



Technical Assistance Report

Project Number: 48450-001
Research and Development Technical Assistance (RDТА)
June 2015

Selected Evaluation Studies for 2015

Distribution of this document is restricted until it has been approved by the Board of Directors. Following such approval, ADB will disclose the document to the public in accordance with ADB's Public Communications Policy 2011.

Asian Development Bank

ABBREVIATIONS

ADB	–	Asian Development Bank
CAPE	–	country assistance program evaluation
CES	–	corporate evaluation study
CPS	–	country partnership strategy
DEC	–	Development Effectiveness Committee
DMC	–	developing member country
EAP	–	evaluation approach paper
IED	–	Independent Evaluation Department
IES	–	impact evaluation study
PSO	–	private sector operations
STI	–	Sustainable Transport Initiative
TA	–	technical assistance
TES	–	thematic evaluation study
WSS	–	water supply and sanitation

NOTE

In this report, “\$” refers to US dollars.

Director General	V. Thomas, Independent Evaluation Department (IED)
Advisor	H. Hettige, Senior Advisor, IED
Team leader	H. Van Rijn, Principal Evaluation Specialist, IED
Team members	R. Lumain, Senior Evaluation Officer, IED M.C. Malilay, Evaluation Assistant, IED

In preparing any country program or strategy, financing any project, or by making any designation of or reference to a particular territory or geographic area in this document, the Asian Development Bank does not intend to make any judgments as to the legal or other status of any territory or area.

CONTENTS

	Page
RESEARCH AND DEVELOPMENT TECHNICAL ASSISTANCE AT A GLANCE	
I. INTRODUCTION	1
II. ISSUES	1
III. THE PROPOSED RESEARCH AND DEVELOPMENT TECHNICAL ASSISTANCE	3
A. Impact and Outcome	3
B. Methodology and Key Activities	3
C. Cost and Financing	5
D. Implementation Arrangements	5
IV. THE PRESIDENT'S RECOMMENDATION	5
APPENDIXES	
1. Design and Monitoring Framework	6
2. Cost Estimates and Financing Plan	8
3. Outline Terms of Reference for Consultants	9
SUPPLEMENTARY APPENDIX (available on request)	
Support for Knowledge-Sharing and Outreach Activities	

RESEARCH AND DEVELOPMENT TECHNICAL ASSISTANCE AT A GLANCE

1. Basic Data		Project Number: 48450-001	
Project Name	Selected Evaluation Studies for 2015	Department /Division	IED/IEOD
Country Borrower	REG Not applicable	Executing Agency	Asian Development Bank
2. Sector	Subsector(s)	ADB Financing (\$ million)	
✓ Transport	Multimodal logistics	0.08	
	Rail transport (non-urban)	0.05	
Agriculture, natural resources and rural development	Road transport (non-urban)	0.20	
	Transport policies and institutional development	0.18	
	Urban public transport	0.08	
	Urban roads and traffic management	0.15	
	Water transport (non-urban)	0.08	
	Agricultural policy, institutional and capacity development	0.05	
	Agro-industry, marketing, and trade	0.03	
	Irrigation	0.03	
	Land-based natural resources management	0.05	
	Rural water policy, institutional and capacity development	0.05	
Education	Water-based natural resources management	0.05	
	Education sector development	0.03	
	Pre-primary and primary	0.01	
	Secondary	0.02	
	Technical and vocational education and training	0.02	
Energy	Tertiary	0.01	
	Conventional energy generation	0.05	
	Electricity transmission and distribution	0.13	
	Energy efficiency and conservation	0.08	
	Energy sector development and institutional reform	0.10	
	Energy utility services	0.05	
	Large hydropower generation	0.03	
	Renewable energy generation - solar	0.03	
	Renewable energy generation - wind	0.03	
	Finance	Banking systems and nonbank financial institutions	0.03
Finance sector development		0.04	
Inclusive finance		0.03	
Infrastructure finance and investment funds		0.03	
Insurance and contractual savings		0.03	
Money and capital markets		0.03	
Small and medium enterprise finance and leasing		0.03	
Trade finance		0.03	
Health insurance and subsidized health programs		0.03	
Health		Health sector development and reform	0.05
	Health system development	0.05	
	Decentralization	0.08	
Public sector management	Economic affairs management	0.05	
	Law and judiciary	0.05	
	Public administration	0.08	
	Public expenditure and fiscal management	0.08	
	Other urban services	0.03	
Water and other urban infrastructure and services	Urban policy, institutional and capacity development	0.05	
	Urban sanitation	0.05	
	Urban sewerage	0.03	
	Urban solid waste management	0.03	
	Urban water supply	0.05	
	Total		2.50
	3. Strategic Agenda	Subcomponents	Climate Change Information
Inclusive economic growth (IEG)	Pillar 2: Access to economic opportunities, including jobs, made more inclusive	Climate Change impact on the Project	Low

RESEARCH AND DEVELOPMENT TECHNICAL ASSISTANCE AT A GLANCE

Environmentally sustainable growth (ESG)	Pillar 3: Extreme deprivation prevented and effects of shocks reduced (Social Protection) Disaster risk management Eco-efficiency Environmental policy and legislation Global and regional transboundary environmental concerns Natural resources conservation Urban environmental improvement	
Regional integration (RCI)	Pillar 1: Cross-border infrastructure Pillar 2: Trade and investment	
4. Drivers of Change	Components	Gender Equity and Mainstreaming
Governance and capacity development (GCD)	Client relations, network, and partnership development to partnership driver of change Civil society participation Institutional development Institutional systems and political economy Public financial governance	Some gender elements (SGE) ✓
Knowledge solutions (KNS)	Application and use of new knowledge solutions in key operational areas Knowledge sharing activities	
Partnerships (PAR)	Bilateral institutions (not client government) Civil society organizations Foundations Implementation International finance institutions (IFI) Private Sector Regional organizations United Nations organization	
Private sector development (PSD)	Conducive policy and institutional environment Promotion of private sector investment Public sector goods and services essential for private sector development	
5. Poverty Targeting		Location Impact
Project directly targets poverty	No	Regional High
6. TA Category:	B	
7. Safeguard Categorization	Not Applicable	
8. Financing		
Modality and Sources		Amount (\$ million)
ADB		2.50
Research and development technical assistance: Technical Assistance Special Fund		2.50
Cofinancing		0.00
None		0.00
Counterpart		0.00
None		0.00
Total		2.50
9. Effective Development Cooperation		
Use of country procurement systems	No	
Use of country public financial management systems	No	

I. INTRODUCTION

1. The Board of Directors of the Asian Development Bank (ADB) approved the 2015–2017 work program of the Independent Evaluation Department (IED), with effect from 11 December 2014.¹ The IED program focuses on high-level evaluations² that complement project-level evaluations, and gives a strategic perspective on ADB operations and direction. This research and development technical assistance (TA) project supports the 2015–2017 program cycle, particularly for products due from 2016.³ It will fund a set of evaluations from IED's (i) operational program (e.g., country assistance program evaluations [CAPEs]); and (ii) knowledge program (i.e., sector, thematic and corporate evaluations, impact evaluations, and topical working papers). The TA also supports knowledge sharing and outreach to maximize the usefulness and impact of evaluations. The design and monitoring framework is in Appendix 1.

II. ISSUES

2. High-level evaluations give feedback on the effectiveness of ADB strategies, policies, processes, and operations to ADB Management and the Board.⁴ This feedback is required to provide accountability to ADB's stakeholders and to strengthen ADB as a learning organization.

3. **Effective implementation of safeguards.** The corporate evaluation study (CES) on the Safeguards Operational Review: ADB Processes, Portfolio, Country Systems, and Financial Intermediaries was discussed by the Development Effectiveness Committee (DEC) on 7 November 2014.⁵ The scope was limited but drew wide attention given the recently started consultation process regarding the update of the World Bank safeguards policy, and the establishment of two new development banks with operations in Asia—the Asian Infrastructure Investment Bank and the Brazil–Russian Federation–India–People's Republic of China–South Africa (BRICS) bank. In 2015/2016, IED will build on this review to conduct a more results-oriented assessment of the effectiveness of ADB's safeguard implementation, with emphasis on the effectiveness of the changes introduced by ADB's Safeguard Policy Statement (2009).

4. The CES will include extensive field work to check the results of safeguard implementation. The evaluation is mandated by ADB's Safeguard Policy Statement and will take place 5 years after the start of its implementation in 2010. Since few projects that started under

¹ This is driven by several key considerations: (i) providing timely inputs to formulating future ADB policies, strategies, and programs; (ii) providing real-time feedback during loan processing and implementation; (iii) building evaluation capacity, both within and outside ADB; and (iv) producing strategically relevant knowledge on emerging regional development issues to inform ADB operations and development policies in member countries.

² Evaluations include thematic, corporate, real-time, and impact evaluation studies; evaluation knowledge studies; and country and regional evaluations. IED. 2014. Independent Evaluation Department's DEC Approved Work Program, 2015–2017 <http://wcm.adb.org/sites/default/files/page/110939/wp-2015-2017.pdf>

³ The TA first appeared in the business opportunities section of ADB's website on 27 February 2015.

⁴ See ADB. 2009. *Strategy 2020: The Long-Term Strategic Framework of the Asian Development Bank, 2008–2020*. Manila (<http://www.adb.org/documents/strategy-2020-working-asia-and-pacific-free-poverty>); ADB. 2014. *Midterm Review of Strategy 2020: Meeting the Challenges of a Transforming Asia and Pacific*. Manila (<http://www.adb.org/about/strategy-2020-mid-term-review>); and ADB. 2014. *Midterm Review of Strategy 2020 Action Plan*. Manila (<http://www.adb.org/documents/midterm-review-strategy-2020-action-plan>).

⁵ IED carried out the operational review after 3 years in line with ADB's commitment to do so when safeguard policies were consolidated into ADB's Safeguard Policy Statement (2009). The operational review found that a proper system for avoiding or mitigating the environmental and social risks of ADB-funded projects is in place, and offered proposals for change. With important improvements in efficiency and effectiveness, the safeguard system at ADB would be the type that can be trusted to care for social and environmental outcomes in countries. IED. 2014. *Corporate Evaluation Study: Safeguards Operational Review—ADB Processes, Portfolio, Country Systems, and Financial Intermediation*. Manila (<http://www.adb.org/documents/safeguards-operational-review-adb-processes-portfolio-country-systems-and-financial-interm?ref=site/evaluation/resources>).

ADB's Safeguard Policy Statement will be completed by 2015, the evaluation will take a broader view of safeguard implementation and may include case studies of projects started before ADB's Safeguard Policy Statement, but implemented after 2009 with much higher numbers of safeguard specialists in ADB and greater safeguard experience.

5. **Promoting sustainable transport.** The Sustainable Transport Initiative (STI) Operational Plan (2010) aims to steer ADB transport sector operations and align these with Strategy 2020 by adopting sustainable transport as a guiding principle.⁶ The thematic evaluation study (TES) will look at the STI Operational Plan and its execution. It will attempt to determine how effectively ADB integrated transport sector road maps in country partnership strategies (CPSs) and how effectively these maps were used to design sustainable transport operations.

6. The study will also assess shifts in the transport lending pipeline to accommodate major changes proposed by the STI Operational Plan. Initial results will be checked, notably the extent to which the new transport projects are contributing to intended impacts, and achieved outcomes and outputs. Factors hindering the plan will be assessed, notably good governance and legal and regulatory frameworks. Finally, the TES will analyze how the STI can be strengthened to enhance development effectiveness.

7. **Ensuring additionality of private sector operations.** Strategy 2020 promotes a significant expansion of private sector operations (PSO) to generate greater economic growth in Asia and the Pacific. ADB assumes greater risks and acts as a catalyst for investments that the private sector might not be willing to make on its own. The CES will assess value added by ADB in its PSO in terms of providing funding or catalyzing other funding, and improving the risk profile, design, functioning, and development impact of supported investments.

8. **Impact evaluation.** IED will do one impact evaluation per year to understand and assess development effectiveness in select priority areas of ADB operations. This TA supports an evaluation of the impact of urban water supply and sanitation. After more than a decade in pursuit of the Millennium Development Goals, gains have been made in reducing poverty, and improving health and access to clean water.⁷ Achievement of the global target for access to clean water was 89% in 2012, and 70% for access to sanitation. Yet the figures mask significant differences in access within countries and areas, and in the quality of services provided. The impact evaluation will provide an in-depth assessment of various impacts from project services, including the health, and well-being of the population.

9. **Country assistance evaluations.** The TA will fund CAPEs and CPS final review validations. These will provide an objective assessment and rating of ADB support, and identify lessons and recommendations for new CPSs.

10. **Strengthening evaluation usage.** IED's knowledge sharing, outreach, and partnerships are anchored in (i) a good outreach program in place; (ii) use of participatory communication channels and new communication approaches for learning, such as interactive knowledge-sharing events to communicate evaluation findings; and (iii) a responsive database for evaluation information.

⁶ It indicates major directions of change and arrangements for establishing partnerships to support implementation.

⁷ The Sustainable Development Goals, which seek to build on the Millennium Development Goals as they expire in 2015, will ensure availability and sustainable management of water and sanitation, i.e., Goal 6. Sustainable Development Knowledge Platform. Open Working Group proposal for Sustainable Development Goals. <https://sustainabledevelopment.un.org/focussdgs.html>

III. THE PROPOSED RESEARCH AND DEVELOPMENT TECHNICAL ASSISTANCE

A. Impact and Outcome

11. The impact will be improved development effectiveness of ADB operations, policies, strategies, and business processes. The outcome will be increased use of evaluation findings, lessons, and recommendations by the ADB Board of Directors and its DEC, by ADB Management and operations staff, and by developing member country (DMC) agencies and practitioners, and other interested parties in the public.

B. Methodology and Key Activities

12. The TA will support at least ten evaluations along with outreach and database and information services-related activities. An evaluation approach paper (EAP) will be prepared before an evaluation study begins. It will detail the rationale, objective and scope, methodologies to be used, resource requirements, terms of reference for consultants, and dissemination plan. A concept paper may be prepared when diagnostic work is needed prior to finalizing an EAP or when a country sector assessment is more conveniently done ahead of the CAPE it will inform. Consultant recruitment may begin when either a draft EAP or a concept paper is approved by IED's director general for interdepartmental review.⁸

13. High-level evaluations are intended to give inputs for milestone reviews and decisions by ADB's Board and Management, and IED schedules them within relevant time frames. A completed study is circulated to the Board and Management and normally discussed by the DEC.

14. **Country assistance program evaluations and validations of country partnership strategy final reviews.** IED's operational program is directly linked to ADB country operations.⁹ It comprises CAPEs and validations of CPS final reviews, provided IED is given sufficient notice of the CPS timing to support.¹⁰ This TA will fund at least one CAPE (Sri Lanka) and five validations (Kazakhstan, Mongolia, the Philippines, Solomon Islands, and Uzbekistan). These will evaluate ADB country support; and cover ADB strategy, policy dialogue, completed and ongoing projects and TA, and ADB performance. They also provide ADB and its DMCs with an evaluative basis for future CPSs. When appropriate, sector assessments will provide inputs by evaluating ADB performance in a given sector, focusing on strategy, policy dialogue, ongoing and completed projects, and TA performance. The TA will also support validations of completed project and/or program completion reports to inform the larger country and sector assessments.

15. **Effectiveness of safeguards implementation, phase 2.** The next phase of the safeguards assessment will provide further insights from in-depth field research of a purposive sample of ADB-supported projects. IED will also examine the effectiveness of ADB's safeguards implementation. The evaluation will examine the extent to which (i) any potentially adverse impacts of ADB-supported projects have been (or will likely be) avoided, mitigated and/or

⁸ IED also considers consultant recruitment appropriate where concept papers are approved (i) for sector or thematic assessments to be done prior to, or in the context of, CAPEs; and (ii) to hire consultants for diagnostic work or background papers in the context of other evaluations.

⁹ Evaluation guidelines are being updated: (i) CAPE and validation of CPS final reviews by March 2015; (ii) performance evaluation reports for sovereign operations by the fourth quarter of 2015; and (iii) validation reports on project or program completion reports and extended annual review reports by the fourth quarter of 2015.

¹⁰ A CAPE is conducted prior to a new CPS, but not all CPSs are preceded by one. If IED's work program does not include a CAPE for a DMC that is due for a new CPS, then IED will validate the CPS final review. The relevant validation report then serves as a CAPE equivalent for purposes of CPS preparation. IED should be advised of the timing of the final review before its incoming work program is finalized. It needs at least 5 months to do a validation.

minimized where avoidance has not been possible, and (ii) ADB's safeguard efforts have brought about (or likely to bring about) positive development outcomes. The study will examine the costs and benefits of safeguards, look at category A and B projects, and examine some financial intermediary projects. Projects will be selected from East Asia, Central and West Asia, South Asia, and Southeast Asia (possibly Cambodia, the People's Republic of China, Kazakhstan, and Sri Lanka, which have more projects approved under ADB's Safeguard Policy Statement that are advanced in implementation). It will adopt a mixed-methods framework; and will be informed by documentation analysis, key informant interviews, pilot economic analysis, and site inspections.

16. **Review of sustainable transport initiatives.** The TES will examine the relevance, responsiveness, and effectiveness of ADB support to DMCs under its STI Operational Plan. It will also identify good practices and draw lessons for the future. The study will cover sustainable road transport (urban and non-urban), traffic management, transport management and policies, and rail transport. It will cover at least two regions and focus on the (i) extent to which CPSs aimed to help the sustainability of transport infrastructure and services; (ii) extent to which countries implemented policies and regulatory frameworks, financial mechanisms, and capacity-building activities for STIs; (iii) extent to which these measures were effective; and (iv) determinants of their success. The TES will conduct a desk review of operational documents for lending and nonlending support to the sector from 2009 to 2014. Perception surveys, country case studies of selected sustainable transport projects, and key informant interviews with DMC stakeholders and development partners undertaking related sector work will also be conducted.

17. **Additionality of private sector operations.** The CES will concentrate on ADB additionality in conjunction with nonsovereign loans and equity investments approved since 2000.¹¹ It will focus on (i) how ADB encourages value addition in its PSO—in comparison with other multilateral development banks—based on a review of pertinent corporate strategies, institutional incentives, and project approval documents; (ii) the extent to which it has achieved value addition based on a review of completed transactions, available evaluation reports, and feedback from project sponsors, financiers, and other relevant stakeholders; and (iii) whether ADB could do more to optimize its financial and nonfinancial value addition in nonsovereign operations based on feedback from private sector sponsors and financiers and a review of value addition achieved by similar multilateral financial institutions (Appendix 3, para. 16).

18. **Impact evaluation.** The TA will support at least one impact evaluation study (IES). This will look at the development outcomes of select urban water supply projects in a DMC (possibly India or Viet Nam), depending on the availability of a well-structured and well-conducted household survey, and provide evidence of the poverty impacts of water supply interventions. The IES will use impact evaluation methods based on statistical and econometric analyses of quantitative data from household and community level surveys, both existing and to be conducted by the study. The study will identify counterfactuals from comparable nonparticipant areas. For additional insights on nonquantifiable variables and study robustness, it will collect qualitative information and integrate it into the quantitative analyses.

19. **Evaluation research and topical working papers.** The TA will support sector and/or thematic assessments that help disseminate higher-level evaluations in the work program. These include selective ad hoc evaluative researches (or “quick turnaround” topical working papers) on high-impact topics with strong potential implications for ADB's institutional policies and practices or of specific interest and relevance to DMCs.

¹¹ Value addition through credit enhancement operations will be assessed under a separate evaluation due in 2016.

20. **Evaluation outreach, knowledge sharing, and partnerships.** IED makes evaluation feedback more accessible and influential (Supplementary Appendix). It will disclose, disseminate, and share results through (i) a publicly available lessons database; (ii) outreach activities like briefings, presentations, and interactive learning events (i.e., training, seminars, and conferences) on completed major evaluations; (iii) preparation and publishing of syntheses, briefs, and occasional papers designed to widen the existing readership; and (iv) new mediums for knowledge sharing, such as online readers and tablets. The TA will also support cooperation with development partners (with operations in Asia and the Pacific) at the institutional, operational, and country levels. These comprise contributions to international evaluation events and activities that focus on priority evaluation issues, promote learning, coordinate or harmonize evaluation practice, and strengthen evaluation capacity.

C. Cost and Financing

21. The TA is estimated to cost \$2,500,000, which will be financed on a grant basis by ADB's Technical Assistance Special Fund (TASF-other sources). The cost estimates and financing plan is in Appendix 2.

D. Implementation Arrangements

22. ADB will be the executing agency for the TA. IED will implement the TA and supervise all planned studies and/or knowledge-sharing and outreach activities. These will require the services of 42 international consultants (about 66 person-months) and 48 national consultants (about 122 person-months). The terms of reference for consultants are in Appendix 3. More detailed terms of reference for each study will be developed for the EAP. ADB will engage consultants primarily on an individual basis in accordance with its Guidelines on the Use of Consultants (2013, as amended from time to time). Lump-sum payments or output-based contracts will be considered for consulting services. The need for specific services from consulting firms will be considered during the preparation of the EAP. The TA may also fund seminars and conferences held either to acquire inputs for draft reports or to support learning and dissemination events.¹²

23. TA disbursements will be made in accordance with ADB's *Technical Assistance Disbursement Handbook* (2015, as amended from time to time). Tracking of study progress will be through internal monitoring sheets on key milestone events, mission back-to-office reports, and ad hoc presentations or consultations on evaluation findings. The TA outputs will be disseminated in accordance with IED's evaluation policy, particularly on public disclosure, dissemination, and lessons. The TA is scheduled to start on 15 July 2015, and expected to end by 31 December 2018. Implementation arrangements will be flexible to accommodate alterations in IED's work program or changes in response to priorities under Strategy 2020 and funding provided by the Asian Development Fund. ADB will obtain a no objection from the DMC government before starting any activity financed under this TA in the territory of that country.

IV. THE PRESIDENT'S RECOMMENDATION

24. The President recommends that the Board approve the provision of technical assistance not exceeding the equivalent of \$2,500,000 on a grant basis for Selected Evaluation Studies for 2015.

¹² If the assignment requires procurement, IED will also consult with ADB's Office of Administrative Services on ways to procure goods and services, in accordance with ADB. 2013. Administering Grant-Financed Technical Assistance Projects. *Project Administration Instructions*. PAI 5.09. Manila (Section L).

DESIGN AND MONITORING FRAMEWORK

Design Summary	Performance Targets and Indicators with Baselines	Data Sources and Reporting Mechanisms	Assumptions and Risks
<p>Impact Improved development effectiveness of ADB operations, policies, strategies, and business processes</p>	<p>Rating of <i>satisfactory</i> for quality-at-entry of projects and programs sustained (by 2020)</p> <p>CPSs rated <i>successful</i> or better improves from a 3-year average of 64% during CY 2010–2014 (by 2020)</p>	<p>ADB bi-Annual review of quality-at-entry (every two years)</p> <p>Annual evaluation review report</p>	<p>Assumptions ADB Management continues to act on lessons and recommendations from IED evaluation reports.</p> <p>IED evaluation lessons and recommendations continue to be relevant and actionable.</p>
<p>Outcome Increased use of evaluation findings, lessons, and recommendations by the ADB Board of Directors and its DEC, by ADB Management and operations staff, and by developing member country agencies and practitioners, and other interested parties in the public</p>	<p>Rate of acceptance of recommendations by ADB Management is at least 80% from a 3-year average of 77% during CY 2012–2014 (by 2019)</p> <p>Rate of adopted recommendations that are <i>fully or largely implemented</i> is at least 80% from a 3-year average of 74% during CY 2012–2014 (by 2019)</p> <p>Number of IED website hits and downloads on major evaluations improves yearly from 3-year average of about 65,000 hits during CY 2012–2014 (by 2019)</p>	<p>Management action record system</p> <p>Management action record system</p> <p>ADB web download statistics</p>	<p>Assumptions Evaluation recommendations remain relevant, suitable, and realistic.</p> <p>Announcements of ADB policies and strategies are timed to allow IED to complete its evaluation.</p>
<p>Outputs 1. Practical (country-, sector-, theme-specific) lessons and recommendations provided through completed evaluations</p>	<p>About 10 evaluation reports from IED's knowledge and operations program funded by the TA (by 2018)</p> <p>At least 85% of evaluations originally programmed under the TA are completed as planned (by 2018)</p> <p>No major quality issues are raised on evaluations discussed during DEC meetings or in the DEC annual report (up to 2018)</p>	<p>IED annual work program</p> <p>IED annual work program</p> <p>Summary of DEC discussions</p> <p>Annual report of the DEC</p>	<p>Assumptions No significant attrition of IED staff occurs.</p> <p>Consultants with required expertise are available to join the evaluation teams.</p> <p>Each evaluation team has access to all required data (e.g., baseline data and secondary data).</p>

Design Summary	Performance Targets and Indicators with Baselines	Data Sources and Reporting Mechanisms	Assumptions and Risks
<p>2. Knowledge-sharing and learning events</p> <p>3. Derivative products from the learning events</p> <p>4. Dissemination of evaluation products</p> <p>5. Management of evaluation information</p>	<p>At least 1 in-country or Manila-based event completed (by 2018)</p> <p>At least 150 invitees attend the events (by 2018)</p> <p>At least 60% of participants give favorable feedback (by 2018)</p> <p>At least 1 evaluation-related multimedia (audio and/or video podcast) produced from each event, with at least 1,000 views in IED social media sites (by 2018)</p> <p>Uptake of related evaluation products and/or derivatives improves by 5% every year from 5,000 page views during CY 2012–2014 (by 2018)</p> <p>Number of hits and downloads in lessons database improves from average of 3,000 hits during CY 2012–2014 (by 2018)</p>	<p>Back-to-office reports</p> <p>Event proceedings</p> <p>Learning event feedback form</p> <p>TA progress report, social media monitoring</p> <p>TA progress report, web metrics report</p> <p>Web metrics report</p>	<p>Developing member country policy makers, development practitioners, and other stakeholders are willing to share information and knowledge and to participate in learning events.</p> <p>Consultants with required expertise are available to prepare quality products.</p> <p>Demand for knowledge evaluation is realized.</p> <p>Data services and information are available to update the content of information systems.</p>
<p>Activities with Milestones</p> <p>1.1 Corporate evaluation: Safeguards implementation, phase 2</p> <p>1.1.1 IED completes EAP by Q2 2015.</p> <p>1.1.2 DG, IED approves final draft evaluation report during Q2 2016.</p> <p>1.1.3 DEC discusses the completed evaluation study by Q3 2016.</p> <p>1.2 Thematic evaluation: Sustainable transport initiatives</p> <p>1.2.1 IED completes EAP by Q2 2015.</p> <p>1.2.2 DG, IED approves final draft evaluation report during Q2 2016.</p> <p>1.2.3 DEC discusses the completed evaluation study during Q3 2016.</p> <p>1.3 Corporate evaluation: Additionality of private sector operations</p> <p>1.3.1 IED completes EAP by Q4 2015.</p> <p>1.3.2 DG, IED approves final draft evaluation report during Q3 2016.</p> <p>1.3.3 DEC discusses the completed evaluation study during Q4 2016.</p> <p>1.4 Impact evaluation study (water sector project)</p> <p>1.4.1 IED completes EAP by Q3 2015.</p> <p>1.4.2 DG, IED approves final draft evaluation report during Q3 2016.</p> <p>1.4.3 DEC discusses the completed evaluation study during Q4 2016.</p> <p>1.5 Country assistance program evaluation: Sri Lanka</p> <p>1.5.1 IED completes EAP by Q3 2015.</p> <p>1.5.2 DG, IED approves final draft evaluation report by Q2 2016.</p> <p>1.5.3 DEC discusses completed country program evaluation during Q2 2016.</p> <p>1.6 Validation of CPS final reviews (TBD)</p> <p>1.7 Topical working papers (TBD)</p> <p>2. Knowledge-sharing and learning events (TBD)</p> <p>3. Derivative products from the learning events (TBD)</p> <p>4. Dissemination of evaluation products (TBD)</p> <p>5. Management of evaluation information (TBD)</p>			<p>Inputs</p> <p>Asian Development Bank: \$2,500,000</p> <p>of which Activity(ies):</p> <p>1.1: \$700,000</p> <p>1.2: \$325,000</p> <p>1.3: \$325,000</p> <p>1.4: \$150,000</p> <p>1.5: \$325,000</p> <p>1.6: \$225,000</p> <p>1.7: \$125,000</p> <p>2-3: \$270,000</p> <p>4: \$20,000</p> <p>5: \$35,000</p>

ADB = Asian Development Bank, CPS = country partnership strategy, CY = Calendar Year, DEC = Development Effectiveness Committee, DG = Director General, EAP = evaluation approach paper, IED = Independent Evaluation Department, Q = quarter, TA = technical assistance, TBD = to be determined.

Source: Asian Development Bank.

COST ESTIMATES AND FINANCING PLAN
(\$'000)

Item	Amount
Asian Development Bank^a	
1. Consultants ^b	
a. Remuneration and per diem	
i. International consultants	1,115.0
ii. National consultants	393.0
iii. Per diem	190.0
b. International and local travel	280.0
c. Reports and communications	10.0
2. Surveys	115.0
3. Workshops, seminars, and conferences ^c	120.0
4. Miscellaneous administration and support costs	50.0
5. Contingencies	227.0
Total	2,500.0

^a Financed by the Asian Development Bank's Technical Assistance Special Fund (TASF-other sources).

^b Includes the cost of external reviewers of evaluation reports and resource persons, advisors, and coordinators for evaluation outreach and knowledge-sharing activities.

^c Seminars, workshops, and conferences will be held either to acquire inputs for draft reports or support outreach activities to disseminate results. Relevant costs will include representation expenses in accordance with the memorandum issued by ADB's Budget, Personnel and Management Systems Department and Strategy and Policy Department on the Use of Bank Resources: Regional Technical Assistance and Technical Assistance vs. Internal Administrative Expenses Budget (26 June 2013).

Source: Asian Development Bank estimates.

OUTLINE TERMS OF REFERENCE FOR CONSULTANTS

A. Operational Program: Country Assistance Program Evaluations and Validations of Country Partnership Strategy Final Reviews

1. Country assistance evaluations provide the Asian Development Bank (ADB) and its developing member countries (DMCs) with a basis for determining future country partnership strategies (CPSs).¹ Depending on country requirements, sector and/or thematic assessments are undertaken to give inputs to the main country assistance program evaluation (CAPE).

2. **International consultants** (total of 12.5 person-months for CAPEs and related sector assessments, and 8.0 person-months for validations of CPS final reviews).² Ten evaluators will (i) review ADB assistance programs and assess their relevance, effectiveness, efficiency, sustainability, and impacts on strategic sector objectives; (ii) do key informant interviews, conduct surveys on the outcome and impact of ADB assistance, and discuss sector development issues and concerns with executing agencies and other stakeholders; and (iii) help assess the validity of ADB's sector development strategies in the study country.

3. In addition, two resource persons-cum-external reviewers (total of 0.9 person-months for no more than 10 working days per assignment) will (i) comment on the draft report, focusing on areas that need strengthening; and (ii) give guidance on articulating key findings, lessons, and recommendations.³

4. **National consultants** (total of 6 person-months for six in-country experts, and 27 person-months for eight headquarters-based experts). In-country evaluation consultants with previous exposure to sector development issues in the study country will be recruited to (i) present an overview of the relevance and implementation of ADB sector strategies; (ii) assess and rate the achievement of project and program objectives, and the delivery of core sector, crosscutting, and thematic programs; (iii) comment on ADB's institutional positioning and performance in a sector; (iv) organize and facilitate focus group discussions, workshops, and meetings; and (v) define important issues and lessons in a sector's operations.

5. The Philippines and/or headquarters-based consultant team will comprise evaluation researchers and coordinators. Evaluators-cum-researchers will provide analytical support during data collection and analyses. These include (i) statistical support and technical assistance (TA) such as literature and portfolio reviews, policy and program analyses, benchmarking, and statistical and/or econometric analyses; (ii) reviewing of project and other relevant documents; and (iii) preparation of country case studies. In addition, evaluators-cum-coordinators will (i) carry out quality assurance reviews on validated project and/or program completion reports and extended annual review reports, and/or (ii) help the project or program review report focal or group leader supervise and administer the validation process.

¹ If the work program of the Independent Evaluation Department (IED) does not include a CAPE for a country that is due a new CPS, IED will validate a CPS final review. The CPS final review validation report then serves as the equivalent of a CAPE for the purpose of CPS preparation (main text, footnote 10).

² Estimates of consultant inputs are tentative and will be reviewed during discussions of the concept paper or evaluation approach paper (EAP) (main text, para. 12).

³ For resource persons, passports will be used to verify an expert's nationality or member country eligibility. United Nations documents such as the laissez-passer are not acceptable.

B. Knowledge Program

1. Effectiveness of Safeguards Implementation, Phase 2

6. The corporate evaluation study (CES) will examine (i) the extent to which the successful delivery of ADB's Safeguard Policy Statement (2009) leads to the avoidance or minimization of potentially adverse environmental and social impacts, and (ii) the extent to which the benefits of complying with the policy's requirements outweigh the costs. The CES will adopt a mixed-methods framework; and will be informed by documentation analysis, key informant interviews, pilot economic analysis, and site inspections. Taking into account the scope of work (e.g., stakeholder survey, focus group discussions, and key informant interviews) and inputs involved, the use of a consulting firm will be considered during preparation of the evaluation approach paper (EAP).

7. **International consultants** (total of 19 person-months for 11 experts, including peer reviewers). The CES will evaluate safeguards performance by carrying out a portfolio analysis of projects in the different safeguards categories across regions and at different times. It will bring in experiences from other multilateral agencies, including the African Development Bank, the European Investment Bank, the International Finance Corporation, and the World Bank. The study will investigate specific projects for best practices and those with key lessons to be learned through country case studies. The consultant team will help design a methodology to ascertain the impacts of the implementation of safeguards on the ground. They will travel to site locations so that field experiences can be included in the evaluation and the analysis can be validated. DMCs, through relevant government ministries and local communities, will be interviewed about their experiences on specific projects.

8. Two resource persons-cum-external reviewers (total of 0.9 person-months for no more than 10 working days per assignment) will (i) comment on the draft report, focusing on areas that need strengthening; and (ii) give guidance on articulating key findings, lessons, and recommendations (footnote 3).

9. **National consultants** (total of 15 person-months for 10 in-country experts, and 6 person-months for two headquarters-based experts). The in-country evaluation consultants will (i) prepare country reports, initially focusing on ADB experience on safeguard policy implementation, and current safeguards practice in the country and of other development partners; and (ii) support evaluation mission field work, in particular for logistics and data collection. They are expected to have a sound understanding of country-level development issues and the policies and operations of ADB and its development partners.

10. The Philippines or headquarters-based consultants will provide data collection and analytical support. These include (i) literature review, policy and program analysis, (ii) portfolio review, benchmarking, and preparation of country case studies; (iii) reviewing of other relevant documents; and (iii) statistical support and TA, including statistical and/or econometric analyses.

2. Review of Sustainable Transport Initiatives

11. The TES will apply a mix of secondary, project and survey data, and in-depth interviews to assess the implementation of the Sustainable Transport Initiative Operational Plan and to identify good practices and draw lessons for future ADB support in the transport sector.

12. **International consultants** (total of 8.5 person-months for five international experts, including peer reviewers). Three consultants with evaluation expertise will help conduct the thematic evaluation. Two transport specialists will assist the study team to assess activities in the road transport subsector, both urban and non-urban, and in the railway subsector.⁴ The specialists will critically assess the viability of investments in the respective subsectors, the relevance of the project mix, the adequacy and reliability of maintenance, and the responsiveness of the transport lending pipeline to the changing transport needs of DMCs. A sustainable transport specialist-cum-lead policy specialist will be recruited to assess transport management policies, policy advisory work on sustainable transport, and the financial components of projects that enhance sustainability.⁵ The consultants will review ADB project documents, participate in field visits to conduct interviews, organize sample surveys of stakeholders, and prepare assigned sections of the thematic evaluation.

13. Two resource persons-cum-external reviewers will be engaged (total of 0.9 person-months for no more than 10 working days per assignment) to (i) comment on the draft evaluation report, focusing on areas that need strengthening; and (ii) give guidance on articulating key findings, lessons, and recommendations (footnote 3).

14. **National consultants** (total of 6 person-months for three in-country experts, and 9 person-months for three headquarter-based consultants). The in-country evaluation consultants will (i) prepare country reports on the progress of sustainable transport initiatives, including ADB implementation experience; and (ii) support evaluation mission field work, in particular for logistics and data collection. They are expected to have a sound understanding of country-level development issues and the policies and operations of ADB and its development partners.

15. The TES will require three evaluation consultants based in ADB headquarters (Manila, Philippines). Two consultants (3 person-months each) will assist with statistical data analysis, and review of project, TA, and other relevant documents. They will also carry out portfolio analysis, secondary data collection, and literature reviews. The third consultant (3 person-months) will assist the evaluation team in analyzing survey data.

3. Additionality of Private Sector Operations

16. The CES will assess value addition by ADB in conjunction with its nonsovereign loans and equity investments approved since 2000 (para. 17, main text). At the project level, it will assess ADB's financial additionality, i.e., (i) whether the client would have obtained sufficient financing on appropriate terms in the absence of ADB project;⁶ (ii) whether ADB was catalytic in mobilizing funds from other sources or merely helped complete the financing plan; and (iii) whether ADB's involvement was necessary to reduce risks for other financiers. Assessing nonfinancial additionality will consider (i) whether ADB was needed to bring about a fair and efficient allocation of risks and responsibilities; and (ii) whether ADB's contributions⁷ helped improve project design; client capacity; environmental, social, health, and safety or governance standards; and, ultimately, project performance and development impact.

⁴ The transport specialists will have a background in civil engineering, architecture, urban transport planning, railway planning, road safety, road asset management, and railways.

⁵ The specialist will have a background in policy management, transport planning and/or engineering.

⁶ Considering pricing, tenor, grace period, currency, and timeliness; taking into account possible additional costs or delays imposed by virtue of ADB's participation that would not arise for private sources of funds.

⁷ These include knowledge sharing, advisory services, or complementary operations.

17. **International consultants** (total of 7 person-months for four international experts, including two peer reviewers). Two consultants require a background in commercial infrastructure project finance and financial services, respectively. The consultants will (i) review ADB's private sector operations strategies, instruments, portfolio trends, organization, and processes to assess ADB additionality at a strategic level; (ii) assess the financial and nonfinancial additionality of individual private sector operations transactions through document review, field visits, and interviews with project sponsors, financiers, and relevant ADB staff; (iii) compare ADB's additionality to that provided by comparable multilateral financial institutions (including the European Bank for Reconstruction and Development and the International Finance Corporation); and (iv) based on findings under (i)–(iii), advise what changes are necessary to enhance ADB's value addition. The need for additional safeguards expertise and inputs will be assessed at the EAP stage.

18. Two resource persons-cum-external reviewers will be engaged (total of 0.9 person-months for no more than 10 working days per assignment) to (i) comment on the draft evaluation report, focusing on areas that need strengthening; and (ii) give guidance on articulating key findings, lessons, and recommendations (footnote 3).

19. **National consultants** (total of 6 person-months for three in-country experts in key recipient countries of ADB's private sector support, and 4 person-months for one headquarters-based expert). Financial services experts will be engaged to (i) provide advice on the national investment environment, and national project finance and financial market conditions; (ii) arrange and conduct structured interviews with key informants; and (iii) facilitate logistical arrangements. The need for additional safeguards expertise and inputs will be assessed at the EAP stage. A local research analyst at ADB headquarters will assist in reviewing project and other documents, undertaking statistical data and portfolio analysis, and managing any required surveys and related data analysis.

4. Impact Evaluation

20. The study will look into the quality and sustainability of services provided. Health impact (e.g., health and well-being of the populations served) will be one of its key indicators. It will use quasi-experimental designs, and emphasize the validity and reliability of evaluation results. It will involve (i) a literature review, (ii) secondary data analysis and identification of counterfactuals for the analyses, (iii) primary data collection (usually a large questionnaire survey), and (iv) data analyses and report preparation. The evaluation will build on data collected during project implementation and identify and/or analyze comparison groups or counterfactuals based on questionnaires, key informant interviews, and secondary data.

21. **International consultants** (total of 6 person-months for four international experts, including peer reviewers). The impact evaluation study will require inputs from a social specialist and an econometrician. Both will have strong quantitative and qualitative evaluation skills, and proven experience in (i) evaluation methodologies; and (ii) conducting impact evaluation using both qualitative and quantitative methods by means of sample surveys, statistical and econometric tools, focus group discussions, and key informant interviews. They will have prior experience in conducting rigorous impact evaluation.

22. Two resource persons-cum-external reviewers will be engaged (total of 0.9 person-months for no more than 10 working days per assignment) to (i) comment on the draft evaluation report, focusing on areas that need strengthening; and (ii) give guidance on articulating key findings, lessons, and recommendations (footnote 3).

23. **National consultants** (total of 13.5 person-months for three in-country experts, and 6 person-months for two headquarters-based consultants). In-country experts on the water supply and sanitation (WSS) sector and for the survey work will be engaged. A firm or group of individual consultants with specialization in WSS will assess (i) the status of randomly selected WSS schemes; and (ii) the scheme's district community organization and management, including operation and maintenance, cost recovery mechanisms, and sustainability. Services of another domestic firm or group of in-country experts will also be required for (i) pretesting data-collection instruments in the targeted country, (ii) translating applicable instruments in local language, (iii) conducting household survey and other surveys, (iv) undertaking key informant interviews, (v) processing data including entry and verification, and (vi) reporting study findings. A third in-country specialist with a technical background in public health (for health and WSS) will be engaged for local knowledge and data access to health issues.

24. Two headquarters-based consultants—a research analyst and a statistician—will be engaged for research and analytical work. The research analyst will assist in reviewing project and other documents while the statistician will undertake statistical data analysis, including portfolio analysis, benchmarking analysis, and survey or questionnaire data analysis.

5. Evaluation Research and Topical Working Papers

25. These will draw lessons from evaluations (from ADB and other development partners) on topics of high operational relevance. Consultant(s)-cum-advisor (total of 3 person-months), with a high level of expertise and strong multilateral experience, will help prepare short papers with a strong evaluative angle, connecting past lessons to current and prospective situations.

C. Evaluation Outreach, Knowledge-Sharing, and Partnerships

26. Specific services from consultants and resource persons will support (i) management of information systems and technology (11 person-months for two Philippines or headquarters-based consultants); (ii) derivative communication and outreach products (8 person-months for three headquarters-based consultants); and (iii) knowledge-sharing, i.e., contributions during international events or forums, consultations with DMCs, and interactive learning event(s).⁸ These are further discussed in the Supplementary Appendix: Support for Knowledge-Sharing and Outreach Activities.

27. The TA will also support cooperation with a range of development partners (with operations in Asia and the Pacific) at the institutional, i.e., bilateral, multilateral, and regional organizations and institutions, and operational and/or country level, i.e., academe, civil society, evaluation associations, government. Within the Independent Evaluation Department's yearly outreach program, these comprise participation (resource person) or contributions (sponsorship or cooperation agreements) to international evaluation events and activities (e.g., conferences, training workshops, and joint evaluations) that focus on priority evaluation issues, promote learning, coordinate or harmonize evaluation practice, and strengthen evaluation capacity.

⁸ Specific requirements for interactive learning event includes: (i) in-country event management cum partnership coordinator (3 person-months for 2 national coordinators); (ii) Philippines or ADB headquarters-based event cum partnership coordinator (6 person-months for 2 national coordinators); (iii) panelists (1.8 person-months for 8 international experts); and (iv) moderators (0.5 person-months for 2 international experts).