

**NATIONAL ACADEMY OF PUBLIC ADMINISTRATION**

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**RESULTS-BASED MANAGEMENT IN PUBLIC POLICY IMPLEMENTATION IN VIETNAM**

Specialization: Public Administration

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SUMMARY OF DOCTORAL DISSERTATION IN PUBLIC ADMINISTRATION

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## INTRODUCTION

### **1. Reasons for choosing the subject of the thesis**

Public policy is one of the social management tools of the State. Through the promulgation and successful implementation of the public policies, the public issues are gradually resolved, the goals of social and economic development of the country have been gradually achieved and contributed to the sustainable economic growth, strong national security, strengthened and expanded external relations, guaranteed social order and safety and the rights and obligations of citizens, improvement in people's lives, more democratic, fair and civilized society. However, in order to promote the role of this management tool, the State needs to innovate and improve the process of public policy making; the management practices of public policy implementation, as well as public policy evaluation. This thesis focuses on innovating the management practices of public policy implementation in Vietnam.

The selection of the topic "**The results-based management in public policy implementation in Vietnam**" by the following reasons:

- Starting from the role of public policy implementation in public policy cycle;
- The public policy implementation is a result-oriented process;
- Originating from requirements of efficient management and use of resources;
- Starting from the requirement to promote democracy in the state management;
- The result-based management is advanced management methods at present, has been applied by many nations;
- Derived from the reality of public policy implementation in our country has still limitations and shortcomings.

So doctoral thesis: "**The results-based management in public policy implementation in Vietnam**" will clarify the nature of the results-based management, the nature of public policy implementation, and results-based management of public policy implementation, evaluating status of management of public policy implementation in Vietnam; from that to propose apply the results-based management of public policy implementation in Vietnam, in order to enhance the effectiveness, efficiency, accountability and democracy promotion in the implementation of public policies in Vietnam, contribute on promoting economic - social development according to socialist orientation.

### **2. Theoretical framework and scientific hypothesis**

#### ***2.1. Theoretical framework***

The theoretical framework for this dissertation is theories of the results-based management, public policy implementation and the results-based management of public policy implementation.

#### ***2.2. Research question***

The thesis is to answer the following the research questions:

- *Research question 1:* How the management of public policy implementation in Vietnam is done?

- *Research question 2*: What will bring benefits if the application of results-based management in public policy implementation in Vietnam?

- *Research question 3*: How to apply the results-based management in public policy implementation in Vietnam?

### ***2.3. Scientific hypothesis***

The thesis was conducted to prove the following scientific hypothesis:

- *Hypothesis 1*: Application of the results-based management in Vietnam's public policy implementation contributes to improve efficiency, effectiveness and accountability in public policy implementation.

Expected findings: Through clarifying the core of the results-based management and public policy implementation, this dissertation proves the necessity of the results-based management application in public policy implementation and points out some benefits of public policy implementation management based on the results-based management.

- *Hypothesis 2*: Vietnam does not apply the results-based management in public policy implementation therefore the process of public policy implementation has limitations.

Expected findings: The thesis evaluates results and limitations of management of public policy implementation in Vietnam through researching situation of management of public policy implementation in Vietnam today.

- *Hypothesis 3*: Vietnam is well prepared to apply the results-based management in public policy implementation.

Expected findings: The thesis assesses the readiness of the management system of public policy implementation in Vietnam through comparing the situation of management of public policy implementation in Vietnam with the requirements of the results-based management of public policy implementation.

- *Hypothesis 4*: The experience from the results-based management in the world has given Vietnam many useful lessons on applying the results-based management in public policy implementation management.

Expected findings: The dissertation explores the practice about the results-based management by doing research the practice of application of the results-based management in some OECD countries.

- *Hypothesis 5*: In order to apply the results-based management of public policy implementation in Vietnam must have certain conditions of institutional, organizational, personnel, and technical.

Expected findings: The thesis determines the necessary conditions for application of results-based management of public policy implementation in Vietnam, and proposes solutions to get those necessary conditions.

## **3. The purpose and mission of research**

### ***3.1. The purpose of research***

The purpose of the dissertation is to develop the scientific foundation for the results-based management of public policy implementation, then to propose solutions for application of the results-based management of public policy implementation in Vietnam.

### ***3.2. The mission of research***

To achieve the purpose of the study mentioned above, the thesis has the following tasks:

- Formalise and research theoretical issues of the results-based management to clarify the nature of the results-based management;
- Formalise and research the theoretical issues of public policy implementation in order to clarify the nature of the implementation of public policy. Since then, clarify the results-based management model of public policy implementation;
- Research application of the results-based management of a number of countries around the world to draw lessons for Vietnam;
- Research situation of public policy management in Vietnam today to determine the achievements and limitations of current management of public policy implementation, thereby determining contents to be supplement and perfect for application of the results-based management of public policy implementation in Vietnam in the future;
- Develop results-based management framework of public policy implementation and propose solutions to apply it in Vietnam.

### **4. Objects and scope of research**

The object of the dissertation's research is the management of public policy implementation and the application of the results-based management in public policy implementation in Vietnam.

The scope of the study: The dissertation just focuses on theory of the results-based management, public policy implementation, base-result management of public policy implementation, the practice of Vietnam's public policy implementation management from 2006-2013.

### **5. Methodology**

Through the dissertation, the author applies the methodology of Marxism; simultaneously, the use of specific research methods such as desk study, Delphi method, comparative method, analytical method, synthetic method.

### **6. New findings of the dissertation**

The dissertation is the result of independent and scientific research of the author and has the following new contributions:

- The thesis has strengthened and added in the academic term the concepts and contents, such as the concept, characteristics and process of results-based management; the concept of public policy implementation, the concept of management of public policy implementation, the concept of results-based management of public policy implementation, the component elements of results-based management of public policy implementation, the benefits of results-based management of public policy implementation and the principles of results-based management of public policy implementation.
- Based on analyzing and evaluating the practice of public policy implementation management in Vietnam, the author comes to achievements and backwards of current public policy implementation management. The author also proves the feasibility of application of result-based management of public

policy implementation in Vietnam. At the same time, based on comparing with the requirements of the results-based management of public policy implementation, the author determined the management contents need to be supplemented and conditions for application of results-based management of public policy implementation in Vietnam in the future.

- Through the research, the author proposes the framework for result-based management of public policy implementation in Vietnam includes four key issues: public policy implementation planning; monitor performance and risk management; evaluation and reporting; review the results of implementation and make adjustments. At the same time, the author also proposes solutions for application of results-based management of public policy implementation in Vietnam.

### **7. The theoretical and practical contributions of the dissertation**

The findings in this dissertation have theoretical and practical contributions as follow:

- The dissertation build the scientific foundation for results-based management of public policy implementation such as concepts, models, benefits and principles of the results-based management of public policy implementation; affirmed the application of the results-based management of public policy implementation in Vietnam is necessary and feasible.

- The dissertation can be a good reference for researchers, learners and teachers in the disciplinary of public management and public policy.

- The dissertation also can be a good reference for leaders, practitioners in designing a result-based management system of public policy implementation.

### **8. Structure of the dissertation**

The thesis is structured as follow:

**Introduction**

**Research literature**

**The Content:**

**Chapter 1 – Theoretical framework of results-based management of public policy implementation**

**Chapter 2 – Practice of public policy implementation management in Vietnam**

**Chapter 3 - Application of results-based management of public policy implementation in Vietnam**

**Conclusion**

## RESEARCH LITERATURE

The public policy implementation and results-based management has received widespread attention by many researchers in Vietnam and abroad. There are many scientists in Vietnam and abroad have studied the theoretical issues and practices related to the thesis as:

- The concept of results-based management, the characteristics of results-based management, the goal of results-based management, model of results-based management, process of results-based management, principles of results-based management in public sector, practices of results-based management of a number of countries around the world.

- The concept of public policy, the concept of public policy implementation, the role of public policy implementation, the factors affecting the public policy implementation, process of public policy implementation.

The contents and views expressed in these scientific literatures do not only provide useful reference information for the author of the thesis, but also suggestion for further research of the author. However, the scientific works had not studied directly in "The results-based management in public policy implementation in Vietnam".

Based on a literature review, the author thinks that the thesis should focus on the following issues:

- Clarification of the nature of results-based management such as concept of results-based management, characteristics of results-based management, process of results-based management, and the benefits of results-based management in comparison with other management models.

- Clarification of the nature of public policy and public policy implementation, such as the concept of public policy, public policy implementation, the role of public policy implementation, and the conditions and factors affecting the successful public policy implementation.

- Clarification of the nature of results-based management of public policy implementation, such as the concept of results-based management of public policy implementation, model of results-based management of public policy implementation, the interests of results-based management of public policy implementation, and the principles of results-based management of public policy implementation.

- Search the lessons of results-based management of some OECD countries to Vietnam.

- Study the practice of public policy implementing in Vietnam today to provide practical background for the application of results-based management of public policy implementation in Vietnam in the future.

- To propose results-based management framework of public policy implementation in Vietnam, and to propose solutions for application of results-based management of public policy implementation in Vietnam.

## CONTENTS

### **Chapter 1 – THE THEORETICAL FRAMEWORK OF RESULTS-BASED MANAGEMENT OF PUBLIC POLICY IMPLEMENTATION**

To make theoretical premise for analyzing, assessing the situation and propose solutions for application of results-based management in the public policy implementation, chapter 1 focuses on solving some of the following content:

#### **1.1. RESULTS-BASED MANAGEMENT**

##### **1.1.1. The concept of results-based management**

In fact, the results-based management is applied in different contexts and at different levels of results, so there are many different conceptions of results-based management. However, we can understand: Results-based management is management method, through which managers clearly identify long-term expected results, direct all the efforts and activities to achieve those results effectively, efficiently and accountably.

##### **1.1.2. Characteristics of results-based management**

Results-based management has some following characteristics: (1) Paying attention to the results, the process and the inputs; (2) Paying attention to results-based planning; (3) Paying attention to the measurement and evaluation; (4) Focusing on continuous improvement; (5) Paying attention to the continuous development; (6) Paying attention to the communication; (7) Paying attention to stakeholders; (8) Paying attention to the transparency and fairness.

##### **1.1.3. Objectives and benefits of results-based management**

###### ***1.1.3.1. The goal of results-based management***

Overall objective of results-based management is to make sure that agencies, organizations, departments, units and employees to work together and that the process is done in a good way to achieve the desired results in effective and efficient manner.

###### ***1.1.3.2. Benefits of results-based management***

Results-based management gives agencies and organizations following benefits: Firstly, results-based management identifies agencies and institutions a broad and long-term vision. Secondly, results-based management assures agencies and organizations an effective operation. Thirdly, results-based management optimizes the operation of agencies and organizations. Fourthly, results-based management is a prerequisite for implementing performance-based payment. Fifthly, results-based management is the basis for applying performance-based budgeting system, and renewing the planning of the agencies and organizations. Sixthly, results-based management promotes coordination and cooperation within the agency and with external organizations. Finally, results-based management contributes to change working-style of employees, managers in agencies and organizations; strengthening inside and outside accountability.



#### **1.1.4. Results-based management process**

##### ***1.1.4.1. Results-based management model***

The term "results-based management" is closely related to systems theory, causal theory, and the aspect of time. The literatures on management all agree that the results-based management including elements such as inputs, activities or process, results (outputs, outcomes, impact).

##### ***1.1.4.2. Results-based management processes***

According to common view, results-based management consists of 5 basic operations: (1) planning; (2) implementing; (3) monitoring implementation; (4) evaluating the results; (5) reviewing the results.

### **1.2. PUBLIC POLICY IMPLEMENTATION AND MANAGEMENT OF PUBLIC POLICY IMPLEMENTATION**

#### **1.2.1. Overview of the public policy implementation**

##### ***1.2.1.1. The concept of public policy***

Many scientists gave different definitions of public policy. However, we can understand: Public policy is a set of interrelated decisions issued by the state, including the objectives and measures to resolve the public problem in order to achieve the developmental goals.

##### ***1.2.1.2. The concept of public policy implementation***

There are many different notions of public policy implementation. However, as a stage of the policy cycle, public policy implementation is process putting public policy into practice through the promulgation of regulations, programs, projects and implementing them to realize the goals of public policy.

##### ***1.2.1.3. The role of public policy implementation***

Public policy implementation has following major roles: (1) step by step realization of the objectives of public policy; (2) confirmation of the correctness of the policy; (3) help to improve the public policy.

##### ***1.2.1.4. The actors of public policy implementation***

The actors involved in the public policy implementation may include the following groups: (1) the participants from the state (agencies and state institutions); (2) the participants from the non-state partners (businesses, organizations in country and abroad); (3) policy beneficiaries (the community, population groups, or even people).

#### **1.2.2. The process of public policy implementation**

To implement a public policy, actors of public policy implementation, depending on their competence, shall carry out work such as formulation and issuance of legal documents, programs projects to specify targets and policy measures for each period of time or a specific geographical area; carry out legal document, and implementation of programs, projects; conducting preliminary and summary wrap-up report of legal document implementation, mid-term review and evaluate the end of program, project; reporting and accountability for the results of public policy implementation with higher level agencies, state authorities, policymakers and people.

### **1.2.3. The conditions for the successful implementation of public policy**

The public policy implementation is considered successful or effective as it achieves the goals of public policy comprehensively. However, a successful public policy implementation requires a lot of favourable conditions. These conditions can be grouped into three categories: (1) the conditions relating to the policies themselves; (2) the conditions relating to the actors and resources; (3) the conditions relating to the implementing context.

### **1.2.4. Factors affecting the implementation of public policy**

Public policy implementation is a complex process because it is influenced by many factors such as the nature of the problem, implementation environment, apparatus of government that is responsible for the implementation, stakeholders. These factors can make the implementation of public policy not work as expected - this is the aspect of practice of public policy implementation, unlike public policy formulation and decision-making.

### **1.2.5. The management of public policy implementation**

The management of public policy implementation is the management of public policy implementation activities including formulation, issuance and enforcement of legal documents; design, approval and implementation of programs and projects, in order to achieve expected public policy objectives effectively, efficiently.

From the concept of public policy implementation management above shows the content of management of public policy implementation, including:

- Manage formulation, issuance and enforcement of legal documents setting measures and procedures for implementing public policies (hereinafter referred to as management of legal documents for public policy implementation).
- Manage design, approval, and implementation of programs and projects for public policy implementation (hereinafter referred to as management of programs and projects for public policy implementation).

## **1.3. RESULTS-BASED MANAGEMENT OF PUBLIC POLICY IMPLEMENTATION**

### **1.3.1. The modes of public sector management**

So far, public sector management has been a change in the focus of the approach: focusing on inputs, activities, process control, output and now is results. Results-based management is "an evolution in management and not a revolution". This mean RBM inherits the previous management models. Thus, the application of RBM requires firstly the access of the practice of current management methods to identify what should be added to comprehend the requirements of RBM.

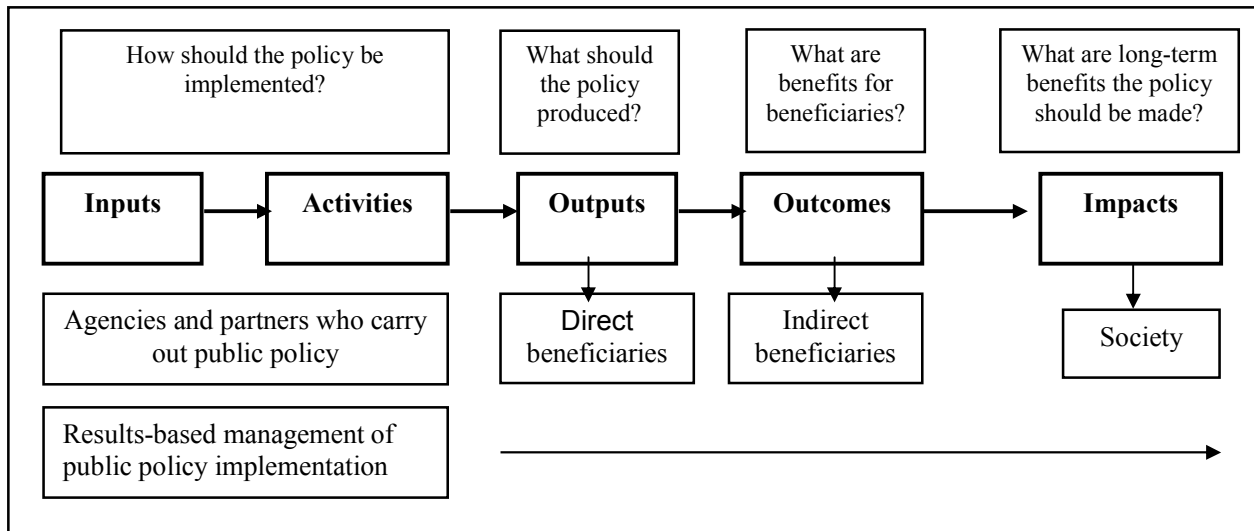
### **1.3.2. The concept of results-based management of public policy implementation**

Results-based management of public policy implementation is the management of public policy implementation activities including formulation, issuance and enforcement of legal documents; design, approval and implementation of programs and projects, in order to achieve expected public policy results effectively, efficiently, transparently and accountably.

### 1.3.3. The components of results-based management of public policy implementation

From a results-based management perspective, implementation of public policy includes the sequence of the following basic elements: (1) inputs; (2) activities to carry out regulations, programs and projects; (3) outputs; (4) outcomes; (5) impact of the policy.

From the sequence of elements, we set the model of results-based management of public policy implementation as described below:



In this model, the results-based management of public policy implementation includes reciprocal factors that are: (1) results-based planning; (2) results-based budgeting; (3) results-based implementation; (4) results-based monitoring; (5) results-based evaluation; (6) review the results.

### 1.3.4. Benefits of results-based management of public policy implementation

Results-based management of public policy implementation brings the following benefits: (1) changing the working style and methods of public employers in long term (2) directly solving the problem; (3) resolve completely the public problem; (4) the objective of regulations, programs and projects are clearly and realistically defined (5) identifying the full range of stakeholders to implement the policy; (6) identifying the set of external factors influencing the success or failure of the implementation of public policy; (7) develop a system of indicators to measure the effectiveness and efficiency of the implementation of public policy; (8) improving the results of public policy implementation, strengthening the accountability of agencies implementing public policy, contributing to resources saving, corruption prevention and combat; (9) timely detection of problems arising during the implementation process for necessary adjustment measures; as well as feedback to improve the policy.

### 1.3.5. The principles of results-based management of public policy implementation

Results-based management of public policy implementation must comply with six basic principles which are: the participation of stakeholders, accountability, transparency, continuous learning, simplicity in management, and flexibility and repeated innovation.

#### **1.4. LESSONS LEARNED ON RESULTS-BASED MANAGEMENT FROM OECD COUNTRIES**

Through the study of results-based management practices of some OECD countries such as the UK, Denmark, USA, New Zealand, France, Australia, the author has drawn a number of lessons for application of results-based management of Vietnam as follows: Firstly, all countries in every level of development can apply results-based management systems in the public sector. Second, the application of results-based management systems in the public sector should have the strong political commitment from the highest levels of the State, and this commitment is reflected in the legislature (National Assembly) or executive body (Government). Third, building results-based management systems is a permanent and costly job and requires a route with appropriate steps, the creative application of world experience to fit the current status of state management in each country. Fourth, the building of results-based management system need to do the following tasks well: (1) identify objectives of results-based management clearly, specifically and reasonably; (2) determine the appropriate approach; (3) establish an agency that responsible for results-based management; (4) identify techniques and solutions to apply results-based management; (5) establish a set of tools for performance measurement; (6) build performance information systems; (7) transfer budget planning and allocation system based on performance-based budget allocation, the system of cash accounting to accrual accounting.

##### **Conclusion:**

This chapter explains the scientific basis of the results-based management, public policy implementation, the results-based management of public policy implementation, and practical basis through the experience of some countries in the world. Specifically, the authors focus on the following contents:

1. Analysis of some opinions about results-based management of a number of scholars in the world, and bringing forward the concept of results-based management; elucidate eight characteristics of results-based management; at the same time, recapitulate benefits of results-based management giving agencies, state organizations. Based on the analysis of various results-based models, the author chooses a model which appropriate to public policy implementation with following five elements: inputs, activities/processes, outputs, outcomes, and impacts. Since then, it offers results-based management processes of five phases: planning, implementation, monitoring implementation, results evaluation, and results review.

2. Analysis of some opinions of public policy implementation and bringing forward the concept of public policy implementation. At the same time, the author believes that the public policy implementation does not simply carry out policy options selected in the stage of public policy planning, but also complement and complete what is lacking in the public policy planning period.

3. Complement and group conditions for successful public policy implementation into four groups: the conditions relating to the policies themselves; conditions relating to the implementing agencies and resources; conditions relating to the implementing context. At the same time, point out the factors that

can make the public policy implementation not carried out as expected such as the nature of public policy issues; environment of public policy implementation; agencies are responsible of carrying out public policy, stakeholders. Then, the author asserts that there should be a way to manage the implementation of public policies appropriately to ensure the implementation of public policy to satisfy the maximum conditions, and to control influencing factors effectively.

4. Through elucidating the nature of results-based management and nature of public policy implementation, the author develops the theory of results-based management of public policy implementation, including the contents: the concept of results-based management of public policy implementation, the model and the elements of results-based management of public policy implementation, the principles of results-based management of public policy implementation. These elements and principles are requirements of results-based management of public policy implementation.

In addition, the author also points out the benefits of results-based management of public policy implementation; in which the benefit is worth noting that it changes the working style and methods of public employers in long term, contribute to continuous improvement of public policy performance, strengthening accountability, contribute to resources saving, and help to improve the public policy in the future.

5. From the experience of application of results-based management of some OECD countries, combined with results-based management theory, the author states that countries, in spite of the levels of development, can apply results-based management in public policy implementation. At the same time, pointing out the lessons learned in building results-based management systems of public policy implementation.

The above research results provide the scientific foundation for the assessment of management of public policy implementation in Vietnam in Chapter 2, for proposing a framework for results-based management of public policy implementation and proposing solutions for application of results-based management of public policy implementation in Vietnam in Chapter 3.

## **Chapter 2 - PRACTICE OF MANAGEMENT OF PUBLIC POLICY IMPLEMENTATION IN VIETNAM**

Based on the theoretical foundation of results-based management, public policy implementation and results-based management of public policy implementation, the author identifies the actors implementing and managing the public policy implementation, entities controlling the public policy implementation and the management of public policy implementation; author depth analyses and evaluates of the management of public policy implementation in Vietnam, from which to draw achievements and limitations, the cause of the results and limitations. This chapter includes the main content:

### **2.1. PUBLIC POLICY IMPLEMENTATION AND PUBLIC POLICY IMPLEMENTATION MANAGEMENT ACTORS IN VIETNAM**

#### **2.1.1. Public policy implementation actors in Vietnam**

The state agencies are responsible for the implementation of public policy in Vietnam including the Government, ministries, ministerial-level agencies, local governments at all levels; with the participation of actors outside the State.

#### **2.1.2. Actors of management of public policy implementation in Vietnam**

Actors are responsible for the management of public policy implementation in Vietnam including the Government, ministries, ministerial-level agencies, People's Committee and Departments of People's Committee at all levels.

#### **2.1.3. Actors of external control of public policy implementation and implementation management in Vietnam**

The public policy implementation and management of public policy implementation in Vietnam are under control of Communist Party of Vietnam, National Assembly, People's Councils at all levels, Vietnam Father Front and its members, citizenry and public critics, State Audit, State Inspectoral.

### **2.2. CONTENTS OF MANAGEMENT OF PUBLIC POLICY IMPLEMENTATION IN VIETNAM**

#### **2.2.1. Contents of management of legal documents of public policy implementation**

Management of legal documents of public policy implementation includes: making and implementing legal documents; designing budget, implementing legal documents; control legal document implementation; evaluate on legal document implementation; review legal documents; participation of stakeholders in formulating and implementing legal documents; publicity, transparency in making and implementing legal documents; responsibility in making and implementing legal documents.

#### **2.2.2. Contents of management of programs and projects for public policy implementation**

Managing programs and projects for public policy implementation including design, appraisal, approval, adjustment of programs and projects; budget planning and allocating for programs and projects; implementing programs and projects; monitoring, supervising, evaluating programs and projects; review

the results of programs and projects; participation of community in designing and implementing programs and projects; publicity and transparency in designing and implementing programs and projects; responsibility of the agencies managing programs and projects.

### **2.3. ASSESSMENT OF MANAGEMENT OF PUBLIC POLICY IMPLEMENTATION IN VIETNAM (2006-2013)**

#### **2.3.1. Results of management of legal documents**

The formulation, promulgation and enforcement of legal documents in 2008- 2013 has achieved important results, such as: the development and issuance of legal documents was carried out essentially according to law; organizing the consultation of stakeholders in the process of drafting was done quite well; quality of preparation, evaluation and issuance of legal documents to be significantly improved; organizing the implementation of the legal documents has been improving; quality of legal documents has been gradually improving; an important contribution to ensuring the rights and legitimate interests of citizens and businesses; contribute positively to the achievement of the objectives of socio-economic development; timely service requirements of building a socialist country ruled by law.

However, formulation and promulgation of legal documents have shortcomings as indebtedness for legal documents detailing and guiding the implementation of the public policy has not been resolved and solid base; quality of legal documents and enforcement has not been as expected; interest-seeking in implementing the public policies take place in many localities, causing annoyance and bad publicity among the people, diminish the people's faith in the public policy.

#### **2.3.2. Results of management of programs and projects**

The preparation and implementation of programs and projects from 2006-2013 has achieved important results, such as: quality of planning and implementation of programs and projects are gradually improving; contribute to prevention of corruption, thrift practice and waste combat in the management and use of public resources; efficiency of capital use is gradually improving; contribute to the achievement of Millenium Development Goals (MDGs) before deadline; contribute directly to the fulfillment of the objectives of socio-economic development; contribute to the improvement and gradually improving the quality of living for people.

However, the formulation and implementation of programs and projects have limitations and weaknesses as: The establishment of a number of programs and projects are subjective, qualitative; has not paid proper attention to the sustainability of the program; corruption, waste, causing loss of the State's money and property are common; many programs and projects in 2006-2013 period do not achieve the planned targets.

#### **Summary of Chapter 2:**

This chapter evaluated the performance management situation of public policy in Vietnam in recent years. Specifically, the author has focused on the following contents:

1. Identify the actors implementing public policies and managing the implementation of public policies, in which the agency responsible for implementing public policy in Vietnam belong to the

Government, ministries, ministerial-level agencies, local governments at all levels. Besides, the process of public policy implementation also has the participation of social-political institutions, and other partners such as international organizations, businesses, research institutions and training agencies, individuals and civil society organizations... The actors of managing the implementation of public policy in Vietnam are the administrative agencies at all levels, including the Government, ministries, ministerial-level agencies, the People's Committee and the bodies of People's Committees at all levels.

2. On the basis of studying the legislation provides for managing legal documents, programs and projects of implementation of public policy, the author has presented the content of managing public policy implementation on aspects such as: the formulation of legal documents, programs and projects implemented in public policy; budget planning and allocation for implementation of legal documents, programs and projects; organize the implementation of legal documents, programs and projects; monitor and evaluate the results of implementation; review the results of implementation; involvement of stakeholders, transparency and accountability in the implementation of public policy.

3. On the basis of studying the preliminary reports and review of the implementation of policies and laws in 2006-2013 of the authorized state agencies, in conjunction with the Delphi survey results, the author draws the achievements and limitations in the management of public policy implementation in Vietnam in recent years. Also, determine the cause of the results and of the limitations.

According to author, the management of public policy implementation in Vietnam initially formed thought of results-based management, consistent with the trend in many countries and regions around the world. The management of public policy implementation in Vietnam has been gradually perfecting institution, organization, personnel, and resources to ensure this operation. However, it still has shortcomings, limitations, such as: regulations for managing legal documents, programs and projects for public policy implementation is not complete and uniform; the regulations are still generic, lacking specific instructions; capacity of staff does not meet requirements; financial mechanisms remain irrational points.

The research results mentioned above provide the practical basis for developing results-based management framework and propose solutions for application of results-based management of public policy implementation in Vietnam in Chapter 3.



## **Chapter 3 - APPLICATION OF RESULTS-BASED MANAGEMENT OF PUBLIC POLICY IMPLEMENTATION IN VIETNAM**

Based on the theory of results-based management of public policy implementation, management situation of public policy implementation in Vietnam, and experience in results-based management of a number of countries around the world, the author explains the need to apply results-based management of public policy implementation in Vietnam, determine the content needed to complete and complement, propose framework for results-based management of public policy implementation and solutions for application of results-based management of public policy implementation in Vietnam as follows:

### **3.1. THE NECESSITY OF THE APPLICATION OF RESULTS-BASED MANAGEMENT OF PUBLIC POLICY IMPLEMENTATION IN VIETNAM**

From the results of theoretical studies on the results-based management, public policy implementation and results-based management of public policy implementation in Chapter 1, and the results of evaluating the management of public policy implementation in Vietnam in Chapter 2, showing the application of the results-based management of public policy implementation in Vietnam is necessary and feasible.

#### **3.1.1. The requirements of public policy implementation itself**

The application of results-based management of public policy implementation proceeds from the requirements below:

- Public policy implementation is a result-oriented process.
- Result-based management is the most advance method of management in today.
- Successful public policy implementation requires application of result-based management.
- Requirements to improve effectiveness, efficiency and responsibility in public policy implementation.

In order to meet these requirements, it is necessary to innovate the method of management of public policy implementation.

#### **3.1.2. The requirements of state management**

The application of results-based management of public policy implementation in order to meet the following requirements of state management:

- Requirements on management and use of funding.
- Request to promote democracy in the state management.
- Request to prevent and combat corruption, practice thrift and combat wasteful spending in the management and use of resources.

#### **3.1.3. The availability of application of result-based management of public policy implementation**

The application of result-based management of public policy implementation in Vietnam has specific perquisites:

- *First*, Communist Party and State of Vietnam, anh society have deeply realized the weaknesses and limitations of current management practices in the general state agencies and state administrative agencies in particular; awared of the necessity of changing these methods. In many Party' resolutions and public administration reform programs have mentioned contents about improving management and operation method in state agencies, applying tools, advanced management method in these organisations.

- *Second*, in recent decades, State and Society has concerned and highly appreciate the transparency, accountability, support mechanisms to encourage and measure results of public administration agencies, officials, public servants and employees of state.

- *Third*, the leaders and managers in some state agencies and public administrative agencies have trained about system of result-based management and understood deeply this system. These people are the core and leading force in pushing innovative progress of changing management method in state agencies and public administrative agencies.

- *Fourth*, in recent years, Vietnam has received many supports from the international organisations, non-profit organisations on application of result-based management system in public administrative agencies.

- *Fifth*, result-based management has been applied widespread in both public and private sector and in many countries, even developing countries and in many fields and industries. It has proven as an effective tool to impove the quality of activities of organisations. The international experience can provide valuable lessons for the successful application of this system in Vietnam. At the same time, the strong and impressive development of information and communication technology in our country in recent years is a important factor in facilitating the application of result-based management more effective and efficient.

- *Sixth*, managers and public servants involved in the formulation, verification, inspection, monitoring the implementation of regulations, and the managers and employees in mangement agencies of programs and projects is ready and wants to apply this management system. A Delphi survey's results have showed that 98.1% believed the necessity of result-based management of public policy implementation.

### **3.2. SUPPLEMENTARY CONTENTS TO APPLY RESULTS-BASED MANAGEMENT OF PUBLIC POLICY IMPLEMENTATION IN VIETNAM**

To compare the content of management of public policy implementation in our country in Chapter 2 with the requirements of results-based management of public policy implementation in Chapter 1 (result-based planning, result-based budgeting, result-based implementation, result-based monitor, performance evaluation, review the results, ensure the participation of stakeholders, ensuring transparency and accountability); combined with the lessons learned in applying result-based management in OECD countries, Delphi survey's results, to apply result-based management of public policy implementation in our country need complement and complete the following contents.

### **3.2.1. Management of legal documents**

Initially, we had thought of results-based management in managing legal documents, however, compared to the requirements of results-based management of public policy implementation, we need complement and complete the following contents:

- *First*, to promulgate regulations on regulatory impact assessment in the phase of drafting and implementing all legal documents (need defined what circumstances should assess fully and in detail).
- *Second*, to specify the method used to assess the impact and social-economic efficiency of legal documents, and issue a framework for guiding regulatory impact assessment, social-economic efficiency of legal documents of public policy implementation as a basis for uniform application.
- *Third*, define the criteria for review, inspection, control and evaluation of legal documents of public policy implementation, especially criteria to evaluate feasibility of legal documents.
- *Fourth*, regulations on budgeting and allocation for the implementation of legal documents should go along with responsibility of executive body with outputs.
- *Fifth*, to issue guideline framework for monitoring and evaluating the impact of legal documents after they are issued and implemented.

### **3.2.2. Management of programs and projects**

Basically, the management of programs and projects for public policy implementation had thought of results-based management, however, compared with the requirements of results-based management of public policy implementation, we need complement and complete the following contents:

- *First*, there should be provisions for determining the outputs, outcomes, and impacts of programs and projects without building components, and projects do not belong to the national target programs.
- *Second*, there is a need to issue documents that regulate and guide the process of making programs, projects, and evaluation methods for socio-economic efficiency, set of criteria for evaluating programs, projects; should define specific and comprehensive criteria for the appraisal of programs, projects. Thereby ensuring consistency in the formulation, appraisal and evaluation of programs and projects, as well as providing uniform basis for comparison and selection of the programs and projects.
- *Third*, there is a need to promulgate rules on monitoring, evaluating the implementation of programs and projects in accordance with international practices; issue a general guidance framework for establishing an system of supervision and evaluation to provide the basis for organizations of managing programs, projects applied uniformly. To organize and build a network of monitoring, supervision and evaluation of the program from the central to local levels.
- *Fourth*, regulations on the management of the budget should be appropriate to the nature of the programs and projects of long duration (over 1 year), the regulations on budget management and finance should go along with responsibilities of state agencies concerned with outputs of programs, projects after the end, clearly linked to outputs, clearly linked between the funds allocated with the quality of program, outcomes and the impact to be achieved. At the same time, there should be mechanisms to encourage

those agencies and organizations to use budget economically during the implementation of programs and projects.

- *Fifth*, there is a need to have detailed regulations on the participation of local people in determining needs and priorities of the projects.

**In conclusion**, to be able to apply the result-based management of public policy implementation in our country, we need to make good the following contents:

- *First*, establish a framework for results-based management of public policy implementation to guide the implementation of contents of results-based management of public policy implementation.

- *Second*, improve the legal framework for results-based management of public policy implementation to create a legal framework for results-based planning, results-based budgeting, results-based implementation of public policy, monitor results, evaluate the results, and review the results, according to the following directions:

- + Overcomes the weakness of current regulations on management of legal documents, program and project for public policy implementation.

- + Broaden the application scope of current regulations on formulating, promulgating, implementing and tracking implementation of legal documents, programs and projects for all legal documents, program, and project for public policy implementation.

- + Supplement some regulations and management contents to meet requirements of result-based management of public policy implementation.

- *Third*, establish a central agency that is responsible for guiding the results-based management of public policy implementation, assess and review the results of implementation of public policy on a national scale.

- *Fourth*, built a manual of results-based management of public policy implementation for agencies that are responsible for public policy implementation.

- *Fifth*, improve the capacity of staff in agencies implementing public policies to meet the requirements of results-based management of public policy implementation.

- *Sixth*, build a culture of results-based management of public policy implementation in agencies managing and implementing public policies.

- *Seventh*, the principles of results-based management of public policy implementation, such as the principle of ensuring the participation of stakeholders, the principle ensuring transparency, the principle of ensuring accountability must be institutionalized goods and the thorough implementation in all phases of the public policy implementation from drafting legal documents and designing programs, projects to implementation, monitoring and evaluation.

### **3.3. FRAMEWORK FOR RESULTS-BASED MANAGEMENT OF PUBLIC POLICY IMPLEMENTATION IN VIETNAM**

To match the management conditions of public policy implementation in our country, the author proposed the framework for results-based management of public policy implementation to provide

guidance to the agencies that are responsible for implementing public policies in results-based management practices of public policy implementation.

This framework consists of the main topics:

### **3.3.1. Planning for implementation of public policy**

The first step in the results-based management of public policy implementation is to develop public policy implementation plan in order to determine the duties and responsibilities of the agencies implementing public policies; design legal documents, programs and projects; building a logical framework, constructing risk management plan, establishing framework for monitoring and evaluating the results.

### **3.3.2. Monitor performance and risk management**

The second step of the results-based management of public policy implementation is to monitor and manage risks. Tracking performance and risk management is carried out in parallel with the implementation of legal documents, programs, projects, conducted according to implementation plan and risk management plan, based on monitoring and evaluation framework.

### **3.3.3. Evaluating results of the implementation and reporting**

The third step in the framework for results-based management of public policy implementation is to evaluate results and report results. The aim was to determine the appropriateness and responsiveness of the target, effectiveness, efficiency, impact and sustainability of the legal documents, programs and projects, and report the achieved results with stakeholders.

### **3.3.4. Review the results of implementation and make adjustments**

The final step in the results-based management of public policy implementation is to review results and make adjustments. In this step, the management conducts a review of the results obtained from the monitoring and evaluation, thereby diagnosing the shortcomings in the implementation and the design, and offer adjustments to improve performance.

## **3.4. RECOMMENDATIONS FOR APPLICATION OF RESULTS-BASED MANAGEMENT OF PUBLIC POLICY IMPLEMENTATION IN VIETNAM RECOMMENDATIONS**

### **3.4.1. Recommendations for state management agencies**

#### ***3.4.1.1. Completing the legal framework for results-based management of public policy implementation***

To apply the results-based management of public policy implementation, the next time the authorized state agency to complete the legal framework with the following contents:

- *Firstly*, complete the legal framework for formulation, issuance, implementation, monitoring and evaluating the implementation of the legal documents.
- *Secondly*, the improvement of the legal system of management of public programs and projects.
- *Thirdly*, complete the legal system of management of public finance and budget.
- *Fourthly*, complete the legal system of control of public policy implementation.
- *Fifthly*, building the legal framework for results-based management

#### ***3.4.1.2. Establish an evaluation agency of public policy implementation***

Establish an agency under the Ministry of Planning and Investment. The agency has the functionality of building a manual of results-based management, building evaluation standards, to build a results-based monitoring and evaluation system, building a results-based management toolkit, and conduct an annual evaluation.

#### ***3.4.1.3. Developing a manual of results-based management of public policy implementation***

To facilitate and ensure consistency in results-based management practices of public policy implementation, the state should issue guidelines of results-based management system of public policy implementation. This documentation should describe in detail the following: (1) full and detailed description of results-based management process of public policy implementation, including from the planning of public policy implementation, budgeting, implementation management, to evaluate results and make adjustments; (2) in each step or phrase of results-based management of public policy implementation should indicate the methods and tools used to carry out; (3) provide guidance on the application of methods and tools, as well as examples to facilitate understanding and use of methods and tools; (4) establish a set of forms to apply results-based management system uniformly.

#### ***3.4.1.4. Build a line-up of staff to analyze and evaluate public policy***

The construction of workforce and the necessary conditions to establish results-based management system in agencies, organizations and units, which are responsible for implementing public policy is a particularly important step, represents both strategic vision and the ability to run in detail. It is crucial to the initial success of the effort comes results-based management of public policy implementation into effect. The training of staff in agencies, organizations and units implementing public policies including knowledge of results-based management, knowledge and skills to analyze and evaluate public policy.

### **3.4.2. Recommendations for partners and agencies implementing public policy**

#### ***3.4.2.1. Constructing a results-based management culture in the agency***

Successful implementation of results-based management depends on the ability of agencies and organizations in creating a culture of results-oriented management that will support and encourage the use of new management approaches. To build the cultures of results-based management in agencies, organizations we need to:

- *First*, the propagation of results-based management through the media to create awareness of the social and the agencies and organizations on results-based management system and help them see clearly its importance from the experience of many countries around the world.

- *Second*, establish and implement change management programs to convert agencies, public sector organizations have the culture of hierarchical management, control and compliance into agencies and organizations have the culture of result-based management, use of the performance information in the management process.

- *Third*, establish a suitable mechanism in order to train the excellent leaders and promote well-qualified individuals to crucial leadership positions, paving the way for application of result-based management in public administrative organisations.

- *Fourth*, develop mechanisms to encourage agencies, parts and units to apply result-based management and use the results of application of result-based management as criteria to evaluate the emulation of parts, units and the head.

#### ***3.4.2.2. Fully implement the basic principles of results-based management of public policy implementation***

The results-based management of public policy implementation must comply fully with 6 principles, including compliance with the principle of participation of stakeholders, the principle of transparency and the principle of accountability have important implications for the successful implementation of public policy, contributing to the prevention and combativeness of corruption in the implementation of public policy, enhance the effectiveness and efficiency of the public policy implementation.

**Summary of Chapter 3:** In this chapter, the author focuses on the specific contents below:

1. On the theoretical basis for results-based management of public policy implementation, experience on results-based management of a number of countries around the world, especially based on the results of a baseline study for the management of public policy management in Vietnam, the author said that the application of results-based management of public policy management in Vietnam is necessary to enhance the effectiveness, efficiency, accountability in the implementation of public policy, contribute to prevent and combat corruption, thrift practice and combat waste in the management and use of public resources, donors and society. At the same time, the author also points out that Vietnam is ready for application of results-based management of public policy implementation.

2. On the basis of comparing contents of management of public policy implementation in our country with the requirements of the results-based management of public policy implementation, the author determined contents needed to complement and complete to apply the results-based management of public policy implementation in our country in the future.

According to the author, in a certain degree, the management of public policy implementation in our country has met the requirements of the results-based management model of public policy implementation such as we have thought of the results-based management, consistent with the trend in many countries around the world. However, to be able to apply the results-based management of public policy implementation, according to the author should complement and complete contents such as legal framework for the results-based management of public policy implementation; guideline framework for the results-based management of public policy implementation; there is an agency that is responsible for the results-based management; have a manual of the results-based management of public policy implementation; building staff in the agency implementing public policies are capable of meeting the requirements of the results-based management of public policy implementation; develop the culture of

the results-based management in state administrative agencies; the principles of the results-based management of public policy implementation are institutionalized and grasped well.

3. The author proposed results-based management framework for public policy implementation aimed at providing practical guidance for results-based management of public policy implementation in Vietnam in accordance with the context of public policy implementation in Vietnam, and the trend of the world. This framework consists of seven key issues: public policy implementation planning; monitoring implementation and risk management; evaluate the results of implementation and reporting; review the results of implementation and make adjustments. In every content, the author presents the main content need to be implemented, introduce support methods and tools.

4. The author proposes recommendations for application of results-based management of public policy implementation in Vietnam, including developing results-based management framework of public policy implementation; legal framework for results-based management framework of public policy implementation; set up an agency evaluating the results of public policy implementation; develop practical documentation of results-based management of public policy implementation; develop a line-up of staff to analyze and evaluate public policies; construction management culture as a result of state administrative agencies; fully grasped the principles of performance management as a result of public policy.



## CONCLUSION

1. Public policy is an important tool used by the State to address the public issues for the development of society. Through the promulgation and implementation of public policy, the country's goals of development are realized. The implementation of public policy is an important stage of the policy cycle and it put policy into the practice in order to attain the goal and purpose of public policy. To achieve the purpose of enhancing the effectiveness, efficiency and accountability in the implementation of public policy in Vietnam, the continued improvement and innovation of management mode of implementation of public policy implementation based on the selective acquisition of scientific achievements of the world, in accordance with the context of the country is necessary.

2. Scientific basis underlying this dissertation is that the theory of results-based management, the theory of public policy implementation and results-based management of public policy implementation, therefore, this dissertation studied theoretical contents of results-based management and public policy implementation such as concepts, characteristics, process of results-based management; concept of public policy, the concept of public policy implementation, the conditions and factors affecting successful policy implementation. Based on theory of results-based management and of public policy implementation, this thesis approaches the results-based management of public policy implementation as an important way to improve the effectiveness, efficiency and accountability in public policy implementation in Vietnam in the future.

3. Based on the theoretical foundation as a results-based management and public policy implementation, the thesis has developed theoretical model of results-based management of public policy implementation, including such as the concept of results-based management of public policy implementation, the model of results-based management of public policy implementation, the component elements of results-based management of public policy implementation, the benefits of results-based management of public policy implementation and the principles of results-based management of public policy implementation.

4. For the purpose of proving the practice and benefits of results-based management in public sector, the dissertation research on practices of results-based management of a number of OECD countries - countries that pioneered and has experience in the application of results-based management system in the public sector around the world, from which to draw lessons for application of results-based management system in implementing public policy in Vietnam.

5. Based on the theoretical premise of results-based management, the author analyzes the actual management of public policy implementation in Vietnam from 2006 to 2013 on aspects such as legal document management; program and project management. Thereby, the author gives an assessment of the achievements and limitations in management of public policy implementation in Vietnam; simultaneously, the author also identifies the causes of these results and of the limitations in management of public policy implementation in Vietnam.

6. On the basis of analyzing the requirements of the process itself of public policy implementation and the requirements of state management, the author confirmed the application of results-based management of public policy implementation in Vietnam is necessary. At the same time, the author also demonstrated that Vietnam has certain prerequisites for the application of results-based management of public policy implementation in the future.

7. On a basis for comparison with the requirements of the results-based management of public policy implementation, the author determined the management contents need to complement and complete for application of the results-based management of public policy implementation in our country in the future. According to author, the management of public policy implementation in our country initially formed thought of results-based management, consistent with the trend of many countries around the world. However, the results-based management of public policy implementation in our country has points need to be complemented and improved in the future, such as the legal framework for results-based management of public policy implementation; framework for results-based management of public policy implementation; there is an agency that is responsible for results-based management; have a practical guidelines for results-based management of public policy implementation; building staff in the agency implementing public policies are capable of meeting the requirements of results-based management of public policy implementation; develop the culture of results-based management in state administrative agencies; the principles of results-based management of public policy implementation are institutionalized and grasped well.

8. Based on the model of results-based management of public policy implementation, management situation of public policy implementation in Vietnam, experience of results-based management of a number of countries around the world, the author proposed a legal framework for results-based management of public policy implementation in Vietnam, including four key components: public policy implementation planning; monitor performance and risk management; evaluate results and reporting; review the results of implementation and make adjustments. At the same time, the author also proposes recommendations for authorized state agencies and agencies that are responsible for management and implementation of public policy is: improve the legal framework for results-based management of public policy implementation; set up an agency evaluating the results of policy implementation; develop a practical guidelines for results-based management of public policy implementation; build a line-up of staff to analyse and evaluate public policy; develop the culture of results-based management in state administrative agencies; fully grasp the principles of results-based management of public policy implementation.

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