



Australian Government  
Aid Program

 Australia Awards

AUSTRALIAN SCHOLARSHIPS FOR DEVELOPMENT IN VIETNAM (ASDiV) PROGRAM

# Monitoring and Evaluation Strategy and Plan

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Annex 6 to document 59472

# CONTENTS

<b>1</b>	<b>BACKGROUND</b>	<b>1</b>
<b>2.</b>	<b>PROCESS FOLLOWED IN DEVELOPING THIS M&amp;E STRATEGY</b>	<b>2</b>
<b>3.</b>	<b>PROGRAM LOGIC</b>	<b>2</b>
<b>3.1</b>	<b>Scholarships</b>	<b>2</b>
<b>3.2</b>	<b>Australian Leadership Award Fellowships</b>	<b>4</b>
<b>4.</b>	<b>OVERVIEW OF THE M&amp;E STRATEGY</b>	<b>5</b>
<b>4.1</b>	<b>Continuous Improvement</b>	<b>5</b>
<b>4.1.1</b>	<b>Program Data</b>	<b>5</b>
<b>4.1.2</b>	<b>Evaluation of Effectiveness of the Promotional Campaign</b>	<b>6</b>
<b>4.1.3</b>	<b>PPI Pipeline</b>	<b>7</b>
<b>4.2</b>	<b>Program Impact</b>	<b>7</b>
<b>4.2.1</b>	<b>Tracer Study</b>	<b>7</b>
<b>4.2.2</b>	<b>Longitudinal Individual Case Histories</b>	<b>7</b>
<b>4.2.3</b>	<b>Focus Groups</b>	<b>8</b>
<b>4.2.4</b>	<b>PPI Impact</b>	<b>8</b>
<b>4.2.5</b>	<b>Annual Cluster Evaluation of ALA Fellowships</b>	<b>8</b>
<b>4.3</b>	<b>Special Evaluation Studies</b>	<b>8</b>
<b>4.4</b>	<b>Long Term Impact Measurement</b>	<b>9</b>
<b>4.5</b>	<b>Gender Equality and Social Inclusion</b>	<b>9</b>
<b>4.6</b>	<b>Risk Management</b>	<b>10</b>
<b>5.</b>	<b>REPORTING</b>	<b>10</b>
<b>5.1</b>	<b>Database</b>	<b>10</b>
<b>6.</b>	<b>TIMING AND RESOURCES</b>	<b>10</b>

# CONTENTS

## Annexes

- 1 ASDiV Logframe
- 2 M&E Framework
- 3 Description of M&E Methods
- 4 Gantt Chart of M&E Activities
- 5 Risk Management Matrix
- 6 Duty Statements of M&E Advisers
- 7 List of Documents Consulted

## ABBREVIATIONS

<b>ACET</b>	Australian Center for Education and Training (in Vietnam)
<b>ADS</b>	Australian Development Scholarships
<b>ASDiV</b>	Australian Development Scholarships in Vietnam
<b>ALAF</b>	Australian Leadership Award Fellowships
<b>ALAS</b>	Australian Leadership Award Scholarships
<b>ANAO</b>	Australian National Audit Office
<b>ASMC</b>	Australian Scholarships Management Contractor
<b>ASS</b>	Australian Scholarships Section (in AusAID)
<b>AUD</b>	Australian Dollar
<b>AusAID</b>	Australian Agency for International Development
<b>CID</b>	Coffey International Development (the ASMC)
<b>DCS</b>	Development Cooperation Strategy
<b>EAP</b>	English for Academic Purposes
<b>GOV</b>	Government of Vietnam
<b>GPA</b>	Grade Point Average
<b>GESIS</b>	Gender Equality and Social Inclusion Strategy
<b>HRD</b>	Human Resource Development
<b>IELTS</b>	International English Language Testing System
<b>JSC</b>	Joint Selection Committee
<b>KPIs</b>	Key Performance Indicators
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MOET</b>	Ministry of Education and Training (in Vietnam)
<b>NCAW</b>	National Committee for the Advancement of Women

## **ABBREVIATIONS**

<b>OASIS</b>	Online Australian Scholarship Information System
<b>ODE</b>	Office for Development Effectiveness
<b>PDD</b>	Program Design Document
<b>PhD</b>	Doctorate of Philosophy
<b>PPI</b>	Priority Public Institutions
<b>RMM</b>	Risk Management Matrix
<b>SIMON</b>	Scholarship Information Management Online
<b>SOS</b>	Scope of Services
<b>STP</b>	Sponsored Training Program
<b>TESOL</b>	Teaching English as a Second Language

## 1 BACKGROUND

The bilateral development cooperation program commenced with Vietnam in 1992<sup>1</sup>. Since that time an estimated 2,500 Vietnamese students have been trained in Australia with the support of Australian Government scholarships. Australian Development Scholarships (ADS) were introduced in Vietnam in 1998 and currently represent approximately 15% of the Vietnam bilateral program budget. Scholarships are offered for post-graduate study in Australia at Masters or PhD level<sup>2</sup>. The annual number of ADS scholarships for Vietnam is currently 225 having risen from 150 in 2008. Australian Leadership Awards (ALA) commenced in 2006 as a mean of supporting current and future leaders from the Asia-Pacific region from government, business, and industry or community sectors. ALA Scholarships (ALAS) cater for longer-term post-graduate study at masters or doctoral level; and ALA Fellowships (ALAF) for short-term research, study or professional attachments. ALAS and ALAF awards are determined on the basis of regional competition but since inception approximately 41 Scholarships and more than 250 fellowships have been awarded.

Monitoring and Evaluation (M&E) of AusAID scholarship activities is relatively new. A 1999 performance audit of the AusAID scholarships program conducted by the Australian National Audit Office (ANAO)<sup>3</sup> prompted an increased focus on the monitoring and evaluation of scholarships but what followed tended to focus on targets for various aspects of the scholarship selection and placement process. Since that time, AusAID's own thinking on M&E has developed; notably with the introduction of the Office for Development Effectiveness (ODE), which has championed a focus on the evaluation of outcomes rather than process and the establishment of the Australian Scholarship Section (ASS) [formerly ASG], which has paid particular attention to the measurement of outcomes from scholarships and sought to develop some standard M&E approaches across scholarship programs in different countries.

In this context, the Australian Scholarships for Development in Vietnam (ASDiV) PDD noted that:

*... quantitative data are available about the numbers and sex of applicants, awardees, scholars and alumni, but it is difficult to know whether ADS is reaching poor and disadvantaged groups, including ethnic minorities, in Vietnamese society. Furthermore, available data suggests that relatively few scholars are recruited from outside the two main metropolitan areas, Hanoi and HCMC. There is also a lack of data, either quantitative or qualitative, to gauge the development impact from the post-return work of graduates.*

The ASDiV Scope of Services (SOS) mandates an M&E approach that:

- has a dual focus on the achievement of development outcomes and on continuous improvement of scholarship management practices
- is aligned with the goals of the Vietnam scholarships program; the Australian scholarships M&E framework from ASS, the ODE quality reporting framework, and to stakeholder needs in general
- is uncomplicated for analysis and reporting but capable of generating credible reports on program results.

At the time the PDD was completed the Australia-Vietnam Development Cooperation Strategy (DCS) for 2008-2015 was in draft form and had six development objectives. In the most recent draft of the DSC 2010-2015, which has received in principle agreement from the GOV, these six objectives have been reduced to focus on three “core areas”:

<sup>1</sup> Between 1993 and 1998 scholarships were known as ADCOSS for private individuals and ASTAS for government employees. It is understood that the majority of scholarships offered in Vietnam during those years were under the ASTAS scheme.

<sup>2</sup> Under exceptional circumstances some awards at undergraduate or post-doctoral levels may be considered.

<sup>3</sup> ANAO. Management of Australian Development Scholarships Scheme, Audit Report No 15, 1999 –2000 Performance Audit (1999).

1. Human Resource Development (HRD)
2. Economic Integration
3. Environmental sustainability.

These three core areas now become the broad development objectives of the AusAID scholarship programs in Vietnam.

## 2. PROCESS FOLLOWED IN DEVELOPING THIS M&E STRATEGY

The design of the M&E Strategy is primarily governed by the requirements of the ASDiV PDD and the AusAID/ASMC Contract and associated Scope of Services (SOS). The PDD contains a detailed description of the program's M&E requirements and an M&E Framework that was taken as the starting point in developing this M&E Strategy and Plan. The development process also involved:

- An inception planning period with working sessions and detailed discussions with the ASDiV Team Leader and HRD Adviser on required outcomes, outputs, processes and reporting but gave particular attention to M&E, HRD for PPIs, database requirements, and new aspects of the program.
- Consultations with the Team Leader and Alumni Manager of the Vietnam ADS Pre-departure Project (ADS Support); Manager of the ADS Training Project and scholarship program staff of the AusAID Hanoi Office.
- Review of program procedures, documentation and data from the previous phase of scholarship program 2004-2009.
- Clarification of a number of outstanding issues with AusAID and AusAID feedback on the draft strategy submitted in March 2010.

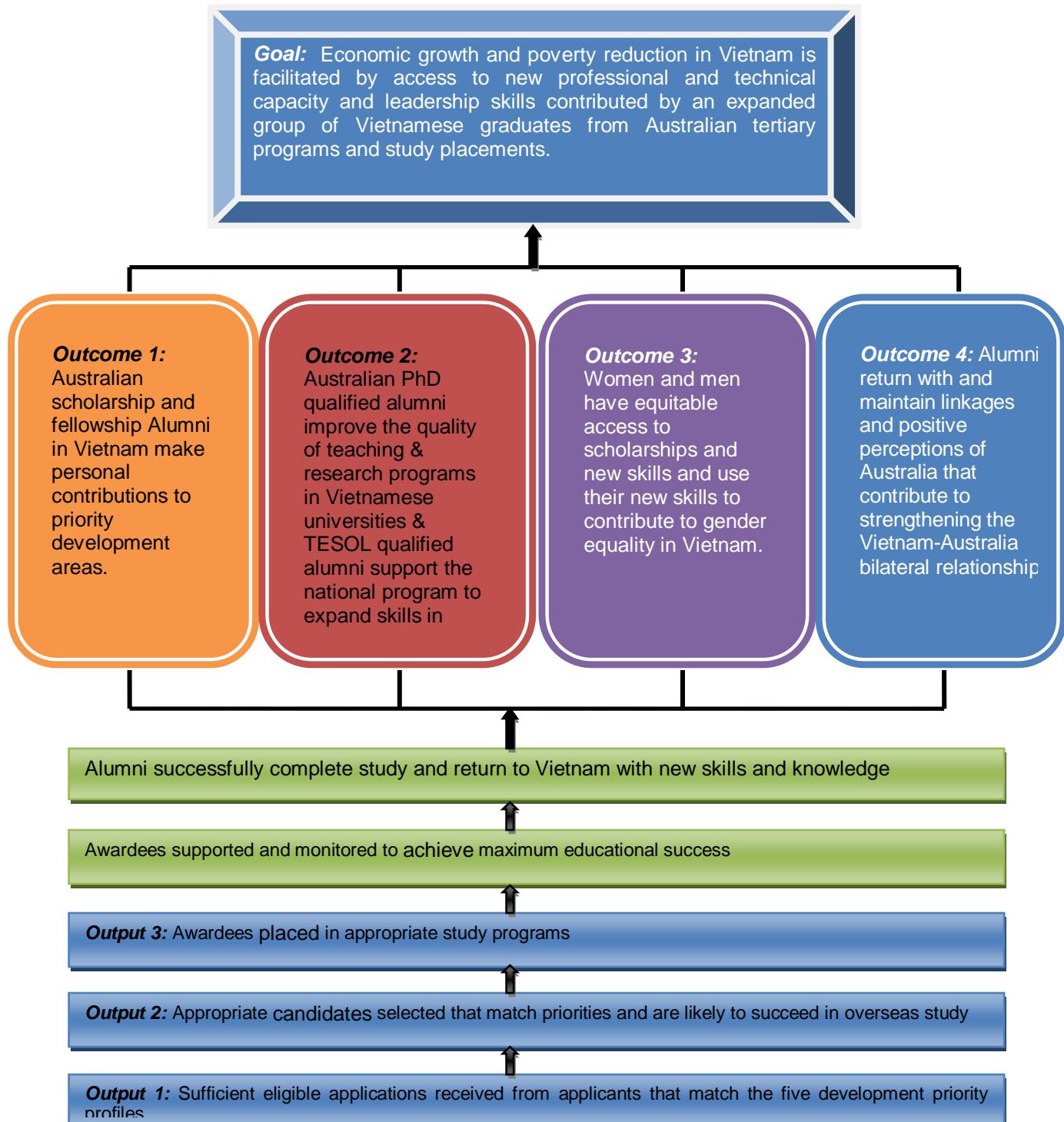
A meeting was also sought with staff of the Ministry of Education and Training in Vietnam, AusAID's counterpart organisation for the program as part of stakeholder consultations but the relevant officials were all unavailable on overseas travel.

## 3. PROGRAM LOGIC

### 3.1 Scholarships

The two scholarship components of ASDiV, ADS and ALAS, are conceptually simple and follow a common program logic as described in *Figure 1*. At the Goal Level, the program supports the Vietnam Australia Development Cooperation Strategy. A number of administrative processes conducted in an annual scholarship selection and placement cycle underpin the achievement of program outcomes. The three key outputs within the ASMC's control are the attraction of appropriate candidates; the selection of good quality awardees; and the placement of those awardees in appropriate programs in Australian universities. Note that while the ASMC is responsible for the placement of ADS awardees, ALAS awardees make their own placement arrangements with Australian universities. A fourth output - post award monitoring - is an important ASMC responsibility related to the return and reintegration of alumni. Although it is not a necessary precondition for the achievement of the four outcomes it is essential for their measurement.

**Figure 1. ASDiV Program Logic<sup>4</sup>**



A logframe based on the above program logic has been developed and is included as Annex 1. A number of processes critically support the program logic and it is important to note that the ASMC does not have equal control over all of them. Nevertheless, all five steps must be achieved in sequence for the program logic to remain valid. For the program to be successful the right people

<sup>4</sup> No performance targets have been set for the achievement of outcomes. Although AusAID may wish at some point to establish performance targets, there does not appear to be any rational basis for establishing relevant targets. Data after three years may provide such a basis for the remainder of the program.

must be encouraged to apply, must then be selected and then placed in appropriate courses of study that will contribute to Vietnamese development. While the awardees are studying in Australia they are subject to a separate contract between AusAID and the relevant Australian university; however, in line with the recommendation in the PDD that “there should be improved monitoring of candidates and scholars during study”, the ASMC will place greater emphasis on the monitoring of awardees, specifically those from PPIs. Similarly, the ASMC has little control over whether alumni return to or stay in Vietnam but is responsible for developing and managing a program of post-award activities for alumni for those that do<sup>5</sup>.

The four outcomes in *Figure 1* relate to the principal beneficiaries of the program: alumni working in support of Vietnamese development and poverty alleviation; alumni working as lecturers, researchers and TESOL teachers, and women or other alumni promoting the status of women in Vietnam. The bilateral partnership can be seen as a fourth beneficiary, albeit a special kind of beneficiary, but one that makes explicit an important underlying rationale for the scholarship program<sup>6</sup>.

The program outcomes derive from what alumni, and their employers, do after return so they are expressed in terms of anticipated behaviour and attitudes. They represent the situation that can reasonably be expected to be observed within ASDiV. This is an important point. Scholarship programs are characterised by long lead times for: recruiting, selecting, placing, educating, and returning awardees; and by long pay-off periods during the remainder of the alumnus’ career when they might draw on their scholarship experience to influence change.

No ASDiV alumni will have returned within the initial phase of the ASMC’s contract; however, because the nature of scholarships has not changed since previous phases, it is reasonable to consider the outcomes relating to alumni from earlier intakes. Some of these alumni have been back in Vietnam for as long as ten years and in 2011 will have been back twelve years which provides a medium term perspective on alumni contributions and sufficient time to consider the specified program outcomes<sup>7 8</sup>.

### 3.2 Australian Leadership Award Fellowships

Australian Leadership Award Fellowships represent a different mechanism for supporting Vietnamese development but the PDD has identified a role for the ASMC in promoting ALAF within its management contract. The ASMC has responsibilities for a more proactive marketing of the ALAF to Australian and Vietnamese agencies; and recording of past, present and future data about ALA Fellows on the scholarship database. The Scope of Services further clarifies that the assistance is to be given to ministries of the GOV and that the assistance is to be provided by the ASMC through the International HRD Advisor. AusAID has since clarified that at this stage ASMC pro-active assistance will be limited to those organisations included in the PPI Program and that the ASMC M&E role is to report annually on the number of fellowships against each of the country priority areas and the number specifically brokered by the ASMC.

There is an implicit assumption that a fellowship is equivalent to a short term scholarship, which is doubtful. ALAF works by linking Australian agencies that share interests with agencies in other countries. Although AusAID posts prioritise selection in their countries - which means that the AusAID Vietnam Post could prioritise agency relationships that meet the DCS development priorities - selection is undertaken independently in Canberra according to other criteria. Most importantly, the extent to which development outcomes are achieved is likely to be more at an agency-to-agency level

<sup>5</sup> Data from the 2008 tracer study show that around 20% of alumni were overseas but many are on further study and are likely to return to Vietnam at some point in the future.

<sup>6</sup> The bilateral relationship was not reflected in the original PDD objectives but was identified during consultations with AusAID who requested that this be included.

<sup>7</sup> ASS considers 10 years to be the optimal timeframe for tracking scholarship outcomes. AusAID, Presentation on ASG Monitoring and Evaluation Strategy, July 2008.

<sup>8</sup> Selection criteria were different to ASDiV and it will be important for any follow-up of alumni to seek to match respondents against the criteria that applies under the current program for the above outcomes to be measured.

than that of the individual fellow inferring that a different program logic applies. Nevertheless, AusAID has requested that the ASMC report on the impacts of ALAF.

In the absence of knowledge about the number and type of fellowships that will be funded, the agencies to which they pertain and the development outcomes they serve, the best approach would seem to be conduct an annual cluster evaluation of a selection of fellowships supplemented by a survey of fellows seeking information about the specific post-fellowship activities they have undertaken.

## 4. OVERVIEW OF THE M&E STRATEGY

A revised M&E Framework is presented in *Annex 2* of this report. It incorporates key aspects of the ASS Scholarships M&E Framework, Objective, Outcome and Output Indicators described in the logframe (*Annex 1*), and other quality assurance indicators. The MEF recognises the clear distinction drawn in the PDD between the two purposes of the M&E Strategy and Plan namely evaluating program impact and providing the data to support continuous improvement. The former assesses the extent to which scholarships and fellowships are contributing to the achievement of the four program outcomes while continuous improvement focuses on the efficiency and effectiveness of the achievement of the three outputs which the ASMC controls.

The M&E Strategy and Plan employs five primary data collection methodologies. These are discussed in detail in *Annex 3* but are briefly described below.

### 4.1 Continuous Improvement

Three key outputs have been identified in the program logic which represent the ASMC's main contributions to the achievement of ASDiV program results. It is critically important that the ASMC's processes result in the:

- *Recruitment* of a sufficient number of eligible applicants against each of the five criteria profiles to provide a viable selection pool
- *Selection* of appropriate candidates who will succeed in study in Australia, and who on return will contribute effectively to Vietnamese development
- *Placement* of these awardees in appropriate courses in Australian universities so that they can gain new skills and knowledge relevant to Vietnamese development.

In addition, the ASMC will review the results of the ASG Annual Student Survey and where appropriate make recommendations to AusAID regarding identified issues that awardees face while studying in Australia. The survey data may be supplemented with information from other sources including SIMON and OASIS and academic results in regard to common reasons for extensions and awardee failure should this prove to be a significant issue.

#### 4.1.1 Program Data

The PDD notes that:

*The design team had expected to be able to summarise statistics relating to ADS from available information, but this has not been possible as reporting currently offers limited detail and lacks clear differentiation about participation at different stages (e.g. application, short-listing, award of scholarships, and re-integration into work on graduation and return to Vietnam).*

The ASDiV and previous phases of the program collect a wealth of information on applicants, short-listed candidates, awardees and alumni but this has not previously been stored in an appropriate data

system that could produce the type of statistics the Design Team was seeking. At a minimum, it should be possible to, at all stages of the scholarship cycle to: identify which participants meet the program criteria; and what the relevant attrition rates at each stage so that the management implications can be identified.<sup>9</sup> The ASMC is in the final stages of building a more robust database with web-based access that various parties, including AusAID, can utilise. This will improve the level of data available including accurate reporting on key performance indicators against the three outputs. The key performance indicators are described more fully in *Annex 2*.

#### **4.1.2 Evaluation of Effectiveness of the Promotional Campaign**

Selection of an appropriate group of awardees is highly dependent on getting sufficient eligible applications from applicants that match the development profiles and are likely to succeed in study in Australia.

To date the applicant pool appears limited. The report of the Joint Selection Committee meeting held on 15 October 2009 classified applications according to the development profiles that will be applied by the new ASMC and revealed that 66% of all applications fell outside the profiles yet only 577 eligible applications were received in total. At the same time, the number of scholarship awards available has increased from 175 to 225 and is likely to be maintained around this level for the next few years.

Ideally, the selection process should involve some form of competitive selection which implies that, at a minimum, there should be a greater number of eligible applications than available awards in each category. In the 2009 applications this was only the case in the 'other' (open) category meaning that all other applicants were virtually guaranteed the offer of an award<sup>10</sup>. Moreover, the selection process does not appear to give great weight to GPA levels or English language ability, which since these factors are primary considerations for acceptance into Australian universities, allows the considerable risk that awards will be offered to applicants who may not ultimately qualify for entry<sup>11</sup>. To some extent this risk is mitigated in ASDiV by the inclusion of academic advisers in the selection process but if the size of the applicant pool were to be increased in future years through more effective promotion, it will be important to give these criteria greater prominence.

An evaluation of the effectiveness of the promotion strategy will be undertaken each January commencing in 2011 to consider these factors. Primary criteria will be effectiveness in terms of numbers of eligible applicants matching the respective development profile categories and cost effectiveness in terms of the cost of generating each application. The evaluation will consider factors that may be limiting the size of the applicant pool including the inherent demand for scholarships at both PhD and Masters level.<sup>12</sup> It will also review the effectiveness of the promotion strategy for recruiting suitable female applicants, particularly ethnic minority women.

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<sup>9</sup> For example, the M&E Adviser, heard anecdotal evidence, while preparing this plan, to suggest that while women are over-represented at application stage and equally represented at selection stage there are cultural reasons that may reduce the actual percentage of women who ultimately commence study in Australia. If true, this would have profound implications for the management of the program and the achievement of Outcome 3, and a specific indicator has been included to test the validity of this evidence in order that corrective action can then be taken.

<sup>10</sup> The magnitude of the task of increasing the number of applicants in each development profile category should not be underestimated given that no applications outside these categories will be allowed in future years.

<sup>11</sup> GPA is considered for PPI nominees and applicants with overseas degrees but not for other applicants. Applicants are asked to supply ELT scores, if these are available, but they are apparently have not been used in the early part of the selection process.

<sup>12</sup> It is noted for example that there were only 94 eligible applications for PPI awards in 2009. Since 90 awards will be available in future years this is probably an insufficient level of applications, unless all were excellent candidates, but may nevertheless be indicative of the absorptive capacity of the agencies involved.

### 4.1.3 PPI Pipeline

The PDD indicates a three year rolling cycle for inclusion of PPIs, however, the current composition of PPIs may change with the introduction of the new Australia Vietnam DCS. An Arrangement between each PPI and AusAID has been established and is to be signed by both organizations. This Arrangement notes the responsibilities of the participating parties as well as the duration and processes for review of participation. It will be important to establish the level of capacity of each organisation to engage with the ASDiV selection processes and the potential pool of applicants in future years in each PPI. The M&E Adviser will work with the HRD Team to ensure this data is collected and maintained on the ASDiV database so that it can be tracked and reported annually. An assessment of the effectiveness of the PPI HRD Support Strategy will be included in the continuous improvement report annually.

## 4.2 Program Impact

### 4.2.1 Tracer Study

Comprehensive tracer studies of alumni were conducted in 2005 and 2008 that have produced good information about the general experience of alumni on return to Vietnam. These tracer studies considered the total pool of all alumni and have provided an important description of the post-award experience of ADS alumni. A strength of the approach was supplementing survey data with a range of other data collection methods including, focus groups and interviews with supervisors.

However, the studies have suffered from the considerable limitation of a lack of generalisability across the population despite high response rates. So, for example, the 2008 study concluded that, *“evidence points to the fact that ADS graduates do enjoy a moderately high level of career advancement after they return from Australia”* yet an alternative interpretation of the data is that perhaps people who had positive career progress were more motivated to respond to the survey. This difficulty can be avoided by the application of a statistically valid sampling process and it is therefore suggested that a stratified random sample be applied to studies to future studies. This is the approach that ASDiV will take in building on the previous work. Of particular importance, in both sampling and in subsequent analysis, close attention will be given to the representation of male and female, ethnic minorities and disabled alumni and the outcomes that are experienced by them. Approximately 700 alumni will be surveyed with an assumed 50% response rate.

### 4.2.2 Longitudinal Individual Case Histories

In contrast to a survey, profiles of individual alumni provide a mechanism to gain a more qualitative perspective on alumni experience; however, they are time consuming and require a level of expertise to be done well. The previous program focused on writing up individual stories based on interviews. In contrast, the ASDiV approach will draw on all data held on the individual to provide a complete case history from current application through to current employment. Taking this approach will enable a longitudinal perspective on the program as case histories will be progressively added to overtime. Each individual case history will be revisited every three years. Individuals will be drawn from within the tracer study population and will be specifically selected to represent each of the five profile categories. A minimum of twenty profiles will be produced each year with at least four from each category<sup>13</sup>. It should be noted that there are limitations to the extent that the stories which emerge from case histories can be considered representative of the population. Individual's experience varies widely and although common themes may emerge overtime these will need to be triangulated through other methods. Where there are profiles that demonstrate successful outcomes for women, ethnic

<sup>13</sup> The PDD suggests that 12 profiles should be produced each year being one for each PPI. However, given that individual experience cannot be generalised to be typical of an organisation and that the number of PPI will change each year there is not a compelling argument to sample each PPI in this way.

minority or disabled students, these may, with the agreement of the individuals concerned, be disseminated and used to encourage further applications from these groups.

#### 4.2.3 Focus Groups

It is intended to continue the previous excellent practice of following up specific impact questions through focus group discussions. Focus Groups are a useful method of exploring particular items of interest including common themes emerging from case studies and surveys such as factors that contribute to successful reintegration for both men and women, as well as ethnic minority and disabled students in the workforce.

#### 4.2.4 PPI Impact

The rationale for focusing 40% of available awards on a select group of institutions is that overtime a concentration of alumni in those PPIs may contribute to improved organisational effectiveness. Despite this, the PDD contains no specific references to evaluating organisational effectiveness in PPIs and does not differentiate between the impact of alumni meeting this profile and the other four development profiles. The reason for this is almost certainly that alumni numbers in the selected PPIs are currently small and it would be difficult to say anything meaningful about the contribution of alumni beyond the individual contribution explored by other methods. However, in the longer term this will change as significant alumni numbers build up in selected institutions.

Bearing in mind the desire from AusAID to establish an impact measurement regime that extends at least five years from the end of the ASDiV, the M&E Adviser will work with the HRD team to explore approaches to the measurement of institutional impact in selected PPIs. To the extent possible, these approaches will seek to involve members of the ADS Institutional Supervision Panel in each PPI and help reinforce the links between HRD planning and achievement of results. Together with the Alumni Manager the M&E Adviser will also compile statistics on alumni in each PPI with a view to subsequent tracking of alumni careers with the assistance of Institutional Supervision Panels. Particular attention will be given to the position of women in each PPI both from the perspective of them as alumni and potential applicants and also regarding any organisational issues that impact their subsequent careers.

#### 4.2.5 Annual Cluster Evaluation of ALA Fellowships

A small sample of ALA Fellowship programs specifically identified and promoted by ASDiV will be selected for evaluation every year. The sample will be purposively selected with priority given to those fellowships likely to yield the most instructive lessons and with the clearest development outcomes. The evaluation will consider issues of relevance, effectiveness, efficiency, impact and sustainability.

### 4.3 Special Evaluation Studies

Three small stand alone studies are proposed to supplement program learning. These are focused on:

- **Overseas Alumni.** The 2008 tracer study identified that approximately 20% of alumni who were overseas at the time the study was conducted. This is a large proportion and since the response rate from this part of the alumni population was particularly low (12%) it would be useful to know more about them, particularly whether they intend to return to Vietnam, whether they are contributing to Vietnamese development in other ways, and what the cost of those who do not return is to the program. This study will be conducted in 2010.
- **Contribution to Development.** ADS Vietnam scholarships are first and foremost intended to support Vietnamese development. The major focus of this is strengthening the capability of

Vietnamese agencies but there are other aspects of development contribution that may not be fully captured within this definition particularly where alumni act individually or outside organisational contexts. ADS experience in other countries has demonstrated that alumni are able to identify highly specific contributions which should be documented and can be thematically analysed. This study will be conducted in 2012

- **Bilateral Relationship.** This study is similar to the contribution to development study but seeks to identify specific instances of alumni supporting bilateral relations. It is designed to support reporting against ASDiV Objective 4. This study will be May 2014.

The Special Evaluation Studies are planned for years between the Tracer Studies in order to smooth out resource demands over the program.

#### 4.4 Long Term Impact Measurement

To address the long-term nature of scholarship impact, the Design (p. 16, 68) provides for an impact study five years after the conclusion of the ASDiV program to be designed and commissioned by AusAID. The impact study will necessarily focus on the outcome level of the program which means that it will focus on what Alumni have done since return. It is likely that this study will utilise data collected in tracer studies and longitudinal case histories but the intention is to design the study by January 2012 and to have collected a full set of relevant baseline data by November 2015 to which the impact study can refer. An essential element will be the follow-up of alumni from the ASDiV intakes which means that it is critical that in the intervening period between the end of ASDiV and the impact study 5 years later that contact with the alumni is maintained so this will need to be built into a future contractor's terms of reference. Any other critical requirements will be detailed in the design of the study.

#### 4.5 Gender Equality and Social Inclusion

Overarching issues for the ASDiV program are gender equality, disability and HIV/AIDS. AusAID has separate strategies covering these program dimensions. Key elements of these strategies are reflected in ASDiV's Gender Equality and Social Inclusion Strategy (GESIS). ASDiV's GESIS has been fully integrated into this monitoring and evaluation plan to ensure that it is not seen as a stand-alone document but rather a key element of program effectiveness. As such the MEF includes indicators to measure the implementation of the strategy.

M&E tools such as application data, student databases and records and other program data, and tracer studies will collect disaggregated data (by sex and ethnicity). ASDiV will flag records of any candidates selected who have a disability. In addition, the MEF includes specific indicators on the percentage of men and women selected in the program, the percentage of men and women who actually commence and finish study in Australia and the percentage of women alumni in the workforce one and three years after study. Monitoring of gender equality and social inclusion will also focus on

- Monitoring selection processes to review strategies for recruiting suitable female applicants, particularly ethnic minority women.
- The differential impacts of the program on men, women and ethnic minority students. Tracer studies will look at differences in outcomes for male/female, ethnic minority and disabled applicants. They will also look at how women and people from ethnic minorities are able to use their new skills and move into positions of leadership on their return, as well as how they impact upon gender policies on their return.

Program reporting will use and analyse disaggregated data and will analyse program management process, procedures, and lessons learnt from a gender and social inclusion perspective. The M&E

Adviser, in conjunction with the Gender Adviser will report progress against the strategy annually in January.

## 4.6 Risk Management

AusAID guidance on M&E systems development suggests that management should be incorporated within performance monitoring and has therefore been incorporated in the ADSIV M&E Strategy and Plan<sup>14</sup>. A comprehensive Risk Management Matrix (RMM) was given in the PDD and was reviewed by the Team Leader and M&E Adviser when preparing this plan. This is attached as *Annex 5*.

The RMM will be updated annually by the M&E Adviser in discussion with ASMC staff. Risks encountered will be recorded in a risk log. Changes to the RMM will be monitored in a track changes version and reported in the March Annual Plan.

## 5. REPORTING

The primary M&E reporting tool is the Annual Report which will be submitted in January each year. The Annual Report will contain an M&E Report on both program impact and continuous improvement. The latter will include an evaluation of the effectiveness and efficiency of the promotional strategy and the GESIS each year. Tracer Studies and Special Evaluation Studies will be prepared as stand-alone reports in the year they occur.

### 5.1 Database

The ASDiV database is a key resource for the M&E System and is adequately supported by an experienced IT Manager and a full-time Database Assistant. At peak periods in the scholarship cycle this resource base may need to be supplemented by various casual data entry staff and data integrity is the responsibility of the Deputy Team Leader.

The IT Manager is working with Coffey International Development programmers to develop a system that fully meets ASDiV needs. This will include the ability for other stakeholders including Coffey's Adelaide Office and the Pre-departure Training Provider to access relevant sections and obtain reports as required.

A range of standard reports, particularly pertaining to application, selection and the management of PPI relationships is being developed as part of database. The M&E Adviser has provided a list of necessary database fields which include the items to be captured for use by the M&E system.

## 6. TIMING AND RESOURCES

M&E resources for the program are sufficient given a tightly structured approach that draws significantly on existing program data and the resources of staff in the program. Indeed the approach has been structured with these resources in mind. In particular the M&E will draw significantly upon the Database Assistant, the HRD Team and the Alumni Manager. A Gantt chart of M&E activities is given in *Annex 6* which also shows mobilisation details for the M&E Adviser up to 31 January 2012. Terms of Reference for the M&E Adviser is given in *Annex 7*. The Schedule will be elaborated further after AusAID's external review in May 2011. Other support from team members is not shown since this is ongoing and integrated with their other workloads but includes:

#### Alumni Manager

- Maintaining contact with alumni

<sup>14</sup> AusAID, Guidance on Activity-level Monitoring & Evaluation October, 2008.  
[http://www.ausaid.gov.au/ode/pdf/ME\\_guidance.pdf](http://www.ausaid.gov.au/ode/pdf/ME_guidance.pdf)

- Organising PPI alumni activities
- Collect information for individual case histories
- Assisting with administration of the biannual tracer studies
- Organising professional development activities
- Assisting the HRD Team to monitor the careers of PPI alumni

#### **HRD Team**

- Identifying PPI strategic priorities
- Assisting to monitor the pipeline of past, current and future awardees
- Coordinating PPI reintegration activities

#### **Database Assistant**

- Ensuring the capture, maintenance and accuracy of program data including the inclusion of M&E indicator data
- Capturing data to support the three Special M&E Studies
- Linking survey data to other program data and providing secure maintenance of survey data
- Providing SIMON and OASIS data in a useable form for M&E analysis
- Support for the Alumni Manager to ensure that alumni data is securely and accurately maintained and updated

#### **Gender and Social Inclusion Adviser**

- Assist M&E Adviser to analyse disaggregated program data, tracer studies and individual case studies
- Review the appropriateness and effectiveness of mainstreaming strategies
- Address implementation challenges where women's and ethnic minority participation is limited and suggest modifications where necessary
- Draw out and share lessons on effective strategies for targeting women and other marginalised groups
- Assist M&E adviser to demonstrate how the GESIS has contributed to overall program effectiveness and outcomes.

**Budget.** In the Head Contract there is a budget of AUD 50,000 for Support for approved M&E Studies. Apart from the cost of these studies, this budget allocation will also include costs of additional staff and related costs incurred in trying to locate the current untraceable alumni on the existing database and conducting ALAF cluster evaluations. The budget for implementation of the M&E Strategy and Plan until January 2012 is approximately \$330,000 representing approximately 4% of total program costs inclusive of data collection costs and staff time which is comprised of:

- 100% International M&E Adviser
- 40% Alumni Manager
- 10% National and International HRD Advisers
- 30% Database Assistant
- 10% Gender and Social Inclusion Adviser

# A n n e x 1

## **ASDiV Logframe**

**ASDiV Logframe<sup>15</sup>**

ACTIVITY DESCRIPTION	INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
<b>Goal</b>			
Economic growth and poverty reduction in Vietnam is facilitated by access to new professional and technical capacity and leadership skills contributed by an expanded group of Vietnamese graduates from Australian tertiary programs and study placements.	Number of alumni successfully returning to Vietnam	Oasis/SIMON data	That alumni return to Vietnam after completion of their study
	Number of alumni who still in Vietnam 3, 5 and 10 years after successful completion of studies	Survey in 2013, 2015 and 2020, Special Study 1	That alumni return to Vietnam on completion of study and do not leave after serving out bond periods
	Number of alumni working in areas relevant to their studies in 2011, 2013 and 2015	Survey in 2011,2013 and 2015	That alumni will work in areas similar to those where they were recruited from originally
	% of ALAS and ADS alumni in leadership positions in their organisations and professional fields	Survey in 2011,2013 and 2015	That in time a significant percentage of alumni will be promoted to senior positions where they can exercise leadership and make greater contributions to development

<sup>15</sup> All indicators measuring number or % of students/alumni etc will be disaggregated by sex and ethnicity so that differential impacts can be reported.

<b>Outcomes</b>			
<b>Outcome 1:</b> Australian scholarship and fellowship Alumni in Vietnam make personal contributions to priority development areas.	% of survey respondents in profiles 1,2 and 3 who indicate they are able to use their skills and knowledge to contribute to Vietnamese development in priority areas	Survey in 2011,2013 and 2015	That alumni are able to use skills and knowledge effectively on return
	List of contributions to Vietnamese Development made by respondents to the special study of contributions to development in 2012.	Special Study 2	That alumni are motivated and supported to make positive contributions to development
	% and type of contribution reported by alumni in profiles 1,2 and 3 during individual case histories	Longitudinal case histories	That alumni are motivated and supported to make positive contributions to development
	% and type of contribution by ALA Fellows after return	ALA Survey	That alumni are able to use skills and knowledge effectively on return
<b>Outcome 2:</b> Australian PhD qualified alumni improve the quality of teaching & research programs in Vietnamese universities & TESOL qualified alumni support the national program to expand skills in English.	% of survey respondents in profiles 4 and 5 who indicate they are able to use their skills and knowledge to contribute to teaching, research and English language development.	Survey in 2011,2013 and 2015	That alumni are able to use skills and knowledge effectively on return

	List of contributions to Vietnamese teaching, research and English language development made by respondents to the special study of contributions to development in 2012.	Special Study 2	That alumni are motivated and supported to make positive contributions to development
	% and type of contribution reported by alumni in profiles 4 and 5 during individual case histories	Individual case histories	That alumni are motivated and supported to make positive contributions to development
<b>Outcome 3:</b> Women and men have equitable access to scholarships and new skills and use their new skills to contribute to gender equality in Vietnam obtaining new skills and using them to contribute to the development in the priority areas.	% of female awardees selected for study in Australia	Disaggregated Program data	Women and men have the same opportunity to contribute to Vietnamese development on return as male alumni.
	% of survey respondents in each profile who report that they are able to use their skills and knowledge to contribute to policy or service delivery that enhances the status of women in Vietnam and reduces gender and other social biases.	Tracer studies, individual case histories, focus groups and Special Study 2	
	% of female ALAS and ADS alumni in senior management/policy positions in their organisations and professional fields		

<b>Outcome 4:</b> Alumni return with and maintain linkages and positive perceptions of Australia that contribute to strengthening the Vietnam-Australia bilateral relationship	% of alumni who regard their scholarship experience positively	Survey in 2011, individual case histories	That positive experiences will provide residual goodwill towards Australia and Australians and facilitate mutual understanding
	% of alumni who say they feel positively disposed towards Australia 3,5 and 10 years after return	Survey in 2013, 2015 and 2020, Special Study 3	That positive perceptions and feelings are maintained over time
	% of alumni by profile who report maintaining links with someone in Australia by type of link	Survey in 2013, 2015 and 2020 Special Study 3	That awardees develop lasting friendships and professional relationships with Australians while in Australia
	% of alumni who report maintaining links with other Australian Scholarship Alumni 3,5 and 10 years after return	Survey in 2013, 2015 and 2020, Special Study 3	That awardees develop beneficial relationships with other awardees while in Australia that will support them and reinforce their alumni experience on return
<b>Outputs</b>			
<b>Output 1:</b> Sufficient eligible applications received from applicants that match the five development priority profiles	% of applicants that match each of the five development profiles	Program Data	Development profiles accurately reflect Vietnam's development needs and & AusAID's development priorities
	% of applicants from profiles 1,2 and 3	Program Data	Awardees in profiles 1,2 and 3 are able to contribute to Vietnamese development and poverty alleviation

<b>Output 2:</b> Appropriate candidates selected that match priorities and are likely to succeed in overseas study	% of applicants from profiles 4 and 5	Program Data	Awardees in profiles 4 and 5 are able to contribute to improved university level teaching and research and the development of English language teaching nationally
	% of female, ethnic minority and disabled applicants	Program Data	Equal opportunities provided to women and men, ethnic minorities and disabled applicants
	% of awardees that match each of the five development profiles	Program Data	Development profiles accurately reflect Vietnam's development needs and AusAID's priorities
	% of awardees from profiles 1,2 and 3	Program Data	Awardees in profiles 1,2 and 3 are able to contribute to Vietnamese development and poverty alleviation
	% of awardees from profiles 4 and 5 that from appropriate teaching and research positions	Program Data	Awardees in profiles 4 and 5 are able to contribute to improved university level teaching and research and the development of English language teaching nationally
	% of female awardees selected for study in Australia	Disaggregated Program data	Women and men have the same opportunity to contribute to Vietnamese development on return as male alumni.
	ratio of female, ethnic minority and disabled awardees compared to applicants	Program Data	Equal consideration provided to women and men, ethnic minorities and disabled applicants

<b>Output 3:</b> Awardees placed in appropriate study programs	% of awardees placed in a course consistent with academic adviser recommendations	Program Data	Academic advisers are able to recommend placements consistent with awardees needs and future development contribution
	% of PPI awardees whose study plans are consistent with PPI needs		PPI needs are consistent and still relevant on awardees return
	% of alumni who felt they were in the right course and right university	Survey in 2011,2013 and 2015	Alumni are able to express an informed opinion about the relevance of placement to their needs
	% of female awardees who depart for study in Australia	Disaggregated Program data	

**Note:** A logframe for ASDiV was not included in the PDD and this version has been developed by the M&E Adviser after consultations with program staff and AusAID. MOET was unavailable for consultation during the M&E Adviser's visit.

# A n n e x 2

## **M&E Framework**

**M&E Framework<sup>16</sup>**

M&E Question	Indicators	Method	Responsibility for Data Collection	Responsibility for Analysis & Reporting	Analysis Timing	Report Timing
	Effectiveness of media utilised	Promotion data	ASDiV	M&E Adviser	Annually December	Annual Report
Has ASDiV promotion been effective and efficient?	Ratio of eligible applications in each category to available awards	Application data	ASDiV	M&E Adviser	Annually December	Annual Report
	% of ineligible applications received (disaggregated by sex and ethnicity)	Application data	ASDiV	M&E Adviser	Annually December	Annual Report
	Cost of promotion strategy per application produced	Application data	ASDiV	M&E Adviser	Annually December	Annual Report
	Cost of promotion strategy per profile	Application data	ASDiV	M&E Adviser	Annually December	Annual Report
	No of ALAS applications received	Application data	ASDiV	M&E Adviser	Annually December	Annual Report
Has ASDiV selected the right people?	% of candidates from rural and ethnic communities	Selection Data	ASDiV	M&E Adviser	Annually December	Annual Report
	% of candidates selected from each profile	Selection Data	ASDiV	M&E Adviser	Annually December	Annual Report

<sup>16</sup> All indicators measuring number or % of students/alumni etc will be disaggregated by sex and ethnicity so that differential impacts can be reported.

M&E Question	Indicators	Method	Responsibility for Data Collection	Responsibility for Analysis & Reporting	Analysis Timing	Report Timing
	% of eligible nominations from each PPI.	Selection Data	ASDiV	M&E Adviser	Annually December	Annual Report
	Reasons for selecting any individuals who do not meet ASDiV criteria	Academic Adviser Reports	ASDiV	M&E Adviser	Annually December	Annual Report
	% awardees successfully completing an Australian qualification	SIMON/OASIS DATA	Aust. Unis	M&E Adviser	Annually December	Annual Report
	Reasons for Failure	SIMON/OASIS	Aust. Unis	M&E Adviser	Annually December	Annual Report
Have the awardees been placed in the right course?	% of PPI awardees whose course is consistent with PPI priorities	Program Data	HRD Team	M&E Adviser	Annually December	Annual Report
	% of awardees placed in a course consistent with Academic Adviser Recommendation	Program Data	Academic Adviser	M&E Adviser	Annually December	Annual Report
	PPI satisfaction with placements	Satisfaction Survey	HRD Team	M&E Adviser	January 2012	Annual Report
	% alumni who felt they were in the right course	Tracer Study	M&E Adviser	M&E Adviser	May-August 2011,2013,2015	Tracer Study Report
	% alumni who felt they were in the	Tracer Study	M&E Adviser	M&E Adviser	May-August	Tracer Study

M&E Question	Indicators	Method	Responsibility for Data Collection	Responsibility for Analysis & Reporting	Analysis Timing	Report Timing
	right university				2011,2013,2015	Report
Is the program on track to achieve the objective?	Selection on time	JSC Minutes	TL	M&E Adviser	Annually December	Annual Report
	Selection in accordance with agreed criteria	JSC Minutes	TL	M&E Adviser	Annually December	Annual Report
	% of eligible awardees placed	Program Data	TL	M&E Adviser	Annually December	Annual Report
	% of awardees not meeting entry requirements	Program Data	TL	M&E Adviser	Annually December	Annual Report
	Progress towards achieving program outcomes	M&E Adviser Assessment	TL	M&E Adviser	Annually December	Annual Report
Are awardees satisfied with selected aspects of their award related and personal experiences both in Vietnam and in Australia?	% who felt they were in the right course	Tracer Study	M&E Adviser	M&E Adviser	May-August 2011,2013,2015	Tracer Study Report
	% who felt they were in the right university	Tracer Study	M&E Adviser	M&E Adviser	May-August 2011,2013,2015	Tracer Study Report
	% who felt adequately prepared for study in Australia	Tracer Study	M&E Adviser	M&E Adviser	May-August 2011,2013,2015	Tracer Study Report
Are alumni applying	% of public sector alumni who return to	Alumni	Alumni Officer	M&E Adviser	Annually	Annual Report

M&E Question	Indicators	Method	Responsibility for Data Collection	Responsibility for Analysis & Reporting	Analysis Timing	Report Timing
knowledge and skills in their workplace?	their employers on return to Vietnam	Database			December	
	% of alumni in jobs relevant to their overseas study	Tracer Study	M&E Adviser	M&E Adviser	May-August 2011,2013,2015	Tracer Study Report
	% of alumni who report being able to use their knowledge and skills in their job	Tracer Study	M&E Adviser	M&E Adviser	May-August 2011,2013,2015	Tracer Study Report
	% of alumni overseas that do not intend to return to Vietnam	Special Study 1, Alumni Data	Alumni Officer	M&E Adviser	May 2010	Special Study Report 1
	Type of contribution being made by Alumni	Special Study 2, Program Data	Alumni Officer	M&E Adviser	June 2012	Special Study Report 2
	% of alumni moving into more senior positions	Tracer Study	M&E Adviser	M&E Adviser	May-August 2011,2013,2015	Tracer Study Report
	List and type of activities conducted by ALA Fellows	ALAF survey	M&E Adviser	M&E Adviser	Annually December	Annual Report
Are alumni being effectively reintegrated into PPIs in order to strengthen agency	% of PPI alumni working in positions related to the priority area they were selected against 1 year and 3 years 5 years after return	Alumni Data, Individual Case Histories	HRD Team Alumni Officer	M&E Adviser	Annually December	Annual Report

M&E Question	Indicators	Method	Responsibility for Data Collection	Responsibility for Analysis & Reporting	Analysis Timing	Report Timing
service provision?	% of PPI alumni remaining in the organisation 3 and 5 years after return	Alumni Data, Individual Case Histories	HRD Team Alumni Office	M&E Adviser	Annually December	Annual Report
	% of PPI alumni reporting their study is relevant to their position after 1 year and 3 years 5 years after return	Tracer Study	M&E Adviser	M&E Adviser	May-August 2011,2013,2015	Tracer Study Report
	% of PPI alumni who return being able to use their knowledge and skills in their job	Tracer Study	M&E Adviser	M&E Adviser	May-August 2011,2013,2015	Tracer Study Report
	Size of ADS contribution to the PPI by priority area	M&E Adviser Assessment	M&E Adviser	M&E Adviser	Nov 2015	Completion Report
Are alumni initiating and/or supporting linkages between Vietnam and Australia (linkages includes governmental, institutional and person to person links).	% of alumni maintaining social linkages with at least one Australian	Tracer Study	M&E Adviser	M&E Adviser	May-August 2011,2013,2015	Tracer Study Report
	% of alumni maintaining professional linkages with at least one Australian	Tracer Study	M&E Adviser	M&E Adviser	May-August 2011,2013,2015	Tracer Study Report
	% of alumni maintaining social or professional contact with other Australian Awards alumni disaggregated by sex and ethnicity	Tracer Study	M&E Adviser	M&E Adviser	May-August 2011,2013,2015	Tracer Study Report
	% of alumni who report having recommended personal and other	Tracer Study	M&E Adviser	M&E Adviser	May-August	Tracer Study

M&E Question	Indicators	Method	Responsibility for Data Collection	Responsibility for Analysis & Reporting	Analysis Timing	Report Timing
	professional contacts to study in Australia.				2011,2013,2015	Report
	Activities by alumni that support the bilateral relationship	Special Alumni Survey 3	IMES	IMES	June 2011	Sept MEAPR 2011
	PPI linkages to Australian organisations supported by Alumni	M&E Adviser Assessment	M&E Adviser	M&E Adviser	Nov 2015	Completion Report
Do alumni return with and maintain a positive perception of Australia?	% of alumni who regard their scholarship experience positively	Tracer Study	M&E Adviser	M&E Adviser	May-August 2011,2013,2015	Tracer Study Report
	% of alumni who say they feel positively disposed towards Australia on return and 1,3 and 5 years after return	Tracer Study	M&E Adviser	M&E Adviser	May-August 2011,2013,2015	Tracer Study Report
Have awards promoted gender equality and social inclusion?	% of female, ethnic minority and disabled applicants selected	Program Data	TL	M&E Adviser	Annually December	Annual Report
	% of female and ethnic minority and disabled alumni in the workforce 3 and 5 years after study	Tracer Study	M&E Adviser	M&E Adviser	May-August 2011,2013,2015	Tracer Study Report
	Gender balance on selection committees % of PPIs with NCAW focal points on	Program Data	GSI Adviser	GSI Adviser	Annually	Annual Report

M&E Question	Indicators	Method	Responsibility for Data Collection	Responsibility for Analysis & Reporting	Analysis Timing	Report Timing
	selection committees					
	Gender and social inclusion training conducted for ASDiV staff	Training Record	GSI Adviser	GSI Adviser	2010	March Report
	Database of qualified women, people with a disability and from ethnic minorities established, maintained and used to target candidates	Program Data	TL	M&E Adviser	Annually December	Annual Report
	Changes to RMM in previous 12 months	RMM	M&E Adviser	M&E Adviser	Annually December	Annual Report
	List of risks encountered and treatment	Risk Log	M&E Adviser	M&E Adviser	Annually December	Annual Report

## A n n e x 3

### **Description of M&E Methods**

## Description of M&E Methods

The following Section provides detailed descriptions of the methods discussed in the ASDiV MEF.

### Tracer Study

Method. Stratified purposive sample based on profiles, level of study and sex. Approximately 700 alumni will be surveyed with an assumed 50% response rate.

Survey Instrument. The survey will make maximum use of data already maintained on the ASDiV alumni database by linking data through awardee file numbers. At the same time respondents will be encouraged to update information that will be used to update the alumni database. This includes the following fields that can be employed in analysis of results:

- Development Profile
- Sex
- Ethnicity
- Date of birth
- Province at time of application
- Marital status at time of award
- No of children
- University
- Degree level of award (Masters/PhD)
- Degree level obtained
- Employment Sector (public/private)
- Employer at time of application
- Unit/Section
- Position at time of application
- Date commenced study
- Date of return
- JSC score
- Length of EAP
- IELTS score on completion of EAP

### Proposed Survey Questions<sup>17</sup>

2011
Was the course you studied the right course for you? Yes/No
Was the university you studied at the right university for you? Yes/No
What organisation do you currently work for? Text box
What type of organisation is this? Choice Box
What is your unit/section? Text box
What is your current position? Text box
How would you describe the function you undertake? Choice box
Is this the same level, lower or higher than when you applied for the scholarship? Choice box 1,2,3,4.
What is your current employment level (public awardees only)? Choice box
How relevant do you think your study in Australia is to your current position? Scale
How well do you think your skills and knowledge are being used in your current position? Scale
Have your work responsibilities increased since returning to Vietnam? Yes/No
Do you think you have improved the performance of your unit/section since returning? Yes/No
What changes have you introduced into your workplace (organisational, policy, research etc)
Since your return to Vietnam have you maintained contact with anyone in Australia on professional issues? Yes/No
Since your return to Vietnam have you maintained social contact with any Australians you met during study? Yes/No
Since your return to Vietnam have you maintained social contact with any other ADS alumni? Yes/No
Does your organisation have any professional links to organisations in Australia? Yes/No
If yes, are you directly involved in those link arrangements through your work? Yes/No
How do you feel about your scholarship experience in Australia? (+ve, -ve)
How do you feel about Australia in general? Scale (+ve, -ve)

<sup>17</sup> The survey instrument will be designed and piloted on a small group of alumni not included in the survey sample in 2010. It will include standard questions from the Australian Scholarships Section that are used across all ADS countries.

Survey data will be maintained in an Excel spreadsheet and will include ASDiV awardee ID numbers to enable linking to the ASDiV Database as required. Analysis will be undertaken using Statistical Package for the Social Sciences SPSS by the International M&E Adviser. Results will be presented in stand-alone reports in 2011, 2013 and 2015.

## LONGITUDINAL CASE HISTORIES

**Method.** Individuals will be identified from within the longitudinal/tracer study population. Twenty people will be interviewed each year with four being drawn from each development profile cohort. An equal number of women and men will be profiled. After three years individual profiles will be updated to take account of career changes, recent experience, changed plans.

**Background.** Relevant details prior to taking up the scholarship including those given in the application and selection period.

**Pre-departure Experience.** Length of program, entry and exit levels achieved.

**Placement.** Why did they choose the course and university they selected. In retrospect was this right program. What would they have done differently?

**On-award experience.** Academic Performance, study experience, difficulties encountered, most significant lessons.

**Reintegration.** Experience in the first year of return. Difficulties encountered

**Career Development.** Experience to date and subsequent plans. Will they stay with the organisation.

**Impact.** Personal Impact, Impact on Work (job, section, organisation), Wider Development Contribution, impact outside of work (family and community)

## SPECIAL STUDIES

Three Special Studies are proposed during the life of ASDiV to supplement program learning.

### Special Study 1. Overseas Alumni

The 2008 tracer study identified that approximately 20% of alumni who were overseas at the time the study was conducted. This is a large proportion and since the response rate from this part of the alumni population was particularly low (12%) it is considered desirable to know more about them, particularly whether they intend to return to Vietnam, whether they are contributing to Vietnamese development in other ways, and what the cost of those who do not return is to the program.

**Method.** The study will involve a short internet based survey sent to all alumni listed on the ASDiV alumni database as being overseas. It will be necessary to do so preliminary follow-up of these alumni in order to ascertain the accuracy of database information since there is a greater likelihood that these individuals may have moved or changed contact details.

Reasons for being overseas will be analysed thematically. This will be cross-matched to potential development contribution, likelihood of return and cost. Particular characteristics of the population that are not likely to return will be considered including gender, level of study, nature of previous employer. The length of time in Vietnam prior to overseas relocation will also be explored and whether bond requirements were satisfied, repaid or ignored.

The survey request will be sent out electronically in May 2010. It will be preceded by an email from ASDiV encouraging participation and non-respondents will be followed up. Data will be analysed by the M&E Adviser and reported in a special report that will be submitted with the September progress report.

## Special Study 2. Contribution to Development

The principle objective of ADS is to contribute to Vietnamese Development. Although wording may have varied in previous iterations of the program this objective has been a consistent aspiration. However contribution to development is difficult to assess given the diverse and disparate nature of the ADS Alumni population. Nevertheless, a simple survey in 2006 in Indonesia seeking details of contributions Alumni had made to development (*How have you helped Indonesia?*) had a strong response rate and produced many practical examples of things alumni had done. This sort of list was a powerful indication of program achievement against objectives but was limited by the survey method which did not permit any estimation of the size of contribution across the population as a whole, nor was it possible in detail to consider whether the alumni who made such contributions shared common characteristics. The Vietnam study will address these deficiencies

**Method.** The study is administratively simple. Two fields will be added to the Alumni database to permit a survey of all alumni to be sent. The survey will contain only two questions. '*Since returning to Vietnam have you done anything to contribute to the development of Vietnam (YES/NO). If yes please provide details*'. Responses to the questions will be automatically uploaded to the database and will be available for future information needs including alumni profiles as required.

Data will statistically analysed in relation to the size and representativeness of the respondent population. Type of contribution will be thematically classified by sector, type and reported magnitude. Key characteristics of the respondents who report development contributions will be analysed including, gender, province, public versus open sector, type of organisation, type of job, Australian degree level, development area. JST scores will also be considered to see if these are useful predictors of future activity.

The survey request will be sent out in May 2012. It will be preceded by an email from ASDiV encouraging participation and non-respondents will be followed up. Data will be analysed by the M&E Adviser and reported in a special report that will be submitted with the September progress report.

## Special Study 3: Bilateral Relationship

This study is methodologically similar to Special Study 2 but addresses a different key outcome of the program. As with contribution to development it is useful to understand what, if anything, alumni have done to support the bilateral relationship. No precedent for this study exists but it is considered likely that response rates will be lower than for Special Study 2. Applicants are not specifically selected on the basis of their supporting the bilateral relationship; rather this is assumed to be a natural by-product of scholarships. The study will provide an important check against this assumption across a wide range of alumni.

**Method:** The study is administratively simple. Two new fields will be added to the Alumni database to permit a survey of all alumni to be sent. The survey will contain only two questions. '*Since returning to Vietnam have you done anything to support good relations between Australia and Vietnam (YES/NO). If yes please provide details*'. Responses to the questions will be automatically uploaded to the database and will be available for future information needs including alumni profiles as required.

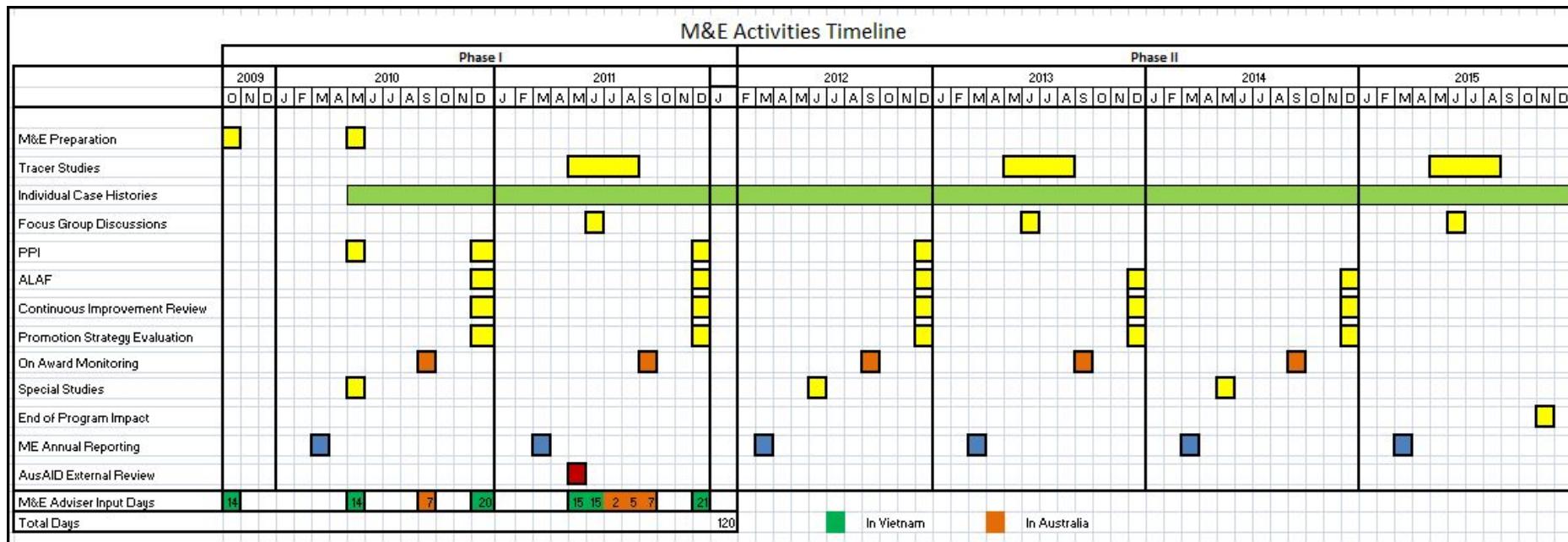
Data will statistically analysed in relation to the size and representativeness of the respondent population. Type of support will be thematically classified by type and reported magnitude. Key characteristics of the respondents who report development contributions will be analysed including, gender, province, public versus open sector, type of organisation, type of job, Australian degree level, development area.

The survey request will be sent out in May 2014. It will be preceded by an email from ASDiV encouraging participation and non-respondents will be followed up. Data will be analysed by the M&E Adviser and reported in a special report that will be submitted with the September progress report.

## A n n e x 4

### **Gantt Chart of M&E Activities**

## Gantt Chart of M&E Activities



# A n n e x 5

## **Risk Management Matrix**

**Key: H – High, M-Medium, L-Low**

Risk	Probability	Impact	Proposed actions and responsibility	Responsibility
<b>Partner Government Support</b>				
Partner Government counterparts do not relate effectively to the contractor resulting in lack of partner Government commitment, contribution to and ownership of the program	L	H	<ul style="list-style-type: none"> <li>ASDiV approaches are closely aligned with GOV priorities and periodically reviewed by the two governments</li> <li>The program will be responsive to changing priorities based on Annual Strategic Reviews providing these are not inconsistent with the program objectives.</li> <li>Maintain effective communication using tools including newsletters, webpage, alumni activities and face-to-face briefings</li> <li>Retain and ensure close working relationships with the Institutional coordinators and Scholarship supervision panels</li> </ul>	AusAID  ASMC  ASMC  ASMC
<b>Program Management</b>				
Fraudulent practice and/lax office security by program staff damage integrity of the Australian scholarships	L	H	<ul style="list-style-type: none"> <li>Financial functions and systems are quality assured by Coffey International Development Adelaide Office</li> <li>Implementation of Coffey International Financial Management Procedures including provisions for fraud control</li> <li>Applications of relevant elements of AusAID's anti-corruption policy</li> </ul>	CID  ASMC  ASMC
Failure of AusAID and GOV to respond to program requirements in a timely manner delaying Contractor outputs	L	H	<ul style="list-style-type: none"> <li>Allow flexibility in due dates and consultation time</li> <li>Set realistic turnaround timelines</li> <li>Regular communication with stakeholders</li> </ul>	ASMC  ASMC/AusAID  ASMC

Risk	Probability	Impact	Proposed actions and responsibility	Responsibility
Performance of Contractors is poor with inadequate program management inputs; failure to achieve objectives and diminished return on Australian investment in Vietnam's HRD development	L	H	<ul style="list-style-type: none"> <li>• Contractor to provide continuous quality assurance and improvement and with M&amp;E Adviser to report on quality annually</li> <li>• Annual Contractor Improvement Meeting</li> <li>• Contractor Performance Reports monitored</li> </ul>	ASMC/M&E AusAID/ASMC AusAID
Poor communication with EAP contractor	L	M	<ul style="list-style-type: none"> <li>• Contractors adhere to an agreed communication protocol and agreed calendar of key dates</li> </ul>	ASMC/ADS Training
Poor conditions in the administration of IELTS tests threatens integrity of IELTS scores and achievement of program outputs	L	M	<ul style="list-style-type: none"> <li>• IELTS Australia certifies ELT Contractor and monitors quality</li> <li>• ELT Contractor monitors the sub-contract for IELTS services to ensure standards of preparation, implementation and post test delivery of results</li> </ul>	ADS Training ADS Training
Loss of corporate memory with new contractor and failure to meet deadlines in the first 2 months	L	M	<ul style="list-style-type: none"> <li>• Effective handover from previous contractor to ASMC including data and systems</li> <li>• Appointment of key staff from previous contractor</li> </ul>	ASMC ASMC
<b>Targeting</b>				
Weak HRD capacity and/or lack of effective HRD policies in PPIs and any other targeted agencies	H	M	<ul style="list-style-type: none"> <li>• The program realistically accepts HRD constraints in the public sector</li> <li>• HRD staff provide more in-depth advisory support to PPIs</li> <li>• Ongoing M&amp;E of PPI program outcomes</li> </ul>	AusAID/ASMC ASMC/HRD ASMC/M&E
Agencies seek to nominate	L	M	<ul style="list-style-type: none"> <li>• Transparent selection process will be maintained and enhanced as</li> </ul>	ASMC

Risk	Probability	Impact	Proposed actions and responsibility	Responsibility
inappropriate candidates based on seniority or other such considerations			<p>necessary.</p> <ul style="list-style-type: none"> <li>• Applications of relevant elements of AusAID's Anti Corruption Policy.</li> </ul>	ASMC
Low level of applications for scholarships from targeted sections of Vietnamese society	H	H	<ul style="list-style-type: none"> <li>• Increased attention to targeted promotion</li> <li>• Different selection criteria for different application profiles</li> <li>• Work with alumni networks to promote scholarships</li> </ul>	ASMC ASMC/AusAID ASMC
<b>Australian Leadership Awards</b>				
Insufficient information on the ALA program available to prospective applicants negatively affecting the attractiveness of the program resulting in inappropriate applications, increased workloads and poor perceptions about all programs	L	H	<ul style="list-style-type: none"> <li>• ASMC directs suitable applicants to dedicated URL with links to AusAID and DEEWR sites and easy access to comprehensive ALA information including all necessary forms</li> <li>• Effective promotion of ALAS</li> <li>• Advertising ALAs as part of 'AusAID Scholarships' package</li> </ul>	ASMC/AusAID ASMC ASMC/AusAID
ALA Fellowships are not well linked to the Australia Vietnam Development Cooperation Strategy objectives	L	M	<ul style="list-style-type: none"> <li>• Fellowships to be monitored for congruency with Development Strategy and findings reported to AusAID</li> </ul>	ASMC/M&E
<b>Scholarship Policy and Administration</b>				
Staff turnover in AusAID or Contractor or GOV leads to a loss of commitment and resources for implementing the profile targeting approaches reducing effectiveness	L	H	<ul style="list-style-type: none"> <li>• Adequate briefing of all new staff</li> </ul>	ASMC/AusAID/ GOV

Risk	Probability	Impact	Proposed actions and responsibility	Responsibility
Inappropriate applicant profiles identified annually	L	H	<ul style="list-style-type: none"> <li>• AusAID ensures process is rigorous and involves genuine involvement of stakeholders</li> </ul>	AusAID
Cultural and institutional influences impede the achievement of ADS gender equity targets such that women do not benefit in an equitable manner from program opportunities	L	M	<ul style="list-style-type: none"> <li>• ASMC develops and implements a program gender strategy</li> <li>• M&amp;E monitors achievement of gender equity targets annually</li> </ul>	ASMC ASMC/M&E
Lack of awareness of new graduate post award alumni support	M	M	<ul style="list-style-type: none"> <li>• Alumni support widely and consistently promoted to alumni</li> <li>• Promotion of ASAN local charter after advice from AusAID</li> <li>• Promote commitment of scholars to Alumni activities and participation in M&amp;E</li> </ul>	ASMC ASMC ASMC
Graduate small grants approved for inappropriate or ineffective purposes lessening the value for achieving development outcomes	L	M	<ul style="list-style-type: none"> <li>• Transparent guidelines and process for submission of application for small grants including AusAID approval</li> <li>• Review of take up and purpose of grants annually</li> </ul>	ASMC/AusAID ASMC/M&E
Low response rates for evaluation of returned graduates results in difficult in monitoring utilisation and effectiveness of tertiary training provided	M	M	<ul style="list-style-type: none"> <li>• Highlight in pre-departure and in awardee agreements requirement to assist with M&amp;E</li> <li>• Maintain full contact details on alumni database</li> <li>• Access to small grants conditional on agreement to maintaining contact and assisting with M&amp;E</li> </ul>	ASMC ASMC ASMC
Annual intake awardees enrolled in inappropriate courses with awardees	L	M	<ul style="list-style-type: none"> <li>• Use of experienced academic advisers</li> </ul>	ASMC

Risk	Probability	Impact	Proposed actions and responsibility	Responsibility
struggling, discontinuing or failing in courses that are an inappropriate match for agreed areas for future development contribution			<ul style="list-style-type: none"> <li>Up to date database of courses matching profiles</li> <li>Monitoring of placements and awardee progress in consultation with relevant Australian universities</li> </ul>	ASMC ASMC
<b>Pre-departure English Language Training</b>				
Non-performance or poor performance by the chosen ELT Contractor and quality standards are not met jeopardising the progress of awardees	L	H	<ul style="list-style-type: none"> <li>AusAID monitors providers performance using qualified ELT Adviser</li> </ul>	AusAID
ADS awardees are unable to progress to the required IELTS level due to issues outside the control of the ELT Contractor	M	H	<ul style="list-style-type: none"> <li>ADS Training provides regular updates on awardee progress</li> <li>ADS Training has an effective pastoral care plan</li> </ul>	ADS Training ADS Training/ AusAID
Government of Vietnam agencies do not release staff and/or students are not prepared to devote time and effort to their studies	L	H	<ul style="list-style-type: none"> <li>Effective selection processes include the agreement of employers to release staff for pre-departure training requirements</li> </ul>	ADS Training
<b>Scholarship Outcomes</b>				
Graduates return to unsupportive working environment and/or lack of suitable positions for returnees	M	H	<ul style="list-style-type: none"> <li>Targeting strategies ensure all PPI awards reflect employer priorities and there is agency agreement to utilise awardees effectively on return</li> <li>Individual career paths plans facilitate reintegration of graduates into workplace</li> </ul>	ASMC/HRD ASMC/HRD

Risk	Probability	Impact	Proposed actions and responsibility	Responsibility
			<ul style="list-style-type: none"> <li>Post award initiatives contribute to the workplace and individual development</li> <li>Enhanced support to PPI's to assist the development and implementation of HRD plans</li> </ul>	ASMC/HRD ASMC/HRD
Graduates experience difficulty re-integrating into working and or home environment	M	M	<ul style="list-style-type: none"> <li>M&amp;E monitors reintegration experience through tracer studies case histories and focus groups</li> <li>Re-integration workshops held with PPI scholars on return</li> <li>PPIs supported to manage re-integration effectively</li> <li>Links with alumni networks facilitated</li> </ul>	ASMC/M&E ASMC/HRD ASMC
PhD scholars do not return to Vietnam or leave for other countries after minimum period thus not contributing skills for ongoing development	L	M	<ul style="list-style-type: none"> <li>Links between PhD awardees and their institutions fostered during study in Australia</li> <li>Links with Australian universities and research institutes supported during early years of return</li> <li>Awardee agreements specify commitment to return to Vietnam</li> <li>Monitoring of overseas awardees</li> </ul>	ASMC ASMC ASMC ASMC/M&E
Program unable to measure/demonstrate scholarship outcomes directly related to contributions to development	M	M	<ul style="list-style-type: none"> <li>M&amp;E Adviser implements regular post award impact measurements in accordance with M&amp;E Strategy and Plan</li> <li>Maintenance of an alumni database with up to date contact information</li> </ul>	ASMC/M&E ASMC

Risk	Probability	Impact	Proposed actions and responsibility	Responsibility
M&E Strategies do not adequately focus on measuring impact arising from profile targeting approach	L	M	<ul style="list-style-type: none"> <li>• ASG Framework and questions integrated into M&amp;E Strategy and Plan and instruments</li> <li>• Tracer studies implemented professionally</li> <li>• M&amp;E Strategy and Plan contains adequate focus on short/medium and long term measurement of results</li> </ul>	ASMC/M&E  ASMC/M&E  ASMC/M&E
M&E Tracer Studies and case histories are not adequately resourced for longitudinal duration to support impact analysis	L	M	<ul style="list-style-type: none"> <li>• Adequate resources in M&amp;E Strategy and Plan</li> <li>• Continuous use of tracer studies and longitudinal case histories supported by AusAID</li> </ul>	ASMC/M&E  AusAID
Scholarships are not the right means of achieving development outcomes	L	H	<ul style="list-style-type: none"> <li>• Recognise that scholarship may not be appropriate for achieving all development outcomes and identify objectives that can best be addressed by scholarships</li> <li>• Enhance the links with other programs of support by AusAID in Vietnam</li> <li>• Identify and employ other HRD initiatives that can contribute to supporting or achieving development outcomes</li> </ul>	ASMC/ AusAID  ASMC/AusAID  AusAID

## A n n e x 6

### **Duty Statements of M&E Advisers**

### Monitoring and Evaluation Adviser

<b>Location</b>	<b>Hanoi</b>
<b>/Duration:</b>	Inputs up 120 days up to the 31 January 2012.
<b>Reports to:</b>	<b>Team Leader</b>
<b>Responsibilities:</b>	
<p>The M&amp;E Adviser will:</p> <ul style="list-style-type: none"> <li>• Work with the Team Leader, with Program Office staff and with PPI organisations in Vietnam to further develop and implement an M&amp;E Strategy and Plan based on the M&amp;E Framework outlined in the Design Document (PDD).</li> <li>• Use the outcomes based Key Performance Indicators as set out in the DD and assess the M&amp;E implications of the program's targeting strategies and prepare advice and refine means to measure the indicators to assist in achieving program objectives.</li> <li>• Refine and implement strategies for the monitoring and evaluation of Candidates Individual career path plans.</li> <li>• Design, and assist in conducting, an <i>initial</i> impact assessment at the conclusion of the six year program, consistent with the approved M&amp;E strategy for the program and AusAID requirements.</li> <li>• Design a plan for the conduct of a later Impact Evaluation where the data is collected periodically over five years after the completion of the contract period. This should be focused on assessing the development impact made by returning graduates to the designated priority development areas. The design should integrate key material from the guidance templates prepared by the Scholarships group to be supplied by AusAID relating to tracer studies and case histories, and must also focus on the specified development outcomes for ASDiV (noting that the conduct of the evaluation may be carried out by others after the completion of the program on separate contracts commissioned by AusAID).</li> <li>• Review and support the redevelopment of an integrated program database to facilitate reporting and analysis and ensure adequate treatment of gender information and qualitative data focused on outcomes.</li> <li>• Assist in producing meaningful M&amp;E reports including: annual analysis of program monitoring data to contribute to the ASMC annual reports required under the contract; and analysis from surveys on re-integration of returning graduates that meet AusAID's accountability and aid quality objectives and that take into account AusAID's data requirements for the overall Australian Scholarships program and the ALAF usage in Vietnam.</li> <li>• Work with program staff and relevant staff of PPIs to ensure their capacity to effectively monitor and evaluate the implementation of the program and broader ministry HRD plans.</li> <li>• Assist in policy and research studies as required</li> <li>• Other related tasks that may reasonably be required by the ASM from time to time.</li> </ul>	

## A n n e x 8

### **List of Documents Consulted**

### **List of Documents Consulted**

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Vietnam ADS Pre-departure Project (ADS Support), Vietnam ADS Post Award Monitoring Report 2008

Vietnam ADS Pre-departure Project (ADS Support), Australian Leadership Awards – Scholarships Screening Report, Recommendations for Australian Scholarship Taskforce (ASG) Approval 2009 Intake, August 2008.

Vietnam ADS Pre-departure Project (ADS Support), Vietnam ADS Candidates Guide Intake - 2010, 2009

Vietnam ADS Pre-departure Project (ADS Support), ADS Screening and Assessment Process for 2011 Student Intake. Report for Joint Selection Committee 1 Meeting, October 2009

Vietnam ADS Pre-departure Project (ADS Support), Confidential Report, Performance Assessment of 11 Priority Institutions in 2007, 2007

Vietnam ADS Pre-departure Project (ADS Support), Confidential Report, Performance Assessment of 11 Priority Institutions in 2008, 2008