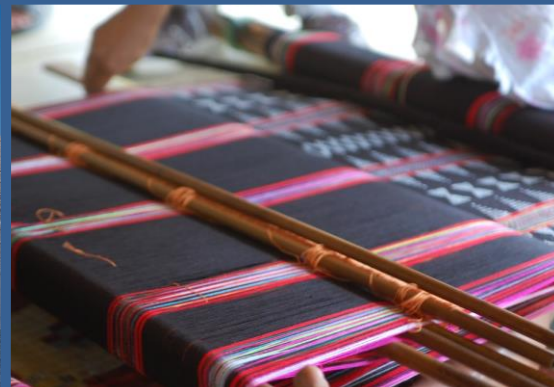




Policy Paper

# How to Ensure Sustainability in JICA's Technical Cooperation Projects at Grass-roots Level



Japan International Cooperation Agency (JICA)  
Vietnam Office

March 2016



## Preface

Since the commencement of the JICA Partnership Program (JPP) in 2002, JICA Vietnam office has implemented 81 projects including projects under preparation as of March 2016 in various sectors in the Socialist Republic of Vietnam. Among those implemented projects, many introduced Project Tools (models, technologies, methods, etc. introduced in the project) that have been continuing and expanding even several years after completion. Therefore, 39 projects completed by July 2015 were selected as samples to be studied by interviews with the counterpart organizations/beneficiaries and carrying out field investigation in Vietnam. During the study, the effectiveness of activities and technologies transferred during the project were observed. The outcomes of the projects have been voluntarily used by the residents to expand on their own into other areas. Those projects were selected as “good projects for sustainability and expandability”. Then the contributing factors to secure sustainability and expandability of the project outcomes were extracted through the careful analysis of the activities from the preparation stage to the end of the project. Those factors are provided in the main chapters of the Policy Paper as useful tips to be referred to by other projects for effectiveness in implementation.

JICA supports civil participation under the philosophy of “Making International Cooperation Part of Japanese Culture”. JPP is implemented in order to provide opportunities to foster understanding and participation of Japanese citizens in international cooperation. I think that JPP provides chance to start international cooperation for Japanese organizations and the experience in international cooperation can even be utilized in local development in Japan. In the study, it was re-confirmed that the success of the project comes from the joint project implementation by counterpart organization in Vietnam and Japanese implementing organization on the basis of the common understanding of the purpose and meaning of the activity to improve living conditions and enhance livelihood of residents. In addition, it was found that the preparation/application of the guideline modified to meet with local conditions enhanced its effectiveness. As described in the main chapters, collaboration between the knowledge of both Vietnamese and Japanese during the project and creation of new mechanisms as a result of the activity should yield satisfaction of stakeholders and fruitful outcomes taking root in local areas with opportunities for further sustainability and expandability.

Although a JPP project is a small project, I think it should continue to form an invisible bridge between Vietnamese and Japanese peoples by means of dealing with local people’s needs directly at grass-roots level. I appreciate all persons who contributed to the study and hope that this Policy Paper will provide useful tips for projects to be implemented in the future, and lead to effective outcome and sustainable development.

MORI Mutsuya  
Chief Representative of Vietnam Office  
Japan International Cooperation Agency



March 2016

## Effectiveness of JPP in the Local Development in Vietnam and Use of the Policy Paper

This Policy Paper is an important and helpful policy recommendation document for the current development stage of Vietnam, especially for community development at the local level. Over many years, Vietnam has fulfilled remarkable achievements in community development, focusing on poverty reduction, enhancement of living standard, promotion of culture, health, and education for local people, especially low economic, remote and isolated areas. Such great achievements are resulted by significant efforts of Vietnamese government along with valuable assistance from international donors such as JICA including JPP which contribute one of the most significant aids. Nevertheless, the local development as a whole is still at low level, and not conforming to the requirement for the development of the country at the present.

JPP was started in Vietnam in 2002. For these 14 years, extremely meaningful lessons learned from practical implementation of more than 80 JPP project have been accumulated. This Policy Paper pointed out that sustainable development is the biggest challenge in local development programs. It is realistic. Many local development programs/projects were evaluated to be successful during its implementation stage, owing to external aids; however, there are not many programs/projects which will be maintained and continued efficiently after the programs/projects completion. This Policy Paper clearly recommends seven important factors to ensure the sustainability of local development activities.

Japan is a comprehensively developed country, owning a lot of high technologies and knowhow. To apply Japanese technologies in Vietnam, each JPP project stands on understanding and cooperation between both implementing organizations as the initial base for the implementation of the projects. Moreover, the importance of JPP is to originate from people's needs. Based on discussion and understanding on each side, activities shall be selected to fit with the requirement and practical situation of the local.

Local development is also said mobilization of local resources. Combination of local mobilized resources and transferred external knowledge and technologies would maximize the effectiveness of the project. The effectiveness of activities, in terms of economy, society and environment, shall be measured based on practical meanings to local people. Because when it directly benefits their livelihood and daily life, it would be definitely maintained and continued further by local people. Local mechanism for promoting the participation of local people and stake holders shall be the motivation for sustainable development. During the implementation of activities, from the stage of getting understanding the sides to the stage of determination, the transparency of specific activities, the benefits, operating mechanism and financial management is a collection of elements to contribute to sustainability of activities of projects under framework of JPP.

The Policy Paper also pointed out practical suggestions to ensure that projects shall be formulated and developed toward sustainability. These are practical lessons and experience obtained through activities of JPP projects in many years in various local places in Vietnam. It can be said that experiences, tips, and example stories presented in the Policy Paper is practical and helpful for the local development in Vietnam. Vietnamese authorities and international organizations conducting local development activities should study and adopt recommendations presented in this Policy Paper.

In addition to this document, JICA has been working on the other related documents for participatory community development approach in Vietnam, "Community Development - Guidance for Community Development Worker" (to be published in March, 2016). This document will be sent to authorities and organizations related to local development from central to local levels, Governmental organizations, NGOs, related research and training institutions for reference. This document shall be meaningful not only for projects under JPP but also for those by related local development organizations.

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# Chapter 1 - Outline of JICA Partnership Program

## (1) What is JICA Partnership Program?

JICA Partnership Program (hereinafter referred to as “JPP”) is a grass-roots technical cooperation program implemented by JICA as a part of ODA (Official Development Assistance). JPP contributes to the social and economic development of developing countries in collaboration with Japanese organizations as partners which have willingness to conduct international cooperation such as Japanese NGOs, Japanese local governments, Japanese universities and public corporations.

JPP is implemented based on a proposal submitted by a Japanese organization. The proposal is evaluated by JICA in line with ODA scheme of Japan. After the acceptance of the proposal, JICA supports the project implementation jointly with the Japanese organization. The projects contain small-scale activities to directly improve the living conditions and livelihood of local peoples at the grass-roots level. The target countries are those that have approved the acceptance of JPP and where JICA overseas offices are in place in 89 countries as of October 2015. <sup>1</sup>

Since 2002, JICA Vietnam has implemented or prepared 81 projects as of March 2016 for many purposes including improvement of water supply and drainage system, strengthening of disaster prevention capability, rural development, supporting health care, establishing environmental management system and training for industrial technology. <sup>2</sup>

## (2) Important Points of JPP

The important points of JPP are as follows: <sup>3</sup>

1. Project under this program is regarded as “technical cooperation”
2. Project under this program is for the basic matters of life that is directly useful for the betterment of life and improvement of livelihood of people in developing countries
3. Project under this program is to be an opportunity for Japanese citizens to promote understanding and participation in international cooperation

All the projects must meet the above points and contain small-scale activities at grass-roots level to be adopted as a project under the framework of JPP (hereinafter referred to as “JPP project”). JICA also implements Technical Cooperation Projects (TCP)<sup>4</sup>. The characteristics of JPP in contrast with TCP are contained in the point No. 2 and No. 3 mentioned above, from proposals from Japanese organizations to implementation by the Japanese organizations contracted with JICA, etc.

<sup>1</sup> [http://www.jica.go.jp/english/our\\_work/types\\_of\\_assistance/citizen/partner.html](http://www.jica.go.jp/english/our_work/types_of_assistance/citizen/partner.html)

<sup>2</sup> <http://www.jica.go.jp/vietnam/english/activities/activity19.html>

<sup>3</sup> [http://www.jica.go.jp/english/our\\_work/types\\_of\\_assistance/citizen/partner.html](http://www.jica.go.jp/english/our_work/types_of_assistance/citizen/partner.html)

<sup>4</sup> TCP, which optimally combine the "Dispatch of Experts," "Acceptance of Training Participants" and/or "Provision of Equipment" are the core operations of JICA's Technical Cooperation. Even more reliable project outcomes can be obtained through systematic and comprehensive project operation and implementation from planning to implementation and evaluation.

### (3) Type of application

JPP is composed of the three schemes below depending on the experience and capacity of the Japanese organization:

1. Partner Type in which organizations such as NGO with a certain level of experience of international cooperation in developing countries utilize their experience and skills by taking advantage of the partner's extensive experiences in development.
2. Support Type in which projects are carried out by organizations such as NGO with less experience as the 1<sup>st</sup> step toward international cooperation.
3. Local Government Type in which Japanese local government entities play a central role and utilize their knowhow accumulated in their localities by using regional technology and experience.

Source: The website of JICA Vietnam office (<http://www.jica.go.jp/vietnam/english/activities/activity19.html>)

### (4) Comparison of sectors among JICA Schemes

Comparison of sectors among JICA Schemes is shown in Appendix 1.

#### **Box: JICA supports JPP activities**

##### **(1) Consultation for Japanese organizations**

JICA provides consultation services for Japanese organizations which are preparing a project proposal for the JPP. JICA has a lot of experience in project planning in long-term operation as a Japanese ODA implementing agency that coordinates international cooperation. Therefore JICA provides effective technical supports for Japanese organizations for smooth implementation and project evaluation to enhance project effectiveness and transparency. JICA also strengthens the capacity of Japanese organizations in project activities for technical cooperation.

##### **(2) NGO-JICA Japan desk**

NGO-JICA Japan desk is being operated in more than 20 countries to promote international cooperation activities by various non-profit entities such as NGOs/NPOs, universities/schools, local governments. They offer diverse services depending on the country. In Vietnam, NGO-JICA Japan desk is at JICA Vietnam office providing useful information such as required official procedures to implement activities in Vietnam, hosting study tours and workshops to activate JPP, and providing opportunity to create networks among implementing organizations. It enhances participation of those organizations into international cooperation in Vietnam.

##### **(3) NGO Networking Event hosted by JICA Vietnam office**

JICA Vietnam office hosts NGO networking events for both Japanese and Vietnamese organizations implementing JPP projects in Vietnam. The organizations can utilize this event as an opportunity to create network among implementing organizations and participate in study tour to other projects and workshops to share their experience, technology and knowledge to disseminate them in the whole country.



**NGO Networking Event to share knowledge and experience among participants**

## Chapter 2 - Required Factors to secure Sustainability of JPP

### (1) Ideal JPP project

As a result of the interviews with stakeholders of completed JPP projects and field investigation in Vietnam, it was revealed that an ideal project is the project in which Japanese implementing organization (hereinafter referred to as “Implementing Organization”) and counterpart organization in the target country (hereinafter referred to as “Counterpart Organization”) are satisfied with the outcome and process, and that the Project Tools (namely, models, technologies, methods, etc. introduced by Implementing Organization during the project) are continued and expanded in self-sustaining manner for regional development in post-project period. Therefore, it is important to plan and implement project activities to realize the ideal JPP project.

### (2) The seven required factors to secure sustainability of JPP project

The implementation of JPP project is considered to be a part of a long term regional development and capacity development of Counterpart Organizations. The project should be planned to sustain and expand the outcome of the project even after the project is over. It was found that the following seven factors are required to secure sustainability of the JPP project. These factors mutually affect each other and do not function in isolation. The project sustainability mainly depends on these factors and related activities being ensured during the project in every possible way. <sup>5</sup>

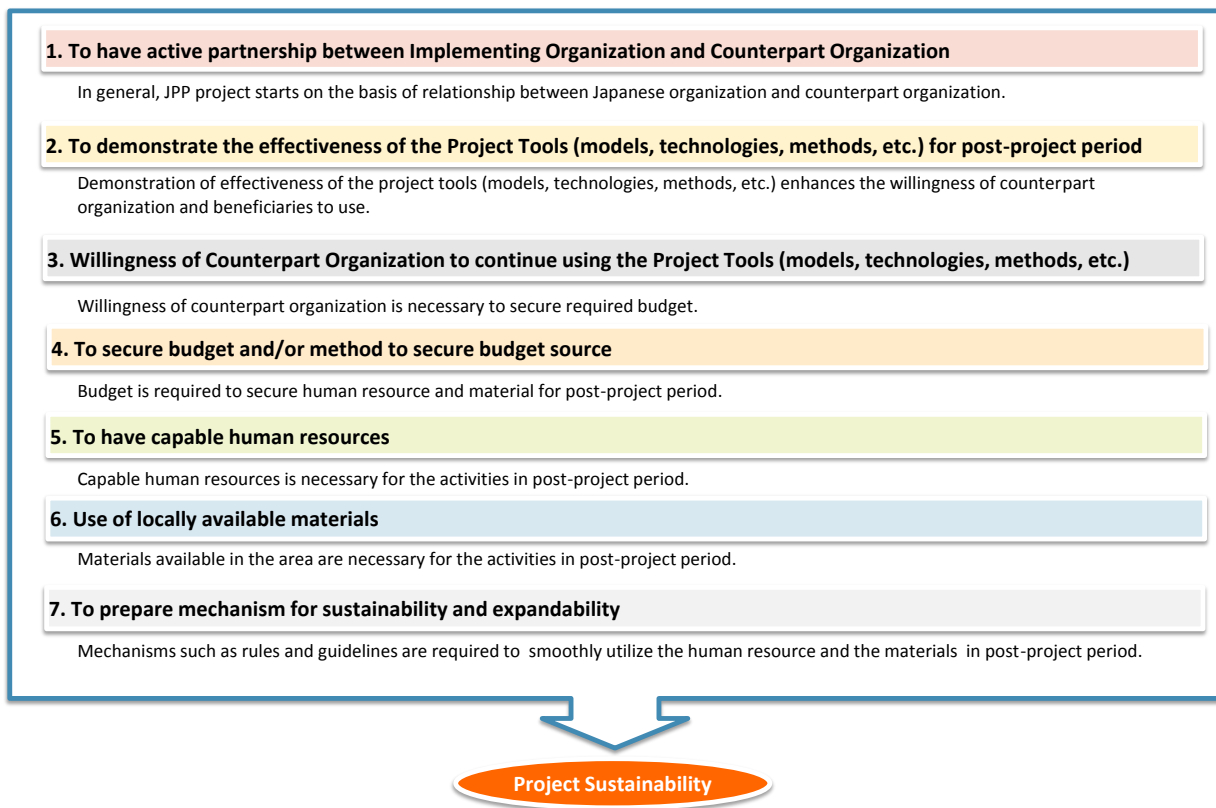


Figure 1 - The seven required factors to secure sustainability of JPP project

<sup>5</sup> The seven factors and its requirement depend on the purpose and the contents of the project.

## Chapter 3 - Tips to secure sustainability of JPP project

As a result of the interview survey with the stakeholders and field survey in Vietnam, the following 11 tips were organized to support the seven required factors to contribute to other technical cooperation. Each of these tips is discussed in detail in the sections which follow. A useful checklist is located in Appendix 2: Checklist to secure the seven required factors in project plan for the sustainability.

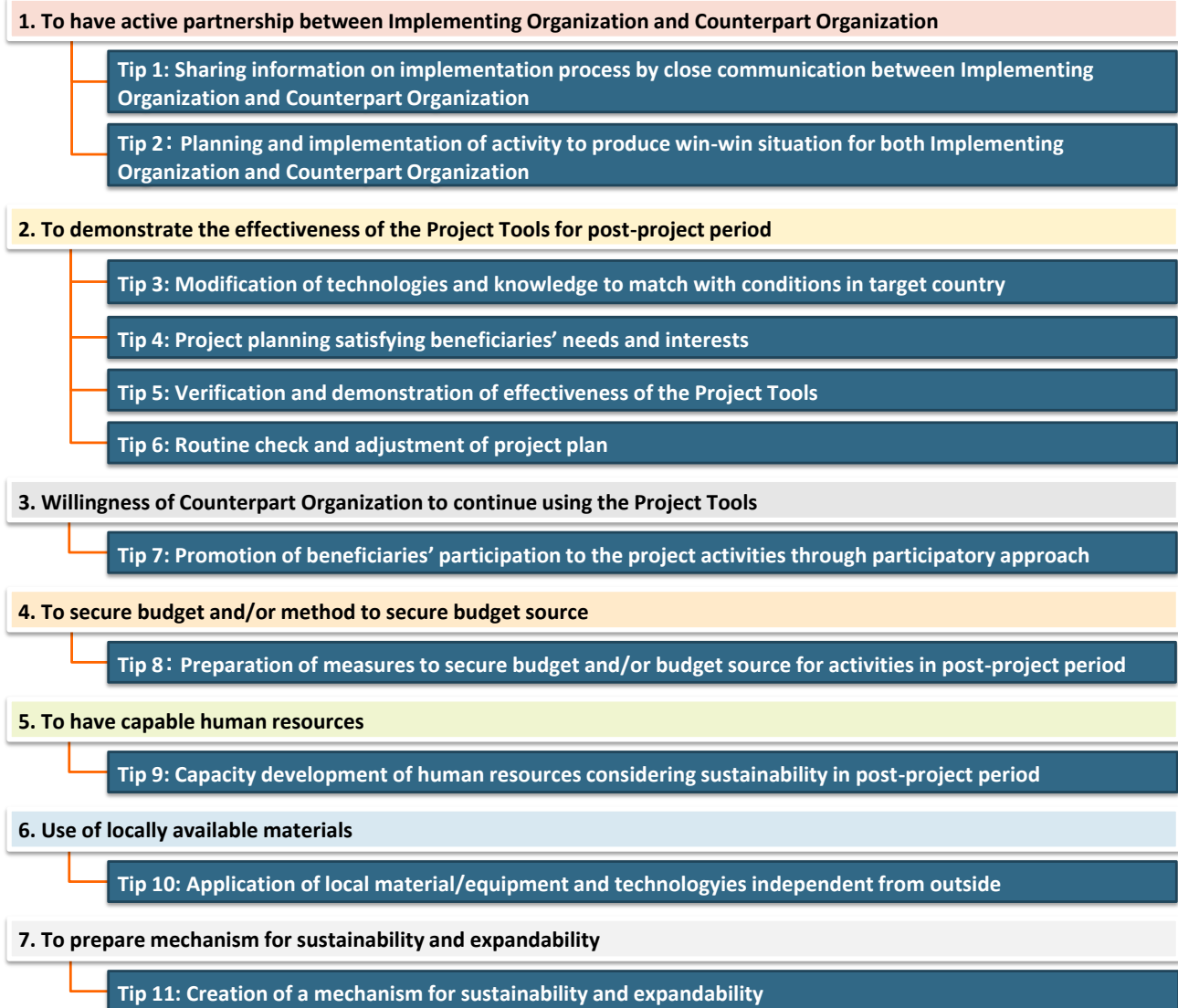


Figure 2 - The 11 tips to support the seven required factors for sustainability of JPP project



## Required Factor for Sustainability #1 - To have active partnership between Implementing Organization and Counterpart Organization

### Tip 1: Sharing information on implementation process by close communication between Implementing Organization and Counterpart Organization

#### (1) Information sharing by means of continuous communication

In the implementation of the project, continuous communication to fully share progress, issues and achievement between Implementing Organization and Counterpart Organization is indispensable for a good-working partnership. The means of the communication include periodic meetings, mid-term/end-point monitoring and frequent correspondence by e-mail and/or video phone from the planning stage of the project.

It cannot be assumed that Counterpart Organization can communicate in English in all cases. In case of the several JPP projects in Vietnam, misunderstandings regarding the objective and issues were observed due to poor communication between Implementing Organization and Counterpart Organization.

Therefore, to avoid those misunderstanding, it is important to consider the effective combination of frequent information sharing at working-level and the decision-making at responsible person level as required depending on topic and issue.

#### (2) Sharing information at planning, monitoring and end-point evaluation

Sharing information with Counterpart Organization regarding objectives, plans, progress, achievement and lesson learnt from the project at periodic monitoring and post evaluation are important to secure good working relationship during the project. Sufficient recognition by Counterpart Organization of project outcome and its necessity to be continued and expanded by the Counterpart Organization should effectively enhance the sustainability of the project in post-project period.

In JPP, project monitoring is conducted on the regular basis in line with the Guideline for Monitoring and Evaluation of JICA JPP Project (written in Japanese only) which mentions the four evaluation criteria to be used at quarterly monitoring: 1) relevance, 2) result and process, 3) effectiveness and 4) sustainability. Periodic monitoring should be conducted by not only Implementing Organization but also Counterpart Organization to review their activities to enhance the project effectiveness. The PDM (Project Design Matrix), project plan, monitoring sheets and project report are better to be prepared in not only Japanese language but also in an understandable language by Counterpart Organization to jointly confirm the result of the evaluation. In the monitoring, lessons learnt and key points for proceeding in post-project period need to be shared with the Counterpart Organization. In the evaluation process, stakeholders in target country should be involved and the evaluation results should be shared among them to give a good opportunity to recognize the importance of proceeding the project outcome by the Counterpart Organization with willingness to continue and/or expand them. An example of the project in which Tip 1 was applied is given as Project Example 1 in Chapter-4 (p. 19).

### (3) Effective use of interpreter

In a JPP project, capable staff who can communicate in common language with Japanese expert should be used. Otherwise, an interpreter is employed as an assistant for better communication in target country. In the project plan, it is necessary to consider use of the capable staff or interpreter carefully for sufficient communication between Implementing Organization and Counterpart Organization throughout the project period including the period of absence of Japanese expert. Depending on the project, employing a suitable interpreter who specializes in technical terms and knowledge in interpretation is needed.

### Tip 2: Planning and implementation of activity to produce win-win situation for both Implementing Organization and Counterpart Organization

It is desirable in JPP that the Implementing Organization and Counterpart Organization are in win-win situation in the project plan with regard to their objective and meaning of participation to the project. For example, there may be securing good working relationship to promote private companies to expand business overseas, promoting academic research by universities through the project implementation and utilizing the result to enhance project effectiveness, or capacity development of NGOs by means of the experience of the project implementation overseas and demonstration of their project method. Continuous relationship between both organizations should also enhance sustainability of the project. An example of the project in which Tip 3 was applied is given as Project Example 2 in Chapter-4 (p.20).

### Required Factor for Sustainability #2 – To demonstrate the effectiveness of the Project Tools for post-project period

### Tip 3: Modification of technologies and knowledge to match with conditions in target country

Matching of technologies/knowledge with cultural, social and natural conditions in the target country is important in case of the project in which Japanese technologies and knowledge are introduced to the target country. If the technologies and

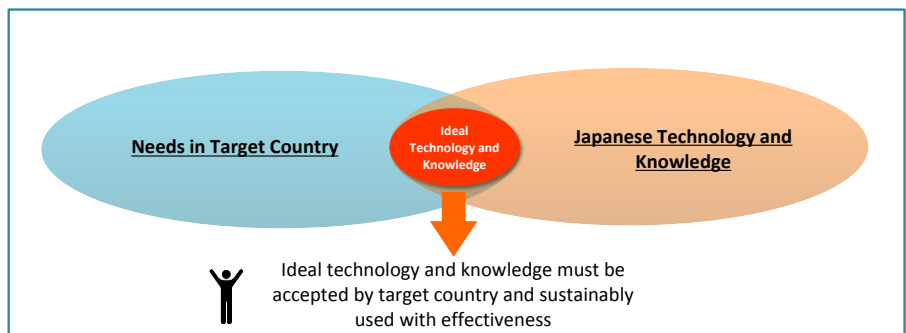


Figure 3 - Modification of technologies and knowledge to match with the conditions in target country

knowledge are suitable to the conditions, it is expected that the project output is ensured and applied to the target country, and the technologies and knowledge can be utilized in the post-project period.

On the other hand, in case the technologies and knowledge are not suitable to the conditions in target country, demonstration will not be effective to the target country and not take root in the area. To avoid this situation, modification of the technologies and knowledge is required prior to application at the planning stage and beginning of the project based on the verification of actual situation in the target area. This process should be

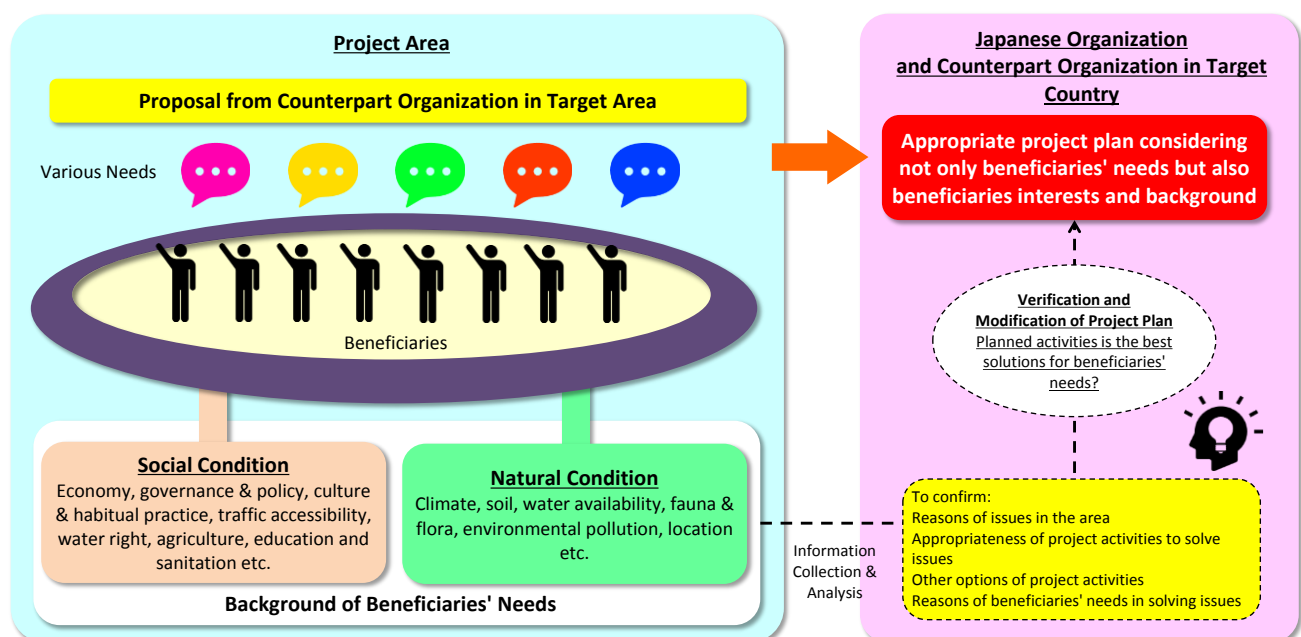
done by not only Implementing Organization but also in cooperation with Counterpart Organization to enhance the effectiveness of the project. An example of the project in which Tip 3 was applied is given as Project Example 3 in Chapter-4 (p.21)

**Tip 4: Project planning satisfying beneficiaries' needs and interests**

Among the completed JPP projects in Vietnam, some projects revealed unsuitable activities after starting the project due to insufficient pre-survey. Therefore, it is important to re-verify the suitability of the original project plan at the beginning of the project. At the beginning of the project, a field survey should be implemented to grasp the local needs and interests of residents precisely and searching and identifying local resources and potential which can be utilized to the project to enhance the project effectiveness.

Not applying knowledge and technology one-sidedly but verification of the effectiveness of the project and adjustment of plan based on grasping culture, social and natural condition in the area at the beginning of the project is important to secure effectiveness. Furthermore, grasping the background of the needs and interest of beneficiaries prior to the project implementation enhances the appropriateness of the project activities and active participation of the beneficiaries.

It is recommended that Implementing Organization and Counterpart Organization carry out initial field survey and/or interview with beneficiaries to grasp their needs and reasons they occur, and validate adequateness of the project activity in terms of culture, social, and natural conditions in the target area. Among the completed project in Vietnam, some projects did validate beneficiaries' needs in the area at the beginning of the project and adjusted their original plan to ensure the effectiveness and efficiency of the project. An example of the project in which Tip 4 was applied is given as Project Example 4 in Chapter-4 (p.22).



**Figure 4 - Project planning and adjustment satisfying beneficiaries' needs and interests**

## Tip 5: Verification and demonstration of effectiveness of Project Tools

Verification and demonstration of effectiveness of Project Tools (models, technologies, methods, etc. introduced in the project) during the project implementing period can enhance the sustainability of the project.

### (1) Introduction and/or creation of Project Tools with cost-effectiveness for beneficiaries

In a JPP project, the Project Tools must have cost-effectiveness for beneficiaries in comparison between inputs (cost) and output (cash income). For this reason, it is necessary to consider balance between input and output and cost/benefit estimation of the Project Tools considering social benefit from the planning and beginning of the project. For example, if increased productivity and quality are not worth more than the increased cost, nobody will be willing to introduce and continue them in and after the project.

### (2) Important points to ensure demonstration of the effectiveness of the Project Tools in the project

In a JPP project, the Project Tools require continuity and expandability to ensure bringing social benefit in target country rather than large-size and complicated one with large impact. Project planning including estimation of the project benefit (if possible, with concrete quantitative target) ensures the effectiveness of demonstration of the Project Tools. In case that any negative prospect is revealed after the project starts, original plan should be promptly modified to keep or mitigate the project effectiveness. It is not until effectiveness of the introduced Project Tools in development of the society is demonstrated that the Counterpart Organization recognizes the effectiveness of them and has willingness to continue.

Important points to ensure demonstration of the effectiveness of the Project Tools in JPP are listed in the following table. In the planning of the project, those points need to be considered depending on the purpose and content of the project. Especially, setting concrete targets in the project plan in terms of positive impact on social development in the area from the beneficiaries' point of view is important to ensure the effectiveness of the project.

**Table 1 - Important points to ensure demonstration of the effectiveness of the Project Tools**

Category	Items
Consistency with local needs and appropriateness of the selection of beneficiaries of the project	<ul style="list-style-type: none"> <li>· Appropriateness of the selection of target area</li> <li>· Appropriateness of the selection of beneficiaries</li> <li>· Well-understanding of the needs by local residents</li> <li>· Project proposal considering the needs of local residents</li> </ul>
Validity of the project plan and its approach	<ul style="list-style-type: none"> <li>· Appropriateness of the plan and approach to solve local issues and constraints to attain the project objective</li> <li>· Consideration of measures to mitigate negative impact on such as social and gender matters of other local residents and/or other areas</li> </ul>
Appropriateness and effectiveness of input	<ul style="list-style-type: none"> <li>· Appropriateness of content, quantity and timing of input in the project</li> <li>· Consideration of cost-effectiveness of input in the project</li> <li>· Setting indicator and standard to evaluate the cost-effectiveness</li> <li>· Appropriateness of timeliness, period and number of dispatching expert to the area</li> <li>· Appropriateness of cost of input in the project to local prices (Confirming that the cost of input is not estimated at Japanese standard prices)</li> </ul>
Organizational structure and capacity of Counterpart Organization in target country	<ul style="list-style-type: none"> <li>· Suitability of the selection of Counterpart Organization in target country</li> <li>· Capability of Counterpart Organization in target country to implement the project</li> <li>· Clear understanding of positioning and role of Counterpart Organization in target country</li> <li>· Securing and deployment of required human resources of Counterpart Organization</li> </ul>

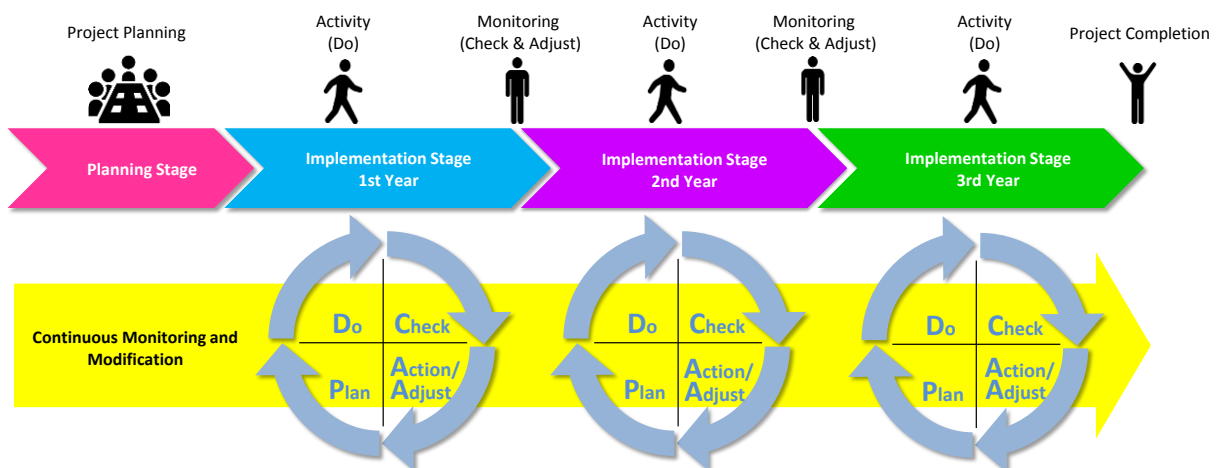
**Tip 6: Routine check and adjustment of project plan**

**(1) Finding issue by periodic monitoring and prompt minor adjustment of project plan**

In a JPP project, identifying issues by periodic monitoring and prompt minor adjustment (modification) of project plan are indispensable. In general, all the JPP projects are implemented in developing countries with Counterpart Organizations (such as local governments) which have insufficient capacity to implement the activity of the project but are aiming to meet the various needs of various local residents at grass-roots level. Therefore, timely and prompt minor adjustment of the project plan may be necessary during the project. It is recommended that the project conduct periodic monitoring to evaluate progress and identify issues and constraints for timely and prompt adjustment of the project plan sharing the issues and constraints among Implementing Organization, Counterpart Organization and JICA. This prevents issues and constraints from becoming the cause of inefficient project outcome.

It is recommended for enhancement of effectiveness to hold periodic meetings at working-level between Implementing Organization and Counterpart Organization before quarterly monitoring by Implementing Organization and JICA which is mentioned in the JICA's Guideline. In the meeting, the progress and issues of the project activity should be discussed and shared. Then JICA can evaluate and provide useful suggestion from the third party's point of view. This ensures effectiveness of the project. In this way, flexible adjustment of the project plan based on the current situation and meeting the needs of local residents at grass-roots level are major characteristics of JPP. Project plan can be adjusted based on consultation with JICA supervising staff. If required, the contract can be amended to modify the activity. Although the overall and project goal mentioned in the PDM cannot be changed in principle, flexible adjustment of project output and activities in the plan can ensure appropriateness of the project depending on the current situation.

In an effort to improve projects and ensure their sustainability, JICA implements operations evaluations in accordance with the PDCA (Plan, Do, Check, and Action/Adjust) cycle for all the JICA project. The cycle ensures continuous adjustment of the project when required. The PDCA cycle can be applied by all the implementing organizations to enhance project effectiveness. The image of the application of the PDCA cycle is illustrated in the following figure.



**Figure 5 - Flexible adjustment of project plan based on periodic monitoring**

## (2) Common risks to consider in JPP

Major common risks in JPP are listed in the table below. Although it depends on the project contents, periodic monitoring and continuous consideration of the following risks are always important. When it is proved that avoiding the risk is difficult with the original plan, the project activity needs to be adjusted.

**Table 2 - Common risks to consider in JPP projects**

Category	Major risks
Beneficiaries' needs	Poor effectiveness of the project output due to mismatching between project plan and beneficiaries' needs
Government policy and institution	Poor effectiveness of the project output due to low priority on the government policy
Input	Untimeliness of input such as expert from Japan, training in Japan and material/equipment Failing in assignment of suitable personnel in Counterpart Organization in target country
Appropriateness of Counterpart Organization in target country	Poor effectiveness of the project output due to appropriateness of the selection of Counterpart Organization in target country as counterpart for technology transfer
Organizational structure of Counterpart Organization in target country	Poor effectiveness of the project output due to poor organizational structure
Technological capacity of Counterpart Organization in target country	Poor effectiveness of the project output due to poor technological capacity of Counterpart Organization
Financial capacity of Counterpart Organization in target country	Poor effectiveness of the project output due to poor financial capacity of Counterpart Organization

## Required Factor for Sustainability #3 - Willingness of Counterpart Organization to continue using the Project Tools

### Tip 7: Promotion of beneficiaries' participation to the project activities through participatory approach

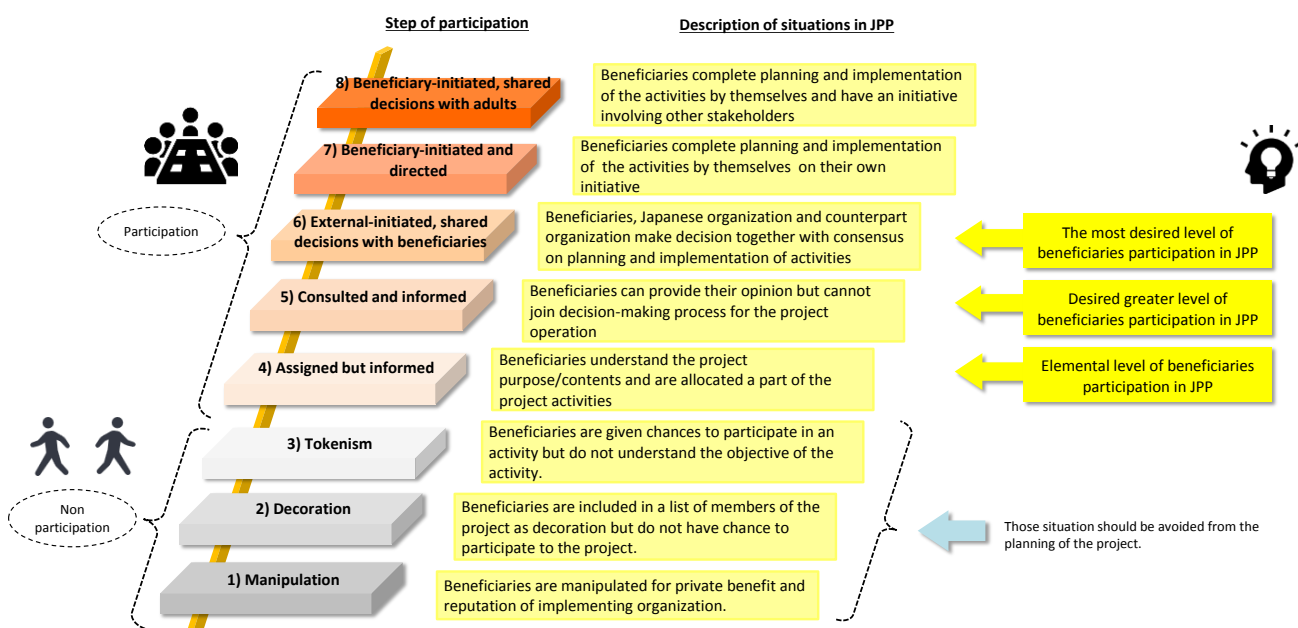
In the project at grass-roots level, voluntary participation of beneficiaries such as local government officers and/or residents in the area is one of the important aspects to enhance the effectiveness of the project. The participatory approach means measures to involve beneficiaries voluntarily into all processes of the project.

Roger A. Hart, a professor of psychology in the U.S. at CUNY, defined the participation level of beneficiaries into eight classes.<sup>6</sup> It is also called "the Ladder of Participation" which could be applied to JPP project planning by considering beneficiaries participation. The following figure shows the participation ladder of grass-roots project which was based on Hart's ladder. In the JPP project at grass-roots level, three levels of participation out of the eight general levels could be applied as follows.

- "Assigned but informed" means that beneficiaries understand the project objective/contents and are allocated a part of the project activities. (4<sup>th</sup> step)
- "Consulted but informed" means that beneficiaries can provide their opinion to project implementing organizations but cannot join a decision-making process for the project operation. (5<sup>th</sup> step)
- "External-initiated, shared decisions with beneficiaries" means that Implementing Organization, Counterpart Organization and beneficiaries make decision together with consensus among them in planning and implementation of project activities. (6<sup>th</sup> step)

<sup>6</sup> Modified from Children's Participation - from tokenism to citizenship, Roger A. Hart, City University of New York (CUNY)

It is recommended for enhancement of beneficiaries' participation that the project implementing organizations clarify which level of participation is the aim of the project at planning stage or the beginning of the project.



**Figure 6 - The ladder of beneficiaries' participation applied to JPP project**

**(1) "Assigned but informed"**

In the above figure, step one, two and three from the bottom is called "non-participation levels" in which beneficiaries do not participate in the activity. Step four and above are called "participation levels". It means that the fourth level called "Assigned but informed" is the elemental level that all the JPP projects should aim at. In it, the project assigns a role to beneficiaries as much as possible such as participatory baseline survey by beneficiaries and the beneficiary pays principle. Holding a workshop to have beneficiaries understand the objective and process of the project is also important to assign a role to beneficiaries. For example, an explanatory meeting for Counterpart Organization and/or beneficiaries or beneficiaries' representative to allow them to recognize project content and their role as a part of the project.

**(2) "Consulted but informed"**

The fifth step called "Consulted but informed" means that beneficiaries can provide their opinion to project implementing organizations but cannot join a decision-making process for the project plan and operation. It also means desired greater level of beneficiaries' participation in JPP to reflect beneficiaries' opinion properly into the project activity. Having an opportunity to hear beneficiaries' opinion in a positive manner to incorporate them into the project activity is required to attain this level of participation by means of needs assessment for beneficiaries' and public hearing.

### (3) “External-initiated, shared decisions with beneficiaries”

The sixth step called “External-initiated, shared decisions with beneficiaries” means that Implementing Organization, Counterpart Organization and beneficiaries make decision together with consensus among them in planning and implementation of project activities. It is the most desired level of participation in JPP project. Having an opportunity to make decision not only by Implementing Organization but also by involving Counterpart Organization and beneficiaries from the beginning of the project is required to attain this level of participation. For example, joint planning of the project activity is held with beneficiaries based on the result of baseline survey conducted with beneficiaries, and preparation of guidelines for implementation of project activities is made with beneficiaries are given.

For the seventh and eighth step, they could be very difficult because completion of the project by only Counterpart Organization or beneficiaries may take a longer time beyond the JPP project period. It should be attained Counterpart Organization after termination of the JPP project in terms of long-term regional development. An example of the project in which Tip 7 was applied is given as Project Example 5 in Chapter-4 (p.23).

#### **Importance of Participatory Approach for Sustainable Regional Development in Vietnam**



**Assoc. Prof., Dr. Nguyen Ba Ngai, Vietnam Administration of Forestry (VNFOREST)**

##### **(1) Participatory approach in JICA’s projects in Vietnam**

Participatory approach is one of the main approaches for the implementation of projects in Vietnam. It is clearly visible in completed and on-going projects related to forestry development. During the implementation of many JICA’s projects, mechanisms for discussion and sharing information among project executive parties have been established in practice. Especially, joint involvement of the parties in determination of requirements, project preparation, planning, project implementation and supervision are most frequently implemented. The projects for forest protection management and forest plantation cannot be completed successfully without the participation of various parties. It has been proven that participatory approach is effective to ensure outcomes and sustainability of projects when it is properly used to make balance of assistance from JICA and input from Vietnam.

##### **(2) Effectiveness of the Policy Paper:**

- a) All 7 factors in Fig. 1 of the Policy Paper are important in sustainability of a project. Especially, the 7th one (mechanism for sustainable development) is the most important factor which has a very significant impact to ensure sustainability of projects.
- b) All 11 tips described in the Policy Paper should be considered in a specific project to ensure sustainability of the project even though each project is in a different field with distinct characteristics and may apply a different set of appropriate suggestions after careful consideration. Regarding projects on forest protection and plantation, tip 7 “Promoting active participation of beneficiaries in project activities through participatory approach” would be the most important measures to attain sustainability. For projects on animal husbandry development, tip 10 “Promoting usage of locally available material resources” would play an important role, because it suggests that the more local seed, sources and local experience would be employed, the higher effectiveness and sustainability of the project would be achieved.



## Required Factor for Sustainability #4 – To secure budget and/or method to secure budget source

### Tip 8: Preparation of measures to secure budget and/or budget source for activities in post-project period

#### (1) Approach to secure budget from internal and/or external source of higher-level institution

A certain amount of budget is necessary for Counterpart Organization to do activity to continue and/or expand the Project Tools (models, technologies and methods introduced in the project) after completion of the project. In case the Counterpart Organization is a government institution, required budget must be allocated from internal financial department, higher-level institution or financial institution for the continuous activity. Therefore, consistency with the government policy and high effectiveness of the Project Tools to be continued and/or expanded are essential to get approval of the budget allocation.

As mentioned in Tip 5 above, cost-effectiveness is also one of the important factors for approval. Among the completed JPP projects in Vietnam, the project which demonstrated consistency with the government policy (relevance), high effectiveness and high cost-effectiveness in the project tended to have higher sustainability and/or expandability of the project output by Counterpart Organization. Therefore, the project should include an activity to make internal financial department, higher-level institution or financial institution recognize the importance of the Project Tools which were demonstrated in the project for sustainability and/or expandability after the project. For example, some projects prepared explanation material to show those departments or institutions the importance of the Project Tools, as well as strategic involvement of key persons of those departments or institutions into project activity including overseas training in Japan and holding explanatory meeting for several institutions at central, regional, community and residential level in a governmental command line.

In general, budget securing depends heavily on external factors, and Counterpart Organization cannot secure it only by their effort. Therefore, inclusion of those activities to make internal financial department, higher-level institution or financial institution recognize the importance of them ensures sustainability of the project outcome. In the case of Vietnam, explanation to Peoples' Committee and/or higher institution by Japanese expert as well as Vietnamese Counterpart Organization enhanced persuasiveness in activities such as periodic progress reporting.

#### (2) Creation of mechanism to secure required budget from external source

In case that organization to continue and/or expand the project outcome is a private group such as community organization or farmers' cooperative, a mechanism to secure required budget from external source needs to be established during the project period. For example, mechanisms to collect money in exchange for services from residents, farmers, consumers and private company are considered in the project, but the mechanisms are diverse. In case that the organization is government institution, it is noted that collecting money from beneficiaries in change of services is impossible in line with government administrative regulation.

## Required Factor for Sustainability #5 – To have capable human resources

### Tip 9: Capacity development of human resources considering sustainability in post-project period

#### (1) Confirmation of required capacity at individual, organizational and institutional/social levels

For the sustainability of project, the capacity development of people who will take responsibility in continuing and expansion of the project outcome is indispensable. Among the completed JPP projects, target persons of capacity development are mainly individuals and/or organizations. In capacity development in JPP, required capacity at individual, organizational and institutional/social levels should be confirmed at the beginning of the project. As an extension of capacity development of individuals, contribution to organizational development should be targeted. Additionally, as an extension of organizational development, contribution to institution and social development should also be targeted. In other words, capacity development is stratified in the three levels: individual, organizational and institutional/social level. Capacity development in the project should be consistent with all the three levels in terms of their roles and required capacity at all the three levels. For that purpose, grasping the role of target person at individual, organizational and institutional/social level, and evaluation of their present and required capacity is indispensable at the beginning of the project to avoid useless effort in capacity development which is off the point.

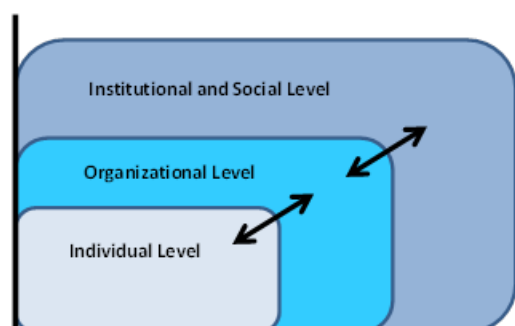


Figure 7 - Classification of Capacity Development

#### (2) Raising awareness of beneficiaries to participate in capacity development activity

Enhancement of beneficiaries' participation to capacity development activity is indispensable in a JPP project. It means that the project raises beneficiaries' awareness to solve their problems by their capacity acquired through collaborative activity in the project. Counterpart Organization should be involved into all the processes of the capacity development activities from the beginning such as in planning, implementation of training and evaluation of their capacity. Raising their awareness by consensus-building through the participatory approach will enhance their motivation to solve a problem by their own capacity in post-project period. The participatory approach is also effective in capacity development and it helps to grasp beneficiaries' needs to reflect in the project plan.

#### (3) Taking advantage of human resource training by Japanese

Among the completed JPP projects, human resource training by Japanese is one of the characteristic approaches for effective technology transfer. The Japanese method in human resource training involves decision making based on consensus building among stakeholders, building relationship of trust between trainer and trainee, trial and error, emphasizing practical learning and building long-term relationship between organizations. Those are major characteristic and advantages in human resource training by Japanese. This approach is also considered as a steady approach in capacity development by learning by doing or on-the-job training to steadily raise awareness of trainee. Among the completed JPP projects in Vietnam, many Counterpart Organizations

deeply appreciated the honest and courteous instruction by Japanese experts. They also appreciated the opportunity to have learnt a lot of technology as well as Japanese attitude toward capacity development in technical training. It is said that the Japanese approach in capacity development takes time but is effective for voluntary awareness arising of the target persons developing their capacity. In addition, the Japanese approach has furthered reliance and friendship between Japanese and Vietnamese organizations in and after the project.

#### **(4) Planning and implementation of capacity development aiming post-project period**

Capacity development cannot be a purpose but is rather a means to attain a project objective. The purpose of capacity development is to realize things by means of acquired capacity. In a JPP project, it is required to aim for the desired target person's capacity in post-project period and set the capacity development plan at planning stage. For example, it is required for sustainability of the project to select suitable persons for capacity development and overseas training in Japan considering their expected role in post-project period.

In some cases in Vietnam, it happened that unsuitable persons were selected by Counterpart Organization as trainees for overseas training in Japan such as government staff who are not related to the project and their family. Transparency in the selection of trainees by setting clear selection criteria is required in capacity development plan to develop suitable human resources for technology and knowledge transfer considering sustainability in post-project period and/or outside of the project.

Required capacity depends on expected role of human resources in post-project period such as technical capacity or administrative capacity. In case of Vietnam, capacity development for staff of a higher governmental institution might be effective for smooth decision making by the government for continuing the project outcome in post-project period. It is also required to select suitable persons as targets of capacity development by consultation and agreement with Counterpart Organization. An example of the project in which Tip 9 was applied is given as Project Example 6 in Chapter-4 (p.24).

#### **Importance of Human Resource Development in My Experience of JPP**



**Ms. Nguyen Thi Hoang Yen, Ph.D, Professor of Education, Senior Lecturer  
National Institute of Education Management (N.I.E.M)  
(Former Dean of Faculty of Special Education, Hanoi National University of Education)**

First of all, before the commencement of the Project, the relevant implementation agencies should carefully discuss about the fields and issues which should be solved within the framework of the Project. Also, human resource development (HRD) should be considered as the first priority in all Project activities because the effectiveness and impact of the Project will be much higher and sustainable through capacity building of staff. This also brings about the great spillover expansion in the future. However, it seems that international cooperation projects hesitate to cope with human resource development or capacity building, simply because this task consumes a lot of time, effort and investment, and sometimes it is difficult to see the results.

Within the framework of the Project supported by JICA between Ritsumeikan University and Special Education Center at Hanoi National University of Education, both Vietnamese and Japanese implementing organizations have selected HRD as the most important issue because the policies and Vietnamese context in the field of education is now in special need of improvement and development while Japanese side has great knowledge and experience for transfer.

Vietnamese side proposed HRD for the group of lecturers and capacity building for management staff of some schools and a group of researchers/experts. Based on this proposal, the Project implemented the training for bachelor's degree of special support education program in order to transfer knowledge and skills for developing high-quality human resource of key teachers for provinces, cities. After being trained, these teachers became the core for technical transfer at their localities and for developing their professional sectors.

Moreover, the capacity of a group of Vietnamese management staff and researchers/experts has been built through the guidance and the handing over from Japanese professors and experts of a tool set of development evaluation for children of ages from 0 to 6. After the above-mentioned transfer, the expert team collected data by themselves to continuously research and develop the tool set for children at higher ages (7 years old and more) and adjust the tool set to match with children in different regions in Vietnam.

Therefore, in order to develop one field and maintain the Project results in sustainable manner, investment in human resource development is always a good decision. The selection of the target subject within the framework of the Project should be made in considered manner, in line with the human resource development policy of the relevant localities and sectors so that after being trained, the staff would be fully utilized by the localities and agencies and they will meet with favorable conditions to bring into full play their capacity. The results show that cadres who join high-quality training will create great changes in their localities or agencies.

## Required Factor for Sustainability #6 – Use of locally available materials

### Tip 10: Application of local materials/equipment and technologies independent from outside

#### (1) Not to use materials and equipment from the outside

In the project which needs material and equipment in post-project period, locally-available material and technology should be applied for the sustainability of the project. Using imported materials such as construction material, machinery, mechanical part and agricultural seeds should be avoided. Otherwise, the Project Tools (models, technology and methods introduced in the project) using those imported materials will not be continuously used in post-project period. Replaceable material and technology are also effective for the sustainability of the project. In the project plan, it is considered effective to use those items which are continuously available by users of the Project Tools in the area.



Landfill site constructed with only locally available materials with low cost (Support for improving capability of waste landfill management technology in Hai Phong City)

#### (2) Exploring local effective technology

Exploring local effective technology and its horizontal extension among residents or farmers is also important for the sustainability of the project. Especially in Vietnam, it appears that local effective technologies are not being explored and popularized in many cases due to insufficient public technology extension services of the government. Exploring these hidden local technologies is effective for acceptance by beneficiaries because they might be sustainably available in the area and appropriate to the technological and knowledge levels of beneficiaries. Therefore, extension of those technologies should be considered in some cases to enhance their



Mushroom production using locally available rice straws (Integrated Approach to the Vulnerable People to cope with Natural Disasters in Central Vietnam)

application among beneficiaries continuously. An example of the project in which Tip 10 was applied is given as Project Example 4 in Chapter-4 (p.22).

## **Required Factor for Sustainability #7 – To prepare mechanism for sustainability and expandability**

### **Tip 11: Creation of a mechanism for sustainability and expandability**

A mechanism to continue and expand the Project Tools (models, technologies, methods, etc. introduced by the project) needs to be created during the project. This means that the project needs organization structure and measures to continue and/or extend project outcome in post-project period which is created during the project. The mechanism is classified into two patterns: using existing routine system of Counterpart Organization and creation of additional mechanism. In the both patterns, to prepare a guideline and to establish a website for publication of the activities are effective for smooth continuation and extension.

#### **(1) Using existing routine system of Counterpart Organization**

In the majority of the JPP projects, the Project Tools introduced by the project are mainly incorporated as a part of the existing routine activities of Counterpart Organization after the project when the organization originally has a role in technology and knowledge dissemination to in-direct beneficiaries in the area. For example, knowledge introduced by the project is disseminated as a part of curriculum if Counterpart Organization is educational organization such as university and vocational college. If the organization has a role in agricultural technology extension, introduced farming technology is disseminated to farmers as a part of their routine extension services. This method does not require additional establishment of organization and methods. Further sustainability was observed in such projects. During the project implementation, preparation of administration and training manual, etc. are also required to effectively incorporate them into their routine works.

#### **(2) Creation of the additional mechanism for sustainability and expandability in the area**

In some cases of the completed JPP projects in Vietnam, organizing new groups, assigning roles as an additional activity to existing organization were observed. Capacity development for them was also conducted to secure sustainability and expandability. Example included creation of new farmers' group, allocating new task to existing residents' group and newly appointing individuals as extension workers to continue some parts of the project activities. Those organizations and individuals did not originally have a role in continuing and extension. Therefore, it is indispensable to fully transfer of technology to them and enhance their motivation to act as successor in post-project period with their understanding of the importance of their role.



**Guidelines for sanitation and nutrition improvement for residents (SWAN II: Contributions to the improvements of nutritional status and clean water supply through increasing the capacity of local authorities in Vietnam)**

#### **(3) Raising awareness for grand design of long-term regional development**

In addition to the above, awareness raising for various groups of local residents based on long-term plan for regional development with a long-term vision were conducted in some of the JPP projects in Vietnam. For

example, environmental education and disaster prevention by means of field observation at forest and riverside by residents' group such as youth union, women's union and teachers/students of primary school were conducted. In other projects, delivery lecture on garbage segregation and 3R (Reduce-Reuse-Recycle) activity at classrooms in primary schools were conducted. It is said that those activities will also gradually be effective for long-term regional development although the outcome of those activities are difficult to see in many cases and require long-term application for appearance.

### **Important Points to be emphasized in preparation of guidelines for projects at grass-roots level**



#### **Mr. Le Quang Anh, Participatory Irrigation Management Expert**

Considering my experience in the preparation of Guidelines for Participatory Irrigation Management and for Establishment of Water Users' Organizations in Vietnam, I suggest the following points to be emphasized in the preparation of guidelines in technical cooperation projects at grass-roots level.

- Objects of usage: It is requested to clarify persons who will use guidelines. Regarding the same content, difference in writing style for different objects is necessary. For example, considering laborer/farmer/worker, it is recommended to use simple writing way, popular word, many pictures and charts for easy understanding, and examples for easy implementation. Guideline should be prepared in small size so that users can bring and use it easily.
- Contents: It is necessary to write implementation steps to clearly guide procedure by using charts and use BOX or bolded/highlighted words to emphasize important points in guidelines.
- Evaluation criteria: To define criteria for supervision/evaluation of implementation in guidelines is recommended to evaluate/learn from experience for operation during project periods. For example, in Guideline for Participatory Irrigation Management, there are 9 criteria for supervision/evaluation of activities by water users' organizations.
- Comments/suggestions: It is also recommended to have not only comments from experts but also comments from relevant parties and users in guidelines.

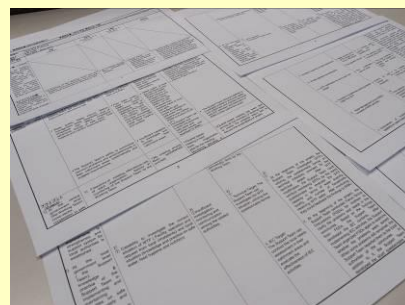
## Chapter 4 - Examples of Completed JPP Projects in Vietnam

### **[Project Example 1] Project for contributions to the improvements of nutritional status and clean water supply through increasing the capacity of local authorities in Vietnam (SWAN II)**

Implementing and Counterpart Organizations: International Life Sciences Institute (ILSI Japan) / National Institute of Nutrition (NIN), Ministry of Health (MOH) and National Center for Rural Water Supply and Sanitation (NCERWASS), Ministry of Agriculture and Rural Development (MARD)

The project was implemented for 3 years from April 2010 to March 2013. It aimed to establish sustainable water supply and health communication models in rural area where there were delays in safe water supply aids. During the project, all kinds of documents were prepared in both Japanese and English and shared with Counterpart Organizations in Vietnam. At first, Water Management Union (WMU) was established, and then NIN and ILSI Japan CHP supported WMU to implement Information, Education and Communication (IEC) activities for safe water, food hygiene and nutrition as well as technical activities for optimizing WTFs and supplying safe water. These activities led to great success such as improving water quality and quantity, decreasing diarrhea incidence and reducing under nutrition in the project areas. This project was designed to establish a community-support system to address safe water supply and nutritional improvements through increasing the capacity of local authorities, under the cross-sector cooperation among related government ministry and institutes in Vietnam, and to establish a community-support system to address safe water supply and nutritional improvements through increasing the capacity of local authorities.

Target areas of the project were (1) Thanh Tri District, Hanoi: 6 communes, (2) Tu Liem District, Hanoi: 5 communes and (3) Vu Ban District, Nam Dinh Province: 5 communes. Target groups were local authorities (Provincial Medical Center, District Medical Center, Provincial Center for Rural Water Supply and Sanitation, District People's Committee), Water Management Union and residents in the targeted areas. The project outcomes were to create cross-sector cooperation at the central government level (the Working Team) in safe water supply and strengthen nutritional improvement.



**Monitoring and progress report timely shared with counterpart organization in Vietnam**



**Water supply facility operated in proper manner as a result of the project**

**[Project Example 2] Program for improving plant management of manufacturers in Hai Phong**

Implementing and Counterpart Organizations: Kitakyushu International Techno-cooperative Association, City of Kitakyushu / Hai Phong Industrial Vocational College (HIVC), Department of Industry and Trade, Hai Phong City People’s Committee (2011-14)

In 2009, Kitakyushu city (Japan) and Hai Phong city (Vietnam) concluded an agreement of friendship, cooperation and mutual assistance. The businesses of both cities have a mutual interest in facilitating Kitakyushu city to outsource metalworking activities related to machine parts, steel and similar industrial applications to Hai Phong city. Based on the agreement, the project was commenced in 2011 to improve plant management in Hai Phong city. As a result of the project, improved plant management of Hai Phong city enhanced the profitability of manufacturing business and stimulated the regional economy, bringing about an increase of employment opportunities for the students of HIVC and local residents.



Hai Phong Industrial Vocational College (HIVC)

Main activities of the project were to create 1) Production Management training program, and 2) program to advance Plant Engineering. Detailed activities in each program were as follows.

Programs	Training Courses	Activities
1) Production Management training program	Training for HIVC instructor	To learn about production management and develop issue resolution skills for participants
	Syllabus creation support & guidance	To dispatch specialists to HIVC to provide support and guidance for the creation of a Production Management syllabus
2) program to advance Plant Engineering	Deployment of local support personnel to HIVC	To give advice classified for each participant To dispatch plant engineering specialists to provide consultations and guidance To promote the utilization of consultation services through visiting companies and seminars
	Program proposals for issue resolution at factories	To dispatch specialists to propose specific programs for dealing with issues confronting the area’s businesses at factories in Hai Phong city

In the project, an advertisement booth was also set up at HIVC to disseminate information regarding manufacturing companies and technologies in Kitakyushu city. Through the booth, many students and local residents expressed interest in Japanese companies and technologies.

After the project, some companies in Japan and Vietnam established business relationships. At HIVC, educational programs prepared in the project are provided to students raising their interest to have working opportunities at Japanese companies in the future. The project created a win-win situation for both sides in the manufacturing business.



Training in Kitakyushu city



**[Project Example 3] Project of developing an educational program for children with mental disabilities in order to raise the school attendance rate at primary school in Vietnam**

**Implementing and Counterpart Organizations: Ritsumeikan University / Hanoi University of Education (2008-11)**

The project aimed to establish a complete framework that will ultimately develop and create new human resources in the field of education for children with mental disabilities. The project developed an educational program in order to raise school attendance rate at primary school for children with mental disabilities in Vietnam. Specific activities of the project were as follows:

- 1) To grasp the current facts associated with children who are not able to attend school
- 2) To develop a medical treatment program
- 3) To draft, enforce and evaluate a program for individual guidance and coaching
- 4) To provide practical guidance in order to develop and train teachers
- 5) To support and create an educational program that will raise the school attendance rate for mentally disabled children by comprehensively applying knowledge gained through the experiences of the Japanese education system for disabled children



**Check list and guideline for disabled children modified by both Ritsumeikan University and Hanoi University of Education**

At the beginning of the project, Ritsumeikan University and Hanoi University of Education improved the original programs developed in Japan to meet the educational situation in Vietnam for acceptance by teachers and effectiveness at educational field. By using techniques and experiences from Japan to guide and educate the disabled, school attendance rate increased and their ability to complete the educational curriculum was enhanced. In the project, following outcomes were achieved:

- 1) A framework based on correct drafting, correct implementation though evaluation
- 2) A program for guidance and educating disabled children according to individual needs
- 3) A program that helps to survey and understand the needs of children who are not able to attend school
- 4) A program in development and training of specialists in the field of education for children with disabilities

After the project, the improved program for disabled children is taught to students at Learning Center for Training and Development Center for Special Education established in Hanoi University of Education. The program was applied in the actual education field at Hope Center operated by the university for the application of customized education for each disabled child.

**[Project Example 4] Enhancing community resilience and livelihood security to cope with natural disasters in central Vietnam**

Implementing and Counterpart Organizations: Graduate School of Global Environmental Studies, Kyoto University / Hue University of Agriculture and Forestry

Due to precipitous mountains and narrow plains, central Vietnam is an area prone to frequent landslides and floods. Additionally, in recent years, global climate change has caused extreme rainfalls and has changed the timing of the rainy season, severely affecting agriculture, animal husbandry and fish farming. This has thwarted efforts of poverty reduction for socially disadvantaged people, such as mountain ethnic minorities and people living on water. It was also a cause for economic stagnation and the degradation of environmental resources in the region.



Community house constructed by villagers

In disaster-prone areas, it is necessary to go further than constructing dams and respond to disasters such as by providing emergency assistance only when the disasters strike – as practiced in the past. It is now realized that even the smallest efforts for disaster preparedness conducted on a daily basis are important and effective. These daily activities may include community participation to improve livelihoods and to be able to rebuild normal lives after disasters and community development activities that include disaster preparedness activities.

The project purpose was to improve community resilience, environmental protection and living condition to cope with natural disasters in Central Vietnam. Major project activities were:

- 1) To identify characteristics of the target region and vulnerability to natural disaster by means of participatory baseline survey with community residents at the beginning of the project.
- 2) To develop a community house which serves as the core of community for environmental education, disaster reduction activities and business development.
- 3) To conduct public participatory environmental and disaster-resistant education.
- 4) To conduct a model trial to enhance living conditions based on environment and disaster management through participatory process, and utilize its outcomes and experiences.
- 5) To establish a cooperative network for environmental protection and enhancing community's risk awareness.



Poultry raising as secondary income source of villagers

The target areas for this project includes 3 geographical types (mountainous, plain and coastal areas) located in the Bo River Basin of central Vietnam's Thua Thien-Hue Province. While reflecting the unique characteristics of each geographical area, the project engaged in activities which cover a wide range of issues shown below and provided environmental disaster management camps for children that also have a role at the community level.

As a result of the project, activities introduced to enhance villagers' livelihood are continuing and extending among villagers because the project implemented the activities based on people's needs and interest. Some villagers are voluntarily extending their knowledge and technology to other villagers.

**[Project Example 5] Capacity building toward evidence-based medicine among health care professionals at University of Medicine and Pharmacy, Ho Chi Minh City and its related institutes**

**Implementing and Counterpart Organizations: Fukushima Medical University (Department of Public Health) and Fukushima Prefecture (International Affairs Division) / University of Medicine and Pharmacy of Ho Chi Minh City, Ho Chi Minh City Health Service and Ho Chi Minh City Medical Association (2009-13)**

Despite the worldwide promotion of evidence-based decision making at all levels of the health and medical field, strengthening research capacity in developing regions remains one of the world's unmet challenges. Japan has initiated and expanded postgraduate training in public health, epidemiology, biostatistics and other related disciplines in Vietnam.



**University of Medicine and Pharmacy of Ho Chi Minh City where the EBM course offered**

Project objectives were to improve medical professionals' (mainly physicians') knowledge and skills to provide evidence-based services and to scientifically evaluate needs of service users. Target group of the project were medical professionals, mainly physicians, from University of Medicine and Pharmacy of Ho Chi Minh City, the city health service and the medical association, and their affiliated hospitals.

In the project, Japanese experts composed of staff of Fukushima Medical University and Fukushima Prefecture and other specialist instructors were dispatched to Ho Chi Minh City. Before the trainings, roundtable discussions were held to reflect the stakeholders' needs into the contents of the lectures. Then, lectures and practicum were conducted in Ho Chi Minh City by specialists dispatched from Japan. The practicum included e-mail support. In addition, trainees of the University of Medicine and Pharmacy were dispatched to Fukushima Medical University and Fukushima Prefecture, where they joined roundtable discussions, took lectures and received hands on training.

Major outcomes were as follows:

- 1) A new training program was developed.
- 2) Local organizers and instructors completed the training-of-trainers (TOT), and their capacity to teach research skills further improved through participating in planning, implementing and evaluating the new training program.
- 3) Selected medical professionals from clinical departments at the university, city health service and medical association, and their affiliated hospitals completed the training.
- 4) Information regarding project achievements and evidence-based public health/medicine was routinely disseminated through various channels (university/hospital bulletins, academic journals, etc.) throughout the project period.

After the project, those outcomes have been utilized in education and medical services in the University of Medicine and Pharmacy to improve medical services to meet the needs of patients effectively.

**[Project Example 6] Project for production of KAKI and extension of processing technology in Da Lat**

Implementing and Counterpart Organizations: Iida city, Kabuchan Farm Co., Ltd / Da Lat City People's Committee, Da Lat Agriculture Technology Center (2010-13)

Iida city in Nagano Prefecture, Japan is famous for dried persimmon called as "HOSHIGAKI". Iida city and Kabuchan Farm Co., Ltd. (that is one of the major HOSHIGAKI producers in Iida city) implemented a project to enhance productivity of dried persimmon and farmers' income in Da Lat city together with Da Lat City People's Committee, Da Lat Agriculture Technology Center.



**Persimmon orchard introduced pruning and tree thinning technologies**

As a result of pre-studies on dried persimmon fruit production in several regions of the world conducted by Kabuchan Farm, dried persimmons were produced in large quantities in Da Lat city. However, the quality of the dried persimmon produced in the region was not necessarily good and rather cheap in the local market. Members of Kabuchan Farm Co., Ltd. found potential for improvement of growing persimmon fruits and processing dried persimmon products could increase market value and income of persimmon farmers and processors. The project objectives were:

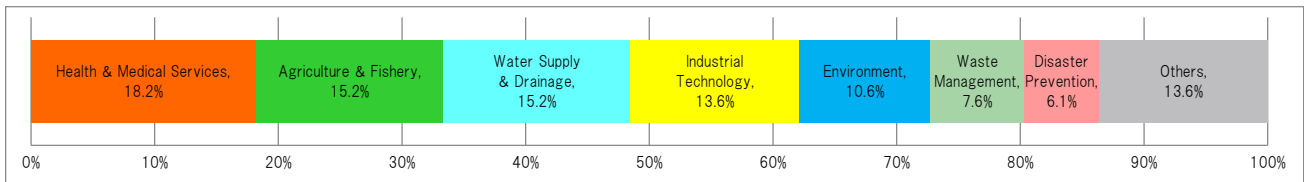
- 1) To introduce persimmon growing technology to produce high-quality persimmons
- 2) To introduce dried persimmon processing technology to produce high-quality dried persimmon fruits
- 3) To increase the number of farmers who master technology to grow persimmon and to produce dried persimmon with high quality

In the project, a series of improved production methods of persimmon by pruning, tree thinning and drying technology of Japan were introduced to Da Lat city. In the project period, several extension officers of Da Lat Agriculture Technology Center and several capable farmers were trained for 3-5 months in Japan to acquire advanced and systematic production technologies of dried persimmon through field practice by Japanese advanced farmers. As a result of such long term training, their capacity was drastically improved to extend their acquired advanced technologies for farmers in the area after the project.

After the project, some of the farmers who participated in the training in Japan were officially employed as government extension officers and they are providing technical training for persimmon producers at Da Lat Agriculture Technology Center. Recently, improving technology of fruit quality has gradually become important for increasing farmers' income in accordance with economic development and change in consumers' tastes in Vietnam. As a secondary benefit of the project, Iida city became recognized as a famous city of persimmon production in Japan due to persimmon producers in Da Lat city. After the project, some of the farmers visited to study the production technologies in Iida city by themselves. Collaboration between Iida city and persimmon producers in Da Lat city is still continuing even in post-project period.

## Appendix 1: Comparison with other JICA's schemes

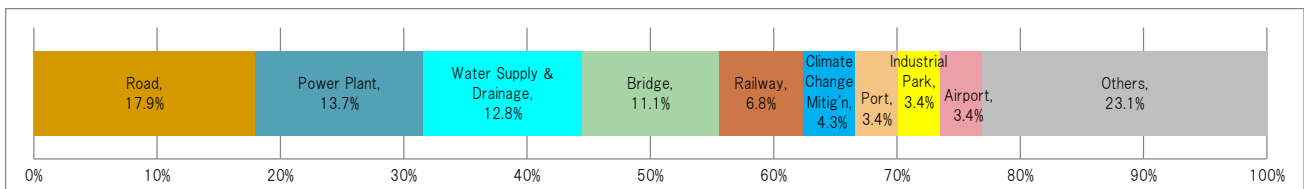
Comparison of relative size of the sectors for projects of JPP, Official Development Assistance (ODA) loans, and JICA Technical Cooperation (TCP) Projects in Vietnam is shown in the figures below. Relative size of the sectors in which JPP was implemented is shown in the following Figure A1. The largest number of the JPP project are implemented in health and medical sector, followed by agriculture and fishery and water supply and sewerage, and industrial technology.



Source: <http://www.jica.go.jp/partner/kusanone/country/vietnam.html>

**Figure A1** Relative size of the sectors in which JPP projects were implemented in Vietnam

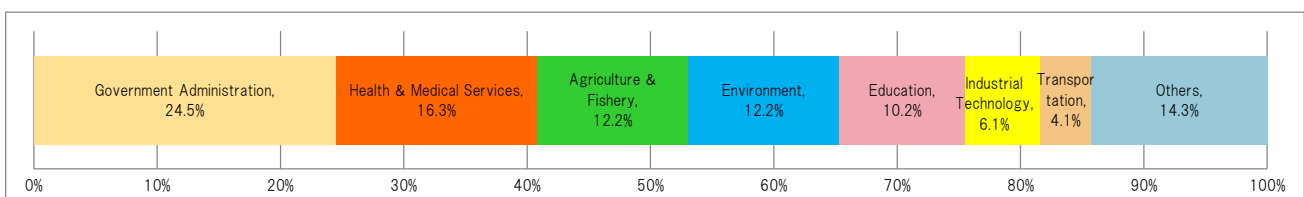
The relative size of the sectors in which the ODA (Official Development Assistance) loans by JICA is shown in the following Figure A2. The largest portion of ODA loans project were implemented in road sector followed by power plants, and water supply and sewerage. The characteristics of JPP in comparison with the ODA loans supporting construction of large-scale infrastructure are that JPP projects are small-scale projects implemented with local government for local residents at grass-roots level. In other words, JPP in Vietnam is an indispensable scheme covering sectors which ODA loans cannot cover for meeting regional needs and assisting balanced economic development in Vietnam.



Source: [http://www.jica.go.jp/activities/schemes/finance\\_co/index.html](http://www.jica.go.jp/activities/schemes/finance_co/index.html)

**Figure A2** Relative size of sectors in which ODA loans projects were made in Vietnam

In addition, JICA Technical Cooperation Project (TCP) is one of the JICA's major assistance schemes. The relative size of the sectors of JICA TCP is shown in the following Figure A3. The largest portion of TCP schemes were implemented for capacity development in government administration followed by health and medical services and agriculture and fisheries. Major projects in the scheme targeted capacity development of government at central or centrally-governed cities. On the other hand, JPP projects mainly target the capacity development of regional governments. JPP is also one of the important schemes to cover minor regional needs of residents.



Source: <http://www.jica.go.jp/vietnam/office/activities/end.html>

**Figure A3** Relative size of the sectors in which JICA TCP were implemented in Vietnam

## Appendix 2: Checklist to secure the seven required factors in project plan for the sustainability

The checklist below can be used to confirm the application of the tips mentioned in the Policy Paper to the project planning and implementation as necessary.

Required Factors	Items to be confirmed to secure project sustainability	Check	Current situation	Required action
1. To have active partnership between Implementing Organization and Counterpart Organization	Can the Implementing Organization communicate with the Counterpart Organization using a language which both organizations can understand?	<input type="checkbox"/>		
	Can both organizations fully communicate during absence of Japanese experts in target country?	<input type="checkbox"/>		
	Can suitable interpreter be timely assigned in the project plan?	<input type="checkbox"/>		
	Is opportunity planned to share the project plan with Counterpart Organization at the beginning of the project?	<input type="checkbox"/>		
	Is opportunity planned to share the progress of the project with Counterpart Organization at every quarterly monitoring?	<input type="checkbox"/>		
	Is opportunity planned to share the evaluation result of the project with Counterpart Organization at the end point evaluation?	<input type="checkbox"/>		
	Are the project plan, quarterly monitoring report and end point evaluation report prepared in an understandable language by Counterpart Organization in target country?	<input type="checkbox"/>		
	Is there advantage for not only Counterpart Organization but also Implementing Organization in the project plan?	<input type="checkbox"/>		
	Is the advantage for implementing organization understood by Counterpart Organization?	<input type="checkbox"/>		
2. To demonstrate the effectiveness of the Project Tools (models, technologies, methods, etc.) for post-project period	Does Counterpart Organization understand the details of Japanese models to be introduced in the project?	<input type="checkbox"/>		
	Are the models agreed by Counterpart Organization to be introduced to the area?	<input type="checkbox"/>		
	Is there opportunity to verify the adaptability of models to be applied to the area planned together with Counterpart Organization?	<input type="checkbox"/>		
	Is there opportunity to grasp beneficiaries' needs, its background and culture, social/ natural conditions, and verify the original project plan planned?	<input type="checkbox"/>		
	Are the Project Tools (models, technologies, methods, etc.) to be introduced cost-effective for beneficiaries?	<input type="checkbox"/>		
	Is there consideration to demonstrate surely effectiveness of the Project Tools (models, technologies, methods, etc.) to be introduced?	<input type="checkbox"/>		
	Are there opportunities to confirm the project progress and extract issues planned at quarterly monitoring with Counterpart Organization in target country?	<input type="checkbox"/>		
	Are there measures to solve identified issues planned at quarterly monitoring if necessary?	<input type="checkbox"/>		
	Can the implementing organization adjust project plan to avoid and/or mitigate issues if necessary?	<input type="checkbox"/>		
3. Willingness of Counterpart Organization to continue using the Project	Is possible risk during the project predicted in the project plan?	<input type="checkbox"/>		
	Is concrete idea for participatory approach inside the project planned?	<input type="checkbox"/>		
	Is there opportunity to make beneficiaries understand the details of the project planned?	<input type="checkbox"/>		
	Is activity to involve beneficiaries in the project planned?	<input type="checkbox"/>		
	Is activity to get beneficiaries' opinions planned?	<input type="checkbox"/>		
	Is activity to get beneficiaries' opinions at the project planning and monitoring stage, and to involve them to	<input type="checkbox"/>		

Required Factors	Items to be confirmed to secure project sustainability	Check	Current situation	Required action
Tools	decision-making for the project activity?			
4. To secure budget and/or method to secure budget source	Does implementing organization understand what outcome is required to secure budget for post-project period? (in case that Counterpart Organization is a government institution)	<input type="checkbox"/>		
	Are any measures being considered to secure government budget for post-project period? (in case that Counterpart Organization is a government institution)	<input type="checkbox"/>		
	Are any measures being considered to secure budget from external source for post-project period? (in case that organization to continue and expand the project outcome is private and/or community organization)	<input type="checkbox"/>		
5. To have capable human resources	Is the policy of capacity development plan in the project consistent with required capacity at individual, organizational and social/institutional levels?	<input type="checkbox"/>		
	Have acquired capacity and insufficient capacity of target persons for capacity development in the project been identified?	<input type="checkbox"/>		
	Are roles of target persons in post-project period for capacity development in the project clarified and reflected into capacity development plan?	<input type="checkbox"/>		
	Have transparent and clear criteria to select trainees in Japan been set?	<input type="checkbox"/>		
6. Use of locally available materials	Can the activity to be continued in the post-project period be implemented using only locally available materials and machines without importing from Japan?	<input type="checkbox"/>		
7. To prepare mechanism for sustainability and expandability	Is mechanism to continue and expand the project outcome considered during the project? (By whom? and How?)	<input type="checkbox"/>		
	Are there any measures for smooth implementation of the mechanism by means such as methods, rules and guidelines, and training materials?	<input type="checkbox"/>		
	Does implementation of the mechanism interfere with Counterpart Organization in target country to do their routine work? (in case the continuing and expansion of the project outcome is done by the routine work of Counterpart Organization in target country)	<input type="checkbox"/>		
	Is any support system planned to follow up the mechanism to continue and expand project outcome in post-project period? (in case that the mechanism is newly created)	<input type="checkbox"/>		
	Are the importance and meaning of continuing the project outcome well understood by the persons and organization which take it over in post-project period in order to enhance their motivation?	<input type="checkbox"/>		

Note: The above items depend on the contents and purposes of the project.