

Table A7.1: Viet Nam CAPE: Evaluation Approach Framework

Viet Nam's Situation and Government's Strategy	ADB's Analysis and Program	Evaluation Focus	Information Source and Analysis
Country Context	Country Analysis	<p>Summary of country performance, baseline indicators, trends, key policy issues, trends, fiscal situation, economic risks and management, government commitment and political economy influences</p> <p>Summary of key country development problems, causes, solutions, rationale for Government involvement</p> <p>ADB's approach, understanding and effectiveness in country analysis and policy dialogue</p>	<p>Review and analysis of country situation and national data and indicators over CAPE period</p> <p>Assessment of development needs, trends, and rationale for public involvement</p> <p>Review of CPS background reports and country assessments, ERD reports and binding constraints analysis, ADO, WB, IMF, comparative analysis of ADB's approach with other assessments, perception survey</p>
Government's Ten-Year Strategies and Five-Year Plans	Country Assistance and Program	<p>Government's strategies and plans and rationale for public and ADB's involvement</p> <p>Relevance and alignment of ADB's country strategy with the Government's strategies and plans, including selectivity, sequencing, continuity</p> <p>Responsiveness of ADB's assistance and performance, suitability of ADB procedures, capacity, competencies, harmonization with other donor programs</p> <p>Results and contributions to Government's development goals, key outputs and outcomes, value addition and synergies, sustainability and synergies</p>	<p>Review of the Government's policies, strategies and plans, implementation, and public resource management during the CAPE period</p> <p>Review and analysis of ADB's CSPs, country portfolio, overall contribution of ETSW, adequacy of policy dialogue, perception survey of ADB, interviews with EA's, VRM staff, ADB program and project staff, harmonization with other partner</p> <p>Assess ADB's overall contribution to development results, performance, synergies</p>
Sector and Area Context	Economic and Thematic Sector Analysis, Monitoring, and Evaluation	<p>Sector performance, baseline indicators, trends, key sector policy issues, sector public expenditure and institutional issues, economic risks and management, and government commitment</p> <p>Summary of key sector development problems, causes, solutions, rationale for Government, and ADB involvement</p> <p>ADB's approach, understanding, and effectiveness in sector analysis and policy dialogue</p>	<p>Rapid sector assessments: literature review, sector reports, CSP sector results framework, TA reports, other donor analysis, field visits</p> <p>Perception surveys, comparative analysis of ADB's approach with government, nongovernment and other donor approaches</p>
Government Sector and Area Development Goals and Plans	Sector Assistance and Program	<p>Relevance of ADB's sector strategy and alignment with Government's sector plan including selectivity, sequencing, continuity</p> <p>Effectiveness of ADB's response to needs, design, practices, donor coordination, factors affecting implementation</p> <p>Efficiency of sector-level outcomes and contribution to intended impacts (were costs minimized for reaching goals)</p> <p>Sustainability (combined) of results and influences on sustainability</p> <p>Impact of outcomes to sector development, contributions to government and ADB strategic and thematic areas, corporate commitments</p>	<p>Rapid sector assessments: Review of sector work, Government sector plans and strategies, CSP sector strategy, program, results framework, perception surveys, other donor program and coordination, aggregation of individual program, project and TA evaluations</p>
Government Investments and Services	Programs, Projects, and Supporting TA Projects	<p>Relevance of loan, TA to ADB's sector program and Government's sector program</p> <p>Effectiveness of loan, TA to meeting needs, design, practices, donor coordination, progress and factors affecting implementation</p> <p>Efficiency of loan, TA outputs and outcomes and contribution to intended impacts</p> <p>Sustainability of loan, TA results and influences on sustainability</p> <p>Impact of outcomes to sector development, contributions to government and ADB strategic and thematic areas, corporate commitments</p>	<p>Operations review: Review of designs, PPRs, MTRs, PCRs, PPERs; interviews with EAs, IAs, project officers, consultants, beneficiaries</p>

ADB = Asian Development Bank, ADO = Asian Development Outlook, CAPE = country assistance program evaluation, CPS = country partnership strategy, EA = executing agency, ERD = Economics and Research Department, ETSW = economic and thematic sector work, IA = implementing agency, IMF = International Monetary Fund, M&E = monitoring and evaluation, MTR = midterm review, PCR = project completion report, PPER = project performance evaluation report, PPR = project performance review, TA = technical assistance, VRM = Viet Nam Resident Mission, WB = World Bank.
 Source: Operations Evaluation Mission.

VIET NAM CAPE EVALUATION QUESTIONS¹

Evaluation Criteria	Questions
I. Top-Down Assessment	
I.A. ADB's Strategic Positioning in Viet Nam (Relevance)	
1. Relevance	<ul style="list-style-type: none"> ▪ What were the priority development issues, trends, conditions, and needs in Viet Nam? ▪ How were they addressed by the Government and other relevant development partners? ▪ What were the resulting external assistance requirements? ▪ Did ADB country strategies and programs address relevant and priority development needs? Were they consistent with Government's development strategies? ▪ Were the mix of lending and nonlending assistance and operational approaches tailored to the particular conditions of Viet Nam?
2. Selectivity	<ul style="list-style-type: none"> ▪ Have ADB operations focused on relevant and priority sectors, geographic areas and counterpart organizations, considering potential development impact, Government's priorities and reform initiatives, and ADB corporate objectives? ▪ Did the activities focus on ADB's core competencies? ▪ How did ADB operations complement the activities of other development partners?
3. Sequencing and continuity	<ul style="list-style-type: none"> ▪ Were ADB operations within and between sectors properly sequenced taking into consideration national development strategies, the Government's reform agenda and process, and capacity constraints? ▪ Was there sufficient continuity in ADB's country assistance to maximize development effectiveness of operations?
I.B. ADB Performance and Responsiveness (Responsiveness)	
1. Responsiveness	<ul style="list-style-type: none"> ▪ Given expectations, has ADB responded adequately, flexibly, and in a timely way to changing and emerging country needs and Government demand for ADB assistance? ▪ How have contentious issues been handled and problems resolved? ▪ Did ADB properly assess and consider the implementation capacity of executing and implementing agencies during project processing and implementation?
2. Suitability of ADB policies, systems and lending instruments	<ul style="list-style-type: none"> ▪ Were ADB policies, procedures, lending and nonlending instruments, and assistance modalities appropriate for Viet Nam? ▪ How has ADB responded to the principles of the <i>Paris Declaration on Aid Effectiveness</i> and the <i>Hanoi Core Statement</i>, in particular?
3. Capacity and core competencies	<ul style="list-style-type: none"> ▪ Were the levels of ADB's financial and human resources adequate for the effective design and implementation of the Viet Nam country strategies and programs? What was the quality of staff and consultant resources? ▪ Were available ADB resources efficiently utilized? Did ADB optimize potential synergies across

¹ These are intended to be guide questions, are by no means comprehensive, and are subject to revision in the course of the evaluation.

Evaluation Criteria	Questions
	<p>its public sector operations and between its public and private sector operations?</p> <ul style="list-style-type: none"> ▪ In which areas was ADB perceived to have a comparative advantage vis-à-vis other development partners in Viet Nam? ▪ How did ADB harmonize its assistance with other development partners? ▪ Was the management of procurement and consultant recruitment processes efficient? ▪ How do the Government, civil society, and private sector perceive ADB's role and performance and areas for service improvement?
I.C. Overall Contribution to Viet Nam's Development (Results)	
1. Sector work and policy dialogue	<ul style="list-style-type: none"> ▪ What was the quality of ADB's economic and sector work in Viet Nam? How were the findings used in the design of country strategies and programs? ▪ How well was ADB equipped to handle policy dialogue on pertinent development issues? ▪ What have been the contributions of the Viet Nam Resident Mission to country strategy and program design and implementation, and how well has it fulfilled its mandate?
2. Outputs and outcomes and their likely sustainability	<ul style="list-style-type: none"> ▪ What have been the key outputs and outcomes of ADB's operations in Viet Nam and how do they compare to results envisaged under the country strategies? ▪ Are there any common factors that have affected program performance in the country? ▪ What is the likelihood that these outputs and outcomes can be sustained considering fiscal, political, social, and environmental conditions? ▪ How successfully has ADB contributed to sustainable economic growth and good governance in Viet Nam, as well as to ADB's <i>Poverty Reduction Strategy</i> thematic priorities, in particular capacity development, private sector development, and environmental protection?
3. Value addition	<ul style="list-style-type: none"> ▪ What was ADB's share of total Government development expenditure and ODA? ▪ What has been ADB's role compared to that of other development partners? ▪ Did ADB spearhead any new discussions on or approaches to development issues in Viet Nam? ▪ How did ADB's lending and TA assistance make any difference to Viet Nam's development?
4. Dissemination and replication	<ul style="list-style-type: none"> ▪ To what extent and how has ADB's experience with successful projects in Viet Nam been disseminated and replicated?
II. Bottom-Up Assessment	
1. Relevance	<ul style="list-style-type: none"> ▪ Were ADB's sector operations (i) focused on critical impediments to sector development, (ii) based on ADB country and sector strategies, (iii) aligned with Government's sector priorities, (iv) supportive of essential government sector policy and institutional reforms, (v) aligned with international best practices and standards, and (vi) effectively coordinated with other key development partners? ▪ Did ADB's sector operations (i) adequately consider sector conditions in the country and scope

Evaluation Criteria	Questions
	for sector development, and (ii) actively consider the potential for private sector involvement in the sector?
2. Effectiveness	<ul style="list-style-type: none"> ▪ Has ADB's sector assistance achieved meaningful outputs and outcomes and achieved the results defined in the country program? How successfully has the sector assistance contributed to the achievement of outputs and outcomes supporting Government's goals and objectives? ▪ What has been the level of effectiveness and what were its determinants (including appropriateness of program design, quality of policy dialogue and advisory services, implementation assistance, etc.)?
3. Efficiency	<ul style="list-style-type: none"> ▪ Have ADB sector operations (i) maximized the ratio of outputs and outcomes to resource levels, and (ii) been formulated and implemented in a cost effective and efficient manner?
4. Sustainability	<ul style="list-style-type: none"> ▪ What is the likelihood of sustaining achieved outputs and outcomes? ▪ Are fiscal, political, and environmental conditions conducive to sustainability in place? ▪ To what extent has ADB assistance helped strengthen national institutional capacity for formulation of sector policies and the management of sector programs and investments?
5. Impact	<ul style="list-style-type: none"> ▪ How have ADB sector operations contributed to long-term sector development in Viet Nam (both in the past and likely impact)?
III. Lessons, Good Practices and Recommendations	
1. Programming Lessons and Good Practices	<ul style="list-style-type: none"> ▪ What lessons and good practice for ADB's strategy can be identified from the past program experience for the next CPS? ▪ Should ADB maintain its strategic focus or widen assistance to other sectors, regions, and agencies? Should any areas of assistance be discontinued or phased out? ▪ In what areas could ADB provide more assistance and better practice? ▪ Is the current trend toward program lending in support of improving public resource management to address the Millennium Development Goals and the private sector enabling environment? Is ADB equipped for this task?
2. Operations Lessons and Good Practices	<ul style="list-style-type: none"> ▪ How can the development effectiveness of ADB's assistance in Viet Nam be improved? ▪ What lessons can be drawn for improving ADB's project preparation and implementation in Viet Nam? ▪ How can capacity development efforts be strengthened? ▪ What existing and new products and best practices can be used to address identified problems? ▪ How can ADB's public and private sector operations be enhanced?
3. Strengths, Weaknesses, Opportunities and Threats	<ul style="list-style-type: none"> ▪ A range of good practices will be identified based on the CAPE and will be summarized by strengths to build into designs, weaknesses to avoid, opportunities to capitalize upon, and threats to manage.
4. Future Strategic Considerations	<ul style="list-style-type: none"> ▪ How should the future partnership between the Government of Viet Nam and ADB be promoted given that Viet Nam is potentially an OCR borrower and an emerging Middle Income Country, but with lagging regions and population groups?

Evaluation Criteria	Questions
IV. Overall Performance Rating	
<p>The CAPE performance assessment methodology will combine assessments of development effectiveness for sector operations with assessments of ADB country positioning and strategy, the contributions of ADB programs to development results, and ADB performance. Sector ratings will be based the standard five evaluation criteria of relevance, effectiveness, efficiency, sustainability, and sector impact recommended by ADB's <i>Guidelines for the Preparation of Country Assistance Program Evaluation Reports</i>. Given the emphasis on both broad-based and sector-specific program lending in recent years, as well as a range of ongoing sector and area projects, no additional sector weightings are assigned at this stage of the evaluation. Sector ratings will be derived from an analysis of available PPERs, PCRs, TCRs, rapid sector assessments and studies conducted under CAPE.</p>	

ADB = Asian Development Bank, CAPE = country assistance program evaluation, CPS = country partnership strategy, OCR = ordinary capital resources, ODA = official development assistance, PCR = project completion report, PPER = project performance evaluation report, TA = technical assistance, TCR = technical assistance completion report.