



# Technical Assistance Report

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Project Number: 50092-001  
Cluster—Research and Development Technical Assistance (C-RDTA)  
July 2016

## Selected Evaluation Studies and Outreach for 2017–2019

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Asian Development Bank

## ABBREVIATIONS

ADB	–	Asian Development Bank
ADF	–	Asian Development Fund
CAPE	–	country assistance program evaluation
CPS	–	country partnership strategy
DEC	–	Development Effectiveness Committee
EAP	–	evaluation approach paper
ESG	–	environmentally sustainable growth
IED	–	Independent Evaluation Department
TA	–	technical assistance
TASF	–	Technical Assistance Special Fund

## NOTE

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

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## I. INTRODUCTION

1. Independent evaluation at the Asian Development Bank (ADB) aims at raising the development impacts of ADB operations. This proposed cluster regional research and development technical assistance (TA) will support high- and mid-level studies and outreach activities in the work program for 2016–2018 of the Independent Evaluation Department (IED), and its subsequent ADB Board of Directors-approved rolling work programs.<sup>1</sup> The work program for 2016–2018 was endorsed by ADB’s Development Effectiveness Committee (DEC) and later approved on a no-objection basis by the Board on 9 December 2015.<sup>2</sup> Evaluation studies and outreach activities for funding by the TA seek to improve ADB policies, strategies, and operations—subsequently benefiting ADB’s developing member countries.<sup>3</sup>

## II. ISSUES

2. In the coming decades, countries in Asia will confront major challenges such as (i) making their economies resilient to shocks from economic crises, social tensions, and natural hazards; (ii) tackling climate change and environmental degradation; (iii) sustaining inclusive growth to prevent inequality from hurting growth and poverty reduction; and (iv) seeking private sector solutions to boost the sustainability of results and bring innovation. Given the transboundary dimensions of such development challenges, solutions are needed on many fronts and will require a multidisciplinary understanding of the causes and effects of the issues involved.

3. ADB’s operating landscape is also changing. Future strategic directions need to reflect the emergence of new development finance institutions, the approval of the Sustainable Development Goals, and the new Climate Change Agreement. As more members transition to middle-income countries, ADB needs to reflect the most appropriate approach to address their needs. It must meet these new challenges and make valuable and timely contributions. ADB is now developing a new corporate strategy, Strategy 2030.

4. IED’s high- and mid-level evaluations complement project-level evaluations and give a strategic perspective to ADB operations and directions in Asia and the Pacific. IED can identify effective approaches to addressing development challenges through its evaluations. Such approaches will be fed back to operations for project designs to address the development challenges in a better manner.

5. In 2016, IED is undertaking evaluations that will provide recommendations on ADB’s Strategy 2030, engagement with middle-income countries,<sup>4</sup> and partnerships.<sup>5</sup> This is complemented by topical papers on environmentally sustainable growth (ESG)<sup>6</sup> and private

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<sup>1</sup> The TA cluster first appeared in the business opportunities section of ADB’s website on 23 May 2016.

<sup>2</sup> 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.

<sup>3</sup> Evaluations include thematic, corporate, real-time, and impact evaluation studies; evaluation knowledge studies; and country and regional evaluations. IED. 2015. *Independent Evaluation Department Work Program, 2016–2018*. <http://www.adb.org/sites/default/files/page/110939/r154-15.pdf>

<sup>4</sup> IED. 2016. *Evaluation Approach: ADB’s Engagement with Middle-Income Countries*. Manila: ADB.

<sup>5</sup> IED. 2016. *Thematic Evaluation Study: The Effectiveness of Asian Development Bank Partnerships*. Manila: ADB.

<sup>6</sup> IED. 2016. *Topical Paper: Environmentally Sustainable Growth: A Strategic Review*. Manila: ADB.

sector operations.<sup>7</sup> To support the merger of the Asian Development Fund (ADF) and ordinary capital resources of ADB in 2017, IED will study two of its major business lines—sustainable transport and energy—and will complement this with a gender study. In response to development partners' requests, IED will conduct a study on policy-based lending.

6. IED will continue to align with ADB's operational priorities. It will take on key studies to strengthen private sector work over the next 3 years—credit enhancement, private sector operations, and risk management. IED will also evaluate ADB's experience with safeguards through case studies in 2016. In 2017 and 2018, it will generate impact evaluations on projects in the water resource management and education sectors, conduct an evaluation study on ESG, and complete the studies on ADF operations (ADF 12) and the piloting of results-based lending.

7. In the past, IED prepared regular TA on an annual basis to support studies and activities in its 3-year rolling work program. Priorities for independent evaluation, as reflected in the work program, are updated yearly to be consistent with the emerging development issues faced by ADB in its strategic directions and operations. Often, this would need scope changes to keep the TA updated to meet changing work programs. This made the process cumbersome and time-consuming from an administrative point of view. The shift to a TA cluster approach to support this and subsequent rolling work programs is appropriate. It seeks to streamline the approval process while offering flexibility and close quality control, i.e., subprojects can be designed and outputs and activities determined just before their implementation.

### **III. THE PROPOSED RESEARCH AND DEVELOPMENT TECHNICAL ASSISTANCE**

#### **A. Impact and Outcome**

8. The impact will be improved development effectiveness of ADB operations, policies, strategies, and business processes. The outcome will be increased use of evaluation studies by the ADB Board of Directors and its DEC, ADB Management and operations staff, and country agencies and stakeholders (Appendix 1).

#### **B. Methodology and Key Activities**

##### **1. Cluster Technical Assistance**

9. The TA cluster comprises three subprojects that enable the preparation of IED high- and mid-level evaluation studies and conduct outreach activities. The pipeline is drawn from IED's yearly Board-approved work programs. Each program is developed as a 3-year compilation of tasks, which when taken together addresses, on a rolling basis, ADB's involvement in Asia and the Pacific. The outputs of the TA cluster are (i) evaluation studies, knowledge briefs, and other evaluation products completed; (ii) knowledge-sharing and learning events satisfactorily conducted; (iii) evaluation outreach products and services and derivative products from learning events disseminated; and (iv) information system for managing and disseminating evaluation knowledge improved. Lessons and recommendations from TA-funded evaluations will be inputted into IED's evaluation information systems, i.e., lessons database and management action records system.

10. During the formulation and implementation of studies and activities, IED teams concerned will hold consultations with various institutions in government and civil society. These

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<sup>7</sup> IED. 2016. *Topical Paper: A Comparative Institutional Review of Private Sector Operations*. Manila: ADB.

consultations may be determined at the concept or evaluation approach paper (EAP) stage. Where appropriate, draft reports will be sent to government and other stakeholders for feedback.

11. Prior to starting an evaluation, an EAP will be prepared, providing its rationale, objective and scope, methods to be used, resource requirements, terms of reference for consultants, and dissemination plan. A concept paper may be prepared when (i) diagnostic work is needed prior to finalizing an EAP, or (ii) a country sector assessment is more conveniently done ahead of a country assistance program evaluation (CAPE). Consultant recruitment may begin when either a draft EAP or concept paper is approved by IED's director general for interdepartmental review. Each evaluation study will have internal and external peer reviewers. Completed studies are circulated to the Board and Management and normally discussed by the DEC.

## **2. Learning and Accountability from Independent Evaluations and Validations**

12. Subproject 1 will focus on evaluations for delivery in 2017, and will be based on the current IED work program for 2016–2018.<sup>8</sup> These studies will commence in the second half of 2016. Supplementary Appendix A gives a tentative list of evaluation studies for financing by subproject. Subproject 1 will support about seven high-level and five mid-level evaluations. The high-level evaluations are (i) thematic and/or corporate evaluations on gender, policy-based lending, private sector operations, sustainability of energy sector operations, small and medium-sized enterprises; (ii) an impact evaluation (water resource management); and (iii) a CAPE on Georgia. Mid-level evaluations include a topical paper on livable cities and validations of the country partnership strategy final reviews for the Kyrgyz Republic, Nepal, Thailand, and Turkmenistan. Supplementary Appendix B describes select thematic and corporate evaluations for financing by Subproject 1.

13. Subproject 2 will be structured along the same line, and focuses on delivering evaluations for 2018. This will depend on the Board-approved work program for 2017–2019.<sup>9</sup> These evaluations will start in the second half of 2017. Indicatively, it will fund about seven high-level and five mid-level evaluations. Based on the current work program, high-level evaluations to be supported are (i) thematic and/or corporate evaluations on ESG, rural development, ADF 12 operations (including the disaster response facility), risk management, and results-based lending pilot; (ii) an impact evaluation (education project); and (iii) a CAPE (as will be determined by the 2017–2019 work program). Mid-level evaluations include validations of country partnership strategy final reviews for Armenia, Azerbaijan, Bhutan, Cambodia, and Fiji (Supplementary Appendix A).

14. Similarly structured, subproject 3 will focus on evaluations for delivery in 2019. It will depend on the Board-approved work program for 2018–2020.<sup>10</sup> It will support evaluations that will commence in the second half of 2018. Tentatively, it is also expected to fund about seven high- and five mid-level evaluations. Based on ADB priorities and subsequent discussions with the DEC during the preparation of the 2016–2018 work program, the indicative pipeline beyond 2018 includes studies on agriculture and food security operations, health operations, education

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<sup>8</sup> Studies supported by the subproject will also be adjusted through a change in scope in the subproject memo should the subsequent 2017–2019 work program warrant it. IED will start consultations with the DEC, ADB Management, and heads of departments on the upcoming 2017–2019 work program in July 2016. Where needed, subprojects 1–3 can support preparatory and/or advance work on evaluations in the out-years of the work programs.

<sup>9</sup> Scope changes in the subproject memo can be made depending on the work program for 2018–2020.

<sup>10</sup> Scope changes in the subproject memo can be made depending on the work program for 2019–2021.

operations, urban operations, water operations, public–private partnerships, climate adaptation, integrated disaster risk management operations, information and communication technology for development, safeguard policy statement review, project monitoring and evaluation, use of the multitranche financing facility, private equity operations, and inclusive business (Supplementary Appendix A).

### **3. Evaluation Outreach, Knowledge Sharing, and Partnerships**

15. Independent evaluation becomes meaningful only when its findings, lessons, and recommendations are shared and used to improve ADB development results. For subprojects 1–3, TA cluster components on knowledge-sharing and outreach activities will cover, among others: (i) continuing use of IED information and technology for dissemination (website and social media), (ii) periodic learning events to inform both ADB staff and external stakeholders, (iii) continuing preparation and sharing of summary knowledge products like learning lessons and learning curves, and (iv) periodic maintenance and/or enhancements to the lessons database and management action record system. Supplementary Appendix C gives further details on evaluation outreach activities. The 2015 Knowledge-Sharing and Outreach Report of IED gives an overview of knowledge sharing and outreach during the year.<sup>11</sup>

16. Further to knowledge sharing and outreach, the TA cluster 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 levels (i.e., academe, civil society, evaluation associations, and government).

17. Several risks have been identified in implementing the TA (Appendix 1). Unexpected shifts in strategic and policy directions occurring in ADB and in countries in Asia and Pacific can affect the TA outcome. The delivery and quality of IED evaluations will also depend on the availability and quality of data. Since IED's dissemination activity is largely online, success can be dependent on the internet connectivity of users. IED will look at ways to mitigate these risks.

### **C. Cost and Financing**

18. The TA is estimated to cost \$7,500,000, which will be financed on a grant basis by ADB's Technical Assistance Special Fund (TASF)–other sources. Subproject 1 for \$2,500,000 will be financed by TASF–other sources. Subprojects 2 and 3 will have the same TA size financed by the TASF's annual resource allocation to IED in the subsequent years (Appendix 2).

### **D. Implementation Arrangements**

19. 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. The TA cluster will support the (i) engagement of sector and thematic specialists and researchers to help conduct in-depth analysis and/or give expert inputs on the development context and challenges during report preparation, i.e., data collection, surveys and processing, quantitative and qualitative analyses, background analytical papers, and main report preparation; (ii) engagement of external experts for independent peer reviews; and (iii) engagement of resource persons to speak and/or coordinators to help organize key evaluation outreach and knowledge-sharing activities (Supplementary Appendix D).

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<sup>11</sup> IED. 2015. *Knowledge Sharing and Outreach Report*. Manila: ADB.



20. These will require the services of about 155 international consultants (about 300 person-months) and 230 national consultants (about 540 person-months) from 2016 up to 2019. The outline terms of reference for indicative consulting requirements are in Appendix 3. Full details of consulting services (i.e., positions, expertise, duration, terms of reference and deliverables, and cost estimates) will be determined at the concept or EAP stage of a study or activity.

21. ADB will engage consultants (either on an individual or resource person arrangement) in accordance with its Guidelines on the Use of Consultants (2013, as amended from time to time). Lump-sum or output-based contracts will be used as appropriate.<sup>12</sup> Use of a consulting firm or entity (along with the selection method and type of technical proposal) will be assessed at the concept or EAP stage. Purchase of equipment and services for conducting conferences, seminars, and/or workshops; and surveys will be undertaken in accordance with ADB's Procurement Guidelines (2015, as amended from time to time), and will be in coordination with the Controllers' Department, Office of Information Systems and Technology, and Office of Administrative Services, where applicable. After the TA is completed, any procured equipment will be disposed of in compliance with Administering Grant-Financed Technical Assistance Projects in the Project Administration Instructions.<sup>13</sup>

22. TA disbursements will be in accordance with ADB's *Technical Assistance Disbursement Handbook* (2010, as amended from time to time). Progress on key evaluation milestones will be tracked through 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. Implementation arrangements will be flexible to accommodate alterations in IED's work program.

23. A mix of small and large teams, led by IED staff, will be used based on the complexity of the work. The deployment of staff may cut across evaluation divisions, depending on the expertise required. Each team is responsible for formulating the study or activity. Implementation oversight (e.g., adequacy of staff, consultant processing, and management), accountability for outputs, and communication with stakeholders will be delegated to the evaluation team leader of a study or activity concerned.

24. The TA and its subprojects are expected to be implemented from July 2016 to December 2020. Indicatively, a subproject will have a 2.5-year implementation period. ADB will obtain a no objection from the government before starting any activity financed under this TA in the territory of that country.

#### **IV. THE PRESIDENT'S RECOMMENDATION**

25. The President recommends that the Board approve the provision of technical assistance not exceeding the equivalent of \$7,500,000 on a grant basis for Selected Evaluation Studies and Outreach for 2017–2019.

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<sup>12</sup> Where appropriate, these contracts will encourage job technical transfer opportunities or expert interactions with government counterpart staff. If an assignment requires specific timing for expert fielding or field time, these will be clarified in the terms of reference. Variations to lump sum contracts will be on a case-to-case basis, with exceptions considered only when the added terms of reference clarify distinct outputs for additional payments.

<sup>13</sup> ADB. 2013. Administering Grant-Financed Technical Assistance Projects. *Project Administration Instructions*. PAI 5.09. Manila.

## DESIGN AND MONITORING FRAMEWORK

<b>Impact the Technical Assistance is Aligned with</b>			
Development effectiveness of ADB operations, policies, strategies, and business processes improved <sup>a</sup>			
<b>Results Chain</b>	<b>Performance Indicators with Targets and Baselines</b>	<b>Data Sources and Reporting Mechanisms</b>	<b>Risks</b>
<p><b>Outcome</b></p> <p>Use of evaluation studies by the ADB Board of Directors and its DEC, ADB Management and operations staff, and country agencies and stakeholders increased</p>	<p>By 2020:</p> <p>a. Number of IED website hits and downloads on high- and mid-level evaluations improves from 70,000 hits and downloads in 2013–2015 Subproject 1: 80,000 Subproject 2: 90,000 Subproject 3: 100,000 (2015 baseline: 70,000)</p> <p>b. Rate of acceptance of recommendations by ADB Management is 75% or better from an average of about 65% during AER reporting years 2014–2015 Subproject 1: 65% Subproject 2: 70% Subproject 3: 75% (2015 baseline: 65%)</p> <p>c. Rate of implemented recommendations by ADB Management is 80% or better from an average of about 69% during AER reporting years 2014–2015 Subproject 1: 70% Subproject 2: 75% Subproject 3: 80% (2015 baseline: 70%)</p>	<p>a. Google analytics (web metrics)</p> <p>b. AER (annual, IED); IED website</p> <p>c. AER (annual, IED); management action record system; IED website</p>	<p>Unexpected shifts in strategic and policy directions occur in ADB and in countries in Asia and the Pacific</p>
<p><b>Outputs</b></p> <p>1. Evaluation studies, knowledge briefs, and other evaluation products completed</p>	<p>By 2019:</p> <p>1a. Completed about six high-level evaluations per year (2015 baseline: 4) Subprojects 1–3: at least one impact and five thematic and corporate evaluations per subproject<sup>b</sup></p> <p>1b. Completed country program evaluations and validations of CPSFRs (2015 baseline: 5) Subprojects 1–3: at least one country assistance program evaluation and four CPSFRs per subproject<sup>b</sup></p>	<p>1a. AER (annual, IED); DEC annual report (ADB); IED website</p> <p>1b. AER (annual, IED); DEC annual report (ADB); IED website</p>	<p>Lack or poor quality of data delay the delivery of evaluation products and services</p> <p>Governments are unable to nominate suitable participants for outreach events and activities</p>

Results Chain	Performance Indicators with Targets and Baselines	Data Sources and Reporting Mechanisms	Risks
2. Knowledge-sharing and learning events satisfactorily conducted	<p>By 2020:</p> <p>2a. At least one in-country or major ADB headquarters-based evaluation event arranged per year from 2017 to 2019 (2015 baseline: 1)</p> <p>2b. At least 70% of responses to post-event survey will give positive feedback (2015 baseline: 70%)</p>	<p>2a. Event page on IED website</p> <p>2b. Post-event survey of participants (IED)</p>	Slow internet connectivity in member countries affects online dissemination of IED products and services
3. Evaluation outreach products and services and derivative products from learning events disseminated	<p>By 2020:</p> <p>3a. At least one evaluation-related multimedia (e.g., audio and/or video podcast) with 2,000 plus views in IED social media sites, produced per year (2015 baseline: 1)</p> <p>3b. About 25 blogs, op-eds, press releases, interviews and media appearances, e-books, and videos completed per year (2015 baseline: 25)</p> <p>3c. About five learning lessons and/or learning curves and feature articles completed per year (2015 baseline: 5)</p> <p>3d. At least one topical paper and/or publication on a subject of operational relevance prepared per year (2015 baseline: 1)</p>	<p>3a. Knowledge-Sharing and Outreach Report (annual, IED)</p> <p>3b. Knowledge-Sharing and Outreach Report (annual, IED)</p> <p>3c. Knowledge-Sharing and Outreach Report (annual, IED)</p> <p>3d. AER (annual, IED)</p>	
4. Information system for managing and disseminating evaluation knowledge improved	<p>By 2020:</p> <p>4a. Number of hits and downloads on the evaluation lessons database improves by 5% every year from the average of 2,000 hits during 2013–2015 (2015 baseline: 2000)</p>	<p>4a. Google analytics (web metrics)</p>	
<p><b>Key Activities with Milestones</b></p> <p>1. Conduct of subproject 1–3 evaluations will keep to the following process:</p> <ul style="list-style-type: none"> <li>1.1 Prepare concept paper and scoping mission (40 working days per study)</li> <li>1.2 Prepare and approve evaluation approach paper (40–76 working days per study)</li> <li>1.3 Field evaluation missions (25–40 working days per study)</li> <li>1.4 Prepare and finalize story lines (24 working days per study)</li> <li>1.5 Prepare evaluation study (44–85 working days per study)</li> <li>1.6 Finalize evaluation study; approval by director general, IED; and print and circulate (27–55 working days per study)</li> <li>1.7 Pre-DEC discussions and DEC meeting (17 working days per study)</li> </ul>			

<p>2. Management of in-country and/or major knowledge-sharing and learning event(s) will keep to the following process:</p> <p>2.1 Prepare a concept paper</p> <p>2.2 Identify and mobilize consultants: Events coordinator, partnership coordinator, social media specialist, photographers and videographers</p> <p>2.3 Engage resource persons-cum-speakers or panelists</p> <p>2.4 Invite internal and external participants including country and private sector representatives and officials, academics, evaluation groups, and bilateral partners</p> <p>2.5 Coordinate with ADB units concerned for logistic needs: venue, food and beverage, stage design and setup, and publication</p> <p>2.6 Conduct collateral printings—logo design, program and brochure</p> <p>2.7 Carry out logistical arrangements for resource speakers and participants</p> <p>2.8 Arrange media coverage, social media announcements, and website updates before, during, and after events</p> <p>3. Dissemination of evaluation outreach products and services and derivative products involves:</p> <p>3.1 Knowledge sharing and outreach</p> <p>3.1.1 Produce multimedia (audio and/or video podcast) from each event and upload to department's social media sites</p> <p>3.1.2 Prepare opinion pieces, news releases, and blogs</p> <p>3.1.3 Prepare learning lessons and learning curves</p> <p>3.2 Evaluation research</p> <p>3.2.1 Prepare evaluative researches and/or working papers on special topics and concerns of operational relevance</p> <p>3.2.2 Prepare and publish journal articles and/or books</p> <p>4. Improving IED's information systems for disseminating lessons and tracking recommendations includes:</p> <p>4.1 Manage the evaluation lessons database, including trouble shooting, upgrade, and enhancements</p> <p>4.2 Manage the management action record system including its secretariat and coordination, systems trouble shooting, upgrade, and enhancements</p>
<p><b>Inputs</b></p> <p>ADB Technical Assistance Special Fund (TASF-other sources): \$7,500,000</p>
<p><b>Assumptions for Partner Financing</b></p> <p>Not applicable.</p>

ADB = Asian Development Bank, ADF = Asian Development Fund, AER = annual evaluation review, CPSFR = country partnership strategy final review, DEC = Development Effectiveness Committee, IED = Independent Evaluation Department, Q = quarter.

<sup>a</sup> IED. 2015. *Independent Evaluation Department Work Program, 2016–2018*. Manila: ADB.

<sup>b</sup> Subproject 1 evaluations are on ADB support to gender and development (Q1 2017), small and medium-sized enterprises (Q3 2017), policy-based lending operations (Q2 2017), private sector operations (Q4 2017), and sustainability of energy sector operations (Q4 2017); an impact evaluation on a water resource management project (Q3 2017); a topical paper on livable cities (Q2 2017); and a country assistance program evaluation for Georgia and validations on CPSFRs for the Kyrgyz Republic, Nepal, Thailand, and Turkmenistan (Q4 2017). Subproject 2 evaluations include ADB support to environmentally sustainable growth (Q2 2018), rural development (Q4 2018), ADF operations: ADF 12, including the Midterm Review of Disaster Response Facility (Q3 2018), piloting of ADB results-based lending (Q4 2018), and effectiveness of risk management in ADB (Q4 2018); impact evaluation on education project (Q4 2018); a topical paper still to be determined; a country assistance program evaluation for a developing member country still to be determined and possible validations on CPSFRs for Armenia, Azerbaijan, Bhutan, Cambodia, and Fiji (Q4 2018). Subproject 3 evaluation pipeline will be determined by the Board-approved 2018–2020 work program in December 2017.

Source: Independent Evaluation Department, Asian Development Bank.

**COST ESTIMATES AND FINANCING PLAN**  
(\$'000)

Item	Subproject 1 (2016–2018)	Subproject 2 (2017–2019)	Subproject 3 (2018–2020)	Total
<b>Asian Development Bank<sup>a</sup></b>				
1. Consultants <sup>b</sup>				
a. Remuneration and per diem				
(i) National	375.00	375.00	375.00	1,125.00
(ii) International	1,080.00	1,080.00	1,080.00	3,240.00
(iii) Per diem	205.00	205.00	205.00	615.00
b. International and local travel	300.00	300.00	300.00	900.00
c. Reports and communications	15.00	15.00	15.00	45.00
2. Workshops, seminars, and conferences <sup>c</sup>	130.00	130.00	130.00	390.00
3. Surveys	115.00	115.00	115.00	345.00
4. Miscellaneous administration and support costs	50.00	50.00	50.00	150.00
5. Contingencies	230.00	230.00	230.00	690.00
<b>Total</b>	<b>2,500.00</b>	<b>2,500.00</b>	<b>2,500.00</b>	<b>7,500.00</b>

<sup>a</sup> Financed by the Asian Development Bank's Technical Assistance Special Fund (TASF—other sources). Subproject 1 for \$2.5 million will be financed by TASF—other sources while subsequent subprojects will be financed by succeeding replenishments.

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

<sup>c</sup> 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 the Asian Development Bank'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: Independent Evaluation Department, Asian Development Bank estimates.

## OUTLINE TERMS OF REFERENCE FOR CONSULTANTS

### A. Knowledge Program

1. The program comprises high-level evaluations such as corporate and thematic evaluations and impact evaluations; and mid-level evaluations such as knowledge studies and topical papers. Other evaluative research and outreach products include knowledge briefs, journal articles, books, and brochures and flyers. The mix of evaluation products for subprojects 1–3 of this technical assistance (TA) cluster will be based on the yearly work programs (2016–2018) endorsed by the Development Effectiveness Committee and approved on a no-objection basis by the Asian Development Bank (ADB) Board of Directors. The nature or scope of work of each product is briefly described below.

- (i) **Corporate and thematic evaluations.** Focus on thematic issues across sectors or countries or evaluate an ADB policy or business process.
- (ii) **Impact evaluations.** Use quasi-experimental designs and emphasize the validity and reliability of evaluation results.
- (iii) **Evaluation knowledge studies.** Offer forward-looking insights and prospective application of lessons on major crosscutting themes.
- (iv) **Topical papers.** Focus on current development issues to share ideas or technical working papers related to evaluation reports.
- (v) **Knowledge briefs.** Synthesize evaluation findings, lessons, and recommendations for a broader range of clients (i.e., drawn from evaluation and completion reports and literature reviews).
- (vi) **Other evaluative research and outreach materials.** Prepare books and journal articles on operationally relevant topics, and other awareness-raising matters like brochures and flyers.

2. Independent evaluations will generally involve mixed methods and be informed by documentation analysis, key informant interviews, pilot economic analysis, and site inspections. Each evaluation team will be supported by a mix of international and national consultants. Indicatively, a total of 108 international consultants (about 226 person-months) and 180 national consultants (about 432 person-months) will be mobilized. This is a rough estimate of the requirements during the implementation of subprojects 1–3. The number, type, expertise, and duration of assignment will vary depending on the sector and/or theme topic and complexity of the study. The need for consultant inputs will be determined at the concept paper and/or evaluation approach paper (EAP) stage.

3. **International consultants.** Sector and theme specialists with relevant academic, professional, work experience, and evaluation expertise will be mainly engaged on individual assignments. Consultant inputs will normally be 1–3 person-months per assignment. Taking into account the scope of work (e.g., stakeholder survey, focus group discussions, and key informant interviews) and inputs involved, a consulting firm may be engaged during the preparation of the concept paper and/or EAP.

4. **Evaluators and/or advisors.** The specialists will use secondary, project and survey data, and in-depth interviews to assess the implementation of relevant ADB strategy, policies, and operations. They will (i) review ADB project documents; (ii) join an evaluation mission to validate the impacts of ADB implementation through site visits, and interview relevant government ministries and local communities (about their experiences on specific projects); (iii) help organize sample surveys of stakeholders, evaluate performance by carrying out a portfolio

analysis, investigate specific projects for best practices and those with key lessons to be learned through country case studies; (iv) assess experiences from other multilateral agencies; and (v) prepare assigned sections of the evaluations.

5. For impact evaluations, the scope of work will involve (i) a literature review, (ii) secondary data analysis and identification of counterfactual results 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 counterfactual results based on questionnaires, key informant interviews, and secondary data. The evaluation team will require, as deemed necessary, a sector and/or thematic expert 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 through sample surveys, statistical and econometric tools, focus group discussions, and key informant interviews. They will have prior experience in conducting rigorous impact evaluation.

6. For the assessment of nonsovereign operations, private sector consultants will (i) review ADB's private sector operations strategies, instruments, portfolio trends, organization, and processes; (ii) assess individual private sector operations transactions through document review, field visits, and interviews with project sponsors, financiers, and relevant ADB staff; (iii) compare ADB's operations with comparable multilateral financial institutions; and (iv) based on findings under (i–iii), advise what changes are necessary to enhance ADB's value addition. Consultant inputs will be about 2 person-months per assignment.

7. For topical working papers, the consultant(s)-cum-advisor (about 3 person-months per assignment), 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. They will draw lessons from evaluations (from ADB and other development partners) on topics of high operational relevance.

8. **Resource persons-cum-external reviewers.** They will (i) comment on the draft report, focusing on areas that need strengthening; and (ii) give guidance on articulating key findings, lessons, and recommendations. Each study will have about two peer reviewers, with each assignment involving a maximum of 10 working days.<sup>1</sup>

9. **National consultants.** The need for national consultants will be assessed at the EAP stage.<sup>2</sup> Like international consultants, the number, mix, type, expertise, work experience, inputs, and duration of assignment will vary depending on the topic and complexity of the study. Consultant inputs will be at least 1 person-month for in-country assignments and about 2–4 person-months for work carried out at headquarters.

10. **In-country consultants.** The consultants will (i) prepare country reports, initially focusing on relevant ADB implementation experience, and current practice in the country as well

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<sup>1</sup> For resource persons, passports will be used to verify an expert's nationality or member country eligibility. United Nations documents such as the laissez-passers are not acceptable. Resource persons from nonmember countries can be financed by the TA after waiver of membership eligibility in consultation with ADB's Office of the General Counsel.

<sup>2</sup> National consultants may take a regional task to assist international experts if the task does not account for a substantial part of their terms of reference. If the TA envisages international travel by a national expert, these requirements must be added to their terms of reference.

as that of other development partners; (ii) support evaluation mission field work, in particular facilitating logistics; (iii) arrange and conduct structured interviews with key informants; and (iv) support survey or questionnaire and data analysis. They are expected to have a sound understanding of development issues at the country level, ADB policies and operations, and development partners.

11. **Headquarters-based.** Philippines national consultants (research analysts, statisticians, and/or econometricians) will support data collection and analytical work. These include (i) literature reviews, policy, and program analysis; (ii) review of project and other documents; (iii) portfolio analyses, benchmarking analyses, and preparation of country case studies; (iv) secondary data collection; (v) managing surveys and/or questionnaires and related data analyses; and (vi) other statistical support and/or econometric analyses.

12. For nonsovereign operations, private sector experts will be engaged to (i) provide advice on the national environment, and national project finance and financial market conditions; (ii) arrange and conduct structured interviews with key informants; and (iii) facilitate logistical arrangements.

## **B. Learning and Accountability from Independent Evaluations and Validations (Country Program Operations)**

13. Country assistance evaluations provide ADB and its developing member countries with a basis for determining future country partnership strategies (CPSs). Depending on country requirements, sector and/or thematic assessments are undertaken to give inputs to the main country assistance program evaluation (CAPE).<sup>3</sup> As indicatively programmed, country evaluations and validations will require about 40 international consultants (about 72 person-months) and 36 national consultants (about 90 person-months) during 2016–2019.

14. **International consultants.** The preparation of CAPEs and validations of CPS final reviews will require at least 22 evaluators (1–3 person-months each based on complexity).<sup>4</sup> Specific tasks will include, among others: (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. In addition, at least 18 resource persons or advisor-cum-external reviewers 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 1).

15. **National consultants.** At least 36 in-country and headquarters-based experts will be required to support the evaluation teams (at least 1 person-month for in-country assignments and about 2–4 person-months for work carried out at headquarters based on complexity). In-country evaluation consultants with previous exposure to development issues (sector and thematic) 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)

<sup>3</sup> Estimates of consultant inputs are tentative and will be reviewed during discussions of the concept paper or EAP.

<sup>4</sup> If the work program of the Independent Evaluation Department (IED) does not include a CAPE for a country where a new CPS is to be prepared, IED will validate a CPS final review. The CPS final review validation report then serves as the equivalent of a CAPE as an input to CPS preparation.



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.

16. Philippines- and/or headquarters-based national consultants will comprise evaluation researchers and coordinators. Evaluators-cum-researchers will provide analytical support during data collection and analyses. These include (i) desk reviews of project and other relevant documents, internet searches, and other literature reviews; (ii) statistical and other technical support such as portfolio reviews, policy and program analyses, benchmarking, and statistical and/or econometric analyses; and (iii) preparation of country case studies. 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.

### **C. Evaluation Outreach, Knowledge Sharing, and Partnerships**

17. Other evaluative research and outreach products include knowledge briefs, journal articles, books, and brochures and flyers. Specific services from consultants and resource persons will also support (i) management of information systems and technology (6 person-months for two Philippines- or headquarters-based consultants); (ii) derivative communication and outreach products (4 person-months for three headquarters-based consultants); and (iii) knowledge sharing, i.e., contributions during international events or forums, consultations with developing member countries, and interactive learning event(s). As indicatively programmed, evaluation outreach will require about 7 international consultants (about 2 person-months) and 14 national consultants (about 18 person-months).

18. The TA will also support cooperation with a range of development partners (with operations in Asia and the Pacific) at the institutional level (i.e., bilateral, multilateral, and regional organizations and institutions) and operational and/or country level (i.e., academe, civil society, evaluation associations, and government). Within the Independent Evaluation Department's yearly outreach program, these involve participation in (resource person) or contributions to (sponsorship or cooperation agreements) 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.

19. Specific requirements for interactive learning events include (i) in-country event management-cum-partnership coordinators (3 person-months for two national coordinators); (ii) Philippines- and/or headquarters-based event-cum-partnership coordinators (5 person-months for two national coordinators); (iii) panelists (1.4 person-months for six international experts); and (iv) a moderator (0.25 person-month for an international expert).