



**Work-In-Progress: Not for Quotation**

Title: Sector Assistance Program Evaluation Urban Sector and Water Supply and Sanitation in Viet Nam  
—Evaluation Approach Paper

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## I. Introduction

1. This proposal for a Sector Assistance Program Evaluation (SAPE) Urban Services and Water Supply and Sanitation (WSS) in Viet Nam is prepared to feed into a Country Assistance Program Evaluation (CAPE) Viet Nam planned for 2009. The proposed SAPE's main coverage will be the period after the previous CAPE (2000), which will be 1999–2007, but projects that had been ongoing (i.e. under implementation) at the time, and impact assessment had not been adequately done (projects that were processed in 1997 and 1998) would be included. Since 1999, many ADB country programs have been produced and updated, namely: Country Assistance Programs (1999–2001, 2000–2002, and 2001–2003), succeeding Country Strategy and Program Updates (CPSUs of 2002–2004, 2003–2005, and 2006–2008), and the latest Country Strategy and Program 2007–2010 (See Appendix 1 for list of loans and TAs).

## II. Rationale

2. The study is timed to provide sector-specific feedback in the design of the next phase of CPS planned in 2010. In the early years after ADB resumed its operations in October 1993, ADB's emphasis in the infrastructure area was on agriculture and irrigation (water resources management) sectors, but as the country's economy developed, assistance to the water supply and sanitation (WSS) sector steadily grew. In the early 1990s, many donors assisted selected large cities with war-damaged water supply networks; ADB initially focused on Ho Chi Minh City. After extending its first loan, ADB and the other donors and the Government agreed to focus on provincial towns, so that there would be more "equitable" livelihood improvement throughout the country. Under this agreement, ADB provided a sequence of loans for provincial capitals, and with ADB and many external agencies' assistance, most of the provincial capitals have been supported with investment in the water supply, and "provincial capital assistance operation" has phased out. After three phases of the Provincial Towns Water Supply and Sanitation projects in 2003 and 2006, ADB processed two more loans, this time, targeting small and medium towns in the central region; that there is a specific geographical focus now. In the latest CSP (2007–2010), the sector clearly planned to boost its presence in the sector under an ADB-wide initiative called Water Financing Program (WFP), Viet Nam is one of key countries. It is timely to assess whether these focus evolution, (i.e. first phase Ho Chi Minh City (the largest city), second phase targeting many provincial capitals, and the third phase specific regional focus) in the sector has been aligned to the overall Government development initiatives, and whether ADB's operations and assistance have been very effective.

### III. Urban Development and Water Supply and Sanitation in Viet Nam

3. **Growing population.** Viet Nam is the 12<sup>th</sup> most populous in the world, with a total population of 83.2 million in 2006, of which about 25% live in urban areas. The population is concentrated in two large river deltas. The Mekong River Delta is the most populous region, with 16.1 million people, followed by the Red River Delta, where Hanoi is located, with a population of 14.8 million. Despite relatively low urbanization, the annual population growth of 3.3% implies that urban areas are likely to add 12 million more people by the end of the decade. Viet Nam's transformation from a predominantly agricultural to an increasingly industrial economy led to its rise from one of Asia's poorest into one of Asia's fastest-growing countries, where the poverty level of 58.1% in 1993 was reduced to 24.1% in 2004. Economic growth has been sustained during the past 10 years, averaging annual growth of 7.3%, creating jobs, and significantly reducing the number of poor. Growing urbanization has led to higher population density, environmental deterioration in the urban areas, and increased demand for various infrastructure services, including water supply and sanitation (WSS). The Government estimates that the rate of urbanization will increase to 45% of the population by 2020. The 600 urban centers in Viet Nam are divided into six classes. Currently, there are 4 centrally governed cities, 61 provincial towns, and 537 other urban townships.

4. **Basic standard of water supply services.** Urban water supply systems are unable to meet the growing urban demand for safe drinking water. Estimates indicate that, despite many projects extended to different cities and towns over the past two decades, only around 150 of the country's 600 urban centers have piped water supply systems, which generally serve only about half of their population. Service coverage has risen only slightly since 1990. Apart from piped water supply, many urban residents rely on untreated water from shallow wells, rainwater collection, streams, canals, or ponds. Most of these sources are potentially subject to serious pollution and therefore present a major health risk. A significant proportion of the urban population purchases water for drinking and cooking from vendors at prices often 5–20 times the existing tariffs for publicly provided piped water. Shortages of water and intermittent supply, usually 6–18 hours per day, are common, although exact levels are difficult to establish because of poor metering systems. The physical conditions of urban water supply systems that have yet had major refurbishment (many of them with ODA support) are generally poor, due to inadequate maintenance. Some urban centers have no treatment facilities so that raw water is pumped directly to the distribution network, with suspended soils, iron, or high levels of contamination. The water supply systems are often patched up or expanded using a variety of incompatible equipment and tools from local sources. Water supply companies (WSCs) are usually unable to meet the design and construction standards because of lack of appropriate equipment, materials, management skills, and financial resources. As maintenance is inadequate, existing old schemes are often difficult to operate, unreliable, and inefficient. The demand for proper water supply network in urban areas still outweigh the supply through new network expansion and upgrading under Government and ODA-funded projects. In addition, many WSCs are facing difficulty in cost recovery and management inefficiencies.

### IV. The National Plans for the Sector Development

5. **Orientation in the sector.** Key sector policies, decrees and guidelines have been issued by the Government in the recent decade, some of which were the result of discussions with ADB in past project preparations and implementations. The most important of these was a policy called "the Orientation for the Development of National Urban Water Supply System until the Year 2020," issued on 18 March 1998 in compliance with one of ADB projects' covenants. The Policy sets orientation for the development of the urban water supply system in service of

national industrialization and modernization; and for the drawing up of appropriate investment plans for the urban water supply sector. It stressed that UFW reduction target for year 2000 for 30% in new urban areas. It proposed that the central government subsidy should be abolished and water supply companies (WSCs) become full public-utility entities through water supply charges (both for O&M and capital investment). Another decree which made impacts on the sector is the Instruction No. 59 of 1996, which allowed WSC to use operating revenues for O&M of its treatment facilities. This assured WSCs of financial viability. The third significant one was issued by the prime minister's office: Decree No. 131 (2006), "Regulation on Management and Utilization of ODA."<sup>1</sup> The decree provides legal power to the line agencies including Provincial People's Committee (PPC) to take the lead role in appraising and requesting ODA projects/sub-projects, making investment decisions, selecting contractors, and monitor/supervise the performance of project owner within the parameter of existing legal regulations on investment and construction management.<sup>2</sup>

## **V. ADB's Development Partnership Strategy and Assistance**

### **A. ADB's Partnership Strategies**

6. During the evaluation period (1999–2007), ADB developed 7 country strategies and programs (CSPs), which included CSP updates (CSPU; para 1). Throughout, the main thrust of ADB's programs in Viet Nam was aimed at (i) Sustainable growth, (ii) Inclusive social development, (iii) Good governance, (iv) Equitable growth, which has gradually shifted to geographic focus on the central region, and (v) Regional cooperation in the Greater Mekong Subregion.

7. **Country Assistance Programs (CAPs) in late 1990s.** ADB strategies have been aligned with the Government's Socio Economic Development Plans (SEDP). The earliest CAP (1999-2002) focused on agriculture and rural development sector in the physical infrastructure, but acknowledged that the country's long-term development goals were to industrialize and modernize the economy through a structural shift from agriculture to industry and services and to gradually reduce the gap in its development relative to other countries in the region. In terms of the overall ADB's assistance, the programming cycle was guided by the following key principles: (i) focus on sectors where the Government has a clearly defined approach and willingness to undertake fundamental policy and institutional change; (ii) availability of expertise and competitive advantage of the Bank in the sector, as well as positive experience with past projects with regard to project implementation; (iii) promotion of involvement of the private sector and non-governmental organizations, and beneficiary participation; (iv) avoidance of duplication of effort with other aid agencies and enhancing cofinancing possibilities; and (v) striking of a balance between interventions for promoting economic growth and social equity and securing the environmental soundness of projects. Based on these principles, ADB's program for the Water Supply and Sanitation (WSS) sector was laid out.

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<sup>1</sup> The decentralization of the approval power in procurement came into effect in two folds: first by 1 September 1999 Decree No.88/1999/CP promulgating the regulations on bidding, and secondly by amendment on 5 May 2000 under Decree No. 14/2000/CP to include some provisions to facilitate decentralization. The two decrees came into effect on 26 May 2000, upon issuance by the MPI of Circular No. 04/2000TT providing guidance on the implementation of the said regulations.

<sup>2</sup> According to the 5<sup>th</sup> Joint Portfolio Performance Review, May 2007,: "the decentralization allowed for in the newly issued Decree 131/2006/ND-CP on ODA management and utilization, and other important changes to the legal framework, e.g. the new Procurement Law/Decree, the new Budget Law and the new Law on Environment (page ii). The Enterprise Law (2005) also requires WSCs to be equitized by 2010.

8. At the time, it was estimated that only 16% of the urban population were served by sewerage systems, which was functioning poorly. The Government put high priority on the rehabilitation and expansion of the existing water supply and sanitation systems. Early advisory TAs (ADTAs extended to the Government between 1998–2000) before the Loan 1273: Ho Chi Minh City Water Supply and Sanitation Project aimed at establishing comprehensive social and financial targets for WSCs and develop policies for cost recovery, cross-subsidization and financial management. As follow-up to those studies, ADB extended loans for the first (Loan 1361) and second (Loan 1514) Provincial Towns Water Supply and Sanitation projects, approved in 1995 and 1997. The previous CAPE was conducted when these three projects were approved, were in the middle of their implementation; thus there was only preliminary impact assessment of these projects. The urban and WSS sector assessment was therefore very limited. Loan-1702 Ho Chi Minh Environmental Improvement project was processed in 1999 under the “multi-sector” category, but faced long delays, and was cancelled in January 2008 year.<sup>3</sup>

9. **Succeeding CSPUs in early 2000s.** The focus of the CSPU for 2003–2005’s was in line with the Government’s emphasis at the time. Therefore, ADB put emphasis in its portfolio on non-banking financial sector, SMEs development, and employment generation. The emphasis on agriculture research, focusing on agricultural modernization reaffirmed the Communist Party’s plenum; and secondary education was added in line with recent government sector 10-year strategy. From around this period, ADB commenced its support to the Government’s joint-initiative with Cambodia and Lao PDR in the development triangle under the Greater Mekong Subregion (GMS) program. The affected provinces in Viet Nam were already considered a priority area under the central region focus envisaged in the new CSP. With this in mind, the first “Integrated” sector project, Loan-2034 Central Region Urban Environmental Improvement, a region-focused project in the urban sector was added to the lending portfolio.

10. **The latest CSP (2007–2010) with results-based framework.** In the latest CSP 2007–2010, “environment” is a key pillar of country program (Appendix 2) that is referred to as follows: “Rapid economic growth, a growing population, and fast urbanization put pressures on the urban environment amenity and quality. A more open economy has increased economic incentives to exploit forest and other natural resources. Water quality has declined in many areas. Air pollution in cities and industrial areas causes increasing respiratory problems.” The Government’s current SEDP (2006–2010) gives priority to economic and social infrastructure investment in disaster-stricken regions. The aim is to achieve a balance between growth, social equity, and improved environmental management, combined with actions to strengthen governance and improve the effectiveness of public institutions and public service delivery. The CSP is results-based and provides sector targets and milestones. In the urban and WSS sectors, ADB intervention expects to assist Government’s efforts in achieving 90% of solid waste treated from 65% in 2005 to 90% in 2010 and 80% hazardous waste treated, among other things.

11. **Adjustment in the assistance direction.** In the urban development and environment sector, the current CSP (2007–2010) focuses on targeted infrastructure investments in small and medium-sized towns in the central region and along GMS economic corridors. The CSP also promotes decentralized urban governance and capacity building, reforms for improved urban management and cost recovery of urban services, and environmental improvements. ADB’s support will include the comprehensive socioeconomic development of selected small and medium-sized cities such as Thanh Hoa, Viet Tri and Dong Ha to strengthen development

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<sup>3</sup> SESS/SERD is currently finalizing the PCR for the Project.

links with their rural hinterlands, and to reduce environmental pressures on the large cities. ADB's strategy for urban water supply and sanitation sector seeks to use the water financing program, which aims to (i) support the rehabilitation, upgrading, and expansion of water supply and sanitation to improve the investment environment, (ii) ensure equitable access to safe water supply and sanitation facilities; and (iii) encourage policy changes and institutional reforms at central and provincial levels to enable sustainable development. Emphasis is also placed on private sector and community participation in planning and management of all urban development and environment initiatives. The SAPE will assess whether this approach is really coherent with the Government's long-term planning.

## **B. Development Partner Activities**

12. External assistance has been a major source of funding for the rehabilitation and expansion in the country's urban and WSS sector development. Since the mid-1980s, the cumulated amount of loans extended by external funding agencies is more than \$900 million for investments in water supply, drainage, sanitation, and solid waste projects. As Appendix 3 shows the list of water supply-related loans in many cities, ADB, Japan, Denmark, Finland, and France have been the major donors in the capital investment. Australia, Sweden, UNDP and World Bank<sup>4</sup> have provided technical assistance grants in the project preparation, design and supervision, and training. The list of assistance is quite extensive, as many ODA partners have each selected provinces and towns that they support, which underlined Government's initiative to promote equitable growth, to have acceptable level of water supply, at least in the provincial capitals. By year 2000, most of the main provincial capitals have been covered, in one way or another by various types of external assistance, and Viet Nam WSS sector ushered into a new era, where the Government and donors are strategically selecting new focus, whether by region, by sub-sector (in drainage) or re-investing into the towns which already have been assisted, but with rapid expansion of the town areas and migrating population, cities are unable to meet its capital investment needs alone.

## **C. Lessons Learned from Past ADB Assistance in the Sector**

13. ADB is one of the major development partners in Viet Nam. It provided over \$430 million (slightly less than 50% of the total external assistance in the sector) to Viet Nam since 1993. OED conducted a CAPE in March 2000 (Appendix 4). At the time of the previous CAPE, the implementation performance of the three loans under the operation was deemed satisfactory,<sup>5</sup> though substantial delays were noted. The CAPE observed that the delays in contract signing or in loan effectivity were often the result of bureaucratic procedures and the loan consultation-and-consensus process within the Government machinery. There were inherent difficulties in staffing the provincial PMUs with qualified people, as central level staff was not offered any incentives to relocate while local staff often lacked project management capability. Frequent changes in staff further compounded the problem. The disruption from staff changes also occurred not only from the Government, but also from ADB; as one project had four project officers in short succession and the Government requested ADB to have no more staff changes. Coordination constraints were also pointed out. The CAPE stated that "ADB appeared to

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<sup>4</sup> World Bank has been the major donor in the overall country assistance, but the number of loans in urban and WSS sector has been limited. Recent ones include: (i) Water Supply Development Project, \$112 million (processed in December 2004); (ii) Urban Upgrading Project, \$222 million (processed April 2004); and (iii) HCMC Environment Sector Project, \$110 million (processed March 2001).

<sup>5</sup> At the time of the previous CAPE (2000), Loan-1702 Ho Chi Minh City Environmental Improvement project was just approved in October 1999, and it was not under "water supply and sanitation" thematic category, but under "multi-sector." It was therefore not included in the sector analysis in the CAPE.

underestimate consistently the impact of coordination constraints with project activities that crossed established departmental and provincial boundaries of responsibility, and this led to implementation delays.” It was aggravated by the adoption of different policies by the provinces, particularly in the case of resettlement compensation. Although sanitation is a Government priority, no capital investment has been made outside major cities. Urban infrastructure is usually not developed in a sustainable manner with a very low efficiency, a lack of performance, and low staff capacity. The current sector needs are: (i) additional funding for capital investments and O&M, (ii) integrated framework, (iii) institutional and policy reforms, (iv) cost recovery and tariff, (v) solid waste management, (vi) technical and managerial capacity, (vi) private sector participation where the condition and environment are conducive, and (vii) community awareness and participation.

## **VI. Objective and Purpose of the SAPE**

### **A. SAPE Overall Purpose and its Link to Viet Nam CAPE**

14. The SAPE’s focus will be on ADB’s operations that were ongoing or completed in 1997–2007. The main intention is to cover the period after the previous CAPE produced in 2000, but some of the projects (1997–1998) were still not closed at the time of previous CAPE, of which we can now assess the impacts. The main purposes of the SAPE are:

#### **a. Bottom-up assessment:**

- (i) assess the relevance, effectiveness, efficiency, sustainability, and impact of ADB’s program;
- (ii) identify lessons, and
- (iii) develop recommendations for future project implementation improvements.

#### **b. Top-down assessment:**

- (i) assess the contribution of ADB’s development assistance in the sector to the overall sector and socioeconomic development using available data,
- (ii) assess the linkages with ADB programs in other sectors, and
- (iii) assess the linkages to other programs supported by other development partners.

15. Urban and WSS SAPE will particularly feed into CAPE in terms of assessing the effectiveness of ADB assistance in the project implementation and financial management, as the sector is on the frontline of promoting delegation of power from the central government to PPC and municipalities, the decentralization movement. In addition, the SAPE will also contribute to the forthcoming CAPE, which will assess the impact of ADB programs on the Government’s efforts to achieve the UN Millennium Development Goals (MDGs) and reduce poverty at the provincial and local levels.

Table 1.

Year	2008				2009			
Quarter	I	II	III	IV	I	II	III	IV
SAPE Urban and Water and Sanitation			████████████████████					
SAPE Transport			████████████████████					
CAPE				████████████████████				
- CSP/CPS assessment								
- Energy assessment								
- Education assessment								
- Agriculture and other sector								

16. **Specific sector questions.** Some of the specific questions that will be asked in the SAPE are as follows:

**a. For bottom-up assessment:** In the latest CSP (2007–2010), specific development agenda and outcome indicators have been listed to assess ADB’s CSP implementation performance under the subheading of “Needing proactive urban development management to help avoid environmental and social costs.” The indicators are as follows:

- (i) 90% of solid waste treated by 2010, from 65% in 2005,
- (ii) 80% of hazardous waste treated by 2010, from 40% in 2005,
- (iii) 100% of hospital waste treated by 2010, from 62% in 2005, and
- (iv) 75% of rural people with access to clean water by 2010, from 62% in 2005.

These indicators will be used to assess the effectiveness of ADB in the sector. The key elements for assessing project performance will be service coverage through projects, water quality, cost recovery, reduction in the non-revenue water, and quality of operation and maintenance. The main questions to be asked will be:

- (i) What additional value has ADB loans and TAs extended to the communities, EA and implementing agencies in the area of “Environmentally sustainable growth”?
- (ii) Was Government counterpart staff able to build capacity on large-scale construction management, including ICB preparation through project implementation?
- (iii) Through many urban-integrated ADB projects (with many sub-components), in comparison to other donors, were there any new initiatives, technologies and high standard of quality control introduced to the country?
- (iv) Have ADB projects tackled the poverty alleviation in the target towns and through policy advice?
- (v) Have ADB projects engaged the beneficiaries and non-government organizations (e.g. civil societies and universities) to effectively raise the awareness on public hygiene and public health challenges that are so important in meeting UN MDGs?

**b. For top-down assessment:** The key elements for the assessment will be: institutional capacity building, such as introduction of regulatory system; tariff increase

planning; and rules and guidelines that will be conducive for private sector participation, including outsourcing. The main questions to be asked will be:

- (i) What was the strategic positioning of ADB assistance, in terms of assisting provincial capitals throughout the country, and selectivity of target towns?
- (ii) How suitable were ADB's policies, systems and lending instruments to the urban development and WSS sector?
- (iii) Sequencing and continuity: How have ADB's strategies evolved and taken into consideration lessons from previous interventions and Government's priorities?
- (iv) Cross-fertilization and Dissemination: ADB's presence has been steadily significant in the urban and WSS sector. How has ADB's assistance in Viet Nam benefited from ADB's intervention and assistance in other countries, particularly from Southeast Asian countries and China PRC.

## B. Forward Looking Assessment: ADB Strategy 2020

17. **Performance oriented service delivery.** Urban/Water supply and Sanitation sector is one of five core specialization of ADB's operations focus, which was laid out in the ADB Strategy 2020 paper.<sup>6</sup> The five core areas are: (i) infrastructure, (ii) environment, including climate change, (iii) regional cooperation and integration; (iv) financial sector development; and (v) education. ADB's infrastructure operation will not be limited to building physical assets, but also to (i) build DMC's capacity for better infrastructure management, (ii) promote institutional and policy reforms that enhance operational and sustainability of infrastructure projects, and (iii) support logistical systems to increase trade and investment by building on basic infrastructure strengths and developing opportunities from policy and institutional reforms. These three areas needing strengthening are very applicable in Viet Nam urban/WSS sector, as many donors pointed out that agencies involved in the delivery of public service, particularly, WSCs need to adopt institutional model that would incentivize staff and operations in enhancing efficiency and effectiveness.<sup>7</sup> By shedding light on some of the lessons learned from past operations, and refer to other ADB's successful cases in other countries, the SAPE aims to raise concrete measures that might improve project performance and cater to needs of Viet Nam.

## VII. Evaluation Approach and Methodology

### a. Approach

18. The OED's evaluation framework prepared for CAPE will be used with appropriate modifications for the sector evaluation for the study.<sup>8</sup> A key component of the methodology is to combine a retrospective assessment of actions and accomplishments with anticipated outcomes from present operations. The overall performance assessment and ratings will be based on a combination of the top-down and bottom-up approaches. Appendix 5 is the proposed evaluation matrix.

<sup>6</sup> ADB. 2008. *Strategy 2020 – the Long-term Strategic Framework of ADB 2008–2020*. Manila.

<sup>7</sup> For example, World Bank. 2008. *Water Supply and Sanitation Strategy – Building on a solid foundation*. 2006. Washington DC.

<sup>8</sup> ADB. 2006. *Guidelines for the Preparation of Country Assistance Program Evaluation Report*. Manila. Available: <http://www.adb.org?documents/Guidelines/Country-Assistance-Program/guide-preparation-0206.pdf>.

**b. Methodology**

19. The SAPE will assess ADB's contribution to outcomes through a combination of perception assessments, data analyses, and literature reviews involving desk studies at ADB headquarters and field visits that are necessary to evaluate the project impact. The SAPE will undertake:

- (i) **Literature and secondary data reviews** of relevant documentation such as CSPs, Government strategies and plans, monitoring and evaluation reports, project and program reports, documentation on perceived assistance results in country-level evaluations, ADB documents (back-to-the office reports and aide-memoire) and working papers, existing studies on Viet Nam, and relevant data.
- (ii) **Stakeholder perception surveys**, discussion and site visits, consultations with representatives of national and provincial government, regulatory agencies, non-government institutions, and other development partners active in the sector in Viet Nam, interviews with relevant ADB staff involved in Viet Nam operations. For each project, a loan summary sheet will be prepared (Appendix 6).
- (iii) **Statistical analysis** of national data and indicators, fields visits and direct observations, some in-depth case studies of representative sub-projects and development issues; quantitative assessment of trends using secondary data sources.
- (iv) **Evaluation of completed projects through visits**, particularly on sub-projects that faced problems during the project implementation. The OEM will look at physical quality, financial and technical sustainability, implementation delays, and safeguards (environment, resettlement and indigenous peoples).
- (v) **Impact of policy-oriented ADTA and capacity building support**, will also be closely look at mainly through structured interviews with policy makers, central executing agencies, implementing agencies, provincial government and project recipient municipality or water supply agency staff.
- (vi) **ADB performance** will be assessed taking into consideration client feedback, the quality of strategy and program design documents, level of staff and consultant resources allocated to project/program preparation and implementation, timeliness of review and approval of disbursement requests, flexibility and resourcefulness in addressing implementation problems, and quality of policy dialogue. The effectiveness of the Viet Nam Resident Mission (particularly for the projects which have been delegated to VRM) in meeting its organizational objectives will be assessed utilizing a client survey developed in conjunction with OED's SES on Resident Mission Effectiveness.

20. **Limitations** are identified as follows.

- (i) In-depth outcome assessment of individual projects will be limited to projects that have been completed and for which PPERs or PCRs will be available.

- (ii) Studies on socioeconomic and poverty impacts will rely on completed and ongoing studies, published statistics, PPTA report baselines and other donors' reports, in view of the complexity, time required and difficulty in generating reliable results or findings.
- (iii) For projects and sub-components that did not have the initial baseline surveys during the PPTA, rapid assessment of counter-factual comparison will be attempted using focus group discussion and small-scale survey. The study does not attempt to quantify a counterfactual scenario. Some general observations will be part of the assessment. The availability and quality of data on the social sectors, particularly on public health and hygiene (e.g. occurrence of floods) is generally poor, especially at town level. However, this is a limitation faced by all working in support of social sector, particularly in urban development in Southeast Asia.

### c. Resource Requirements and Schedule

21. The SAPE will be prepared by OED and a consultant team. The team will be managed by a Senior Evaluation Specialist supported by an OED Evaluation Officer (A. C. Morales). The OED team will be supported by a senior international consultant (to review the past urban and WSS sector project technical performance), and two national consultants: one based in Manila (Evaluation Research Associate), and another Water Supply and Sanitation Specialist in Viet Nam. The domestic WSS Specialist based in Viet Nam will address ADB urban sector program relevance to Government's SEDP, and support the International Consultant on the local technical and engineering standards, requirement/regulation, practices and assessment. In addition, another Senior Evaluation Specialist (W. Kolkma) from OED1 with expertise in urban governance and institutional issues, country strategy formulation and evaluation will provide intermittent advice to the team. Envisaged inputs levels are 3 person-months for the team leader, 2.5 months for Evaluation Analyst (National Officer), 2.5 person-months each for the international consultants and the two domestic consultants. Based on the anticipated consultants inputs, the estimated costs of the SAPE are \$120,000, and proposed budget for the consulting services and workshops is presented in Appendix 7. Proposed Terms of Reference of the evaluation team is in Appendix 8. A tentative schedule is presented below. The schedule is subject to mission approvals by the Government, OED staffing situation, and ability to field consultants quickly.

22. The SAPE will plan to adhere to the following schedule and output milestones.

Activities/Milestones	Schedule
Approval of the approach paper	III September 2008
<b>Phase I</b>	
Selection of all consultants in the team	III – IV September 2008
Desk review, data collection, discussion with ADB staff and analysis phase	Sep- I October 2008
Fielding of international consultant to Viet Nam	I October 2008
Field studies and Interviews in Viet Nam for project output/outcome assessment	I – IV October 2008
Operations Evaluation Mission 1 – Reconnaissance and adjustment of drafted surveys	II October 2008
Discussion of preliminary findings with CAPE team and OED management, and direction for SAPE recommendations	III-IV October 2008
<b>Phase II</b>	

Draft SAPE report	IV October – 1 November 2008
Operations Evaluation Mission 2 – Follow-up assessment and SAPE overall findings workshops with past Project directors, MoC, MPI and SBVN	II November 2008
Draft report for peer OED review	I – II December 2008
<b>Final Phase</b>	
Interdepartmental review	II – III January 2009
Meeting with SERD	III January 2009
Draft to Editor, OSEC	IV January – I February 2009
Submission to Director General, OED	II February 2009
Final approval	III February 2009