

Chapter 1

Objectives and Methodology of the Study

1-1 Background to the Study

In response to growing awareness of the importance of donor-partner cooperation in tackling development challenges and global development issues, the Ministry of Foreign Affairs, Japan (MOFA) has hosted the “Tokyo Workshops on ODA Evaluation”. Since initially being held in 2001, five “Workshops on ODA Evaluation” have been organized¹ inviting representatives of 18 Asian partner countries together with bilateral and multilateral development agencies and banks including the World Bank, the Asian Development Bank (ADB), the United Nations Development Program (UNDP), the Organization for Economic Cooperation and Development (OECD), the Japan International Cooperation Agency (JICA), and the Japan Bank for International Cooperation (JBIC).

Through the workshops participants shared in recognizing the importance of donor-partner cooperation based on ownership by partner countries. In particular, joint donor-partner monitoring and evaluation has been recognized as an effective tool for the management of development assistance and overall development activities. Also the need to strengthen the evaluation capacity of partner countries was agreed on.

At the third workshop in November 2003, a proposal was made by Vietnamese representatives from the Ministry of Planning and Investment (MPI) to conduct a joint monitoring and evaluation exercise with a possible impact on capacity building. Since then, MPI and MOFA have conducted a careful review and a series of mutual discussions through diplomatic channels, and in July 2005 MPI and MOFA agreed to execute joint evaluation activity on a Japanese ODA program for transport sector development in the Red River Delta area. They also agreed that “ODA Evaluation Guidelines” established by MOFA would be adopted as the basic evaluation method for the joint evaluation study.

1-2 Objectives of the Study

Since this joint program evaluation study is the first joint evaluation between Vietnam and Japan, the study has the mandate not only to conduct a program-level evaluation in general but also to support the capacity building of the Vietnamese counterparts in ODA evaluation practices. The objectives of the Joint Program Evaluation Study are:

¹ The first workshop was held in November 2001 (in Tokyo) followed by the second workshop in November 2002 (in Tokyo), the third workshop in November 2003 (in Tokyo), the fourth workshop in January in 2005 (in Bangkok), and the fifth workshop in January 2006 (in Tokyo).

- To plan and execute a joint program evaluation study of the Japanese ODA program for the transport sector development in the Red River Delta area, also to produce lessons learned and recommendations for effective implementation of Japanese ODA in the future. At the same time, to make evaluation results public to ensure accountability.
- To promote understanding on the part of the Vietnamese counterparts regarding the program evaluation of ODA through the participatory study approach, such as participatory work shops, joint research and analysis, joint field surveys and joint reporting with Japanese evaluation teams throughout the study process.

1-3 Methodology of the Study

1-3-1 Principle Framework

The ODA evaluation practice in the “ODA Evaluation Guideline” established by the Ministry of Foreign Affairs, Japan (MOFA), is used for the joint program evaluation study. According to the Guideline, this study is classified as a “Program-level Evaluation”, and further classified as “Sector Program Evaluation”. The Guideline adopts a comprehensive evaluation method for Program-level Evaluation (Sector Program Evaluation), in which the object is evaluated from three points, namely, purpose, process, and result.

The evaluation of purpose examines the relevance of the purpose of the Program. The evaluation of result assesses the effectiveness and impact of the results of the program. The evaluation of process verifies the appropriateness of the planning process of the program.

1-3-2 Object of the Study

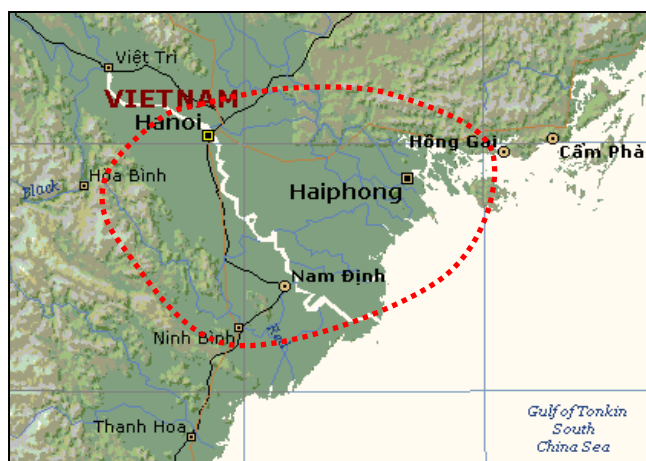
Firstly the object of the study needs to be identified. Since there was no existing comprehensive sector program covering all Japanese ODA projects in the transport sector of Vietnam, a “quasi-program” was expediently developed exclusively for the evaluation purpose, based on “the Master Plan Study of Transport Development in the Northern Part in the Socialist Republic of Vietnam (1994)” conducted by JICA (herein after called “the Master Plan 1994”).

The Master Plan 1994 was the first master plan targeting the transport sector in the northern part of Vietnam. It proposed a complex integrated network of transport systems and services in the four sub-sectors including the road, railway, sea and port, and inland waterway transport sectors. Based on the future transport demand forecast, the plan provided both short-term remedial measures for the bottlenecks that needed to be relieved in the near future, and long-term development strategies in the area of study up to 2010.

The Master Plan 1994 proposed 47 projects covering the four transport sub-sectors (26

projects for roads, 12 projects for railways, 4 projects for sea and ports, and 5 projects for inland waterways). As a priority, 26 projects were to be implemented by 2000. Looking at the history of Japanese ODA in the Vietnamese transport sector, it can be seen to be concentrated on the northern part of Vietnam with many projects of the same type as among the 26 priority projects of the Master Plan 1994.

Figure 1-1: Red River Delta Area



Therefore, the study utilized the framework of the Master Plan 1994 in order to create a “quasi-program” as an object for study.

1-3-3 Study Area

The Red River Delta area in the northern part of Vietnam was selected as the study area since it is a part of the target area of the Master Plan 1994. Also much of the Japanese ODA for the transport sector in Vietnam was targeted on this area. According to the official classification of the Red River Delta area in terms of administrative units, the area includes 11 provinces: Ha Noi, Vinh Phuc, Bac Ninh, Ha Tay, Hai Duong, Hai Phong, Hung Yen, Thai Binh, Ha Nam, Nam Dinh, and Ninh Binh.

1-3-4 Scope of Study (Identification of the Program)

The “quasi-program” is characterized as a group of Japanese ODA projects which share a common objective for transport sector development in the Red River Delta area. This group of Japanese ODA projects includes Yen loan projects, grant aid, technical cooperation projects, and development studies. The target period of the study is from 1994 to 2004. For the sake of convenience, the study team named the “quasi-program” as “The Japanese ODA Program for transport infrastructure development in the Red River Delta area” (herein after called “the Red River Delta Transport Development Program”).

The Red River Delta Transport Development Program is a group of Japanese ODA projects which consists of 13 Yen loan projects², 2 grant aid projects, 2 technical cooperation projects, and 8 development studies. Table 1-1 shows the list of identified Japanese ODA projects which are deemed as components of the Program. All Japanese ODA projects in Table 1-1 are the projects in which the actual implementation of a substantial amount of the project activity was achieved during the target period between 1994 and 2004.

² Although most of the Yen loan projects under the Program consist of several projects in separate loan agreements, the study team deemed the series of similar projects as one Yen loan project for convenience.

Table 1-1: Japanese ODA Projects under the Red River Transport Development Program (1994-2004)

No.	Sub-Sector	Type of Aid	Project	Implementing Agency	Year
01	road	loan	National Highway No.5 Improvement Project (1)(2)(3)	JBIC	1996-2004
02	road	loan	[PHASE I] National Highway No.1 Bridge Rehabilitation Project (1)(2)(3)	JBIC	1996-2005
03	road	loan	[PHASE II] National Highway No.1 Bridge Rehabilitation Project (1)(2)(3)	JBIC	1999-2004
04	road	loan	National Highway No.10 Improvement Project (1) (2)	JBIC	1998-2007
05	road	loan	National Highway No.18 Improvement Project (1) (2)	JBIC	1998-2008
06	road	loan	Bai Chay Bridge Construction Project	JBIC	2001-2008
07	road	loan	Binh Bridge Construction Project	JBIC	2000-2007
08	road	loan	Red River (Thanh Tri) Bridge Construction Project (1)(2)(3)	JBIC	2000-2008
09	road	loan	Transport Infrastructure Development Project in Hanoi	JBIC	1999-2006
10	road	grant aid	Project for Reconstruction of Bridges in the Northern District	MOFA/ JICA	1996-1998
11	road	grant aid	Project for Improvement of Transport Technical and Professional School No.1 in Vietnam	MOFA/ JICA	2000
12	road	technical coop. project	Project for Strengthening Training Capabilities for Road Construction Workers in Transport Technical and Professional School No.1 in Vietnam	JICA	2001-2006
13	road	development studies	Feasibility Study of the Highway No.18 Improvement in Vietnam	JICA	1995-1996
14	road	development studies	Study on Urban Transportation for Hanoi City in Vietnam	JICA	1995-1996
15	road	development studies	Detailed Design of the Red River Bridge (Thanh Tri Bridge) Construction Project	JICA	1998-2000
16	road	development studies	Vietnam National Transport Development Strategy Study (VITRANSS)	JICA	1998-2000
17	railway	loan	Hanoi-Ho Chi Minh City Railway Bridge Rehabilitation Project (1)(2)(3)	JBIC	1994-2005
18	railway	development studies	Upgrading the Hanoi-Ho Chi Minh Railway Line to Speed up Passenger Express Trains to an Average Speed of 70 km/h	JICA	1993-1995
19	port & sea	loan	Hai Phong Port Rehabilitation Project (1)(2)	JBIC	1994-2007
20	port & sea	loan	Cai Lan Port Expansion Project	JBIC	1996-2005
21	port & sea	loan	Costal Communication System Project	JBIC	1997-2002
22	port & sea	technical coop. project	Project on Improvement of Higher Maritime Education in Vietnam	JICA	2001-2004
23	port & sea	development studies	Feasibility Study for Construction of Cai Lan Port	JICA	1993-1994
24	port & sea	development studies	Master Plan Study of Coastal Shipping Rehabilitation and Development Project	JICA	1994-1996
25	inland waterway	development studies	Study of Red River Inland Waterway Transport System in Vietnam	JICA	2001-2003

(Note)

- 1) A series of Yen loan projects with separate loan agreements such as the phased project for NH 1, 5, 18, Red River bridge, Hai Phong port, etc are deemed as one project in the study for convenience.
- 2) The actual project area of the "Hanoi-Ho Chi Minh City Railway Bridge Rehabilitation Project (1)(2)(3)" is the central part of Vietnam, however considering the linkage between the project and the Red River Delta in terms of the outcome of the Program, this project is included as one of the components of the Program.
- 3) Through the initiative of the JICA Vietnam Office, a relatively small "Traffic Safety Promotion Program I (2002) & II (2003-4)" and the "Basic survey on road traffic safety in Hanoi city (2003-4)" were executed.
- 4) "The Master Plan Study on the Transport Development in the Northern Part in the Socialist Republic of Vietnam" by JICA 1993-1994 was the original plan for the subject of this joint evaluation survey, so this is not included in this list.

Table 1-2: Major Donors' ODA Projects for the Transport Sector in the Red River Delta (1994-2004)

No.	Sub-Sector	Type of Aid	Project	Implementing Agency	Year
World Bank					
26	road	loan	Urban Transport Improvement Project (Hanoi Portion)	WB	1998-2005
27	road	loan	Rural Transport Project	WB	1997-2001
28	road	loan	Second Rural Transport Project (WB/DfID Joint Project)	WB	2000-2003
29	road	loan	Road Network Improvement Project	WB	2003-2008
30	road	loan	National Highway No.1 Rehabilitation Project (Hanoi-Vinh)	WB	1994-2002
Asian Development Bank					
31	road	loan	Second Road Improvement Project	ADB	1997-2003
32	road	loan	Provincial Roads Improvement	ADB	2000-2003
Germany					
33	railway	loan	Feasibility Study on Urban Railway System, Hanoi	KfW	1998-1999
34	railway	grant aid	Assistance to VNR on Organizational Restructure	GTZ	2000-2004
35	railway	loan	Main Line Locomotives	KfW	2002-2006
36	railway	loan	Supply of Modern Railway Cranes	KfW	2000-2003
37	railway	loan	Rehabilitation of 15 Main Line Locomotives	KfW	1996-2000
38	railway	loan	Modernization of VR Traffic Control Centre	KfW	2004
39	port & sea	loan	Hopper Suction Dredger	KfW	2000-2004
United Kingdom					
40	road	loan	Second Rural Transport Project (WB/DfID Joint Project)	DfID	2000-2003
Canada					
41	inland waterway	grant aid	Vietnam-Canada Rural Infrastructure-Inland Waterways Project	CIDA	1997-2000
France					
42	road	loan	An Duong Bridge Repair	PEE/AFD	1995-2001
43	road	grant aid	Study of an Integrated Long-term Public Transport Development Plan in Hanoi	PEE/AFD	2004
44	road	grant aid	Traffic Lights for Hanoi-Phase II	PEE/AFD	1997-2000
45	road	grant aid	Study on Long Bien Bridge Rehabilitation	PEE/AFD	2002-2004
46	railway	loan	Signal System Modernization for Railway Line Hanoi-Vinh phase I	PEE/AFD	1997-2005
47	railway	loan	Signal System Modernization for Railway Line Hanoi-Vinh phase II	PEE/AFD	2004-2007
48	railway	loan	Services and Facilities/ Equipments for Hanoi-Vinh Railway Maintenance	PEE/AFD	2004-2008
49	railway	loan	Repair Tools and Equipments for Railroad Cars	PEE/AFD	2001-2005
50	railway	grant aid	Technical Assistance for Feasibility Study of a Pilot Train - Route for Hanoi	PEE/AFD	2004
51	port & sea	grant aid	Supply of Fireboats	PEE/AFD	1995
52	port & sea	loan	Lighting System to Hai Phong Port	PEE/AFD	1996-1998

Principally the scope of the study mainly focuses on the group of Japanese ODA projects as shown in Table 1-1, however, other donors' projects relating to the framework of the Red River Delta Transport Development Program (i.e. other donors' projects for the transport sector in the Red River Delta area implemented from 1994 to 2004) are also reviewed as a reference. Table 1-2 indicates the other major donors' ODA projects linked to the Program. The other major donors in the transport sectors in Vietnam are the World Bank, the Asian Development Bank, Germany, France, the United Kingdom and Canada.

1-3-5 Objective Framework of the Program

After the identification of the program scope, the "Objective Framework" is prepared in order that the purposes and features of the Program may be understood. The objective framework of the Program in Figure 1-2 illustrates the theoretical linkage between the program purpose, the sub-sector objectives and each component of the Japanese ODA projects listed in Table 1-1.

Borrowing the framework of the Master Plan 1994, the objective of the Red River Delta Transport Development Program is identified as "to establish a new transport system in the Red River Delta area for the promotion of economic development in northern Vietnam, the alleviation of north-south regional disparity, and the support of the transition to a market economy and internationalization."

The Program is basically divided into four transport sub-sectors such as the road, railway, port and sea, and inland waterway sub-sectors. Each sub-sector has its sub-sector objectives. Based on the identified Japanese ODA projects under the Program, listed in Table 1-1, each project is placed into four sub-sector groups showing the linkage between each project and sub-sector objectives. Figure 1-2 shows the basic objective frame-work of the Program. It is clearly seen that most of the Japanese ODA projects under the Program concentrate on the road transport sub-sector, followed by the port and sea and railway transport sub-sectors. Although one master plan study was carried out for the inland waterway transport sub-sector, no tangible project has materialized. This means that the main target areas of the Program are the road, railway, and port and sea transport sub-sectors.

Moreover, in order to analyze the Program from a wider perspective, an additional objective framework of the Program targeting not only Japanese ODA projects but also other donor's ODA projects related to the Program needed to be arranged. In the same manner as for the preparation of Figure 1-2, other donors' ODA projects listed in Table 1-2 are classified into four sub-sector groups and placed into Figure 1-2. Figure 1-3 shows the additional objective framework of the Program including Japanese and other major donors' ODA projects. Almost all of the other donors' ODA projects focus on the road and railway transport sub-sectors, and the other two sub-sectors receive very little assistance from other donors.

Figure 1-2: Objective Framework of the Program (Japanese ODA only)

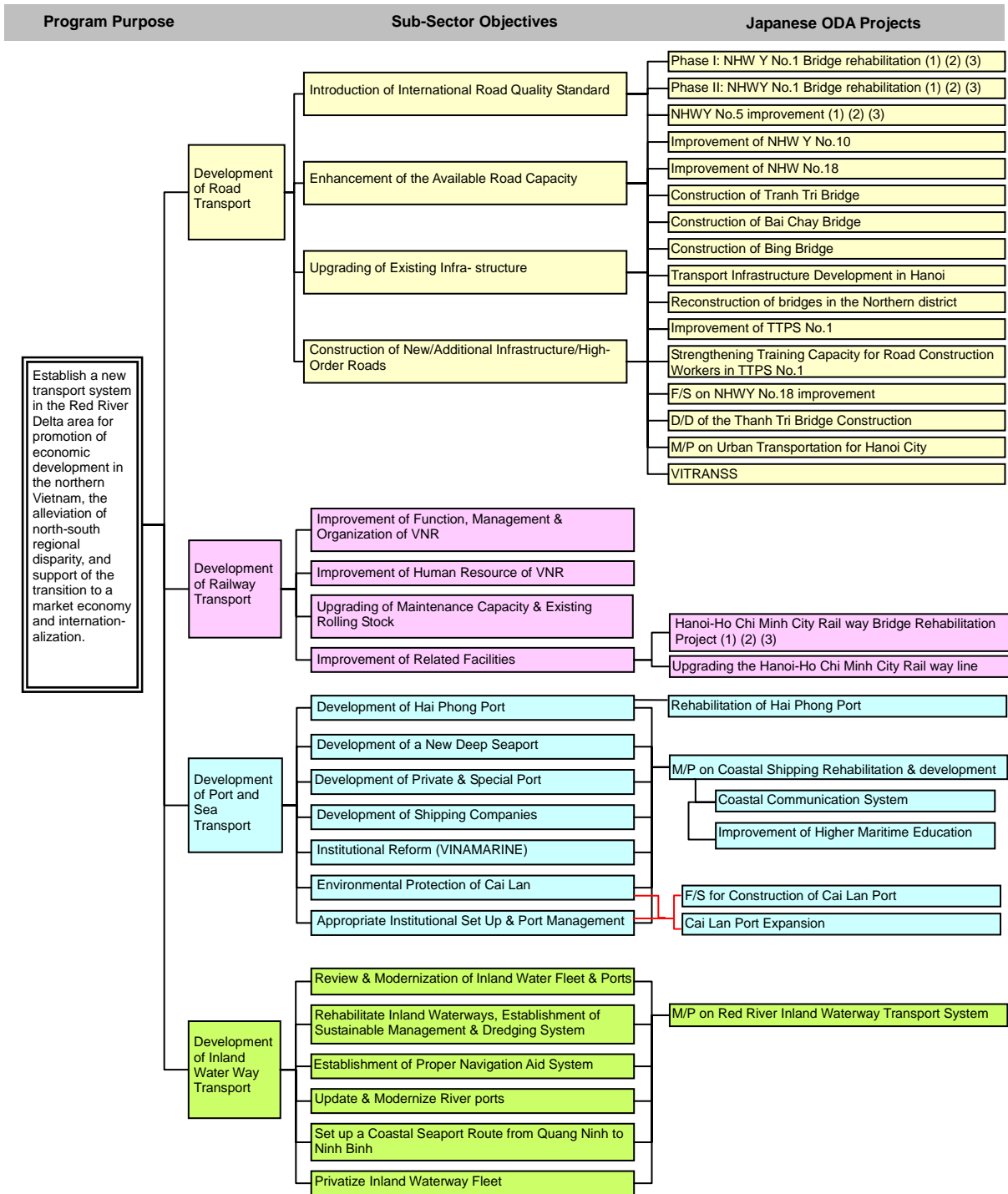
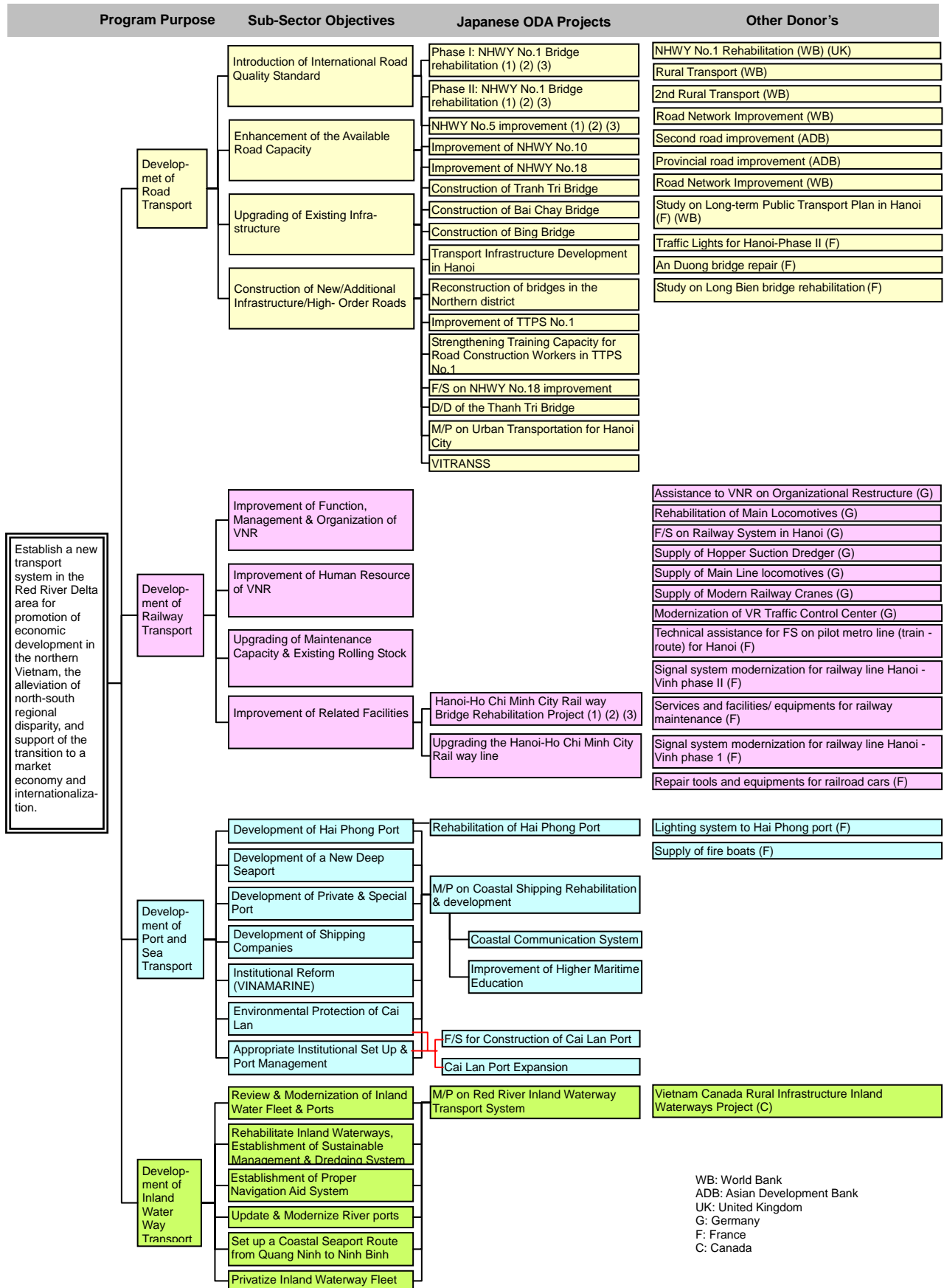


Figure 1-3: Objective Framework of the Program (Japanese ODA and Major Donor's ODA)



WB: World Bank
 ADB: Asian Development Bank
 UK: United Kingdom
 G: Germany
 F: France
 C: Canada

1-3-6 Evaluation Framework

After identifying the object of the study, the scope of the program, and having prepared the objective framework, the “Evaluation Framework” needed to be prepared. The evaluation framework is a tool for identifying the evaluation approach and type of information and data required for the evaluation analysis, which include (i) the view point for evaluation, (ii) evaluation criteria, (iii) evaluation indicators, (iv) required information, and (v) the source of information. The “Evaluation Framework for the Joint Program Evaluation” is provided in the Appendix.

1-3-7 Implementation Schedule and Procedure of the Study

The joint evaluation activities were carried out according to the implementation schedule mutually agreed by the Vietnamese and Japanese evaluation teams as follows:

■ 1st Phase (from beginning of July to mid August 2005)

The first phase is the preparation stage of the study. The objective framework of the Red River Delta Transport Development Program and the “Evaluation Framework” were prepared and mutually agreed by the two evaluation teams of Vietnam and Japan.

Also an “ODA Evaluation Seminar” was held at the VJCC (Vietnam-Japan Human Resource Cooperation Center³) in Hanoi on 10th and 11th of August with approximately 40 participants from the relevant ministries and agencies of Vietnam and from Japanese ODA related organizations. The seminar was organized as one form of technical transfer of Japanese ODA evaluation methods and practices from the Japanese team to the officials of the Vietnamese ODA related ministries and agencies. Through the seminar, understanding of the purpose of the study, the proposed evaluation methodology, the research plan, the implementation schedule, etc. were shared by Vietnamese and Japanese participants.



*ODA Evaluation Seminar at VJCC
(10-11 August, 2005, Hanoi)*



*Group Work by the Participants during
the ODA Evaluation Seminar*

The Vietnamese evaluation team was also formally formulated. The core members of

³ VJCC was constructed in March 2002 by Japanese grant aid on the campus of the Foreign Trade University in Hanoi. JICA has been implementing a technical cooperation project since September 2000 aiming at developing appropriate human resources for the market economy, and after the opening of VJCC in 2002 the activities of the technical cooperation project have been carried out at VJCC.

the Vietnamese evaluation team were appointed by MPI and MOT from the relevant ODA related ministries and agencies in the Vietnamese government.

■ 2nd Phase (from mid August to mid October 2005)

Based on the “Evaluation Framework”, the Japanese team and the Vietnamese team prepared research plans in the second phase including (i) the arrangement of interviews with various government agencies and ministries, Japanese aid agencies and major donor agencies, (ii) the arrangement of field surveys, and (iii) the preparation of questionnaires.



*Field Survey of Hai Phong Port
(Interview with Hai Phong Port PMU by the Joint
Evaluation Team)*

Actual research activities and data collection were then conducted. In this stage, the Japanese team was divided into two groups, and whilst one group conducted the survey in Japan, the other group jointly implemented the survey with the Vietnamese team.

■ 3rd Phase (from mid October to late November 2005)

Based on the information and data gathered through a series of interview surveys, questionnaire surveys, field surveys, and literature surveys, the Japanese team conducted data compilation and analysis, and then produced the preliminary evaluation results.



*Core-Team Meeting between the Vietnamese
and Japanese Evaluation Teams at MPI*

The Japanese and Vietnamese teams discussed the preliminary evaluation results and a necessary revision of the results was carried out reflecting the critical comments from the Vietnamese team.

At the same time, the necessary follow up survey and data collection was carried out, and a draft evaluation report was prepared.

■ 4th Phase (December 2005)

The draft report was circulated to the related ministries and agencies both in Japan and Vietnam for their review and comments, then the final draft report was produced based on their comments.

1-3-8 Output

The expected output of the joint evaluation study was (i) the Report of the Joint Program Evaluation Study and (ii) capacity building of Vietnamese counterparts for ODA evaluation.

1-3-9 Responsibility for the Joint Evaluation Study

The agencies responsible for the joint evaluation study are as follows:

Japanese team: Ministry of Foreign Affairs (MOFA), Government of Japan

Vietnamese team: Ministry of Planning and Investment (MPI) and Ministry of Transport (MOT), Government of the Socialist Republic of Vietnam

The member list of the joint evaluation study team is provided in Table 1-3 below.

Table 1-3: Member List of the Joint Evaluation Study Team

Name	Title / Position
Vietnamese Evaluation Team	
Dr. Ho Quang Minh	Director General, Foreign Economic Relations Dept., MPI
Mr. Cao Manh Cuong	Chief of Division, FERD, MPI
Mr. Pham Hung Vinh	Senior Official, FERD, MPI
Mr. Cao Thanh Phu	Expert, FERD, MPI
Mr. Do Duc Tu	Expert, Infrastructure Dept., MPI
Mr. Trinh Duc Trong	Expert, Infrastructure Dept., MPI
Ms. Nguyen Thanh Hang	Chief of Division, Planning and Investment Dept., MOT
Japanese Evaluation Team	
Mr. Daisuke Matsunaga	Minister, Embassy of Japan
Mr. Tomoyuki Okada	First Secretary, Embassy of Japan
Mr. Yasuhisa Suzuki	Deputy Director, Economic Cooperation Bureau, MOFA
Mr. Takeshi Shiihara	Assistant Director, Economic Cooperation Bureau, MOFA
Mr. Keishi Miyazaki	Evaluation Specialist, OPMAC
Mr. Michimasa Numata	Evaluation Specialist, OPMAC
Ms. Nguyen Song Anh	Management Consultant
Mr. Mai The Cuong	Lecturer, National Economic University
Ms. Phuong Nguyen Minh	Lecturer,, Foreign Trade University
Dr. Doan Thi Phin	Deputy Director, TDSI (Technical Advisor for Japanese Team)