transparency and accountability have not linked to institutional strengthening.

The term and model of modern governance, as well as of accountability have not been built at all levels.

The mechanisms for internal control and risk management have not been used and improved in a proper manner. The integration into NEX and planning activities of stakeholders, the arrangement of implementation and monitoring are limited. During the implementation, roles, responsibility, reporting requirement and accountability are not clearly defined.

In spite of clear ToR, there is lack of defining the role/responsibility of project's staffs at province/district and technical support staff recruited by BTC.

There is lack of high level (national/international) technical advisor; inefficiency in using international technical advisor shared with SPR project.

Besides, PSC have delayed in fulfil its roles, in discussion and decision making for required issues.

2.1.4 Harmo-context

*Describe how other actors influence the outputs-to-Outcome dynamics (and vice-versa) and the dynamics with other actors with regards to the different result areas (and vice-versa): harmonisation initiatives with other development actors (or other BTC interventions), the alignment with partner strategies, ownership by the partner. Limit yourself to the description of key evolutions during the reporting period.
Maximum length: 250 words*

Project's action plan is linked with policies and objectives and in accordance with working program of local government. However, expected results are not fully linked to planning, arrangement and work monitoring, capital allocation and activity organizing of government at all levels.

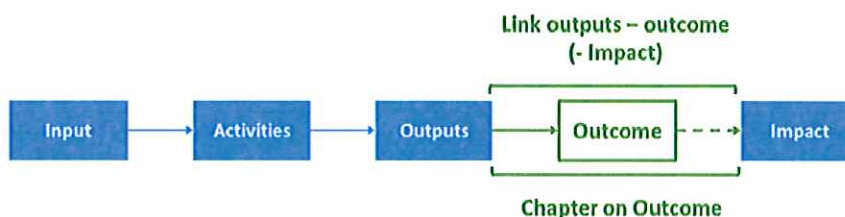
Project's activities have clear impact at communes and Quy Chau district, the synergy with 5 other pilot districts enhancing project's impact in C-SEDP reform. But the commitment on institutionalization of SEDP procedure by the province is not very clear.

The main synergies between the PORIS and the PARROC projects were related to the preparation of QCDF. But this was not really successful and did not allow for a sufficient preparation of QCDF. Moreover, the synergies with SPR remain limited due to delays in PORIS results; as for now PORIS does not yet have much to offer.

The harmonisation and synergies with PAR and with broader institutional development ambitions, at different levels, remain very limited.

2.2 Outcome

Give an overview of the likely achievement of the Outcome (i.e. outcome) and the dynamics surrounding the Outcome (see figure below).



2.2.1 Analysis of progress made

Limit yourself to filling out the table⁶

⁶ Depending on the number of indicators, and depending on the number of main activities, rows should obviously be added/deleted.

Depending on the age of the project, columns should be added for the values of the preceding years (if applicable), in order for progress to be assessed against the value of the preceding year. By reporting cumulatively, the progress made in the

Outcome⁷: Strengthen the institutional capacities of local governments in decentralized development planning, budgeting, monitoring and evaluation, implementation and public service delivery in accordance with PAR objectives						
Indicators⁸	Baseline value⁹	Progress year N-1¹⁰	Progress year N¹¹	Target year N¹²	End Target¹³	Comments¹⁴
Quality planning cycle of Quy Chau is operational	weak	average	fair	good	good	
Institutional capacities meet all planning cycle requirements	weak	weak	weak	average	good	
Analysis of progress made towards outcome: Analyse the dynamics between the outputs achieved and the likely achievement of the Outcome (see Results Report Guide):						
<i>Relation between outputs and the Outcome. (How) Are outputs (still) contributing to the achievement of the outcome:</i>	Synergy is being emerged among SEDP, capacity strengthening and empowerment of the communes and of the district through QCDF, focused on poverty reduction.					
<i>Progress made towards the achievement of the outcome (on the basis of indicators):</i>	SEDP procedure was issued and applied and quality of planning cycle was improved positively. However, institutional capacity is still limited which does not fully satisfy the requirements of planning procedure.					
<i>Issues that arose, influencing factors (positive or negative):</i>	Lack of strategic capacity build activities. The implementation of training program in coming year may improve the issue; QCDF performing with problems (delay, low progress, over budget, weak monitoring & supervision...). Important measures were taken with the restart of QCDF in 2013 in phased approach. Sub-optimal use of external expertise and also of internal expertise; high staff rotation and long vacancies in project staffing.					
<i>Unexpected results:</i>	QCDF 2012 was suspended. QCDF will be restarted in 2013 in phased approach.					

reporting period can be determined in a precise way.
Do not write anything below the table. Comments are only allowed in the table.

⁷ Use the formulation of the outcome as mentioned in the logical framework (DTF) or the last version of the logical framework that was validated by the JLCB.

⁸ Use the indicators as shown in the logical framework

⁹ The value of the indicator at time 0. Refers to the value of the indicators at the beginning of the intervention

¹⁰ The actual value of the indicator at the end of year N-1

¹¹ The actual value of the indicator at the end of year N. If the value has not changed since the baseline or since the previous year, this value should be repeated.

¹² The target value at the end of year N

¹³ The target value at the end of the intervention

¹⁴ Comments about progress realised, namely assessment of the achieved value of the indicator at the end of year N compared to the "baseline" values (time 0) and/or the value of the preceding year, and compared to the expected intermediate value for year N. If the intermediate value is not available, the end target will be the reference. Comments should be limited to a minimum.

2.2.2 Risk management

Provide the evolution of risks¹⁵ and how they have been managed. Identified risks consist of risks emanating from the TFF and/or from the baseline study, and significant risks that have been identified during the implementation of the intervention. Risks can also be identified during the Results Monitoring.

- Describe the risk
- Score the probability that the risk might occur: High, Medium, Low
- Score the impact if the risk would occur: High, Medium, Low

If a risk is attributed with a C or D score, detail the measures that have been taken/will be taken and indicate the person/actor responsible. For details on scoring: see Guide

Risk Identification		Risk analysis			Risk Treatment			Follow-up of risks		
Description of Risk	Period of identification	Risk category	Probability	Potential Impact	Total	Action(s)	Resp.	Deadline	Progress	Status
Lack of true leadership										
High quality LT VN TA unavailable	formulation	D	High			Staffing issues have been a recurrent problem for the PORIS. In line with the MTR a new NE is required	PMU	asap		
Planning regulatory framework is delayed	formulation	D	high			No national planning framework is still available preventing some form of institutionalization and coherence in the planning	MPI			

¹⁵ Limit yourself to Development Risks, Reputational Risks

2.2.3 Potential Impact

Describe how probable it is that the Outcome will contribute to sectoral objectives and whether the impact aimed for is still guaranteed as (pre)supposed (during formulation or as expected from baseline data). It should thus be assessed whether this part of the intervention logic is still valid. If data is available for the indicators of the general objective, please add these values as an illustration of the potential impact, if relevant.

The PORIS project is still highly relevant. It reveals the synergy between: (i) participative and bottom-up approaches to commune-level SEDP; (ii) enhancing the capacities of local government at district and commune levels; (iii) empowerment of communes; (iv) QCDF brings positive effects to poverty reduction.

Provincial/district government shows strong commitment in promoting C-SEDP reform in Quy Chau and 5 other pilot districts. The achievements will be remained and developed even after project period.

The project helps to improve capacity of public servants and support local government in socio-economic development planning practice, in operation and maintenance of infrastructures. Further, it will promote the institutionalization of reform SEDP procedure in the whole province of Nghe An.

2.2.4 Quality criteria

For each of the criteria (Efficiency, Effectiveness, Sustainability and Relevance) a number of sub-criteria have been formulated. By choosing the statement that fits your intervention best, you can calculate the total score for that specific criteria (see below for calculation instructions).

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		
<i>In order to calculate the total score for this Q-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>		
1.1 What is the present level of relevance of the project?		
<input type="checkbox"/>	A	Clearly still embedded in national policies and Belgian strategy, responds to aid effectiveness commitments, highly relevant to needs of target group.
<input checked="" type="checkbox"/>	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.
<input type="checkbox"/>	C	Some issues regarding consistency with national policies and Belgian strategy, aid effectiveness or relevance.
<input type="checkbox"/>	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?		
<input type="checkbox"/>	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).
<input checked="" type="checkbox"/>	B	Adequate intervention logic although it might need some improvements regarding hierarchy of objectives, indicators, Risk and Assumptions.
<input type="checkbox"/>	C	Problems with intervention logic may affect performance of project and capacity to monitor and evaluate progress; improvements necessary.

<input type="checkbox"/>	D	Intervention logic is faulty and requires major revision for the project to have a chance of success.
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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 (assessment for the whole of the intervention)

In order to calculate the total score for this Q-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

2.1 How well are inputs (financial, HR, goods & equipment) managed?

<input type="checkbox"/>	A	All inputs are available on time and within budget.
<input type="checkbox"/>	B	Most inputs are available in reasonable time and do not require substantial budget adjustments. However there is room for improvement.
<input checked="" type="checkbox"/>	C	Availability and usage of inputs face problems, which need to be addressed; otherwise results may be at risk.
<input type="checkbox"/>	D	Availability and management of inputs have serious deficiencies, which threaten the achievement of results. Substantial change is needed.

2.2 How well are outputs managed?

<input type="checkbox"/>	A	All outputs have been and most likely will be delivered as scheduled with good quality contributing to outcomes as planned.
<input type="checkbox"/>	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.
<input checked="" type="checkbox"/>	C	Some output are/will be not delivered on time or with good quality. Adjustments are necessary.
<input type="checkbox"/>	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

In order to calculate the total score for this Q-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

3.1 As presently implemented what is the likelihood of the outcome to be achieved?

<input type="checkbox"/>	A	Full achievement of the outcome is likely in terms of quality and coverage. Negative effects (if any) have been mitigated.
<input type="checkbox"/>	B	Outcome will be achieved with minor limitations; negative effects (if any) have not caused much harm.
<input checked="" type="checkbox"/>	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.
<input type="checkbox"/>	D	Project will not achieve its outcome unless major, fundamental measures are taken.

3.2 Are activities and outputs adapted based on the achieved results in order to the outcome (Specific Objective)?

<input type="checkbox"/>	A	The project 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.
<input type="checkbox"/>	B	The project is relatively successful in adapting its strategies to changing external conditions in order to achieve its outcome. Risks management is rather passive.
<input checked="" type="checkbox"/>	C	The project 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 project can achieve its outcome.

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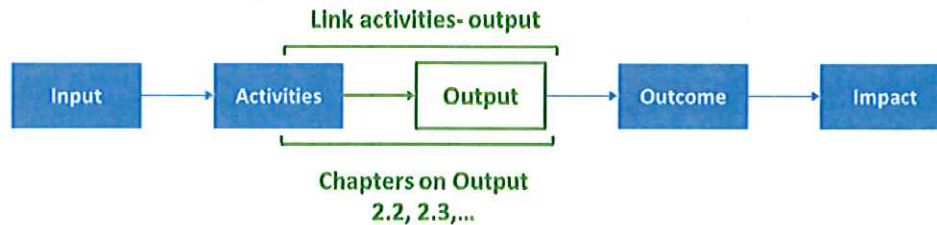
3. POTENTIAL SUSTAINABILITY: The degree of likelihood to maintain and reproduce the benefits of an intervention in the long run (beyond the implementation period of the intervention).		
<i>In order to calculate the total score for this Q-criterion, proceed as follows: At least 3 'A's, no 'C' or 'D' =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

Assign a final score to each criterion. If a monitoring criterion has been marked a 'C' or a 'D', measures have to be proposed, as part of the Action Plan (4.1)

Criteria	Score
Relevance	B
Effectiveness	C
Sustainability	B
Efficiency	C

2.3 Output 1¹⁶

Assess the likelihood of achieving the Output concerned and the dynamics surrounding the evolution of this Output.



2.3.1 Analysis of progress made

Output 1: Improved decentralized planning, budgeting and monitoring and evaluation systems at all levels						
Indicators	Baseline value	Progress year N-1	Progress year N	Target year N	End Target	Comments
1. New revised and updated provincial regulations issued supporting decentralized planning and implementation			Partially achieved			A new C-SEDP planning guidelines has been developed and being improved over time
2. Improved system of planning in place			Very significant progress			
3. Improved system of budgeting in place			less achievements and more challenges.			The linking between priorities of the SED planning and the resources is still weak.
4. Improved system of M&E in place (for the commune / district SEDP)						
5. Improved system of public access to information in place			Not yet developed due to the delay in the preparation and implementation of the communication strategy			"communication strategy" has recently been finalized and should allow additional outcomes in the remainder of the project
6. A participatory M&E system developed and mainstreamed into regular reporting systems of the government						A lot of work has been done in developing (participatory / bottom-up) SEDP guidelines, initially for the commune level and now also for the district level
7. Regular technical and financial reporting system at all levels						

¹⁶ The template accommodates up to 3 Outputs (chapters 2.2, 2.3, 2.4). If the intervention has more outputs, simply copy and paste additional output chapters. If the intervention has less than 3 outputs, simply delete the obsolete chapters)

Progress of <u>main activities</u> ¹⁷	Progress:				Comments (only if the value is C or D)
	A	B	C	D	
1. Assess the institutional capacity of the Province, the District of Quy Chau and the 12 Communes to strengthen their capacities for decentralized development planning, budgeting, implementing and monitoring as PAR targets and sustainable development principles		X			Conducted by independent consultants. ICA Report is ready to exploit for other activities.
2. Assess the local economy and draft a strategic planning of local economic development of the 12 Communes, the Quy Chau District and the Province		X			Conducted by independent consultants. LED Report is ready to exploit for other activities.
3. Assess the present status of delivery of social services and production support services, OSS and small scale infrastructure			X		Conducted by district divisions. There was no external methodological support and quality control and these assessments did not (yet) contribute to an appropriate paragraph in the communes' SEDP on enhancing service delivery.
4. Assess O&M environment of community implemented and operated small-scale infrastructure and develop a sustainable regulation and conduct a CD program.				X	This activity was led by the provincial DARD. While draft versions have been presented and discussed, this activity was confronted with an important delay and is still not finalized.
5. Update/adapt/develop regulation and procedures at commune, district, provincial level for planning and budgeting in line with the decentralization targets.		X			
Analysis of progress made towards output: Analyse the dynamics between the activities and the probable achievement of the Output (see Results Report Guide).					
<i>Relation between activities and the Output. (how) Are activities contributing (still) to the achievement of the output (do not discuss activities as such?):</i>	The project has achieved significant progress in the area of participative and bottom-up SEDP at commune level.				
<i>Progress made towards the achievement of the output (on the basis of indicators):</i>	The new approaches to SEDP in the 12 communes of QC district contributed to enhanced and structured interaction between direct stakeholders and commune / district authorities. This interaction is already moving beyond the planning phase and includes involvement of stakeholders for half-yearly and yearly reporting and evaluation of the commune SEDP				
<i>Issues that arose, influencing factors (positive or negative):</i>	The delay and the serious management problems of the QCDF significantly reduced its role as a capacity development toll to improve decentralised planning, budgeting and implementation practises.				
<i>Unexpected results (positive or negative):</i>					

¹⁷ 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.

2.3.2 Budget execution

Add – in annex – the “Budget versus current (y – m)” Report, which includes the data up to 31/12/2012, and refer to the annex here. Comment briefly on this financial report.

Project's budget	Disbursed up to 31/12/2011	Total disbur in 2012	Accumulated disbursement from project's start	Budget balance
135 000	67 010	8 873	75 883	59 117

Most of activities in output 1 were implemented during this period such as: A0101, A0102, A0103, A0104 and achievement a significant result. Based on that the rate of disbursement is 56% of total budget.

2.3.3 Quality criteria

On the basis of the elements above, attribute a simple A, B, C or D score¹⁸ to the following criteria

- **Efficiency:** Degree to which the resources of the intervention (funds, expertise, time, etc.) have been converted into outputs in an economical way.
- **Effectiveness:** Degree to which the output is achieved as planned at the end of year N.
- **Sustainability:** The degree of likelihood to maintain the outputs of the intervention in the long run (beyond the implementation period of the intervention).

Criteria	Score
Efficiency	B
Effectiveness	C
Sustainability	C

¹⁸

- A: Very good performance
- B: Good performance
- C: Performing with problems, measures should be taken
- D: Not performing/ having major difficulties: measures are necessary

If a criterion cannot be assessed (e.g. because the project has only just started), attribute the criteria with an 'X' score. Explain why the criterion has not been assessed.

2.4 Output 2

2.4.1 Analysis of progress made

Output 2: Improved practice of provincial and local development planning for economic development, service delivery and small-scale Infrastructure						
Indicators	Baseline value	Progress year N-1	Progress year N	Target year N	End Target	Comments
1. Quality of Commune annual plans	weak	average	good	Very good	Very good	Despite some improvements. Significant progress remains to be done to improve the quality of the plans
2. Commune plans take into account assessments of social, economic, administrative service and small scale infrastructure completed	weak	average	weak	Very good	Very good	To be significantly improved
3. Province, District and Commune staff fully understand the strengthened planning, budgeting, M&E procedures	average	average	weak	good	Very good	Significant achievements related to understanding the participative and bottom-up commune SEDP processes.
4. Province technical Staff adequately guides District and Communes in planning, budgeting and M&E processes	average	good	Very good	Very good	Very good	Notwithstanding good achievements for the participatory commune SEDP processes, the efficiency, timeliness, quality or effectiveness of such provincial support often remained limited
5. Commune plans are gender sensitive both in output and procedure	weak	average	good	Very good	Very good	

Progress of <u>main</u> activities	Progress:				Comments (only if the value is C or D)
	A	B	C	D	
1. Establish and implement a communication and information strategy to improve public access to information to foster transparency and accountability.		X			A useful communication strategy has been finalised in 2012 but implementation is still to be started in line with QCDF implementation
2. Develop methodological tools and guidelines for a strategic and decentralised development planning and budgeting, monitoring and evaluation		X			A lot of work has been done in developing (participatory / bottom-up) SEDP guidelines, initially for the commune level and now also for the district level
3. Develop Training Modules and produce a structured training programme for all levels		X			The TNA/CPB has finally been completed in 2012 and will start full implementation in 2013 with a lot of delays
4. Provide Training on participatory planning and budgeting, financial management			x		
5. Support the implementation of participatory & strategic planning in Quy Chau and Nghe An		X			
Analysis of progress made towards output: Analyse the dynamics between the activities and the probable achievement of the Output (see Results Report Guide).					
<i>Relation between activities and the Output. (how) Are activities contributing (still) to the achievement of the output (do not discuss activities as such?):</i>	Despite of delay in developing communication strategy & CB training program, activities under this result are promoting C-SEDP practice and awareness of local citizen & government on the important of participatory planning approach. It helped to strengthen capacity of local public servants in term of planning & budgeting and M&E procedures.				
<i>Progress made towards the achievement of the output (on the basis of indicators):</i>	Provincial Working Group continues supporting Quy Chau and 04 districts in SEDP. Training workshops were held at district and commune level to provide knowledge and skills to apply the new SEDP procedures. Guidelines on procedures were provided: forms and identification of problem, reason, solution and activity. Besides, the district working groups, project's staffs always keep in touch with communes to directly boost SED planning process. The plans of communes show a better quality comparing to previous years, there is no many indicators and proposals needed to be adjusted.				
<i>Issues that arose, influencing factors (positive or negative):</i>	Delayed in training program makes the CB training activities lacking of systematic and strategic view. Training activities were conducted to fulfil only ad-hoc needs. The same situation with communication activities.				
<i>Unexpected results (positive or negative):</i>	Activities of training and communication were not able to be started as per strategy. The same will be conducted along with restart of QCDF 2013 and expected to contributing to success of QCDF 2013.				

2.4.2 Budget execution

Project's budget	Disbursed up to 31/12/2011	Total disbur in 2012	Accumulated disbursement from project's start	Budget balance

142 200	33 764	36 386	70 150	72 050
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Some of activities in output 2 were delayed during this period such as: A0201, A0203, however the implementation of activities: A0202, A0204 were quite good. The disbursement rate of this output is 49% of total budget.

2.4.3 Quality criteria

Criteria	Score
Efficiency	C
Effectiveness	B
Sustainability	B

2.5 Output 3¹⁹

2.5.1 Analysis of progress made

Output 3: Improved decentralized implementation of local development plans, pro-poor service delivery and small-scale infrastructures in Quy Chau District and Communes							
Indicators	Baseline value	Progress year N-1	Progress year N	Target year N	End Target	Comments	
1. Plans are adequately implemented						The M&E on the performance in implementing the SEDP is still weak and few information is available	
2. Good tendering, accounting, practices in place at all relevant levels						The audit of the QCDF 2011 pointed out many shortcomings in these areas.	
3. O&M procedures in place (both regulations and practice)						Even though some draft manuals are being prepared by the provincial department progress is very slow and few tangible outcomes have been found.	
4. O&M fees collected							
5. Amount of O&M fees spent on maintenance							
Progress of <u>main</u> activities			Progress:				Comments (only if the value is C or D)
			A	B	C	D	
1. Implement development plans with a special focus on both service delivery and small-scale infrastructure in Quy Chau District and Communes					X		QCDF implementation faced serious management problems : Actual costs of projects exceeded PSC allocation; projects not owned by the communes; Projects not in line with QCDF allocation. Actions were taken by PSC and BTC to rectify the shortcomings including amend QCDF guidelines, Strengthened control mechanisms, Call on external short term expertise...
2. Conduct continued M&E and feed back into annual planning cycle				X			
Analysis of progress made towards output: Analyse the dynamics between the activities and the probable achievement of the Output (see Results Report Guide).							
<i>Relation between activities and the Output. (how) Are activities (still) contributing to the achievement of the output (do not discuss activities as such)?:</i>		QCDF is a good opportunity for communes to practice SEDP implementation and a helpful tool for capacity building. Therefore, it is essential to carry out necessary solutions to be able to restart its implementation as soon as possible along with communication and training activities.					
<i>Progress made towards the achievement of the output (on the basis of indicators):</i>		The M&E on the performance in implementing the SEDP is still weak. There are many shortcomings in tendering, accounting, practices in place at all relevant levels as per showed in QCDF 2011 audit report.					
<i>Issues that arose, influencing factors</i>		The initial QCDF manual was insufficiently developed; with the QCDF					

¹⁹ If the Logical Framework contains more than three Outputs, copy-paste the 2.4 chapter and create 2.6 for Output 4 , 2.7 for Output 5, etc.

<i>(positive or negative):</i>	insufficiently imbedded in existing, and where needed enhanced, internal controls and risk management systems of the communes and district.
<i>Unexpected results (positive or negative):</i>	Closed QCDF 2012.

2.5.2 Budget execution

Project's budget	Disbursed up to 31/12/2011	Total disbur in 2012	Accumulated disbursement from project's start	Budget balance
1 530 000	238 969	119 234	358 203	1 171 797

Due to delayed of Activity A0301 during long period, it caused lower disbursement rate compering to the planned. It is lowest disbursement of output compering to other within the project. . The disbursement rate of this output is 23,4% of total budget.

2.5.3 Quality criteria

Criteria	Score
Efficiency	C
Effectiveness	B
Sustainability	C

2.6 Output 4²⁰

2.6.1 Analysis of progress made

Output 4: Exchange and dissemination of results, capitalisation, replication strategy and extension of the project							
Indicators	Baseline value	Progress year N-1	Progress year N	Target year N	End Target	Comments	
1. Synergies between projects	X	Average	Weak	Good	Good		
2. Joint trainings, evaluations, programmes	X	average	weak	Good	Good		
Progress of <u>main</u> activities			Progress:				Comments (only if the value is C or D)
			A	B	C	D	
1. Develop a communication strategy for regular sharing of the project results and lessons					X		Apart from the coordination with the 5 other pilot districts for commune SEDP, the project has been and is still lacking a comprehensive strategy for result area 4. The reason may due to it is not so much a priority since the project was anyhow lacking tangible results to be shared.
2. Define and develop linkages with BTC funded project					X		The main synergies between the PORIS and the PARROC projects were related to the preparation of QCDF. However, this was not really successful and did not allow for a sufficient preparation of QCDF. Moreover, the synergies with SPR remain limited due to delays in PORIS results; as for now PORIS does not yet have much to offer.
3. Establishment of Provincial Donor Coordination Forum with the view to promote a provincial development fund				X			
Analysis of progress made towards output: Analyse the dynamics between the activities and the probable achievement of the Output (see Results Report Guide).							
<i>Relation between activities and the Output. (how) Are activities (still) contributing to the achievement of the output (do not discuss activities as such)?:</i>			It is high time to boost linkage with BTC funded projects to exchange lesson learnt, experiences and problems. Also the communication strategy needs to be carried out strongly and massively.				
<i>Progress made towards the achievement of the output (on the basis of indicators):</i>			Up to now, there is only few synergies between PORIS, PARROC and SPR projects. The potential and expected outcomes in this area have certainly not been reached. Some visits and joint workshops have been conducted, but this remains significantly below the potential of the PORIS project.				
<i>Issues that arose, influencing factors (positive or negative):</i>			Some achievements exist with respect to coordination with the other SEDP related projects in the province.				

²⁰ If the Logical Framework contains more than three Outputs, copy-paste the 2.4 chapter and create 2.6 for Output 4 , 2.7 for Output 5, etc.

<i>Unexpected results (positive or negative):</i>	
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2.6.2 Budget execution

Project's budget	Disbursed up to 31/12/2011	Total disbur in 2012	Accumulated disbursement from project's start	Budget balance
26 400	15 627	115	15 742	10 658

The planned budget for this output is limited therefore not many activities were implemented during this period. The disbursement rate of this output is 59,6% of total budget

2.6.3 Quality criteria

Criteria	Score
Efficiency	B
Effectiveness	C
Sustainability	B

3 Transversal Themes

Explain how the intervention has taken into account Transversal Themes.

3.1 Gender

There is no any specific focus of the project on 'gender equity'. However, women are encouraged to participate in SED planning process. The voice of women is taken into account during prioritization. And therefore they certainly are benefitting from certain project interventions.

3.2 Environment

Environment impaction is one of the criteria on prioritization process. Besides other factors, the more environment friendly and the more green projects will be given better marks during project selection.

3.3 Other

The PORIS project has no explicit focus on children rights, but children's living conditions and rights are most probably enhanced through the QCDF project interventions related to education, health and other social services delivery and/or relevant small scale infrastructure. Despite of some obvious results, these issues of gender equity, environment, social economy and the promotion of children rights might need to be more specifically addressed during the remainder of the project.

4 Steering and Learning

4.1 Action Plan

On the basis of the data and analysis above, formulate actions to be taken (/decisions to be taken) These can be strategic and/or operational.

Action plan	Source	Actor	Deadline
<i>Description of the action/decision to be taken</i>	<i>The sub-chapter to which the action refers (e.g. 2.4)</i>	<i>The person responsible for taking the decision/taking action</i>	<i>e.g. Q1, Q2, Q3 or Q4 of year N+1</i>
gradual restart of the QCDF in 2013 in four communes	MTR	PMU	Q1-Q2
Consider a no cost extension within the duration of the SA of the project in June if the project achieves significant results in Q1 and Q2	MTR	PMU	Q1 & Q2
Appropriately solve the project staffing issues and the persisting lack of driving and implementation forces of the PORIS project	MTR	PMU to make proposal to BTC and PSC	Q1

4.2 Lessons Learned

Capture important Lessons Learned from the intervention's experience. Lessons Learned are new insights that must remain in the institutional memory of BTC and partners. The lessons learned can be drawn from activities, outputs, outcome (or a combination of levels or any other aspect of the intervention and its environment).

Lessons learned	Target audience
NEX does not mean only using internal partners human resources to implement project activities. External consultancy support shall be sourced to specific tasks such as the Com strategy, the CBP in 2012	PMU
The QCDF needs to be managed in a more open, transparent and accountable manner if the PORIS is to be successful. Commune ownership with district and PMU oversight shall be applied	PMU

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5 Annexes

5.1 Original Logical framework

Objective – Result Area	Indicators
<p><u>Specific objective:</u> Strengthening the institutional capacities of local governments in decentralized development planning, budgeting, monitoring and evaluation, implementation and public service delivery in accordance with PAR objectives.</p>	<ul style="list-style-type: none"> ▪ Quality planning cycle of Quy Chau is operational ▪ Institutional capacities meet all planning cycle requirements
<p><u>Result 1:</u> Improved decentralized planning, budgeting and monitoring systems at all levels</p>	<ul style="list-style-type: none"> ▪ New revised and updated provincial regulations issued supporting decentralized planning and implementation ▪ Improved system of planning in place ▪ Improved system of budgeting in place ▪ Improved system of M&E in place ▪ Improved system of public access to information in place ▪ A participatory M&E system developed and mainstreamed into regular reporting systems of the government ▪ Regular technical and financial reporting system at all levels
<p><u>Result 2:</u> Improved decentralized planning mechanism for service delivery and small-scale infrastructure</p>	<ul style="list-style-type: none"> ▪ Quality of Commune annual plans ▪ Commune plans take into account assessments of social, economic, administrative service and small scale infrastructure completed ▪ Province, District and Commune staff fully understand the strengthened planning, budgeting, M&E procedures ▪ Province technical Staff adequately guides District and Communes in planning, budgeting and M&E processes ▪ Commune plans are gender sensitive both in output and procedure
<p><u>Result 3:</u> Improved decentralized implementation of service delivery and small-scale infrastructure</p>	<ul style="list-style-type: none"> ▪ Plans are adequately implemented ▪ Good tendering, accounting, practices in place at all relevant levels ▪ O&M procedures in place (both regulations and practice) ▪ O&M fees collected ▪ Amount of O&M fees spent on maintenance

Objective – Result Area	Indicators
Result 4: Exchange and dissemination of Results /Capitalization / Replication strategy	<ul style="list-style-type: none"> ▪ Synergies between projects ▪ Joint trainings, evaluations, programmes

5.2 Updated Logical framework

Include the updated logical framework if it has changed in the last 12 months, or if this Results Report proposes a new and updated Logical Framework.

5.3 MoRe Results at a glance

Logical framework's results or indicators modified in last 12 months?	
Baseline Report registered on PIT?	
Planning MTR	14/11/2012
Planning ETR	dd/mm/yyyy
Backstopping missions since 01/01/2012	

5.4 “Budget versus current (y – m)” Report

The project disbursement budget is in annex 1 (Page 34 of the report)

5.5 Resources

In this optional annex, interventions should mention any material on the effects of the intervention on the beneficiaries that is available. Material that uses methods that focuses on the beneficiaries is highly appreciated (“story telling”, ...). Also indicate whether audio-visual material, studies, capitalisation reports or (scientific) publications which highlight the effects of the intervention on the beneficiaries, has been produced and is available.

5.6 Decisions taken by the JLCB and follow-up

Provide an overview of the *important* strategic decisions taken by the JLCB and the follow-up of those decisions.

Decision to take				Action			Follow-up		
Decision to take	Period of identification	Timing	Source	Actor	Action(s)	Resp.	Deadline	Progress	Status
BTC will send ITA to Vietnam and working for project from 02/2012. The ITA will work for 03 projects financed by BTC in the same target of capacity strengthening for Vietnamese government authorities: the SPR project at Ministry of Planning and Investment; The PARROC project at Hau Giang; and PORIS project at Nghe An. Of which, the minimum working time for PORIS project will be 05 days/month excluding traveling to/from Nghe An.	PSC 3 rd meeting				International Technical Advisor joined project in February 2012.				done
It was agreed that, where possible, the province will make a matching contribution of 50% directly to the cost of an infrastructure scheme. Otherwise Belgium contribution will cover 100% of the cost of one infrastructure scheme and the province will ensure to pay later full cost of another, using fund from national target program or other national program budget.	PSC 3 rd meeting				District PC has arranged counterpart programs, however almost of those are big projects under responsible of district (in 2012, there are 8 counterpart projects/6 communes with total budget of 16,260 billion dong). Even though the counterpart value is matched. This counterpart mechanism is not in				done

ANNEX I:

Project Disbursement

S.No.	Activity code	Name of activities	Nex/Btc	Project's budget	Disbursed up to 31/12/2011	Disb. Q1	Disb. Q2	Disb. Q3	Disb. Q4	Accumulated disbursement from project's start	Budget balance
1	A	Strengthen institutional capacity of local government at all levels	Nex	1 833 600	355 368	106 183	32 686	14 308	11 661	520 206	1 313 394
2	A.01	Improved decentralized development approach and planning, budgeting, monitoring and evaluation systems at all levels	Nex	135 000	67 010	1 352	4 201	1 875	1 445	75 882	59 118
3	A.01.01	Assess the institutional capacity of the Provincial, District of Quy Chau and Communes	Nex	30 000	37 145					37 145	- 7 145
4	A.01.02	Assess the local economy and draft a strategic planning	Nex	30 000	17 412					17 412	12 589
5	A.01.03	Assess the system and standard of service delivery	Nex	33 000	9 782	800				10 582	22 418
6	A.01.04	Assess the O&M system	Nex	32 000	2 671	171	2 275	301		5 418	26 582
7	A.01.05	Update regulation and procedures at commune, district, level for planning	Nex	10 000		381	1 926	1 574	1 445	5 325	4 675
8	A.02	Improved practice of planning for service delivery & infrastructure	Nex	142 200	33 764		22 632	8 086	5 668	70 149	72 051
9	A.02.01	Develop communication strategy	Nex	30 000	2 409		9 573	2 445		14 427	15 573
10	A.02.02	Develop methodological tools and guidelines for reform planning	Nex	24 000	1 240					1 240	22 760
11	A.02.03	Develop training modules	Nex	23 000	5 736		2 184	4 509	5 464	17 894	5 106
12	A.02.04	Provide Training on participatory planning and budgeting	Nex	45 200	12 258		5 757	987		19 001	26 199
13	A.02.05	Support the implementation of participatory & strategic planning	Nex	20 000	12 121		5 118	144	204	17 587	2 413
14	A.03	Improved decentralized implementation	Nex	1 530 000	238 969	104 831	5 738	4 348	4 548	358 433	1 171 567

45	Z.04.02	Audit	Btc	67 000	7 000	620				6 080	13 700	53 300
46	Z.04.03	Execution modalities assessment	Btc	10 000	7 189						7 189	2 811
47	Z.04.04	Backstopping	Btc	20 000	5 003	- 26	534	5 624	- 54		11 081	8 919
		Total	Btc	2 500 000	745 160	142 413	71 545	51 058	31 898	1 042 074	1 457 926	
			Nex	440 900	221 066	14 858	19 460	16 178	15 454	287 015	153 885	
				2 059 100	524 094	127 555	52 085	34 880	37 063	775 678	1 283 422	