World Vision

WORLD VISION VIETNAM

CENTRAL REGION WATER RESOURCE SECTOR PROJECT (CRWRSP)

INCEPTION REPORT

Pilot and Demonstration Activities Program for Water (PDA)

The views expressed in this paper are the views of the authors and do not necessarily reflect the views or policies of the Asian Development Bank (ADB), or its Board of Directors, or the governments they represent. ADB does not guarantee the accuracy of the data included in this paper and accepts no responsibility for any consequences of their use. Terminology used may not necessarily be consistent with ADB official terms.

Submitted by:

Nguyen Dang Nhat/ Lead Researcher

World Vision Vietnam

521 Kim Ma Street

Ha Noi, Viet Nam

(Tel: (84) 4 771 6230; Fax: (84) 4 771 6225)

Email: nguyen_dang_nhat@wvi.org

TABLE OF CONTENTS

ABBREVIATIONS

ADB	**Asian Development Bank**
CRWRSP	**Central Region Water Resource Sector Project**
DARD	**Department of Agriculture and Rural Department**
DOLISA	**Department of Labor, Invalids and Social Affairs**
DPI	**Department of Planning and Investment**
DSC	**District Steering Committee**
FA	**Farmer Association**
GoV	**Government of Vietnam**
HF	**Hamlet Facilitator**
IMC	**Irrigation Management Company**
M&E	**Monitoring and Evaluation**
NGO	**Non-governmental Organization**
PC	**People's Committee**
PIM	**Participatory Irrigation Management**
PMB	**Project Management Board**
PLA	**Participatory Learning and Action**
PRA	**Participatory Rural Appraisal**
SPSS	**Statistical Package for Social Sciences**
TST	**Ten Seed Technique**
WU	**Women Union**
WUA	**Water User Association**
WVV	**World Vision Vietnam**

1.0 INTRODUCTION

Participation is not a new concept. For over 20 years it has underpinned development activities implemented by many project donors, NGOs and Governments. Most development planners are well aware that participation plays an important role in all stages of a project including identification of needs and assessment, planning, design, implementation, monitoring and evaluation (M&E) and maintenance, ideally enabling ownership of the development process by the community. This has often resulted in projects that more effectively meet the community needs, improve project sustainability and even provide costs savings. However despite these successes, there is inadequate experience and evidence of how to include such participatory processes in the design and implementation of large-scale investments. There has been great success in implementing participatory processes at a household or village level however there is less experience in successfully implementing such approaches above village level (for example in large scale irrigation schemes). As a result, such projects have often undertaken tokenistic participation processes which have led to negative social and environmental impacts on the communities who were to benefit from the projects.

In Vietnam, agriculture has a central role to play in alleviating poverty, given the concentration of the poor in rural areas and dependence on agriculture (80% of the population is involved in agriculture). Agriculture is a primary user of land and water resources, therefore greatly benefiting from improved irrigation schemes. As a result, the Vietnamese Government, together with NGOs, has progressively increased irrigation investment in recent years. However despite the benefit of many such schemes, many others have been left unused at completion or have not been properly maintained. In addition some large schemes although helping some have left others worse off, particularly the poor and the marginalized.

In trying to explain why this has happened, it is important to identify the characteristics of irrigation construction. Generally irrigation schemes are scattered across large areas and are strongly affected by natural conditions and the needs of people in the natural area. Also traditionally in Vietnam, such systems have often been designed at the ‘top level’ without any participation at the ‘bottom’ or grass-roots level. As a result, any participation involved in such projects has often symbolic or theoretical only. As mentioned, the lack of adequate participation has often led to the poor design and mismanagement of these systems. One result of mismanagement has been persistent shortages of irrigation and water supply to the tail-end users of such systems. This has at times led to the loss of productive farmland to such people.

According to some studies in the area of irrigation, state-owned irrigation companies can often successfully manage large scale irrigation schemes. That said, they often however fail to adequately manage the use and maintenance of small-scale schemes attached to the major schemes. These small-scale schemes often cover 10-200 hectares at inter-commune,

commune and village levels. These are often numerous in number and geographically scattered however they are still an integral part of the overall irrigation system that should reach out to the whole community. As a result, many small irrigation schemes have been said to be "forgotten." A more deliberate use of participatory processes in such projects could greatly reduce the shortcomings of such schemes in the future.

To address the above issues the Government of Vietnam (GoV), together with NGOs and other international agencies, have tried to demonstrate the capacity of ordinary and poor people to take collective action to ensure their rights and to work toward more equitable access to the water resource required for a sustainable livelihood. This goal has often been achieved by the creation and strengthening of organizations of water users to promote both proper technical management and maintenance of small-scale irrigation schemes and more equitable use of water. This group of people if set up well, can have effective participation in all stages of the project.

In this context, the Government of Viet Nam has requested the Asian Development Bank (ADB) to assist with the development of water resources in the Central Region of Viet Nam called the Central Region Water Resources Sector Project (CRWRSP). The project seeks to develop effective water resources investments, assessed based on the following five criteria:

1. Poverty reduction
2. Environmental sustainability
3. Economic feasibility.
4. Disaster mitigation
5. Integrated river basin planning (or IWRM).

.

The CRWRSP seeks to effectively address water and poverty related problems and provide sustainable improvement to water resources management. Achievement of this goal naturally requires efficient stakeholder participation in all aspects of the project. Although some successful attempts have been made previously to ensure such participation occurs, the ADB has acknowledged that this could be improved, especially through utilizing the services of NGOs, who often take a strong lead in implementing participatory processes.

World Vision Viet Nam (WVV) is a relief and development organization working to improve the quality of life of poor and marginalized people, especially children, through transformational development. Most WVV projects operate through partnerships with various government groups at national, provincial, district and commune level. World Vision has been working in Vietnam since the 1960's with a break in service during the American war.

Over this period, WVVs development processes have evolved to match the changing world trends in development and the rapid change in Vietnam. Since WVV's beginnings in Vietnam, participatory approaches have become widely used by WVV in both donor and privately funded projects. Currently all WVV staff are trained to effectively carry out appropriate community consultation

activities including baseline and other surveys, as well as most well known participatory techniques. WVV has endeavored to define standards of operation in this area, with the aim of streamlining the use of planning tools, standardizing information collection technology, ensure best practices in baseline surveys, and effective use of participatory methodologies. The emphasis during this process has been on improving the ability of the community to be heard in all development activities and for them to increase their level of control of the overall development process.

By mutual agreement with ADB, WVV and CARE International have been requested to assist the CRWRSP design such processes, particularly with the aim of improving the ADB's participatory processes. This input is anticipated to "assist the participatory needs assessment and planning for the design of core sub-projects. In particular, WV will be responsible for (i) the development of methodologies and their application in selected sub-projects for the following activities as specified in the ToR for the technical assistance to Viet Nam for preparing the CRWRSP, (ii) consultations with beneficiaries of the core subprojects to finalize options through rapid rural appraisal exercises (iii) identification of groups with special needs that should be targets under agricultural support services programs".

The importance of stakeholder consultation and participatory planning in all stages of investment identification, design, implementation and management has been agreed by many, but to date there is insufficient experience in Viet Nam on how to include such participatory processes in designing and implementing large scale investment such as those planned under CRWRSP. The involvement of WVV is hoped to provide a model of how this can be achieved using WVV's experience in this area.

The exact details of the methodology proposed for this task will be developed by WVV in close consultation with provincial authorities and the PPTA consultants, but it will be based on proven participatory rural appraisal techniques. The activities will be undertaken in a sample of sub-projects as agreed with the PPTA consultants and the ADB, being Thanh Hoa and Quang Tri. The method has been agreed between the ADB and WVV to include the following elements:

- The identification of stakeholder groups in the sub-project area and the assessment of their main patterns of water use (and how this links to their livelihoods). Special attention should be paid to the process of identifying poor households within the different communities of the sub-project area.

- The identification of the main needs and priorities of each stakeholder group for improvements to water management in relation to the operation of the sub-project system under consideration.

- The identification of potential benefits from the sub-project investments and the identification of any additional costs (including investments in additional technology, skills, production inputs, market development etc)

needed to ensure that beneficiaries are able to take advantage of the potential benefits.

- The development of a mechanism to include the views of stakeholders in the detailed design of investments to be made in the sub-project, including the scale of services to be provided and any additional investments to increase the access of different stakeholder groups to water for productive and other uses.

- The development of a mechanism for the participation of different stakeholder groups in the implementation and subsequent management of the system being improved under the sub-project. This should include the development of improved links between the Irrigation Management Company responsible for the system and the users of the services that they provide.

- Documentation of a methodology for participation in of system-level sub-projects.

At the completion of the input, WVV will provide detailed recommendations for the process through which participation can be integrated into the identification, assessment, planning, design, implementation and management of sub-projects. WVV will also provide recommendations on activities in addition to the core physical infrastructure of each sub-project that will ensure beneficiaries are able to access potential benefits. The recommendations will include a full specification of the inputs and budget needed for the integration of these activities into the implementation of CRWRSP. The timing of these recommendations will be agreed with and will work to a timetable defined by the Haskoning team, to ensure that they are fully integrated into the final design of CRWRSP.

In summary, the objective of the input carried out by WVV is to develop a mechanism for the improved participation of different stakeholder groups in the planning, design implementation and subsequent management of the ADB irrigation sub-projects. In addition, the project will identify the stakeholder groups in the sub-project area and their main patterns of water use and identify the main needs and water management priorities of each group. The input will also aim to identify the groups with special needs that should be targeted under agricultural support programs and make recommendations for such programs. To achieve these objectives, this project will explore the impact of irrigation systems on the livelihoods of local people, the environmental impact, the effect of disaster mitigation, economic feasibility and the effect of integrated river basin planning.

The inception report aims to outline the proposed approach of WVV to achive its responsibilities as part of its role in the CRWRSP. The report outlines the proposed methodology to be undertaken including stakeholder indentification and analysis, participatory methodologies, community consultation processes, data anlysis and data aggregation. It also outlines what has been completed to date and several important issues of methodology and sample size.

2.0. PROPOSAL APPROACH AND SAMPLE SIZE

2.1 Initial Activities Undertaken

In formulating this report, WVV reviewed a large number of documents related to participatory approaches. This included donor, NGO and research material on various options of large scale participatory processes, possible methodologies, successes and failures and how to build capacity to achieve effective approaches. This involved review of relevant International and Vietnam best practice. In addition the ADB guidelines on poverty and social analysis were carefully reviewed as well as those of likeminded donors such as the World Bank. This provided a solid base of information to base a concept on. In addition an international participatory specialist (Ravi Jayakaran) was mobilized to assist design a suitable participatory approach in accordance with ADB guidelines and CRWRCP design and provide further information on international best practice. Ravi has completed several inputs on participatory processes for the ADB previously. The WVV team also visited both project sites to consult with stakeholders about the proposed methodologies. The main results and conclusions are as follows:

2.2. Sample Size

Ideally, a large and comprehensive sample of the whole project area would be adopted for any participatory project methodology. However, due to anticipated time and financial constraints of using such a methodology in the future by the ADB, as well as the large geographic area of each sub-project, it is difficult to take too large or comprehensive a sample. As a result, the sample size used should be ***both adequate in size and manageable in number***. Therefore, communes in the project site will need to be purposively and randomly selected to provide a suitable sample. The sample size adopted

also depends on the local characteristics of each particular irrigation system in each sub-project location. Both sub-projects to be used in this exercise are quite different, hence the sampling technique will need to be tailored to the conditions of each location.

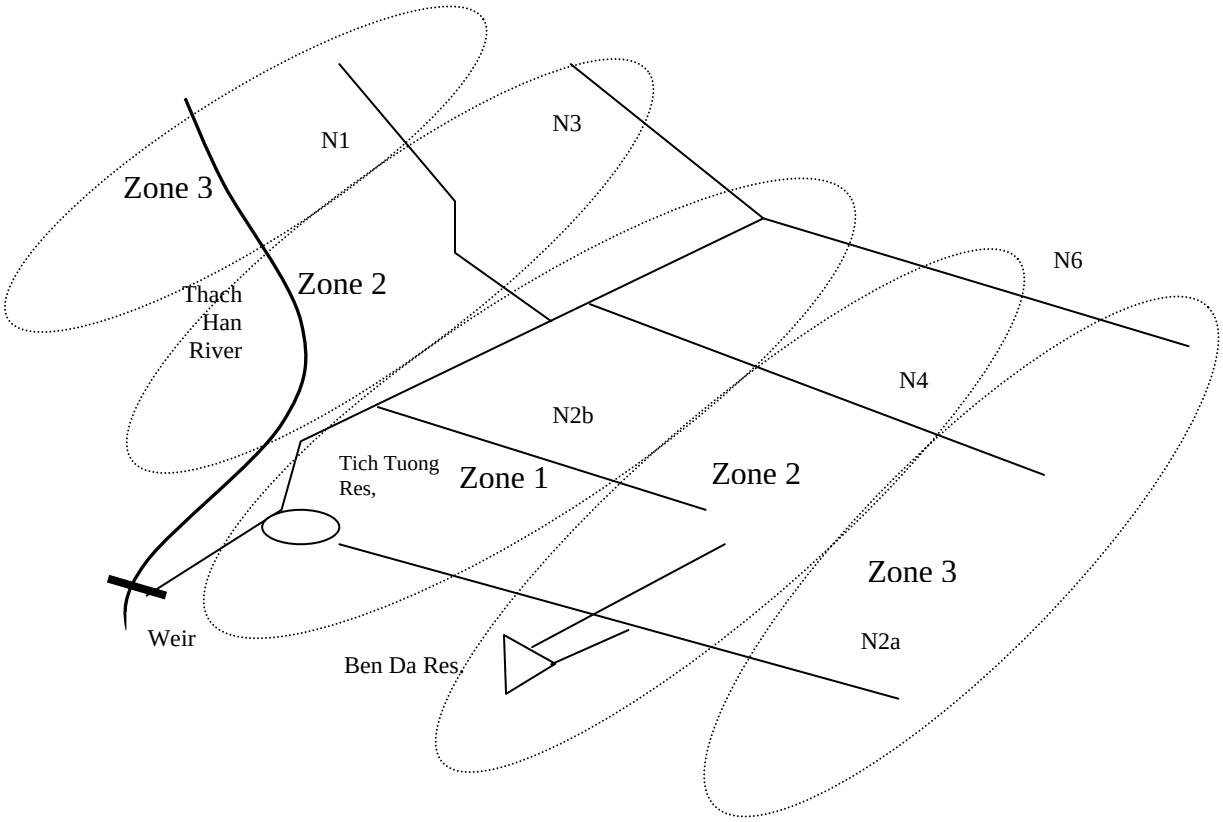
2.2.1. Selection of the Study Area

The project will select a study area of 27 villages from around 200 villages in total in the two provinces. The selection of villages will be based on the following criteria:

- Villages that are located nearby irrigation systems and directly impacted upon
- Villages with a high poverty level.
- Villages that represent a sample of a whole irrigation system (Those located at beginning of canal, middle of canal and at the end of canal).

2.2.2. Quang Tri province

In Quang Tri province, the core sub project is called 'South Thach Han Irrigation Scheme'. The project mainly focuses on rehabilitation and improvement of the irrigation scheme, including head-works, main canals, primary canals and secondary canals.



Schematic layout of Thach Han Irrigation Scheme (Source: CRWRSP proposed core sub-projects).

WVV will use a pragmatic approach to this project, due to the existing irrigation system. As a result WVV will attempt through the participatory process to determine how much of the canal length can actually carry irrigation water. Through our first field visit, community consultations held and with reference to the technical design, we assume that there were probably inadequate technical surveys to assess the soil type and the base flow of the canal when originally designed. As a result, the original design seems too optimistic, estimating a higher irrigated capacity and suggesting a greater volume of water in some canals. In addition, the system's efficiency is further hampered by the nature of the canals, that is the canals have earth or sand banks. For various reasons there is severe bank erosion, reducing the conveyance capacity of the canals. In Thach Han Irrigation Scheme, the water distribution is by gravitational flow. Therefore the water that reaches the end of the canal provides a good indicator that it has already passed through the earlier section. As a result, this scheme can be divided into three main zones:

Zone 1 is mainly located along the main canal and at the beginning of the primary canals where the water is abundant; the cost of maintenance and repair is low and the water is available throughout the year.

Zone 2 is mainly located at the middle of primary canals where the amount of water is good, however, the further away from the source it gets it becomes increasingly difficult; the cost of maintenance and repair is higher and water availability is reduced during drought periods.

Zone 3 is mainly located at the end of 6 primary canals. In some parts of zone 3 the terrain is very low so that it is very easily waterlogged in the rainy season. Some other parts, especially at the end of N3 and N6 are nearby the coastal areas where the main soil is sandy.

The division is approximate, however, it helps us to target an adequate, yet manageable sample size. It is also a basic foundation on which to find some alternative sources of livelihood for local people, especially in some areas where it is not feasible to apply the irrigation scheme. The distribution of communes in Zone 1 and Zone 2 is fairly similar and the water seems abundant. Therefore, we select two communes in Zone 1. One at the middle of main canal is Trieu Trung commune, one at the beginning of main canal nearby the main weir is Hai Le commune.

Two communes in two districts, which belong to Zone 2, will be selected. These are located at the middle of primary canal N2b and N1 called Trieu Trach and Hai Thuong. Six communes at the end of 6 primary canals will be

selected as a simple size. These are Trieu Do, Trieu Phuoc, Hai Hoa, Hai Lam, Hai Thanh and Hai Duong.
In each selected commune, one village will be randomly included in the sample size due to the homogeneous distribution of villages. However, in Hai Le commune (nearby the main weir), Trieu Phuoc and Hai Duong communes, which are located in the nearby coastal area will have two villages from each commune selected.

2.2.3. Thanh Hoa province:

In Thanh Hoa province, the core sub project is called Thach Thanh sub-project which involves providing irrigation water to agricultural land in the valley of the Buoi River. The project will construct 10 new pumping stations and associated irrigation systems and rehabilitate 3 pumping stations and irrigation schemes. Besides this, 9 small reservoirs on the tributaries of the Buoi River, that serve local patches of paddy land and sugar cane, will be rehabilitated and one new reservoir will be newly constructed.
All pumping stations and communes are located fairly similarly along Buoi River. The pumping stations are also independent of each other. Therefore, we will randomly select 3 communes where there are 3 rehabilitated pumping stations. These communes will be allocated at the beginning, middle and the end of Buoi River. In each commune, one village will be selected for survey. One commune, where a new pumping station will be built will also be included in sample size. For this commune, 3 villages, which are located triangularly with the pumping station, will be selected.

For the rehabilitated reservoirs, WVV will draw one rectangle that contains all reservoirs. Five communes are located nearby the four angles of this rectangle and one commune, near the intersection of the diagonals of this rectangle, will be selected. In each commune, one village will be randomly selected. For the building of the new reservoir, three villages, which are located triangularly with the reservoir, will be selected.

2.3. Proposed Methodologies

The methodology proposed by WVV involves 5 steps and is described below. It involves a series of meetings, a workshop and trainings undertaken with very carefully selected stakeholders at provincial, district and commune level, before testing of the participatory approaches begins. This is seen by WVV as very important to ensure understanding by important local stakeholders, as well as to ensure long term ownership of the participatory processes throughout all stages of the ADB project cycle.

2.3.1. Step 1: Stakeholder identification, analysis and responsibilities

Stakeholders are persons, groups or institutions with interests in a project or programme. Primary stakeholders are those ultimately affected, either positively (beneficiaries) or negatively (for example, those involuntarily resettled). Secondary stakeholders are the intermediaries in the aid delivery process. This definition of stakeholders includes both winners and losers, and those involved or excluded from decision-making processes. To identify

stakeholders for this project, WVV attempted to answer the following questions:

1. Who depends on the project?
2. Who are interested in the outcome of the project?
3. Who will influence the project?
4. Who will be affected by the project?
5. Who will work against the project?
6. Who can be included in the planning of the project?

In addition if stakeholder participation is effective, it is likely to result in the following:

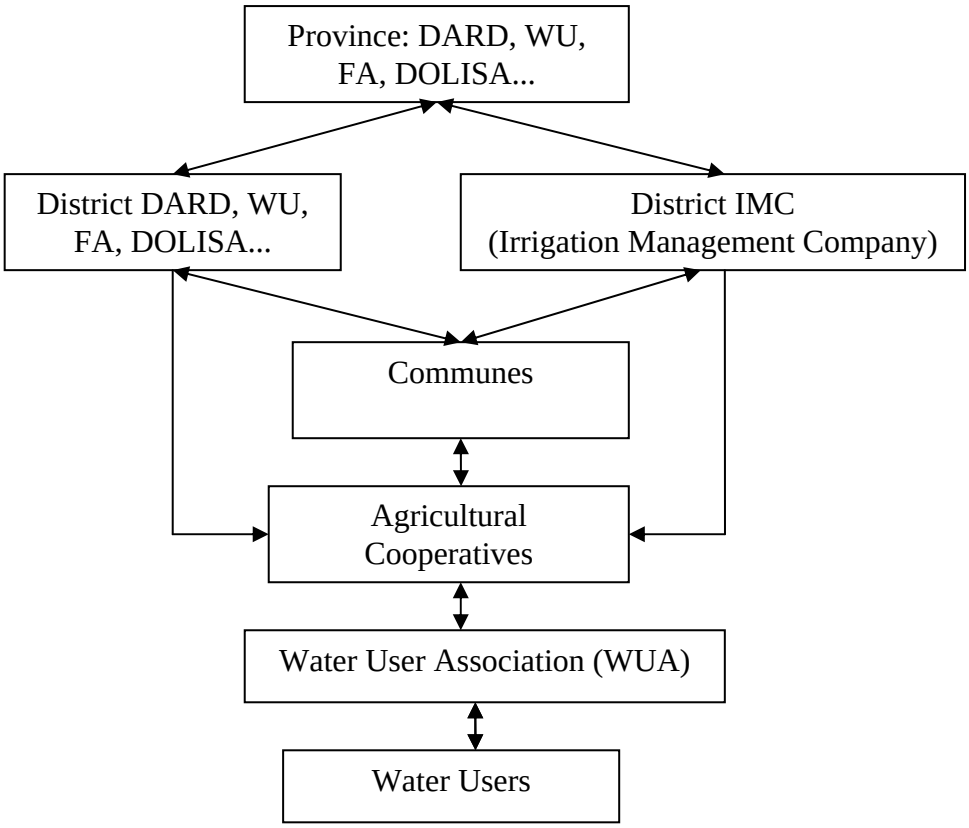
Improved effectiveness: There is a greater sense of ownership of and agreement on the processes to achieve an objective. Responsiveness is enhanced and effort and inputs are more likely to be targeted at perceived needs, so that outputs from the project are used appropriately.

Improved efficiency: In other words, project inputs and activities are more likely to result in output on time, be of good quality and within budget if local knowledge and skills are tapped into and mistakes are avoided.

Improved sustainability and sustainable impact: More people are committed to carrying on the activity after the support has stopped and active participation has helped develop skills and confidence.

Improved equity is likely to result if all stakeholders' needs, interests and abilities are taken into account.

Based on a rapid stakeholder analysis completed in each sub-project area, the diagram below identifies the key stakeholders in irrigation projects in general in Vietnam.



Undertaking a detailed stakeholder analysis is very important to this project, not only to involve stakeholders in the project but also to ensure we succeed to enhance the capacity of the right people. After completing the stakeholder analysis and with the aim of improving sustainability of the participatory process, WVV will provide PRA trainings, data analysis training, an awareness raising workshop and project management training for the representatives of mass organizations, communes and agricultural co-operatives identified through the stakeholder analysis.

In addition, the establishment of networks at the community level to build community ownership of each sub-project is another main aim of the proposed WVV process. At the village level, together with the community, the project will select representatives for these networks. This will again be influenced by the stakeholder analysis results. Three options currently exist including commune Department of Agriculture and Rural Development (DARD members), Women Union (WU) members or Hamlet Facilitator (HF). The choice of which will be based on the stakeholder analysis and the actual situation of each commune. These are several reasons for the possible selection of these people:

1. Commune Farmer Association (FA) member: They are mainly responsible for agricultural activities, especially the irrigation.

2. WU member: To enhance the gender equity, the active participation of women is considered essential.
3. HF: The representatives of communes who live at hamlet level. They are not government staff so that they have more time for working on the project. These people if selected and equipped with important skills such as meeting facilitation skills, communication skills and participatory skills, will be able to be involved with all project activities and provide a link to the local community.

Hamlet Facilitators

A Hamlet Facilitator network is the initiative of WVV. A Hamlet Facilitator (HF) is a hamlet person identified and trained to be the contact or conduit for development activities in their hamlet. Each HF receives community consultation and other relevant development skills. Usually each hamlet in a WVV project area has one or more HFs. HFs in an area form a network and have proven a sustainable hamlet level resource for community participation. HFs are often selected based on the following criteria:

1. Live in the community.
2. Aged between 18-35.
3. Not government staff (Not on Government payroll).
4. Willing to help other.
5. Respected by local people.
6. Have adequate communication, mobilization and meeting facilitation skills

At village and commune level: In addition, some local people identified through the stakeholder analysis will be facilitators for project activities. The establishment of a Water User Association (WUA), based on international and local best practice, will enhance the participation of local people and can be used for this purpose. WUAs already exist in some target villages, but many do not function well. The establishment or reinforcement of existing WUAs is a very necessary activity in the approach. The following steps will be used to establish / reinforce WUAs.

1. Commune leaders, PMB, Hamlet Facilitator, water users and mass organizations' representatives attend a training course on the establishment of a WUA.
2. After the meeting, participants from each commune return to meet with the commune people's council and other commune administrative staff to explain participatory irrigation management (PIM) and to appoint a WUA management board.
3. A mass meeting of the water users takes place, which declares the establishment of the WUA and approved its statute and operation rules.
4. The WUA meets regularly and overseas the approved statute and operations.
5. The WUA receives additional capacity building assistance in structure formation, project management, accounting and any other relevant skills.

At district and provincial level:
Representatives from DARD and IMC will be mainly responsible for this project. The process will include their active involvement in the training, surveys, data analysis and aggregation, as well as the management and monitoring system of the project. It will therefore be important they understand and support the participatory approach and are trained in their particular role within the process.

2.3.2. Step 2: Stakeholder consultation

After the inception report is approved and the stakeholder analysis is completed, a series of stakeholder consultation meetings will occur.

2.2.2.1. Meeting at provincial level:
The purpose of these two meetings will be to ensure key officials are fully informed of the project and support the project and the participatory process that is planned. The meeting will held at provincial level where the participants are mainly provincial officials of mass organization and key departments, as well as some relevant district representatives. In these meetings, WVV will discuss the details of the Plan of Action, including the role of stakeholders and obtain stakeholder feedback.

Participants:
- Provincial People's Committee
- IMC
- Provincial DARD
- Women Union
- Farmer Association
- District PPC
- District DARD.

2.2.2.2. Meeting at district level:
The purpose and the content of the district meetings will be in a similar to that of the provincial meetings. However in addition it will deal with more specific issues since the majority of the participants will come from the communes affected.

Participants:
- District PC
- District DARD
- Commune PC
- Commune Farmer Association
- Commune WU

2.3.3. Step 3: Data collection

2.2.3.1. ***Secondary data collection***
The stakeholder analysis will reveal target informants who may have access to relevant secondary data. These informants may include sample households, local leaders, representatives of Department of Agriculture and Rural Development; Women Union, DOLISA, Irrigation Management Company and

the Farmer Association. Obtaining such data will assist improve the overall quality of information obtained for each sub-project but also the development of the most suitable participatory model. WVV will a collect related secondary data from statistical reports, maps, development plans, official records, journal articles, published materials, statistical data of cooperatives and communes in the study area from target informants.

2.2.3.2. *Primary data collection:*

Primary data will be collected from a questionnaire, checklist, observation, interviews and various PRA techniques. Among these, a structured questionnaire and checklist will be tools used for data collection. The preparation of the questionnaire and checklist will be based on proven WVV procedures. Before doing the survey, a pre-test of the questionnaire will be carried out in a commune with 10 respondents to help remove possible questions that are inconsistent, unclear or irrelevant to the respondent, and ensure the questionnaire is user friendly. Based on these results, a further review and modification of the questionnaire will be made.

A checklist will be used for clearly listing the various items that need to be completed in the overall process at each sub-project. A pre-test of the checklist and questionnaire will be undertaken with two key informants, one at provincial and the other at district level, before it is finalized. The survey will be carried out by a carefully trained survey team. A 5-day training course will be provided for the survey team to ensure they understand the key ideas of the project to ensure errors are minimized. Data will be cross-checked on a daily basis by the whole group to progressively ensure quality data is being collected. Methods of data collection to be adopted in the survey will be as follows:

- Questionnaire survey will be used at household level with each household acting as a separate unit of analysis. The household survey will be collect basic information on the water use of the household, the household economic situation and potential benefits from the project, as well as possible environmental, economic and social impact of the project.

- Observations will be made during the survey, maintaining a analytical and scientific mind. This will assist the survey team familiarize themselves with the study area and the community. At this initial stage, the physical, economic, social and environmental conditions of the study area and overall living standard of people will be observed and recorded to triangulate the other data collected.

- Key informant interviews will be conducted to gain information from District and Provincial Departments about the commune socio-economic situation, irrigation situation and raking of possible improvements.

- Group discussions will be conducted in each selected village. These may be combined with training sessions conducted by the project or be undertaken at village meetings. Both men and women will be encouraged to participate in these meetings (in which a diagram of the irrigation system will be drawn and potential improvement explored). This method of data collection also supports the use of a SWOT analysis as required.

Methodology for primary data collection

The survey will aim to collect a combination of both quantitative and qualitative data. The reason for combining data is to ensure a breadth of quantitative and qualitative responses is obtained. WVV will use a selection

of participatory tools for this purpose.

There are several participatory tools that are currently used internationally by various organizations for generating information and mobilizing community participation that could be suitable in this project. For this project, however, the requirements are specifically related to irrigation facilities that are linked with existing facilities, as well as the proposed irrigation facilities that may be provided by the project. It is recommended that surveys make use of PRA methods whereever possible. If undertaken correctly, this method ensures that the voices of the people are heard in all aspects of the surveying. PRA is both an approach and range of techniques that enable stakeholders to analyze their problems and then plan, implement and evaluate agreed upon solutions. PRA requires expert facilitation, based on high-quility, culturally sensitive listening skills and upon the willlingness of others to let the community take over the leadership of the process. To implement it, it often requires the excellent teamwork of people with contrasting backgrounds and agendas. However expereince has shown it is possible and the benfits outweigh the potentail failings.

Seeking information from local community members is a step often cut short in irrigation planning. It is important that the information generated in irrigation consultaion must do the following:

- Identify the needs of the communities in the project area;
- Identify how much of the need is related to water shortage;
- Attempt to make sure that the poorest are not overlooked in the process;
- Identify community attitudes to the service provided by the project;
- Get local people's opinion of the positive and negative impacts of the project;
- Mobilize community participation for :
  i. Survey of new sites;
  ii. Appropriate design during new constructions;
  iii. Maintenance & minor repair;
  iv. Establish identify mechanism for ongoing feedback and corrective response when systems fail or breakdown;
- Analyze community vulnerabilities based on areas where they need urgent intervention.; and
- Suggest alternative solutions for local people livelihood;

In order to find out what would be the most appropriate methods to use on this project, the following chart was developed to detail the appropriateness of each of the internationally used PRA/PLA (Participatory Learning and Action) methods on this project. The details of the outcome are as seen in the chart below:

No.	Name of the method	Whether appropriate for this project	Remarks
1	**Time line** provides a	Yes- Partially	Adapted and tested to

No.	Name of the method	Whether appropriate for this project	Remarks
	historical perspective of the major events that have occurred in the village and their impact upon the lives of the community.		determine the events that have impacted the community (both positively and negatively)
2	**Trends analysis** is a profile of the changes that a community is able to recognize in its midst.	Yes- Partially	Adapted and tested & recommended to get a better understanding of what the community has adapted to while coping with external changes.
3	**Seasonality Diagramming** shows seasonal concerns of farmers including crop cycles and seasonal weather issues.	Yes- Partially	Adapted and tested but not required again. Mostly used for sensitizing the 'officials' about the struggles that farmers face.
4	**TST & Pie diagrams** are modified of PLA tool.	Yes – can be extensively used	Adapted, tested and recommended
5	**Participatory Resource Mapping** provides a profile of resources in the village.	Yes	Adapted for this project to find out the alternative solution for farmers' livelihood.
6	**Transect Walk** is analytical profile of the resource of the village.	No	Since for the irrigation schemes in this project we will base our approach on a more pragmatic perspective.
7	**Matrix Ranking** can be used to explore the reason why a community has a preference for a certain item.	Yes	Adapted to compare crops, animals and micro-enterprise.
8	**Gender analysis** finds out how decisions are taken in a community and how they impact upon man and women.	Yes	Adapted and tested and will be used.
9	**Rapid Household Food Security Status** is done to determine the extent of struggle a household needs to	Yes	Adapted and Tested. Essential to ensure that the poor don't get overlooked in the area.

No.	Name of the method	Whether appropriate for this project	Remarks
	exert to meet its food security needs.		
10	**Causal/Impact Diagram** is a diagram that shows the inter-links between events and traces the cumulative result of these.	Yes	Adapted to discover all the causes and effects of a problem.
11	**Problem Analysis** provides an understanding of the problems faced by the community.	Yes	Tested & recommended to identify the major problems in the village.
12	**Livelihood Analysis** is done to find out what the main sources of income for the village are.	Yes	Tested & recommended
13	**Worldview Analysis** is essential for understanding the community's survival strategy and analyzing vulnerabilities	Yes	Tested & Recommended for use
14	**Expenditure Analysis** is an exercise that enables us to understand the type of expenditure pattern that exists in a village.	No	Not necessary.
15	**Disease Incidence** is conducted to find out the types of diseases that occur in a community.	No. Unless something emerges at individual village level.	Not necessary. This can be identified from the problem analysis exercise itself and traced back to being 'water borne' –if at all

Community consultation process:

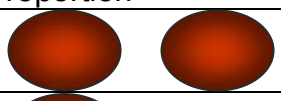
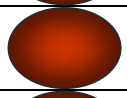
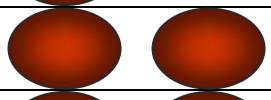
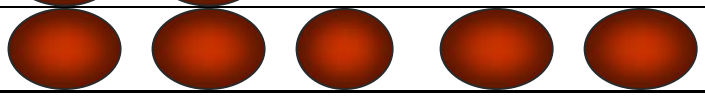
In each selected village, we will further select four focus groups which will comprise men, women, children and one general non-beneficiaries group. One group includes around 7-9 people. The methodology to be applied for these focus groups will be an approach called ***"The ten seed technique"*** which is one of the techniques proposed to collect the various PRA information mentioned above.

The Ten Seeds Technique (TST)

TST is a PLA technique that can be used to carry out **several of the PLA-Participatory Learning and Action exercises**. It is useful in gathering qualitative information on various issues, especially related to the perceptions of the community and the way people see themselves in relation to others. The technique is very flexible and therefore versatile - enabling its use in combination with other techniques and also for collecting a wide range of information. The TST enables questioning to probe deeply into different dimensions of an issue, and for carrying out what is often referred to as the "opening up" of information. This essentially involves going deeper into an issue after starting at a very basic level. For example, we find out about the problems of a community generally and then go deeper into the issues to find out how much of this is related to water and how this is being overcome through the irrigation project. We can also probe further into this using TST to see if water access is linked with their wealth status (HHFSS-Household Food Security Status tool). This 'opening up' process can keep continuing as we find linkages to other issues. Most of the traditional PLA exercises can be done using the TST.

Advantage of the technique: The technique is very simple to understand and learn and equally easy to practice. This is important as it is hoped that local level people will be able to be trained to use the technique, so that the participatory process used can be done completely with local area stakeholders. During our first visit, we tested this technique in two provinces at provincial, district, village level and this seemed quite possible.

Below is one example of one group in Trieu Trung commune, Trieu Phong district, Quang Tri province. The local people discussed the water source for cultivation in their community.

Water source	Proportion
River	
Pond	
Rain water	
Irrigation canals	

The Ten seed technique is proposed to be only one tool used. In addition other tools such as more traditional household surveys will be also be used as a form of triangulation and cross checking of data. The number of households to be surveys will be based on the following formula:

A sample size is determined based on the proportion of population based on the formula (Yamane, 1967):

$$n = N/ 1 + N e^2$$

Where,
n = Sample size
N = Total number of population/size
e = Level of prescription

Household surveys also important to use in combination with PRA as they provide an important resource for poverty assessments and diagnostics and are essential for detailed analysis of welfare distribution and poverty characteristics.

2.3.4. Step 4: Data analysis

The question of who analyzes the data is a major issue of concern in any participatory process. To improve sustainability and impact of the process, it is important for the community to be involved in as many aspects of the process as possible, especially one the data is analyses, consolidated and aggregated. This is important because it is in these stages that the community's opinions, voice and ultimately control can be lost. International best practice shows that it is important the community is involved in this process and also that local government fully understand the importance of this, supports it and has the capacity to ensure this occurs. WVV plans to discuss with provincial DARD to identify two staff members in each province who have some basic computer and statistics skills and who can be trained in undertaking this important task. WVV will then cooperate with the local university to provide training for them.

Data Analysis and Techniques
Data colleted by a standardized questionnaire will be checked and verified before the coding process. Data entry and processing will be done through the application of the Statistical Package for Social Sciences (SPSS) and Microsoft Excel for data presentation.

Quantitative Analysis

Descriptive statistic tools: These will be used to analyze the results. The measures will be used to analyze the respondents' social and economic information, such as distribution of households according to ethnicity, occupation, income and landholding size. Tools used may include the use of frequency, percentage, means, cross-tabulation, median, standard deviation, as well as statistical graphs and charts.

Analytical statistics:
A WAI (Weight Average Index) provides a numerical value to farmers' views and satisfaction levels. It is a good tool to evaluate the farmers opinion numerically on the positive and negative impact of the irrigation systems. WAI may be used as a tool of statistical analysis.

Qualitative Analysis

Descriptive statements will be used to substantiate quantitative data particularly from the data obtained from interviews with key informants, group discussions and field observation. SWOT analysis may be employed where appropriate to identify strengths, weaknesses, opportunities of and threats to the irrigation scheme.

2.3.5. Step 5: Participatory data verification workshop

In each province, after finishing the PRA training and survey, a participatory data verification workshop #1 will be conducted. This workshop will be attended by leaders of all the communes surveyed, the district steering committee (DSC), personnel of the provincial department of planning and investment (DPI), department of agriculture and rural development (DARD), NGOs and donor (if possible). The content of this workshop will focus on the verification of the survey data to reach agreement on the data used for project selection. This will also be a great opportunity to share lessons learnt from the initial field -work so that any adjustments can be made. The workshop will serve as an open forum for democratic discussion between higher and lower levels, which is different from the common top-down bias of communication in the administrative system.

In cooperation with CARE, the Royal Haskoning team and Tim Mc.Grath, we will also organize a workshop #2 on PRA findings / document findings and implications for design (6 sites). This will be a good chance for provinces to share their lessons learnt and to improve the mechanism.

At the end of the project, we will organize two write shops (write shop #1 and #2) for final synthesis, recommendations and confirmation of methods and processes. The workshop will cooperate with CARE, Royal Haskoning team, Tim Mc.Grath and the Institute of Development Management in Asia Limited (IDMA).

3.0 JUSTIFICATION AND RECOMMENDATION:

As agreed, once the PDA is signed, World Vision and CARE is to each submit for a $10,000 variation to make the total contract value $50,000 for each organization rather than $40,000. Below is the work plan and financial plan for this proposed budget amount (See attached annex). Since the project focuses on developing a new participatory model that may be replicated, it benefits greatly from international and national specialist input to provide as much national and international best practice techniques and skills, to ensure the best model possible is developed. To achieve this, we request the ADB increase the budget from $40,000 to $50,000 as agreed.

Annex 1: **WORKPLAN**

World Vision Vietnam (WVV) and Institute of Development Management in Asia Limited (IDMA)

	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb
Activity 1 – Concept Development (2 sub-project sites)										
Sign contract (by 17 May)		X								
Literature review	X	X								
Outline concept	X	X								
Step 1: Stakeholder identification, analysis and responsibilities										
Site visit, consultation with stakeholders		X								
Final concept detailed including sample size	X	X								
Operational plan and approval from ADB			X							
Milestone #1 – Concept Complete – June 2004										
Activity 2 - PRA and Fieldwork (2 sub-project sites)										
Step 2: Stakeholder consultation										
Meeting at provincial level and district level to ensure key officials are fully informed of the project and support the project and the participatory process that is planned.			X							
Step 3: Data collection										
Prepare guidelines for PRA process including consultation with R.H. and Tim Mc.G.			X							

	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb
- Training for stakeholders: - Identification - Prepare training - Deliver training				X		X				
Setup / planning mechanism				X		X				
Fieldwork				X	X	X	X			
Step 4: Data analysis										
Initial reporting on each site.					X		X			
Internal review of results of each site						X	X			
In cooperation with the Ha Noi University of Agriculture, conduct training on data analysis for stakeholders.				X						
Activity 3 - Review / Reflection on Field Work (2 project sites and then 6 site)										
Step 5: Participatory data verification workshop										
Workshop #1 with stakeholders (2 sites). Review process / tools / mechanism.								X	X	
Make adjustment to mechanism > next site							X			
Write up lessons / document process and outcomes							X			
Share lessons from 2 sites with R.H and Tim Mc.G.							X			
Select synthesis coordinator								X		

	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb
Workshop #2 on PRA findings / document findings and implications for design (6 sites)								X		
Write shop #1 to synthesize findings (6 sites)									X	
Milestone #2 – Detailed recommendations for sub-projects – September/ October 2004										
Activity 4 - Produce Report / Manual on Lessons Learnt / Model (6 sub-project sites)										
Write shop #2 final synthesis / recommendations / approval / confirmation of method and processes.										X
Final Report / Manual produced on methodology using all 6 sites.										X

Annex 2**: FINANCIAL PLAN**

	Unit	**Number of Units**	**Unit Cost**	**Total Cost $**
PERSONNEL				
International Participation Specialist (x 1)	Days	20	350	7,000
National Participation Specialist (x 1)	Days	30	150	4,500
Participation Trainers (x 2)	Days	30	50	1,500
Lead Researcher (x 1)	Days	130	50	6,500
Training Coordinator (x 1)	Days	15	30	450
Local Research Teams (2 x 5-7 person team)	No.	2	4,000	8,000
TOTAL				**27,950**
TRAVEL				
Airfares				
International	No.	2	500	1,000
Domestic Airfares	No.	11	130	1,430
Local Transport				
Ground Transport	No.	40	50	2,000
Per Diems				
International Participation Specialist	Days	10	75	750
National Participation Specialist (in field)	Days	10	10	100
Trainers x 2	Days	30	10	300
Lead Researcher	Days	80	10	800
Accommodation				
International Participation Specialist	Days	10	50	500
National Participation Specialist	Days	10	20	200
Trainers x 2	Days	30	20	600
Lead Researcher	Days	80	20	1,600
TOTAL				**9,280**
TRAINING				
5 day Participation Training Sessions	No.	2	1,000	2,000
Workshop 1 with project stakeholders	No.	2	1,000	2,000
Workshop 2 on findings of all 6 sites	No.	1	500	500
Write shop 1 on initial lessons	No.	1	300	300
Write shop 2 for manual development	No.	1	300	300
TOTAL				**5,100**
OVERHEADS				
Communication	Months	12	100	1,200
Office Costs	Months	12	80	960
Report Preparation	No.	1	510	510
TOTAL				**2,670**
CONTINGENCY				
10% of total				**5,000**
TOTAL				**50,000**