

Independent Office  
of Evaluation



**Viet Nam**  
**Pro-poor Partnerships for Agroforestry Development Project**  
**Project Performance Evaluation**  
**Approach Paper**

September, 2017

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### Acronyms

3PAD	Pro-poor Partnerships for Agroforestry Development Project
APIF	Agribusiness Promotion Investment Fund
APR	Asia and the Pacific division of IFAD
CDF	Community Development Fund
CIG	Common interest group
GEF	Global Environment Facility
ICRAF	The World Agroforestry Centre
IFAD	International Fund for Agriculture Development
IOE	Independent Office of Evaluation of IFAD
M&E	Monitoring and evaluation
PCR	Project completion report
PES	Payment for environment service
PPE	Project performance evaluation
PMU	Project implementation unit
PSC	Project Steering Committee
TOC	Theory of change
USD	United States Dollar
WSC	Women saving and credit group

## **Viet Nam**

### **Pro-poor Partnership for Agroforestry Development Project in Bac Kan (3PAD)**

**(Project number 1477, loan number L-I-768)**

### **Project Performance Evaluation**

### **Approach Paper**

#### **I. Background**

1. For completed investment projects financed by IFAD, its Independent Office of Evaluation undertakes: (i) validation of project completion reports (PCRs) for all projects, based on a desk review of PCRs and other documents; and (ii) project performance evaluations (PPEs) involving country visits for a number of selected projects (about ten in a given year).
2. A PPE is a project evaluation with a limited scope and resources. It is generally based on a desk review, followed by additional information and data collection by IOE at the country level through a short mission. In general terms, the main objectives of PPEs are to: (i) assess the results of the project; (ii) generate findings and recommendations for the design and implementation of ongoing and future operations in the country; and (iii) identify issues of corporate, operational or strategic interest that merit further evaluative work.
3. The Pro-poor Partnership for Agroforestry Development Project in Bac Kan (3PAD) in Viet Nam (implemented between 2008 and 2015) has been selected for a Project Performance Evaluation to be undertaken by IOE in 2017. The 3PAD project was selected, inter-alia, to explore the topic of agroforestry. Up to date, IOE has not evaluated many specialized agroforestry projects.
4. This approach paper presents the overall design of the PPE, including the evaluation objectives, methodology, processes and timeframe. The evaluation framework presented in annex II provides a summary of the evaluation criteria and key questions that will be used in conducting the evaluation.

#### **II. Programme Overview**

5. **Project area.** Bac Kan is an upland province in Northern Viet Nam, with a mostly indigenous population and the highest incidence of poverty in the country. The province has a widely dispersed population, limited agriculture land and a rugged karst mountain terrain that poses considerable logistical challenges. At the same time, the forestry resources are relatively underdeveloped and there is significant potential for developing the livestock industry, aquaculture and tourism, given the openness of the Government to market-led reform, as well as public and private investment in the agricultural sector. Forestland and forest resources are considered the most important asset for the economic development in the province.
6. The project covered three of the five districts in the province that are more remote from the provincial centre (Ba Be, Pac Nam and Na Ri Districts) and all of their 48 communes. Among the three districts, Pac Nam had the highest poverty rate of 52.08 per cent in 2009.
7. Ba Be and Pac Nam districts have a more upland environment. While the BA Be national park has a potential for forestry, livestock and ecotourism development, forestry resources were subject to various threats and provided few economic returns. Na Ri district has a more favourable environment and had a potential for the development of agricultural value chains. There are clear differences between

the indigenous peoples in their poverty status in the province, ranging from Tai (28 per cent in 2008) to Nung (43 per cent), Dao (56 per cent) and Hmong (81 per cent); by contrast, the poverty rate among Kinh people in the province was only 16 per cent at project start. Poverty is mainly associated with remoteness, poor infrastructure, limited education level, and limited access to market and services.

8. **Project objectives.** The project was designed at appraisal with a two-level objective framework. The **goal** of the project was to achieve sustainable and equitable poverty reduction and improved livelihoods for the rural poor in Bac Kan Province through enhanced forest land management. The **purpose** of the project was to establish a framework for sustainable and profitable agroforestry development in Bac Kan Province that targets poor rural households.<sup>1</sup>
9. **Target group and targeting approach.** The target groups are the poor upland male and female farmers living in the three project districts of Bac Kan, particularly the women, who provide the majority of the agricultural labour. These communities mostly belong to the Nung, Dao, Mong and Tay ethnic minority groups.
10. In accordance with the IFAD Policy on Targeting, the project adopted a self-targeting approach<sup>2</sup> for poor communities in upland areas, whose livelihoods depend on agriculture, forestry and livestock production on hillside slopes, limited rice production in small, partially irrigated upland valleys and the collection of non-timber forest products on the small areas of forestland allocated to them. Greater equity in the allocation of such land, development of more sustainable hillside farming systems, diversification of income-generating opportunities, and the piloting of payments for environment services were expected to generate benefits for the poor communities living in the uplands of Bac Kan.
11. Gender. Within the target group, women farmers were particularly targeted in the design of the project. Especially women's common interest groups, formed out of livelihood-based groups and clubs for the promotion of rights, were expected to provide specific opportunities for women to access the community development fund.
12. **Programme components.** The 3PAD project was designed to include four components:
13. **Component 1: Sustainable and equitable forest land management.** This component was designed to provide equitable allocation of forest land resources to local households, especially the poor and ethnic minority based on defined and operational sustainable management procedures. Such objective was achieved through implementation of relevant activities under the following sub-components: (i) Forest Land Use Planning and Allocation; and (ii) Forest Land Access and Use. After the forestland was planned and allocated, households, individuals and private companies would receive forestland use certificates for their sustainable management and utilization.
14. **Component 2: Generating income opportunities for the rural poor.** The component aimed at developing the livelihoods of the rural poor in sustainable ways through investments in infrastructure, human capacity development, better technology and agro-forestry business management practices and effective service delivery systems. Two sub-components were financed under this component: (i) community driven technology and service development; and (ii) investment for growth. The latter would include an Agribusiness Promotion Investment Fund (APIF) and a Community Development Fund (CDF). The APIF was designed to leverage

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<sup>1</sup> The Presidents' report renamed that goal as a development objective, and that statement of purpose as a policy and institutional objective for the project. The loan agreement reverted to the initial objective framework with the above goal and purpose statements.

<sup>2</sup> This is described as a self-targeting approach in the appraisal report. It is actually a "pro-poor by design" approach assuming that upland activities are pro-poor.

private investment into potential value chains through which market opportunities for farmer households would be created. The CDF was composed of three interlinked sets of activities with separate funding mechanisms, including (i) public goods investments, (ii) pro-poor agro-forestry development funds, and (iii) service delivery contracts to farmers.

15. **Component 3: Innovative Environmental Opportunities.** The objective of this component was to develop socially, environmentally and economically sustainable sloping land conservation and protection systems, through the following activities: (i) Forage-based conservation and other innovative Sustainable Land Management and Sustainable Forest Protection programmes; (ii) Payment for Environment Service (PES); and (iii) pro-poor Eco-Tourism development.
16. **Component 4: Project management.** The objective of this component was to enhance capacity to implement project interventions in an efficient and effective manner, through: (a) the establishment of a Project Steering Committee (PSC); and (b) the establishment of a Project Management Unit (PMU).
17. **Project financing.** Total costs for 3PAD was estimated at USD 25.33 million, of which IFAD loan accounted for 82.9 per cent of the total project budget (USD 21,000,000); Government counterpart fund was 9.5 per cent (USD 2,415,300), GEF was 2.6 per cent (USD 650,000) and contribution from beneficiaries 5 per cent (USD 1,265,000). The project budget and actual cost are shown in table 1 by financier and in table 2 by component. However, it was noted that the project cost estimates and actuals vary somewhat among different documents.

Table 1

**Project financing by financier as stated in the project completion report (USD)**

	<i>Approved</i>	<i>% of total</i>	<i>Actual</i>	<i>% of total</i>
IFAD loan	21,000,000	82.9%	21,441,984	83.3%
GEF grant	650,000	2.6%	657,723	2.6%
Government of Viet Nam	2,415,300	9.5%	2,141,801	8.3%
Beneficiaries	1,265,000	5.0%	1,490,379	5.8%
<b>Total</b>	<b>25,330,300</b>	<b>100%</b>	<b>25,731,888</b>	<b>100%</b>

Source: Project Completion Report (2016)

Table 2

**Project financing by component as stated in the project completion report (USD)**

	<i>Planned</i>	<i>% of total</i>	<i>Actual</i>	<i>% of total</i>	<i>Disbursement rate %</i>
1. Sustainable and equitable forest land management	3,216,910	12.7%	2,416,412	9.4%	75,1%
2. Generating income opportunities for the rural poor	17,553,690	69.3%	18,287,796	71.1%	104,2%
3. Innovative environmental opportunities	1,393,150	5.5%	1,452,198	5.6%	104,2%
4. Project management	3,166,250	12.5%	3,575,480	13.9%	112,9%
<b>Total</b>	<b>25,330,000</b>	<b>100%</b>	<b>25,731,888</b>	<b>100%</b>	<b>101,6%</b>

Source: Project Completion Report (2016)

18. **Timeframe.** The project was approved by IFAD's Executive board in December 2008. The IFAD loan agreement was signed in February 2009 and became effective in May 2009. As initially scheduled, the project was completed on June 30, 2015 after 6 years of implementation. A co-financing GEF grant was implemented over the 2010-2014 period.

19. **Implementation arrangements.** The project established a supporting project management unit at the province level under the provincial Department of Planning and Investment, responsible for financial and procurement management, information management, and monitoring and evaluation. The technical management of the project components and subcomponents were devolved to the responsible line agencies or district, commune or community committees, using contracted national and international skills where necessary.
20. Key partners in project implementation. Apart from the provincial Department of Planning and Investment, the project involved other key partners at provincial level such as the Department of Agriculture and Rural Development, the Department of Science and Technology, the Department of Natural Resources and Environment, the Department of Education and Training, the Department of Labour, Invalids and Social Affairs and district sections. Implementation was intended to be underpinned by farmers' organizations and common interest groups (CIGs) and a competitive private sector.
21. GEF grant. GEF was involved in the implementation of component 3 through a grant of USD 650,000. The *Promotion of Sustainable Forest and Land Management in the Viet Nam Uplands* GEF grant (GEF-MSP-19-VN) aimed to promote forest and biodiversity conservation and sustainable forest land management practices in selected districts of Bac Kan Province by enhancing capacity and improving community livelihoods. To achieve this objective, the grant was designed to be fully integrated within 3PAD project. While the 3PAD project was to create the institutional, investment, technological and sociological environment necessary to support sustainable, pro-poor growth in the Bac Kan rural economy, the grant was to strengthen the overall approach by deepening and broadening the project's focus and orientation in order to improve outcomes from the perspectives of environmental management, land degradation and biodiversity conservation.
22. The GEF resources were to be used primarily to finance technical assistance, training, studies and services in four areas, detailed below, in order to supplement the planned 3PAD activities and secure global and national benefits of relevance to GEF's Strategic Programmes. GEF resources were to:
  - Provide for capacity building for forest land use planning and allocation, for participatory community-based forest management and biodiversity conservation planning and, for conservation of ecosystem services (biodiversity, watershed protection, etc.);
  - Generate environment-related inputs for extension services and piloting/testing innovative environmental options for PES, community-based ecotourism and sustainable forest and land management practices;
  - Test, pilot and promote options for sustainable management of sloping lands and forest, for PES and, strengthen capacity for development of pro-poor ecotourism options, particularly in communities living in the vicinity of the Ba Be National Park; and
  - Provide environmental training for PMU staff, technical support on environmental aspects of the project, including environmental monitoring, and expenses for operational travel.
23. **Supervision arrangements.** The project was directly supervised by IFAD from the first supervision mission that was fielded in 2010. During the implementation period from 2008 to 2015, a total of four supervision and implementation support missions were undertaken (2010, 2011, 2013 and 2014), as well as a mission for the mid-term review in 2012 and a mission for the project completion in 2015.
24. **Changes and development during implementation.** In summary, the project's logical framework remained unchanged throughout the project in terms of

objectives and outcomes while implementation approach, processes and tools were adjusted gradually over project life. First, it was clarified that the target group included both the poor and the near-poor. Project guidelines were adjusted to better target these groups. Second, local biodiversity plans, designed to be integrated into sustainable forest management plans, were cancelled. Approaches to agricultural extension evolved from an initial combination of methods (farmer associations, participatory action research, farmer groups) to a structured approach with strong involvement of the provincial Farmers' Union and Women's Union. The undisbursed budget under APIF<sup>3</sup> was redirected at project end to other components.

25. **Intervention logic.** The project's strategy was to create the institutional, investment, technological and social framework necessary to improve livelihoods for the rural poor through enhanced agroforest land management; and herewith sustainably and equitably reduce poverty in the project area. Through the introduction of agro-forestry land development, agro-forestry technology and farming systems, the promotion of agro-forestry (business and public goods) investment, the development of pro-poor ecotourism and the promotion of PES, the project created three development pathways.
26. In the first pathway, the introduction of new agro-forestry technology and agro-forestry business and public goods investments, would provide the pro-poor farmers with the means to improve their productivity and increase production. This would allow the farmers to improve their food security. Furthermore, with the availability of markets access and access to chain partners, the farmers could be motivated to focus on the production of cash commodities and set up production enterprises together to improve their livelihoods.
27. In the second pathway, through the possession of commune production forest lands and the increased attention to ecosystem-friendly allocating and planning these lands, the poor upland farmers would become more involved in local decision-making processes and collectively more active in the development and protection of their commune lands.
28. In the third pathway, the target communities are made aware of the income generating capacity of pro-poor ecotourism and the payment for ecosystem services. This would provide them with alternative ways to earn money and at the same time motivate them to invest in sloping land conservation systems and activities.

### III. PPE Objectives and Scope

29. **PPE objectives.** The main objectives of the evaluation are to: (i) provide an independent assessment of the overall results and impact of the programme; and (ii) generate findings and recommendations to guide the Government and IFAD with regard to the ongoing and future development programmes in Viet Nam.
30. **Scope.** In view of the time and resources available, a PPE is generally not expected to undertake quantitative surveys or to examine the full spectrum of project activities, achievements and drawbacks. Rather, it will focus on selected key issues deserving further investigation (see section IV). The PPE will take account of the preliminary findings from a desk review of PCR and other key project documents and interviews at IFAD headquarters. During the PPE mission, additional evidence and data will be collected to verify available information and reach an independent assessment of performance and results.
31. **Theory of change (TOC).** The TOC of a project depicts the causal pathways from project outputs to project outcomes, i.e., through changes resulting from the use of those outputs made by target groups and other key stakeholders towards impact.

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<sup>3</sup> Exact amount to be verified during the evaluation.

The TOC further defines external factors that influence change along the major impact pathways. These external factors are assumptions when the project has no control over them, or drivers of impact when the project has certain level of control. Analysis in this evaluation will be initially assisted by ex-post reconstructed TOC at design (presented in Annex I and discussed in paragraph 24). The TOC will be further elaborated in the course of the evaluation, as needed. This will allow the PPE to understand and capture the changes that occurred during implementation and reconstruct a TOC at evaluation. This final version of the TOC will be used to assess the extent to which 3PAD's goal and objectives were effectively achieved.

#### **IV. Key issues for this PPE**

32. Based on initial desk review, the PPE has identified a number of key issues to be reviewed. These may be subject to change based on emerging findings from the main evaluation mission.

**I. Project design.** The project was composed of numerous and diverse components and interventions and its design suggests that synergies between components and activities were key to achieve the project objectives, for example between the forest land allocation sub-component and the forest land use sub-component. As discussed in paragraph 23 the project's implementation approach, processes, indicators and tools were gradually adjusted over project life. The PPE would like to understand (i) to what extent project complexity may have affected project performance; and (ii) if the project managed to keep the necessary synergies between components and activities.

Furthermore, the PPE would like to better understand the evolution in the development path from a more classical agroforestry development project, based on agricultural extension services, to a focus on specific activities promoting market-oriented reforms. The PPE will among others look at the relevance, effectiveness and impact of this shift, while it further develops the TOC. During this exercise, the PPE will also seek to understand the requirements for CIGs to become sustainable farmer groups and look at the two funds. Lastly, the PPE will check how the GEF grant and the innovative environmental activities (e.g. PES and eco-tourism activities) fit on the overall project design.

**II. Indigenous peoples, targeting and gender.** 3PAD sought to improve its targeting efforts of the project, to reach poor upland villages, various times during the project. The PPE would like to understand to what extent the project used a differentiated targeting approach, given the different district contexts and the differences between the various ethnic groups that live there (location of residence, language, major livelihoods, etc.). These differences suggest that representation per ethnic group may have differed per activity and that these ethnic groups might have benefitted differently from the same type of project interventions.

The PPE would therefore also like to explore the capacity of local public services to provide support in a differentiated manner to the diverse groups of beneficiaries. Moreover, the PPE would like to understand the difference between the "poor" and the "near-poor" in the target group and (i) to what extent the "near poor" have similar conditions as the "poor", and can therefore easily be emulated (or not) by the poor; and (ii) to what extent the poor were able to adopt the technological packages and the innovative environmental activities promoted by the project.

Women played a significant role both as beneficiaries and actors in the implementation of the project activities. In fact, the project had a specific gender strategy and promoted gender equality and women's empowerment in all its activities. The PPE would like to understand to what extent the project approaches and implementation structure were adequate to support gender equality and women's empowerment goals in the different contexts and among the various ethnic groups.

**III. Agriculture productivity.** The project sought to implement a framework for sustainable and profitable agroforestry development in Bac Kan through *inter alia* the allocation and planning of land, the introduction of agro-forestry technical models and various small infrastructure schemes. The completion report states that the project impact on agricultural productivity is reflected in the tendency moving from subsistence farming toward cash commodity. While the financial accumulation was mainly from crop cultivation and livestock production, the PCR states that changes in production scale for many crops and livestock remained more or less the same (with the exception of potato, edible canna and ginger production).

It is not clear from the project documentation what the agro-forestry project lands were intended to be/actually used for. The documentation mostly highlights the achievements in improved food security without providing much information and data on production and productivity. Given the improved food security: Has production overall increased? Have different crops been introduced? Or has a move to non-food crops been encouraged? Has livestock rearing increased with the introduction of grass and forage activities? In this regard, the PPE will seek to gather more clarity.

#### **IV. Additional issues for analysis.**

Collaboration and partnerships. The project completion report highlights that good partnership with other donors and organizations during the implementation of the project have been established, among others with ICRAF and CARE for activities covered under component 3 "innovative environment opportunities". As mentioned previously, GEF was also involved in this component through a grant of USD 650,000. The PPE will gather more information on the project's collaborations, to what extent these were foreseen from the start, what the various collaborations entailed and if these were effectively executed – as the project documentation does not contain sufficient information in this regard.

The PPE will also seek to answer (i) if there was sufficient interaction and coordination between the various project agencies throughout project implementation; (ii) how the private sector was attracted; (iii) if the public-private-project collaboration was satisfactory and sustainable; and (iv) to what extent there has been collaboration within and interaction among the various beneficiary groups (the WSCs and CIGs, farmer associations and the enterprises), and to what extent this is still present today.

M&E. The PPE will have a look at the performance of the M&E system as a management tool, and will seek to collect additional data to enable a full evaluation of the effectiveness and impact criteria. It will furthermore verify if segregated data is available at provincial level, and for the different ethnic groups, and perhaps even the poor and the near-poor, as these are currently not presented in the project documentation. Other observed information gaps for this PPE are summarized in Chapter IX.

The PPE will also try to understand the M&E difficulties throughout project implementation, which are said to have been only fully resolved in 2014 after qualified technical assistance was recruited.

Enterprise development. Value chain development runs as an implicit thread through a range of project activities and interventions in various components, though it is not as explicit in the project design. The PPE would like to understand better the project's pro-poor strategy for value chain development and which steps in the chain it was supposed to cover (e.g. production and partnership development).

## V. Methodology

33. The PPE exercise will be undertaken in accordance with the IFAD Evaluation Policy (2011) and the second edition of IFAD Evaluation Manual (2015). Analysis in the PPE will be assisted by a review of the Theory of Change of the project.
34. **Evaluation criteria.** In line with the agreement between IOE and IFAD Management on the harmonized definitions of evaluation criteria in 2017,<sup>4</sup> the key evaluation criteria applied in PPEs in principle include the following:
- (i) **Rural poverty impact**, which is defined as the changes that have occurred or are expected to occur in the lives of the rural poor (whether positive or negative, direct or indirect, intended or unintended) as a result of development interventions. Four impact domains are employed to generate a composite indication of rural poverty impact: (a) household income and assets; (b) human and social capital; (c) food security and agricultural productivity; and (d) institutions and policies. A composite rating will be provided for the criterion of "rural poverty impact" but not for each of the impact domains.
  - (ii) **Relevance**, which assesses the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, institutional priorities and policies. It also entails an assessment of project design, coherence in achieving its objectives, and relevance of targeting strategies adopted.
  - (iii) **Effectiveness**, which measures the extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.
  - (iv) **Efficiency**, which indicates how economically resources/inputs (e.g. funds, expertise, time, etc.) are converted into results.
  - (v) **Sustainability of benefits**, indicating the likely continuation of net benefits from a development intervention beyond the phase of external funding support. It also includes an assessment of the likelihood that actual and anticipated results will be resilient to risks beyond the project's life.
  - (vi) **Gender equality and women's empowerment**, indicating the extent to which IFAD interventions have contributed to better gender equality and women's empowerment, for example, in terms of women's access to and ownership of assets, resources and services; participation in decision making; work loan balance and impact on women's incomes, nutrition and livelihoods.
  - (vii) **Innovation**, assessing the extent to which IFAD development interventions have introduced innovative approaches to rural poverty reduction.
  - (viii) **Scaling up**, assessing the extent to which IFAD development interventions have been (or are likely to be) scaled up by government authorities, donor organizations, the private sector and other agencies.
  - (ix) **Environment and natural resource management**, assessing the extent to which IFAD development interventions contribute to resilient livelihoods and ecosystems. The focus is on the use and management of the natural environment, including natural resources defined as raw materials used for

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<sup>4</sup> IFAD (2017). Agreement between IFAD Management and the Independent Office of Evaluation of IFAD on the Harmonization of IFAD's Independent Evaluation and Self-Evaluation Methods and Systems Part I: Evaluation Criteria. EC 2017/96/W.P.4.

socioeconomic and cultural purposes, and ecosystems and biodiversity – with the goods and services they provide.

- (x) **Adaptation to climate change**, assessing the contribution of the project to reducing the negative impacts of climate change through dedicated adaptation or risk reduction measures.
  - (xi) **Overall project achievement**, providing an overarching assessment of the intervention, drawing upon the analysis and ratings for all above-mentioned criteria.
  - (xii) **Performance of partners (IFAD and the Government)**, assessing the contribution of partners to project design, execution, monitoring and reporting, supervision and implementation support, and evaluation. The performance of each partner will be assessed on an individual basis with a view to the partners expected role and responsibility in the project life cycle.
35. **Rating system.** In line with the practice adopted in many other international financial institutions and UN organizations, IOE uses a six-point rating system, where 6 is the highest score (highly satisfactory) and 1 being the lowest score (highly unsatisfactory).
36. **Data collection.** Careful review, analysis and triangulation of reported project achievements will be key during the PPE process. Validation of project results will be done through bringing in and cross-checking information and evidences from multiple sources and stakeholder perspectives. Initial findings from the desk review indicated some information gaps which are summarized in chapter IX. This information will be collected during the main evaluation mission through various data collection methods. Additional data will also be collected, in particular for the rural poverty impact domains, effectiveness, gender and environment and natural resource management to enable a full assessment of these criteria.
37. The PPE will mainly build on available quantitative (e.g., IFAD results and impact management system (RIMs), project M&E and other secondary sources) and qualitative (e.g., project documentation) data and information. Primary data will be collected during the field mission through focus group discussions with beneficiaries, interviews with key informants (e.g. implementing agencies and key partners), direct observations, and site visits.
38. **Stakeholders' participation.** In accordance with IFAD Evaluation Policy, the main project stakeholders will be involved throughout the PPE process. This will ensure that the key concerns of the stakeholders are taken into account, that the evaluators fully understand the context in which the programme was implemented, and that opportunities and constraints faced by the implementing institutions are identified. Regular interaction and communication will be established with the Asia and Pacific region Division (APR) of the Programme Management Department of IFAD and with the Government of Viet Nam. Formal and informal opportunities will be explored during the process for discussing findings, lessons and recommendations.

## VI. Evaluation Process

39. Following a desk review of the PCR and other key project documents, the PPE will involve the following steps:
- **Country Work.** The PPE mission is scheduled from 25 September – 6 October 2017. The mission will interact with representatives from the Government, project staff, beneficiaries and beneficiary groups established under the project and key donors and private sector partners with whom the project collaborated. The mission will include 3 days in Hanoi, and 8 days in the Bac Kan province. In Bac Kan, the team will spend 3 days in Bac Kan city, 2 days in the Na Ri district, 2 days in the Ba Be district and 1 day in the Pac Nam district. The wrap-up meeting will be held in Bac Kan City to summarize

the preliminary findings and discuss key strategic and operational issues. A tentative mission schedule can be found in annex III.

- **Report drafting and peer review.** After the field visit, a draft PPE report will be prepared and submitted to IOE internal peer review for quality assurance.
- **Comments by the Programme Management Department of IFAD and the Government of Viet Nam.** The draft PPE report will be shared simultaneously with the APR division and the Government of Viet Nam for review and comment. IOE will finalize the report following receipt of comments by APR and the Government, and prepare a written response to those comments (audit trail).
- **Management response by APR.** A written management response on the final PPE report will be prepared by the Programme Management Department of IFAD. This will be included in the PPE report, when published.
- **Communication and dissemination.** The final report will be disseminated to the key stakeholders in the country and in IFAD. It will also be posted on the website of IOE.

40. **Tentative timeline** for the PPE process is as follows:

<b>Date</b>	<b>Activities</b>
<b>June – July 2017</b>	Recruitment of the team and collection of project documents
<b>July – August 2017</b>	Desk review
<b>Beginning September 2017</b>	Preparation of Approach Paper
<b>14 September 2017</b>	Approach Paper sent to APR and Government for comments
<b>21 September 2017</b>	IOE received comments from APR and Government
<b>25 September – 6 October 2017</b>	Mission to Viet Nam
<b>October – November 2017</b>	Preparation of draft report
<b>Beginning December 2017</b>	IOE Peer Review rounds
<b>15 December 2017</b>	Draft PPE report sent to APR and Government for comments
<b>15 January 2017</b>	IOE received comments from APR and Government
<b>January 2017</b>	Finalization of the report
<b>End January 2017</b>	Final report and audit trail sent to APR and Government + Management Response received from APR
<b>February 2017</b>	Publication and dissemination

## VII. Evaluation Team

41. Ms Renate Roels, IOE Evaluation Research Analyst has been designated as Lead Evaluator for this PPE under the direct supervision of Mr Michael Carbon, Senior Evaluation Officer. She will be assisted by Ms Claude St-Pierre (rural development and institutions expert & IOE international consultant) and Mr Bao Huy (agro-forestry expert & IOE national consultant). Ms Laure Vidaud, IOE Evaluation Assistant, will provide administrative support throughout the evaluation process.

## VIII. Background Documents

42. The key background documents for the exercise will include the following:

### **3PAD project specific documents**

IFAD (2016). *Pro-Poor Partnerships for Agroforestry Development Project in Bac Kan - Project completion report*, March 2016. 105 p.

IFAD (2014). *Fourth supervision mission report* (September 2014 mission) 60 p including annexes.

IFAD (2013). *Third supervision mission report* (June 2013 mission)

IFAD (2012). *Viet Nam Country Programme Evaluation* (2012)

IFAD (2012). *Pro-Poor Partnerships for Agroforestry Development Project. Mid-term review report*. Main report (27 pages) and appendices.

IFAD (2012). *Socialist Republic of Viet Nam Country strategic opportunities programme, 2012-2017*.

IFAD (2011). *Second supervision mission report* (August 2011 mission). 94 p including annexes.

IFAD (2010). *First supervision mission report* (July 2010 mission). 153 p including annexes.

IFAD (2010). *Promotion of sustainable forest and land management in the Vietnam uplands. Grant agreement between the Socialist Republic of Viet Nam and the International fund for agricultural development*. July 19, 2010. 58 p.

IFAD (2009). *Project loan agreement (Pro-Poor Partnerships for Agroforestry Development Project) between the Socialist Republic of Viet Nam and the International Fund for Agricultural Development*, February 16, 2009. 64 p.

IFAD (2008). *President's report-Proposed loan and grant to the Socialist Republic of Viet Nam for the Pro-Poor Partnerships for Agroforestry Development Project*, December 2008. 9 pages + annexes.

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## **IX. Summary of information gaps for the PPE**

### **Data (source)**

- Provincial statistics used for the PCR, by district (project start, project end): population by ethnic group, poverty (poor, near poor), infrastructure in villages, land use (agriculture, forestry), provincial economy competitiveness index (PPC)
- 2014 household survey
- 2009 baseline household survey
- Off-farm incomes and migrations
- Completed expenditures at project end, by type (PMU)
- List of beneficiary enterprises in APIF (year enterprise was created, number of staff or turnover)
- Number of villages in the 48 communes (PMU)
- Number of communes and villages covered, by activity (PMU) (if possible commune database to seen sets of activities in same commune village)
- Forest land planned and allocated to households, communes & villages, enterprises, 2 nature reserves at project start and at project end (MONRE statistics, may have to be obtained at national level)
- Classification of CIGs in three types, by commune (PMU)
- Team composition: appraisal mission, project completion (IFAD)
- Completed technical assistance, national and international (person X months, by year and by profile) (PMU or IFAD)

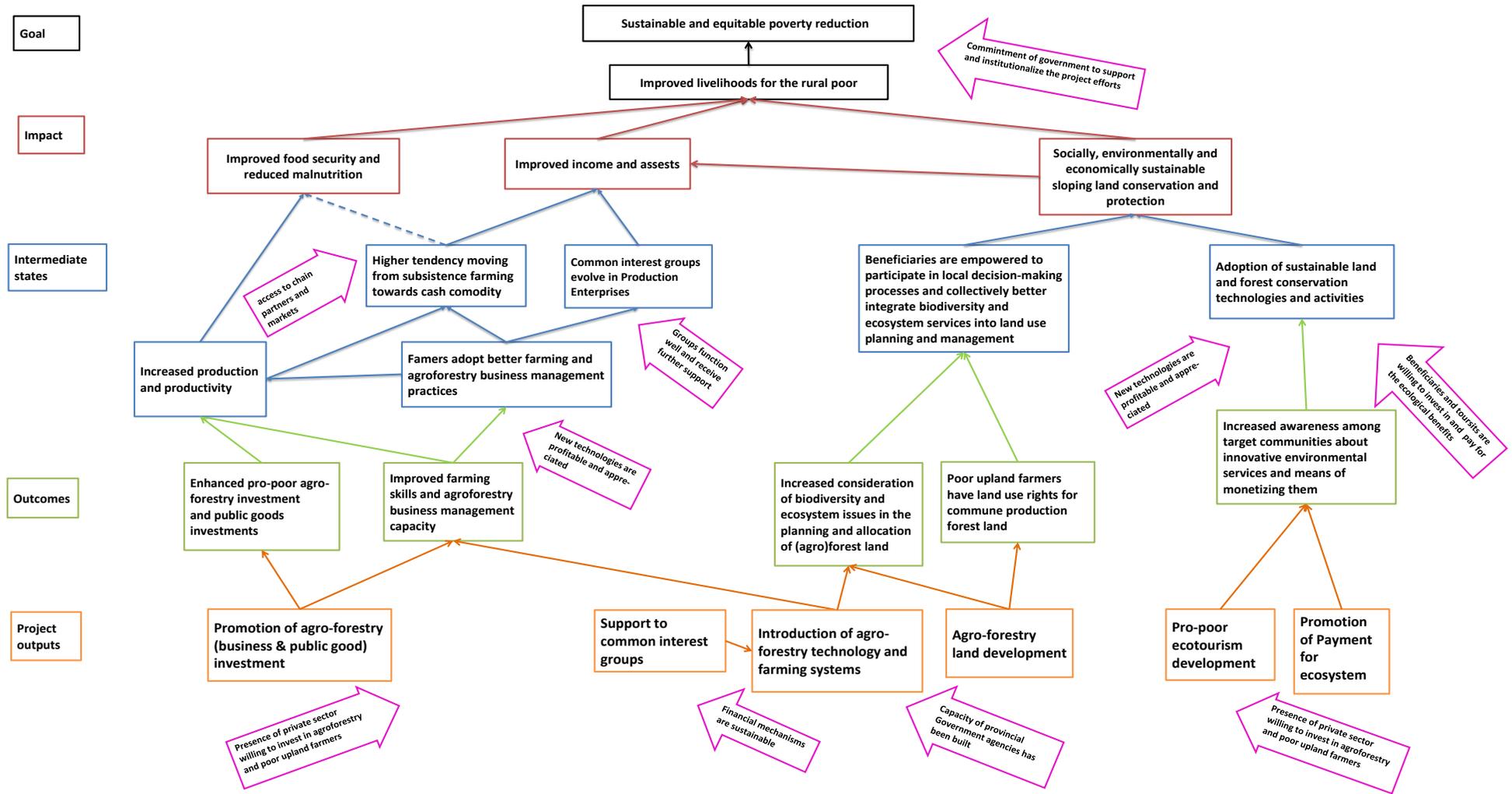
### **Project documents (source)**

- Agroforestry sector gap analysis (PMU)
- ESIA (IFAD Viet Nam)
- Participatory forestry land use planning and allocation manual (IFAD for English version)
- APIF manual
- Forage crops international technical assistant's final report (PMU or IFAD)

**Background documents**

- Vietnam's 2011-20 strategy for poverty reduction
- Documents from projects having piloted similar innovations
- Country Partnership Programme for Sustainable Forest Land Management

### 3PAD Theory of Change at design



**Annex II: Evaluation Framework**

Criteria	Evaluation Questions	Data sources
<b>I. Project Performance</b>		
Relevance	<ul style="list-style-type: none"> <li>• Were 3PAD objectives realistic and consistent with national agriculture and rural development strategies and policies, the COSOP and relevant IFAD policies, as well as the needs of the rural poor?</li> <li>• Was the 3PAD relevant with respect to the policies, programmes and projects undertaken by the Government and other development partners?</li> <li>• Was the 3PAD internally coherent in terms of synergies and complementarity between objectives, components, activities and inputs? How did the GEF grant and the innovative environmental activities (e.g. PES and eco-tourism activities) fit in on the overall project design?</li> <li>• Was the 3PAD design participatory in the sense that it took into consideration the inputs and needs of key stakeholders, including the Government, executing agencies, and the expected beneficiaries and their producer organizations, CIGs, LARCs and CBDs?</li> <li>• Did the project benefit from available knowledge (for example, the experience of other similar projects in the area or in the country) during its design and implementation?</li> <li>• Did 3PAD objectives remain relevant over the period of time required for implementation? And during the evolution in the development path? In the event of significant changes in the project context or in IFAD policies, has the design been retrofitted?</li> <li>• Was the project design and implementation approach (including financial allocations, programme management and execution, supervision and implementation support, and M&amp;E arrangements) appropriate for achieving the programme's objectives?</li> <li>• What are the main factors that contributed to a positive or less positive assessment of relevance?</li> <li>• Was the target group clear throughout the project? Who are the "poor" and who are the "near-poor"? Do they have similar conditions and needs?</li> </ul>	<ul style="list-style-type: none"> <li>• President's Report</li> <li>• Loan Agreement</li> <li>• Design Report</li> <li>• Mid-term Review report</li> <li>• Supervision Reports</li> <li>• PCR</li> <li>• GEF evaluation</li> <li>• Interviews with country authorities</li> <li>• Group discussion with beneficiaries</li> </ul>

Effectiveness	<ul style="list-style-type: none"> <li>• To what extent have 3PAD objectives been attained?</li> <li>• Did the project succeed in improving inter alia the: <ul style="list-style-type: none"> <li>- Access to agroforestry technology and practices</li> <li>- Agroforestry business management capacity</li> <li>- Market access</li> <li>- Access to financial resources</li> <li>- Forest land use planning and allocation</li> <li>- SLM and sustainable forest planning capacity</li> <li>- PES framework and capacities</li> <li>- Eco-tourism management capacity</li> </ul> </li> <li>• What factors in project design and implementation account for these results?</li> <li>• Did changes in the overall context (e.g. policy framework, political situation, institutional set-up, economic shocks, market access and prices, etc.) affect project results?</li> <li>• Did the various ethnic groups benefit equally from the project interventions?</li> <li>• To what extent is there adoption by the poor and the near-poor of the technological packages promoted by the project?</li> </ul>	<ul style="list-style-type: none"> <li>• President's report</li> <li>• Design report</li> <li>• Financing agreements</li> <li>• Supervision Reports</li> <li>• RIMS</li> <li>• Mid-term Review Report</li> <li>• Surveys</li> <li>• PCR</li> <li>• GEF evaluation</li> <li>• Individual interviews in the field and with country authorities</li> <li>• Group discussion with beneficiaries</li> <li>• Direct observation</li> </ul>
Efficiency	<ul style="list-style-type: none"> <li>• What are the costs of investments to develop specific project outputs compared with national standards?</li> <li>• Is the cost ratio of inputs to outputs (including cost per beneficiary) comparable to local, national or regional benchmarks?</li> <li>• What were the administrative costs per beneficiary and how do they compare to other IFAD- or other donors-funded operations in Viet Nam?</li> <li>• How much time did it take for the loan to be effective, and how does it compare with other loans in the same country and region?</li> <li>• Did the 3PAD deliver expected results in a timely manner?</li> <li>• To what extent are the created enterprises efficient?</li> </ul>	<ul style="list-style-type: none"> <li>• President's report</li> <li>• Design report</li> <li>• Supervision reports</li> <li>• Mid-term review report</li> <li>• PCR</li> <li>• GEF evaluation</li> <li>• Individual interviews in the field with beneficiaries and with country authorities (at central and local level)</li> <li>• Analysis of comparators</li> <li>• Government data (for benchmarking)</li> </ul>
Sustainability of benefits	<ul style="list-style-type: none"> <li>• Are 3PAD benefits expected to continue following project completion, and what factors are in favour of or against maintaining benefits? What is the likely resilience of economic activities to shocks?</li> <li>• Was a specific exit strategy or approach prepared and agreed upon by key partners to ensure post-project sustainability? Was this effective?</li> </ul>	<ul style="list-style-type: none"> <li>• President's report</li> <li>• Design report</li> <li>• Supervision reports</li> <li>• Mid-term review report</li> <li>• PCR</li> <li>• GEF evaluation</li> <li>• Group discussion with beneficiaries</li> <li>• Individual interviews</li> </ul>

	<ul style="list-style-type: none"> <li>• Is there a clear indication of government commitment after the loan closing date, for example, in terms of provision of funds for selected activities, human resources availability, continuity of pro-poor policies and participatory development approaches, and institutional support? Did 3PAD design anticipate that such support would be needed after loan closure?</li> <li>• Did project activities benefit from the engagement, participation and ownership of local communities, the established enterprises and the involvement of the private sector?</li> <li>• To what extent are late introduced project activities (e.g. women's savings and credit groups) sustainable?</li> </ul>	in the field with beneficiaries and with authorities (at central and local level)
<b>II. Rural poverty impact</b>		
- Household income and net assets	<p>Due to the project:</p> <ul style="list-style-type: none"> <li>• Did the composition and level of household incomes change (more income sources, more diversification and higher income)? What changes were apparent in intra-household distribution of incomes and assets?</li> <li>• Did households' endowment of productive assets change? Did other household assets change (houses, bicycles, radios, television sets, telephones, etc.)?</li> <li>• Did the rural poor benefit from improved access to production agro-forest land and financial resources?</li> <li>• Did poor households' financial assets change (savings, debt or borrowing)?</li> <li>• To what extent have the rural poor benefited from higher income through their participation in project enterprises? Did the rural poor benefit from better access to input and output markets / and or interaction with chain partners?</li> <li>• To what extent did the rural poor benefit from the innovative environmental opportunities (PES, Eco-tourism, non-timber forest products etc.)?</li> <li>• To what extent did the rural poor benefit from the implicit value chain development activities and interventions that ranged through the project components?</li> </ul>	<ul style="list-style-type: none"> <li>• President's report</li> <li>• Design report</li> <li>• Supervision reports</li> <li>• Mid-term review</li> <li>• Surveys</li> <li>• PCR</li> <li>• GEF evaluation</li> <li>• RIMS</li> <li>• Group discussion with beneficiaries</li> <li>• Individual interviews in the field with beneficiaries and with country authorities (at central and local level)</li> <li>• Direct observation</li> </ul>
- Human and social capital and empowerment	<p>Due to the project:</p> <ul style="list-style-type: none"> <li>• To what extent are the beneficiaries taking part in a key stakeholder group (e.g. LARCs, CIGs, CDBs and Producer Associations)? How many groups of each type and how many members in each type</li> </ul>	

	<p>of group? What ethnic groups do they belong to? Gender? Age?</p> <ul style="list-style-type: none"> <li>• How did the key stakeholder group (LARCs, CIGs, CDBs and Producer Associations) interact and learn from one another?</li> <li>• To what extent have these groups allowed rural poor's grass-root institutions and usage/knowledge of better farming techniques to change?</li> <li>• Are changes in the social cohesion, collective capacity and local self-help capacities of rural communities visible?</li> <li>• To what extent did the project empower the rural poor vis-à-vis development actors and local and national public authorities? Do they play more effective roles in decision-making processes, access to (forestry land) resources, social services and improved technologies? Who are the group leaders/facilitators? Risks of elite capture?</li> <li>• To what extent do the rural poor have a more collective and commercial approach to their farming operation?</li> <li>• To what extent have the knowledge and skills of the beneficiaries been improved for financial and productivity gains and on usage of new farming systems by (i) server provider associations and (ii) farmer-to-farmer extension agents?</li> </ul>	
<p>- Food security and agricultural productivity</p>	<p>Due to the project:</p> <ul style="list-style-type: none"> <li>• What were the allocated agro-forestry lands intended to be used for? (e.g. particular crops, forest resources, non-timber resources, livestock fodder, etc.)</li> <li>• Did cropping intensity change? Was there any change or improvement in production and productivity (for example through adoption of improved technologies)?</li> <li>• Have different crops / animals / forest resources / non-food crops been introduced?</li> <li>• Did children's nutritional status change (e.g. stunting, wasting, underweight)?</li> <li>• Did household food security change?</li> <li>• To what extent did the rural poor improve their access to input and output markets (for example through credit) that could help them enhance their productivity and access to food? What was the role of the public-private collaborations in this respect?</li> </ul>	

- Institutions and policies	<p>Due to the project:</p> <ul style="list-style-type: none"> <li>• Were there any changes by 3PAD activities to facilitate access for the rural poor and producer associations to financial services?</li> <li>• Did the public and the private sector become more responsive to the needs of the beneficiaries? (e.g. financial resources, production, access to markets, access to land, access to services)?</li> <li>• What improvements were discernible at local level?</li> <li>• To what extent are the beneficiaries involved in local decision-making (e.g. forest land planning and allocation procedures as well as the PES framework)?</li> </ul>	
<b>III. Other performance criteria</b>		
Gender equality and women's empowerment	<ul style="list-style-type: none"> <li>• What were the project's achievements in terms of promoting gender equality and women's empowerment?</li> <li>• To what extent did the project define and monitor ex-disaggregated results to ensure gender equality and women's empowerment objectives were being met?</li> <li>• Was the project implementation structure adequate to support effective implementation of goals on gender equality and women's empowerment?</li> <li>• To what extent have women equally benefitted from all project activities?</li> </ul>	<ul style="list-style-type: none"> <li>• President's report</li> <li>• Design report</li> <li>• Supervision reports</li> <li>• Mid-term review</li> <li>• President's report</li> <li>• Design report</li> <li>• RIMS</li> <li>• PCR</li> <li>• GEF evaluation</li> <li>• Group discussion with beneficiaries</li> <li>• Individual interviews in the field with beneficiaries and with country authorities (at central and local level)</li> </ul>
Innovation	<ul style="list-style-type: none"> <li>• What are the innovation(s) promoted by the 3PAD? Are the innovations consistent with the IFAD definition of this concept?</li> <li>• How did the innovation originate (e.g. through the beneficiaries, Government, IFAD, NGOs, etc.) and was it adapted in any particular way during project design?</li> <li>• Are the actions in question truly innovative or are they well-established elsewhere but new to the country or project area?</li> <li>• Were successfully promoted innovations documented and shared? Were other specific activities (e.g. workshops, exchange visits, etc.) undertaken to disseminate the following innovative experiences: <ul style="list-style-type: none"> <li>- farming systems [e.g. introduction of fodder grass and fodder trees through farmer groups]?</li> <li>- farmer-to-farmer extension methods</li> <li>- innovative institutions [e.g. pilot PES, decentralization, public-private collaborations through APIF]</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Direct observation</li> </ul>

Scaling up	<ul style="list-style-type: none"> <li>• Have these innovations been replicated and scaled up and, if so, by whom? If not, what are the realistic prospects that they can and will be replicated and scaled up by the Government, other donors and/or other institutions?</li> </ul>	
Environment and natural resource management	<ul style="list-style-type: none"> <li>• To what extent did the project adopt approaches/measures for the sustainable management of natural resources (e.g. enhancement of ecosystem services, uptake of appropriate/new technologies. PES, eco-tourism)?</li> <li>• To what extent did the project develop the capacity of community groups and institutions to manage environmental risks? (special attention to PES, eco-tourism)</li> <li>• To what extent did the project contribute to reducing the environmental vulnerability of the community and built their resilience to shocks (e.g. access to technologies, information/awareness creation)?</li> <li>• To what extent did the project contribute to long-term environmental and social sustainability?</li> </ul>	<ul style="list-style-type: none"> <li>• President's report</li> <li>• Design report</li> <li>• Supervision reports</li> <li>• Mid-term review</li> <li>• PCR</li> <li>• GEF evaluation</li> <li>• Group discussion with beneficiaries</li> <li>• Individual interviews in the field with beneficiaries and with country authorities (at central and local level)</li> <li>• Direct observation</li> </ul>
Adaptation to climate change	<ul style="list-style-type: none"> <li>• To what extent did the project demonstrate awareness and analysis of current and future climate risks?</li> <li>• What are the amounts and nature of funds allocated to adaptation to climate change-related risks?</li> <li>• What were the most important factors that helped the rural poor to restore the natural resource and environment base that (may) have been affected by climate change?</li> <li>• To what extent is the project area is subject to (or expected to be subject to) negative consequences of climate change, and, if so, which ones?</li> <li>• To what extent has the project increased knowledge and skills of the rural poor regarding ecosystem-based adaptation to increase resilience to climate change?</li> </ul>	<ul style="list-style-type: none"> <li>• President's report</li> <li>• Design report</li> <li>• Supervision reports</li> <li>• Mid-term review</li> <li>• PCR</li> <li>• GEF evaluation</li> <li>• Group discussion with beneficiaries</li> <li>• Individual interviews in the field with beneficiaries and with country authorities (at central and local level)</li> <li>• Direct observation</li> </ul>
<b>IV. Performance of partners</b>		
IFAD	<ul style="list-style-type: none"> <li>• Was 3PAD design conducive to good implementation and performance? Did IFAD mobilize adequate technical expertise during appraisal and formulation?</li> <li>• Was the design participatory (with national and local agencies, beneficiaries)? Did it promote ownership by the borrower?</li> <li>• Were specific efforts made to incorporate the lessons and recommendations from</li> </ul>	<ul style="list-style-type: none"> <li>• President's report</li> <li>• Design report</li> <li>• Supervision reports</li> <li>• Mid-term review</li> <li>• PCR</li> <li>• GEF evaluation</li> <li>• Interview with IFAD country programme management team for Viet Nam</li> </ul>

<p>IFAD (continued)</p>	<p>previous independent evaluations in programme design and implementation?</p> <ul style="list-style-type: none"> <li>• Did IFAD take the initiative to suitably modify project design (if required) during implementation in response to any major changes in the context, especially through the MTR?</li> <li>• Has IFAD made efforts to be engaged in policy dialogue activities at different levels in order to ensure, inter alia, availability of counterpart funds and the scaling-up of successful innovations (if any)?</li> <li>• Has IFAD been active in creating and maintaining an effective coordination and interaction among key partners to ensure the achievement of project objectives, including the replication and scaling up of pro-poor innovations?</li> <li>• Has IFAD, together with the Government, contributed to planning an exit strategy (or any other actions) to ensure sustainability of project benefits?</li> <li>• Has IFAD established partnerships/collaborations with other donors/key partners in the field for this project? Were these collaborations foreseen? Successful?</li> <li>• What was IFAD's role in attracting the private sector in this project?</li> <li>• Has IFAD provided adequate technical and fiduciary supervision as well as the required implementation support?</li> </ul>	<ul style="list-style-type: none"> <li>• Individual interviews with government authorities (at central and local level)</li> </ul>
<p>Government</p>	<ul style="list-style-type: none"> <li>• Has the Government assumed ownership and responsibility for the project during both design and implementation?</li> <li>• Judging by its actions and policies, was the Government fully supportive of project goals? Has adequate staffing and project management been assured? Have appropriate levels of counterpart funding been provided on time? Have the flow of funds and procurement procedures been suitable for ensuring timely implementation?</li> <li>• Did MOF discharge its functions adequately, and did it provide adequate support and staffing for the 3PAD?</li> <li>• Did the various government implementing agencies efficiently and effectively collaborate together?</li> </ul>	<ul style="list-style-type: none"> <li>• Appraisal report</li> <li>• Supervision reports</li> <li>• Mid-term Review report</li> <li>• Interview with IFAD country programme management team</li> <li>• Individual interviews with government authorities (at central and local level)</li> </ul>

<p>Government (continued)</p>	<ul style="list-style-type: none"> <li>• Did the PMU discharge its functions adequately, and has the Government provided policy guidance to project management staff when required?</li> <li>• Have loan covenants and the spirit of the loan agreement been observed? Has auditing been undertaken in a timely manner and have reports been submitted as required?</li> <li>• Did the Government take the initiative to suitably modify project design (if required) during implementation in response to any major changes in the context?</li> <li>• Were prompt actions taken to comply with recommendations from supervision and implementation support missions, including the MTR, so to enhance programme impact and sustainability?</li> <li>• Was an effective M&amp;E system put in place? Did it generate information useful for project managers when they are called upon to take critical decisions? How did they deal with M&amp;E difficulties?</li> <li>• Did the Government contribute to planning an exit strategy and/or ensured continuation of funding of project activities?</li> <li>• Did the Government put the right conditions in place to promote upscaling of project successes?</li> </ul>	
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## **Annex III: Tentative mission schedule**

### **HANOI**

#### **25 September**

All day meetings in Hanoi  
Sleep in Hanoi (hotel already booked)

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### **BAC KAN CITY**

#### **26 September**

Drive from Hanoi to Bac Kan City (3.5 hours)  
Half day meetings in Bac Kan City  
Sleep in Bac Kan City

#### **27 September**

All day meetings in Bac Kan City  
Sleep in Bac Kan City

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### **BAC KAN CITY – NA RI**

#### **28 September**

Drive from Bac Kan City to Na Ri district (2 hours)  
All day meetings in Na Ri district  
Sleep in Na Ri district

#### **29 September**

Full day meetings in Na Ri district  
End of the afternoon drive to Bac Kan city  
Sleep in Bac Kan City

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### **BAC KAN CITY – BA BE**

#### **30 September**

Drive from Bac Kan City directly to a commune in Ba Be district (2 hours)  
Full day meetings in Ba Be district and PES/Eco-tourism site visits  
Sleep in Cho Ra

#### **1 October**

Full day meetings in Ba Be district and PES/Eco-tourism site visits  
Sleep in Cho Ra

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### **PAC NAM – BA BE**

#### **2 October**

Drive from Cho Ra to Pac Nam district  
Afternoon meetings in Pac Nam district (depending on travel time)  
afternoon drive back to Bac Kan city  
Sleep in Bac Kan City

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## **BAC KAN CITY**

### **3 October**

Final meetings and preparation for wrap-up meeting

### **4 October**

Wrap up meeting in Bac Kan City

Travel back to Hanoi and Sleep in Hanoi

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## **HANOI**

### **5 October**

Morning meeting with IFAD Office

Afternoon meetings with Ministries and project partners

### **6 October**

Full day meetings with Ministries and project partners

21:00 travel back to Rome

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