

PROPOSED EVALUATION MATRIX

Evaluation Criterion	Focus Area(s)/Guide Questions	Major Indicators and Information Requirement	Data Source and Data Collection Method
Top-down Performance Assessment			
Overall Country Positioning	<ul style="list-style-type: none"> • Relevance: Considering the sector situation, was ADB's sector assistance strategic in terms of its potential for poverty reduction of the poorest? • Responsiveness to client: Has ADB responded adequately and in a timely way to changing country's needs? • Operational flexibility: Were ADB policies, systems, lending instruments, and assistance modalities appropriate for country evolving conditions? • As a key Portfolio Management: The extent to which ADB implemented the agreed sector program assistance? <p>Partnership: The extent to which ADB was able to forge productive relationship with other development partners in the sector?</p>	<ul style="list-style-type: none"> • Priority in Country Partnerships Strategies (CPSs) and needs of the country given the sector status and performance of various sub-sectors • Appropriateness of policies, procedures, and funding approaches pursued for continued engagement in the sector. • ADB's and the Government-agreed development assistance (i.e. planned and actual assistance provided) • Changes made over time o make the urban/WSS sector assistance program more relevant. • Evidence of adjustments following various sector reviews (i.e. mid-term review, major Government SEDP direction changes) • Staff capacity in terms of number and quality for leadership role and adequate supervision • Development assistance provided by ADB and other development partners to the urban/WSS sector. • ADB's role as a leader among the development partners in the sector (support to Governments, other development partners) 	<p>Government agencies:</p> <ul style="list-style-type: none"> • State Bank of Viet Nam • Ministry of Planning and Investment • Ministry of Finance • Ministry of Construction • National Statistics Office • Ministry of Health • Ministry of Women • EA and IA, PPC decrees <p>ADB and Project related documents</p> <ul style="list-style-type: none"> • Viet Nam CSP, CSPU and CPS • Urban and WSS sector roadmaps • Loan, technical assistance (TA), and grant projects in the sector • RETA and other supporting ADB publications, regional workshops <p>Others</p> <ul style="list-style-type: none"> • Reports and publications by other donors (e.g. other Multi-lateral Financing Institutions, United Nations agencies and bilateral donors)
Contribution to Development Results	<ul style="list-style-type: none"> • Sector performance: How has the Urban and WSS sector performed against the key development indicators 	<ul style="list-style-type: none"> • Performance as per the MDG and other government statistics related to public health and general socioeconomic conditions 	<p>Government agencies:</p> <ul style="list-style-type: none"> • State Bank of Viet Nam • Ministry of Planning and Investment • Ministry of Finance

	<p>(i.e. Access to clean water, morbidity for child under age 5, other MDG targets, sanitation goals)</p> <ul style="list-style-type: none"> • ADB's contribution. What were major contributions of ADB to the changes in the sector (through ADTAs, policy dialogue, knowledge products?) • Synergy. Were there any synergies in the assistance provided to other sub-sector • As a key Portfolio Management: The extent to which ADB implemented the agreed sector program assistance? 	<ul style="list-style-type: none"> • Other public services and economic indicators related to social sector performance / sub-sector linked to ADB's assistance • Poverty reduction (employment, incomes, access to loans, etc). • Specific plans, policies and strategies that may have direct links to assistance provided by ADB. • Synergy across ADB's support to different sectors with other development partners and within the sector 	<ul style="list-style-type: none"> • Ministry of Construction • National Statistics Office • Ministry of Health • Ministry of Women • EA and IA, PPC decrees <p>ADB and Project related documents</p> <ul style="list-style-type: none"> • Viet Nam CSP, CSPU and CPS • Urban and WSS sector roadmaps • Loan, technical assistance (TA), and grant projects in the sector • RETA and other supporting ADB publications, regional workshops <p>Others</p> <ul style="list-style-type: none"> • Reports and publications by other donors (e.g. other Multi-lateral Financing Institutions, United Nations agencies and bilateral donors)
ADB's Performance	<ul style="list-style-type: none"> • Critical constraints: Were ADB's support focused on critical constraints to sector development? • Adequacy of consultations with various stakeholders (including NGO, CBOs, and other development partners) in fostering ownership of the sector assistance? • Alignment. The extent to which ADB aligned the sector assistance to the plans and priorities of the country's policies? • Harmonization. To what extent was ADB's support coordinated with the activities of other development partners? 	<ul style="list-style-type: none"> • Consistency with stakeholders' objectives, government structure and institutions, and other development partners. • Analysis of development options for program purpose and output. • Policy dialogue on alternative directions and policy reform. • National development priorities and strategies in succeeding SEDP. • Priorities in CSPs/CPSs and needs of the country given the sector status and performance. • Complementalities with policy changes and institutional developments with other sectors. • Coherence and consistency with strategy and program for the country • Capacity at ADB in HQ and VRM planning, implementation, monitoring and evaluation • Coordination among different ministries and their line agencies for enhancing sector 	<p>Government agencies:</p> <ul style="list-style-type: none"> • State Bank of Viet Nam • Ministry of Planning and Investment • Ministry of Finance • Ministry of Construction • National Statistics Office • Ministry of Health • Ministry of Women • EA and IA, PPC decrees <p>ADB and Project related documents</p> <ul style="list-style-type: none"> • Viet Nam CSP, CSPU and CPS • Urban and WSS sector roadmaps • Loan, technical assistance (TA), and grant projects in the sector • RETA and other supporting ADB publications, regional workshops <p>Others</p> <ul style="list-style-type: none"> • Reports and publications by other donors (e.g. other Multi-lateral Financing Institutions, United Nations agencies and bilateral donors)

		<p>performance</p> <ul style="list-style-type: none"> • Other major development partners/donors' portfolio for the urban/WSS sector (their strategies, approach and level of support). 	
Bottom-Up Performance Assessment			
Relevance	<ol style="list-style-type: none"> 1. How was ADB supervision at the time of design and resultant quality at entry? 2. To what extent was ADB's support to Urban and WSS sector aligned to ADB Country and sector strategies? 3. To what extent did the support to Urban and WSS sector match Government's sector priorities? 4. To what extent the design of Urban and WSS support considered the sector conditions and scope for sector development? 5. How technically sound was the design of the project/program support? 6. To what extent were the past lessons incorporated in design of succeeding support? 7. To what extent did the stakeholders have ownership of the ADB's support (EAs, other relevant government agencies, beneficiaries) 	<ul style="list-style-type: none"> • Readiness/appropriateness for implementing Project/program/technical assistance • EA and line agencies, beneficiaries and other stakeholder ownership and commitment to the programs and projects • Significance, feasibility, and clarity of intervention measures. • Appropriate design, plan and implementation mechanisms clearly stated • Commitment and capacity of EA and IA • Coordination and capacity of ADB project/TA officials/Loan PMU staff • Changes in ADB project officers during project development and implementation • Appropriateness of contribution of PPTA and ADTA • Mid-term review- corrective measures and impact to the final output and outcomes • Adequate and effective demand for program/project services or products • Policies, institutions, markets, and regulatory conditions, and risk of change <p>The extent of participation, incentives, and continued support from stakeholders.</p>	<ul style="list-style-type: none"> • Data and information sources listed above. • Project/program, TAs and grants related documents • PPTA, RRP, PPR, BTOR, Mid-term review report, PCR, EA's PCR, TA documents and TCR. • Relevant OED reports (Special Evaluation Study on Urban/WSS sector) • Reports produced by other donors, including UN agencies, MFIs and bi-laterals on Urban and WSS sector in Viet Nam <p>Possible collection methods and analysis:</p> <ul style="list-style-type: none"> • Document reviews • Trend analysis • Key informant interviews • Focus Group Discussion • Trend analysis • Sample surveys • Field visits and observation

Effectiveness	<p>Project achievements:</p> <ol style="list-style-type: none"> 1. Did the Project achieve what it intended to achieve? 2. What factors contributed to the success of the Project? 3. What factors contributed to the delays in project implementation? 4. What led to changes in scope and design of the Project and were such changes appropriate and timely? 	<p>List of projects outputs; Baseline data on key performance indicators (if they exist at all?) compared to initial baseline and counterfactuals; Beneficiaries' perceptions about project benefits; Role of MoC, ADB HQ division and VRM and any other stakeholders (e.g. NGOs) in project implementation; constraints encountered in project implementation.</p>	<p>Previous ADB Project Specialists, key informants, beneficiaries, NGOs.</p> <p>Secondary data (Government statistics at local/municipality (if it exists) level , household survey, key informant interviews with stakeholder representatives and focus group discussion with Water Supply Company (WSC) and Provincial People's Committee (PPC)</p>
Efficiency	<p>Assumptions</p> <ol style="list-style-type: none"> 1. Were assumptions in economic and financial analysis valid? (coverage, number of beneficiaries, prices, procurement and management costs, input costs, , risks, etc) 2. What factors contributed to the differences in EIRR at appraisal and PPER (if any)? <p>Project management and procurement</p> <ol style="list-style-type: none"> 1. Was the procurement process transparent, timely and effective? 2. Was the financial management in the project transparent? 3. Were there any problems in fund disbursement for project activities? 4. How effective was the intra and inter-agency coordination mechanism in the project? 	<p>EIRR and FIRR calculation documents, list of key assumptions at the time of appraisal, revision, and PCR; Economic and financial parameters at the time of PPER for reevaluation (yields, prices, costs, conversion factors etc)</p> <p>Composition and frequency of project steering committee meetings</p> <p>Clarity in roles and responsibilities of project partners (EAs, NGOs and beneficiaries); selection process used in selecting NGOs; Procurement process followed.</p> <p>Government policies (if any) on engagement of beneficiaries in public projects, resource allocation for on-going and completed projects, and O&M budget allocation for water supply (and drainage) at municipality level</p>	<p>PPTA and PCR reports and any existing calculation files</p> <p>Local EA report, MoC, PPC, WSC reports</p> <p>Accounts staff at MoC, WSCs</p> <p>Ministry of Planning, National Statistics Office</p> <p>Government documents on water supply, and health improvement. MDG reports by Government and donors.</p> <p>Content analysis of project documents, Board discussion papers, interview with PCR consultants and MoC staff, economic reevaluation of the Project using PPER parameters</p> <p>Key informant interviews with MoC, WSC and PPC</p> <p>Key informant interviews with administration and finance staff at MoC, PPC, and WSCs</p>
Sustainability	<ol style="list-style-type: none"> 1. Is there availability of adequate and effective demand for the project's services (water supply)? 2. Is the water tariff set at appropriate level? 3. Is WSC financially viable? 	<p>Mechanism to reflect consumers' wants and complaints in the service delivery</p> <p>Affordability of water tariff as against financial sustainability of WSC</p>	<p>MoC, PPC and WSC representatives, household consumers, bulk users (industries), women beneficiaries</p> <p>Focus Group discussion with MoC, PPCs, and WSCs; household surveys</p> <p>Key informant interviews with MoC,</p>

	<p>4. Are there appropriate policies and procedures present to ensure continued funding for operation and maintenance of WSC?</p> <p>5. Is there application of appropriate policies to ensure the maintenance of required human resources?</p> <p>6. Adequacy of policies, regulatory conditions?</p> <p>7. Political will to ensure the Government ownership of and commitment to the project?</p> <p>8. Adequacy of incentives for continued stakeholder participation?</p> <p>9. Environmental, social and technological, and natural resource risks?</p>	<p>Frequency and amounts collected as water service fee from consumers, and WSC payment to other institutions including Government</p> <p>Types of technical assistance sought by beneficiaries, WSC, PPC</p> <p>Water resource management related laws, regulation or procedures</p> <p>Stakeholder perception about laws, regulation or procedures</p>	<p>PPC and WSC</p>
<p>Impact</p>	<p>Socioeconomic impact</p> <p>1. How did the project influence beneficiaries' health?</p> <p>2. How has the Project impacted on livelihood options of the beneficiaries?</p> <p>3. In what way did women benefit from the project related activities and outputs?</p> <p>4. How much more participation of Women's Union in the water supply?</p> <p>Environmental impact</p> <p>1. How much reduction achieved in the contamination associated with dry pit latrines, by piped water supply optimizing the use of pour-flush latrines?</p> <p>2. How much improvement is observed through wastewater disposal facilities ensuring proper disposal of sullage and minimizing</p>	<p>Perceptions about the project benefits and negative impacts expressed by beneficiaries.</p> <p>Occupational groups; number and types of new jobs created by project by year;</p> <p>Occupational distribution of beneficiaries</p> <p>List of environmental safeguards adopted by agencies and beneficiaries</p>	<p>MoC records</p> <p>PPC records</p> <p>WSC records</p> <p>Household surveys</p> <p>Focus group discussion with MoC, PPC and WSC</p> <p>Key informant interviews with MoC, PPC and WSC</p> <p>Focus group discussions and household surveys</p>

	<p>contamination of groundwater.</p> <p>3. How much overall impact is seen in the targeted cities through the extended septage management services?</p> <p>4. How much improvement are recognized in terms of public's awareness towards public hygiene?</p> <p>Institutional impact</p> <p>1. Did project lead to any new water supply related laws, regulations or procedures in Viet Nam?</p> <p>2. If yes, have they been implemented?</p> <p>3. How effective was the training provided to beneficiaries and EA staff under the Project?</p> <p>4. How well participatory planning is institutionalized within MoC and PPC?</p>		
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