

**TERMS OF REFERENCE
FOR INTERNATIONAL URBAN AND WATER SUPPLY & SANITATION SPECIALIST
AND DOMESTIC CONSULTANT (WATER SUPPLY AND SANITATION SPECIALIST)**

1. This terms of reference needs to be read in conjunction with the Approach Paper for the evaluation.

A. Methodology of the Sector Evaluations

2. The Sector Assistance Program Evaluation (SAPE) should primarily evaluate the approach, outcome and impact of the Asian Development Bank (ADB) program in the urban and water supply & sanitation (WSS) sector. The SAPE should also assess the position of ADB's assistance vis-à-vis that of development partners and Government and the contribution of the various assistance programs to overall development outcomes in the sectors. For this SAPE, it will also look at projects that were under the thematic category of "Integrated" and "Multi-sector", that have strong urban component.

3. Main elements of the sector analysis should be:

- (i) A bottom-up assessment of ADB's interventions in the sector between 1997–2007.
- (ii) A top-down assessment of the role of the sector within the economy, and the role of the assistance of ADB in achieving or affecting this.

B. Cross-cutting Themes

4. The following cross-cutting themes should be addressed in all sector evaluation (except in sectors where clearly and explicitly, those are not relevant). The cross cutting themes in each sector evaluation will be closely coordinated with the overview evaluation.

- (i) Capacity Building
- (ii) Governance (including fiduciary safeguards, anti-corruption)
- (iii) Environment including natural disasters
- (iv) Role of private sector
- (v) Civil society and non-government organization (NGOs), as partners and service providers
- (vi) Harmonization of development assistance, program coherence in the sector related to technical assistance, policy dialogues and engineering elements in urban and WSS sectors
- (vii) Results focus in aide programs (attention to results monitoring, evaluation, evidence-based policy systems)
- (viii) Gender
- (ix) Transaction costs

C. Special Focus of the Sector Evaluations

- (i) One of the projects Loan 1514: Second Provincial Towns Water Supply and Sanitation has been evaluated by OED earlier this year. Some of the issues and problems need to be verified by looking at other projects in the same country, by comparing the change of impact from the same and different attributes. One of

- them is the issue of appropriate delegation of project implementation power from the PMU based in Hanoi to the Project's PPC.
- (ii) Whether there is Viet Nam specific attributes for challenges in the procurement, which leads to project implementation delays, consecutive re-bidding, high bidding prices or non-responsive bids. The SAPE tries to explore corrective measures and suggestions for improvement.
 - (iii) Water and sanitation tariff increase projection and affordability against other public services (e.g. electricity and telecommunication), water increase approval mechanism, possible regulatory system and potential private sector participation.
 - (iv) Project monitoring system in Viet Nam and perception and reality surrounding ADB and other donors' efforts in establishing development impact monitoring and evaluation system: comparison against the Water Benchmarking indicator.

D. Timing and Main Deliverables

5. For the International WSS consultant and Viet Nam-based domestic consultant (the two consultants will be termed as "Consultant Team" hereafter), the period of data and documents collection, preliminary interviewing is from September to October. ADB OED staff and Evaluation Research Associate will also assist the Visiting Consultants for data and documents collection from central files, Resident Mission and SERD. Preliminary findings, list of difficulties and challenges faced by target projects, major questions and investigation points, and priority project towns to be visited should be compiled and presented as Inception report within 2 weeks of fielding in Viet Nam. During and after meetings with officials and major stakeholders including other active donors, and initial visits to first batch of towns selected for observation, preliminary findings will be drafted as Mid-term report by the end of fifth week in Viet Nam. Draft major findings and workshop presentation material will be drafted by the sixth week in Viet Nam. The workshop is currently scheduled in the seventh week. The draft SAPE report should be compiled and sent to OED by the end of the eighth week, just before the departure of the Consultant Team from Viet Nam. The international Water Supply and Sanitation Specialist will lead and coordinate the compilation of the draft SAPE reports.

E. Organization of the Main Report Output

6. The output will be a concise main report (expected length of around 30 pages) with appropriate use of annexes, and a summary of not more than four pages. The main text should be formatted in the following structure, but general guidance should be under the ADB's Guidelines for the Preparation of Country Assistance Program Evaluation Reports (February 2006):

- (i) **Introduction:** purpose of the evaluation, country context, background to the sector, importance of the sector
- (ii) **The development context and Government priorities:** short description of the basic context within which ADB's urban and WSS sector strategies and programs were developed, country's economic and social situation, and short overview of program formulation.
- (iii) **Urban and WSS sector strategy and program:** description of ADB's urban and WSS programs in the CSPs covered under the SAPE, assessment of partnership with other donors on coordination and resources mobilization. Characteristics of ADB inputs and sector and thematic coverage (evolving strategy, lending and non-lending programs, supporting assistance).

- (iv) **Program implementation – results achieved and performance:** This is in terms of relevance, effectiveness, efficiency, sustainability and impact.
- (v) **Performance assessment and rating:** An overall sector program performance assessment is made and a concise summary of the principal factors supporting the rating is provided.
- (vi) **Conclusions, lessons, and recommendations:** Relevance and position of ADB programs in the sector, efficiency, effectiveness, and sustainability of outcomes; special impacts, recommendations that will have a direct impact on future ADB operations in the sector.

F. Confidentiality

7. All evaluation staff and consultants working on the sector evaluation will be bound by the confidentiality requirements of ADB, other donors and the Government (if any sensitive information is obtained).

G. Disclosure

8. The consultant report will provide input to (i) OED's subsequent country assistance program evaluation. The consultant report should be prepared to a standard content and form that would permit OED to share with the government (,other donors if requested) and subsequent disclosure. Such disclosure would depend, however, that the evaluation meets reasonable evaluative and professional standards.

H. International Consultant: Urban and WSS Specialist

9. **Key qualifications.** The assignment requires a qualified and experienced urban planning and finance expert with a minimum of 15 years of experience in the field. Extensive experience in Asia is required, particularly in Southeast Asia is preferable. Ability to work under pressure and tight deadlines is a must. Experience with water supply and sanitation projects with international development assistance is must, particularly with multilateral financing institutions.

10. **Inputs.** The total duration of the assignment is 2.5 months or 75 calendar days; 4 weeks will be spent in Viet Nam and 2 weeks (on intermittent basis) in the consultant's home base.

11. **Scope.** A mainly bottom-up assessment of program performance in the sectors of urban development and water supply & sanitation (including those categorized under Integrated and Multi-sector), and feed-in contribution (i.e. document categorization, data recording and major findings listing, conducting interviews and discussion with other donors active in Viet Nam urban and WSS sector) for top-down assessment for the sectors relevant.

12. **Duties and responsibilities.** Under the formal guidance of the team leader, the consultant will provide technical and intellectual leadership in the evaluation. A main focus will be the assessment of ADB projects and approach in terms of its relevance and positioning, its efficiency, effectiveness, sustainability, and impact. The duties will include, though not be limited to, the following (timing and deliverables are already listed under para 5 of Section D):

- (i) Assist the OED Senior Evaluation Specialist (Mission Leader) in carrying out a rapid sector assessment and advise on the workplan for the evaluation, and help guide the domestic consultant(s/firm);

- (ii) Prepare a Inception report for OED based on a review of ADB documents related to the Project, including the Report and Recommendation of the President, appraisal report, loan and project agreements, back-to-the-office reports of review missions (BTOR), Project completion report, consultant report outputs, and OEM findings (PPER and SES).
- (iii) Assist the Mission Leader in the review of ADB-financed urban development and WSS-related loans and technical assistance;
- (iv) Prepare for the OEM by reading a number of documents supplied by OED and going through files in ADB's resident mission in Hanoi;
- (v) Carry out a rapid sector assessment by formulating the questions to be used in the key informant interviews, focus group discussion/beneficiaries' perception survey: in consultation with the Team Leader, select and plan the itinerary for the observation visits to some of the Project towns (the initial aim is to cover at least one third of all the target towns under the selected 7 loan projects);
- (vi) Prepare and organize focus group discussion (FGD) interviews in the visiting towns, as required, to discuss with Executing Agencies (EAs) and other government and non-government entities, development issues and concerns, including outcome and impact of ADB assistance before being fielded in Viet Nam, and once arriving in Viet Nam, provide guidance and quality control on the data collection and analysis;
- (iv) Identify institutional issues affecting the implementation the Project based on a review of project implementation documents, evaluation reports, and feedback from relevant Government entities, EA and project staff;
- (vii) Identify critical factors affecting EA capacity and performance in urban areas at central, provincial government and project implementing unit (including WSCs), and related Government capacity project development efforts at the individual, organizational, networking and policy levels;
- (viii) Conduct assessment of technical components before the main OEM arrives, record and brief all major developments with completed and ongoing projects, coordinate and join the main OEM mission for policy discussion and sector-specific common lessons to be learned in the sector, and contribute and assist the preparation of a mission Aide Memoire submitted to the Government of Viet Nam by the end of the OEM;
- (ix) Assess how ADB's operations have contributed to socio-economic development, environment, governance and decentralization efforts in Viet Nam;
- (x) draft a framework and main discussion points for assessing the development effectiveness of urban and WSS sector intervention;
- (xi) Coordinate and lead the preparation of Workshop(s) which will invite all past project team leaders, MoC, MPI and other relevant ministry officials, and State Bank of Viet Nam for provisional Operations Evaluation Mission findings and the expected SAPE report conclusions. The workshop is expected to happen in the seventh week of the Consultant Team's visit in Viet Nam before the team's departure from Viet Nam; and
- (xi) Prepare reports on findings to an outline agreed with the OEM team leader, Evaluation Officer and evaluation in a prescribed format (more info under paragraph 5); Coordinate and lead the task of SAPE report drafting in the agreed format and style. The structure of the report is to follow that of OED's standard SAPE and the contents is to follow that of OED's guidelines on CAPE.
- (xii) Perform other tasks as required by the Evaluation Team Leader in the context of the SAPE.

13. **Reporting relationship.** The consultant will report to the Mission Leader for the SAPE.
14. **Output.** The consultant will deliver a final report in hard and soft copy.
15. **Timing and duration of the assignment.** The consultant is expected to start on 25 September, and complete the assignment by latest 19 December 2008.

I. Domestic Consultant: Water Supply and Sanitation Consultant – Viet Nam

16. **Key qualifications.** The assignment requires a qualified and experienced WSS specialist with a minimum of 15 years of experience in the field, with special attention to issues related to financing of urban investment, governance and safeguards. Extensive experience in Viet Nam's WSS sector is required; particularly experience in the international development assistance activity is desirable, with some knowledge of ADB procedures and practices.
17. **Duty station.** Hanoi, Viet Nam.
18. **Inputs.** The total duration of the assignment is 2.5 months or 75 calendar days; 4 weeks (28 days) will be spent in outside Hanoi in Viet Nam and 6 weeks (on intermittent basis) in the consultant's home base.
19. **Scope.** The consultant will conduct mainly the bottom-up evaluation of ongoing and completed ADB projects, including A mainly bottom-up assessment of program performance in the sectors of urban development and water supply & sanitation (including those categorized under Integrated and Multi-sector) in Hanoi and outside: with added attention for issues relating to urban infrastructure financing, governance, and safeguards (environment, indigenous people and resettlement). Some other projects of main development partners will also be reviewed.
20. **Duties and responsibilities.** Under the formal guidance of the mission leader, the consultant will engage on the following (though not limited to) duties:

J. Detailed Terms of Reference for Domestic Water Supply and Sanitation Consultant

21. The tasks of the domestic consultant would be the following:
 - (i) Familiarization with the evaluation.
 - (ii) Preparation for a field trip of ADB projects and the projects of other agencies those are relevant to the subject.
 - (iii) Assessment of importance of ADB program in the urban/WSS sector in light of the overall public services, public hygiene and health, livelihood at municipality level situation in the country.
 - (iv) Assessment of (likely) relevance, efficiency, effectiveness, sustainability, and impact of ADB interventions in the sector those were ongoing in the period 1997-2008, and to a lesser extent of overall donors aid in the sectors.
 - (v) Assessment of issues in the sector such as capacity building, governance, environment, role of private sector, civil society and NGOs, program coherence, results focus in aid programs (attention to results, monitoring and evaluation, evidence-based policy systems), gender, and transaction costs.
 - (vi) Obtaining views from Government staff and PPIO officials on ADB's program and other donors that are active in the target sectors. Assess and compare issues if

- harmonization and alignment, conformity between international practice and Government standard and procedures.
- (vii) Actively contribute and supervise (formulate, distribute and collect) the perception questionnaire/surveys to the EA, consultants and beneficiaries associated with the selected projects.
 - (viii) Assessment of the performance of ADB and the Government in relation to the ADB funded projects, TAs and other assistance (including RETA, workshops and seminars), and in relation to the performance of some other major donors.
 - (ix) Presentation of the preliminary findings, observation points particularly on technical/engineering elements (including referral to Government's standard regulation and yardsticks) at the end of visits and OEM missions.
 - (x) Preparation of a final report including a set of issues, lessons, and recommendations for the SAPE.
 - (xi) Incorporation of comments on the final report from the mission leader and resubmission to ADB.
 - (xii) Prepare for the OEM by reading a number of documents supplied by OED prior to the start of the field missions (3 days).
 - (xiii) Search and collect all necessary government data and statistics relevant to indicators which should have been collected in the BME reports but not been gathered during the Project implementation period. Visit and collect all relevant statistics at town-disaggregated level on public health, socio-economic survey, water supply and sanitation, and WSC financial standing (including tariff, revenue and NRW data)
 - (xiv) Focus on the water supply and sanitation components of the Project in the towns to be visited, gather views of beneficiaries, and conduct visits to the urban public services stakeholders. The consultant will help support the OED staff and International consultant in prioritizing the towns to be visited, and logistical coordination of visits and observations, including local transport and accommodation arrangements, and the preparation of the Workshop.
 - (xv) Overall coordination for the local survey, key informant interviews, and Focus Group discussions.
 - (xvi) Act as translator for the OEM mission members, when in need of local translation between English and Vietnamese during meetings, and analysis of reports and findings.
 - (xvii) Prepare report or parts of draft SAPE reports, or appendices for the SAPE report, especially in the area of technical outputs and impact of the selected projects and visited towns. The latest submission should be before the Workshop takes place in Viet Nam, where major findings will be presented to the stakeholders. The structure of the report is to be determined in consultation with the mission team leader, in consultation with the International WSS Consultant.
 - (xviii) Perform other tasks as required by the Evaluation team Leader in the context of the SAPE.
22. **Reporting relationship.** The consultant will report to the Mission Leader for the SAPE.
23. **Output.** The consultant will deliver a final report in hard and soft copy.
24. **Timing and duration of the assignment.** The consultant is expected to start on 25 September, and complete the assignment by latest 19 December 2008.

K. OED Research Analyst/Evaluation Officer (for Background Studies and Support to the Mission)

25. **Qualifications required.** The research analyst should have a master's degree, experience with quantitative analysis of project documentation, and preferably a good understanding of ADB systems and procedures.

26. **Duty station.** Manila, ADB Headquarters, and if the OEM (second) mission requires additional support for visits and focus group discussion, the Evaluation Officer will join the mission in Viet Nam.

27. **Inputs.** The total duration of the assignment is 3 months in intermittent basis.

28. **Scope and reporting relationship.** The main task will be to collect and analyze information from internal ADB reports regarding the urban sector and WSS in Viet Nam. This will be done under the guidance of the Mission Leader.

L. Terms of Reference for Domestic Evaluation Research Associate – Manila

29. **Key qualifications.** The domestic evaluation assistant analyst should have a master's degree (preferably in Economics), experience with quantitative analysis of project documentation, and preferably a good understanding of ADB systems and procedures.

30. **Inputs.** The total duration of the assignment is 2.5 months or 75 calendar days; in Manila.

31. The tasks of the domestic assistant would be the following:

32. **Reporting relationship.** The consultant will report to the Mission Leader for the SAPE.

33. **Output.** The consultant will deliver a final report in hard and soft copy.

34. **Timing and duration of the assignment.** The consultant is expected to start on 25 September, and complete the assignment by latest 19 December 2008.

- (i) Source relevant ADB program and project documents;
- (ii) Assist team leader and the coordinating consultant in carrying out supplementary analyses of reform and portfolio issues as needed;
- (iii) Assist team members in sourcing ADB data and documents;
- (iv) Assist in mapping sector outputs and outcomes of ADB assistance;
- (v) Assist in the administration of consultant and translator contracts (especially in Viet Nam);
- (vi) Undertake other assignments related to the SAPE, as required by the team leader.