Setting up a
Planning, Monitoring & Evaluation System for
the SFDP Project, Vietnam

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Abbreviations

ACP Annual Commune work plan
ADB Asian Development Bank
APO Annual plan of operations
AVP Annual Village work plan
BMZ Ministry for Economic Cooperation (Bundesministerium für wirtschaftliche Zusammenarbeit
CDP Commune development plan
CTA Chief Technical Advisor
DPO District plan of operations
GTZ German Agency for Technical Cooperation (Gesellschaft für technische Zusammenarbeit)
1 Introduction

1.1 Objectives and Scope of Mission

This report is the result of the first phase of a short-term consultancy mission carried out on behalf of the Social Forestry Development Project Song Da in the Socialist Republic of Vietnam from June 11, to July, 2, 1997. The purpose of the mission was to assist the project staff in designing and setting up a monitoring and evaluation (M&E) system. During the first phase, the consultant was to familiarize himself with the project’s strategy, organization and activities and, more specifically, assess the current situation with regard to the project’s planning and monitoring activities and propose improvements. For this purpose, the consultant visited the areas where the project carries out its field activities (Yen Chau, Song La and Tua Chua) and held discussions with project staff, project management (PM), village representatives and representatives of relevant government organizations on communal, district, provincial and national levels (see mission itinerary).

Based on the findings of these visits and discussions, the consultant was to elaborate recommendations for improving the current planning and monitoring procedures and to prepare the required document blueprints for plans and reports to be used at different levels. These recommendations were regularly discussed during the mission with project management and future M&E staff and were presented to project staff during a wrap-up meeting on June 30th. Comments and recommendations made during this meeting were included in the system design as presented in this report.

This first phase of the mission will be followed by a second phase in November 1997, when the results of the initial testing and introduction of the new planning and reporting formats will be reviewed and necessary adjustments will be made. In addition, a database system for processing of planning and monitoring data will be developed together with the required data processing procedures and M&E staff will be trained to use the system. Elements of impact monitoring will also be elaborated and proposed for introduction in the planning and monitoring process. The second phase is planned to coincide with the project’s annual operations.
planning exercise, probably preceded by a ZOPP 5 planning workshop. This will ensure that a sound planning base for the project’s future activities be established in which a coherent planning and monitoring system could be rooted.

1.2 Definition of Terms and Concepts

In order to successfully implement a project, or, in other words to achieve the project’s objectives, project management and project staff have to keep informed if the initially planned activities, available resources and made agreements are sufficient to achieve the required results and if their implementation is progressing as anticipated and leading to the desired effects and impacts.

Planning, monitoring and evaluation (PM&E) are management tools intended to structure and support this process through (a) the systematic prevision of activities to be undertaken and the resources needed over a certain time period in order to achieve specific results (planning), (b) the continuous observation and documentation of the project implementation progress (monitoring) and (c) the accompanying process of determining the relevance, efficiency, effectiveness and impact of activities in the light of their objectives (evaluation). PM&E can therefore be perceived as three closely related processes, which are applied in a logical sequence throughout the implementation process of a project.

Planning sets the targets and identifies the logical framework of activities and resources needed to achieve the required results, while monitoring and evaluation (M&E) serve to update and adjust the planning process, with each adjusted or new plan followed by yet another cycle of M&E. This results in a continuous planning, monitoring, evaluation and replanning process, starting with the initial project preparation (ZOPP 4 in GTZ terminology), passing through the different project phases (ZOPP 5 at the end of each phase) and extending until the end of the project (Figure 1). While initial project planning is typically more general and less precise in content, subsequent planning results should become more and more detailed and precise, as a result of the continuous feedback from M&E.

Additionally, the activities being undertaken by a project during the different phases of its implementation may increase in numbers and scope but should at the same time become increasingly focused, addressing the most critical aspects which have proved to lead to the projected results and thus to the project’s objectives. This can only be achieved by detailed planning of the project’s activities and a continuous monitoring and evaluation of the project’s progress and its effects and impacts.

Being based on information derived from internal planning documents, efficient M&E therefore requires and depends upon logically consistent, comprehensive and well documented project planning. While project planning provides the basis for M&E, the latter provides the information for the decisions required to guide and direct the project.
2 Current Practices for Planning, Monitoring and Evaluation in SFDP

2.1 Planning

Planning activities within SFDP have been carried out in varying detail and on several levels since the beginning of the project. In June 1994, an initial project planning exercise was carried out which resulted in a project planning matrix (PPM), comprising a summary of the project’s goal and purpose, required outputs and major activities, together with the objectively verifiable indicators on purpose and output level and major assumptions on goal and purpose level (see Annex 1). This was followed in April 1995 by an incomplete plan of operations (PO) which covered the current implementation phase (04/1995-12/1998) and was prepared by adding a time schedule to the outputs and activities listed in the PPM. The PO was prepared in both Vietnamese and English languages but did not include references to indicators for intermediate results, responsibilities, required inputs and budget information.

Towards the end of 1995, joint operational planning exercises for 1996 were carried out in the two districts where the project is engaged in field activities, namely Yen Chau in Son La province and Tua Chua in Lai Chau province. These plans were the first district level planning documents for SFDP and included a full set of information relevant for operational planning, namely activities, responsibilities, timing, required inputs, personnel and budgets. They did, however, not reflect the logical structure of outputs and activities as presented in the PO or PPM. Instead, these documents list a number of activities (e.g. “Assessment of present land use”, “Tending of plantation”, “Selection of farmers”) which relate to the technical implementation programs carried out by the government agencies in the fields of land allocation, forest protection and extension. In many cases these activities can be related to outputs and major activities of the PPM, but it is not transparent if the activities are sufficient in number and scope to fulfill the targets required to achieve the different outputs of the PPM. Besides, the documents contain no obvious reference to a large number of major activities listed in the PPM (e.g. “Compile demographic data in project area”, “Define extension contents at village level”, “Set up annual training plan” etc.). Although many of these activities are obviously referring to tasks on district level, they were not included in the plans for the year 1996.

Parallel to the district level operational planning, the project headquarters in Hanoi has issued quarterly and
biannual work plans, which are largely based on the PPM, but do not restate the activities as formulated
there. These work plans include information on activities, responsibilities and timing, but do not mention
indicators for intermediate results, nor required resources (equipment, staff, funds, etc.).

While the quarterly and biannual work plans have apparently been prepared on a regular basis up to now, no
operational planning on district level took place in 1996. Instead, a draft version of an annual plan of
operations (APO) for the whole project was prepared by project headquarters in December 1996 for the year
1997. This draft APO comprises activities based on the PPM outputs and specific activities for each of the
districts, organized by output, with indications of quantitative targets, responsibilities, time and budget. Each
section is introduced with a short assessment of the achievements so far and the tasks lying ahead, translated into a table of activities. The activities themselves, however, do not restate the activities mentioned
in the PPM. The APO does not include an overview presentation of all activities, neither for the entire project
nor for the two districts. The draft version of the APO has never been replaced by a final version, although it
has been presented to and accepted by the National Steering Committee (NSC). Still, the document was
never formally approved or distributed to the different project offices and the district and provincial authorities.
Consequently, some project staffs are not aware of its existence and there are different interpretations in how
far this document is binding.

On district level, all project staff are asked to prepare monthly work plans, which are then combined and
aggregated into a monthly work plan of the district offices in Yen Chau and Tua Chua respectively. These
work plans are communicated to project headquarters in Hanoi and the district authorities and serve as basis
for the coordination of field activities in collaboration with concerned government agencies. The activities
listed in the monthly work plans are thus focussing on field activities and do not include office based activities
or activities related to work preparation and planning, coordination and reporting.

On village and commune level, the project had carried out participatory planning exercises in 1995, which
were documented on a village per village basis and included lists of activities which the village communities
had requested for implementation. The activities stated in these village plans were used as a basis for the
preparation of the district level plans of operations for 1996. This procedure was, however, not repeated the
following year. Instead, two commune-level production plans were prepared for 1997, which -- while differing
in their detailed contents -- list physical production targets (tons of rice produced, hectares of crops cultivated,
yields per crop, livestock numbers etc.), infrastructure development targets (road improvement, installations
for irrigation and clean water), and in one case also social and socioeconomic targets (no. of children
attending school, "eradication of social evil", family planning etc.) for all involved villages in both communes.
These production plans reflect the format and contents of the districts’ official planning documents which are
used to prepare the district plans to be forwarded to the provincial authorities. While these plans give an
overview of all envisioned annual targets for agricultural and socioeconomic development in the villages and
communes, they are reportedly not followed-up or verified systematically and do not necessarily reflect
accurately upon the real situation. Most importantly, however, they do not provide a basis for operational
planning, since they do not identify which activities need to be carried out by whom, when, where and with
which resources. The communal plans are therefore nothing but lists of indicators for the targets to be
achieved but they are no substitute for plans of operations on local level.

2.2 Monitoring and Evaluation

M&E as defined in Chapter 1.2 has so far not been systematically practiced in the SFDP. A certain level of
monitoring is nevertheless being achieved by the present reporting practices.

The project’s District Coordinators normally prepare monthly reports in Vietnamese, in which they report on
the work progress made and the activities carried out. These reports do not have a standard format, but may
include comments on specific achievements and constraints with regard to specific activities. Detail and scope
of the reports vary between authors and from month to month.

In addition, all short-term consultants and contracting organizations are asked to prepare reports after
completion of a mission. The structure and contents of these reports vary and do not follow a clearly defined
layout.

The Project Coordinator in Hanoi reports work progress for the whole project biannually to the NSC (in
Vietnamese language only). The last annual report to NSC was organized in three parts: (a) general
description of the project, (b) presentation of the project results in 1996 and (c) operational plan for 1997.
Parts (b) and (c) followed the structure and contents of the draft APO so that the annual report to NSC can
essentially be considered a repeat of the APO in Vietnamese with an additional general description of the project. As mentioned before, the APO (and therefore the annual report to NSC) included a short assessment of the achievements so far for each output, thus representing an evaluation of the project progress during the last year, albeit in a somewhat loosely structured fashion. The APO, however, doesn’t strictly adhere to the PPM, nor is the evaluation section making reference to the indicators set there. Anticipated project results as defined in the PPM are thus at present not being monitored and evaluated in the project’s APO or NSC reports.

The Chief Technical Advisor reports annually to GTZ headquarters (in German only). This annual GTZ project progress report (PPR) follows GTZ’s internal guidelines for the preparation of project progress reports and accordingly is organized to present the achieved results based on the outputs and indicators of the PPM. The standardized format includes an evaluation of each output regarding the progress made and a brief presentation of the reasons for deviations from the plan. This is followed by an evaluation of the overall progress made towards the project’s objectives and an overview of the resources allocated so far. Finally, the report includes a section of the actions needed by all parties involved.

The indicators identified in the PPM could provide a good benchmark system for monitoring the project’s work progress with regards to the required outputs. They are, however, not being used in the present reporting system. Besides, no indicators have been identified so far which could be used to monitor the project’s effects and the impact caused on the living conditions of the local populations and the environment.

2.2.1 Lessons learned and Conclusions

At present, efficient operations and activity planning as well as monitoring and evaluation within SFDP is hampered by several factors:

1. No consistent planning framework is applied from national to district to village level plans. This comprises standard planning and reporting formats, instructions on what to include in the documents, procedures and responsibilities for document preparation, exchange and approval.

2. The original planning framework of the PPM has been found to require adaptations in order to correspond more realistically to the project’s scope of activities. The PPM has, however, not been officially amended, and subsequent planning documents use different sets of activities and outputs.

3. The project’s operational planning is not done in a comprehensive and participatory fashion, i.e. by active participation of all project staff and cooperating agencies in the discussions and decisions leading to the elaboration of the plan of operations. Instead, different project units prepare different planning documents, which are neither sufficiently interrelated, nor do they make reference to a common planning framework.

4. The project’s activities are not sufficiently based on the felt needs of the village populations, since (a) the scope of activities identified at the start of the project does not cover some of the priorities expressed by the populations (especially road and irrigation infrastructure development) and (b) the district level planning procedures do not build on the planning documents on village level.

5. Activity planning at district level is not carried out based on an annual plan or work program elaborated in accordance to the project’s planning framework but on a rather ad hoc monthly and quarterly work program focused on physical production targets.

6. Reports on the project’s progress are done without a systematic comparison of planned and actually achieved results. Contents and format of reports vary and make it difficult to identify the essential elements.

7. Reporting is not done efficiently since each report needs to be prepared from scratch without the use of reference tables or previous reports to refer to and build upon.

8. Reports do rarely include statements about work constraints and problems encountered so that they cannot be used as basis for corrective measures by project management.

9. The indicators on output level identified in the PPM are at present not being monitored so that they
project’s progress to date cannot be evaluated satisfactorily.

10. Indicators for the assessment of the project’s effects and impacts on the living conditions of the rural populations and the environment have not been identified so far, making impact monitoring at present impossible.

Many of the above mentioned deficiencies in the planning and monitoring system are typical for projects at an early stage of implementation. Commendably, the project has undertaken a considerable number of planning efforts and has managed to establish a planning and reporting discipline. While the logical framework and consistency of the planning and reporting documents still need to be improved, most aspects required for an efficient and consistent planning and reporting system have already been tested in one way or the other. The operations planning formats used for the joint district level planning exercise in 1995 corresponded largely to what can be considered a comprehensive planning format, although it lacked reference to the PPM. The draft APO includes a first effort to arrive at an evaluation of the work progress made, but falls short of achieving this objective in the absence of information on performance indicators. District staffs are used to prepare monthly plans and District and Project Coordinators prepare reports regularly albeit without applying standard formats or making reference to the PPM.

Altogether the project has thus tested and partially introduced many important planning and monitoring tools. What is still lacking is a clearly defined, comprehensive planning and monitoring system with standardized components, clear procedures and responsibilities and systematic training and follow-up during introduction and implementation of the different components.

A detailed concept for a comprehensive planning and monitoring system is outlined in the following chapters. During this first phase of the short-term mission, the focus is on setting up and introducing the relevant components for activity planning and monitoring. Therefore, this report does not cover the components required for impact monitoring. These will be proposed as part of the second phase of the mission, later this year. The report does, however, introduce the concepts related to impact monitoring in order to allow the reader to understand the entire concept of planning, monitoring and evaluation being proposed.

3 Proposed Project planning, monitoring and evaluation System

3.1 Planning Concept

3.1.1 Guiding Principles

Technical cooperation projects in the field of rural development and natural resources management like the SFDP are of a complex nature often involving different implementing units and covering a wide area of technical fields. An efficient planning and monitoring system (PMS) for such a project therefore has to enable the users to receive relevant information corresponding to a wide variety of technical tasks and collected by different units and in different places. The data collected for this purpose has to be compiled into standard formats for easy presentation in printed form in both Vietnamese and English languages. Furthermore, the dynamic nature of the project necessitates the possibility to update and correct data on a regular basis to document changes in the implementation programs and reflect achieved project progress.

Planning documents have to be kept as simple as possible, so that project staff at all levels do not find them difficult to use. This implies that users at different organizational levels are being provided with the information relevant to their specific situation. Planning detail should decrease from weekly work plans to monthly programs to annual programs and the information content of the planning documents should reflect the interests of the users. For these reasons, village heads or regional and technical implementation units should be provided planning documents listing only those activities they are involved in. The same applies to different donor or financing agencies. In other words, planning data need to be presented and aggregated according to different planning levels and purposes. Documents for provincial and national authorities cover a wide range of activities and should provide an easy overview on the project’s activities. They should therefore contain mostly summary information without the burden of excessive detail. Local and technical planning documents, on the other hand, serve to plan and direct field activities and therefore need to contain a much higher level of detail for their subject of interest while being restricted to a specific local or technical context.

Since each planning level represents different interests it would therefore ideally use different planning information. However, in practical terms, this could easily lead to an overly complex system with complicated
data exchange and aggregation procedures, demanding considerable time and resources for data collection and aggregation. It is therefore an essential step towards the setup of a successful PMS to identify the information needed at different levels and to define the levels of detail and/or aggregation to be applied during the planning and monitoring process. This implies that compromises are being made in order to restrict the information to be collected and processed to an acceptable minimum. An efficient PMS is streamlined and restricted to only the most important types of data. Otherwise, the project will end up in a situation were (a) excessive amounts of resources have to be committed to PM&E tasks or (b) important information is not provided in a timely and complete fashion to all required levels.

Obviously, a complex organizational project structure leads to many planning levels and results in a relatively complex planning and monitoring system. While this cannot be entirely avoided, a good system design can, however, restrict the complexity to the organizational unit responsible for PM&E.

Last but not least, the PMS has to be designed as a two-way system, which is not limited to project staff providing information to project management (one-way system), but which assures that a regular feedback is provided in verbal or written form and that decisions taken by PM are based upon the recommendations made by project staff.

The need to manage data for different planning levels and interest groups at various time intervals calls for a clearly structured, hierarchically organized system which integrates and aggregates planning and monitoring data on different levels and at different time periods according to pre-defined formats.

3.1.2 Potential Planning Levels

The planning levels of the planning and monitoring system reflect the project’s organizational structure, based on internal hierarchies and external linkages. In the case of the SFDP, the planning levels can be grouped according to geographic, technical, managerial and financial criteria.

The geographic planning levels are based on the locations where activities take place, comprising including not only field activities but also managerial and coordination activities. This leads to the identification of the following levels:

- Local (villages and communes),
- District (Tua Chua and Yen Chau),
- Regional (Song La) and
- National (Hanoi).

Technical planning levels are based on technical responsibility for project implementation and therefore reflect the administrative structure of the implementing organizations. This includes technical units of government agencies charged with the implementation of activities, project staff and institutions or individuals cooperating with the project in specific fields. Since these organizations either have a geographically structured hierarchy (national, provincial, district), or cooperate with the project on a certain level, the following technical planning levels can be distinguished:

At national and provincial levels:

0. National and regional project experts
1. Agriculture and Rural Development Department staff;
2. Forest Protection Department staff;
3. Cadastral Department staff;

At district and local levels:
4. Agricultural Extension Unit staff;
5. Forest Protection Unit staff;
6. Cadastral Unit staff;
7. District project team;
8. Project contractors and consultants (national and international)

Managerial planning levels reflect the management responsibilities for activities, which again comprise the different hierarchical levels of the project, cooperating organizations and villages. The different planning levels to be considered therefore include:

At national level:
0. National Steering Committee
1. National Project Coordinator
2. Chief Technical Advisor

At provincial level:
3. Provincial Management Board
4. Regional Coordinator
5. Provincial Heads of Departments

At district level:
6. District (Local) Management Board
7. District Coordinators
8. District Heads of Units

At local level:
9. Village Heads
10. Commune Heads

Financial planning levels correspond to the institutions which provide the project’s funds and which require specific financial accounting procedures and reports. These planning levels may include separate planning requirements for specific financial components, like the 327 program and the future Debt Swap Program. At present, the following levels can be distinguished:

0. Project Management
1. 327 Program
2. Debt Swap Program (?)
3. National Steering Committee
4. Ministry of Agriculture and Rural Development
3.1.3 Recommended Planning Levels

Although each of the mentioned planning levels may represent specific interests, the planning and monitoring documents to be prepared by the project cannot answer to those specific needs by providing all levels with specific documents. Setting up an efficient PMS is thus linked to the assessment of the specific information needs of all involved planning levels and the translation of the essential information needs to a manageable set of documents and procedures, without, however, answering to all needs expressed by all units. The proposed planning levels for SFDP were derived from an assessment of all existing documents and the expressed information needs by the interviewed parties. The proposed planning levels are as follows:

1. Village level development plans for all activities to be undertaken at village level.
2. Commune development plans aggregated from village plans.
3. District level plans of operations (DPO) which comprise all activities at district level plus those to be undertaken at the respective village and commune levels.
4. Regional and National level subplans of operations, containing all activities to be implemented at the regional project office in Son La and at national project headquarters in Hanoi.
5. Project level plans of operations, which contain all activities of the SFDP, combined from the DPOs and the regional and national level subplans.
6. Specific work plans for individual project staff and cooperating organizations with specific tasks and responsibilities.
7. Financial plans and statements for the different funding organizations according to their specific requirements.

3.2 M&E Concept

The M&E concept is closely related to the planning concept since M&E is based upon the information provided in the planning process. M&E therefore uses the planning documents as basis for the assessment of the project’s progress. In practical terms, this corresponds first in a comparison of planned and actual achievements, followed by a more in-depth analysis of the achieved results, encountered problems and recommendations for actions, if required.

In order to be comprehensive, the comparison of planned and actual achievements has to include all aspects influencing the project’s progress and its objectives. These aspects have been identified and rendered operational during the initial project planning process (ZOPP 4 or 5) and summarized in the project planning matrix (PPM). M&E therefore uses the PPM together with the plan of operations (PO) as reference system for the comparison of planned and actual achievements. The elements subject to M&E are thus:

- The activities to be implemented during a certain period;
- The resources (staff, equipment, technical assistance, funds) committed;
- The results being achieved by the activities;
- The effects and the impact being caused by the activities;
- External factors influencing the activities, effects and impacts.

A distinction can be made between (a) the elements to be monitored which are included in the project’s activity
planning or operations planning documents (Activity Monitoring), and (b) the elements which are the effects of project activities or other factors and which are not included in the normal planning documents (Impact Monitoring).

### 3.2.1 Activity Monitoring

Activity monitoring can be understood as the observation of the on-going project activities, with regard to the timeliness of their implementation, the location, quality and quantity of their direct results and the resources (staff, equipment, technical assistance, funds) being committed and used. Information on all of these activities should be found in the project’s PO, so that M&E of activities (and resources) can be entirely based on the PO. It is, however, important, that the PO (a) contains information on all above-mentioned aspects in sufficient detail, (b) is entirely consistent with the planning framework of the PPM and (c) is structured in a logically consistent way.

Activity monitoring can then compare planned and actual achievements by following the listings provided in the PO. Additional information on the achieved results, encountered problems and recommended actions should then be added for all listed activities. This will provide the basis for an evaluation of (a) the project’s overall progress, (b) the resources used so far, (c) important problems encountered and associated actions needed and (d) other decisions required from PM.

### 3.2.2 Impact Monitoring

Impact monitoring concerns the effects and the impacts caused by the project as a result of its activities. The difference between activities, their direct results, their effects and the impact caused by them are best illustrated by an example.

The project might have decided to carry out the following activity:

"1. Farmers are advised on improved farming practices"

This activity comprises the following subactivities:

"1.1. Test plots with improved farming techniques are established in all target villages"

"1.2. Farmers have been informed by extension services about improved farming practices"

"1.3 Farmers have been trained to carry out improved farming practices"

While the direct results of these activities for a specific year could be that "60 test plots have been established", 40 field demonstration meetings were held in 20 villages" and "20 training courses have been held in 20 villages", the effect of these activities could be that "farmers increasingly apply improved farming techniques" with the impact that "unsustainable land use in the project area has been reduced".

It is relatively easy to monitor the project's activities and subactivities and their direct results since they are carried out by project staff, villagers or staff of other organizations collaborating with the project. On the other hand, it is far more difficult to monitor and evaluate the effects and impact caused by the project for the following reasons:

- Effects and impact caused by the project are not immediately visible, nor are they documented in the project planning process;
- Observed effects and impacts may be the result of project activities but may also be caused by other factors;
- Expected and (unexpected) effects and impacts have to be identified and translated into objectively verifiable indicators before they can be used for M&E;
• Projects with insufficient resources for implementation are reluctant to commit precious resources for monitoring purposes since these tasks are often seen as a low priority; impact monitoring is again on a lower level of priorities than activity monitoring.

As a result, only very few projects practice impact monitoring. It should, however, be considered that the effects and impact caused by a project are of great importance to its general implementation strategy and can provide important information about the real effectiveness of the project’s activities. It is therefore advisable to identify anticipated effects and expected impact in a number of priority areas, together with appropriate indicators and to monitor these on a regular basis.

In the case of the SFDP, it is recommended to include aspects of impact monitoring in order to assess the effects the project has on (a) the land use systems practiced in the Song Da region and (b) the living conditions of the local populations. This would enable PM to assess the effectiveness of the measures being implemented and would at the same time give local and national authorities an opportunity to observe the effects caused by the investments being made in the region. The lessons learned from this exercise could then be applied for future government activities or for similar projects.

Details of the proposed impact monitoring component will be elaborated during the second phase of the mission.

3.3 Principles of Information Exchange and Communication

Effective planning, monitoring and evaluation is based on efficient communication between the different actors involved, based on a well-structured information exchange process and systematic documentation of results.

Information exchange based on communication between people can take place verbally, in written form or via electronic media (e.g. computers). While verbal communication is the easiest and quickest form of communication, it leaves no records and can only take place between persons having some sort of direct contact. Written information, on the other hand, is much slower to obtain, but it leaves a permanent record and can be transmitted to communication partners who do not have direct contact. Recorded information, finally, can replace or assist verbal and written communication and is best suited to store and organize large amounts of information.

Efficient information exchange and communication in simple situations can be achieved by verbal communication only (e.g. ordering a meal in a restaurant). The more complex a situation gets, however, the more we feel a need for recording and organizing information (e.g. a waiter may take note of all the meals and drinks ordered at a table, a restaurant owner may employ somebody to keep track of all ordered meals and drinks or may require all waiters to register them directly in an electronic cashier system).

Efficient information exchange is flexible to apply the most appropriate form of information exchange in different situations and can be characterized as follows:

- It combines different types of information exchange (e.g. information is heard, read and discussed);
- It is organized in standard formats and procedures;
- Its contents is structured, with only relevant and important information being exchanged

As a principle, all parties involved in information exchange need to receive the information that is required to fulfill their tasks and they should be asked to transmit information about the aspects they know best or have best access to. Only if this principle is respected will the communication process be efficient and of interest to all parties. The information needs of the different groups of actors involved in the SFDP and their potential role in providing information is presented in Table 1.

This overview shows that all groups of people involved in project implementation depend on information which can best be provided by others. Most people spend a considerable amount of their time collecting information while working in the field or by holding conversations and discussions on an individual basis or during formal or informal meetings. This unstructured form of information exchange is important for building functional work relationships but cannot be considered adequate for obtaining and maintaining an overview on all relevant aspects of the information required by all people on all levels in a complex development project. Certain structured forms of information exchange and documentation are therefore required which should complement but not replace direct verbal communication between individuals.
Table 1: Information Needs and Information Providers in SFDP

<table>
<thead>
<tr>
<th>Level</th>
<th>Need/Want to know...</th>
<th>Can provide information on...</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>- What will be done by the project in their village&lt;br&gt;- How their situation can be improved</td>
<td>- Situation in the village, which problems and which potentials exist&lt;br&gt;- What they can do / have done by themselves&lt;br&gt;- Where they need help from outside</td>
</tr>
<tr>
<td></td>
<td>- What their superiors and the villagers want them to do&lt;br&gt;- What kind of support they are entitled to get</td>
<td>- What they have done / can do&lt;br&gt;- What needs to be done in their work field, which problems and which potentials exist&lt;br&gt;- What problems they encounter how they might be solved</td>
</tr>
<tr>
<td></td>
<td>- What they and their units are asked to do by the villagers and by their superiors&lt;br&gt;- What resources are needed and what is available&lt;br&gt;- How work is progressing&lt;br&gt;- Which problems exist in their work field and how they might be solved</td>
<td>- What has been done and can be done by their units&lt;br&gt;- What resources are needed to fulfill their tasks&lt;br&gt;- Which problems exist in their work field and how they might be solved</td>
</tr>
<tr>
<td></td>
<td>- Where project and government staff need their assistance&lt;br&gt;- What the project and government units are doing and how work is progressing&lt;br&gt;- Which problems and which potentials exist in their work fields&lt;br&gt;- Which resources are available and what is needed</td>
<td>- How work is progressing in their technical fields&lt;br&gt;- Which problems and potentials they perceive&lt;br&gt;- What should be done in their fields to solve the problems and use the available potentials&lt;br&gt;- What resources are available and needed</td>
</tr>
<tr>
<td></td>
<td>- How work is progressing in all areas&lt;br&gt;- Which problems exist and what can be done to solve them&lt;br&gt;- Which resources are needed and what is available&lt;br&gt;- What needs to be done in the future</td>
<td>- What strategy the project has to follow and what needs to be done in general&lt;br&gt;- How the project is progressing&lt;br&gt;- Which general problems exist and what needs to be done to solve them&lt;br&gt;- Which resources are available&lt;br&gt;- How the project funds have been used</td>
</tr>
</tbody>
</table>

3.4 System Tools

3.4.1 Meetings and Workshops

Meetings and workshops are essential tools for effective planning and M&E, since they provide the occasion for discussion, exchange of information and active participation in the decision making process by all parties.
involved. While meetings are usually short in duration (mostly less than a workday), workshops have longer durations (mostly one day to one week) and are participatory in character. While meetings and workshops always depend on verbal communication, discussions may be less time consuming and decisions easier to take if participants are provided with relevant background information in the form of written or printed documents. Besides, important results and decisions should be documented in written form and signed by the responsible person(s) in order to establish a binding basis for future actions. Short meetings may only require brief written minutes, but weekly and monthly staff meetings or project progress meetings should be properly documented using standard formats. All participants should receive a copy of the signed (and approved) documentation of the meeting or workshop they attended. Dates of regular meetings should be set on a fixed date, like 1st day or last Friday of the month, etc. Irregular meetings have to be announced to all participants well in advance in written form including a copy of the agenda and background documents to be studied beforehand. A list of recommended meetings and workshops, which appear appropriate for SFDP is given in Table 2.

The initial ZOPP planning workshop and the resulting PPM and PO provide the basis for all subsequent project activities. All meetings and workshops listed here – with the exception of the staff meeting – require largely standardized documentation, since they are inter-dependent from one another and have to be prepared or updated regularly. Their contents and detail should vary according to the level they are intended for, but they all have to be linked to the overall planning framework of the project as expressed in the PPM. How this can be achieved and implemented in practice is described in the following chapter.
### 3.4.2 Planning Documents

Planning of activities to be carried out by the project has to start at village level, where the needs for assistance expressed by the local populations and the capacities and interests of the project and government agencies have to be combined and incorporated into specific development plans and work programs for individual villages. District, regional and national level activities should be planned as a result of the village level plans and programs and not vice versa. Realistic planning does, however, require knowledge about available resources, technical capacities and technological and organizational options to be applied during the implementation process. The project therefore needs to make information on these matters available to all interested parties by including it into the planning documents. This implies that PM makes available budgets for equipment, training, allowances, short-term missions etc. transparent during the planning process, so that the available resources can be allocated according to the needs assessed on village level. In the same way, government agencies have to provide information on the budgets, equipment, staff etc. at their disposition and the contributions which are made to the project. Finally, the local populations themselves will have to contribute according to their capacities by providing manual labor, transportation, local materials, funds etc. The contributions of all parties involved are listed in the respective work programs and plans of operations. These documents have to have a binding character and therefore need to be approved and signed by authorized representatives of all concerned parties. The internal linking and aggregation of the information

<table>
<thead>
<tr>
<th>Meeting/Workshop</th>
<th>When</th>
<th>Where</th>
<th>Who</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff Meeting</td>
<td>weekly</td>
<td>Districts, Son La and Hanoi</td>
<td>Technical staff of respective project units</td>
</tr>
<tr>
<td>Activity Progress Review</td>
<td>monthly</td>
<td>Villages and Communes</td>
<td>Staff active in respective villages and communes</td>
</tr>
<tr>
<td>Activity Progress Review</td>
<td>monthly</td>
<td>Districts, Son La and Hanoi</td>
<td>Technical staff of respective project units</td>
</tr>
<tr>
<td>Activity Progress Review with PO update</td>
<td>quarterly</td>
<td>Districts, Son La and Hanoi</td>
<td>Technical staff of respective project units plus involved experts, government agencies and PM</td>
</tr>
<tr>
<td>Project Progress Review with PO update</td>
<td>quarterly</td>
<td>Son La</td>
<td>Coordinators, Experts and PM</td>
</tr>
<tr>
<td>Local/Provincial Management Board Meeting</td>
<td>6-monthly</td>
<td>Districts, Province</td>
<td>Members of Management Boards</td>
</tr>
<tr>
<td>National Steering Committee Meeting</td>
<td>6-monthly</td>
<td>Hanoi</td>
<td>Members of National Steering Committee</td>
</tr>
<tr>
<td>Village Activity Progress Review</td>
<td>6-monthly</td>
<td>Villages and Communes</td>
<td>Staff active in respective villages and communes</td>
</tr>
<tr>
<td>Village Development Planning with PRA</td>
<td>annual</td>
<td>Villages and Communes</td>
<td>PRA team / staff active in respective villages</td>
</tr>
<tr>
<td>District Operations Planning Workshop</td>
<td>annual</td>
<td>Districts</td>
<td>Technical project staff plus involved experts, government agencies, PM</td>
</tr>
<tr>
<td>Project Operations Planning Workshop</td>
<td>annual</td>
<td>Son La or Hanoi</td>
<td>Coordinators, technical project staff, PM, rep. of collaborating agencies</td>
</tr>
<tr>
<td>ZOPP 5 workshop with PPM and PO preparation</td>
<td>Begin/end of phase</td>
<td>Son La or Hanoi</td>
<td>Coordinators, technical project staff, PM, rep. of collaborating agencies</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Table 2: Recommended Meetings and Workshops</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Meeting/Workshop</strong></td>
</tr>
<tr>
<td>---------------------------------------------</td>
</tr>
<tr>
<td>Staff Meeting</td>
</tr>
<tr>
<td>Activity Progress Review</td>
</tr>
<tr>
<td>Activity Progress Review</td>
</tr>
<tr>
<td>Activity Progress Review with PO update</td>
</tr>
<tr>
<td>Project Progress Review with PO update</td>
</tr>
<tr>
<td>Local/Provincial Management Board Meeting</td>
</tr>
<tr>
<td>National Steering Committee Meeting</td>
</tr>
<tr>
<td>Village Activity Progress Review</td>
</tr>
<tr>
<td>Village Development Planning with PRA</td>
</tr>
<tr>
<td>District Operations Planning Workshop</td>
</tr>
<tr>
<td>Project Operations Planning Workshop</td>
</tr>
<tr>
<td>ZOPP 5 workshop with PPM and PO preparation</td>
</tr>
</tbody>
</table>
contained in the local level plans into a final project plan of operations is the main task of the planning system, while the updating and evaluation of the information contained in the plans is subject of the reports of the M&E system.

A summary description of all proposed plans and reports is given in Table 3, followed by more detailed presentations of their respective contents in the following chapters. Due to time constraints, only those plans and reports of immediate importance for implementation are presented in detail in this report. The plans and reports needed later will be presented in more detail at the end of the second phase of the mission.

3.4.2.1 Village and Commune Level Planning

Long-term village and Commune level planning is carried out through the Village and Commune Development Planning process. Based on the results acquired with established participatory planning tools (PRA, SWOT analysis, etc.), long-term village development plans (VDP) should be elaborated in collaboration with all interest groups (within the village and from outside). Each VDP should comprise the following elements:

- Village Base Data
- Situation Analysis (strengths, weaknesses, opportunities, threats)
- Interest groups
- Village Map
- Prioritized List of Activities

The village base data are collected for the purpose of providing an overview on the economic, social and ecological situation of the village. This overview can then be used for priority ranking of villages and to monitor the developments taking place as a result of the effects caused by the project’s activities or other factors. The village base data are thus a key element for impact assessment and impact monitoring. No definite list of village base data has so far been established for the use by SFDP. A relatively exhaustive list of production oriented data are, however, already being collected annually by the district authorities. These data could be used as a starting point, although a reduction of the production oriented data and the inclusion of additional indicators for important social, environmental and economic aspects is recommended. A list of the data being collected by the district authorities and a second list of potentially suitable village base data are provided in Annex 2. These proposed data sets should be reviewed and a limited selection used for testing purposes in the village level planning exercises planned for this year. Based on the results of these tests, a final list of village base data should be established as basis of the project’s impact monitoring.

On Commune levels, the results of the VDP results can be summarized into Commune base data sheets, commune maps and aggregated lists of activities with specific locations, the ensemble forming the Communal Development Plan (CDP). The CDP should, however, always be prepared as aggregation of the VDPs and cannot replace or precede the village level planning process.

VDPs and CDPs will typically contain lists of activities, which will normally take several years to implement. They constitute the planning framework on local level. The activities to be implemented in a specific year and the resources to be committed for these activities should be listed in separate annual work plans prepared jointly between village representatives and concerned project and government staff. These work plans have to be binding for all parties and should be considered as contracts between the project and the village. They therefore need to be submitted to the district and project authorities for official approval.
<table>
<thead>
<tr>
<th>Level</th>
<th>Document</th>
<th>Contents</th>
<th>Prepared by</th>
</tr>
</thead>
<tbody>
<tr>
<td>Village</td>
<td>Village development plan (VDP)</td>
<td>Village base data; situation analysis; list of proposed activities; village map</td>
<td>Responsible extension staff with village representatives</td>
</tr>
<tr>
<td></td>
<td>Annual village work plan (AVP)</td>
<td>List of planned activities (what, where, who, how much, when) for calendar year</td>
<td>see above, plus rep. of all concerned organizations</td>
</tr>
<tr>
<td></td>
<td>6-monthly village work progress review report</td>
<td>Participatory assessment of planned and actual activities based on AVP; observations on progress made, problems encountered, recommended actions; update of AVP activities</td>
<td>see above</td>
</tr>
<tr>
<td>Commune</td>
<td>Commune development plan (CDP)</td>
<td>Aggregated data from village profiles; list of proposed activities, aggregated from VDPs; Commune map with current and future situation;</td>
<td>Commune, Village Heads with responsible Project &amp; Government staff</td>
</tr>
<tr>
<td></td>
<td>Annual commune work plan (ACP)</td>
<td>List of planned activities (what, where, who, how much, when) for calendar year</td>
<td>see above</td>
</tr>
<tr>
<td></td>
<td>6-monthly work progress review report</td>
<td>Comparison of planned and actual activities based on ACP; observations and recommended actions; planned activities for next period</td>
<td>see above</td>
</tr>
<tr>
<td>District</td>
<td>District plan of operations (DPO)</td>
<td>List of planned activities aggregated from ACP and PO; District organization and staff; District budget</td>
<td>All project and government staff involved in activities, M&amp;E staff</td>
</tr>
<tr>
<td></td>
<td>Quarterly work progress review (QPR)</td>
<td>Comparison of planned and actual activities based on DPO; progress made, problems encountered, recommended actions; residual budget; update of DPO</td>
<td>District staff</td>
</tr>
<tr>
<td></td>
<td>Monthly activity plan and report</td>
<td>Detailed list of planned activities; assessment of past period; observations and recommended actions; planned activities for next period</td>
<td>District staff</td>
</tr>
<tr>
<td>Son La, Hanoi offices</td>
<td>Same as District</td>
<td>see above</td>
<td>Project staff in Son La, Hanoi, District Coord.</td>
</tr>
<tr>
<td>National / Project</td>
<td>Plan of Operations (PO)</td>
<td>List of planned activities for project phase; PPM; outline of project organization, strategy and staff; budget for current phase; overview on past phase and progress made so far</td>
<td>Provincial and national level staff, District Coordinators, Rep. of collaborating agencies</td>
</tr>
<tr>
<td></td>
<td>Annual plan of operations (APO)</td>
<td>List of planned activities, derived from PPM and DPOs; indicators; project budget; review of past year and progress made so far</td>
<td>see above</td>
</tr>
<tr>
<td></td>
<td>6-monthly progress report for NSC</td>
<td>Project overview, comparison of planned and actual activities; comments; planned activities for next period, budget summary</td>
<td>Project Coordinator</td>
</tr>
<tr>
<td></td>
<td>Annual GTZ Project Progress Report</td>
<td>Project overview based on PPM, assessment of project progress, achievements of outputs and purpose, consequences and need for action</td>
<td>CTA</td>
</tr>
<tr>
<td></td>
<td>Quarterly Project Progress Report</td>
<td>Summary of quarterly District, Son La and Hanoi reports, update of PO</td>
<td>M&amp;E staff</td>
</tr>
<tr>
<td></td>
<td>ZOPP 5 and PPM</td>
<td>Analysis of problems, objectives, participation, alternatives; project goal and purpose; outputs, major activities; indicators and assumptions</td>
<td>same as for PO, plus additional staff from GTZ and national level</td>
</tr>
</tbody>
</table>

Layout and contents of the annual village or commune work plans is similar to the work plans of individual project units or staff members, ensuring their complementarity and facilitating the exchange of data between different documents.

### 3.4.2.2 Long-term Project Planning

Long-term project planning is carried out during the ZOPP planning workshops, which take place at the
beginning of a project (ZOPP 4) and at the end of each phase (ZOPP 5). As explained before, the ZOPP workshops serve as forum for a participatory planning exercise where representatives of all concerned interest groups should come to a common understanding and agreement on the project’s goal and purpose, the outputs and major activities necessary to achieve the objectives, including objectively verifiable indicators which will allow to measure if the anticipated results have been achieved. The results of this planning exercise are summarized in the project planning matrix (PPM). At the end of each project phase, the initial planning framework is being reviewed, progress made is evaluated, the validity of the planning framework is assessed and if necessary adjusted and a new set of major activities and indicators is elaborated. The information included in the PPM is then used as a basis for the project’s plans of operations (PPO) for the respective phase, usually spanning a period of 2-4 years. The PPOs are still rather general in nature and do not include all details of the activities to be implemented nor the required resources. They are meant to give an overview on the major fields of activities the project is engaged in and the results it endeavors to achieve by the end of the phase. The layout of the PPO is basically identical to the annual plan of operations (see next chapter). For practical planning purposes, however, the allocation of required resources may not be feasible for an entire project phase and therefore may be omitted in the PPO, while it is essential to include this information in the APO.

3.4.2.3 Annual Operations Planning

Annual plans of operations (APO) are the backbone of a project’s day-to-day planning activities. The APO should provide sufficiently detailed information to guide the different project units and staff members during the implementation process while still permitting an overview on the project’s scope of activities and allocated resources as a whole. The activities included in the APO should therefore give more detail on the different work steps required to implement the major activities listed in the PPM. This implies the listing of different subactivities defining the different steps to be undertaken in order to complete the major activities. In addition, intermediate work results (or indicators) and responsibilities for each activity have to be defined combined with a detailed allocation of the required resources.

There should be no independent APOs for different project offices and units. All are to be considered subplans of the SFDP’s APO and have to be integral parts of its structure and contents. This principle should be strictly applied and followed in all planning documents for project offices, units, cooperating agencies and contractors. While it may be convenient to prepare separate documents for these different offices and units, they all should be derived from the APO and thus follow an identical layout (see Annex 3), use the same abbreviations and make reference to the outputs and major activities of the PPM.

3.4.2.4 Quarterly Work Plans

Quarterly work plans should not be prepared as separate planning documents. If the annual planning is done properly, they do not provide additional or more detailed information but reduce the planning horizon to a more manageable time span. It is therefore recommended to update the annual plans on a quarterly basis as part of the quarterly work progress reviews, and to update the annual plans on the same occasion focusing on the next quarter. A different planning format or document, however, is not required.

3.4.2.5 Monthly Work Plans

Monthly work plans have been successfully used on District level to coordinate field activities, field trips by regional and national staff, use of vehicles etc. They are an efficient tool for the District Coordinators and local staff and should be maintained in their present form. Similar work plans might be introduced for the regional office in Son La and for the fieldwork on village level, individual trial programs etc. Monthly work plans should, however, also include activities which are not directly related to field visits but require considerable time. Examples include meetings, report writing, participation in training courses, holidays, etc.

3.4.3 Reports

3.4.3.1 Project Progress Reports for NSC and GTZ

The biannual reports to the NSC and the annual GTZ project progress review report serve the same purpose but are currently prepared as entirely independent documents, one in Vietnamese and the other in German, with entirely different structures and contents. It is recommended to consider the use of common elements to be included in both types of report in the future. The summarized evaluation of the work progress, as included
in the GTZ report, could be included accordingly in the report to the NSC, accompanied by summary tables of the planned and actually achieved results and the allocated resources. The summary tables can directly be taken from the quarterly progress review reports prepared by the project offices on District, regional and national levels. A more synchronized reporting system on national level would not only be less time consuming but would additionally ensure that NSC and GTZ are provided with a comparable set of information.

3.4.3.2 Quarterly Progress Reviews (QPR)

The Quarterly Progress Reviews (QPR) are the cornerstones of the project's activity monitoring system. They serve to compare planned and actual achievements and provide a structured approach to evaluate the reasons for the delays and problems encountered. Based on the layout and contents of the APO, the QPR uses a tabular approach to compare planned and actual implementation of activities in terms of timing, quantities, quality, location and resources (see Annex 3). In the case of deviations from the plan, the reasons have to be elaborated on a separate sheet, together with recommended actions to be taken. This assessment of the reasons for deviations from the plan provide an occasion to project staff to point out problems and constraints encountered during implementation and encourages them to propose measures to be undertaken to improve the situation. Project management, on the other hand, can use this information to take decisions aimed at improving the project's efficiency. Finally, the QPR also serves to review and update the APO on a quarterly basis. Details of activities to follow during the next quarter or later in the planning period may need to get adjusted or additional activities introduced. These changes are then being transferred to the APO.

3.4.3.3 Biannual Commune and Village Work Progress Reports

Work progress at the village and commune level should be monitored in separate documents and with the active participation of the village and district representatives. The present scope of activities at the local levels warrants a biannual review period which should allow all concerned project and government staff to participate in the review meetings. The layout of the biannual Commune and village work progress reports is identical to the QPR (see Annex 3).

3.4.3.4 Biannual and Annual Progress Review Reports

Annual or biannual progress review reports on District, regional or national levels are not required as separate documents. They are, in fact, identical to the combined QPR of the first and second quarter and of the first to the last quarter of the year respectively. While the QPR should contain comments on all activities, showing a deviation from the plan, a biannual and or annual progress review report would typically summarize these comments on the major activity level. Summarized statements on the project progress should be incorporated in the APO and the NSC and GTZ reports. It is therefore recommended to design appropriate summary tables after sufficient experience has been acquired with the QPR tables.

3.4.3.5 Monthly District Activity Reports

Monthly District activity reports should mostly be considered a tool for work supervision but are not essential for activity monitoring. Once detailed APOs and quarterly progress reviews will have been introduced, the present monthly reporting scheme on District level may be given up, freeing valuable time for field activities.

3.4.3.6 Other Reports and Documents

3.4.3.6.1 Financial Reports and Statements

Specific financial reporting requirements have not been considered during this mission. General information on the use of financial resources can be derived from the APOs and QPRs. It may, however, be necessary to prepare specific financial reporting formats and statements for a more detailed financial monitoring in the future.

3.4.3.6.2 Training Plan

In addition to the general operations and activity planning, the project should prepare an overall training program for project staff and villagers for each project phase, based on a training needs assessment and an evaluation of training opportunities and available funds. Specific training activities should then be determined on an annual basis and integrated into the APO. If required, specific reports for the progress made in training can be prepared based on the general format of the work progress reports.
3.4.3.6.3 Field Research and Cooperation Plans and Reports

Specific work plans should accompany field research activities and cooperation programs with external organizations. They should be structured according to the format of the annual work plans. Similarly, the responsible persons in charge of these programs should be charged to prepare quarterly or biannual work progress reports, using the respective reporting formats.

3.4.3.6.4 Management Notes, Memos and Feedback

Project management on all levels should take great care to provide project staff with positive feedback and to react to the recommendations made in the work progress reports. A recommended tool is to circulate a monthly management note, pointing out the important work aspects for the coming month and citing commendable achievements during the past month. While this note should be distributed to all project units, a separate and more detailed feedback on the work progress made should be send to each unit on a quarterly basis.

3.4.4 Databases

The scope and detail of information documented in the different planning and monitoring documents suggest the use of computerized data processing tools. While the District offices may not immediately be in a position to enter the information directly in spreadsheet tables or database forms, the project offices in Son La or Hanoi should process the project’s planning and monitoring information with the help of a database system. The main advantage of a database system will be the possibility to combine information obtained from the different project offices and units and even of cooperating external organizations in a single information system. Once the planning information has been stored in the database, it can easily be (re)organized for presentation in different reports and tables, which can then be used as basis for the work progress reviews and the various reporting requirements. Special reports can be prepared listing only those activities being delayed or all activities for a certain period or those funded from a specific source, etc. The use of the database over several years will allow for the preparation of reports and tables with accumulated data over several years or as a year-by-year comparison. Besides, the use of electronic data formats in all project offices could in combination with the use of telecommunication techniques allow for a faster and more efficient information exchange over the important distances between project offices. The structure and contents of the required databases will be addressed during the second phase of the mission.

3.5 System Operation

All aspects of system operation will be elaborated as part of the second phase of the mission.

3.6 Factors for System Success

A planning, monitoring and evaluation system is a set of management tools, which provide information as a basis for communication, coordination, decisions and actions to be taken. Its usefulness will, however, depend on a number of factors:

1. A system design that allows to collect and manage all relevant data efficiently while being easy to use.

2. The responsibility of all participating units to carry out the assigned tasks in a correct and timely manner, from data collection and data transfer to data management, report generation and information sharing.

3. The willingness of PM to provide all participating units with sufficient staff, equipment and training to enable them to carry out the necessary tasks.

4. The willingness of decision-makers to base their decisions on the information provided by the system.
The system design process can control only the first factor; all others have to be ensured by project management.

3.7 Next Steps

The following table contains the most urgent steps to be undertaken before the end of the year in order to set up and introduce the planning and monitoring system for the SFDP. The steps listed take into consideration already scheduled activities, especially the BMZ evaluation, which will probably take place in November and the village planning activities, planned for September. Most importantly, the project will need to review and adjust the current PPM in order to establish a commonly accepted planning framework as basis for operations planning and activity monitoring. This should best be attempted during a sequential set of planning workshops, which should follow and build upon the village planning exercise in September. Both District offices together with concerned regional and national project staff should prepare proposals for their APOs which would then be used as basis for the project APO. The project APO should be the result of a 5-day workshop which uses the village level and District APO proposals to review and adjust the PPM framework and set all required indicators. This workshop would correspond to a ZOPP 5 planning exercise, which normally should take place towards the end of the current phase.

Given the present insecure planning base, it appears highly advisable to advance the ZOPP 5, since the replanning could thus directly follow the BMZ evaluation mission and would coincide with the replacement of the CTA. If the replanning takes place before the end of this year, an APO can be prepared on the basis of the new planning framework, activity monitoring can be introduced and impact monitoring initiated before the end of the current phase. The experiences and results obtained from PM&E during 1998 would then create a sound basis for the operations planning of the next phase. Besides, the second phase of the short-term mission by the Consultant could be timed to coincide with the period earmarked for the preparation of the project’s APO. The mission could thus help organize the planning information in a database and prepare the different APO and reporting documents for District, regional and national offices.
### Table 4: Preparatory Activities and Time Schedule for the Introduction of a PM&E System

<table>
<thead>
<tr>
<th>Task</th>
<th>Responsibility</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Assign responsibilities for planning and monitoring tasks.</td>
<td>Project Management</td>
<td>July 1997</td>
</tr>
<tr>
<td>• Familiarize project staff at all levels with new planning and reporting formats and procedures</td>
<td>M&amp;E staff, assisted by Coordinators</td>
<td>July 1997</td>
</tr>
<tr>
<td>• Introduce monthly and quarterly planning and reporting forms.</td>
<td>Coordinators and PM</td>
<td>July 1997</td>
</tr>
<tr>
<td>• Prepare monthly plan for August 1997</td>
<td>Coordinators with concerned project staff</td>
<td>August 1997</td>
</tr>
<tr>
<td>• Prepare monthly report for July 1997</td>
<td>Coordinators with concerned project staff</td>
<td>August 1997</td>
</tr>
<tr>
<td>• Prepare work plan for period 09-12/1997</td>
<td>Coordinators with concerned project staff</td>
<td>August 1997</td>
</tr>
<tr>
<td>• Identify set of village base data for use in village planning exercise</td>
<td>M&amp;E staff, coordinators and experts</td>
<td></td>
</tr>
<tr>
<td>• Prepare for and carry out participatory village planning exercise</td>
<td>Specialist for participatory village planning with project staff</td>
<td>08-09/1997</td>
</tr>
<tr>
<td>• Document and present results of village planning exercise</td>
<td>Specialist for participatory village planning with project staff</td>
<td>October 1997</td>
</tr>
<tr>
<td>• BMZ evaluation mission</td>
<td>GTZ/BMZ</td>
<td>October 1997</td>
</tr>
<tr>
<td>• Prepare proposal for District APOs</td>
<td>District Coordinators with District staff</td>
<td>October 1997</td>
</tr>
<tr>
<td>• Replanning workshop (ZOPP5)</td>
<td>Project management with all concerned staff and representatives of Government agencies</td>
<td>November 1997</td>
</tr>
<tr>
<td>• Assist SFDP staff in preparation and documentation of the APO, design and setup of the PM&amp;E databases and initiation of impact monitoring</td>
<td>Short-term Consultant for PM&amp;E</td>
<td>Nov./Dec. 1997</td>
</tr>
</tbody>
</table>
### 4 Annexes

#### 4.1 ANNEX 1: Project PPM with Major Activities

<table>
<thead>
<tr>
<th>Objectives and Activities</th>
<th>Objectively Verifiable Indicators</th>
<th>Means of Verification</th>
<th>Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Super Goal</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Song Da project region is integrated into the mainstream of national economy and national development.</td>
<td></td>
<td></td>
<td>The SRV continues to support the market oriented policy</td>
</tr>
<tr>
<td><strong>Project Goal</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The living conditions of the local population in the Song Da region are improved by applying ecologically and economically sustainable land use systems.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Project Purpose</strong></td>
<td>1. Increasing number of villages develop and implement community forestry development plan using appropriate methodology (1997:40; 2001:105; 2003:205)</td>
<td>Community forestry development plans</td>
<td>1. Rural credits are available for community forestry development</td>
</tr>
<tr>
<td>Methodology for sustainable natural resource management by local communities is developed and implemented.</td>
<td>2. Beginning 2003 provincial and local authorities assist 20 communities annually in establishment and implementation of community forestry development plan without external support.</td>
<td>Community forestry development plans</td>
<td>2. No significant migration is taking place into the project region</td>
</tr>
<tr>
<td></td>
<td>3. Women participate actively in developing and applying methods for sustainable natural resource management</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Outputs / Results</strong></td>
<td>1. Concept for community based sustainable forest management is developed &amp; implemented.</td>
<td>Research Reports</td>
<td></td>
</tr>
<tr>
<td>1. Annual research programs set-up, applied, and evaluated.</td>
<td>Research Reports</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. 30 on-farm trials established until end 1997.</td>
<td>Research Reports</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Eight economically and ecologically viable, applicable land use systems are developed based on the research results. (Four for each pilot district: Agroforestry, Slope Agriculture Land use Technology, Home gardens, Plantation</td>
<td>Research Reports</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Research Reports / Reports</td>
<td>PAME-Reports</td>
<td></td>
</tr>
<tr>
<td></td>
<td>PAME-Reports</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Assistance to community based land use planning and land allocation is provided.</td>
<td>1. Land-use planning and land allocation is concluded in 40 villages (10 communes).</td>
<td>1. Tax system encourages farmers to participate in land allocation.</td>
<td></td>
</tr>
<tr>
<td>---</td>
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<td>---</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Land use maps at a scale of 1:10,000 are available in 10 communes.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Needs-oriented forest extension service is operational.</td>
<td>1. 10-20 forest extension officers (at minimum 5 women) and 40 village extensionists (volunteers, at minimum 10 women) are working in the field.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Instruction and extension material on tree plantation, forest protection, up-land farming system, legal and policy issues, etc., in line with the participatory extension concept are produced and distributed.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Contents, concepts, and operational structures of extension services are agreed upon and operational in 40 villages (in 2 districts of 2 provinces).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Training according to</td>
<td>1. 8 trainers of</td>
<td>Training program</td>
<td></td>
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<tr>
<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>
PPM Activities

1. Concept for community based sustainable forest management is developed & implemented.

1.1. Develop and test participatory methodology for community based analysis and programming.
1.1.1. Conduct community based participatory analysis (PRA; village-ZOPP).

1.1.2. Elaborate community forest development plan and define inputs and responsibilities.

1.1.3. Elaborate standard operational procedure for utilization of national program.

1.1.4. Adapt concept for community based sustainable forest management based on results of participatory analysis.

1.2. Support applied research (LUS, AF, FM, Economic).

1.2.1. Identify the interest and needs of the communities related to forest.

1.2.2. Define research priorities by local communities.

1.2.3. Develop and implement on-farm research programme.

1.2.4. Study traditional forestry land-use systems.

1.2.5. Develop criteria for sustainable land-use systems.

1.2.6. Evaluate research results by researchers and local communities.

1.2.7. Document and feed-back research results into extension.

1.3. Support implementation of community based forest management.

1.3.1. Facilitate the establishment of community organization and management structures.

1.3.2. Facilitate community agreements on the management of land and forest.

1.4. Develop and implement an operational Participatory Assessment, Monitoring and Evaluation (PAME) System.

1.4.1. Define activities and data to be monitored.

1.4.2. Initiate regular evaluations by the community.

1.4.3. Feed back evaluation results into project activities and into the extension service.

1.4.4. Create data base for impact monitoring.

1.4.5. Introduce management of PAME system by the community.

(Up-dating, reporting, data-collection, interpretation, etc).

2. Assistance for community based land use planning & land allocation is provided.

2.1. Study governmental regulations on land use planning in project area.

2.2. Compile demographic data in project area.

2.3. Assess present boundaries, land use and allocation.

2.4. Carry-out land-use survey.
2.5. Assist FIPI in providing maps

2.6. Conduct participatory land use planning.

2.7. Assist communities in land-allocation

3. **Needs oriented forest extension service is operational.**

3.1. Define extension contents at village level.

3.2. Define extension concepts.

3.3. Define, test and improve efficient operational structures at district and village level.

3.4. Implement extension plans.

3.5. Design, test, produce and distribute appropriate extension materials, include those in minority languages (Thai, Hmong).

3.6. Recruit and train qualified field personnel as technical/educational advisors, with particular emphasis on members from ethnic minority groups.

4. **Training according to agreed concept & plan provided.**

4.1 Select candidates to be trained at different levels

4.2. Set-up annual training plan.

4.3. Conduct training on specific subjects (PAME, Management of extension service, PRA, Village ZOPP, local languages, forest management, etc.)

4.4. Evaluate success of training.

4.5. Adapt training concepts according to needs resulting from implementation process.

4.6. Train in approach for applying criterias of sustainable land use systems.

5. **Producer oriented Information System is developed, tested and put into practice.**

5.1. Define long and short term information needs for producers.

5.2. Identify sources for necessary data.

5.3. Establish regional units for the collection of market information.

5.4. Identify and select adequate distribution channels.

5.5. Feed back market information into extension system.

5.6. Establish contracts with media/institutions covering SongDa Watershed.

5.7. Define areas of investment opportunities.
6. Gender specific programs are identified, designed and implemented.

6.1. Support adequate representation of women at all levels of project management.

6.2. Involve women at all steps in forestry extension training

6.3. Identify and design women specific activities.

6.4. Facilitate creation of women groups/organizations at village level.

6.5. Support women groups/organizations in the implementation of specific programs

(income generating activities, more efficient use of women’s labor force, etc)

7. Project Management works efficiently.

7.1. Establish or improve physical infrastructure at all levels.

7.2. Introduce Standard Operational Procedures (SOP).

7.3. Prepare TOR/Job description for project staff.

7.4. Recruit/assign the necessary personnel.

7.5. Design, establish and apply monitoring and evaluation system.

7.6. Prepare and support project progress review and planning workshop for next phase.

7.7. Identify fields of activities to be out contracted to national organizations/institutions.

7.8. Identify and contract suitable organizations/institutions for implementation of selected project activities.

7.9. Facilitate links between farmers and credit institutions.

7.10. Elaborate a concept for attracting funds of Financial Cooperation for investment in forestry at farm/community level.

7.11. Cooperate with other relevant institutions/projects.

4.2 ANNEX 2: Village Base Data Examples

4.2.1 Official Village and Commune Level Economic Development Plan Data

I. Basic situation

1. Total number of households in the district
2. Total number of people
3. Total number of labourers
Of which (in the agri. sector)
Total number of households
Total number of people
Total number of labourers
Cultivation area
Irrigated
Upland
Aver. area of cultivated land
Utilization coefficient

II. Total food production (in rice equivalent)
Rice
Secondary food crop in rice equivalent
Average food ration per month
of which: rice

III. Total value of production
1. Divided by sectors
   a. Agri and forestry sector
      Share
   b. Service
      Share
   c. Industry, small industry, handy craft and infras. constr.
      Share
2. GDP
   Average per person per month
   In USD per person per year

Production norms
A. Agriculture production
I. Cultivation
   Food crops
   1. Spring-summer rice
      Area
      Productivity (average)
      Yield
      Of which: spring rice
      Area
      Productivity
      Yield
      Of which
      Intensification (new variety)
      Productivity
      Yield
      Normal
      Productivity
      Yield
   2. Winter rice (total)
      Area
      Productivity (average)
      Yield
Of which
Usually cultivated area
Productivity (average)
Yield
Of which
Intensification
Productivity
Yield
Normal farming
Productivity
Yield
Newly opened area
Productivity
Yield
3. Upland rice
Area
Productivity
Yield
Of which: new variety
Productivity
Yield
4. Maize
Area
Productivity
Yield
Of which
Maize monoculturing
Area
Productivity
Yield
Of which
Intensification of new maize
Area
Productivity
Yield
Normal maize
Area
Productivity
Yield
Maize intercropping
Productivity
Yield
Autumn-Winter maize
Area
Productivity
Yield
5. Cassava
<table>
<thead>
<tr>
<th>Area</th>
<th>Productivity</th>
<th>Yield</th>
</tr>
</thead>
<tbody>
<tr>
<td>6. Arrow root</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Sweet potato</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cash crop</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Soy bean</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Sugar cane</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Cotton</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Groundnut</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Long term cash crops</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tea</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Long term cash crops</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tea</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coffee</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Of which:**

<table>
<thead>
<tr>
<th>Sugar cane from previous year</th>
<th>Productivity</th>
<th>Yield</th>
</tr>
</thead>
<tbody>
<tr>
<td>New sugar cane plantation</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Of which:**

<table>
<thead>
<tr>
<th>Tea under tending</th>
<th>Productivity</th>
<th>Yield</th>
</tr>
</thead>
<tbody>
<tr>
<td>Newly planted tea</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coffee</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Of which:**

<table>
<thead>
<tr>
<th>Area under production</th>
<th>Productivity</th>
<th>Yield</th>
</tr>
</thead>
</table>
Coffee under tending
Newly planted Coffee
Mulberry
Area under production
Productivity
Yield
Cocoon
Newly planted area
Cinamon
Area under tending
Newly planted area
C. Fruit trees
Area under production
Fruit production
Area under tending
Newly planted area
1. Apricot
Area under production
Fruit production
Area under tending
Newly planted area
2. Plum
Area under production
Fruit production
Area under tending
Newly planted area
3. Longan
Area under production
Fruit production
Area under tending
Newly planted area
4. Mango
5. Banana
6. Pine apple
7. Other fruits
Production
D. Food stuff crops
Vegetable, bean of all kinds
II. Livestocks
1. Buffalo
2. Cattle
3. Horse
4. Goat
5. Pig
6. Poultry
7. Water body area
B. Forestry
1. Forest plantation under projects
2. Scattered tree planting
3. Forest restoration and protection
   Of which
   under projects
   under Forest Protection Unit
4. Forest tending
   under project
5. Land allocation
C. Industrial production, handi craft, infras. constr
I. Total value
   Of which:
   Group A
   Group B
value of the infras. construction
II. Major products
1. Construction materials
   Bricks
   Tile
   Lime
   Sand
   Rock
   Others
2. Hand farming tools
3. Energy
   Commercial electricity
   Coal exploration
   Ore exploration
4. Processing
   Tea processing
   Soy bean processing
   Maize, rice milling
   Dry cassava processing
   Making cassava flour
   Maize drying
   Silk processing
   Maize threshing
   rice threshing
   Cotton draft processing
   Bottled mineral water and beer production
   Processing of other products
5. Other industries
   Commercial running water
6. Forest product processing
   Home furniture fixing
Bamboo exploration
Other products
7. Weaving, dying
Weaving of traditional cloth
Amount
Ethnic blankets and mattress
Amount
Other products
8. Reparation/ fixing
D. Trading, service sectors
E. Cadastral sector
1. Land use planning
2. Land allocation
3. Re-adjustment of changes
4. Registration, completing cadastral records
5. Issuing of Red Book Certificate

Social and cultural plan

I. Population and labourer
1. Population
Of which:
Minor ethnic groups
Population growth rate
Birth rate
Number of people in labour age

II. Health care
Nr. of people suffering from goitrus
Nr. of people infected by malaria
Nr. of children vaccinated
Nr. of villages with medicine cabinet
Nr. of hospital bed per 10000 people
Nr. of doctors per 10000 people

III. Education - Training
1. Nursery
Public nursery groups
Nr. of children
Rate
2. Kinder garten
Total number of class
Nr. of children
Rate of children shifting up
3. General education
Total number of classrooms
Total number of children
4.2.2 Optional Village Base Data

1. Village ID
2. Village Name
3. Commune
4. District
5. Province
6. Date of survey
7. Surveyor(s)
8. Date of data entry
9. Village location
10. Village age
11. Important events in village history
12. Walking distance to village during dry season
13. Walking distance to village during rainy season

Of which

a. Primary school
   - Total number of classes
   - Total number of school children
   - Rate of school children mobilization
   - Maintaining number of school children
   - Rate of children shifting up
   - Rate of children completing primary school

b. Lower secondary school
   - Total number of classes
   - Total number of school children
   - Enrollment to 6th form
   - Maintaining number of school children
   - Rate of children completing primary school
   - Rate of children shifting up

c. Higher secondary school
   - Total number of classes
   - Total number of school children
   - Enrollment to 10th form
   - Maintaining number of school children
   - Rate of children completing primary school
   - Rate of children shifting up

4. Generalization of education, literacy course

- Nr. of com. accessible to general education and literacy
  - Literacy
    - After literacy course (?)

IV. Culture, sport

- Nr. of people having access to TV over the number of total population
- Number of communal cultural groups
- Number of sport team
  - football team
  - Volley ball team

4.2.2 Optional Village Base Data
14. Households
15. Households headed by women
16. Households belonging to Lao Loum
17. Households belonging to Lao Theung
18. Households belonging to Lao Soung
19. Ethnic groups
20. Children 0-5 male
21. Children 0-5 female
22. Children 6-15 male
23. Children 6-15 female
24. Adults 16-60 male
25. Adults 16-60 female
26. Adults > 60 male
27. Adults > 60 female
28. Births last year
29. Deaths last year
30. Children < 5, deaths last year
31. Nearest health post
32. Distance to nearest health post
33. Nearest pharmacy
34. Distance to nearest pharmacy
35. Visits by health service/family planning last year
36. Children < 5, vaccinated last year
37. Malaria cases last year
38. Unprotected wells used for potable water
39. Improved wells used for potable water
40. Families not using improved wells for potable water
41. Nearest primary school
42. Walking distance to nearest primary school
43. Male children attending school
44. Female children attending school
45. Male adults with reading/writing skills
46. Female adults with reading/writing skills
47. Male adults with higher schooling
48. Female adults with higher schooling
49. Male adults with non-formal education training
50. Female adults with non-formal education training
51. Village temples
52. Village shops
53. Nearest market
54. Distance to nearest market
55. Nearest agricultural extension post
56. Distance to nearest agricultural extension post
57. Nearest veterinary service
58. Distance to nearest veterinary service
59. Total cultivated area (ha)
60. Lowland rainfed area (ha)
61. Cultivated upland area (ha)
62. Other cultivated areas (ha)
63. Cash crops
64. Area cultivated with cash crops (ha)
65. Families selling crops to Thai traders
66. Village rice production 1995
67. Village rice production last year
68. Village woodlots
69. Families with irrigated land
70. Families with leased land
71. Families wishing to lease additional land
72. Families with insufficient labour to cultivate their land
73. Families with >1h walking distance to their rice fields
74. Families with hand-tractor
75. Families without draught buffaloes or hand-tractor
76. Annual work calendar
77. Periods of high work load
79. Periods of low work load
80. Livestock: buffaloes
81. Livestock: cows
82. Livestock: pigs
83. Livestock: horses
84. Livestock: goats/sheep
85. Livestock: poultry
86. Families without cattle
87. Important livestock losses last year
88. Type of and reasons for livestock losses
89. Visits by veterinary services last year
90. Families practicing handicrafts
91. Families having sold handicraft products (last 12 months)
92. Families selling hunted animals, fish or forest products
93. Families practicing fish-farming
94. Families processing products for sale
95. Families leasing buffaloes to other families
96. Families leasing rice fields to other families
97. Families leasing agricultural machines to other families
98. Families providing boats for paid transportation
99. Families with seasonal agricultural or other paid works
100. Families practicing small trade, market sales
101. Shop owners, merchants
102. Household heads with permanent paid occupation
103. Families seeking additional labour
104. Families which borrows rice during last year
105. Families with a loan from the bank
106. Families with loans or advances from traders
107. Families receiving money from absent family members
108. List of loans and advances
109. Families participating in a rice bank
110. Families participating in a buffalo bank
111. Families owning a motor-bike or tuk-tuk
112. Families owning a radio
113. Water user groups
114. Women groups
115. Other self-help groups
116. Groups with female members
117. Informal (traditional) groups
118. Year of Community Development Plan
119. Activities by community or self-help groups
120. Activities by outside organizations
121. Conflicts within the village
122. Conflicts with other villages or organizations
123. Cooperation activities with other villages
124. List of conflicts or cooperation activities
125. Main problems for village (men’s opinion)
126. Kind of assistance required
127. Village’s contribution
128. Main problems for village (women’s opinion)
129. Kind of assistance required
130. Village’s contribution

4.3 ANNEX 3: Layout of Important Plans and Reports

4.3.1 Annual Project Unit or Village Work Plan
The layout is identical for project units, villages, individuals and cooperating agencies.

### 4.3.2 Annual Plan of Operations

**Social Forestry Development Project Song Da**

#### Annual Plan of Operations

<table>
<thead>
<tr>
<th>Activity /Subactivity</th>
<th>Indicator/Quantify</th>
<th>Unit</th>
<th>Location</th>
<th>Start Date</th>
<th>End Date</th>
<th>Responsible</th>
<th>Required Personnel</th>
<th>Required Material</th>
<th>Required Budget</th>
<th>Status</th>
<th>Expected Start</th>
<th>Expected Finish</th>
<th>Actual Start</th>
<th>Actual Finish</th>
<th>Status of Budget</th>
</tr>
</thead>
</table>

(Table continues with multiple entries for different activities and indicators)

*Note: Detailed entries are not shown for privacy.*

**Abbreviations**

- [List of abbreviations]

---

*Approved by: [Signature]*

*Date:*
### Monitoring Form for Project Progress Evaluation

<table>
<thead>
<tr>
<th>Activity-No.</th>
<th>Reasons for Deviations from Plan</th>
<th>Recommended Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>(what should be done, when and by whom)</td>
</tr>
</tbody>
</table>

**4.3.3 Quarterly Progress Review Report**

**4.3.3.1 Biannual Commune/Village Activity Progress Report**
## Monitoring Form for Project Progress Evaluation

<table>
<thead>
<tr>
<th>Activity-No.</th>
<th>Reasons for Deviations from Plan</th>
<th>Recommended Actions (what should be done, when and by whom)</th>
</tr>
</thead>
</table>

### 4.4 ANNEX 4: Mission Itinerary and Persons Met

**June 11**
- Arrival in Hanoi
- Meeting with Mr. Paul van der Poel, acting CTA;
- Introduction to office staff

**June 12-14**
- Hanoi
Meetings with Mrs. Nguyen Tuong Van, Project Coordinator; Mr. Nguyen Quang Tan, Translator and futur M&E expert; Mr. Duong Thanh Mau, Senior Forestry Expert; Mr. Pham Quoc Tuan, Regional Coordinator; Mrs. Elke Förster, agroeconomist and futur agricultural advisor;

Presentation of mission tasks during staff meeting

**June 15**  
Travel to Yen Chau District, Son La Province

**June 16**  
Yen Chau District

Meetings with Mr. Trieu Quang Co, District Coordinator; Mr. Pham Quoc Tuan, Regional Coordinator; Ms. Vu Thi Tam, Head of Extension Unit; Mr. Hong, Head of Cadastral Section; Visit to Cadastral Section; Mr. Bui Duy Thuc, Vice Chairman of People’s Committee

**June 17**  
Field Visit, Chieng Dong Commune and Nhom Village, Yen Chau District

Meetings with Head of Commune, Village Head and Communal Planning agent; Visit of a village nursery and an irrigation check dam; Travel to Son La Town; Visit of Regional project office in Son La

**June 18**  
Son La

Meetings with Mrs Ha Thi Minh Toa, Head of Extension Centre, Mr. Tran Van Huan, Vice Director of Extension Centre; Mr. Nguyen Ngoc Trung, Deputy Director, Planning and Investment Department; Travel to Tua Chua District, Lai Chau Province

**June 19**  
Tua Chua District, Lai Chau Province

Visit to project office, Meetings with Mr. Cheo Cu Xuan, District Coordinator, Mr. Bui Dinh Cay, Head of Extension Unit; Mr. Lo Van Doan, Head of Forest Protection Unit; Mr. Pham Van Tuan, Agriculturalist; Mr. Ulrich Apel, Forestry Advisor; Visit to Forest Protection Unit

**June 20**  
Tua Chua District, Lai Chau Province

Meeting with Mr. Nguyen Van Ty, Vice Chairman of People’s Committee; Travel to Yen Chau District, Son La Province; Meeting with Mr. Duong Dinh Tham, Head of Forest Protection Unit

**June 21**  
Return to Hanoi

**June 22-29**  
Hanoi

Preparation of Draft Report and Presentation. Discussions of findings and recommendations with CTA, M&E and and
4.5 ANNEX 5: Bibliography


SFDP (01/1997): Gender Issues in the Social Forestry Development Project Song Da. Findings and Recommendations

SFDP (04/1997): Proposals to Increase the Efficiency and Effectiveness of Extension Services SRV

SFDP (05/1996): Participatory Land Use Planning and Land Allocation in the Song Da Watershed. First Experiences of the SFDP in the Districts of Yen Chau (Son La Province) and Tua Chua (Lai Chau Province). SFDP Working Paper No.3.

SFDP (06/1994): Draft Proposal for Implementation of the Concept on Community Forestry Development


SFDP (1993): Land Use in the Song Da Watershed (North-West of Vietnam). SFDP Baseline Study No.2


