

**TCR Validation Report**  
May 2022

# Knowledge and Innovation Support for ADB's Water Financing Program

Reference Number: TCRV-2021-052  
Project Number: 42384-012  
TA Number: 6498



*Raising development impact through evaluation*

## ABBREVIATIONS

ADB	–	Asian Development Bank
AWDO	–	Asian Water Development Outlook
CWA	–	country water assessment
DMC	–	developing member countries
DMF	–	design and monitoring framework
IED	–	Independent Evaluation Department
NARBO	–	Network of Asian River Basin Organization
PDA	–	pilot and demonstration activity
RBO	–	river basin organization
TA	–	technical assistance
TCR	–	technical assistance completion report
VAR	–	vulnerability assessment report
WFP	–	Water Financing Program
WFPF	–	Water Financing Partnership Facility

## NOTE

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

<b>Director General</b>	Emmanuel Jimenez, Independent Evaluation Department (IED)
<b>Deputy Director General</b>	Sona Shrestha, IED
<b>Director</b>	Nathan Subramaniam, Sector and Project Division (IESP)
<b>Evaluator</b>	Charity Gay Ramos-Galacgac, Evaluation Officer, IESP

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## TECHNICAL ASSISTANCE COMPLETION REPORT VALIDATION REPORT<sup>1</sup>

### 1. PROJECT DATA TA No. 6498

<b>TA Name</b>	Knowledge and Innovation Support for ADB's Water Financing Program	<b>Approval Date</b>	3 Nov 2008	<b>Approved (\$)</b>	2,000,000.00
		<b>Signing Date</b>	3 Nov 2008	<b>Revised (\$)</b>	27,668,331.73
<b>Country</b>	Regional	<b>Planned Completion Date</b>	30 Nov 2010	<b>Disbursed (\$)</b>	26,060,613.68
		<b>Actual Completion Date</b>	31 Mar 2021	<b>Undisbursed (\$)</b>	1,607,718.05
<b>Department</b>	Sustainable Development and Climate Change	<b>TA Type</b>	TRTA ( ) KSTA ( ) PATA ( ) CDTA (✓) RDTA ( ) PPTA ( ) RETA ( )	<b>Source of Funding</b>	Multi-donor Trust Fund, Netherlands Trust Fund and Sanitation Financing Partnership Trust Fund under the Water Financing Partnership Facility; Government of Australia; Technical Assistance Special Fund (TASF-V and TASF-Others); and Canadian Cooperation Fund on Climate Change
<b>Sector and Subsector</b>	Multisector			<b>Executing Agency</b>	Asian Development Bank

CDTA = capacity development technical assistance, KSTA = knowledge and support technical assistance, PATA = policy and advice technical assistance, PPTA = project preparatory technical assistance, RDTA = research and development technical assistance, RETA = regional technical assistance, TA = technical assistance, TRTA = transaction technical assistance.

### 2. DESIGN AND MONITORING FRAMEWORK AND RESULTS

<b>Objective</b>	The regional technical assistance (TA) aimed to support the Asian Development Bank (ADB)'s goal of increasing water investments through the Water Financing Program (WFP) to respond to the water investment needs of Asia and the Pacific. The TA acted as a fund channel where resources from development partners mobilized under the Water Financing Partnership Facility (WFPF) were made available to operations departments for the delivery of the TA outputs: (i) pilot and demonstration activities (PDAs), and (ii) knowledge products and services. The TA's expected outcome was increased demand from developing member countries (DMCs) for ADB investment products and services.
<b>TA Rationale</b>	To meet ADB's commitment to increasing water investments, regional departments needed access to the WFPF resources to enable them to: (i) develop, test, and demonstrate innovative approaches in designing, financing, and implementing water projects; (ii) further enhance the knowledge products and tools needed to ensure more informed dialogues with DMCs; and (iii) strengthen upstream work such as

<sup>1</sup> Team members: P. Deeks (quality reviewer) and K. Saito (validator).

	pre-investment knowledge and communication. The TA served as a platform for DMCs to easily access the WFPF.
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Results Levels	Indicators	IED Comment on Evaluability of Indicators <sup>2</sup>
<b>Outcome</b> Increased demand for ADB investment products and services	a. At least 10 DMCs initially targeted under the Water Financing Program (WFP) have additional requests for investment over and above their 2007–2009 (WFP Phase 1) and 2011–2020 (WFP Phase 2)	Evaluable. The indicator could have been improved if the total number of DMCs initially targeted under the WFP was cited to determine reasonableness of the target set.
	b. There is increased demand from DMCs for broader sector work covering policy reforms and capacity development	Partly evaluable. The indicator could have been more specific if it had identified how much increase in demand was being targeted.  For both outcome indicators, other efforts undertaken by DMCs and other stakeholders outside of this TA could have contributed to the achievement of both outcomes.
<b>Output 1</b> Pilot and demonstration activities (PDA)	1a. By 2020, at least 50% of PDA results replicated or scaled up in ADB loans and TA projects	Partly evaluable. As noted in the TCR, it could have been better if replication and/or scaling up of results were accurately tracked through a clear mechanism captured in the indicator.
	1b. By 2020, at least 80 PDAs are financed from the TA	Evaluable.
<b>Output 2</b> Knowledge products (KP) and services	2a. Requests from operations departments for expert services are responded to within seven working days throughout the duration of the TA	Evaluable. However, the indicator appears to be more of an activity rather an output.
	2b. By 2020, at least 15 projects of operations departments are provided communication support	Evaluable. The indicator could have been more specific about the nature of communication support for easier measurement and verification.
	2c. By 2020, at least 15 knowledge products on priority topics/issues prepared	Evaluable. However, it could have been improved by combining all knowledge products-related

<sup>2</sup> According to the TCRV Guidelines, the following types of TA operations are excluded from the TCR validation process (as applicable to this TA): (ii) all TA operations that are mainly used by ADB departments to engage TA consultants every year or used mainly for ADB staff expenditure in support of ADB publications along with development purposes for DMCs; and (iii) TA operations that support logistics and travel expenditures for the conduct of conferences and workshops, aimed at raising awareness, consultation or dissemination; (iv) TA operations to fulfill ADB's legal or membership (including subscription, software license) obligations. Therefore, for the purposes of this validation, outputs 2h, 2i, 2j, 2k, 2l, 2r and 2s are not assessed or commented on as they are excluded from the validation.

Results Levels	Indicators	IED Comment on Evaluability of Indicators <sup>2</sup>
		indicators (such as indicator 2d, 2e, 2g) in one output and/or grouping them according to topic/issue.
	2d. Sanitation toolkit for ADB staff prepared by 2009, and at least 30 additional knowledge products on sanitation completed by 2020	Evaluable. Similar comment as in 2c.
	2e. Future of Water in Asia (now Asia Water Futures and Solutions Study) completed by 2016 and updates undertaken thereafter as appropriate	Evaluable. Similar comment as in 2c.
	2f. Preparation of Country Water Assessments and/or Water Accounting for at least 15 countries completed by 2020	Evaluable. However, the water accounting component of this indicator could have been merged with indicator 2v.
	2g. Other related analytical work, including at least two editions of Asian Water Development Outlook (AWDO) and at least five broader sector work, based on demand, completed by 2020	Evaluable. Similar comment as in 2c.
	2h. Internal and external knowledge sharing sessions organized at least every two months and at least two sessions of distinguished water leaders series per year until 2020	Excluded from validation (see footnote 2).
	2i. Water website updated regularly and average monthly page views sustained between 75,000-100,000 until 2020	Excluded from validation (see footnote 2).
	2j. ADB participation in at least three major regular water events supported until 2020	Excluded from validation (see footnote 2).
	2k. ADB Water Week, Sanitation Dialogue and Asia Irrigation Forum conducted alternately until 2020	Excluded from validation (see footnote 2).
	2l. Initiatives to enhance media relations, including relevant social media platform financed by 2020	Excluded from validation (see footnote 2).
	2m. At least 12 in-country sanitation dialogues completed by end of 2017	Evaluable.
	2n. Partnership agreements or equivalent documents executed with development partners, including knowledge hubs, to sustain and expand knowledge partnerships until 2020	Evaluable. The indicator could have been more specific about how many partnership agreements or equivalent documents were targeted.
	2o. Support provided for at least 20 twinning programs, benchmarking,	Evaluable. This indicator could have been merged with indicator 2t.

Results Levels	Indicators	IED Comment on Evaluability of Indicators <sup>2</sup>
	technical training, and capacity building interventions by 2020	
	2p. Transformation of WaterLinks into a sustainable capacity building platform for water utilities in the Asia and Pacific region completed by end-2013	Evaluable.
	2q. Support to Network of Asian River Basin Organization's (NARBO) program for capacitating River Basin Organization's (RBO) sustained until 2020	Evaluable. The indicator could have been more specific about the intended contribution of the TA.
	2r. Support to Asia-Pacific Water Forum sustained until 2020	Excluded from validation (see footnote 2).
	2s. Support to other regional cooperation sustained until 2020	Excluded from validation (see footnote 2).
	2t. At least 2 Pacific utilities provided twinning partnership support on climate change adaptation and a dedicated master class on climate change toolkit for Pacific utilities completed by end-2019	Evaluable. See comment in indicator 2o.
	2u. Water productivity for at least 10 irrigation projects completed by end 2020	Evaluable.
	2v. Water accounting completed in at least 30 river basins by end-2020	Evaluable. See comment in indicator 2f.
		Further, for all the indicators above, the baseline could have been identified.

### 3. PERFORMANCE ASSESSMENT

#### Relevance

Item	Highly Relevant	Relevant	Less than Relevant	Irrelevant
TCR Rating		✓		
TCRV Rating			✓	
IED Rationale	<p>The TA was aligned with the ADB's commitment to respond to Asia and Pacific region's critical water investment needs consistent with ADB Strategy 2020. It remains aligned with Strategy 2030 considering that water cuts across the operational priorities of the new Strategy. It also supported ADB Water Policy's target outcomes of increased access to safe drinking water supply and improved sanitation, reduced risk to floods, more productive and efficient irrigation and drainage services, integrated water resources management in river basins, and improved water governance.</p> <p>As a fund channel, the TA received replenishments from 2009 to 2018, increasing the total TA amount to \$27,668,331.73 (original approved amount was \$2,000,000.00). There were two major changes in the TA, in addition to other minor changes in scope, costs and implementation arrangements. The first major change</p>			

	<p>in 2011 responded to expanded knowledge work following the approval in October 2011 of the Water Operational Plan 2011–2020 and involved a fund replenishment of \$6.5 million. The second major change in 2014, involved a replenishment of \$13.5 million and was meant to enable the TA to continue supporting the PDAs and strengthen ADB’s water knowledge base and knowledge access. The TCR DMF was accordingly updated to reflect the changes in indicators and targets (see footnote 2).</p> <p>However, there were weaknesses noted in the DMF. Since output indicators were added as replenishments came in, there was a long list of outputs involving a mix of activities that could have been better undertaken through separate TAs for a more coherent and focused intervention (for example, one for PDAs, one for policy reforms, and one for capacity building and regional cooperation). The TA became an omnibus vehicle for water-related work, rather than a strategic technical assistance intervention. In addition, some indicators could have been made more specific about the TA’s intended contribution to the outputs. Also, baselines were not provided, which could have facilitated better measurement of the TA performance, even though these baselines could have likely been zero for some indicators (see Section 2 above for details). The TA likewise failed to take into consideration other TAs supporting the capacity development of RBOs resulting in low demand during implementation.</p> <p>The way the outcome indicators were formulated for a huge TA costing \$27.6 million showed a lack of ambition and results orientation. Specifically, the outcome indicators did not specify the extent of the additional requests for investment or broad sector work. Also, it could have been better if the indicator reflected the result or benefit from the application of outputs. Specifically, results from capacity building activities (e.g., twinning partnerships, trainings) could have been better captured by including an outcome indicator on increased capacity. Alternatively, results from the various analytical works and knowledge products could have been represented through the adoption of policy reforms. Other initiatives outside of the TA could have also contributed to the envisaged outcome.</p> <p>The TA report and the TCR discussed the TA objectives. However, details to support an adequate presentation of the TA’s rationale were lacking. For example, perceived gaps in, or paucity of, PDAs and knowledge products expected to benefit DMCs and stakeholders were hardly discussed.</p> <p>Given all these, this validation assesses the TA less than relevant.</p>
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### Effectiveness

Item	Highly Effective	Effective	Less than Effective	Ineffective
TCR Rating		✓		
TCRV Rating		✓		
Evidence of Outputs Achieved	<p>Below are the accomplishments of the TA for eligible output indicators as reflected in the latest approved DMF (see footnote 2).</p> <p>1a. Partly achieved. The TA supported 64 PDA applications with potential for replication and scaling up in ADB projects or in broader sector work. There were 59 PDAs (out of 64), which proceeded to implementation and were completed. The replication and scaling up can only be considered partly achieved due to the following: (i) review of project documents revealed that some PDA topics have already been adopted in ADB projects over the years; (ii) of the 59 that were implemented and completed, 47% were either piloted/demonstrated in ADB projects or were designed to support project preparation or implementation although project</p>			

	<p>documents make no reference to some of them; and (iii) some PDA outputs were designed to naturally lead to replication and scaling up.</p> <p>1b. Partly achieved. The TA financed 64 PDAs, out of the target 80, of which (i) 59 were completed, (ii) 3 were discontinued after inception phase, and (c) 2 were discontinued during mobilization phase. One of the reasons cited for the discontinuation of some of the PDAs is change in government priorities.</p> <p>2a. Achieved. Requests from operations departments for specialists were typically responded to within 3.5 days on average (against the target of within 7 working days). The TA engaged more than 70 experts in response to over 30 requests that were received and approved.</p> <p>2b. Overachieved. The TA provided communication support to 48 investment and TA projects (against a target of at least 15) in the development of (i) advocacy, awareness-raising, and other information materials to communicate project information to project stakeholders during preparation and implementation; (ii) multimedia knowledge products to communicate lessons and good practices to project stakeholders in government as well as within ADB to help inform future projects; and (iii) good practices and innovations to project executing, implementing and oversight agencies through exposure visits and learning events, which provided opportunities for direct exchange and networking with peers, experts and practitioners.</p> <p>2c. Overachieved. The TA supported a total of 54 knowledge products on priority topics/issues (against a target of at least 15), which were produced in different forms (publications, reports, brochures, briefs, videos, blogs, and think pieces) to cater to a variety of audiences. There were 47 that were published. Sanitation knowledge products were reported under output 2d.</p> <p>2d. Achieved. Through the TA, a sanitation toolkit was prepared in October 2009 and 33 additional knowledge products on sanitation were completed by 2020. The additional 33 sanitation knowledge products (32 of which have been published) were developed and presented in various forms.</p> <p>2e. Achieved. The TA supported the completion of the Future of Water in Asia (now Asia Water Futures and Solutions Study) in 2016. The draft final report was completed in February 2016, and a brochure was developed in April 2016. No further updates were considered appropriate thereafter.</p> <p>2f. Achieved. Country water assessments (CWAs) and/or water accounting for 17 countries were conducted in 2020. Nine water assessments were completed for Azerbaijan, Bhutan, Indonesia, Kyrgyz Republic, Mongolia, People's Republic of China, Tajikistan, Uzbekistan and Viet Nam; while eight water accounting exercises were carried out for Cambodia, India, Indonesia, Kazakhstan, Mongolia, Philippines, Sri Lanka, and Viet Nam.</p> <p>2g. Overachieved. The TA supported 14 other related analytical works, of which three were the 2013, 2016 and 2020 editions of the AWDO (excluded from this validation). Additionally, 11 broader sector works (against a target of at least 5) based on demand were completed in 2020.</p> <p>2m. Achieved. The TA supported a total of 14 sanitation dialogues by the end of 2017, which aimed to accelerate action on sanitation by ADB, DMCs, and development partners in public and private sectors. For specific countries,</p>
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	<p>customized programs were conducted in the field to demonstrate good sanitation solutions.</p> <p>2n. Achieved. The TA supported knowledge partnership agreements, memoranda of understanding, letters of intent, and other equivalent documents executed with various development partners to sustain and expand knowledge partnerships until 2020. These included the (i) Australian Water Partnership (signed in 2015 and extended in 2019) to advance work on water resources management and water supply and sanitation through advisory services, capacity building, technical collaborations, staff exchanges and knowledge sharing, peer review, joint research and analytical work; (ii) Chinese Institute of Engineers (signed in 2019) to facilitate exchange of information, joint events and meetings, joint publications and analytical work, and expert secondment to ADB; (iii) Korea Institute of Civil Engineering and Building Technology (signed in 2019) to collaborate on the development of 2020 AWDO edition and Synthesis Report on Water and Disasters in Asia; (iv) Korea Water Resources Cooperation (signed in 2014 and renewed in 2019) to support continuous learning and development program, joint events, twinning programs, and provision to technical experts and water specialists to ADB; (v) Organisation for Economic Co-operation and Development (signed in 2020) to jointly develop the dedicated chapters of AWDO 2020 on Water Financing and Water Governance; (vi) Singapore International Water Week PTE, Ltd. (signed in 2019) for the organization of Singapore International Water Week; and (vii) Toilet Board Coalition (signed in 2019) to undertake analytical work on sanitation markets.</p> <p>2o. Achieved. The TA provided support for a total of 28 twinning programs (against a target of 20) including benchmarking, technical training, and capacity building interventions until 2020. This excludes support to Pacific utilities reported under output 2t.</p> <p>2p. Achieved. The TA supported the transformation of WaterLinks into a sustainable capacity building platform for water utilities in Asia, which was registered with the Philippine Securities and Exchange Commission on 25 April 2012 as a nongovernment organization (NGO) named “WaterLinks Management Council, Inc.”</p> <p>2q. Partly achieved. The TA supported on a limited scale the NARBO program for capacitating RBOs until 2020. There were other TAs providing support to RBOs; hence, the low capacity building demand for TA support.<sup>3</sup> The only major TA support was for a study tour to Spain for 20 senior officials from RBOs in May 2010 aimed at (i) exchanging experiences and case studies on Integrated Water Resources Management in Asian and European countries, (ii) exploring ways to improve water security in Asia, and (iii) strengthening networking among participants, speakers and partner organizations. All other support was limited to facilitating ADB participation in select NARBO meetings and events and collaborating on major water events.</p> <p>2t. Achieved. The TA supported two Pacific utilities with twinning partnership support on climate change adaptation. It also developed a masterclass on climate change, which was completed in 2019. The twinning focused on improving energy efficiency and managing water resources. The masterclass covered the following: (i) development of a vulnerability assessment report (VAR); (ii) climate variability, extreme weather events and uncertain climates; (iii) a framework for developing and monitoring a corporate risk register and identification of priority adaptation projects based on VAR. The water authority of Fiji’s VAR is now being used as model for all</p>
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<sup>3</sup> ADB. 2008. *Technical Assistance for Managing Water in Asia’s River Basins: Charting Progress and Facilitating Investment implemented in 2008–2015*. Manila; and ADB. 2016. *Technical Assistance for Strengthening Integrated Water Resources Management in Mountainous River Basins implemented in 2016–2019*. Manila.

	<p>other utilities in Fiji and earned them a seat in their national climate change committee.</p> <p>2u. Achieved. Water productivity measurements for 13 irrigation projects (target 10) were completed by the end of 2020 as follows: (i) Cambodia: Irrigated Agriculture Improvement Project; (ii) India: Karnataka Integrated Sustainable Water Resources Management Investment Program Tranche 1; (iii) India: Karnataka Integrated Sustainable Water Resources Investment Program Tranche 2; (iv) India: Madhya Pradesh Irrigation Efficiency Improvement Project; (v) India: Climate Adaptation in Vennar Subbasin in Cauvery Delta Project; (vi) Indonesia: Integrated Participatory Development and Management of Irrigation Project; (vii) Indonesia: Enhanced Water Security Investment Project; (viii) Kazakhstan: Irrigation Rehabilitation Project; (ix) Mongolia: Vegetable Production and Irrigated Agriculture Project; (x) Pakistan: Punjab Irrigated Agriculture Investment Program; (xi) Sri Lanka: Mahaweli Water Security Investment Program; (xii) Sri Lanka: Integrated Water Productivity Improvement Project; and (xiii) Viet Nam: Water Efficiency Improvement in Drought Affected Provinces Project.</p> <p>2v. Achieved. Water accounting was completed for 36 river basins (target 30) by the end of 2020 as follows: 6 in Cambodia, 6 in India, 4 in Indonesia, 1 in Kazakhstan, 1 in Mongolia, 1 in Philippines, 1 in Sri Lanka, and 16 in Viet Nam.</p>
<p><b>Evidence of Outcomes Achieved</b></p>	<p>The following were the outcome accomplishments according to the TCR:</p> <p>a. Achieved. 13 DMCs had additional requests for investment over and above their 2007–2009 pipelines (WFP Phase 1), with an average increase of \$40 million; and 12 DMCs had additional requests over and above their 2011–2020 pipelines (WFP Phase 2), with an average increase of \$260 million.</p> <p>b. Achieved. There was an increased demand for broader sector work covering policy reforms and capacity development. From 2001 (upon the approval of the Water Policy) to October 2008, demand for broader sector work averaged \$13.4 million a year, or around 14–15 TAs per year. Since the TA implementation, the annual average increased to \$25.4 million, or about 25 TAs a year. This amounted to \$309 million from November 2008 to November 2020 or around 307 TAs. This translated to an increase of about \$105 million corresponding to 116 TAs from October 2001 to October 2008.</p>
<p><b>IED Rationale</b></p>	<p>Out of the 24 output indicators, 7 output indicators (2h, 2i, 2j, 2k, 2l, 2r, 2s) were excluded from this validation based on the exclusion list in the TCRV Guidelines. As noted above, these outputs were not taken into account in arriving at the assessment for this criterion.</p> <p>Out of the 17 outputs, which were part of the assessment, 14 outputs were achieved, and 3 were partly achieved. The TCR and supporting TA documents provided adequate evidence to support the output accomplishments. The delivery of these outputs contributed to the attainment of the outcome targets of increased request for investments and demand for broader sector work covering policy reforms and capacity development. However, it was possible that other factors outside of the TA interventions that were supporting the broader WFP could have also contributed to the achievement of the indicators.</p> <p>Given the delivery of most outputs contributing to the attainment of the outcome, this validation assesses the TA effective.</p>

**Efficiency**

Item	Highly Efficient	Efficient	Less than Efficient	Inefficient
TCR Rating		✓		
TCRV Rating		✓		
<b>IED Rationale</b>	<p>Process efficiency: A total of 10 increases in costs and/or changes in scope (including two major changes in scope) and seven changes in implementation arrangements were processed in the course of TA implementation. Extensions of the TA were likewise processed to undertake the additional activities and/or outputs corresponding to the fund replenishments for a cumulative extension of TA completion date of 119 months or more than 10 years. The long implementation period was not necessarily due to delays as the implementation coincided with the completion in 2020 of the WFP and Water Operational Plan.</p> <p>Despite the long list of activities and outputs, the TA was able to deliver most of the output targets according to schedule, primarily due to the adoption of efficient implementation arrangements, such as through the knowledge partnerships with different institutions and decentralization of management of consultants and contracts to the concerned operations departments, while the Sustainable Development and Climate Change Department served as the overall TA coordinator. At the end of the TA completion period, the TA had an overall utilization rate of 94.2%.<sup>4</sup> In terms of expenditure by component, all TA components were spent within the revised budget except for training, seminars, and conferences, which costed \$4,923 more than the revised budget. No explanation was provided for this discrepancy in the TCR. Also, a cursory look at the memoranda requesting for changes in the TA<sup>5</sup> would show that budget realignments were requested to address negative balances in some cost categories. Realignments should have been processed prior to incurring the expenditures.</p> <p>Socioeconomic value: The TCR noted some of the TA's socioeconomic value (indirect benefits), such as (i) increased investments in the water sector, (ii) improved delivery of water services and management of water resources, and (iii) higher profile of the water sector in the region's development and political agenda resulting in investment and policy support.</p> <p>In summary, despite the long list of outputs, the TA was able to deliver almost all of its target due to efficient implementation arrangements. It also generated indirect socioeconomic benefits at 94% budget utilization. This validation assesses the TA efficient.</p>			

Criterion	Weight	Rating Value	Weighted Rating
Relevance	0.35	1	0.35
Effectiveness	0.35	2	0.70
Efficiency	0.30	2	0.60
<b>Overall Assessment</b>			<b>1.65</b>

<sup>4</sup> This represents the overall utilization rate against the total TA cost of \$27.668 million (includes both eligible and ineligible components for validation) as it is difficult to segregate the TA's cost in terms of eligible and ineligible components.

<sup>5</sup> ADB (Sustainable Development and Climate Change Department). 2016. RETA 6498: Knowledge and Innovation Support for ADB's Water Financing Program—Request for Increase in TA Amount. Memorandum. 23 August (internal); ADB (Sustainable Development and Climate Change Department). 2018. TA 6498-REG: Knowledge and Innovation Support for ADB's Water Financing Program—Request for Increase in TA Amount and Minor Change in TA Scope and Implementation Arrangements. Memorandum. 23 July (internal); and ADB (Sustainable Development and Climate Change Department). 2020. TA 6498: Knowledge and Innovation Support for ADB's Water Financing Program—Minor Change in TA Implementation Arrangements. Memorandum. 4 May (internal).

Criterion	Weight	Rating Value	Weighted Rating
(weighted average of above criteria) <sup>6</sup>			

### Overall Rating

Item	Highly Successful	Successful	Less than Successful	Unsuccessful
TCR Rating		✓		
TCRV Rating		✓		
IED Rationale	<p>The TA was aligned with the ADB's commitment to increasing water investments in the Asia and Pacific region. However, there were weaknesses in the TA design, such as the lack of ambition and results orientation at the outcome level despite the sizable amount of the TA. The TA had (i) a long list of outputs that diffused the TA's focus, (ii) indicators that could have been improved by providing baselines, and (iii) some issues with attribution.</p> <p>Out of the 17 outputs eligible for assessment, 14 outputs were achieved, while 3 were partly achieved.</p> <p>The TA's implementation period corresponded to the completion of the WFP and Water Operational Plan in 2020. Although TA had a long list of outputs, it was able to deliver almost all of its target at 94% utilization rate due to the efficient implementation arrangements with knowledge partners and the operations departments. The TA generated indirect socioeconomic benefits.</p> <p>Overall, this validation assesses the eligible components of the TA successful.</p>			

### 4. SUSTAINABILITY

Item	Highly Likely	Likely	Less Likely	Unlikely	NA
TCR Rating		✓			
TCRV Rating		✓			
IED Rationale	<p>Given that the WFPF will continue to support the Water Sector Framework 2021–2030 in addressing DMCs' water security challenges even after the TA completion, the TA benefits are considered likely sustainable. The TA's outputs, such as the PDAs and its knowledge products (e.g., screening tool for energy projects, water sector guidance notes, water accounting and productivity data, among others), are expected in the short and long term to guide future projects in meeting the water sector's evolving needs.</p>				

### Lessons Learned

(1-3 implementation, 4-7 development results, 8 others)

Criteria	TCR Self-Assessment <sup>7</sup>	IED Comment
1. Design and/or planning	The PDA was regarded helpful in trying out innovations and validating proof of concept. Replicability and scalability	This validation notes that it is important that the DMF indicator include a clear mechanism, in

<sup>6</sup> Each sub-rating is assigned a numerical value: e.g., highly relevant = 3, relevant = 2, less than relevant = 1, and irrelevant = 0. The compound criterion for performance rating is: highly successful (overall weighted average greater than 2.30), successful (overall weighted average greater than or equal to 1.65 and less than or equal to 2.30), less than successful (overall weighted average greater than or equal to 0.75 and less than 1.65), unsuccessful (overall weighted average is less than 0.75).

<sup>7</sup> Please select (using a ✓ or other indicator) relevant sub-categories and then supplement with narrative from the TCR.

Criteria	TCR Self-Assessment <sup>7</sup>	IED Comment
	<p>should remain a consideration when selecting new concepts to validate and innovations to test. However, in designing future TAs which include PDA as a component and where replication will be included as a performance indicator, the mechanics for documenting such replication should be well thought out. Depending on the purpose of the TA and considering that replication or scaling up takes time, an alternative is to use a performance indicator/s that can be more easily measured as has been done under the TA (Achieving Water Sector Priorities in Asia and the Pacific under Strategy 2030) approved in 2019 as a successor WFPF fund channeling.<sup>8</sup> The TA includes PDA as part of project design and implementation support (PDIS) in addition to expert inputs. As such, the performance indicators are: (i) PDA support to at least four projects during design or implementation provided, and (ii) at least five PDIS results documented and disseminated as lessons learned for future project design. PDIS results may include a PDA.</p>	<p>this case to measure replication and scaling up to ensure proper output tracking and results attribution to outcomes.</p> <p>According to the TCR, there was low demand for capacity building for RBOs as there were other TAs supporting RBOs. A lesson could be that adequate mapping of ongoing and related activities addressing the same objectives during the design stage would keep the TA more focused and lead to a more coordinated action.</p> <p>Additionally, in designing a TA, it is important to keep the TA focused and results-oriented by designing appropriate outcome indicators that can bear significance, or be directly attributed, to the application of focused TA components or outputs.</p>
2. Implementation and/or delivery	<p>As the TA was designed to make resources readily available to operations departments, they took responsibility for consultants recruitment, contract administration and management, and disbursements. Such implementation arrangement helped increase ownership by operations departments of the TA-funded activities and helped facilitate TA administration. This arrangement presents a good practice that may be adopted in similarly designed TAs.</p> <p>Although the TA substantially and even overachieved most of its output indicators, adjustments in the TA's DMF due to scope changes and increases in TA amount could have considered consolidation of inter-related performance indicators while</p>	<p>This validation notes that the consolidation of similar outputs avoid overlaps and tedious monitoring of a long list of output indicators. To keep the TA more output-focused, other major components should be addressed in separate TAs.</p>

<sup>8</sup> ADB. 2019. *Technical Assistance for Achieving Water Sector Priorities in Asia and the Pacific under Strategy 2030*. Manila.

Criteria	TCR Self-Assessment <sup>7</sup>	IED Comment
	increasing targets which would have avoided overlaps and too long a list of indicators which rendered monitoring onerous.	
3. Management (staffing, including consultants)	With operations departments taking responsibility for recruiting and managing the consultants for their respective projects and activities, the TA implementation benefitted from shared responsibility for consultant supervision and management between Sustainable Development and Climate Change Department – Water Sector Group (SDSC-WAT) and operations departments.	This validation notes that shared responsibility in recruitment and managing of consultants among implementers helps in successful TA implementation.
4. Knowledge building	<p>The TA's contribution to broader sector work such as the AWDO's methodology for measuring water security and the open access database for water accounting and productivity under Food and Agriculture Organization (FAO's) AQUASTAT was a result of close collaboration with knowledge partners and centers of Excellence.<sup>9</sup></p> <p>This is a good practice that should be continued to facilitate synergies and complementarity with other sector players. Furthermore, the TA was able to establish knowledge dissemination pathways which should be built upon as appropriate. These pathways include: (i) guideline for measuring water security and sanitation safety planning, (ii) use of FAO's global water information system for ADB's water accounting and productivity data, (iii) refereed conference paper on AWDO and water productivity, and, (iv) contribution to academic courses in Bangladesh and Mongolia on riverbank protection and wastewater management, respectively. Building upon these pathways will allow the TA outputs to be of assistance to as many people and organizations as possible.</p> <p>( ) Awareness  (✓) Technical product  ( ) Adoption or uptake</p>	This validation notes that collaborative efforts with other sector players is necessary for knowledge building and dissemination. It is also beneficial for the sustainability of TA outputs.

<sup>9</sup> AQUASTAT is the FAO global information system in water resources and agricultural water management. It collects, analyzes, and provides free access to over 180 variables and indicators by country from 1960.

Criteria	TCR Self-Assessment <sup>7</sup>	IED Comment
	<input checked="" type="checkbox"/> Building institutional or system capacity <input type="checkbox"/> National or sector practice (guidelines) <input type="checkbox"/> Policy, legal standards <input type="checkbox"/> Academic literature	
5. Stakeholder participation	<p>Engagement with a variety of stakeholders at various levels was key to the achievement of TA outcome and outputs. The subject of water security, for example, required engagement not only with stakeholders from the water sector but also with those making investment decisions such as finance and planning ministries. They were among the target audience of AWDO. The TA supported broader stakeholder engagement to disseminate key messages that needed to reach the wider public using various platforms including social media.</p>	<p>This is a common lesson learned.</p>
6. Partnership (and cofinancing)	<p>The collaboration with knowledge partners, centers of excellence, specialists' networks, international and regional water organizations added significant value to the TA implementation and the achievement of its outcome and outputs. The KPA concept was found helpful in collaborating with knowledge partners where there was a need for transfer of funds from ADB. In the future, other partnership modalities may also be explored, including cooperation arrangements, where partners can directly pay for the cost of their respective contributions to the preparation of joint outputs.</p> <input type="checkbox"/> Internal to ADB <input checked="" type="checkbox"/> External to ADB (may also include ADB)	<p>This validation notes that collaboration with other partner organizations in the industry—for example, through knowledge partnership agreements—adds significance to the TA by contributing to a more efficient delivery of a broad range of outputs and wider knowledge dissemination.</p>
7. Replication and scaling up	<p>The tools, guidance notes, and open access database supported by the TA will allow continuation and replication as well as expansion, where required, to meet evolving needs of the sector. The AWDO framework for measuring water security which allows comparison over time between countries, regions and geographic</p>	<p>This validation notes that the TA outputs can be potentially replicated or scaled up. However, it may be better to apply these outputs immediately to sustain the TA's momentum and keep them relevant throughout implementation.</p>

Criteria	TCR Self-Assessment <sup>7</sup>	IED Comment
	areas is expected to spur wider adoption in countries, states, cities and river basins. <input checked="" type="checkbox"/> Replication <input checked="" type="checkbox"/> Scaling up	Postponing these outputs may render them unusable or obsolete.
8. Post-TA financial resources	<input type="checkbox"/> ADB <input type="checkbox"/> Government <input type="checkbox"/> Private Sector <input type="checkbox"/> Other	No lesson provided in the TCR.
9. Others		No lesson provided in the TCR.



### TCR Quality Assessment (Reviewer's Assessment)

TCR Quality	TCRV				IED Comment
	HS	S	LS	US	
<b>Coherence of TCR (25%)</b>		✓			The TCR was coherent. It was able to clearly describe the achievements of the TA in relation to the indicators in the DMF.
<b>Quality of Data (25%)</b>	✓				The data and evidence were comprehensive. The changes in the TA and DMF were supported by the approved memos, and DMFs were updated accordingly.
<b>Quality of Lessons Learned (50%)</b>		✓			This validation notes that the lessons presented in the TCR are evidence-based and useful for future TAs.
<b>Overall TCR Quality (weighted as per performance)<sup>10</sup></b>		✓			The TCR presented a clear implementation narrative and provided comprehensive information on the TA's accomplishments vis-à-vis the DMF indicators. Useful lessons were likewise provided for future TA operations of similar nature. This validation assesses the TCR satisfactory.
<b>Further IED Action (e.g., in-depth evaluation)</b>	Y	<u>N</u>	Reason: No follow-up action needed.		
<b>Other Remarks</b>					

<sup>10</sup> Each sub-rating is assigned a numerical value: e.g., highly satisfactory = 3, satisfactory = 2, less than satisfactory = 1, and unsatisfactory = 0. The compound criterion for the TCR quality rating is: highly satisfactory (overall weighted average greater than 2.30), satisfactory (overall weighted average greater than or equal to 1.65 and less than or equal to 2.30), less than satisfactory (overall weighted average greater than or equal to 0.75 and less than 1.65), and unsatisfactory (overall weighted average is less than 0.75).

### Attachment 1: Description of the Technical Assistance

The technical assistance is described in the technical assistance completion report.<sup>1</sup>

### Attachment 2: Design and Monitoring Framework

The design and monitoring framework is in the technical assistance report.<sup>2</sup>

#### Planned and Actual Achievements of the Technical Assistance

Performance Indicators <sup>3</sup>	Planned	Actual	Reasons for Variance
<b>Outcome</b> Increased demand for ADB investment products and services	a. At least 10 DMCs initially targeted under the Water Financing Program (WFP) have additional request for investment over and above their 2007–2009 (WFP Phase 1) and 2011–2020 (WFP Phase 2)  b. There is increased demand from DMCs for broader sector work covering policy reforms and capacity development	Achieved. 13 DMCs had additional requests over and above their 2007–2009 pipelines (WFP Phase 1), with an average increase of \$40 million, and 12 DMCs had additional requests over and above their 2011–2020 pipelines (WFP Phase 2), with an average increase of \$260 million.  Achieved. There was increased demand for broader sector work covering policy reforms and capacity development. From 2001 (upon approval of the Water Policy) to October 2008, demand for broader sector work averaged \$13.4 million a year, equivalent to around 14–15 TAs per year. Since the TA implementation, this annual average increased to \$25.4 million, equivalent to about 25 TAs yearly.	It was possible that other factors outside of the TA initiatives contributed to the outcome achievement.  It was possible that other factors outside of the TA initiatives contributed to the outcome achievement.

<sup>1</sup> Asian Development Bank (ADB). 2021. *Technical Assistance Completion Report: Knowledge and Innovation Support for ADB's Water Financing Program*. Manila. <https://www.adb.org/sites/default/files/project-documents/42384/42384-012-tcr-en.pdf>

<sup>2</sup> ADB. 2008. *Technical Assistance for Knowledge and Innovation Support for ADB's Water Financing Program*. Manila. <https://www.adb.org/sites/default/files/project-document/67646/42384-reg-tar.pdf>

<sup>3</sup> For the purposes of this validation, outputs 2h, 2i, 2j, 2k, 2l, 2r and 2s are not assessed or commented on as they are excluded from the validation. See footnote 1 for details.

<b>Outputs</b> 1. Pilot and demonstration activities (PDA)	1a. By 2020, at least 50% of PDA results replicated or scaled up in ADB loans and TA projects	Partly achieved. All 64 PDA applications identified the potential for replication and scaling up in ADB projects or in broader sector work. Of the 64, 59 proceeded to implementation and were completed. Some projects made no reference of attribution to the PDAs, making this indicator partially achieved.	In some projects, there was no information or documentation making attribution to the PDA.
	1b. By 2020, at least 80 PDAs are financed from the TA	Partly achieved. The TA financed 64 PDAs. Of the 64: (a) 59 were completed, (b) 3 were discontinued after inception phase; and (c) 2 were discontinued during mobilization phase.	Change in government priorities and/or COVID-19 pandemic were among the reasons cited why 5 out of the 64 PDAs were discontinued.
2. Knowledge products (KP) and services	2a. Requests from operations departments for expert services are responded to within seven working days throughout the duration of the TA	Achieved. Requests from operations departments for specialists were typically responded to within 3.5 days on average.	No variance.
	2b. By 2020, at least 15 projects of operations departments are provided communication support	Overachieved. The TA provided communication support to 48 investment and TA projects.	The TA delivered higher than target.
	2c. By 2020, at least 15 knowledge products on priority topics/issues prepared	Overachieved. A total of 54 knowledge products on priority topics/issues were prepared.	The TA delivered higher than target.
	2d. Sanitation toolkit for ADB staff prepared by 2009, and at least 30 additional knowledge products on sanitation completed by 2020	Achieved. A sanitation toolkit was prepared in October 2009 and 33 additional knowledge products on sanitation were completed by 2020.	No variance.
	2e. Future of Water in Asia (now Asia Water Futures and Solutions Study) completed by 2016 and updates undertaken thereafter as appropriate	Achieved. The Future of Water in Asia (now Asia Water Futures and Solutions Study) was completed in 2016. No further updates were considered appropriate thereafter.	No variance.
	2f. Preparation of Country Water Assessments and/or Water Accounting for at	Achieved. Country water assessments (CWAs) and/or water accounting for	No variance.

	least 15 countries completed by 2020	17 countries were completed in 2020.	
	2g. Other related analytical work, including at least two editions of Asian Water Development Outlook (AWDO) and at least five broader sector work, based on demand, completed by 2020	Overachieved. 14 other related analytical work, of which three are the 2013, 2016 and 2020 editions of the AWDO and 11 broader sector work based on demand were completed in 2020.	The TA delivered higher than target.
	2m. At least 12 in-country sanitation dialogues completed by end of 2017	Achieved. A total of 14 sanitation dialogues were completed by the end of 2017.	No variance.
	2n. Partnership agreements or equivalent documents executed with development partners, including knowledge hubs, to sustain and expand knowledge partnerships until 2020	Achieved. Knowledge partnership agreements, memoranda of understanding, letters of intent, and other equivalent documents were executed with various development partners to sustain and expand knowledge partnerships until 2020.	No variance.
	2o. Support provided for at least 20 twinning programs, benchmarking, technical training, and capacity building interventions by 2020	Achieved. Support provided for a total of 28 twinning programs, benchmarking, technical training and capacity building interventions until 2020.	No variance.
	2p. Transformation of WaterLinks into a sustainable capacity building platform for water utilities in the Asia and Pacific region completed by end-2013	Achieved. The transformation of WaterLinks into a sustainable capacity building platform for water utilities in Asia and the Pacific was completed in 2012 following its registration with the Philippine Securities and Exchange Commission on 25 April 2012 as a nongovernment organization (NGO).	No variance.
	2q. Support to Network of Asian River Basin Organization's (NARBO) program for capacitating River Basin Organization's (RBO) sustained until 2020	Partly achieved. Support to NARBO program for capacitating river basin organizations was sustained until 2020 but on a very limited scale. While coordination with NARBO was sustained throughout the TA implementation, the demand for TA support for	There was a low demand for capacity building for RBOs due to existing TAs providing support to RBOs.

		capacity building program for RBOs was minimal owing to the existence of other TAs.	
	2t. At least 2 Pacific utilities provided twinning partnership support on climate change adaptation and a dedicated master class on climate change toolkit for Pacific utilities completed by end-2019	Achieved. Two Pacific utilities were provided twinning partnership support for climate change adaptation, and a dedicated masterclass on climate change toolkit was completed in 2019.	No variance.
	2u. Water productivity for at least 10 irrigation projects completed by end 2020	Achieved. Water productivity for 13 irrigation projects were completed by end 2020.	No variance.
	2v. Water accounting completed in at least 30 river basins by end-2020	Achieved. Water accounting was completed for 36 river basins by the end of 2020.	No variance.

ADB = Asian Development Bank, AWDO = Asian Water Development Outlook, CWA = country water assessment, COVID-19 = coronavirus disease, DMC = developing member country, NARBO = Network of Asian River Basin Organization, NGO = nongovernment organization, PDA = pilot and demonstration activity, RBO = river basin organization, TA = technical assistance, WFP = water financing program.

Sources: Asian Development Bank (ADB). 2008. *Technical Assistance for Knowledge and Innovation Support for ADB's Water Financing Program*. Manila; and ADB. 2021. *Technical Assistance Completion Report: Knowledge and Innovation Support for ADB's Water Financing Program*. Manila.